

ICPSR COUNCIL MEETING MINUTES

June 9-10, 2011

Council members present: Ann Wolpert (Chair), Francine Berman, Paul N. Courant, Catherine A. Fitch, Jeffrey Moon, Rogelio Saenz, Barbara Schneider, Lori M. Weber

ICPSR staff present: Nathan Adams, JD Alford, George Alter, Rita Bantom, Bryan Beecher, Dieter Burrell, Linda Detterman, Peter Granda, Lynette Hoelter, William Jacoby, JoAnne McFarland, Asmat Noori, Michelle Overholser, Amy Pienta, David Thomas, Mary Vardigan, Diane Winter

Staff visitors present: R. Jean Ruth, SAMHDA; Kristine Witkowski, ICPSR research group

Summer interns: Jasmine Coleman, Drew University, Madison, NJ; Toby Flint, Hastings College, Hastings, NE; Quentin Karpilow, Kenyon College, Gambier, OH; Emmi Obara, Reed College, Portland, OR

Director's Report

After introductions, ICPSR Acting Director George Alter updated the Council about changes at ICPSR since the March meeting.

He noted that membership stood at 699, which included 26 added and 3 dropped members for a net of 23 members added in FY11.

Alter gave Council members a brief review of the proposed 2012 budget. Although ICPSR was originally projecting a \$1.3 million deficit, it had decreased the deficit to \$743 million. The improved bottom line since the initial version of the budget resulted from predicting an increase in member due revenues, increased sponsored revenue from new awards, and some income on investments. The deficit situation in general is due to several projects ending, including American Recovery and Reinvestment Act (ARRA) awards, and a lower volume of grant applications because of vacancies in senior staff.

ICPSR is moving to financial sustainability by analyzing and aligning staffing needs, offering a retirement incentive plan, and implementing reassignments as needed. New business models are also being developed, including services for restricted-use data, "powered by ICPSR" archives, and data processing services.

The ICPSR General Archive will be archiving the "Moving to Opportunity" (MTO) data collection under a new agreement with the U.S. Department of Housing and Urban Development. This study was designed to answer questions about very poor families who leave subsidized housing in the poorest neighborhoods of five very large American cities. Work is also continuing on the National Survey of Family Growth, the National Center for Health Statistics-sponsored survey of more than 22,000 respondents, with a second set of public- and restricted-use data and documentation being released this summer. Data released by the General Archive

since the March Council meeting include the Indian National Election Study, 1967, 1971, 1979 and 1985; American National Election Studies Panel Study, 2008-2009; and the RAND Center for Population Health and Health Disparities Data Core Series.

The Summer Program announced a record enrollment: as of May 30, 2011, the Program had 962 registered participants. Sixty-seven courses were being taught by 71 faculty and 34 teaching assistants, with 3 new 4-week courses, 8 new short statistical workshops, and a new substantive short course on “Evaluating Impact of Publicly funded Early Childhood Programs on Children and Families.”

Alter introduced the ICPSR Summer Interns. ICPSR is in its seventh year of the Summer Internship Program, and there are currently 31 intern alumni. Over 100 students from 48 different colleges and universities throughout the United States applied for the program this year. Three out of the four selected interns are from member institutions.

Alter updated the Council on ICPSR’s recent activities in the areas of data citation, data management plans, and digital preservation. He also reviewed the Secure Data Services developed by ICPSR. The Secure Data-processing Environment (SDE), now in use by all ICPSR data processors, is a secure, virtualized environment isolating all data processing at ICPSR from the Internet. The Virtual Data Environment (VDE) is the same secure, virtual environment as the SDE, but serves external researchers rather than staff and conforms to the United States Government Configuration Baseline, the federal security standard. The Restricted-use Data Contracting System (RCS) is a new tool to support the VDE and enhance workflow.

ICPSR will be working to archive data from the “Measures of Effective Teaching (MET) Longitudinal Database.” The goal of this project is to develop fairer and more useful measures of teacher effectiveness. This is a Bill and Melinda Gates Foundation project which involves 3,000 teachers in seven school districts. ICPSR is partnering with several academic, nonprofit, and for-profit organizations. Researchers will collect seven types of data: student feedback through surveys, student work, supplemental student assessments, videotaped classroom lessons, assessments of teacher’s ability to recognize and diagnose student problems, and teacher surveys on working conditions. ICPSR’s tasks include data preservation, processing quantitative data, management of restricted-use data agreements, data dissemination through the VDE and secure streaming of video, and user support. The video tasks will enable ICPSR to build capacity in this area. It is envisioned that after two years users will pay for services to access these data.

Plenary Sessions

Alter made a presentation titled “New Models for Data Management Services.” The presentation stemmed from discussions over the last two Council meetings regarding the NSF mandate for data management plans, although the opportunities available now are not the same as those envisioned a few months ago.

Alter reviewed different revenue models for data archives:

- The membership/subscription model is the classic ICPSR model. It is somewhat misunderstood in that anyone, not just members, can deposit data. There is no charge for data processing and archiving, but ICPSR is not obliged to take all deposits. If there are more deposits than capability, there will be queuing.
- The topical archive model involves data producers paying as institutions to archive data with ICPSR. One problem with this model is that there is no real system for getting sponsors to pay for preservation up-front (i.e., what happens after the funding term ends). The current Council policy is that after three years, such data are evaluated and in most cases moved to members-only status because of the cost of preservation.
- The pay-per-download model is unpredictable, difficult to price, and would be new for ICPSR.
- Pay-per-deposit is also unpredictable, and it is hard to know if a specific deposit is worthwhile given changes that can take place during a study's lifetime. Having data depositors pay is a possible new model for ICPSR that may also involve building a self-deposit system. One shortcoming, however, is that the cost would have to be written into grants, and that is hard to predict. This would also be new for ICPSR.

Alter elaborated on the idea of self-depositing. He said it would be minimal cost and responsibility to ICPSR. ICPSR could opt to curate some deposits, but not all.

Alter said that Institutional Repositories (IRs) have some advantages over ICPSR, namely proximity to a researcher at a given institution, loyalty, institutional mandates, and a commitment to preservation. ICPSR's advantages, in turn, are experience with social science data and confidential data, easy searches and access to data, metadata, "union catalog" entries, and infrastructure support.

Alter indicated that as part of a project funded by the Institute of Museum and Library Services (IMLS) Jared Lyle was drafting a survey to send to IRs to see what services they might need. The Fenway model could be something to offer IRs: in this model, ICPSR makes its back-end infrastructure available to project staff elsewhere, trains the staff in the steps needed to get data into a repository, and creates a Web site that points to the project's data objects so that the project has a Web site with its data "powered by ICPSR."

Alter addressed fees for the VDE. One model already in place is that sponsors want to pay themselves, and ICPSR charges them for VDE seats. For other sponsors, fees could be based on time used. Alter said exact fees are being estimated and that more information will be available by October. Experience with how long users stay on the VDE will be an important ingredient, he said. Alter said the first users of the VDE, who will be government agencies, will be online in July. For the Gates Foundation project involving video streaming, the first users will be people on the project itself. He said in about a year ICPSR will have some experience that can be used to set costs. Alter reported that Linda Detterman had agreed to be a de-facto product manager for the VDE. Courant said it is important to market ICPSR's services to the right person at a given institution, although the people responsible for data management issues may be in different departments.

Budget and Policy Committee

Council: Ann Wolpert (Chair), Catherine A. Fitch, Barbara Schneider
Staff: JD Alford, George Alter, Rita Bantom, Amy Pienta, Diane Winter

I. Strategic Plan

This information was covered in the Director's Report. No discussion took place during the Budget and Policy Committee meeting.

II. Financial and Administrative Issues

A. FY 2011 Year-End Financial Projection

Staff reported that ICPSR expects to end fiscal year 2011 with a balanced budget. This is an improvement from the original budgeted deficit of \$200K. This improvement is the result of several factors:

- Membership revenue is expected to end the year with \$3.3M versus the original budget of \$3M.
- As reported at the March Council meeting, the 2010 Summer Program exceeded financial expectations.
- Indirect cost funded expenses were less than originally budgeted.
- The fiscal year 2011 budget also included Director and Associate Director salaries for the entire year.

Council requested visual displays to be included with this verbal report at future meetings.

B. Adoption of FY 2012 Budget

Staff presented the proposed Fiscal Year 2012 budget to Council, which includes ending the year with a deficit of \$743K. The main drivers of this deficit include: ICPSR Membership (\$288K over expected revenue), indirect cost funded projects (\$81K), and Computing and Network Services (\$430K). It was noted that a large portion of these deficits was caused by ARRA (stimulus) projects ending. The staff on these projects now must be funded through membership projects.

Staff also discussed other changes made to the budget since it was originally presented at the March meeting:

- Increased membership revenue projection from \$3.15M to \$3.3M
- Included direct and indirect revenue associated with the recently-awarded Gates Project on Measuring Effective Teaching
- Changed start-date for permanent ICPSR Director from July 1, 2011, to January 1, 2012

- Included \$150K in revenue from investment activities

After the budget was presented, Council commented that the ICPSR budgeted bottom line does not reflect everything that the staff expects to happen during the year. It serves as a goal describing the amount that the organization strives to recover during the course of the year. Staff reported that while Fiscal Year 2012 will be a transitional year, plans are in place to alleviate any structural deficit issues after that. The proposed Fiscal Year 2012 budget was recommended by the Budget and Policy Committee and approved by Council during the committee reports.

C. Personnel Update

Council was presented with data showing recent employment hires and open positions.

D. Minority Recruiting & Labor Force Composition

E. Analysis of Applicant Pool in Recent ICPSR Hiring

(Items D and E were covered in one discussion.)

Rita Bantom reviewed several displays, charts, and graphs depicting ICPSR's staffing and candidate pool profiles over a ten-year period. These reports provided data on the diversity of the staff with a comparison to the State of Michigan 2009 Census, the University of Michigan, and the Institute of Social Research. Council thanked Rita for providing these reports and encouraged staff to continue its efforts to recruit a diverse applicant pool and to retain a diverse staff. Also, Council requested that they be periodically informed on the status of these efforts.

III. Governance Issues

A. Council Nominations

The Council nominations list was discussed and approved during the Executive Session. ICPSR will now start to contact the candidates, who will serve from 2012-2016. It was also reported that Rogelio Saenz has agreed to serve as the next Council Chair.

B. Prizes Committee

The Prizes Committee selections for the Miller and Flanigan awards were discussed during the Executive Session.

C. ICPSR Policy and Procedures for Handling Requests for Data Management Plan Letters of Support

ICPSR staff member Amy Pienta joined the Budget and Policy Committee during this discussion and also authored the report found in the Council binder. While leading the Committee through the "Letter of Support" flowchart, she pointed out that the one-month advance notice requirement is usually one to seven days in reality. ICPSR typically receives approximately six requests each grant cycle and is able to handle them even with

the short notice. However, it is expected that the number of requests will be increasing. Staff reported that ICPSR is attending National Council of University Research Administrators (NCURA) meetings to educate research administrators about data management plans. Council also suggested outreach at various principal investigator meetings.

IV. Projects

A. Grant Applications Submitted since March 2011

This information was provided in the Council binder and not discussed during Budget and Policy Committee meeting.

B. Grant/Contract Awards Received since March 2011

This information was provided in the Council binder and not discussed during Budget and Policy Committee meeting.

Collection Development Committee

Council: Lori M. Weber (Chair), Francine Berman, Jeffrey Moon, Rogelio Saenz

Staff: Peter Granda, Amy Pienta, R. Jean Ruth, David Thomas, Kristine Witkowski

I. Strategic Plan

Staff updated the Committee on Strategic Plan activities regarding Direction 1 (Leadership).

Staff informed the Committee that ICPSR was active in seeking to “monitor, respond to, and participate in standards development.” ICPSR attended a workshop on data harmonization organized in Ottawa by the Social Science and Humanities Research Council of Canada, the Canadian Institutes of Health Research, and Genome Canada. The objective of the workshop was to advise Canadian funding organizations on harmonization efforts that they could use to increase the usefulness of their data collections. Staff discussed ICPSR’s efforts to harmonize health data through its involvement in the Integrated Fertility Survey Series (IFSS) project.

As a member of the Board of the Data Seal of Approval, ICPSR sent staff to attend its annual meeting. The intent of the Board is to establish guidelines that “are intended to ensure that in the future, research data can still be processed in a high-quality and reliable manner, without ... entailing new thresholds, regulations or high costs.” In February of this year the Board awarded the Seal to ICPSR as being in compliance with its guidelines (Version 1 of 2010). As such, ICPSR is considered a trusted digital repository and has placed an image of the Data Seal of Approval logo on its Web site.

II. Report on Workshop at IASSIST Meeting: “ICPSR at 50: Facilitating Research and Data Sharing”

A discussion on Census 2010 and the American Community Survey was included in the workshop as ICPSR sought additional guidance from its user community about what products and services would be valuable to them as more Census data become available. Staff discussed what was provided for Census 2000 and what options were available for 2010. There was not as much feedback as hoped since many of the participants were from other countries and were interested in learning the basic facts about how U.S. Census data were produced and disseminated.

Committee members suggested that staff check the ICPSR Bibliography of Data-Related Literature to see what use researchers have made of the special subsets ICPSR created for Census 2000 and to see if ICPSR might gain some insight into which products encouraged the most use.

III. Status Report on Resource Center for Minority Data (RCMD)

Staff provided the Committee with a summary of the recent activities of the Center which included:

- Presentations and workshops at a variety of locations
- New data acquisitions and recent releases
- Current projects and studies in the processing queue
- Most downloaded studies

RCMD seeks to attract practitioners and policymakers who want more information on minority populations. The Committee strongly endorsed this emphasis as a fruitful direction in which RCMD could expand its user base.

IV. Further Discussion to Follow up on Plenary -- Cost Models for Archiving Data for NSF Grantees

The Committee had a general discussion on data management plans, stressing that the new NSF requirement was only a first step in the process. The cost implications for applicants or for the Foundation are not yet worked out. The Committee felt that the absence of developed policies and procedures made it all the more important that ICPSR take the lead in providing suggestions and guidelines for researchers.

The Committee asked for a white paper on this subject that would review the major issues and discuss possible services that ICPSR might provide to the research community and, in particular, how to interact with the institutional repositories who may want guidance on handling faculty research data and documentation. The Committee also recommended that staff consider creating business plans for the future based on these possible services. The following action item was

proposed by the Committee and accepted by the full Council for presentation at the October meeting:

For the October meeting, ICPSR staff will compile a draft of a white paper on data management plans for the benefit of researchers and funding agencies. The ICPSR leadership will update the Council on progress toward a strategy for serving the needs for data management services to appropriate constituent communities.

The Committee also discussed the recent Gates award under which ICPSR will acquire all the video and quantitative data from the Measures of Effective Teaching (MET) Longitudinal Database. The Committee asked for a brief progress report in October on the status of the project in its initial stages.

Membership and Marketing Committee

Council: Jeffrey Moon (Chair), Catherine A. Fitch

Staff: Linda Detterman, Dan Meisler, David Thomas, R. Jean Ruth

I. Strategic Plan Progress

Staff updated Council on the progress of the Strategic Plan for Membership and Marketing. As a means to “sustain membership, improve services, and expand the value” of ICPSR membership, staff noted the following activities dedicated to this action item within the Strategic Plan: ongoing Webinars for the data community; campus visits both onsite and via Webinar; program development for the 2011 OR Meeting; several communications opportunities including *DataBytes*, the *Bulletin*, and ICPSR’s social media activities; and development of study utilization statistics that will enable PIs to track usage of their studies on demand.

Lastly, the Strategic Direction to “build the data community and advocacy” was also satisfied these past few months by significant 2011 IASSIST contributions including workshops, presentations, and posters.

II. Membership Activity and Utilization

Membership continues to show net positive growth this fiscal year with 699 total members, including a net of 23 new members in FY11. Receipt of membership dues is running similar to previous fiscal years, and ICPSR has surpassed its membership revenue forecast. Utilization data for FY11 to date as measured by the Unique Users count (the count of active downloaders) looks on par with FY10. Since July 1, 2010, over 385,000 people visited the ICPSR Web site spending an average of just over five minutes on the site.

III. ICPSR Membership Outreach

Staff exhibited at the Association of College and Research Libraries (ACRL) conference in Philadelphia in March 2011 and it was noted that a new institution joined the consortium shortly after visiting with exhibit staff. ICPSR was also a gold sponsor at the IASSIST conference in Vancouver in June. Upcoming conference exhibit attendance includes the American Sociological Association (ASA) and the American Political Science Association (APSA). Both of these events will include a 50th Anniversary celebration reception. Council members will receive the details of these receptions several weeks before the events and are encouraged to attend and to share the invitation with colleagues and friends of ICPSR.

ICPSR has conducted two campus workshops, one onsite at Cleveland State University which was believed to have secured that institution's membership in ICPSR, and one for Mississippi State University via Webinar. ICPSR conducted a Webinar in April titled: "The Updated ICPSR Search Engine – Improved search for better results!" and 45 people attended.

ICPSR has been active in the communications area releasing both the Spring and Special Edition *Bulletins* and the Spring *DataBytes* e-newsletter since Council last met. ICPSR currently has 362 Twitter followers and 430 Facebook fans.

ICPSR continues to plan for the 2011 ICPSR OR Meeting to be held October 5-7, 2011. To date, 35 attendees are registered. An OR attendance poll suggests that ICPSR will meet its 50-attendee minimum to hold the meeting. Should attendance hover around 50, ICPSR will alter the program content such that concurrent sessions will not be held. Staff intends to make that decision in mid-August once attendees have had more time to determine whether travel budgets will allow for travel to the OR Meeting. Council should note that the October Council meeting will take place on Wednesday, October 5, 2011, and will be a condensed meeting (one day only). Council members are encouraged to attend the Council Reception the evening of October 5th as well as the entirety of the OR Meeting for the purposes of communicating with the ORs/DRs. Council members are also encouraged to attend the Thursday evening banquet where the Miller and Flanigan awardees will be honored.

Staff continues to plan for the ICPSR 50th Anniversary celebration. The official launch of the celebration will occur at the OR Meeting banquet on Thursday, October 6, 2011.

Lastly, in May, staff mailed approximately 420 membership invitations to almost 150 non-member institutions resulting in one confirmed membership for FY11 and many inquiries, proving that snail mail can still be effective. The mailing list was highly targeted, including contacts from former member institutions, member inquiries, exhibit booth visitors, and selected targeted institutions.

IV. Social Media Strategies

Staff reminded Council of its current social media strategies that focus on Facebook, Twitter, Slideshare, Blogger, and appropriate search engine optimization strategies. Staff have been

monitoring the increased impact of video and will use the summer to develop online video strategies for ICPSR as well as explore evolving social media strategies. The Summer Program also has shown interest in developing a communication migration plan that transitions the Program from its heavy dependence upon print/mail to less expensive and potentially more effective online strategies, even including the use of pay-per-click. ICPSR will prepare a report for the October Council meeting outlining its evolving social media strategies for 2011-2012 (action item).

Staff would like to investigate the development of short announcements (data-driven findings) from data held within the member archive for the purposes of feeding ICPSR's social media platforms and drawing data users into our resources. ICPSR will explore this concept over the summer and prepare a report for October Council that outlines the process and resources required, and provides examples of "DataBits" that ICPSR might use as draws into the Web site (action item).

Preservation and Access Committee

Council present on phone call: Francine Berman (Chair), G. Sayeed Choudhury, Ann Wolpert
Staff: Bryan Beecher, Nancy McGovern, Mary Vardigan

I. Strategic Implementation Plan for Outreach: ICPSR Advocacy Areas

This item resulted from a March 2011 action item. Staff reported on activities since the last meeting. The summary of advocacy areas resulted from a series of brainstorming and other sessions. That process identified six advocacy areas and a means for specifying the status and impact of each. A list of possible new activities was also suggested. Council suggested that ICPSR identify target audiences for its outreach, for example, funding agencies, other organizations that manage data, publishers of data, etc.

Council urged ICPSR to seek opportunities to leverage its extensive expertise in data management. The timing might be ideal for developing a formal curriculum around life-cycle data management that could have a significant impact on the community. Staff reported that an internal initiative was in development to produce a data science curriculum using the Summer Program next year for an initial launch then broadening to other instructional activities. The discussion considered the benefits of the Summer Program as a context for the curriculum, weighed the potential impact such a curriculum might have, and identified possibilities for broadening possible audiences. Council recommended that ICPSR consider offering certification as part of a curriculum development effort, being uniquely placed to offer such a service. ICPSR should contact the National Science Foundation to see if there might be support for this given the new requirement for data management plans. The Michigan School of Information might be a good partner in such an effort.

Council drafted a statement to bring forward: *We want to encourage ICPSR to continue planning to shape a leadership role in data preservation and management for multiple audiences through leadership of thought, practice, and "products". This should include use of the summer*

programming infrastructure to develop specific curriculum and a leadership role in life-cycle data management. Council applauds ICPSR for its pro-activity as a convener of thought leaders in data preservation and access.

II. Strategic Implementation Plan for Preservation and Access: Initial Report

This item resulted from a March 2011 action item. Staff emphasized that this report reflected early stages of thinking in this area and outlined two possibilities for development:

- ICPSR might package its own data management infrastructure and provide it to the community, building on the experience of a service provided to the Fenway Institute and a couple of other possible projects
- ICPSR might identify a different funding stream to compensate for the limitations of the current recharge system to invest in more strategic preservation projects (e.g., alternative options for managing and providing restricted-use data, shifting from a study-oriented to a file-oriented approach to enable the development of more flexible services)

Council recommended that ICPSR continue to explore these options and requested an update at the October Council meeting, possibly including business models.

III. ICPSR User Personas

This discussion resulted from a March 2011 action item on Google Analytics results. Further exploration of the data shows that two-thirds of the users are graduate and undergraduate students. Staff presented and discussed a set of user personas, a common technique for Web development, to better understand the Google Analytics results discussed in March. ICPSR is using the personas to explore how users might interact with ICPSR's infrastructure.

The discussion noted that ICPSR's funders are different than the users of resulting data and services and touched on whether funders would be interested in looking at longitudinal data on user behavior.

Council applauded these efforts and noted that as interesting as it is to have the data, ICPSR has taken the more important of actively using the data to inform developments.

Training and Instruction Committee

Council: Barbara Schneider (Chair), Lori M. Weber, Rogelio Saenz

Staff: Dieter Burrell, Lynette Hoelter, William Jacoby, Kristine Witkowski

I. Report on Summer Program and Strategic Plan

Staff reported that the Summer Program continues to make progress in advancing the Strategic Plan in the areas of curriculum, personnel recruitment, and outreach to new audiences. Staff

reported on recurring courses, and also noted that the Program will offer several new courses in both the three- to five-day format and in the four-week sessions.

II. Online Learning Center and TeachingWithData.org

Staff reported that eight new data-driven learning guides have recently been added to the Online Learning Center (OLC). Staff members have recently given presentations on the OLC and the Teaching With Data project at the Midwest Political Science Association convention and at Cleveland State University. Staff will also present at the upcoming August convention of the American Sociological Association.

III. ICPSR Internship Program

Staff reported on restructuring the Summer Internships for 2011, with Hoelter and Garcia overseeing the research components of the internships. Interns will continue working in the General Archive or a Topical Archive, as well as attend a Summer Program workshop in each session. Staff noted that ICPSR had not yet heard back on the proposal to NSF to fund the internships.

IV. Summer Program Initiatives

Staff reported on three initiatives at the Summer Program: the Empirical Implications of Theoretical Models (EITM) fellowships and certification, the developing relationship with the Political Science Networks Conference, and the expansion of ICPSR-sponsored scholarships. Staff noted that ICPSR received no applications for the new scholarship directed towards research in child development, and Council members pointed out that Council could be a useful network to disseminate scholarship information in the future. Council members requested that staff collect attendance information for each of the four-week courses over the length of each session. In addition, Council requested that staff prepare information on the process by which Summer Program instructors and teaching assistants are recruited. Finally, Council engaged staff in a brief discussion of possible future training related to quantitative videography in the context of ICPSR's new Gates Foundation project.