



Coalition for Diversity & Inclusion  
in Scholarly Communications

# ORGANIZATIONAL GUIDE

September 29, 2020

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## Overview

The Coalition for Diversity and Inclusion in Scholarly Communications (C4DISC) was founded by 10 trade and professional associations that represent organizations and individuals working in scholarly communications. The Coalition was formed to discuss and address issues of diversity, equity, and inclusion (DEI) within our industry.

C4DISC is currently a community comprised of "Founding Organization" representatives who have defined its structure, leadership, and activities during a Formation Period (Spring-Fall 2019).

This document summarizes the key decisions made by the Founding Organization representatives to date regarding their work together. This document requires approval by each governing body of the Founding Organizations so that C4DISC may begin recruiting members, partners, and other contributors.

## Mission, Vision, and Values

The **Mission** of C4DISC is to work with organizations and individuals to build equity, inclusion, diversity, and accessibility in scholarly communications.

The **Vision** of C4DISC is a socially just community that welcomes, values, and celebrates all who seek to contribute to scholarly communications.

The **Values** of C4DISC include:

Respect.

- value differences
- welcome diverse perspectives

Listen.

- learn from different communities
- make space for marginalized voices

Act.

- eliminate barriers
- be an ally

# Organization and Leadership

Provided this Organizational Guide is approved, Association of University Presses (AUPresses) will provide legal standing and other appropriate services and management as needed. C4DISC is facilitated by Convener Melanie Dolechek, in concert with the Founding Organization representatives, who provide its direction and oversight.

## Founding Organizations

- Association of University Presses (AUPresses)
- Canadian Association of Learned Journals (ACRS)
- Council of Science Editors (CSE)
- International Society of Managing and Technical Editors (ISMTE)
- Library Publishing Coalition (LPC)
- North American Serials Interest Group (NASIG)
- Open Access Scholarly Publishers Association (OASPA)
- Society for Scholarly Publishing (SSP)
- UK Serials Group (UKSG)

## Decision-Making

Decisions are made by the Founding Organization representatives, with consensus-based decisions serving as the default for most activities. When a time-sensitive, contentious, or “official decision” need arises, any member may suggest a vote. A vote passes by simple majority. All Founding Organizations must vote or abstain formally by any agreed-upon deadline. Representatives not responding by the deadline will be assumed to be abstaining. There is one vote per organization for each Founding Organization by its official representative, regardless of the number of active participants in each organization (based on Robert's Rules of Order).

As additional Members join C4DISC, they will appoint an official representative who will vote or otherwise participate in the governing body on the member's behalf. As C4DISC membership grows, the size of the governing body may be limited, and governing body representatives will be determined by an election, with each C4DISC member organization casting one vote.

The governing body is referred to as the Steering Committee and will be responsible for:

- Policy decisions
- Financial decisions
- Creating working groups and appointing leads/chairs

## Documentation

C4DISC commits to maintaining transparency via posting minutes from meetings publicly using its website (c4disc.org).

## Activities

The activities of C4DISC are determined by its representatives.

- C4DISC has produced and released a “Joint Statement of Principles” available here: <https://c4disc.org/principles/>
- Additional activities that are under consideration by C4DISC include:
  - conducting market research;
  - providing training resources, best practices, toolkits, and documentation for our collective memberships; and
  - establishing outreach programs, curricula, events, and publications

# Membership Structure

## Scope

C4DISC has been founded by organizations representing constituencies predominantly in North America and Europe; we therefore bring a specific geographical perspective to our efforts to promote diversity and inclusion. We recognize that the issues we seek to address can take different forms in other geographies, and we affirm our commitment to welcoming and working with those organizations and individuals from any location who are committed to furthering our core principles. Because the founding members of C4DISC are based in North America and Europe, the documents we've produced so far therefore are in English. We encourage participants to translate our documents into other languages.

## Preface

There are various ways that individuals and organizations can participate in C4DISC. In an attempt to focus our efforts and achieve maximum impact, membership in C4DISC is limited to consortial members that represent the organizations and individuals who work in scholarly communications. Organizations can get involved and have a voice in C4DISC initiatives directly as Partners. Individuals and organizations can also contribute to the work of C4DISC by volunteering their time, making a donation, or adopting the Joint Statement of Principles.

## Members

Consortial groups such as societies and associations whose membership is composed of individuals, companies, or organizations, and whose mission and membership are related to scholarly communications, may join C4DISC as members. C4DISC members must:

- Publicly adopt the Joint Statement of Principles
- Contribute financially to C4DISC annually per the dues schedule below.

<b>Tier</b>	<b>Annual Revenue Above</b>	<b>Annual Dues</b>
Tier 1	\$0-\$99,999	\$250
Tier 2	\$ 100,000	\$750
Tier 3	\$ 250,000	\$1250
Tier 4	\$ 500,000	\$1750
Tier 5	\$ 1,000,000	\$2500
Tier 6	\$ 2,000,000	\$3500
Tier 7	\$ 3,000,000	\$5000
Tier 8	\$ 5,000,000	\$7500

C4DISC members are expected to:

- Disseminate the works of C4DISC
- Assist with fundraising and recruitment of partners and contributors
- Assist with administrative/operational functions as needed
- Within a year of becoming a member, adopt a code of conduct that is in alignment with the Joint Statement of Principles.
- Appoint an official representative who will vote or otherwise participate in the governing body on the member's behalf. As C4DISC membership grows, the size of the governing body may be limited, and governing body representatives will be determined by an election, with each C4DISC member organization casting one vote.

C4DISC members are encouraged to participate in working groups and are eligible to serve as working group leads/liaisons for C4DISC initiatives.

*Recruitment strategy: strategically invite, but provide information about joining on the website.*

Benefits: Recognition of membership (public acknowledgement that mission aligns with C4DISC principles); have a voice in governance for the organization; be actively connected with a group that has a common DEI goal and common values.

## Partners

Organizations whose business/work is related to scholarly communications who wish to support the work of C4DISC. Examples may include publishers, libraries, industry suppliers, etc.

C4DISC partners must:

- Publicly adopt the Joint Statement of Principles
- Contribute financially to C4DISC annually at any of the defined partnership levels.

<b>Level</b>	<b>Amount</b>
Bronze	\$1000
Silver	up to \$2500
Gold	up to \$5000

C4DISC partners are encouraged to:

- Participate in C4DISC market research initiatives
- Participate in working groups
- Inform employees about the work of C4DISC
- Provide feedback regarding C4DISC initiatives

C4DISC Partners will be acknowledged as partners on the C4DISC website at the appropriate level.

*Recruitment strategy: Members recruit from their memberships; info on website, social media, articles, public speaking.*

Benefits: Recognition of Support (public acknowledgement that mission aligns with C4DISC principles); have a voice in C4DISC initiatives; participate in working groups; be actively connected with a group that has a common DEI goal and common values

## How Others Can Get Involved

### Organizations

Organizations that are unable to participate fully as a partner, but who have an interest in scholarly communications and wish to support C4DISC may do so in the following ways:

- Make a donation (any amount)
- Participate in market research or other C4DISC initiatives
- Encourage staff to volunteer for C4DISC initiatives
- Publicly adopt the Joint Statement of Principles

### Individuals

Individuals who work or have an interest in scholarly communications and wish to support the work of C4DISC can show their support in any of the following ways:

- Make a donation (any amount)
- Join a working group
- Participate in market research or other C4DISC initiatives
- Assist with administrative tasks

*Recruitment strategy: Members recruit from their memberships; Partners recruit from their staff; info on website, social media, articles, public speaking.*

Benefits: opportunity to demonstrate the importance of DEI to you; give back to the community; help advance DEI issues in the industry; be connected with others that share a common DEI goal and common values.

## Working Groups

The Steering Committee will create working groups to carry out C4DISC initiatives. Each working group will have an appointed member-liaison and a lead (or 2); individuals will be invited to join via a general call for volunteers. Possible initial working groups could include:

- a. Communications
  - Outreach/Promotion/Marketing (external)

- Communication to members/partners (internal)
- b. Education/Programming/Professional Development/Resource Development
- c. Peer review of resources created (may be limited to governing body initially + experts)
- d. Website management/admin tasks
- e. Research oversight and dissemination
- f. Fundraising

# Organizational Model

## Legal Status

Provided this Organizational Guide is approved, AUPresses will serve as C4DISC's legal and fiscal sponsor/hosting organization. C4DISC is not a separate legal entity.

## Hosting Organization Responsibilities

1. General Accounting Support  
*NOTE: Separate bank account not required; but finances must be kept separate.*
  - a. Budget and Financial oversight processes; quarterly reporting
  - b. Create and distribute invoices; process payments (dues and donations)
2. Contractor Administration  
*NOTE: Contractor reports to the Steering Committee*
  - a. Manage contractor payments/reimbursements
  - b. Prepare 1099 and contract
3. Entity Administration  
*NOTE: Does not include incorporation activities as C4DISC not a legal entity*
  - a. As needed; responsible legal entity
  - b. If feasible, list C4DISC as an additional insured for D&O policy

## Supporting Organization Responsibilities

Provided this Organizational Guide is approved, SSP will support C4DISC by providing access to its communication platforms including training and support for the C4DISC facilitator. These include:

1. Website platform
2. Community platform
3. Email distribution platform
4. Webinar platform
5. Online meeting platform

## Governance Meetings

The Steering Committee meets monthly; convener facilitates agenda creation and meeting logistics. Meetings are virtual.

## Roles

The following leadership roles have been identified; elections will be held as needed.

- **Convener:** time bound, rotating, 1-year term, no more than 3 consecutive terms
- **Treasurer:** time bound, 1-year term, no more than 3 consecutive terms

<b>Role</b>	<b>Brief Description</b>	<b>Currently Filled By</b>
<i>Convener</i>	One who oversees the activities of C4DISC; calls the meetings together and drafts the agendas	Melanie Dolechek
<i>Treasurer</i>	Oversees the management and reporting of the organization's finances	Brit Stamey
<i>Representatives/Steering Members</i>	Active participants from each member organization	Founding Members
<i>Ambassadors (presentations, articles and blog posts, etc)</i>	Understands C4DISC mission, vision, and values and looks for opportunities to spread the word and encourage participation.	Mostly Convener, but others also contribute/act as ambassadors, Staff Facilitator
<i>Notetaker (action items from calls)</i>	Attends all calls/meetings, takes notes and itemizes to-do list. Distributes to all representatives	Convener, Staff Facilitator
<i>Communications (website, social media)</i>	Updates the content on the website, posts activities (such as presentations and new signers of the statement)	Convener, Staff Facilitator
<i>Responders to expressions of interest</i>	Responds to any enquiries regarding opportunities to sign on and/or join the C4DISC initiative	Convener, Staff Facilitator
<i>Working Group Leads</i>	Chair or co-chair the working group, directing their work, scheduling meetings, and preparing reports	Volunteers
<i>Working Group Liaison</i>	Oversee and advise the work of Working Groups, report back to the Steering Committee on progress/activities	Steering Committee Members

## Staffing

C4DISC will retain an independent contractor to provide day-to-day support and facilitation. Anticipated time commitment is 8 hours per week. Anticipated duties include:

1. Ensuring the community is doing the things it says it wants to do
2. Community information management (spreadsheet or database)
3. Point of contact between community and host/sponsor organizations
4. New member and partner recruitment

5. External communication management
6. Website maintenance; social media management, prepare communications, online community management
7. Grant writing
8. Oversee market research (projects and partners)
9. Webinar and events planning

## Operating Budget

The C4DISC fiscal year will run from July 1 – June 30.

### 2020 Revenue

<b>Source</b>	<b>Amount</b>
<i>Membership Dues</i>	\$14,750
<i>New Member Dues</i>	\$TBD
<i>Partner Donations</i>	\$TBD
<i>Other Donations</i>	\$TBD
<i>Total</i>	\$14,750

### 2020 Expenses

<b>Function</b>	<b>Paid To</b>	<b>Amount</b>
<i>Facilitation staffing</i>	Independent contractor	\$10,000 - \$15,000
<i>General accounting support</i>	AUPresses	\$2000
<i>Contractor Administration</i>	AUPresses	\$1000
<i>Entity Administration</i>	AUPresses	\$500
<i>Technical support</i>	SSP	\$1500
	<b>Total</b>	<b>\$15,000 - \$20,000</b>

NOTE: A more complete budget will be created with projections for new member dues and donations once the Organizational Guide is approved.

# Policies and Procedures

## Code of Conduct

The Coalition for Diversity and Inclusion in Scholarly Communications (C4DISC) was founded by 10 trade and professional associations that represent organizations and individuals working in scholarly communications. The mission of C4DISC is to work with organizations and individuals to build equity, inclusion, diversity, and accessibility in scholarly communications.

This Code of Conduct applies to all forms of participation in the C4DISC community, including, but not limited to:

- Messages sent via C4DISC communication channels, both internal (e.g., Listservs) and external (e.g., social media);
- Participation in C4DISC governance or working groups;
- Participation in in-person and virtual events convened by C4DISC.

We acknowledge that our members have their own codes of conduct and enforcement policies and we support their efforts.

## Standards of Conduct

The Coalition for Diversity and Inclusion in Scholarly Communications is dedicated to creating a harassment-free community for everyone regardless of gender, gender identity and expression, sexual orientation, disability, physical appearance, body size, race, ethnicity, religion (or lack thereof), or other group status. C4DISC will not tolerate harassment of—or by—members or guests of the community in any form. Sexual or discriminatory language and imagery is not appropriate for any C4DISC community venue, whether virtual or in person. Community members or guests violating these rules may be sanctioned or expelled at the discretion of C4DISC leadership.

Harassment includes offensive verbal or written comments related to gender identity and expression, sexual orientation, disability, physical appearance, body size, race, religion; sexual and/or discriminatory images in physical or virtual public spaces; deliberate intimidation, stalking, following, harassing photography or recording; sustained disruption of talks or other events; inappropriate physical contact; and unwelcome sexual attention. Professional conduct should be based on the principle of respect for others. Professional conduct does not tolerate exploiting any status or power difference.

## Addressing violations of the standards of conduct

Formal reporting and enforcement mechanisms will be added as the community structure develops. In the meantime, if you are being harassed, notice that someone else is being harassed, or have any other concerns, please contact the C4DISC

convener (Melanie Dolechek, mdolechek@sspnet.org), who will work with the founding organization representatives to determine the appropriate course of action.

If someone is found in violation of the Code of Conduct of one of the member associations, then sanctions issued may extend to C4DISC participation as well. We will respect the judgment of our member associations regarding their Codes of Conduct.

## Conflict of Interest Policy and Disclosure Statement

Members of the governing body of the Coalition for Diversity and Inclusion (C4DISC) expect high standards of integrity of themselves and of the other representatives. They expect that the decisions made by the governing body and its members will consistently fulfill the purposes set forth in its mission and bylaws. Should a representative have a personal financial interest, or a financial interest in any agency, company, or entity that receives or will receive remuneration for performing services for C4DISC, that representative shall be obligated to disclose that interest to the governing body.

If at any time a representative has, appears to have, or believes that they have any conflict of interest, or that they may be unable, or may appear to be unable to maintain professional objectivity, or to not act in the best interests of C4DISC on any issue because of a personal situation, employment, conflicting interest, or other reason, that representative shall recuse themselves from any position, discussion, or vote on that issue.

Individual representatives should feel free to discuss any possible conflict of interest with the C4DISC Convener or with the entire governing body if that representative so desires. Recusing oneself shall not prevent a representative from participating in other activities or discussions where no conflict of interest exists.

## Business Records Retention Schedule

Record	Retention Period
Accident reports and claims (settled cases)	30 years
Accounts payable ledgers and schedules	7 years
Accounts receivable ledgers and schedules	7 years
Audit reports	Permanently
Bank reconciliations	1 year
Bills of lading	4 years
Capital stock and bond records; ledgers; transfer registers; stubs showing issues; record of interest coupons, options; and so forth	Permanently
Cash books	Permanently
Charts of accounts	Permanently
Checks (canceled; see exceptions below)	4 years
Checks (canceled; for important payments such as taxes, purchases of property, special contracts, and so forth, checks should be filed with the papers pertaining to the underlying transaction)	Permanently
Contracts and leases (expired)	7 years
Contract and leases still in effect	Permanently
Correspondence (routine) with customers or vendors	1 year
Correspondence (general)	3 years
Correspondence (legal and important matters only)	Permanently
Deeds, mortgages, and bills of sale	Permanently
Depreciation schedules	Permanently
Dividend checks/records (canceled)	Permanently
Duplicate deposit slips	1 year
Employee personnel records (after termination)	3 years

Employment applications	3 years
Expense analyses and expense distribution schedules	7 years
Financial statements (end-of-year, other months optional)	Permanently
General and private ledgers (and end-of-year trial balances)	Permanently
Insurance policies (expired)	3 years
Insurance records, current accident reports, claims, policies, and so forth	Permanently
Internal audit reports (in some situations, longer retention periods may be desirable)	3 years
Internal reports (miscellaneous)	3 years
Inventories of products, materials, and supplies	7 years
Invoices to customers	7 years
Invoices from vendors	7 years
Journals	Permanently
Minute books of directors and stockholders, including bylaws and charter	Permanently
Notes receivable ledgers and schedules	7 years
Occupational injury and illness records	5 years
Option records (expired)	7 years
Payroll records and summaries including payments to pensioners	3 years
Petty cash vouchers	3 years
Physical inventory tags	3 years
Plant cost ledgers	7 years
Property appraisals by outside appraisers	Permanently
Property records including costs, depreciation reserves, end-of-year trial balances, blueprints and plans	Permanently

Purchase orders (except purchasing department copy)	1 year
Purchase orders (purchasing department copy)	7 years
Receiving sheets	1 year
Reorganization records	Permanently
Requisitions	1 year
Sales records	4 years
Savings bond registration records of employees	3 years

## Procedure for New Members and Steering Committee Representatives

When new members join, they will be asked to assign a steering committee representative at the time they join.

1. If a member organization chooses not to appoint a steering committee member or the appointed member chooses not to consistently participate in the steering committee meetings, their seat will not be counted toward quorum and votes will be counted as abstentions.
2. In most cases, representative appointments/changes should coincide with C4DISC's fiscal year (July 1) in order to maintain continuity with the group.
3. Outgoing representatives for an organization should brief their incoming replacements.
4. At the July and December meetings each year, new members are invited to an orientation process to bring new members up to speed.
5. New members joining throughout the year will receive onboarding documentation and be assigned an onboarding "buddy" They will be invited to attend an onboarding/orientation session in December or July.
6. As C4DISC grows, the steering committee will assess the appropriate size of the steering committee and determine the point of when we'll move to an elected steering committee model.

# Financial Policies & Procedures

## 1. Fiduciary Management

### 1.1 Bank Accounts

C4DISC's banking shall be conducted by AUPresses under the same procedures AUPresses follows for its own bank accounts; currently, allowing two authorized signatures – the AUPresses Executive Director and the AUPresses Business Manager. Checks, electronic withdrawals, and other payments in excess of \$5,000.00 shall require approval of both the AUPresses Business Manager and the AUPresses Executive Director.

The AUPresses Business Manager (or such other person(s) as they or the AUPresses Executive Director may appoint) shall submit to the C4DISC Treasurer a quarterly reconciliation of corporate bank account activity.

AUPresses shall promptly notify C4DISC in the event of any change to these procedures.

### 1.2 Annual Budget & Financial Statements

The AUPresses Business Manager (in consultation with such other person(s) as they deem necessary) shall provide a draft budget, under the supervision and with the approval of the AUPresses Executive Director, to the C4DISC Treasurer three months prior to the commencement of the C4DISC program year, July 1st.

Upon review by the C4DISC Treasurer, the draft budget shall be submitted to full C4DISC Steering Committee not less than two months prior to the commencement of the C4DISC program year, July 1st. Upon its review, the C4DISC Steering Committee shall approve the budget not less than one month prior to the commencement of the C4DISC program year.

Quarterly financial statements shall be distributed to the C4DISC Treasurer.

### 1.3 Treasurer's Report

The C4DISC Treasurer shall report on current financial statements to the C4DISC Steering Committee on a quarterly basis.

### 1.4 Audit

AUPresses shall have an audit by a Certified Public Accountant for each fiscal year ended March 31. C4DISC's financial statements may be subject to

review as part of this process; in such case, AUPresses shall communicate to the C4DISC Treasurer such portions of its audit documents as pertain to C4DISC. No independent audit of C4DISC is required unless authorized by the Steering Committee.

### 1.5 Expense Reimbursement

Expenses incurred on behalf of C4DISC must be approved in advance by the C4DISC Treasurer. AUPresses maintains written Travel Expense Guidelines, and reimbursement for travel and travel-related expenses on behalf of C4DISC shall be consistent with those guidelines.

### 1.6 Corporate Credit Cards

No credit cards shall be issued in C4DISC's name or on its behalf.

### 1.7 Contracts

Signatory authority for contracts creating liabilities or obligations on behalf of C4DISC in excess of \$5,000.00 shall be signed by the C4DISC Treasurer and the C4DISC Convener. Obligations below this threshold may be incurred by the C4DISC Treasurer or the C4DISC Convener.

### 1.8 Liability Insurance

AUPresses maintains Liability insurance for Commercial General, Automobile, Directors and Officers, and Employment Practices with a minimum aggregate liability of \$1M. AUPresses shall ensure C4DISC is named as an additional insured under this policy, and shall promptly notify C4DISC of any changes in coverage.