

Introduction

Thank you very much for filling in Part 1 of the Scoping the OA & OS Infrastructure (OSI) Landscape in Europe survey and for helping complete the picture of your OSI by taking the second part of this survey today.

To recap: Part 1 of the survey analyses the infrastructure offering in general and the contribution it makes to open principles.

Part 2 (Part 2a and Part 2b) will help gain a more in-depth understanding of your infrastructure's technical design, governance and sustainability solutions and challenges.

This part, 2b, focusses on Governance and Sustainability.

Invest in Open Infrastructure, SCOSS, and current and future funders will be able to refer to this information to draw conclusions around the overall health and challenges faced by OS infrastructure in Europe. It should also help funders develop effective funding strategies.

Taking the survey

We encourage the owner, director or coordinator of the OSI to complete this survey.

Although we would like you to answer every question, only those questions marked with an asterisk * are mandatory. You may withdraw from the survey at any time and will not be penalised.

The survey is in English. While we appreciate English responses, free-text questions may be answered in other languages. But note that we are dependent on automated tools to decipher these.

It will save you time if you have the following information on hand before you begin filling in the survey:

- Simple information on your community engagement and governance
- Basic information on financial and personnel resources, including top-level info on key expenses and revenues
- Information on how you are funded now, and across the lifecycle of the OSI

Completing the survey will take approximately 45 minutes.

[Download the PDF here.](#) Use this to prepare your input before filling it in online.

For questions, please reach out to survey@sparceurope.org.

Ethics and data protection policy

The survey questionnaire is managed by SPARC Europe. Answers will be reported in aggregate in a report; you will be asked whether you wish your responses to this part of the survey to be treated as confidential, in which case your data will not be shared beyond SPARC Europe and the project team responsible for analysing the survey. Otherwise, personal data will be removed before the dataset is deposited on Zenodo with a CC0 licence.

You may supply your name & contact details to be informed of the survey's outcomes & to answer any follow-up questions.

Deadline

Monday, 20 July 2020

General information

* 1. I understand and agree to participate in this survey

Yes

No

* 2. Respondent Name

* 3. Respondent Email

* 4. We recognise that some OSIs may view their financial information as sensitive. Do you wish your responses to this survey (Part 2b only) to be treated as confidential?

No, I am happy for my responses to Part 2b to be made openly available

Yes, please treat my responses to Part 2b in confidence for research purposes only

General Information

* 5. Name of the Open Access & Open Science/Scholarship Infrastructure (OSI), including acronym

Community engagement

* 6. Who are your stakeholders? I.e. Who do you work with or is impacted by your work? Please rate them by order of importance if you can

- Advisory or governing board
- Funders
- Government
- Journalists
- Libraries
- Members
- Publishers
- Researchers
- Research managers
- Service providers, other than publishers
- Software developers
- Students
- Volunteers (development work)
- Volunteers (non-development work)
- Other (please specify)

7. How frequently do you engage with your stakeholders? Choose the closest option

	Never	Ad hoc	Annually	Monthly	Weekly or more frequently
Advisory or governing board	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Funders	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Government	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Journalists	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Libraries	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Members	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Publishers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Researchers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Research managers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Service providers, other than publishers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Software developers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Students	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Volunteers (development work)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Volunteers (non-development work)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Other (please specify)

8. When was the last time you surveyed your stakeholder communities about their needs related to your OSI?

- Within the last year
- Within the last two years
- Within the last five years
- More than 5 years ago
- Never

Community engagement. Governance

* 9. Does your OSI have a Board, Steering Group or Advisory Committee or equivalent?

Yes

No

Community engagement: Governance

10. Please describe the governing structure(s) of your OSI. I.e. in plain language, how are decisions taken?

11. Which stakeholder group(s) is/are represented on the board/or governance groups?

- Funders
- Learners
- Libraries
- Members
- Publishers
- Researchers
- Research managers
- Service providers other than publishers
- Software developers
- Volunteers (non-development work)

Community engagement: Reporting

12. Does the OSI regularly report to the OSI's internal and/or external stakeholders on the organisation's activities and finances?

Yes

No

Community engagement: Report.

13. How do you report to your stakeholders? Select any that are appropriate

- Annual report
- Periodic report (other than annual)
- Annual financial report
- Contingency report
- Risk report
- Web-based report such as dashboard
- Other (please specify)

Resourcing your OSI: Your personnel resources

14. Approximately how many FTE currently support your OSI?

- Less than 0.5 FTE
- 0.5 - 1FTE
- 2 - 5 FTE
- 6 - 10 FTE
- Over 10 FTE

15. Do you use volunteers? This might include code contributors as well as others

- Yes
- No

Resourcing your OSI: Volunteers

16. How would you describe your level of reliance on volunteer effort?

- High level of reliance
- Medium level of reliance
- Low level of reliance
- N/A

17. If you have volunteers, what do volunteers do?

18. Who manages volunteers?

Resourcing your OSI: Financials

19. Does the OSI begin each fiscal year with an approved budget?

- Yes
 No

20. What was your revenue in your last fiscal year? (in euros)

- Less than 50 000
 50 000 to 99 000
 100 000 to 499 000
 500 000 to 999 999
 1m to 2 million
 2m to 5 million
 More than 5 million

21. How have you covered the costs of running your OSI over the last 2 years? Select all that apply

- | | |
|-------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Membership fees | <input type="checkbox"/> Conference income |
| <input type="checkbox"/> Subscription fees | <input type="checkbox"/> Subcontracts on grants to partner institutions |
| <input type="checkbox"/> Service fees, incl. per-item fees such as APCs | <input type="checkbox"/> High net worth individuals or family foundations |
| <input type="checkbox"/> Contracts/consulting | <input type="checkbox"/> Donations (e.g. from companies; NOT from high net work individuals or family foundations) |
| <input type="checkbox"/> European Commission grants | <input type="checkbox"/> Host subsidy (including host in-kind contributions) |
| <input type="checkbox"/> Private foundation grants | <input type="checkbox"/> In-kind contributions |
| <input type="checkbox"/> Local government grants | <input type="checkbox"/> Interest |
| <input type="checkbox"/> National government grants | |
| <input type="checkbox"/> Other (specify) | |

22. What are the 3 most important sources of income that have supported your OSI over the last 2 years?

- | | |
|-----------------------------------------------------|--------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> Membership fees | <input type="checkbox"/> Conference income |
| <input type="checkbox"/> Subscription fees | <input type="checkbox"/> Subcontracts on grants to partner institutions |
| <input type="checkbox"/> Service fees | <input type="checkbox"/> High net worth individuals or family foundations |
| <input type="checkbox"/> Contracts/consulting | <input type="checkbox"/> Donations (e.g. from companies; NOT from high net work individuals or family foundations) |
| <input type="checkbox"/> European Commission grants | <input type="checkbox"/> Host subsidy (including host in-kind contributions) |
| <input type="checkbox"/> Private foundation grants | <input type="checkbox"/> In-kind contributions |
| <input type="checkbox"/> Local government grants | <input type="checkbox"/> Interest |
| <input type="checkbox"/> National government grants | |
| <input type="checkbox"/> Other (specify) | |

23. How much was invested in / granted in your last fiscal year? (in euros)

- Less than 50 000
- 50 000 to 99 000
- 100 000 to 499 000
- 500 000 to 999 999
- 1m to 2 million
- 2m to 5 million
- More than 5 million

24. Are you planning for a substantial change in revenue streams over the next years?

- Yes
- No
- Don't know

25. Do you anticipate any financial impact due to Covid-19?

Resourcing your OSI: Your expenses

26. What expenses does your OSI have?

- | | |
|-----------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| <input type="checkbox"/> Salaries/Benefits | <input type="checkbox"/> Marketing, communication and advertising |
| <input type="checkbox"/> Subcontracting | <input type="checkbox"/> Fundraising |
| <input type="checkbox"/> Rent and utilities | <input type="checkbox"/> Training |
| <input type="checkbox"/> Equipment | <input type="checkbox"/> Travel and meetings |
| <input type="checkbox"/> Supplies | <input type="checkbox"/> Governance costs |
| <input type="checkbox"/> Telecommunications | <input type="checkbox"/> Financial administration |
| <input type="checkbox"/> Hosted computing costs (e.g. AWS, Azure, Google compute, etc.) | <input type="checkbox"/> Debt service |
| <input type="checkbox"/> Other (please specify) | |

27. What are your three main expenses?

- | | |
|-----------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| <input type="checkbox"/> Salaries/Benefits | <input type="checkbox"/> Marketing, communication and advertising |
| <input type="checkbox"/> Subcontracting | <input type="checkbox"/> Fundraising |
| <input type="checkbox"/> Rent and utilities | <input type="checkbox"/> Training |
| <input type="checkbox"/> Equipment | <input type="checkbox"/> Travel and meetings |
| <input type="checkbox"/> Supplies | <input type="checkbox"/> Governance costs |
| <input type="checkbox"/> Telecommunications | <input type="checkbox"/> Financial administration |
| <input type="checkbox"/> Hosted computing costs (e.g. AWS, Azure, Google compute, etc.) | <input type="checkbox"/> Debt service |
| <input type="checkbox"/> Other (please specify) | |

28. What were your expenses for this OSI in your last fiscal year? (in euros)

- Less than 50 000
- 50 000 to 100 000
- 100 000 to 500 000
- 500 000 to 1m
- 1m to 2 million
- 2m to 5 million
- More than 5 million

The sustainability of your OSI

29. Who has granted you funds for development work in the last 5 years? List your top 5 funders with the largest contributors ranked first (where applicable)

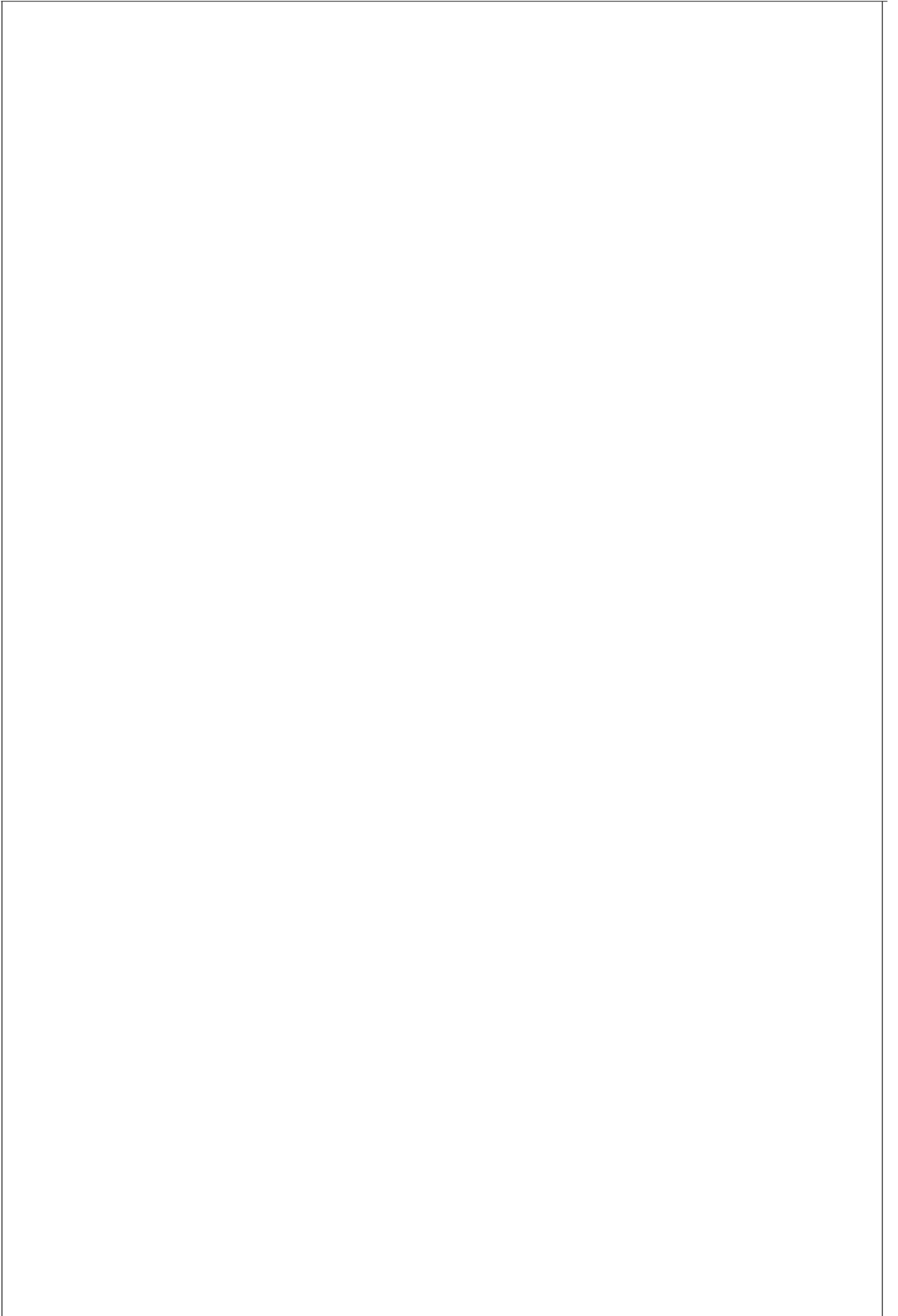
1.	<input type="text"/>
2.	<input type="text"/>
3.	<input type="text"/>
4.	<input type="text"/>
5.	<input type="text"/>

30. Who has granted you funds for operations? List your top 5 funders with the largest contributors ranked first (where applicable)

1.	<input type="text"/>
2.	<input type="text"/>
3.	<input type="text"/>
4.	<input type="text"/>
5.	<input type="text"/>

31. How did you identify your funders (tick all that apply)? Through:

- Crowdfunding platforms
- Events and conferences
- Funding/grant directories
- Institutional research offices
- Intermediaries involved in Open Science
- Other online funding resources
- Personal network
- Social media
- Other (please specify)



Sustaining your OSI: Locating funders

32. If you used a funding directory, another online funding resource or a crowdfunding platform, please specify which here

Sustainability of your OSI

33. Without grant funding, how long could the OSI as such remain viable?

- Less than a month More than a year
- Less than six months Our OSI does not rely on grant funding
- Less than a year

34. How would receiving no grant funding in future, affect you?

35. Which of the following best describes the OSI's current reality? Choose as many as apply.

- Operational deficit is covered by grants or sponsored projects
- It operates with a break-even cash flow from earned income
- It generates a surplus
- Other (specify)

The sustainability of your OSI.

36. If you regularly generate a surplus, what do you use this for?

Closing

37. What are your 3 key greatest challenges related to your sustainability?

1.

2.

3.

38. If you would like to provide additional information about this OSI, or feedback regarding this survey, please do so here.