

ICPSR COUNCIL MEETING MINUTES

October 8 – 9, 2009

Council members present: Aletha C. Huston (Chair), Francine Berman, Michael R. Haines, Kathleen Mullan Harris, Thomas LaVeist, Jeffrey Moon, Samuel L. Myers Jr., Lori M. Weber, Ann Wolpert, and Christopher Zorn

ICPSR staff present: Nathan Adams, JD Alford, George Alter, Rita Bantom, Bryan Beecher, Timothy Bynum, Linda Detterman, Robbin Gonzalez, Peter Granda, Myron Gutmann, Lynette Hoelter, William Jacoby, Stacey Kubitz, Felicia LeClere, Nancy McGovern, James McNally, JoAnne O'Rourke, Michelle Overholser, Amy Pienta, Mary Vardigan, and Cole Whiteman

Visitors present: Diane Geraci, Massachusetts Institute of Technology Libraries; Merrill Shanks, University of California, Berkeley; and Kevin Schürer, Director, UK Data Archive

Director's Report

After introductions, Myron Gutmann presented his Director's Report to Council.

Gutmann reviewed the highlights of the upcoming meeting, which was to include the Warren Miller and William Flanigan Awards Ceremony and Symposium later that day. Gutmann also reviewed the "virtual" OR meeting taking place that week through a series of webinars, noting that over 170 attendees had registered for 24 sessions.

Gutmann mentioned that six Council members' terms would expire after the March 2010 Council meeting. Thanks go to Michael Goodchild, Michael Haines, Kathie Harris, Aletha Huston, Sam Myers, and Matthew Snipp for their service to the organization.

Gutmann acknowledged ICPSR staff members Nancy McGovern and Bryan Beecher for receiving recent awards: McGovern was elected a Fellow of the Society of American Archivists and Beecher won the DuraSpace Open Access Week Contest.

Gutmann also reported that the Summer Program had another successful year with 811 participants, 60 courses, and 93 instructors and 53 TAs from 58 institutions.

The budget forecast for 2010 was favorable with a predicted end-of-year result of over \$600K.

Gutmann presented information about several new initiatives, including four new grants garnering economic stimulus funding:

- Challenge Grant: Exploring New Methods for Protecting and Distributing Confidential Research Data (LeClere/Beecher -- NIH)
- Biomarker Data Catalog (McNally -- NIA)
- Liaoning Multi-Generational Panel Dataset (James Lee – NICHD)
- Measuring the impact of ARRA on social science data (Pienta – NSF)

Five additional new grants were also recently funded:

- Rescuing and Archiving Social Science History Data (Alter – IMLS)
- Distributed Preservation Development (McGovern – IMLS – Harvard)
- Collaborative Study of Suicidality and Mental Health in the U.S. Army (Granda-NIH – with SRC)
- Digital Preservation Training (McGovern – Library of Congress)
- Fedora Proof-of-Concept for Social Science Data (Beecher – NSF)

In addition, ICPSR received a grant from the National Institute on Drug Abuse to fund a new topical archive called the National Drug Abuse and HIV Data Program.

In the area of membership, Gutmann announced that ICPSR now has 698 total members, an increase of 22 since July. The ICPSR following on social networking sites is growing steadily.

ICPSR's efforts in the instructional arena are bearing fruit: the organization is now creating teaching materials in the form of Data-Driven Learning Guides, part of the Online Learning Center; linking instructors to teaching resources through TeachingWithData.org; and working on assessing quantitative literacy through an NSF Course, Curriculum and Laboratory Improvement (CCLI) grant.

Gutmann highlighted several new datasets that ICPSR has recently released, including the latest version of the SETUPS teaching module based on the 2008 election data.

On the digital preservation front, Gutmann noted that ICPSR has begun to work with the Library of Congress's Digital Preservation Training project in addition to providing regular workshops in Ann Arbor and other venues.

Staff recently completed a project to rationalize career paths for data processing staff, making standards for promotion explicit.

Gutmann noted that this was his last official meeting of Council as he had accepted a position to head the Social, Behavioral and Economic Sciences Directorate of the National Science Foundation effective 11/2/2009. Gutmann reviewed his eight years in office and how far ICPSR had come during that time.

In reviewing the changes and accomplishments during his eight years at ICPSR, Gutmann highlighted the following:

- The ICPSR collection grew from approximately 4000 studies to over 7500
- The Summer Program enrollment grew from a little over 500 participants to over 800
- Revenues grew from \$6 million to over \$15 million, mostly as a result of new grants and contracts

- The staff more than doubled with strategic hires adding to ICPSR’s capacity in new areas and more staff able to serve as principal investigators to generate new funding
- ICPSR headquarters moved from the old Borders Building on Maynard Street to its current home in the renovated Perry Building
- The ICPSR Web site underwent substantial changes to improve data dissemination
- ICPSR redesigned its “data pipeline” process, charting out and then improving its internal processes and procedures
- The ICPSR warehouse, containing old tapes and paper materials, was cleaned out with most of the content recycled and key content set aside for safekeeping and sent to Iron Mountain for storage. This saved the organization over a quarter of a million dollars.
- ICPSR created a “warm backup” for its online holdings in the Amazon Cloud and outlined a set of organization-wide procedures for disaster response
- The organization created a Strategic Plan with five key directions and a focus on protecting respondent confidentiality

Budget and Policy Committee

Council: Aletha C. Huston (Chair), Francine Berman, Michael R. Haines, Jeffrey Moon, Samuel L. Myers Jr., Ann Wolpert

Staff: JD Alford, George Alter, Rita Bantom, Myron Gutmann, Stacey Kubitz

I. Strategic Plan Report

As stated in the Council binder, ICPSR will spend the next six months incorporating the new projects and new archives that have been or are in the process of being funded. Due to this growth in sponsored projects and changes in ICPSR leadership, it is inevitable that some of the started projects won’t be finished this year.

II. Financial and Administrative Issues

A. FY 2009 Year End Results

Staff reported that ICPSR ended Fiscal Year 2009 with a deficit of \$805K. The bulk of this deficit was the result of the timing of sponsored project payments. The ICPSR Summer Program had a shortfall of \$155K, which also contributed to the organization’s deficit. Membership and indirect cost revenues were higher than originally budgeted, which helped to provide a favorable \$347K to ICPSR’s bottom line.

B. Forecast for FY 2010

ICPSR’s budget forecast for FY 2010 has changed significantly since the June Council meeting. ICPSR is now anticipating a \$638K surplus rather than the previously reported \$411K deficit. The main contributors to this change are the nine newly (or nearly) awarded sponsored projects. These projects are expected to create \$600K in indirect cost revenue and transfer an additional \$200K in staff salaries from membership/IDCR funded projects. The updated forecast also includes Myron Gutmann’s salary moving off ICPSR accounts and onto an NSF-paid contract.

C. Planning for FY2011: Building a New Member-Funded Budget

ICPSR staff has started formulating the process for building a member-funded budget that emphasizes core budget needs for each area consistent with the Strategic Plan. As detailed in the

briefing book, staff proposes to move from a residual-based budgeting strategy, in which membership and IDCR fund anything not covered by sponsored projects, to a process in which membership is treated like a sponsored project. Council agreed that this method would help provide strategic direction and lead to more predictable planning and budgeting.

III. Governance Issues

A. Leadership Planning

Council reported that they had met with the Situational Review Committee and that the committee is weighing an internal versus an external search for ICPSR's next Director. Council members asked George Alter about his plans to handle the increased workload during his interim role as Director. Alter stated that three of his primary Associate Director responsibilities are organizational structure, personnel, and monitoring workflow processes. He plans to distribute these functions to two or three Topical Archive Directors to help with his increased responsibilities. A portion of the Archive Directors' salaries would then be funded by membership or indirect cost revenue.

B. Evaluation of June Council Meeting

After a short discussion of the pros and cons of the June (and possible future) virtual Council meetings, Council agreed to having three "face-to-face" meetings in 2010. One of the key reasons for forgoing a June 2010 virtual meeting was that new Council members would be seated in March. Council also agreed to have staff schedule a December 2010 virtual meeting (fourth meeting) that would be available if needed.

IV. Projects

A. Archive Technologies Alliance Project - Report on July Meeting

There was no discussion of this topic during the committee meeting or report. Information about the July Archive Tools Coalition meeting in Canberra was provided to Council in the briefing book.

B. Grant Applications Submitted Since June

A list of grant applications was included in the "Forecast for FY 2010" portion of the briefing book for reference. There was no discussion of this topic during the committee meeting or report.

Collection Development Committee

Council: Lori M. Weber (Acting Chair), Kathleen Mullan Harris, Thomas LaVeist, Christopher Zorn

Visitor: Kevin Schürer

Staff: John Garcia, Robbin Gonzalez, Peter Granda, JoAnne McFarland O'Rourke, Amy Pienta

I. Strategic Plan

Staff updated the Committee on Strategic Plan activities regarding Directions 1 (Leadership), 3 (Broadened Collections), and 5 (Resource Capacity). Staff informed the Committee that ICPSR had acquired new grants from the Institute of Museum and Library Science to develop partnerships with Institutional Repositories, from the National Science Foundation to evaluate the impact of the 2009 Recovery and Reinvestment Act on the social sciences, and from the National Institute on Drug Abuse (NIDA) to develop an archive for sharing data collected with NIDA funding (in process).

Staff also reported on the completion of new job descriptions used for most of the staff who work in the Collection Development Unit and the ongoing work of the Processing Workflow Committee to create new descriptions of data processing procedures.

Council expressed interest in data collected about the impact of the Recovery and Reinvestment Act and the extent to which foundations were involved in these awards.

II. Resource Center for Minority Data

The new Director of the center, John Garcia, who started at ICPSR on August 15, presented a strategic plan for the current fiscal year. The plan focuses on three objectives: 1) Evaluate the personnel resources required to advance the mission of the Archive and develop a staffing plan; 2) Explore possible outside funding sources; and 3) Define the designated community for RCMD resources and enhance outreach to this group.

A new pamphlet has been developed that describes the mission, tools, and resources of the Archive, particularly its emphasis on tutorials, webinars, user guides, video tours, and online learning modules geared to the undergraduate population.

Immigration data is a subject of particular interest to the Archive, and the new Director hopes to develop a working group of scholars to encourage the Department of Homeland Security to renew distribution of more detailed information on immigrants similar to what appears in the Immigrants Admitted to the United States series. The LEADS database will also be searched for any specific mention of possible immigration research collections that could be acquired. A project listserv may also be started to discover if researchers are familiar with RCMD and to generate ideas about how to serve this community better.

The Director would also like to pursue a possible relationship with Russell Sage Foundation since they have funded a number of immigration studies and have awarded grants for data collections that might be of interest to the RCMD archival audience.

Plans are also under way to cultivate new memberships among the Historically Black Colleges and Universities and the Hispanic Association of Colleges and Universities through increased site visits and encouraging submissions for the ICPSR Undergraduate Paper competition. The Director also plans to encourage the deposit of qualitative and restricted datasets to further expand the range of holdings in the Archive.

III. Plan for Drafting a New Version of the Collection Development Policy

Amy Pienta, Director of Acquisitions, described how the current policy was formulated and how the LEADS database and Data-PASS project have identified and, in some cases, encouraged the deposit of new data collections at ICPSR. Similarly, the digital content review committee has produced a number of reports about acquiring new types of data including video, relational databases, GIS, and qualitative data. A new IMLS-funded project on building alliances between data archives and Institutional Repositories will also play a role in the revision of the Collection Development Policy. Seven challenges and constraints were described including those relating to proprietary data, data that

were not curated, confidential data, data from Institutional Repositories, the need for a better implementation plan for the Policy, new content areas, and new selection criteria.

Before any new policies are finalized, the Committee suggested that staff refine the general criteria used to accept and reject data collections, to study how non-quantitative data are handled by other organizations, and to seriously consider which collections to acquire at ICPSR and which might remain in other archives that could be accessed by ICPSR users.

The Committee suggested that during the policy review staff choose one or two non-quantitative datasets to process to gain further experience before focusing on any longer-term strategy.

IV. Restricted-use Contract Statistics and the Results of the Task Force Investigation into Creating a Virtual Data Enclave

Staff presented the Committee with updated usage statistics regarding the amount of restricted-use data supplied to researchers in FY 2009. The amount supplied from the General Archive using member dues resources is still low and provides a valuable service to the membership without straining resources. At this time there is no need to consider separate charges for this service.

ICPSR established a Virtual Data Enclave Task Force that studied modes of providing remote access to confidential data. The report focused on two strategies in particular: a Virtual Data Enclave (VDE) designed to provide access to highly sensitive data, envisioned as a virtual version of ICPSR's current physical data archive, and a Remote Restricted Data Access (RRDA) system, which would require a Data Use Agreement and use the same technology as a VDE, but would not necessitate detailed disclosure analyses on output removed from the RRDA.

Staff described the financial challenges in implementing such a system since it would require a large investment in hardware, software, and staff training. The Committee expressed interest in hearing more about this system at future meetings.

V. Report on LEADS Database Project

The Committee had asked for a report from staff about the results of data mining of the LEADS database and surveying the Summer Program faculty for ideas for new archives at its June meeting. Partly because of the difficulties encountered in attempting to hire a particular person to do the data mining tasks, this Action Item has been postponed until the March Council meeting.

Membership and Marketing Committee

Council: Thomas LaVeist (Chair) and Jeffrey Moon
Staff: Linda Detterman and John Garcia

I. Strategic Plan Progress

Staff updated Council on the progress of the Strategic Plan for Membership and Marketing. Staff is in the process of executing *Innovation Watch* – a small team of staff that is putting together infrastructure for the purposes of monitoring competitive forces and other environmental issues. The team is focusing on two components: Data Watch, an effort to identify missing/aging data that are

popular among our users but not available/updated at ICPSR, and Dissemination Watch, an effort to identify niche players in the data archive space and useful technologies that ICPSR might adapt to better serve its users. More information on initial scans will be available in March.

II. Membership and Utilization Activity

Membership has shown some growth this fiscal year, and membership drops are running about average. The economy is having some impact leading to some drops, but not at a level that is alarming. Receipt of membership dues is running slightly behind FY2009 and Membership Director will be monitoring receipts closely and sending earlier and more frequent payment-due notices than in the past.

III. OR Meeting 2009

The 2009 OR Meeting was in process as the Council Meeting was taking place. Webinar attendance was consistent throughout the week, and staff believes that sessions were being attended not only by ORs and DRs, but also by others in the data community. The GoToWebinar technology proved effective with no significant broadcast issues to report. A full analysis for the 2009 meeting will be available in March for a review of the effectiveness of the virtual meeting environment and as a means to begin planning for 2011.

IV. Targeting Minority-serving Institutions for Membership

The Committee discussed opportunities for creating awareness of ICPSR and ultimately securing memberships among minority-serving institutions including HBCUs and HACUs.

The Committee suggested staff approach the United Negro College Fund and the Thurgood Marshall College Fund as a start. During Council open session, Weber suggested using CSU as a means of establishing contacts for Latino-serving institutions.

Detterman suggested using a marketing strategy similar to that used to promote the Online Learning Center. The first step would be to establish contacts among those entities that could get ICPSR on the presentation/workshop docket during meetings/conferences when representatives of these institutions gather. The purpose would be to thoroughly introduce ICPSR and its resources with the intent to garner interest in membership. She also suggested that ICPSR develop a two-year subsidized membership whereby institutions could join for a trial period providing they agree to promote ICPSR resources during that two-year period. ICPSR would also offer institutions the opportunity to join as a federation. Lastly, the Committee agreed it should pursue foundation support as a means to support membership. An update on planning and progress on this initiative will be provided in March.

Preservation and Access Committee

Council: Kathleen Mullan Harris (Chair), Francine Berman, Ann Wolpert

Visitors: Diane Geraci, Kevin Schürer

Staff: Nathan Adams, Bryan Beecher, Nancy McGovern, Karen Sullivan, Mary Vardigan

I. Strategic Plan Progress

Council and staff discussed progress on the Strategic Plan. Several noted that leadership is difficult to measure, but perhaps a gap analysis would be a useful management tool. Council noted that ICPSR's training activities are one way in which the organization demonstrates leadership. Going forward, ICPSR work plans will be aligned with the Strategic Plan. Two pieces of advice were given to ICPSR regarding the Strategic Plan: (1) The ICPSR Strategic Plan does not set context of audience; we should target a given objective to a specific audience and engage the membership for one or more objectives; and (2) We shouldn't lose ourselves in vague goals. Council emphasized that they were not criticizing current implementation tactics but wanted to convey that tactics will change as the environment and circumstances change.

Staff and Council noted that preservation is harder to sell than access, but one approach might be to recast it as "research data management."

II. Digital Curation Web Site Pages

Staff gave an overview of the Digital Curation Web site and OAIS at ICPSR and summarized the content of the Disaster Planning pages.

III. Digital Preservation Training Update

Cornell and ICPSR have a five-year agreement to host the Digital Preservation Management (DPM) tutorial. The May 2009 DPM workshop was tough to fill, but seems to be more of an exception than a trend because the October workshop filled up quickly. Next year the workshop will be held at MIT in June.

Council noted that road shows help combat reductions in travel budgets.

Staff described a strategy of turning course participants into special topic instructors; those instructors into utility, general-purpose instructors; and those instructors into anchor instructors.

ICPSR is delivering the national training program for digital preservation for the Library of Congress under the NDIIPP program and is also investigating a course within the U-M School of Information.

Council advised staff to keep the course content open to drive adoption and implementation.

IV. Update on Off-Shore Copy of the ICPSR Holdings

Staff described the new off-shore copy of distribution holdings in the AWS EU-WEST cloud. Council suggested that staff investigate a draft MOU that could be used between reciprocal storage partners.

V. Report on the Tools Alliance meeting in Canberra

Representatives from the Alliance for Data Archive Technologies (ADAT) group met in Canberra in the summer to discuss building common tools. The Canberra meeting included hands-on staff primarily. There was a show-and-tell session followed by an exploration of how to break down barriers to sharing. The project has a lot of potential, but will be a long-term relationship.

VI. Update on Fedora

Staff described the two ongoing Fedora-oriented projects at ICPSR: creating “data keepsakes” and initial work on deliverables for the NSF EAGER grant.

VII. Issues Involved in Applying Licenses to ICPSR Data and Documentation

Staff discussed the fact that while they agree with the open access principles of Creative Commons type licenses, the ICPSR terms of use, copyright limitations, and social science ethical norms regarding protection of respondent confidentiality make it difficult to assign such licenses. Council advised that ICPSR invite John Wilbanks, Director of the Science Commons at Creative Commons, to a meeting for a discussion about the specific requirements for social science data. After that, ICPSR might propose a session at IASSIST on this topic.

Training and Instruction

Council: Michael R. Haines (Chair), Aletha C. Huston, Lori Weber, Christopher Zorn

Staff: Dieter Burrell, Lynette Hoelter, William Jacoby

I. Budget and Policy Committee Action Items Related to the Summer Program

The Training and Instruction Committee noted, and supported, two action items from the Budget and Policy Committee which the full Council approved on 10/08/2009 and which affect the Summer Program.

II. Report on Summer Program and Strategic Plan

Staff reported on Summer Program activities to advance the Strategic Plan with respect to modifications in the Program curriculum, new personnel, and outreach to new audiences.

III. Summer Program Courses

Staff gave an overview of the 2009 Program’s curriculum, enrollments, and attempts to reach non-traditional disciplines. New course offerings in both the four-week sessions and the two- to five-day workshops were highlighted.

IV. Summer Program Enrollments and the Economy

The Committee discussed challenges to the Program this past year due to the economic downturn. Program staff noted that four-week enrollments remained high, at the same level as last year, but that there was a drop in enrollment in a number of statistics short courses.

V. Summer Program Diversity Report

Staff reported on the diversity of the Summer Program with respect to the curriculum, instructional staff, and participants.

VI. Scholarship and Stipends at the Summer Program

The Committee discussed the various scholarships offered by the Summer Program, in response to an action item introduced at the June 2009 Council meeting. The discussion focused on two broad questions:

1. What sort of payoff or results does ICPSR or the Summer Program receive from offering the various scholarships, and how does that compare to the costs of various scholarships?
2. Are the scholarships offered in such a way that it is equitable to all the disciplines represented by ICPSR or the Summer Program?

The Committee also discussed the post-MIP stipends through which the equivalent of two four-week fee waivers were offered to each of the eight largest ICPSR federations. The Committee decided to recommend to the full Council that the post-MIP stipends be retained in the same format for one more year, through the 2010 Summer Program.

VII. Online Learning Center

Hoelter reported on current ICPSR activities directed towards undergraduate instruction. The Online Learning Center has experienced increased Web traffic and other evidence of use. In addition, staff members are preparing more Data-Driven Learning Guides to add to the OLC.

VIII. TeachingWithData.org

Staff reported that the ICPSR and SSDAN co-sponsored project to catalogue quantitative instructional resources – TeachingWithData.org – has just been launched with over 300 resources included. Staff plans to continually update the catalogue over the next year and expects ~1000 resources to be catalogued within a year.

IX. SETUPS 2008 and Other Undergraduate Instructional Activities

Staff reported that the 2008 SETUPS online project has been completed and that the new Web page is up and running. Staff also reported on changes in the undergraduate paper competitions, and on progress in other areas related to undergraduate instruction.