Incentivizing Alignment

academic values and publishing services
• What values should underpin the services offered in scholarly communication and publishing?
• How do we agree what values matter?
• Can we -- and should we -- assess and evaluate how services align with particular values?
Project Goals Include:

- improving publishing pathways and services for authors, editors, and readers
- increasing choice, opportunity, and innovation via compelling library publishing solutions
- creating a more balanced scholarly publishing ecosystem that aligns with academic values

Learn more: http://bit.ly/nglp-home
Are there common values and principles across the many statements in scholarly communication that we can distill to a manageable, defineable set?

Are there mechanisms that enable those who espouse these values (e.g., service providers and publishers) to also evidence their alignment with them?
Abundance of values/principles documents, (declarations, charters, manifestos)

- Opt-in, often by signing or signaling
- Compliance is unregulated
- Lots of consistency in what values are prioritized
- Many models in other fields we can learn from
### Common Values

- Financial and Organizational Sustainability
- Openness
- Representative Governance
- Equity, Accessibility, and Anti-Oppression
- Sharing of Knowledge
- Transparency
Assessment Models

- Standards for Excellence: Ethics and Accountability Code
- Principles and Practices for Nonprofit Excellence
- B Impact Assessment
- Trustworthy Digital Repositories (ISO 16363/TDR)
- Key Selection Criteria of the French Open Science Committee
Recognize growth and progress, not just results
Identify strengths not just deficits
Center aspirations, not just descriptions of current status
Account for differences in organizational maturity and mission
Provide enough structure to incentivize alignment, but not so much rigidity as to create artificial barriers to entry in the marketplace
FOREST Framework
for Values-Driven Scholarly Communication

Sarah Lippincott and Katherine Skinner

**FOREST RESPONSIBLE GOVERNANCE**

- Include stakeholders in decision-making and oversight
  - Establish a committee to support goals and oversee activities and progress
  - Engage and communicate with external stakeholders
  - Engage and communicate with internal stakeholders
  - Include the community in all stages of decision-making and oversight

- Encourage participation and input from community stakeholders
  - Engage stakeholders in decision-making and oversight
  - Include community stakeholders in all governance processes
  - Include community stakeholders in decision-making and oversight

- Engage stakeholders in fiduciary oversight and management accountability
  - Engage stakeholders in fiduciary oversight and management accountability
  - Include community stakeholders in all governance processes
  - Include community stakeholders in decision-making and oversight

- Ensure that stakeholder representative voices change over time
  - Include community stakeholders in all governance processes
  - Engage stakeholders in fiduciary oversight and management accountability
  - Engage stakeholders in decision-making and oversight
Review the principles and indicators

<table>
<thead>
<tr>
<th>FOREST TRANSPARENCY</th>
</tr>
</thead>
<tbody>
<tr>
<td>T1 Offer full and honest accounting of business identity and governance structure</td>
</tr>
<tr>
<td>a publicly document any official business identity (including host, fiscal sponsor, or other arrangement) and governance structure</td>
</tr>
<tr>
<td>b give stakeholders insight into community governance</td>
</tr>
<tr>
<td>c disclose funding sources and conflicts of interest</td>
</tr>
<tr>
<td>T2 Communicate quickly, proactively, and thoroughly</td>
</tr>
<tr>
<td>a openly acknowledge mistakes or harm and share how community will mitigate them in the future</td>
</tr>
<tr>
<td>b allow and encourage questions, dissent, and critique</td>
</tr>
<tr>
<td>T3 Employ consistent, clear, and fair pricing and terms and conditions for products and services</td>
</tr>
<tr>
<td>a publicly share contract terms and conditions for all products and services</td>
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<tr>
<td>b publicly share pricing for all products and services</td>
</tr>
<tr>
<td>c prohibit the use of non-disclosure agreements</td>
</tr>
<tr>
<td>T4 Describe in public, accessible, and easy-to-understand ways how personal data is captured, processed, used, and protected</td>
</tr>
<tr>
<td>a publicly share policies regarding the collection and use of user data or personal information</td>
</tr>
<tr>
<td>b limit collection of user data to the minimum required for service provision</td>
</tr>
<tr>
<td>c prohibit the selling of user data or insights derived from user data</td>
</tr>
<tr>
<td>d follow industry-standard protocols for data anonymization*</td>
</tr>
<tr>
<td>e allow users to easily opt out of data collection*</td>
</tr>
</tbody>
</table>

FOREST Framework for Values-Driven Scholarly Communication

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* Adherence to this indicator applies to mature or well-established communities

Slide by Sarah Lippincott
Collect evidence and rate progress

- c. disclose funding sources and conflicts of interest
  - Inventory of funding sources
  - Acknowledgment of conflicts of interest

- a. openly acknowledge mistakes or harm and share how community will mitigate them in the future
  - Examples of communication with stakeholders
Reflect on values and plan actions

FOREST TRANSPARENCY

These prompts are intended to spark engagement and reflection about how each principle relates to your community’s mission and activities and where meaningful investments can improve the community’s alignment with the principle.

T1 Offer full and honest accounting of business identity and governance structure

- Do our average stakeholders have a clear understanding of our community’s mission and priorities?
- Do our average stakeholders understand how our community makes decisions?
- Who has influence within our community? Is influence fairly exercised?

T2 Communicate quickly, proactively, and thoroughly

- Does our community avoid addressing difficult news, mistakes, or challenges with our stakeholders?
- How does our community ensure we reach our full range of stakeholders with our communications?

T3 Employ consistent, clear, and fair pricing and terms and conditions for products and services

- How does our pricing model provide value for our paying customers or members?
- Does our community’s staff understand how and why prices are set? How about our clients and partners?
- Do similar clients and partners benefit from similar pricing?
- How does our pricing model reflect our community’s values?

T4 Describe in public, accessible, and easy-to-understand ways how personal data is captured, processed, used, and protected

- For what purposes and in what contexts does our community collect user data?
- How does our community balance privacy and the collection of useful user data (e.g., analytics that help us better serve our stakeholders)?
- What concerns might our stakeholders have about how we collect and use their data?
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Thank You!

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