



**2022 ANNUAL REPORT**

**JUNE 2023**



## Statement from the Executive Director

Since 2015, the Open Scholarship Initiative project (OSI) has been SCI's single largest project, accounting for 100% of SCI's time and finances. I have been working as OSI's program director full-time since late 2014 and plan to continue doing so until this project is scheduled to conclude in 2025.

The OSI annual report for 2022 is included in this document. SCI's 2022 financial summary is also included here. SCI's 2022 Form 990 is available from the SCI website and also on GuideStar, which has given SCI its highest Platinum rating for our annual reporting transparency.

Sincerely,

A handwritten signature in black ink, appearing to read 'Glenn Hampson', is written over a light blue horizontal line. The signature is fluid and cursive.

Glenn Hampson  
Executive Director  
Science Communication Institute



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## Business Information

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- A. **Legal name:** Science Communication Institute (SCI)  
**Legal status:** 501(c)(3) nonprofit public charity, established in January 2011  
**Telephone:** 206-417-3607

**Street address:**

Science Communication Institute  
2320 N 137<sup>th</sup> Street  
Seattle, WA 98133

**Mailing address:**

Same as street address

- B. **Tax ID number:** 27-4690007  
**Washington state UBI number:** 603081988

**Contact:**

Glenn Hampson, Executive Director  
Science Communication Institute  
2320 N 137<sup>th</sup> Street  
Seattle, WA 98133  
Email: [ghampson@nationalscience.org](mailto:ghampson@nationalscience.org)  
Telephone: 206-417-3607

- C. **Mission statement:** The mission of the Science Communication Institute (SCI) is to help improve science collaboration, discovery, education and public policy by reforming the communications culture inside science.

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## Financials

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SCI raised less than the minimum amount required in 2022 to trigger a full year-end tax filing with the IRS or with Washington state's regulatory agencies. For the IRS, a 990-N was filed instead, which simply requests that filers confirm the basics of company operations---that they raised less than a certain amount, are still in business, and are still tax-exempt. The receipt for this filing is on the next page.

SCI received \$6,230 in 2021, of which \$5,000 was a donation from Cabell's, \$1,000 was a donation to OSI from the American Geophysical Union, and \$230 was in individual contributions to OSI. A total of \$5,000 was paid to Hampson for his full-time efforts for OSI. SCI received no other grants, sponsorships, or income. SCI's assets as of end-December 2021 totaled \$28.52 (the balance in the corporation's checking account).

8:00 AM

06/13/23

Accrual Basis

**National Science Communication Institute**  
**Statement of Financial Income and Expense**  
 January through December 2022

	Unclassified	TOTAL
<b>Ordinary Income/Expense</b>		
<b>Income</b>		
<b>43400 · Direct Public Support</b>		
43410 · Corporate Contributions	6,000.00	6,000.00
43400 · Direct Public Support - Other	230.00	230.00
<b>Total 43400 · Direct Public Support</b>	<u>6,230.00</u>	<u>6,230.00</u>
<b>Total Income</b>	<u>6,230.00</u>	<u>6,230.00</u>
<b>Gross Profit</b>	6,230.00	6,230.00
<b>Expense</b>		
<b>60900 · Business Expenses</b>		
60920 · Business Registration Fees	79.00	79.00
60930 · Fines, Penalties, Judgments	10.00	10.00
<b>Total 60900 · Business Expenses</b>	<u>89.00</u>	<u>89.00</u>
<b>62100 · Contract Services</b>	5,000.00	5,000.00
<b>65000 · Operations</b>		
65060 · Web templates & hosting fees	50.44	50.44
65000 · Operations - Other	559.14	559.14
<b>Total 65000 · Operations</b>	<u>609.58</u>	<u>609.58</u>
<b>65100 · Other Types of Expenses</b>	186.00	186.00
<b>68300 · Travel and Meetings</b>		
68310 · Conference, Convention, Mee...	300.00	300.00
<b>Total 68300 · Travel and Meetings</b>	<u>300.00</u>	<u>300.00</u>
<b>Total Expense</b>	<u>6,184.58</u>	<u>6,184.58</u>
<b>Net Ordinary Income</b>	<u>45.42</u>	<u>45.42</u>
<b>Net Income</b>	<u><u>45.42</u></u>	<u><u>45.42</u></u>

# Copy of filing information.

Form 990-N

Department of the Treasury  
Internal Revenue Service

## Electronic Notice (e-Postcard)

for Tax-Exempt Organizations not Required to File Form 990 or 990-EZ

OMB No.1545-2085

2021

Open to Public Inspection

A For the 2021 Calendar year, or tax year beginning January 01, 2021 and ending December 31, 2021

B Check if applicable.

Terminated for Business

Gross receipts are normally \$50,000 or less

C Name of Organization: SCIENCE COMMUNICATION  
INSTITUTE

2320 N 137th Street  
Seattle, WA 98133 US

D Employer Identification Number  
27-4690007

E Website:

<https://sci.institute>

F Name of Principal Officer: Glenn Hampson

2320 N 137th Street  
Seattle, WA 98133 US

**Privacy Act and Paperwork Reduction Act Notice:** We ask for the information on this form to carry out the Internal Revenue laws of the United States. You are required to give us the information. We need it to ensure that you are complying with these laws.

The organization is not required to provide information requested on a form that is subject to the Paperwork Reduction Act unless the form displays a valid OMB control number. Books or records relating to a form or its instructions must be retained as long as their contents may become material in the administration of any Internal Revenue law. The rules governing the confidentiality of the Form 990-N is covered in code section 6104.

The time needed to complete and file this form and related schedules will vary depending on the individual circumstances. The estimated average times is 15 minutes.

**This document is provided for your records only. Your Form 990-N (e-Postcard) has been submitted electronically. No further action is needed.**



# **OSI 2022 Annual Report**

Report on the 2022 Activities of the Open Scholarship Initiative

May 2023

## PROGRAM DIRECTOR'S STATEMENT

The Open Scholarship Initiative grew from a conversation about the future of open access on the ACRL listserv in the Fall of 2014. It officially took form in early 2015 thanks to support from the library and communications teams at George Mason University, and to a pledge of long-term financial support from UNESCO.

The first full year of OSI was devoted to laying the foundation for what we would try to accomplish, and to finding and recruiting high-level scholarly communication experts from around the world. The second two years—2016 and 2017—centered around learning and fact-finding, featuring two full-group conferences from which numerous papers were published, and thousands of insightful and substantive listserv exchanges. The next phase—2018 and 2019—focused on action planning. The final phase of OSI's work—2020 through 2025—has so-far centered around policy development and outreach. Policy implementation hasn't happened yet, but is also part of this final phase of OSI's work.

Filling an important need in our third year of policy development work, OSI's 2022 efforts focused primarily on recruiting for, designing, and carrying out the OSI2022 Global Surveys of Researchers. These surveys were needed to better inform our policy recommendations, particularly with regard to how these recommendations would best benefit and be received by the global research community. These surveys took place between February and August; survey analysis and report writing took the remainder of the year and into 2023.

Thank you to all the OSI participants who contributed to 2022's discussions and efforts. Thank you as well to the Science Communication Institute (SCI) board for allowing me to continue to devote full-time work to OSI.

Sincerely,

A handwritten signature in black ink, appearing to read 'Glenn Hampson', with a long horizontal flourish extending to the right.

Glenn Hampson  
Program director, OSI  
Executive director, SCI

## 2022 OSI HIGHLIGHTS

OSI's 2022 work was primarily centered on our global survey and policy development work, as described below:

- **OSI Research Communication Surveys:** OSI designed and launched two sets of surveys for researchers. The first survey, conducted between March and July 2022, was open to all researchers and involved completing a single set of questions. The second survey, conducted during July, involved answering four separate surveys over four weeks. Participants in the second survey included participants in the first survey plus a number of other prominent researchers who accepted OSI's invitation to participate. The goal of both of these surveys was to better understand researcher opinions about research communication—things like journal articles, peer review, and other methods and practices researchers use to prepare and share their work with other researchers and the general public. Survey analysis took place between September and December. The final version of this analysis (published in April 2023) is available online at <https://journals.gmu.edu/index.php/osi/article/view/3552>.
- **OSI Policy Perspective 6:** Glenn Hampson spent from September of 2022 to April of 2023 researching and writing a new policy report for OSI that lays out the next steps for global open access policy. This report was completed in April 2023; the published version is available online at <https://journals.gmu.edu/index.php/osi/article/view/3553>.
- **Outreach:** At the time of the writing of this report, Policy Perspective 6 is currently being emailed to policy leaders around the world. This outreach work is a 2023 activity, however, and will be described in OSI's 2023 annual report.

## PARTICIPANTS

Around 450 individuals have played a role in OSI's work since 2014. These individuals have mostly been high-level leaders in the scholarly communication space, representing over 250 institutions, 30 countries, and 18 different stakeholder groups (such as libraries, universities, funders, governments, and publishers). Not all 450 of these individuals have attended OSI conferences, written reports, or taken part in online conversations. Some of these 450 have been active participants, some are alumni (formerly active participants), and still others are observers (participants who have followed OSI's work but not actively contributed). The OSI website breaks down the participation status of each individual (note: this breakdown was last updated in 2019).

The OSI listserv is a rough proxy for how many individuals are still engaged to some degree in OSI's work, even if this just means keeping updated on the latest reports. At the end of 2022, the OSI listserv included 338 members. Over the six years of OSI's existence, the number of individuals on this listserv has ranged between about 350 and 400, losing a dozen or so



participants every year and gaining a dozen new participants. Although the number of listserv messages sent during 2022 was nowhere near peak levels from 2016-19, the OSI listserv remains important for occasional high-level peer-to-peer information exchange. Since the “thinking” portion of OSI has wrapped up, there are fewer occasions today for broad and involved conversations than in past years.

## **2023 AND BEYOND**

As noted in the introductory statement of this report, OSI is currently in the final phase of its lifecycle. After it was launched in late 2014, UNESCO pledged 10 years of support for OSI’s work, which was divided into four parts: laying the foundation (2015), learning and fact-finding (2016-17), action-planning (2018-19), and finally, policy development and implementation (2020-25).

For a number of legitimate reasons, UNESCO has been unable to maintain its financial support for this final phase, however (UNESCO has, however, kept OSI engaged in its open policy networks and decision-making processes), so amplifying OSI’s important policy recommendations has been challenging. The COVID crisis also dried up corporate support as companies protected their bottom lines, and as expensive in-person conferences were replaced by Zoom meetings.

SCI remains committed to continue managing OSI’s work for the full ten years, but there may not be much left to do: group conversation has mostly ended, OSI’s latest policy report may be the final policy recommendation from this group (depending on the report’s reception in the policy community), and there aren’t enough resources available (time or money) to do much more. A decision will be reached later this year whether to extend OSI’s work through the end of 2024, or whether OSI’s work will end sooner.

## **BUDGET**

OSI received \$6,120 in 2022, of which \$5,000 was a donation from Cabell’s, \$1,000 was a donation from the American Geophysical Union, and \$120 was in individual contributions to OSI. A total of \$5,000 was paid to Hampson for his full-time efforts for OSI. OSI received no other grants, sponsorships, or income.

To date, OSI has received \$397,395 in funding. Twenty-eight percent of this total has come from publishers, 24 percent from foundations, 23 percent from UNESCO, 18 percent from participants (in the form of conference registration fees), and the remaining six percent from individuals, universities, scholarly societies, and scholarly communication service companies. An important goal of OSI has been to avoid becoming “lopsided” in our funding in order to avoid

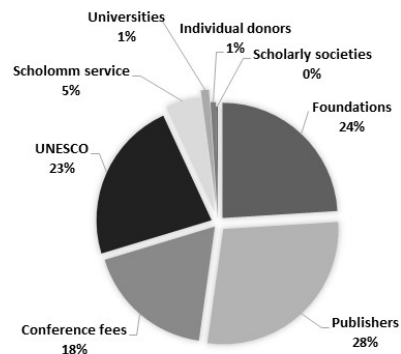
the appearance of bias (still, OSI’s financial contributors do not have any greater voice in OSI conversations than non-contributing OSI participants).

OSI has approached hundreds of potential funders over the years, from foundations to government grant agencies, to universities, businesses and individuals. For the most part, however, funding in this space has been very limited. There continues to be enthusiasm for funding ideologically directed work, but the kind of evidence-driven, inclusive, global work OSI has been doing since 2015 has not enjoyed sustained funding. Predictably, then, global open policy efforts today are mostly traveling down the road paved by lobbyist money from SPARC, the Arcadia Fund, and other groups who have been pushing for an open future shaped by their own particular vision of open, not by what researchers want and need, or by what the evidence suggests global open policy should look like. We are grateful to the following organizations for their support of OSI’s work over the years:

Source	2016	2017	2018	2019	2020	2021	2022
Alfred P. Sloan Foundation	\$20,000	\$20,000	\$20,000	\$0	\$0	\$0	\$0
American Geophysical Union	\$0	\$0	\$0	\$0	\$0	\$0	\$1,000
Cabell’s	\$0	\$0	\$0	\$0	\$5,000	\$0	\$5,000
Cactus Communications	\$0	\$0	\$0	\$5,000	\$0	\$0	\$0
Copyright Clearance Center	\$2,000	\$0	\$0	\$0	\$0	\$0	\$0
Delta Think	\$0	\$0	\$0	\$500	\$0	\$0	\$0
Doris Duke Charitable Foundation	\$0	\$25,000	\$0	\$0	\$0	\$0	\$0
Elsevier	\$7,500	\$20,000	\$10,000	\$5,000	\$0	\$0	\$0
Emerald Publishing Ltd.	\$0	\$0	\$0	\$1,000	\$1,000	\$0	\$0
George Mason University	\$4,500	\$0	\$0	\$0	\$0	\$0	\$0
Laura & John Arnold Foundation	\$5,000	\$0	\$0	\$0	\$0	\$0	\$0
Nature Publishing Group (Macmillan)	\$5,000	\$10,000	\$10,000	\$0	\$0	\$0	\$0
PressForward Institute (via Sloan)	\$5,500	\$0	\$0	\$0	\$0	\$0	\$0
Research Consulting Ltd.	\$0	\$0	\$0	\$1,000	\$0	\$0	\$0
ResearchMedia	\$500	\$0	\$0	\$0	\$0	\$0	\$0
Sage Publications	\$5,000	\$5,000	\$0	\$0	\$0	\$0	\$0
Taylor & Francis (Informa)	\$0	\$5,000	\$0	\$0	\$0	\$0	\$0
UNESCO	\$48,000	\$25,000	\$13,000	\$0	\$2,000*	\$2,500*	\$0
Wiley	\$7,500	\$10,000	\$10,000	\$0	\$0	\$0	\$0
Conference fees (@ \$500 ea)	\$58,000	\$14,000	\$0	\$0	\$0	\$0	\$0
Individual donations	\$350	\$300	\$0	\$375	\$875	\$875	\$120
<b>Total income</b>	<b>\$168,850</b>	<b>\$134,300</b>	<b>\$63,000</b>	<b>\$12,875</b>	<b>\$8,875</b>	<b>\$3,375</b>	<b>\$6,120</b>

\*Paid to OSI’s executive director, but the work involved was done by and funds directed to OSI.

Sponsor type	Funding (\$)	% of total OSI funding
Foundations	\$95,500	24.0%
Publishers	\$112,000	28.2%
Conference fees	\$72,000	18.1%
UNESCO	\$90,500	22.8%
Scholomm sector	\$19,000	4.8%
Universities	\$4,500	1.1%
Individual donors	\$2,895	0.7%
Scholarly societies	\$1,000	0.3%
Total	\$397,395	100%



## LEGAL STATUS

OSI was launched by and is a project of the Science Communication Institute, a US-based 501c3 nonprofit public charity (see sci.institute). Early in the lifecycle of OSI there was some talk about making OSI an independent entity, but in the end, OSI's advisors deemed it preferable to retain the built-in financial and legal umbrella that SCI was providing. SCI's tax filings over the years detail the cash flow in and out of OSI (to the extent warranted, since only a few of these filings have required full 990 forms as opposed to 990-N postcard filings). SCI also provides full-time content, outreach, moderation, and management support for OSI, nominally remunerated between 2015 and 2018, but mostly free of charge since 2018.