FOREST Framework
for Values-Driven Scholarly Communication

Sarah Lippincott and Katherine Skinner

NEXT GENERATION LIBRARY PUBLISHING

ARCADIA A CHARITABLE FUND OF LISBET RAUSING & PETER BALDWIN

CDL University of California California Digital Library

COAR Confederation of Open Access Repositories

EDUCOPIA INSTITUTE Community Cultivators

LONGLEAF SERVICES

JANEWAY

Stratos

Photo by Mark Fairhurst, Unsplash

Publication Notes

Title: FOREST Framework for Values-Driven Scholarly Communication

Authors: Sarah Lippincott and Katherine Skinner

Publisher: Educopia Institute, 235 Peachtree Street, Suite 400, Atlanta, GA 30303

Suggested Citation: Lippincott, Sarah and Katherine Skinner. *FOREST Framework for Values-Driven Scholarly Communication.* Atlanta, Georgia: Educopia Institute, 2022.

Contents

FOREST Framework
for Values-Driven Scholarly Communication

Introduction

This FOREST Framework is intended to help scholarly communication organizations and communities to demonstrate, evaluate, and ultimately improve their alignment with key values, including:

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

These six core values have appeared in dozens of manifestos, open letters, and other statements issued by a broad range of academic stakeholders, including faculty, students, publishers, librarians, and open source tool developers. They were selected, defined, vetted publicly, and refined by the Next Generation Library Publishing team.

The FOREST Framework offers concrete mechanisms that communities can use to assess how their policies and practices align with these values and their associated principles. The framework has been designed to recognize growth and progress (rather than just results), identify strengths (rather than only deficits), and center aspirations (rather than descriptions of the current state). The framework therefore strives to account for differences in organizational maturity and mission, recognizing that these may influence the implementation of values and principles. Accountability assessment must strike a tough balance by providing enough structure and information to engender trust, guide investments, and incentivize alignment with shared principles and standards but not be so rigid as to create artificial barriers to entry into these marketplaces.

The FOREST Framework combines evaluation with reflection, providing a structure and process for communities to not only gauge their adherence, but engage with critical questions such as:

What values does my community hold?

How do we currently demonstrate and communicate our commitment to these values?

Through what actions can we manifest these values more effectively?

How do our actions and decisions affect other participants in the scholarly communications system?

What improvements to our community are reasonable and appropriate given our community's lifecycle stage or maturity?

The FOREST Framework treats values and their associated principles "not as truth but as guidance subject to ongoing review, contextual evidence, critical reflection, learning, and revision."* Values and principles carry the most weight when they are defined and regularly revisited by the community. The FOREST Framework will need to be refined and revised, integrating new community norms and continuing to push the envelope on aspirational goals for the scholarly communications sector over time.

The following pages provide detailed guidance on using the Framework as a tool for self-assessment.

FOREST Framework
for Values-Driven Scholarly Communication

* Michael Quinn Patton. *Principles-Focused Evaluation: The GUIDE*. New York, NY: The Guilford Press, 2018.

Self-Assessment Guidelines

This self-assessment toolkit allows scholarly communication **communities** and their **stakeholders** to evaluate a community's alignment with the FOREST values.

Community A formalized organization or informal group, nonprofit or for-profit, that works within the scholarly communication system. Communities come in all shapes and sizes, from individual journals, to universities, to volunteer open-source software maintainers.

Stakeholders Faculty, students, editors, publishers, librarians, administrators, tool developers, and other individuals who have influence on and are impacted by an organization or community.

The toolkit describes a hierarchical set of values, principles, indicators, and evidence that reflect alignment with ethical and sustainable practices in scholarly publishing.

For each of the six values, the FOREST Framework provides a set of self-assessment materials, including:

1. An **overview** of the principles and indicators for each value
2. A set of **worksheets** for assessing adherence to each principle
3. A **reflective practice guide** with prompts for deeper discussion

The following pages provide detailed instructions for interpreting and engaging with each section of the framework.

Value A quality considered intrinsically desirable

Principle A standard of conduct derived from a value and intended to provide guidance on translating values into action

Indicator The practical, context-appropriate manifestation of principles in operations and activities

Evidence The specific and concrete documentation substantiating adherence to an indicator

FOREST Framework
for Values-Driven Scholarly Communication

Worksheets - Overview

The principles defined in this Framework concern both ethics and effectiveness. They are designed to articulate standards of conduct that indicate good-faith, cooperative participation in the scholarly communication system and that contribute to organizational success. Principles are not rules, and thus require interpretation and judgment based on context. The indicators described here are examples that apply to different actors in the scholarly communication system at different stages in their community lifecycle. However, they are neither exhaustive nor universally appropriate.

The overview sheet provides an at-a-glance view of the principles associated with each value and the indicators associated with each principle. Each principle has also been assigned a code comprising the first letter of the value and its sequence (for example E1 for the first principle associated with the value "Equity, Accessibility, & Anti-Oppression"). Each indicator also has a lowercase letter. To precisely reference a specific indicator, use its code. For example, the code E1a references the first indicator associated with the first principle of the value "Equity, Accessibility, & Anti-Oppression").

Value

Principle

Indicator

F O R **E** S T EQUITY, ACCESSIBILITY, AND ANTI-OPPRESSION

E1 Attract, welcome, and retain stakeholders with diverse lived experiences
- a maintain and demonstrate success in attaining concrete equity, diversity, accessibility, and inclusion (EDAI) and anti-oppression goals
- b use proven strategies to recruit, hire, retain, and support staff—including community leadership—from diverse lived experiences
- c regularly evaluate how stakeholders with diverse lived experiences sense their belonging, and make changes and decisions based on this knowledge*
- d proactively express the value of diversity and undertake antiracism work to build awareness of the harms of implicit bias and white supremacy culture in the workplace*

E2 Promote equitable treatment of and opportunity for stakeholders
- a use fair and transparent criteria for hiring and advancement
- b offer or require regular EDAI and anti-oppression training for all employees and leadership
- c prioritize accessibility when designing communications and events
- d provide reasonable accommodations for community members with disabilities upon request to facilitate participation in all community forums
- e proactively design events to provide reasonable accommodations for community members with disabilities*

E3 Maintain a safe and welcoming environment
- a maintain, post, and enforce policies that define acceptable and unacceptable behavior for all communication channels and virtual and in-person gatherings
- b maintain and post a clear path for reporting unacceptable behavior
- c maintain and post details about how reports of violation are managed and resolved
- d design technology safeguards that minimize risk of abuse or harm
- e regularly evaluate policies, reporting processes, and violation management strategies*
- f adopt a restorative justice approach to addressing harms caused by the community*
- g expressly prohibit the use of software or code to violate universal standards of human rights*

E4 Adhere to industry standards for accessibility
- a comply with W3C standards and guidelines and national or international accessibility standards for all products, publications, and events
- b provide information and services in formats appropriate for users with disabilities in a timely manner and at no additional cost to the user*
- c formally evaluate products and publications for accessibility*

FOREST Framework
for Values-Driven Scholarly Communication

* Adherence to this indicator applies to mature or well-established communities   1 of 6

FOREST Framework
for Values-Driven Scholarly Communication

Worksheets - Sidebar

Each principle has its own worksheet for gauging a community's progress towards adherence and inventorying its evidence. A sidebar on the left provides context and a key for interpreting the symbols used in the worksheet. A set of cards lists the indicators and evidence for the principle.

Sidebar

Indicator and Evidence Cards

Value

Principle

Key

EQUITY, ACCESSIBILITY, AND ANTI-OPPRESSION

E3 Maintain a safe and welcoming environment

Indicator applies specifically to software & infrastructure providers

Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING · CONSIDERING · IN PROGRESS · IMPLEMENTED

Mark your current status on the progress bar.

Communities at all stages ...

a. maintain, post, and enforce policies that define acceptable and unacceptable behavior for all communication channels and virtual and in-person gatherings
🔗 Code of conduct and/or other documentation defining expectations for community participation

b. maintain and post a clear path for reporting unacceptable behavior
🔗 Code of conduct and/or other description of reporting mechanism(s)

c. maintain and post details about how reports of violation are managed and resolved
🔗 Code of conduct and/or other description of resolution mechanism(s)

d. design technology safeguards that minimize risk of abuse or harm
🔗 Documentation of efforts to build safeguards that protect the safety of people

Mature communities also ...

e. regularly evaluate policies, reporting processes, and violation management strategies
✔ Documentation of how policies, reporting processes, and violation management strategies have been evaluated with stakeholder input

f. adopt a restorative justice approach to addressing harms caused by the community
🔗 Documentation of restorative justice practices

g. expressly prohibit the use of software or code to violate universal standards of human rights
🔗 Adoption of the Hippocratic License or other documentation describing prohibitions on use that violate human rights

FOREST Framework
for Values-Driven Scholarly Communication

4 of 6

FOREST Framework
for Values-Driven Scholarly Communication

Worksheets - Indicator and Evidence Cards

A set of cards lists indicators and evidence for the principle. These cards allow communities to evaluate their progress towards each indicator and to build an inventory of the concrete evidence that manifests their alignment.

Appropriate evidence may vary based on a community's mission, lifecycle stage, and other factors. Communities are encouraged to substitute the evidence proposed in the framework with other specific, concrete, meaningful documentation as appropriate.

> **This is an example of an indicator.**
>
> 🔗 This is an example of evidence that should be publicly available.
>
> ✔ This is an example of evidence that should be readily available to internal audiences.

A context badge appears at the top left corner of the card when an indicator applies primarily to a certain type of community.

The ribbon badge means an indicator applies primarily to communities that publish content as a core activity.

The bracket badge means an indicator applies primarily to communities that build or maintain software and technical infrastructure as a core activity.

Cards are placed in two columns. Cards in the left column, under the header "Communities at all stages…", apply to communities at all stages of maturity. We consider these indicators fundamental and expect all communities, from start-ups to well-established organizations, to demonstrate their alignment.

Communities at all stages …

Cards in the right column, under the header "Mature communities also …", apply to well-established or mature communities. These indicators represent an additional level of effort or investment that may not be realistic for newer or less well-resourced organizations.

Mature communities also …

Worksheets - Progress Bar

A progress bar at the bottom of each card provides a mechanism to indicate a community's stage of adherence. If the indicator is not applicable this can be left blank.
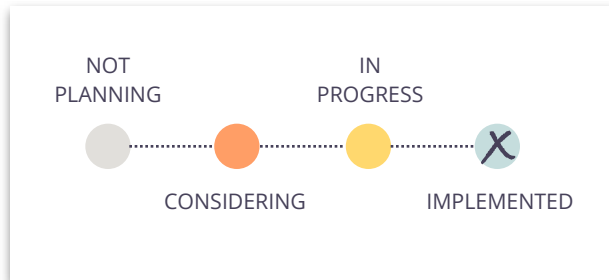
The progress bar can help communities and their stakeholders identify where they are currently concentrating efforts, where they might devote future resources, and where they excel. It is not meant to be used as a grading or rating system, nor do we encourage communities to tally a final score or average based on their progress towards each indicator.

Not Applicable	The indicator does not apply to the community type or to its stage of maturity
Not Planning	The indicator is applicable, but the community has no current plans to move towards adherence
Considering	The community has taken documentable actions to develop a roadmap toward adherence
In Progress	The community has taken documentable actions to move towards adherence
Implemented	The community fully adheres to the indicator and can provide evidence to substantiate its adherence

This system is modeled on the FAIR Data Maturity Model. Specification and Guidelines (1.0) produced by the FAIR Data Maturity Model Working Group and released in 2020 (https://doi.org/10.15497/rda00050).

Reflective Practice

Each section concludes with a set of reflective practice questions that can be used by a community to prompt deeper discussion about the how and why of living its values. These prompts are intended to spark engagement and reflection about how each principle relates to a community's mission and activities and where meaningful investments can improve the community's alignment with the principle.

Value

Principle

Prompt

F O R **E** S T   **EQUITY, ACCESSIBILITY, AND ANTI-OPPRESSION**

Reflective Practice

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.

E1 **Attract, welcome, and retain stakeholders with diverse lived experiences**
- How does our community actively seek to engage stakeholders from/with diverse lived experiences? What additional actions could we take to improve or advance such engagement?
- How does our community know whether our stakeholders feel welcome?
- What role do our community's values play in recruitment, hiring, and performance reviews?

E2 **Promote equitable treatment of and opportunity for stakeholders**
- What policies and practices do we use currently to keep employment and involvement opportunities equitable? Are they working? What could improve them?
- How would we explain to a peer community the work we are doing to promote equitable treatment of stakeholders in our work, and would we be satisfied with that explanation?
- How does our community recognize, value, or give credit for our stakeholders' contributions?

E3 **Maintain a safe and welcoming environment**
- How has our community been unsafe or unwelcome to stakeholders? How have we responded to incidents in which a stakeholder felt unsafe or unwelcome? Could we improve that response?
- Has our community reviewed in detail how we would respond if a stakeholder reported being unsafe or unwelcome? Are we confident in our plan to address the cause(s) and support the reporting community member?
- Are there stakeholders in our community who might feel less welcome based on identity or lived experience? What actions could we take to make these stakeholders more comfortable?

E4 **Adhere to industry standards for accessibility**
- How do we know if stakeholders have difficulty engaging with our products, services, or events? What actions could we take to better understand stakeholder experiences?
- What resources would our community need to make our products, services, or events more accessible? How might we attract those additional resources? What activities would we prioritize for investment?
- What pathways do we make readily available to stakeholders to request or receive accommodations? Do we need to recalibrate our approach so that accommodations are the default, rather than making them available by request?

FOREST Framework
for Values-Driven Scholarly Communication

6 of 6

FOREST Framework
for Values-Driven Scholarly Communication

Acknowledgments

We are grateful to the many reviewers and editors of this work and its previous versions. Kaitlin Thaney, Samuel Moore, Ana Enriquez, Brandy Karl, Allyson Laird, and Cynthia Hudson Vitale provided valuable input on the initial version that led to substantial improvements and refinements. Sarah Beaubien, Jennifer Kemp, Katherine Kim, Brandon Locke, Sarah McKee, Caitlin Perry, Oya Y. Rieger, Erich van Rijn, Charlotte Roh, John Sherer, Nick Shockey, and Lidia Uziel graciously reviewed a draft of this version. Their insights and suggestions are reflected in the final text.

We are also grateful to the many organizations and initiatives striving to make scholarly communications more values-driven. The FOREST Framework was made possible by the work of many peer organizations and their outputs related to values and principles, including Principles for Open Scholarly Communication (POSI), the Coalition for Diversity & Inclusion in Scholarly Communication (C4DISC) Toolkits for Equity in Scholarly Publishing Project, the Code for Science & Society Building Laterally event series, the Confederation of Open Access Repositories (COAR), the Committee on Publication Ethics (COPE), CoreTrustSeal, the Digital Preservation Services Collaborative, the Declaration on Research Assessment (DORA), the Ethical Source Principles, FORCE11, Global Indigenous Data Alliance, Go FAIR, HumetricsHSS, OANA, Ouvrir la Science, the Library Publishing Coalition Ethical Framework for Library Publishing, and SPARC, among others.

A reference list on the following page lists specific resources that have inspired and informed each value in the FOREST Framework. Any likeness in the language and concepts used in the FOREST Framework to these resources is intentional as we aim to build upon, not replicate or supplant, the deep expertise of other communities working in this space. We encourage users of the FOREST Framework to refer to the resources for guidance as they continually strive to live their values.

The authors also thank future reviewers for helping us to refine the Framework to make it increasingly inclusive and effective. The Framework currently does not claim any extensibility beyond North America and parts of Europe; however, we are actively seeking to engage a much broader range of locations and fiscal and cultural environments in the next phase of our work (with funding contracts supporting this involvement). We acknowledge this not to excuse the biases we know we have introduced but to recognize them and to commit to addressing them as we continue to build the framework.

FOREST Framework
for Values-Driven Scholarly Communication

References

Coalition for Diversity & Inclusion in Scholarly Communication (C4DISC), *Toolkits for Equity in Scholarly Publishing Project* https://c4disc.pubpub.org/toolkits-for-equity

COAR Next Generation Repositories, *Guiding Principles* http://ngr.coar-repositories.org/principles/

COAR/SPARC, *Good Practice Principles for Scholarly Communication Services* https://sparcopen.org/our-work/good-practice-principles-for-scholarly-communication-services/

Committee on Publication Ethics (COPE), *Guidelines* https://publicationethics.org/guidance/Guidelines

CoreTrustSeal, *Trustworthy Data Repositories Requirements* https://www.coretrustseal.org/why-certification/requirements/

Digital Infrastructure Incubator at Code for Science & Society, *Building Laterally* https://incubator.codeforscience.org/building-laterally

Digital Preservation Services Collaborative Digital Preservation, *Declaration of Shared Values* https://dpscollaborative.org/shared-values_en.html

FORCE11, *Principles* https://www.force11.org/scholarly-commons/principles

Global Indigienous Data Alliance, *CARE Principles for Indigenous Data Governance* https://www.gida-global.org/care

FOREST Framework
for Values-Driven Scholarly Communication

GO FAIR, *FAIR Principles* https://www.go-fair.org/fair-principles/

HumetricsHSS, *Values Framework* https://humetricshss.org/our-work/values/

Invest in Open Infrastructure, *Catalog of Open Infrastructure Services (COIs)* https://investinopen.org/research/catalog/

Library Publishing Coalition, *Ethical Framework for Library Publishing* https://librarypublishing.org/resources/ethical-framework/

Organization for Ethical Source, *Hippocratic License and Ethical Source Principles* https://firstdonoharm.dev/ and https://ethicalsource.dev/principles/

OANA, *Vienna Principles* https://viennaprinciples.org/

Principles for Open Scholarly Infrastructure (POSI) https://openscholarlyinfrastructure.org/

San Francisco Declaration on Research Assessment (DORA) https://sfdora.org/

Seven Guiding Principles for Open Research Information https://zenodo.org/record/6074944#.YnFGsvNBw-R

Standards for Excellence https://standardsforexcellence.org/Home-2/code

Whose Knowledge https://whoseknowledge.org/

F1 **Plan for the future**

a   document goals and milestones on a regular basis and measure progress towards these goals and milestones at least annually

b   maintain a capital budget that factors in long-term upgrades and improvements*

F2 **Maintain control over and monitor finances**

a   have access to and control over bank account(s), ledger/log of all receivables and expenditures, and any accounting software and/or bookkeeping environment

b   have written financial policies that include explicit internal controls (separation of duties)

c   comply with authoritative standards for accounting and financial reporting

d   create and maintain an officially approved annual operating budget

e   have at least two, non-interdependent funding streams for the community (e.g., memberships, subscriptions, services, grants, contracts, donations)*

f   rectify financial books at least quarterly with review and sign-off from a designated governing body representative(s)*

g   have an annual independent audit or review conducted of financial statements*

F3 **Understand, maintain, and communicate legal and organizational identity(ies)**

a   understand and document legal and organizational identity(ies) (e.g., incorporation, taxable status, charity status) such that community members and customers comprehend what the legal entity is, what it can do, and who has authority to act on its behalf

b   engage a legal advisor and/or lawyer to review all contracts

c   transparently and publicly acknowledge any hosting relationship and have a documented pathway for separation from any host

F4 **Clearly document succession, sunsetting, and dissolution plans**

a   have a policy describing how community ownership/responsibility may be transferred

b   have a plan documenting what happens when the community ceases to operate

c   have a legal commitment to maintaining the community's mission regardless of ownership*

d   have a succession strategy that identifies entities that will steward products and services if or when the community ceases to operate*

e   have a financial reserve set aside that is adequate to cover sunsetting costs*

f   document, test, and regularly update specific pathways for any user-owned or -generated content to be migrated to another platform or service in the case of dissolution*

FOREST Framework
for Values-Driven Scholarly Communication

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

FINANCIAL AND ORGANIZATIONAL RESILIENCE

F1 Plan for the future

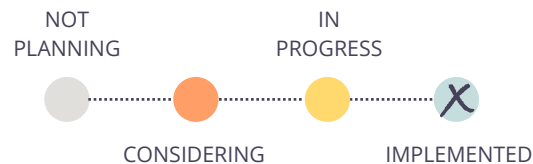|	Indicator applies specifically to software & infrastructure providers
	Indicator applies specifically to publishers
🔗	Evidence item should be readily and publicly available
✔	Evidence item should be readily available internally

NOT PLANNING

CONSIDERING

IN PROGRESS

IMPLEMENTED

Mark your current status on the progress bar.

Communities at all stages …

a. document goals and milestones on a regular basis and measure progress towards these goals and milestones at least annually

✔ Strategic plan or other documentation referencing goals, milestones, and metrics for evaluating progress

---

Mature communities also …

b. maintain a capital budget that factors in long-term upgrades and improvements

✔ Capital budget

✔ Budget oversight process, including review and sign-off of annual rectification of budget and actuals by 2+ individuals

---

FOREST Framework
for Values-Driven Scholarly Communication

FINANCIAL AND ORGANIZATIONAL RESILIENCE

F2 Maintain control over and monitor finances

<div>

↕ Indicator applies specifically to software & infrastructure providers

🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

</div>

NOT PLANNING — CONSIDERING — IN PROGRESS — IMPLEMENTED ✗
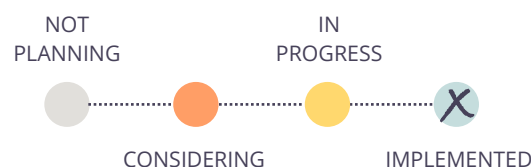
Mark your current status on the progress bar.

Communities at all stages …

a. have access to and control over bank account(s), ledger/log of all receivables and expenditures, accounting software, and/or bookkeeping environment

✔ Inventory of bank accounts, ledgers, accounting software

b. have written financial policies that include explicit internal controls (separation of duties)

✔ Accounting manual or other financial policy documentation

c. comply with authoritative standards for accounting and financial reporting

✔ Audit or consultation with a qualified reviewer, or other documentation of compliance with GAAP or IFRS*

d. create and maintain an officially approved annual operating budget

✔ Operating budget

✔ Budget review process, including review and sign-off of annual rectification of budget and actuals by 2+ individuals

Mature communities also …

e. have at least two, non-interdependent funding streams for the community (e.g., memberships, subscriptions, services, grants, contracts, donations)

✔ Documentation of funding and revenue streams, including amounts and proportion of total budget

f. rectify financial books at least quarterly with review and sign-off from a designated governing body representative(s)

✔ Accounting manual or other financial policy documentation

g. have an annual independent audit or review conducted of financial statements

✔ Accounting manual or other financial policy documentation

*Generally Accepted Accounting Principles
International Financial Reporting Standards

FINANCIAL AND ORGANIZATIONAL RESILIENCE

F3 **Understand, maintain, and communicate legal and organizational identity(ies)**

⬍ Indicator applies specifically to software & infrastructure providers

🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING — CONSIDERING — IN PROGRESS — IMPLEMENTED
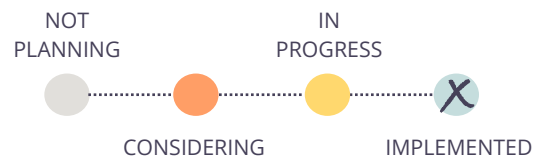
Mark your current status on the progress bar.

Communities at all stages …

a. understand and document legal and organizational identity(ies) (e.g., incorporation, taxable status, charity status) such that community members and customers comprehend what the legal entity is, what it can do, and who has authority to act on its behalf

✔ Description of organizational identity, official or supporting documents, e.g.:
- incorporation documents
- tax exemption letter
- B-Corp certificate
- host organization contract

b. engage a legal advisor and/or lawyer to review all contracts

✔ Legal advisor contact information

c. transparently and publicly acknowledge any hosting relationship and have a documented pathway for separation from any host

🔗 Acknowledgment and description of hosting relationship

✔ Documentation of conditions for and consequences of separation from hosting relationship

FINANCIAL & ORGANIZATIONAL RESILIENCE

F4 Clearly document succession, sunsetting, and dissolution plans

⏶⏷ Indicator applies specifically to software & infrastructure providers

🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING — CONSIDERING — IN PROGRESS — IMPLEMENTED
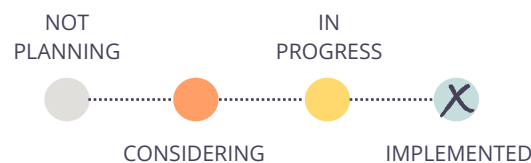
Mark your current status on the progress bar.

Communities at all stages …

a. have a policy describing how community ownership/responsibility may be transferred

✔ Sunsetting or dissolution plan/policy

b. have a plan documenting what happens when the community ceases to operate

✔ Sunsetting or dissolution plan/policy

Mature communities also …

c. have a legal commitment to maintaining the community's mission regardless of ownership

✔ Sunsetting or dissolution plan/policy

d. have a succession strategy that identifies entities that will steward products and services if or when the community ceases to operate

✔ Sunsetting or dissolution plan/policy

e. have a financial reserve set aside that is adequate to cover sunsetting costs

✔ Annual budget or other document showing financial reserves

✔ Estimate of sunsetting costs

f. document, test, and regularly update specific pathways for any user-owned or -generated content to be migrated to another platform or service in the case of dissolution

🔗 Content migration policy(ies), practices

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.

F1 Plan for the future

- How does our community define success? When we achieve success, will sunsetting be a natural outcome?
- Is our community's vision for the future reflected in our near-term priorities? Do our current activities correspond to where we see our community in five years?
- Does our community effectively balance short- and long-term priorities?

F2 Maintain control over and monitor finances

- How would different budget scenarios affect our community's work? Do we have a plan for different budget scenarios?
- Does our community have clear checks and balances in place (such as segregating fiscal duties) to prevent fraud, theft, or accidents from going unnoticed? Are they strong enough or do we need to strengthen them?

F3 Understand, maintain, and communicate legal and organizational identity(ies)

- Does our average stakeholder understand our organizational identity (non-profit status, hosting relationship, etc.)?
- How does our community's hosting relationship (if applicable) affect our work? What does it enable? What does it constrain?

F4 Clearly document succession, sunsetting, and dissolution plans

- What would be the consequences to our stakeholders if our community ceased to operate?
- Can our stakeholders trust that our community will continue to align with their values if our hosting relationship or leadership changes? What could be at risk?

FOREST Framework
for Values-Driven Scholarly Communication

O1 Favor open technology, standards, and protocols

a make all publications Open Access with licensing that clearly specifies sharing and reuse conditions

b use and support industry standard and/or open file formats wherever possible

c make all software and documentation freely and readily available under an open source license (GNU GPLv3 or equivalent), and build upon open source components wherever possible

d work with peers and standards bodies to develop or set open standards and achieve consistent implementation*

e provide pathways for stakeholders to contribute to the codebase*

O2 Strive to make tools, services, and code interoperable

a conform with existing standards for metrics reporting (e.g., COUNTER)

b provide APIs that facilitate interoperability and/or that enable users to extend the tool/service/ infrastructure*

c invite users to submit ideas for integrations with other products and services and have a documented process for considering these suggestions*

O3 Encourage use/reuse of content and/or code

a make content and metadata immediately, openly, and freely available, findable, and reusable

b make code immediately, openly, and freely available, findable, and reusable

c support persistent identifiers

d ensure that metadata meets domain-relevant standards

e make outputs machine-actionable through general-purpose, open technologies*

f engage in Web archiving and/or digital preservation to ensure longevity of content and code*

g ensure that content, metadata, data, and code adhere to FAIR Guiding Principles*

O4 Provide users with agency and control over content and code

a maintain a public product development roadmap

b have mechanisms in place to assist users in migrating off infrastructure

c publicly document costs, terms, and conditions associated with migration

d indicate how metadata is derived, especially metadata that has been collected algorithmically

e involve users in creating and maintaining a product development roadmap*

f disclose the use of algorithms in products or services and document their general functions in plain language*

g make usage data available to users*

h comply with industry-standard (e.g,. NISO) practices for content migration*

FOREST Framework
for Values-Driven Scholarly Communication

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

OPENNESS

O1 Favor open technology, standards, and protocols

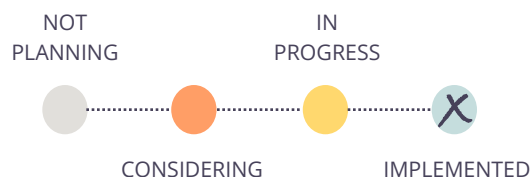 Indicator applies specifically to software & infrastructure providers

 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING — CONSIDERING — IN PROGRESS — IMPLEMENTED

Mark your current status on the progress bar.

Communities at all stages ...

a. make all publications Open Access with licensing that clearly specifies sharing and reuse conditions

🔗 Publication licensing policies and/or practices

🔗 Percentage of published content made available Open Access

🔗 Examples of openly licensed content

b. use and support industry standard and/or open file formats wherever possible

🔗 File format policy(ies) or practices

🔗 Examples of content in industry standard file formats

c. make all software and documentation freely and readily available under an open source license (GNU GPLv3 or equivalent), and build upon open source components wherever possible

🔗 Code repository and code licensing statement

🔗 Documentation sufficient to allow others to effectively run code

🔗 Inventory of critical software components and their public code

Mature communities also ...

d. work with peers and standards bodies to develop or set open standards and achieve consistent implementation

✔ Documentation of participation in field-level initiatives

e. provide pathways for stakeholders to contribute to the codebase

🔗 Process and guidelines for reviewing and accepting code contributions

OPENNESS

O2 Strive to make tools, services, and code interoperable

⌃⌄ Indicator applies specifically to software & infrastructure providers

🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING   IN PROGRESS

CONSIDERING   IMPLEMENTED
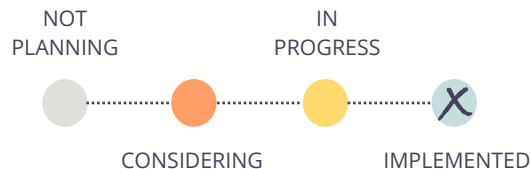
Mark your current status on the progress bar.

Communities at all stages ...

a. conform with existing standards for metrics reporting (e.g., COUNTER)

🔗 Policies regarding collection and reporting of engagement metrics

✔ Examples of COUNTER or other standards-based reports
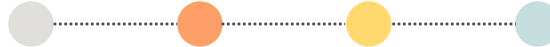
Mature communities also ...

b. provide APIs that facilitate interoperability and/or that enable users to extend the tool/service/ infrastructure

🔗 API endpoint(s) and documentation

c. invite users to submit ideas for integrations with other products and services and have a documented process for considering these suggestions

🔗 Public mechanism and guidelines for submitting suggestions for integration

🔗 Process for considering integration suggestions

🔗 Documentation of integrations with other products and services

OPENNESS

O3 Encourage use/reuse of content and/or code

⬍ Indicator applies specifically to software & infrastructure providers

🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING — CONSIDERING — IN PROGRESS — IMPLEMENTED ✗
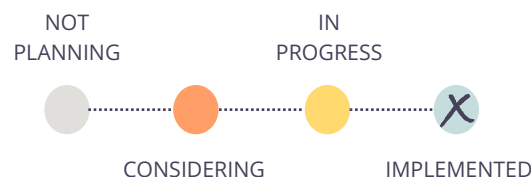
Mark your current status on the progress bar.

FOREST Framework
for Values-Driven Scholarly Communication

### Communities at all stages …

🔖 **a. make content and metadata immediately, openly, and freely available, findable, and reusable**

🔗 Content licensing policy(ies)

🔗 Content records with open licenses (e.g., CC-BY)

🔗 Persistent identifier policy(ies) and practices, including types used and percentage of content covered

⬍ **b. make code immediately open and freely available, findable, and reusable**

🔗 Code licensing policy(ies)

🔗 Code repository(ies) with open licenses (e.g., MIT or GNU GPLv3)
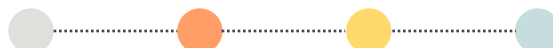
⬍ **c. support persistent identifiers**

🔗 Documentation of persistent identifier support, including types supported

🔖 **d. ensure that metadata meets domain-relevant standards**

🔗 Metadata policy(ies) and practices, including references to standards used

Mature communities also …

⬍ **e. make outputs machine-actionable through general-purpose, open technologies**

🔗 Documentation describing availability of content or metadata for consumption by machines

🔗 Examples of machine-actionable content or metadata

f. engage in Web archiving and/or digital preservation to ensure longevity of content and code

🔗 Digital preservation policy(ies) and practices

🔖 **g. ensure that content, metadata, data, and code adhere to FAIR Guiding Principles**

🔗 Documentation of adherence to FAIR Guiding Principles

🔗 Documentation of self-evaluation or third-party evaluation based on an accepted standard (e.g., FAIR Data Maturity Model)

OPENNESS

O4 Provide users with agency and control over content and code

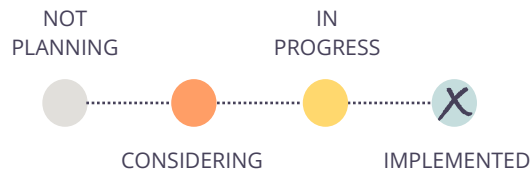- Indicator applies specifically to software & infrastructure providers
- Indicator applies specifically to publishers
- Evidence item should be readily and publicly available
- Evidence item should be readily available internally

NOT PLANNING   IN PROGRESS

CONSIDERING   IMPLEMENTED

Mark your current status on the progress bar.

Communities at all stages …

a. maintain a public product development roadmap

- Development roadmap, including details about how contributions are made

b. have mechanisms in place to assist users in migrating off infrastructure

- Description of migration pathways
- Description of services provided to support migration and their costs

c. publicly document costs, terms, and conditions associated with migration

- Description of migration options, including costs, terms and conditions, and formats of exported content

d. indicate how metadata is derived, especially metadata that has been collected algorithmically

- Metadata creation policy(ies), practices

Mature communities also …

e. involve users in creating and maintaining a product roadmap

- Policy(ies) and practices for roadmap development

f. disclose the use of algorithms in products or services and document their general functions in plain language

- Documentation of algorithms and their functions

g. make usage data available to users

- Documentation describing how users can access or request usage data

h. comply with industry-standard (e.g,. NISO) practices for content migration

- Content migration policy(ies), practices

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.

O1 Favor open technology, standards, and protocols

- In what ways does our community rely on closed or proprietary technologies? How would replacing these with open technologies affect our work?
- Do we articulate and make visible our own dedication to favor open in ways that might influence others to consider adoption of open tech, standards, and protocols?

O2 Strive to make tools, services, and code interoperable

- With which other technologies would our community most aspire to interoperate? In what specific ways would interoperability with these technologies increase the impact of our work?
- What are the unique strengths of our software, tools, or services? How do these unique strengths complement or enhance the work of other communities? Where can we benefit from the unique strengths of others?

O3 Encourage use/reuse of content and/or code

- Do our community's stakeholders have a clear and consistent understanding of how they can reuse our content or code?
- How does encouraging reuse of our content or code increase its impact? What specific ways can we imagine our content or code being reused or repurposed?
- What barriers (broadly defined) do people face in using or reusing our content? These may include economic, language-based, geographic, etc.

O4 Provide users with agency and control over content and code

- How does our community make decisions about development priorities? Does our decision-making process proactively solicit and give sufficient weight to a diversity of stakeholder voices? In what ways could we better seek engagement from underrepresented voices and give authority to community members to make decisions that reflect their interests?
- Can users effectively migrate content off of our infrastructure? What barriers might they face?

FOREST Framework
for Values-Driven Scholarly Communication

R1   **Include stakeholders in decision-making and oversight**

a   enlist an advisory or steering committee to support, guide, and oversee activities and progress

b   refer to the community's core values when making decisions that affect stakeholders

c   engage diverse representatives from community stakeholder groups in official, decision-making and/or governing bodies*

d   require that major decisions about the community that affect stakeholders (especially decisions about its organizational form, ownership, and pricing) be approved by official, decision-making and/or governing bodies*

R2   **Encourage participation and input from community stakeholders**

a   make governance meeting agendas, minutes, and official decisions openly available to community stakeholders

b   have an openly documented process for soliciting/resolving community stakeholder concerns and/or objections about governance decisions

c   maintain and regularly evaluate a framework that defines how and why decisions are made*

R3   **Engage stakeholders in fiduciary oversight and management accountability**

a   include diverse stakeholder representatives in a governing body that protects the community's assets and members' investments*

b   have a governing body that includes diverse stakeholder representatives to advise on recruitment, hiring, and oversight of community leadership*

c   adopt financial policies that ensure that official, decision-making and/or governing bodies approve and oversee compensation and expenditures*

R4   **Ensure that stakeholder representative voices change over time**

a   have a process for stakeholders to express concerns or objections regarding who serves as their representatives

b   set and enforce term limits for official representatives

c   periodically review and revise governance documents to reflect shifts in mission, practices, or priorities

---

FOREST Framework
for Values-Driven Scholarly Communication

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

RESPONSIBLE GOVERNANCE

R1 Include stakeholders in decision-making and oversight

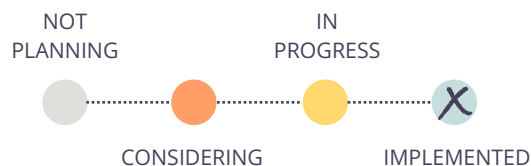⇕ Indicator applies specifically to software & infrastructure providers

🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING ••• CONSIDERING ••• IN PROGRESS ••• IMPLEMENTED ✗

Mark your current status on the progress bar.

Communities at all stages …

a. enlist an advisory or steering committee to support, guide, and oversee activities and progress

🔗 Advisory or steering committee membership and responsibilities

b. refer to the community's core values when making decisions that affect stakeholders

🔗 Documentation of core values

✔ Examples of how values are applied and referenced in decision-making


Mature communities also …

c. engage diverse representatives from community stakeholder groups in official, decision-making, and/or governing bodies

✔ Bylaws, charter, or other official internal management structure rules including election procedures and term limits for representatives

🔗 Governing body membership or election results

d. require that major decisions about the community that affect stakeholders (especially decisions about its organizational form, ownership, and pricing) be approved by official, decision-making, and/or governing bodies

✔ Bylaws, charter, or other official internal management structure rules documenting the role of community representatives in a) determining organizational form, ownership, and pricing; b) overseeing the creation and approval of the annual budget, financial quarterly close reports, annual fiscal reporting, and annual audit/review

---
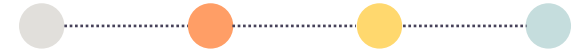
RESPONSIBLE GOVERNANCE

R2 Encourage participation and input from community stakeholders

⇕ Indicator applies specifically to software & infrastructure providers
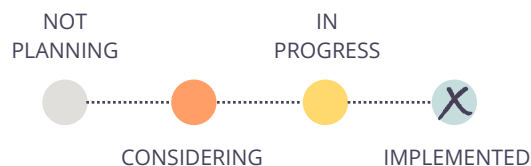
🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING — CONSIDERING — IN PROGRESS — IMPLEMENTED

Mark your current status on the progress bar.

Communities at all stages …

a. make governance meeting agendas, minutes, and official decisions openly available to community stakeholders

🔗 Governing body meeting agendas and minutes

🔗 Documentation of major decisions affecting stakeholders, including why and how the decisions were made

b. have an openly documented process for soliciting/resolving community stakeholder concerns and/or objections about governance decisions

✔ Bylaws, charter, or other official internal management structure rules documenting process for soliciting and addressing stakeholder concerns

---

Mature communities also …

c. maintain and regularly evaluate a framework that defines how and why decisions are made

✔ Documentation of decision-making processes and policies, including how (i.e., by whom, in what venue) and why (i.e., based on what metrics, priorities, or heuristics) decisions are made

---

FOREST Framework
for Values-Driven Scholarly Communication

RESPONSIBLE GOVERNANCE

R3 **Engage stakeholders in fiduciary oversight and management accountability**

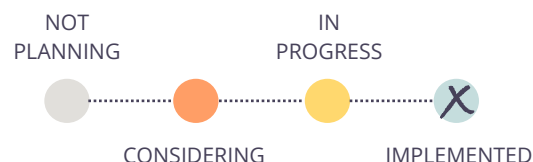⇅ Indicator applies specifically to software & infrastructure providers

🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING ⬤ —— ⬤ CONSIDERING —— ⬤ IN PROGRESS —— ✗ IMPLEMENTED

Mark your current status on the progress bar.

Mature communities ...

a. include diverse stakeholder representatives in a governing body that protects the community's assets and members' investments

🔗 Directory of governing body representatives, including affiliation

⬤ —— ⬤ —— ⬤ —— ⬤

b. have a governing body that includes diverse stakeholder representatives to advise on recruitment, hiring, and oversight of community leadership

✔ Bylaws, charter, or other official internal management structure rules documenting process for stakeholder involvement in leadership selection and oversight

⬤ —— ⬤ —— ⬤ —— ⬤

c. adopt financial policies that ensure that official, decision-making, and/or governing bodies approve and oversee compensation and expenditures

✔ Executive compensation policy

✔ Expense policies, such as travel reimbursement policies

⬤ —— ⬤ —— ⬤ —— ⬤

FOREST Framework
for Values-Driven Scholarly Communication

RESPONSIBLE GOVERNANCE

R4 Ensure that stakeholder representative voices change over time

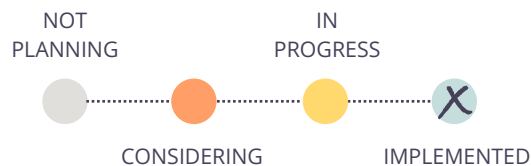Indicator applies specifically to software & infrastructure providers

Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING — CONSIDERING — IN PROGRESS — IMPLEMENTED

Mark your current status on the progress bar.

FOREST Framework
for Values-Driven Scholarly Communication

Communities at all stages ...

a. have a process for stakeholders to express concerns or objections regarding who serves as their representatives

✔ Bylaws, charter, or other official internal management structure rules that include election procedures, term limits for representatives, process for expressing concerns about a representative

b. set and enforce term limits for official representatives

✔ Bylaws, charter, or other official internal management structure rules that include term limits for representatives

🔗 Election results or leadership directory indicating representative turnover over time

c. periodically review and revise governance documents to reflect shifts in mission, practices, or priorities

✔ Documentation describing practices for regular review of governance documents, including process for making revisions

RESPONSIBLE GOVERNANCE

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.

R1 Include stakeholders in decision-making and oversight

- Do we have a diverse, representative set of stakeholders present in all governance and decision-making bodies?
- Do stakeholder representatives feel comfortable sharing their perspectives and opinions? Do they have mechanisms through which to share their perspectives, ideas, and concerns? Whose voices are missing from community decision-making? Are there stakeholders who remain silent?
- Do our decision-making bodies refer to our core values when faced with difficult choices?

R2 Encourage participation and input from community stakeholders

- Who are our community's stakeholders? Which individuals and groups contribute to our community's long-term success and what are their interests?
- Do our stakeholders feel that their voices are heard in important decisions?
- How does our community balance the perspectives of different stakeholders (e.g., member desires versus staff needs)?
- Do our community's official governance bodies receive adequate information about stakeholder interests, perspectives, or concerns?

R3 Engage stakeholders in fiduciary oversight and management accountability

- Through what actions does our leadership demonstrate fiduciary accountability to stakeholders?
- Does our community need a formal stakeholder governance framework? Do existing governance frameworks ensure our information needs are met in terms of stakeholder perspectives for decision-making, management oversight, and risk management?

R4 Ensure that stakeholder representative voices change over time

- How does our community balance the value of historical memory with the need for new voices?

FOREST Framework
for Values-Driven Scholarly Communication

E1 **Attract, welcome, and retain stakeholders with diverse lived experiences**

a   maintain and demonstrate success in attaining concrete equity, diversity, accessibility, and inclusion (EDAI) and anti-oppression goals

b   use proven strategies to recruit, hire, retain, and support staff—including community leadership—from diverse lived experiences

c   regularly evaluate how stakeholders with diverse lived experiences sense their belonging, and make changes and decisions based on this knowledge*

d   proactively express the value of diversity and undertake antiracism work to build awareness of the harms of implicit bias and white supremacy culture in the workplace*

E2 **Promote equitable treatment of and opportunity for stakeholders**

a   use fair and transparent criteria for hiring and advancement

b   offer or require regular EDAI and anti-oppression training for all employees and leadership

c   prioritize accessibility when designing communications and events

d   provide reasonable accommodations for community members with disabilities upon request to facilitate participation in all community forums

e   proactively design events to provide reasonable accommodations for community members with disabilities*

E3 **Maintain a safe and welcoming environment**

a   maintain, post, and enforce policies that define acceptable and unacceptable behavior for all communication channels and virtual and in-person gatherings

b   maintain and post a clear path for reporting unacceptable behavior

c   maintain and post details about how reports of violation are managed and resolved

d   design technology safeguards that minimize risk of abuse or harm

e   regularly evaluate policies, reporting processes, and violation management strategies*

f   adopt a restorative justice approach to addressing harms caused by the community*

g   expressly prohibit the use of software or code to violate universal standards of human rights*

E4 **Adhere to industry standards for accessibility**

a   comply with W3C standards and guidelines and national or international accessibility standards for all products, publications, and events

b   provide information and services in formats appropriate for users with disabilities in a timely manner and at no additional cost to the user*

c   formally evaluate products and publications for accessibility*

FOREST Framework
for Values-Driven Scholarly Communication

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

EQUITY, ACCESSIBILITY, AND ANTI-OPPRESSION

E1 **Attract, welcome, and retain stakeholders with diverse lived experiences**

⌃⌄ Indicator applies specifically to software & infrastructure providers
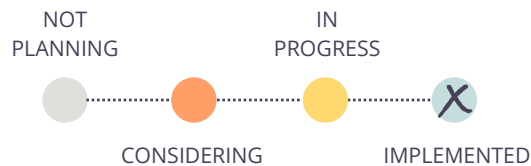
🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING • —— CONSIDERING —— • IN PROGRESS • —— IMPLEMENTED ✗

Mark your current status on the progress bar.

Communities at all stages …

a. maintain and demonstrate success in attaining concrete equity, diversity, accessibility, and inclusion (EDAI) and anti-oppression goals

🔗 Equity, diversity, inclusion, and anti-oppression policy(ies) or statement(s)

🔗 Accessibility statement(s)

🔗 Strategic plan or other documents describing EDAI and anti-oppression-related goals and metrics

b. use proven strategies to recruit, hire, retain, and support staff—including community leadership—from diverse lived experiences

🔗 Equitable recruitment and hiring statement(s) or policy(ies)

🔗 Employment policies that recognize, value, and reward cultural differences such as dress, speech, and work style

✔ Current staff, leadership, volunteer, and community demographics and specific goals and benchmarks for improving BIPOC representation and diversity of gender, ability, and lived experience, presented in a way that enables comparison across community units and over time

Mature communities also …

c. regularly evaluate how stakeholders with diverse lived experiences sense their belonging, and make changes and decisions based on this knowledge

✔ Internal or external assessments of staff, leadership, volunteer, and community members' sense of belonging

✔ Example(s) of how assessments have inspired action and organizational changes

d. proactively express the value of diversity and undertake antiracism work to build awareness of the harms of implicit bias and white supremacy culture in the workplace

🔗 Statement(s) reflecting community commitment to antiracism work

EQUITY, ACCESSIBILITY, AND ANTI-OPPRESSION

E2 **Promote equitable treatment of and opportunity for stakeholders**

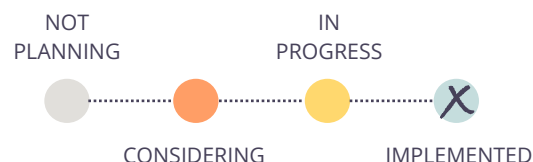Indicator applies specifically to software & infrastructure providers

Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING — CONSIDERING — IN PROGRESS — IMPLEMENTED

Mark your current status on the progress bar.

Communities at all stages ...

a. use fair and transparent criteria for hiring and advancement

🔗 Equitable recruitment and hiring statement(s) or policy(ies)

✔ Current salaries or pay scale and job descriptions demonstrating pay equity and clear advancement criteria

b. offer or require regular EDAI and anti-oppression training for all employees and leadership

✔ Documentation of training offered to staff during the previous 12 months

c. prioritize accessibility when designing communications and events

🔗 Accessibility policy(ies)
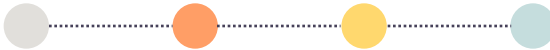
d. provide reasonable accommodations for community members with disabilities upon request to facilitate participation in all community forums

🔗 Accessibility policy(ies) and/or other documentation of accommodation request process

Mature communities also ...

e. proactively design events to provide reasonable accommodations for community members with disabilities

🔗 Accessibility policy(ies)

EQUITY, ACCESSIBILITY, AND ANTI-OPPRESSION

E3 Maintain a safe and welcoming environment

⇕ Indicator applies specifically to software & infrastructure providers
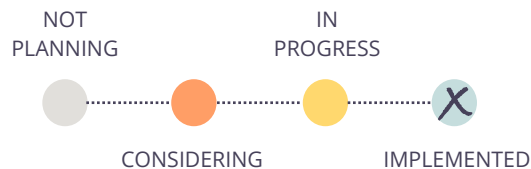
🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING   IN PROGRESS

CONSIDERING   IMPLEMENTED

Mark your current status on the progress bar.

Communities at all stages …

a. maintain, post, and enforce policies that define acceptable and unacceptable behavior for all communication channels and virtual and in-person gatherings

🔗 Code of conduct and/or other documentation defining expectations for community participation

b. maintain and post a clear path for reporting unacceptable behavior

🔗 Code of conduct and/or other description of reporting mechanism(s)

c. maintain and post details about how reports of violation are managed and resolved

🔗 Code of conduct and/or other description of resolution mechanism(s)

⇕ **d. design technology safeguards that minimize risk of abuse or harm**

🔗 Documentation of efforts to build safeguards that protect the safety of people

Mature communities also …

e. regularly evaluate policies, reporting processes, and violation management strategies

✔ Documentation of how policies, reporting processes, and violation management strategies have been evaluated with stakeholder input

f. adopt a restorative justice approach to addressing harms caused by the community

🔗 Documentation of restorative justice practices

⇕ **g. expressly prohibit the use of software or code to violate universal standards of human rights**

🔗 Adoption of the Hippocratic License or other documentation describing prohibitions on use that violate human rights

EQUITY, ACCESSIBILITY, AND ANTI-OPPRESSION

E4 Adhere to industry standards for accessibility

⌃⌄ Indicator applies specifically to software & infrastructure providers
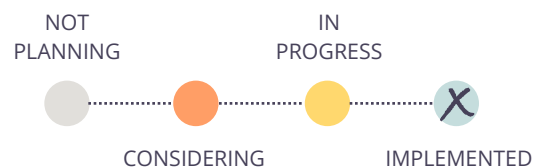
🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING ····· CONSIDERING ····· IN PROGRESS ····· IMPLEMENTED ✗

Mark your current status on the progress bar.

Communities at all stages ...

a. comply with W3C standards and guidelines and national or international accessibility standards for all products, publications, and events

🔗 Documentation of conformance to relevant web accessibility guidelines

---

Mature communities also ...

b. provide information and services in formats appropriate for users with disabilities in a timely manner and at no additional cost to the user

🔗 Documentation of practices and policies regarding captioning on audio-visual media, transcripts for audio-visual media, compliance with The Web Video Text Tracks Format (WebVTT) and Timed Text Markup Language (TTML)

🔗 Examples of compliant captioned materials and transcripts

c. formally evaluate products and publications for accessibility

Results of internal or third-party accessibility evaluations (e.g., WCAG 2.1 AAA audit)

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.

E1 Attract, welcome, and retain stakeholders with diverse lived experiences

- How does our community actively seek to engage stakeholders from/with diverse lived experiences? What additional actions could we take to improve or advance such engagement?
- How does our community know whether our stakeholders feel welcome?
- What role do our community's values play in recruitment, hiring, and performance reviews?

E2 Promote equitable treatment of and opportunity for stakeholders

- What policies and practices do we use currently to keep employment and involvement opportunities equitable? Are they working? What could improve them?
- How would we explain to a peer community the work we are doing to promote equitable treatment of stakeholders in our work, and would we be satisfied with that explanation?
- How does our community recognize, value, or give credit for our stakeholders' contributions?

E3 Maintain a safe and welcoming environment

- How has our community been unsafe or unwelcome to stakeholders? How have we responded to incidents in which a stakeholder felt unsafe or unwelcome? Could we improve that response?
- Has our community reviewed in detail how we would respond if a stakeholder reported being unsafe or unwelcome? Are we confident in our plan to address the cause(s) and support the reporting community member?
- Are there stakeholders in our community who might feel less welcome based on identity or lived experience? What actions could we take to make these stakeholders more comfortable?

E4 Adhere to industry standards for accessibility

- How do we know if stakeholders have difficulty engaging with our products, services, or events? What actions could we take to better understand stakeholder experiences?
- What resources would our community need to make our products, services, or events more accessible? How might we attract those additional resources? What activities would we prioritize for investment?
- What pathways do we make readily available to stakeholders to request or receive accommodations? Do we need to recalibrate our approach so that accommodations are the default, rather than making them available by request?

FOREST Framework
for Values-Driven Scholarly Communication

S1 **Participate in networks that promote inclusive knowledge production, sharing, and use**

a   actively and freely share their expertise, content, and/or infrastructure in order to promote access to and reduce exclusions from knowledge production, sharing, and use

b   invest in and/or financially support community initiatives that advance access to and reduce exclusions from the production, sharing, and/or use of knowledge*

c   engage in community outreach and/or advocacy on behalf of individuals, communities, and organizations that experience exclusions from knowledge production, sharing, and use*

S2 **Commit to the development of a robust knowledge commons**

a   contribute to the diversity of the scholarly record

b   take action to prevent and rectify research misconduct, fraud, and manipulation of data and information

c   refuse to publish in or contribute to closed, restricted access, or APC-based communication channels

S3 **Prioritize access to knowledge**

a   explicitly commit to reducing exclusions from knowledge production, sharing, and usage in the community's mission statement, strategic plan, or other documentation

b   internally evaluate the community's impact (using specific metrics or key performance indicators) in reducing exclusion from knowledge production, sharing, and usage

c   have a leadership or senior position with clear accountability for delivering on and evaluating the community's work to reduce exclusions from the production, sharing, and/or use of knowledge*

d   participate in external evaluations to assess the community's impact in reducing exclusion from knowledge production, sharing, and usage*

FOREST Framework
for Values-Driven Scholarly Communication

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

SHARING OF KNOWLEDGE

S1 **Participate in networks that promote inclusive knowledge production, sharing, and use**

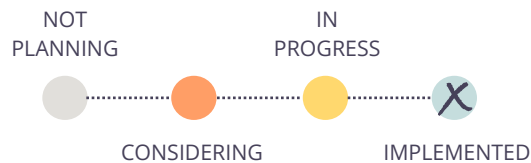Indicator applies specifically to software & infrastructure providers

Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING   IN PROGRESS

⬤   ⬤   ⬤   ✗

CONSIDERING   IMPLEMENTED

Mark your current status on the progress bar.

Communities at all stages ...

a. actively and freely share their expertise, content, and/or infrastructure in order to promote access to and reduce exclusions from knowledge production, sharing, and use

🔗 Published resources that promote access to and reduce exclusions from knowledge production, sharing, and use

⬤ ⬤ ⬤ ⬤

Mature communities also ...

b. invest in and/or financially support community initiatives that advance access to and reduce exclusions from the production, sharing, and/or use of knowledge

✔ Documentation of time, effort, and/or financial support provided to community initiatives that support inclusion in knowledge production

⬤ ⬤ ⬤ ⬤

c. engage in community outreach and/or advocacy on behalf of individuals, communities, and organizations that experience exclusions from knowledge production, sharing, and use

✔ Documentation of time, effort, and/or funding in support of outreach and/or advocacy to make knowledge production more inclusive

⬤ ⬤ ⬤ ⬤

FOREST Framework
for Values-Driven Scholarly Communication
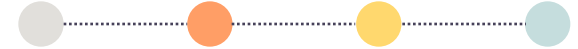
SHARING OF KNOWLEDGE

| S2 | **Commit to the development of a robust knowledge commons** |

▲▼ Indicator applies specifically to software & infrastructure providers
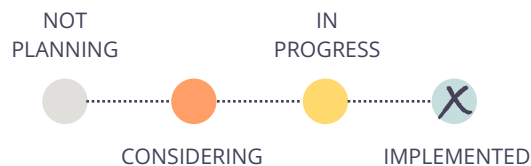
🏴 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING — CONSIDERING — IN PROGRESS — IMPLEMENTED ✗

Mark your current status on the progress bar.

Communities at all stages ...

🏴 **a. contribute to the diversity of the scholarly record**

🔗 Editorial or collection development policies or other documentation of contributions to the diversity of the scholarly record (e.g., language-based, cultural, epistemological)

🏴 **b. take action to prevent and rectify research misconduct, fraud, and manipulation of data and information**

🔗 Peer review and retraction policy(ies) and practices

✔ Documentation of incidents in which misconduct or fraud were addressed

c. refuse to publish in or contribute to closed, restricted access, or book- or article-charge-based (B/APC) communication channels

🔗 Publication policy

🔗 Bibliography of works published by community leadership and staff

SHARING OF KNOWLEDGE

S3 Prioritize access to knowledge

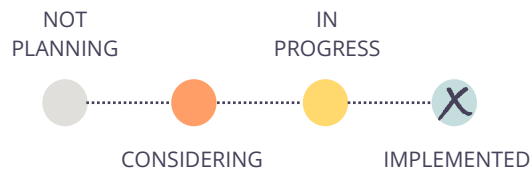⬍ Indicator applies specifically to software & infrastructure providers

🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING — CONSIDERING — IN PROGRESS — IMPLEMENTED

Mark your current status on the progress bar.

a. explicitly commit to reducing exclusions from knowledge production, sharing, and usage in the community's mission statement, strategic plan, or other documentation

🔗 Mission statement and/or strategic plan, including language that demonstrates a commitment to reducing exclusions from knowledge production, sharing, and usage

b. internally evaluate the community's impact (using specific metrics or key performance indicators) in reducing exclusion from knowledge production, sharing, and usage

✔ Reports documenting internal assessments undertaken to evaluate efforts in reducing exclusion

c. have a leadership or senior position with clear accountability for delivering on and evaluating the community's work to reduce exclusions from the production, sharing, and/or use of knowledge

✔ Organization chart or a position description for a leadership or senior role with clear accountability for delivering on and evaluating the community/organization's work to reduce exclusions from the production, sharing, and/or use of knowledge

d. participate in external evaluations to assess the community's impact in reducing exclusion from knowledge production, sharing, and usage

✔ Reports documenting external assessments undertaken to evaluate efforts in reducing exclusion

FOREST Framework
for Values-Driven Scholarly Communication

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.

S1	**Participate in networks that promote inclusive knowledge production, sharing, and use**	• How does our community's work contribute to the common good? • Who are our community's key collaborators in promoting inclusive knowledge production, sharing, and use? • In what ways does our community give back to the individuals, communities, and networks that we rely on, benefit, or profit from?
S2	**Commit to the development of a robust knowledge commons**	• What barriers (broadly defined) do potential users face in contributing to, accessing, or using our knowledge products? These barriers may relate to language, disability, economic status, educational attainment, affiliations, etc. • How does our community ensure that the content, knowledge, and information that we contribute to the commons is reliable and trustworthy?
S3	**Prioritize access to knowledge**	• Who has access to the knowledge we produce or steward? Who lacks access? How do the answers to these questions reflect on our commitment to inclusive knowledge production, sharing, and use? • Have our community's activities, practice, or mission been shaped or motivated by exclusion? How do we actively counter exclusion in our work?

FOREST Framework
for Values-Driven Scholarly Communication

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

a   publicly document any official business identity (including host, fiscal sponsor, or other arrangement) and governance structure
b   give stakeholders insight into community governance
c   disclose funding sources and conflicts of interest

T2 **Communicate quickly, proactively, and thoroughly**

a   openly acknowledge mistakes or harm and share how community will mitigate them in the future
b   allow and encourage questions, dissent, and critique

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

a   publicly share contract terms and conditions for all products and services
b   publicly share pricing for all products and services
c   prohibit the use of non-disclosure agreements

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

a   publicly share policies regarding the collection and use of user data or personal information
b   limit collection of user data to the minimum required for service provision
c   prohibit the selling of user data or insights derived from user data
d   follow industry-standard protocols for data anonymization*
e   allow users to easily opt out of data collection*

FOREST Framework
for Values-Driven Scholarly Communication

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

TRANSPARENCY

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

⇕ Indicator applies specifically to software & infrastructure providers
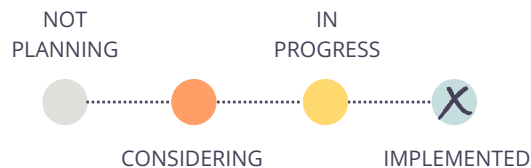
🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

NOT PLANNING · CONSIDERING · IN PROGRESS · IMPLEMENTED

Mark your current status on the progress bar.

Communities at all stages …

a. publicly document any official business identity (including host, fiscal sponsor, or other arrangement) and governance structure

✔ Tax status and/or relationship to an incorporated host or fiscal/legal sponsor, including official business identity, legal incorporated entity name, national jurisdiction, any "Doing Business As" names

✔ Mission statement and description of activities

b. give stakeholders insight into community governance

🔗 Description of organizational governance, including ownership and control structure, how decisions are made, e.g., bylaws, charter, or other official internal management structure rules

🔗 Governance meeting agendas, minutes, and official decisions

c. disclose funding sources and conflicts of interest

🔗 Inventory of funding sources

🔗 Acknowledgment of conflicts of interest

TRANSPARENCY

T2 Communicate quickly, proactively, and thoroughly

Indicator applies specifically to software & infrastructure providers
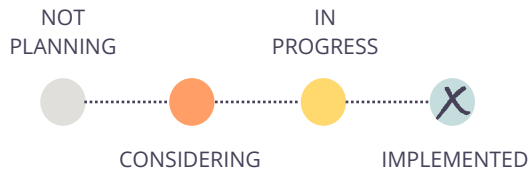
Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available

✔ Evidence item should be readily available internally

Communities at all stages ...

a. openly acknowledge mistakes or harm and share how community will mitigate them in the future

🔗 Examples of communication with stakeholders

b. allow and encourage questions, dissent, and critique

🔗 Examples of opportunities and invitations for stakeholders to express opinions and questions

NOT PLANNING
IN PROGRESS
CONSIDERING
IMPLEMENTED

Mark your current status on the progress bar.

FOREST Framework
for Values-Driven Scholarly Communication

TRANSPARENCY

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

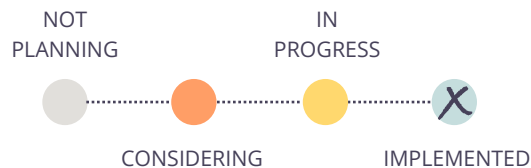Indicator applies specifically to software & infrastructure providers

Indicator applies specifically to publishers

Evidence item should be readily and publicly available

✓ Evidence item should be readily available internally

NOT PLANNING — CONSIDERING — IN PROGRESS — IMPLEMENTED

Mark your current status on the progress bar.

Communities at all stages ...

a. publicly share contract terms and conditions for all products and services

Terms and conditions for all products and services

b. publicly share pricing for all products and services

Pricing for products and services

c. prohibit the use of non-disclosure agreements

Statement against the use of non-disclosure agreements or giving stakeholders explicit permission to share information about contract terms and pricing

FOREST Framework
for Values-Driven Scholarly Communication

TRANSPARENCY

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

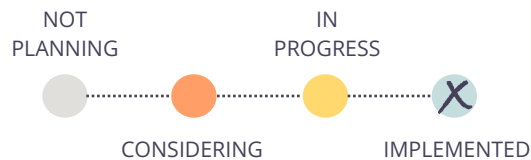⇕ Indicator applies specifically to software & infrastructure providers

🔖 Indicator applies specifically to publishers

🔗 Evidence item should be readily and publicly available
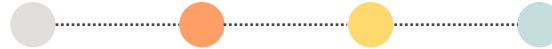
✔ Evidence item should be readily available internally

NOT PLANNING ---- CONSIDERING ---- IN PROGRESS ---- IMPLEMENTED ✗

Mark your current status on the progress bar.

Communities at all stages ...

a. publicly share policies regarding the collection and use of user data or personal information

🔗 Privacy and personal data collection and protection policy(ies)

b. limit collection of user data to the minimum required for service provision

🔗 Privacy and personal data collection and protection policy(ies)

c. prohibit the selling of user data or insights derived from user data

🔗 Privacy and personal data collection and protection policy(ies)

Mature communities also ...

d. follow industry-standard protocols for data anonymization

🔗 Privacy and personal data collection and protection policy(ies)

e. allow users to easily opt out of data collection

🔗 Privacy and personal data collection and protection policy(ies)

🔗 GDPR compliance statement

FOREST Framework
for Values-Driven Scholarly Communication

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?

FOREST Framework
for Values-Driven Scholarly Communication