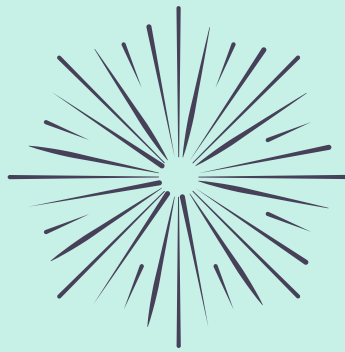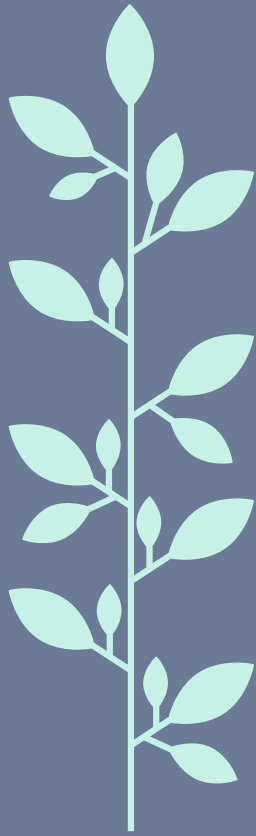# LIVING OUR VALUES AND PRINCIPLES:

Annotated Bibliography

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AUTHOR:
Brandon Locke

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Author: Brandon Locke

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Annotated Bibliography

Values and Principles Documents

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- Altman, M. and C. Bourg, "A Grand Challenges-Based Research Agenda for Scholarly Communication and Information Science," MIT Grand Challenge PubPub Participation Platform (2018), https://doi.org/10.21428/62b3421f.
  - ○ [Primary focus here is the Incorporating Values of Openness, Sustainability, and Equity into Scholarly Infrastructure and practice section.] Argues for the development of infrastructure that is imbued with values of scholarship, rather than entities that exist for the purpose of making a profit. The profit incentive of companies drives them to collect data on users and by being opaque about proprietary algorithms and practices, both of which go against central library values. Through integrating research with practice and infrastructure development, we must critically examine and document unintended consequences of infrastructure decisions (e.g. discovery and access issues created by proprietary infrastructure, incentives to use open, interoperable technology, support adoption at local level while scaling up).

- Bosman, J.; Bruno, I.; Chapman, C.; Tzovaras, B.; Jacobs, N.; Kramer, B.; Martone, M.; Murphy, F.; O'Donnell, D.; Bar-Sinai, M.; Hagstrom, S.; Utley, J.; Veksler, L. (2017). "The Scholarly Commons - principles and practices to guide research communication," OSF Preprints, https://osf.io/6c2xt.
  - ○ This paper provides the background principles, drafting process, and deeper explanation for the scholarly commons as described by the FORCE11 Scholarly Commons Working Group. The authors argue for a scholarly commons where knowledge producers and users create a common pool of resources that can be freely used by anyone. The commons is governed by a set of principles and rules for scholarly researchers, librarians, developers, and other stakeholders to ascribe to will help to guide the growing pool of resources, tools, and services as they develop into an alternative system to the status quo. The principles they developed through synthesizing feedback from workshops start out with the vision that scholarly communication is as open and participatory as possible, and hoped that the principles could be the framework for agreements on work, a guide on deciding how to do research, and eventually serve as badging for commons-compliant activities, tools, and organizations. The piece closes with a call to action in the areas of inclusivity, further advancement of the principles, examining and sharing

how the scholarly commons looks in practice, and continuing the conversation around these topics.

Scholarly communication has seen a variety of useful tools and services developed over the past 25 years to solve specific issues for particular domain groups, but the way they fit together or have alternatives for each part of the system leave questions open about the ultimate usefulness, openness and values, and sustainability. The authors report from a series of workshops and working groups where participants imagine the scholcomm world they want to see, and meditated on principles and values ascribed to that world, evaluated existing works for commons-compliant principles, The authors propose a scholarly commons—a set of principles and values agreed upon by knowledge producers and users: 1) research and knowledge should be freely available to all who wish to use or reuse it (open, FAIR, and citable); 2) participation in the production and use of knowledge should be open to all who wish to participate; 3) there should be no systemic barriers and disincentives to prevent either such free use or open participation.

- Brock, J. "'A Love Letter to Your Future Self': What Scientists Need to Know About FAIR Data," *Nature Index*, February 11, 2019, https://www.natureindex.com/news-blog/what-scientists-need-to-know-about-fair-data
  - Many scientific institutions have embraced the idea that data should be FAIR (Findable, Accessible, Interoperable, Reusable), but a 2018 study found that only 15% of researchers were familiar. The piece further outlines the benefits of FAIR, primarily the value of metadata, a good repository, and licensing as crucial steps researchers should take to enable data reuse.

- Crotty, D. "Building for the Long Term: Why Business Strategies are Needed for Community-Owned Infrastructure." *Scholarly Kitchen: What's Hot and Cooking in Scholarly Publishing*, Aug 1, 2019, https://scholarlykitchen.sspnet.org/2019/08/01/building-for-the-long-term-why-business-strategies-are-needed-for-community-owned-infrastructure/
  - Crotty argues that developing a business plan in community-owned infrastructure is an absolute necessity to ensure sustainability of projects. Given the recent acquisitions by commercial publishers, there is a new urgency in open source, community-owned infrastructure. The author highlights two important points from Skinner's Red Queen's Race as being reasons for the importance of a business model at the outset of a project. First, maintenance is especially difficult because it is not covered by funders, meaning that projects can fizzle and fall apart shortly after the grant period. Second, many projects rely on volunteers working in their spare time , leading to burnout, inefficiencies, and ethical issues. Challenges to

developing business acumen are the cost of consultants and executives and the learning curve of business is steep, but the author notes that there may be opportunities to work with NFF or to develop shared resources for the scholarly research community.

- Fitzpatrick, Kathleen. Generous Thinking: A Radical Approach to Saving the University. Johns Hopkins University Press (2019). Chapter 1: On Generosity.
  - Throughout the book, Fitzpatrick argues for an academy that is more rooted in building and improving ideas together, rather than viewing the scholarly endeavor as one of competition and individualism. In Chapter 1, the author parses through several key terms to investigate more deeply how they are commonly used. On "Values," Fitzpatrick cautions that values pose as universals when they are often distinctly local. For example, while civility is held as a near-universal community standard, in practice it is often used to quiet dissent and protest. We must be clear about what we mean in values statements, and not assume that everyone takes the same message away.

- Goodman-Wilson, Don. "Open Source is Broken." Hackernoon. (2019). https://hackernoon.com/open-source-is-broken-8a2h62e9e
  - Goodman-Wilson argues that we must center humans (not needs of business) in software development, and make humans the center of the value system. The author argues that we may talk a lot about "Open Source values," but this signifier prizes the "freedom" of code (and the consumer of the code) above all else, rather than the needs, values, and well-being of the humans who make and maintain the software. The piece also discusses OSS creators' inability to do anything to stop use of their software by large corporations (Amazon), and those who commit human rights atrocities (US Immigration & Customs Enforcement). Goodman-Wilson analyzes OSS values through the lens of Scanlon's contractualist theory of morality—we should discard openness as an axiom and think about ways to collaboratively build that do not make community members an accessory to horrors. While the author describes several potential steps to improve shared software, including Ethical Source, Maintainerati, Hippocratic License, they leave the conclusion fairly open in terms of human-centered development.

- Joseph, H. "Securing Community-Controlled Infrastructure: SPARC's Plan of Action," College & Research Libraries News, 79(8), 426, September 2018, DOI: https://doi.org/10.5860/crln.79.8.426
  - With Elsevier's acquisition of Digital Commons, SSRN, and Mendeley, it is increasingly clear that commercial players are looking to purchase infrastructure and platforms across the research and scholcomm world, and this signals skyrocketing costs and a lack of control for libraries in the

immediate future. Joseph and Shearer (COAR) wrote a post calling for their organizations to articulate their vision for the future of scholcomm, including principles and actions to ensure that scholcomm is community supported and owned. This led to a discussion of SPARC members, and for the development of three proposed suggestions for the SPARC 2018 Program Plan: 1) invest in high-level market expertise to produce a strategic analysis/action plan to identify vulnerability in commercial plans, 2) redefine parameters for commercial arrangements (making relationships with vendors more equitable), and 3) Revisiting our repositories, looking for ways to ensure community control and values of openness, innovation, diversity, and equity.

- Montgomery, L. et al. (2018) *Open Knowledge Institutions: Reinventing Universities.* Chapter 8: Policies. https://wip.mitpress.mit.edu/pub/oki-ch8
  - Policy and governance mechanisms guide interactions and decision making and introduce control to inconsistent and chaotic institutions, and open knowledge institutions must have flexible, inclusive, and transparent policies to deal with fluctuations and local contexts. While policy has progressed from advocacy to mandates in many open areas, these do not work for many research contexts (e.g. medical research), and often cause conflict—we must allow for institutionally governed conflict that protects diverse participants when open policy and governance is being created and administered. The authors articulate 6 principles that can guide policy and governance, creating a culture of community builders and facilitators, not executives who stand alone in determining strategy. The authors argue that this bottom-up approach to open knowledge institutions can help to facilitate greater openness of knowledge between many different partners across differences in culture and context, politics, resourcing, and local priorities, by shaping needs rather than shutting them out.

- Peters, P. "A radically open approach to developing infrastructure for Open Science," *Hindawi Blog*, October 23, 2017, https://about.hindawi.com/blog/a-radically-open-approach-to-developing-infrastructure-for-open-science/
  - The author, CEO of Hindawi, argues for the possibility of commercial providers to develop and maintain open scholarly infrastructure. While the author notes many commercial providers have objectives that are at odds with the communities they serve, he argues for a service-based business model that does not require ownership of infrastructure or create dependencies on any single provider. Peters argues that such a model would need to value the principles of Open Source, Open Data, Open Integrations, and Open Contracts. Open Source means more than an open source license,

but also an active community of users and service providers maintaining the infrastructure (like Moodle). Open Data includes metadata about the research process itself, such as funding, publication and citation, and altmetrics. Open Integrations means that the infrastructure must integrate other tools and services using standard metadata and open APIs. Open Contracts means that service is free from unnecessary lock-ins, and there are no non-disclosure agreements or privately negotiated prices.

- Pooley, J. "Scholarly Communications Shouldn't Just be Open, But Not-Profit Too," *LSE Blog*, August 15, 2017, https://blogs.lse.ac.uk/impactofsocialsciences/2017/08/15/scholarly-communications-shouldnt-just-be-open-but-non-profit-too/
  - It is clear that new forms of scholarly communication are forming, and there is currently a contest underway between non-profit platforms and initiatives and projects funded by legacy publishing and Silicon Valley venture-capital. Pooley calls for us to throw our weight behind the non-profits, centered on scholarly values, rather than "30% Elsevier-style profit margins." Though much of the rhetoric from both the for-profit and nonprofit infrastructure wings circles around the idea of "open," the author argues that the profit motive is fundamentally misaligned with the core values of academic life, potentially corroding ideals like unfettered inquiry, knowledge-sharing, and cooperative progress. Pooley calls for both a redirection of funds to scholar-run platforms, and for boycotts and public call-outs when we see for-profit companies working in opposition to scholarly values.

- Robinson, D. "What is Open?" *Open Source Alliance for Open Scholarship Handbook*, 2018, https://osaos.codeforscience.org/what-is-open/
  - The post was written in order to define the terms the Open Source for Open Scholarship community uses to frame their work, as these terms can mean many things to many different people. "Open" is often used to modify a term, and implies a difference from conventional, closed or non-transparent approach; but there are many unintended or unacknowledged barriers, and ethical considerations that need to be involved in the process of opening. "Open scholarship" is an umbrella term that includes open research, open science, open access, and many more methods to make scholarship and its products transparent. "Open source" allows practitioners to bake transparency into the process by using software that others can use, understand, and critique, but also includes things outside of software like transparent governance and funding information.

- Schlosser, M and Mitchell, C. "Academy-owned? Academic-led? Community-led? What's at Stake in the Words We Use to Describe New Publishing Paradigms," *LPC*

Blog, February 6, 2019,
https://librarypublishing.org/alpd19-academy-owned-academic-led-community-led/

- Scholarly communication circles often use imprecise language to describe infrastructure and projects, but these terms have very important distinctions, and the misuse of descriptors make it difficult to have a well-defined agenda. These vague agendas can easily be co-opted by those who don't share the same values and goals. "Academy-owned" refers to large-scale, academy-controlled publishing infrastructure, or the establishment of national publishing programs run by academic presses and libraries, or even consortial funding. "Academic-led" suggests that the agency is with the researcher, rather than the institution, but researchers often publish with for-profit publishers, and have little incentive to do otherwise. "Community-led" is a term that signals a more inclusive approach that may include many people and organizations outside of the academy, but it is also imprecise and leads to practical questions about community definitions, governance, funding, and infrastructure. Even "publishing" is a term that may mean greatly different things, including ownership or copyright, access, and editorial autonomy.

- Schroeder, R. and Siegel, G. "A Cooperative Publishing Model for Sustainable Scholarship," *Journal of Scholarly Publishing* 37(2): 86-98 January 2006, DOI: https://doi.org/10.3138/jsp.37.2.86
  - Schroeder and Siegel take a deep dive into the cooperative business model by tracing the history of the modern cooperative, and analyzing some current initiatives in scholarly publishing (SPARC, Open Access, Profit Driven, German Academic Publishers Project), finding that many partially utilize cooperative business practices, but none have adopted the model in totality. In 1844 in Rochdale, England, a group of tradesmen came together to open a cooperative store that was not the first of its kind, but that had unique cooperative principles that have proved to be enduring and important. These principles have been revised and affirmed over time, and were last issued in 1995 by the International Cooperative Alliance: voluntary and open membership; democratic member control; member economic participation; autonomy and independence; education, training, and information; co-operation among cooperatives; and concern for community. Co-ops have thrived in the EU and US (only places mentioned by the article), and include housing, credit unions, mutual insurance, utilities, and agriculture, among other industries. Non-commercial scholarly publishing also has a long history, but could better control scholarly dissemination through cooperative university-supported publishing. Co-ops are a good fit for scholarly communication, because scholars are the primary producers and consumers, and it is in the academy's best interests to keep production and distribution

costs down.

- Skinner, K. "Why Are So Many Scholarly Communication Infrastructure Providers Running a Red Queen's Race?" *Educopia Institute Blog*, July 23, 2019. https://educopia.org/red-queens-race/
  - Following the publication of "Mapping Scholarly Communication Infrastructure," Skinner is sharing observations about the nature of scholarly communication infrastructure and governance that are slightly more speculative and less explicitly data-based than the report. Skinner highlights several ways in which academy-owned/led communities are expending lots of time and energy and not really moving forward. 1) We are chronically underfunded and understaffed: initiatives are always underfunded and understaffed, and that often means that users must expend more time and energy to make it work, leading to burn out. 2) Our planning and strategy focus more on innovation than maintenance: much of the technical infrastructure is written with funder desires in mind, not users, and there is an emphasis on new bells and whistles, not updates and maintenance. 3) We often compete for one another for scarce resources: we have lots of new platforms and services that fill very similar needs, meaning resources are distributed across many initiatives that are struggling, rather than ensuring that infrastructure is getting adequate resources. 4) Support is contingent and attention is fleeting: we are always looking at the 'rising stars' and looking for the newest thing, rather than stable and dependable programs. 5) We depend on leaders who are not trained in basic business functions: very few leaders have ever been trained in business management, and there isn't much professional development either. 6) We lack assessment and accountability: besides grant requirements, there is little assessment or auditing. Skinner notes SCOSS as a role model for approaching this in a formative, non-punitive manner, and also cites Mapping the Scholarly Communication Landscape 2019 Census report as a process for helpful feedback and justification. 7) We don't know how much money we currently spend on scholcomm: we haven't explored our own market power—getting a better sense of this can help address historical and current inequities in access.

- Wilkinson, Mark D., et. al., "The FAIR Guiding Principles for Scientific Data Management and Stewardship." *Scientific Data* 3: 160018 March 15, 2016, DOI: http://doi.org/10.1038/sdata.2016.18
  - Good data management is not just a goal itself, but a precondition for knowledge discovery and innovation; however "good data management" is largely undefined, and not always supported by our existing digital ecosystem. FAIR Data Principles (Findability, Accessibility, Interoperability, Reusability) were developed by diverse stakeholders in publishing, academia,

industry, and funding agencies to develop a concise and measurable set of principles for scholarly data sharing. Contributors recognized that both humans and machines were having an increasingly difficult time finding, accessing, and using research data, and sought to develop standards to improve practices. Many datasets can't be submitted to deeply integrated special purpose repositories, and general repositories are increasingly used, making discovery and re-use more difficult in an ecosystem that is moving away from centralization and integration. FAIR principles apply not only to data, but also algorithms, tools, workflows and digital research objects throughout the research process. The article also includes an analysis of a number of data repositories and the ways in which they embody FAIR principles.

Related documentation

- A Standard for Trusted Digital Repositories - TRAC and the ISO standard https://www.crl.edu/archiving-preservation/digital-archives/metrics-assessing-and-certifying/iso16363 (contains links to early RLG materials and to the eventual ISO standard)
- Educopia's *Community Cultivation Framework and Field Guide* https://educopia.org/cultivation
- LYRASIS's *It Takes a Village* https://www.lyrasis.org/programs/Pages/IMLS-OSS.aspx
- *Standards for Excellence: An Ethics and Accountability Code for the Nonprofit Sector* https://standardsforexcellence.org/Home-2/code (adopted by AL, DC, MD, OK, PN)
- Together SC's *Guiding Principles and Best Practices for South Carolina Nonprofits* https://www.togethersc.org/guiding-principles-and-best-practices
- National Council of Nonprofits's listing of "principles and practices" documentation for nonprofits https://www.councilofnonprofits.org/tools-resources/principles-and-practices-where-can-you-find-best-practices-nonprofits
- List of charters created since 1986 addressing scholarly communication and knowledge creation (from Bosman, J; Bruno, I; Chapman, C; Greshake Tzovaras, B; Jacobs, N; Kramer, B; Martone, M, "The Scholarly Commons - Principles and Practices to Guide Research Communication." OSF PrePrint September 15 2017, osf.io/kbuq6, DOI: 10.31219/osf.io/6c2xt) https://docs.google.com/spreadsheets/d/1-aRXFiRg-VL9hpLpxoJqX6-OC-A0R2oCogHfIx52Nug/edit#gid=956616118
- *Design Justice Network Principles* (2018) https://designjustice.org/read-the-principles
- University of California Libraries Scholarly Transformation Advice & Review (STAR) Team Charge (2020). https://libraries.universityofcalifornia.edu/sclg/star/charge