

# Recommendations of the Values Alignment TaskForce

The objective of the Values Alignment Task Force is to deliver a set of recommendations - a [Due Diligence process](#) - for approval by the Executive Council on how to identify whether an organisation or service is acting in accordance with [The Carpentries Core Values](#).

## The Due Diligence Process

The Due Diligence process is a process that is carried out in addition to standard application review or application rubrics. The level of due diligence should be tied to both the monetary and in-kind contributions, as well as the level of publicity resulting from the contribution. If the amount being contributed is above the Due Diligence Threshold and/or we will be publicly affiliated with the organisation we should engage in a due diligence process.

- **Internal Process:** The due diligence process should be an internal process rather than an application, form or interview. This is especially recommended with funding organisations in mind, as they may not take kindly to being interviewed after offering funds.
- **Committee:** We do not need a review board as this could increase the resources needed to support a timely review. The due diligence process should be easy enough for 1 person to initiate and review. If any concerns arise there should be another responsible party or committee that gets pulled into the conversation.
- **Threshold:** The Carpentries should establish a threshold for when the Due Diligence process should take place. Core Team Capacity makes investigating a \$1000 gift less profitable especially if we receive lots of small gifts, for example. Some recommendations for creating a threshold are: amounts larger than the typical donation size for The Carpentries, or a percentage of The Carpentries total income. The threshold amount should be updated, as needed, on an annual or biennial basis and documented in the associated/appropriate policy documentation.
- **Keep Internal Audit Documentation:** There should be documentation each time an organisation is audited or evaluated for alignment with our values. An audit trail will be helpful for documenting findings, decisions, and rationale behind those decisions. It is recommended that these records from the due diligence process be maintained as confidential within the Core Team and Executive Council. These records should not be disclosed publicly, as a sign of respect, as well as the possibility of change and growth. Prior to sharing any findings from the due diligence process publicly, we should seek legal counsel.
- **Balance Risk & Need:** We should do our best to balance the funds and services we need to operate and move the mission forward with any risks of The Carpentries associating with organisations that may not be ideal. It may be the case that a

funder/service provider is not ideal. However, if we need their funds/service to continue operating, we may need to make a hard decision (e.g. continuing to use the funds) in the short term while being proactive to find other long term solutions.

We recommend a different level of due diligence depending on the type of relationship being considered so we have outlined the following recommendations by relationship type.

## Funders

Funders are organisations that support The Carpentries by providing money through grants, donations or sponsorships.

- Possible questions or considerations for due diligence on funding organisations:
  - Why might this funder want to work with us?
  - What are they getting in return?
  - US Office of Foreign Assets Control (OFAC) Database Results - This is the check you run on your partners and anyone getting funds from The Carpentries. As other funding organisations may have clauses in their agreements that forbid association with or passing money on to or through possible terrorist organisations, and we do not want to endanger the funds we receive.
  - Better Business Bureau (BBB): The Better Business Bureau helps United States, Canada, and Mexico consumers find businesses and charities they can trust.
- If there are questions/concerns about the funder:
  - Considerations should be made to weigh the impact of rejecting the funds outright. It may be recommended to accept a smaller portion of funds or to adjust the benefits to the funder as not to promote the funding organisation more than is necessary.
  - If the concern was about past behaviour - look for evidence of sustained or forthcoming change.

## Service providers

Service providers are those organisations whose services or platforms The Carpentries utilise to support infrastructure or operations. (for example: GitHub, Mailchimp, Zoom, Twitter, etc.)

- Due diligence on service providers can be done less frequently (Annually, Biennial, etc.) Considerations for frequency could align with the visibility and reach of use.
- Consider running an US Office of Foreign Assets Control (OFAC) Database Results check on service providers as well.
- Consider that using a free service offering could be seen as an in-kind donation with a particular value (though this may be difficult to quantify).
- If there is a concern about a service provider:
  - If the concern was about past behaviour - look for evidence of sustained or forthcoming change.
  - It is not recommended that a relationship be terminated due to one incident

- Weigh the options (pros/cons) of switching services/platforms and document the decision or outcome.

## Member Organisations

These are the organisations that purchase The Carpentries membership.

- The Code of Conduct, as well as current processes for reporting Code of Conduct violations, serves as our process for ensuring that individuals joining the community through member organisations are aligned with The Carpentries Values.
- The Carpentries should consider the following:
  - How does The Carpentries or Code of Conduct Committee determine when the actions of an individual are representative of the organisation?
  - Are member organisations made aware of Code of Conduct violations by their folks? And/or should they be made aware and when?
  - Does the Code of Conduct Committee review trends associated with organisations? If not, should they? And if so, should there be considerations of discontinuing membership if there are multiple incidents stemming from one organisation that remain unaddressed?

## Volunteers

Volunteers make up The Carpentries community and include the Executive Council, instructors, helpers, lesson developers and maintainers, etc.

- The Code of Conduct, as well as current processes for reporting Code of Conduct violations, serves as our process for ensuring those who make up The Carpentries Community are aligned with The Carpentries Values.

## Non-Affiliated Hosting Organisations

Non-affiliated hosting organisations are organisations that purchase workshops and/or instructor training seats but are not members organisations. Also included in this group are those organisations hosting community events (e.g. CarpentryConnect/CarpentryCon conferences).

- Organisations purchasing a-la-carte services: Minimal to no checks are needed for these organisations because they are not entering into a partnership or relationship with The Carpentries.
- Organisations hosting conferences: Due diligence should be done on organisations hosting conferences or where conferences will be held.

## Future Considerations (Outside of the current scope)

In regards to funding organisations or a sponsorship program: Is it worth thinking about the sponsorship levels with an equity and inclusion lens? The amounts being requested may be something only organisations in a higher income country could provide. In other words, if the levels are the same for every organisation we may only get persons from the same economic background.