The DDI Alliance

An Independent Review of Governance, Intellectual Property Rights and Related Matters

April 2011

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I. Foreword

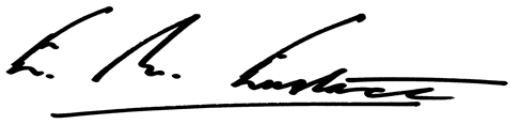
Since its inception in 1995 the DDI Alliance has had an enviably successful track record in both developing the DDI standards and encouraging their take-up around the world. The standards and those persons and institutions associated with their creation have moved a considerable distance from the academic base that brought the DDI into existence. DDI is now found in universities, data archives, national statistical agencies, international organizations and other institutions across the globe and at last count it is in use in over 70 developed and developing countries.

With this success has come a shift in the stakeholder base whose interests need to be served by the Alliance. The recognition of this and a pervasive sense by Alliance members that periodic inward-focused and broad-based examinations are healthy for any organization is the genesis of this review.

Throughout this document we refer to the DDI in the plural ('standards') as it seems to us and others that 2.x and 3.x are sufficiently different as to be so regarded – we develop this observation further below.

Breckenhill Inc. would like to take this opportunity to express our heartfelt thanks and gratitude for the very considerable level of cooperation and open communication we enjoyed in conducting our work.

Our report attempts to reflect the views expressed in the course of the review. Any factual errors or misinterpretations are ours alone as are comments and recommendations where we make them.



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II. Main Messages

The story of the Alliance and the standards is a good news story made possible by the dedication of committed people working diligently over many years on something they believed in passionately. It is a comment on the collective wisdom of members of the Alliance that as it reached a major milestone in its organizational development, with new stakeholders increasing the global take-up of the DDI, a need to take pause and examine the state of its governance was recognised. This recognition of the need to examine independently where things stand should not be taken as an indication of a crisis in Alliance governance. Nothing could be farther from the truth. There is no crisis. The following is a summary of our main findings.

Collaboration. The creation of the DDI and the founding of the Alliance is an extraordinary example of cross-sectoral collaboration between academe, government and the private sector. The story of the Alliance and the standards is a good news story made possible by the dedication of committed people working diligently over many years on something they believed in passionately.

Viewing this Report. The observations made in the paragraphs that follow should be viewed against this rich tapestry of collaborative achievement. Many matters raised in the report are delicate by their very nature. Every effort has been made to achieve a balanced, fair and objective commentary. Our aim has been to provide a basis for internal discussion, dialogue and consideration as the Alliance moves forward.

Some change is needed but not a lot. The initial structure set up following the founding of the Alliance in 1995 has served the DDI community very well indeed. However, some changes are needed to accommodate a shifting environment and the emerging stakeholder profile. The long and even medium term vision for the standards needs to be communicated more clearly. This will assist take-up of the DDI standard. It is perhaps timely for consideration and reaffirmation of the core values of the Alliance.

Alliance culture – an asset to be protected. The culture is characterised by an extraordinary level of trust and collaboration that was clearly evident throughout this review. This is one of the Alliance's greatest assets going forward and has had no small part in its success to date. The candour and openness whether in group or one-on-one discussion is, in our experience, rarely observed and even more rarely consistently realized. The core values of the Alliance don't need fixing and must be actively fostered and preserved going forward.

DDI is a* de facto *global standard. DDI take-up has now reached over seventy countries and has moved beyond the academic and data archive base of its creators. Its utility to data producers, collectors and conservators is making its adoption a very high priority for those charged with the management of microdata and its products around the world.

IPR protection is complex but achievable. The DDI standards are valuable assets. There is significant concern among some stakeholders regarding the protection of rights the Alliance has in them. This is most often expressed as a need to protect the IPR from predation or, as it is sometimes expressed in the literature, "IPR high-jacking". Using a trademark and licensing approach may be the best and most cost-efficient way of getting an acceptable level of protection.

Branding the standards. The adoption of the 'DDI 3.0' as the 'name' for the data life-cycle DDI product is a source of confusion as, given the fundamental differences, few see the implied continuum from DDI 2.0 to DDI 3.0 in the versioning sequence. The recent introduction of DDI 2.5 may have exacerbated this confusion. Most see two products in need of distinct branding. Related to this issue is a strongly held view among many stakeholders that the DDI 2.0 was until recently, if not being abandoned, at least being neglected and, further, that this was happening without a lot of stakeholder consultation. We recommend that the May 2010 proposal in Ithaca to adopt the names *DDI-Codebook* and *DDI-Lifecycle* as the descriptors for the DDI standards be adopted sooner rather than later and clearly communicated.

More tools, please! Without exception stakeholders lamented the lack of useful actively supported tools for both DDI 2.0 and 3.0. There is less agreement on the role the Alliance should play on the tools question but substantial concurrence that the lack of tools directly impacts take-up.

Funding needs to improve dramatically. To paraphrase Churchill, never has so much been owed by so many to so few resources! The Alliance is clearly underfunded especially when a cost value is attributed to 'in kind' contributions. The annual revenue of the Alliance has ranged between $64,900 and $82,450 from 2005 to 2010 inclusive. The general trend is for the annual excess of revenue over expenditure to reduce and indeed there was an operating loss of $4,268 in 2010.

The Alliance has no separate legal existence. On the face of it this is a simple matter to remedy but paradoxically to do so may be neither necessary nor even a good idea, at this juncture. Moving to the status of a not-for-profit separate corporation likely would create more problems than the costs associated with it warrant. Also, incorporation does not bring with it any intrinsic power to protect the interests of the Alliance in the DDI standards. On the

contrary, it may be a weaker position than remaining within the UM/ICPSR 'family' or moving to another Standards Setting Organisation which, for financial and cultural reasons, we would not recommend.

Management by committee! The committee structure set down in the Bylaws seems to envision the Steering Committee as the leadership group with the Expert Committee taking on the scientific and technical role of developing the standards. This structure has been somewhat eroded in practice with the result that *de facto* power to influence the Alliance's direction sits elsewhere and mainly within the Technical Implementation Committee (TIC). The relationship between committees needs to be emphasised and reinforced.

More stakeholder representation required. The Bylaws as currently structured do not adequately facilitate stakeholder representation at the Steering Committee level. In addition, they contain matters of a detailed operational and process nature which would require Bylaw amendment to modify. These deficits have been addressed in a suggested redraft of the Bylaws.

Protecting voting rights. Membership, fees and voting rights do not have to be connected but in the minds of some stakeholders they appear to be. In particular, some stakeholders are concerned that the admission to membership of large institutional organisations may erode the influence of the more traditional and smaller Alliance participants, particularly those who were present from the beginning. The proposal that large institutional members might pay higher membership dues seems to carry with it the idea that higher fees mean more voting power for those members. This need not be the case and it and a related concern about 'block voting' have been addressed in suggested redrafted Bylaws.

Succession. Since the founding of the Alliance it has been a Program of ICPSR and the present arrangement is that ICPSR provides approximately ten per cent of a senior resource person to function as the Director. This has served the Alliance well since its foundation but a significant number of stakeholders feel that 'succession' – by which is meant the process of identifying and selecting the next Director – needs to be taken up.

Conflict of Interest. We can define a conflict of interest as a situation in which a person has a private or personal interest sufficient to appear to influence the objective exercise of his or her official duties as, say, a public official, an employee, or a professional. As enunciated by some stakeholders within the Alliance, the appearance of conflict of interest situations arises in a number of ways which we discuss in the report. The current *Draft DDI Alliance Policy on Conflict of Interest* should be formally adopted and with the implementation of it and other recommendations in this report such conflicts can be managed.

More training and trainers are needed. Training does not seem to meet all current needs of existing or emergent stakeholders. Training, in their view, is too tightly controlled by a small group. There is a need for at least two levels of training as well as a train-the-trainer program. The very small group currently involved in training likely cannot meet the actual and pent up demand.

Marketing and communications. The DDI Alliance may have an 'in-house' PR problem in need of addressing in that the emergent stakeholders do not see themselves as well served although they very strongly support and need the DDI products and tools. The broader need for an external/outward-facing Marketing Plan and implementation strategy to promote even more take-up of the standards and Alliance membership needs to be addressed.

Monitoring is part of good governance. Independent audit of Alliance finances and evaluation of its activities against strategic plan benchmarks may be worth considering and a technical evaluation of the DDI specification may also be appropriate.

III. Terms of Reference

The overarching objective of this review has been to provide legally sound guidance about governance structure for the DDI Alliance that best supports the continued development of the DDI standards, meets the needs of the stakeholders, and protects the products of the Alliance.

The full *Terms of Reference* are reproduced in ***Appendix 1***.

IV. Review Methodology

Our approach consisted of initially reviewing DDI Alliance material including the Charter and Bylaws, as well as administrative processes and forms. We also looked at alternative governance models such as, for example, OASIS and OMG. An extensive list of DDI Alliance Member Representatives, past and present, and other members of the wider DDI community were interviewed mainly by phone but some in person at EDDI II in Utrecht, in Washington, DC, and Ann Arbor. The persons interviewed were a representative cross-section of stakeholders. We also met with University of Michigan attorneys on questions of IPR and licensing as well as on alternative legal structures for the Alliance.

A comprehensive list of the persons interviewed for this review is located in ***Appendix 2,*** *DDI Review – Stakeholders Interviewed*.

V. The DDI Alliance – A Story of Achievement

The creation of the DDI and the founding of the Alliance is an extraordinary example of cross-sectoral collaboration between academe, government and the private sector. The following extract from the DDI Charter makes clear what the Alliance is about but it does not begin to tell or in any way convey the degree of success the standard and the Alliance have enjoyed since 1995.

> "The Alliance for the Data Documentation Initiative[1] is an international coalition of diverse organizations that share a commitment to meeting the worldwide requirement of a publicly available standard for documenting social science data. The Alliance's purposes are to (a) oversee the continued development of the DDI standard, including revisions, corrections, and new releases; (b) promote the adoption of the DDI social science metadata standard by data producers, data archives, data users, and software suppliers; (c) offer entry-level and advanced training in the uses of the standard for all groups of potential adopters; (d) insofar as possible, ensure compatibility of the DDI standard with emerging metadata standards in other fields; and (e) resolve the varying and sometimes conflicting interests of the diverse community that is developing and using the DDI standard.
>
> The Membership of the Alliance is intended to represent all active stakeholders in the development and adoption of this metadata standard. From the beginning, the DDI effort has been international and interdisciplinary. The commitment of Members to the Alliance's goals is evidenced by their in-kind contributions and their payment of annual Member dues. Members have, in effect, "bought a seat at the table" for decisions concerning further developments of the DDI standard. By doing so, they have assured the financial security of the DDI effort and made it more easily possible for developers of the DDI to raise external funding for special projects. They have also made a significant commitment to the DDI, including a commitment to adopt the DDI within their own organizations as appropriate.

[1] http://www.ddialliance.org/alliance/charter

> The Alliance also greatly benefits from the contributions of Host Institutions and Host Associations. The Host Institutions provide the organizational stability that is essential to any successful research and development effort and afford a means for Alliance members to work together. The Host Associations are the principal proponents of adoption of the DDI, as well as contributors of much of the Alliance's expertise.
>
> A Director and a Steering Committee manage the operations of the Alliance, and its scientific and technical work is primarily done by an Expert Committee. The Alliance maintains a small Secretariat to administer its day-to-day operations. The Alliance is financially self-supporting through Membership dues; workshop, symposia, and publication fees; and through external research or training grants and contracts to a Host or Member Institution."

The story of the Alliance and the standards is a good news story made possible by the dedication of committed people working diligently over many years on something they believed in passionately. It is a comment on the collective wisdom of members of the Alliance that as it reached a major milestone in its organizational development, with new stakeholders increasing the global take-up of the DDI, a need to take pause and examine the state of its governance was recognised.

This recognition of the need to examine independently where things stand should not be taken as an indication of a crisis in Alliance governance. Nothing could be farther from the truth. There is no crisis. In fact, this review and the comments and recommendations it contains, is best seen as a brief stop along the way, a check-up to assess vision, objectives, direction and strategies on how to move into the next cycle of success for the standards and the members of the Alliance that nurture them. It is above all an opportunity to address matters raised by members and to set a baseline of sorts for further internal discourse and deliberation.

The *DDI Timeline* is reproduced in ***Appendix 3***. It is a reminder for those who may not remember where the DDI journey began or the people involved and recommended reading for those who are new to the Alliance and may not know the many milestones along the way from 1995.

VI. Observations

The observations made in the paragraphs that follow should be viewed against the rich canvas implied in the preceding section, the story of DDI achievement. Many matters are raised and

some are delicate by their very nature. Every effort has been made to achieve a balanced, fair and objective commentary. Our aim, we repeat, has been to provide a basis for internal discussion, dialogue and consideration as the Alliance moves forward.

Each Observation paragraph opens with a sentence or two in *italics.* The italicised text is intended to frame the main thought and is followed by explanatory text and/or discussion intended to flesh out the matter further.

1. Setting the Stage for the Future

The initial structure set up following the founding of the Alliance in 1995 has served the DDI community very well indeed. However, some changes are needed to accommodate a shifting environment and the emerging stakeholder profile.

The extent of the change being proposed in this report is not, in our view, large.

To use and perhaps push a medical metaphor a little too far: the patient continues to have a very successful run, despite incredibly limited resources, and is mentally healthy if sometimes less than optimally communicative. Some lifestyle changes are necessary if adulthood is to be enjoyed but the good news is there's no need for major surgery.

At its proceedings on May 31, 2010 the Expert Committee voiced its concerns:

> "Given the changes and complexity … the Alliance needs to think about whether the DDI specification is structured to meet the needs of the current environment and additionally, whether the Alliance itself has appropriate structures in place, especially with respect to intellectual property rights. While not likely, it is possible that a member of the Alliance would assert ownership of the DDI IP or that a vendor would try to claim it. The IP section of the Bylaws is currently not fleshed out and needs to be much more specific in terms of who owns the IP and who protects it. The specification is currently distributed under the Lesser Gnu Public License (used often for open source software) to protect it and provide controls on how it is used."[2]

Consultations with attorneys around IP issues, legal entity alternatives and even the possibility of joining another Standards Setting Organisation (SSO) were discussed. It was also mentioned

[2] DDI Alliance Expert Committee Minutes, Ithaca, New York – Cornell University, May 31, 2010

that the Alliance does not wish to change its core values but rather its structure so it can be most effective and responsive to the community in the current environment.

All of these matters are raised in this report and it is worthy of note that on the matter of 'core values' we are fully in concurrence with the Expert Committee's views.

2. Vision, Objectives and Strategy

There is a widely held view that the overall direction - the journey ahead, if you will – of the Alliance is perhaps haphazard, certainly unclear and not well communicated. The vision, objectives and strategy of the Alliance need to be reinforced and, even if not modified, more strongly communicated to all.

This has an impact on take-up of the DDI standard. Decision-makers in potential user organisations – especially in larger institutions – are unwilling to risk recommending take-up when the long or even medium term view is unclear. Despite this, some have actually taken this risk but see an urgent need for greater clarity and also want more opportunities to participate actively in the Alliance proceedings, at all levels.

The friendly and even convivially close culture in the inner sanctum of Alliance members may have dulled the edge of any need for communications and created a sense, among some newer stakeholders, of there being a private club-like core. They receive no strong sense of a vision, direction or roadmap. In other words, all may be clear and well-understood by the long-standing core participants who have absorbed a mutually understood roadmap by some kind of osmosis innocently oblivious to the needs of others. The old guard, and this term is not used pejoratively, is not deliberately failing to communicate with relative newcomers to the Alliance or those non-members interested in the standards, they are simply unaware that a problem may exist.

A draft of a new statement of the *Alliance Mission and Guiding Principles* (see ***Appendix 4***) and the existing strategic plan, *Strategic Plan 2007 and Beyond* is reproduced in ***Appendix 5***. It is perhaps timely for consideration and reaffirmation of the core values in the Mission and Guiding Principles.

This, in turn, suggests that the document *Strategic Plan 2007 and Beyond* needs to be looked at again. In doing so at least four matters should be examined:

a) create a close tie-in with any revised mission and objectives;

b) recognise the duality of DDI 2.x and 3.x;

c) add performance indicators to mark and measure achievement; and

d) develop a timeline for implementing the strategy.

Once revised it needs to be communicated to obtain member buy-in and agreement as a way forward and should be revisited each year.

3. DDI Alliance – Collaborative Culture

The culture is characterised by an extraordinary level of trust and collaboration that was clearly evident throughout this review. This is one of the Alliance's greatest assets going forward and has had no small part in its success to date. The candour and openness we encountered whether in group or one-on-one discussion is, in our experience, rarely observed and even more rarely consistently realized.

Just over fifteen years ago a group of culturally and linguistically diverse people from the academic and largely public sector environments mostly, but not exclusively, from North America and Europe came together in an attempt to solve a complex technical problem around which persons of goodwill could and do disagree. They succeeded in creating what is rapidly becoming the *de facto* standard for social science metadata around the globe and, after obtaining an initial National Science Foundation (NSF) grant and with subsequent aid from Health Canada and EU sources, did so without the benefit of significant ongoing financial support. Many of the original founding group are actively involved still and to their credit they have succeeded in attracting a new generation of similarly talented enthusiasts for the cause and have also preserved the spirit of trust and collaboration that drove their early success. The core values of the Alliance don't need fixing and must be actively fostered and preserved going forward.

4. DDI Take up increasing

DDI take-up has now reached over seventy countries and has moved beyond the academic and data archive base of its creators. Its utility to data producers, collectors and conservators is

making its adoption a very high priority for those charged with the management of microdata and its products around the world.

As mentioned previously, the DDI is the *de facto* microdata standard for social science metadata and continues to attract the keen interest of international organizations and national statistical agencies.

Some of the new membership, and those expressing an interest in joining the Alliance, is from sectors different than the academic and archive orientation that drove the early development of the DDI standards. New members need to be welcomed, accommodated and acculturated to the critical success factors within the Alliance. Prospective members need to be actively cultivated notwithstanding that the numbers have been "… largely stable with little churn … since it began (in 2003) ..."[i3]

Take-up of the DDI standards, as distinct from actually joining the Alliance, has in the developed and developing world been evident in recent years. See ***Appendix 6*** for *Global Reach - Projects and Institutions Using the DDI standards*.

Alliance membership inquiries continue to be received and, based on our discussions with some of the larger institutional members, bringing more members into the Alliance fold will be possible especially if some of the issues raised in this report are addressed effectively.

A slightly revised *Membership Request Form* has been designed with the Director at the urging of University of Michigan legal counsel and is attached in ***Appendix 7***.

5. The Complex World of IPR and Standard Setting Organizations (SSOs)

The DDI standards are valuable assets. There is significant concern among some stakeholders regarding the protection of rights the Alliance has in them. This is most often expressed as a need to protect the IPR from predation or, as it is sometimes expressed in the literature, "IPR high-jacking".

At the present time the DDI products are licensed under the GNU Lesser General Public License (Lesser GNU). It is the view of legal counsel and a senior executive responsible for standards at a major multi-national software company that the Lesser GNU likely offers little or no protection of any rights the Alliance may have in the DDI standards.

[3] *Strategic Plan 2007 and Beyond,* page 5, Membership

To deal with the last point first may be appropriate. The Lesser GNU is designed to protect software applications rather than specification descriptions, the latter being what the DDI standards are in essence. The software industry executive, though not an attorney, was of the view that there is little or no jurisprudence around the GNU license and he doubted that a defence mounted under that license to protect the standards would succeed. The view of the University of Michigan attorney – which did not constitute a Legal Opinion – was that the Lesser GNU license was inappropriate and offered no protection to the Alliance, ICPSR or the University of Michigan.

In dealing with the first concern, the protection of IPR and any other rights, some background is necessary. The term Standard Setting Organization (SSO) needs to be distinguished from a Standards Developing Organization (SDO). An SDO is an organization that has been accredited by the International Organization for Standards (ISO) or the International Electrotechnical Commission (IEC) as representative of the standardization activities of their country for transparency, openness, impartiality, effectiveness and balance. In the USA, for example, the American National Standards Institute (ANSI) was selected as the most representative of such organizations[4].

A Standard Setting Organization (SSO) is any organization whose primary activities are developing, coordinating, promulgating, revising, amending, reissuing, interpreting, or otherwise maintaining technical standards that address the interests of a wide base of users outside the Standard Developing Organization. The literature distinguishes five types of SSOs: 1) trade associations, 2) SDOs themselves, 3) consortia, 4) alliances, and 5) the Open Source Software movement. Thus the Alliance best fits into 3) or 4) and, given its principle of free access, possibly into 5) as well.

Intellectual creations are public goods, much easier and cheaper to copy than they are to produce in the first place. Intellectual property rights (IPR) are thus a 'solution' to the public goods problem because they privatise the public good, and therefore give potential inventors an incentive to engage in research and development[5]. SSOs tend to encounter IPR problems when another entity claims to own property rights over the subject of the standard held by the SSO. Thus much of the litigation – and it is extensive – revolves around whether the entity laying a counter-claim to the SSO IPR had prior knowledge of the SSO's claim or around whether the entity had breached a duty to disclose its claim upon joining the SSO (if it did). 'IPR

[4] Carl Cargill, *Intellectual Property Rights and Standards Setting Organizations: An Overview of Failed Evolution Submitted to the Department of Justice and the Federal Trade Commission,* March 2002. Mr. Cargill was at that time Director of Standards, Sun Microsystems.
[5] Mark A. Lumley, *Intellectual Property Rights and Standards Setting Organizations*, 2002

high-jacking' is defined as the unauthorized use or appropriation of patented or copyrighted material.

In the US anti-trust legislation, focused on maintaining free and competitive markets, is also an issue where IPR is concerned. This has given rise to so-called 'RAND licensing'. Reasonable and Non-Discriminatory (RAND) licensing is a type of licensing typically used during standardization processes. When joining a standardization body, companies normally agree that if they receive any patents on technologies which become essential to the standard they agree to allow other groups attempting to implement the standard to use those patents and they agree that the charges for those patents shall be reasonable or even royalty free. RAND licenses mitigate the risk of anti-trust allegations by allowing a competitive market to develop between multiple companies making products which implement a standard[6].

What does all this mean to the Alliance at this time? Frankly, perhaps not a great deal since it cannot hold IPR as it has no separate legal existence – it is not a corporation. The options on the entity question are explored in section 9 below. Ignoring that for now there is a need to explore what the Alliance, other things being equal, might wish to protect and how best to go about it. The *raison d'etre* of the Alliance is to make the DDI standards available free of charge to all who wish to use them, notwithstanding that they are intellectual creations. This stance suggests that the DDI is a public good and there may not be any IPR to protect within the usual meaning of that term. That the DDI standards are specifications possibly makes their protection more of a problem as well.

The Alliance has to decide what it wants to do with the DDI specifications. The answer will guide what has to be done. For present purposes we assume that the Alliance wants to ensure that what it refers to as the DDI (regardless of version) is, if used by a third party, the creation of the Alliance and not something masquerading as such. If this is so then the best way forward, in the view of the attorneys, may be to register trademarks for the DDI. Members of the Alliance and others authorised to do so would be able to display the mark. Others (vendors, for example) would need to apply to the Alliance to use the mark for a fee, thus creating a much needed potential source of revenue. The Alliance could license the mark to others after a review that their materials were indeed DDI-compliant. Another variation on using the licensed trademarks could be to certify training materials. Approved training materials could show the DDI trademark – aspects of training are considered more fully in section 15 below. It would be analogous to having the "Good Housekeeping" seal of approval.

[6] http://en.wikipedia.org/wiki/Reasonable_and_non-discriminatory_licensing

The advantage of the trademark approach is that it provides protection of the intellectual creation and does so for a very reasonable initial cost in the region of $2,000. Preliminary discussions with University of Michigan attorneys have established that Certification and Collective marks (two largely similar types of trademark) are eligible for federal registration in the United States and likely, we believe, in other jurisdictions as well although this and associated costs remain to be more clearly determined. “DDI” and other variants of that acronym are likely eligible for registration although the phrase “Data Documentation Initiative” is felt to be too generic or merely descriptive on its own and would be rejected for registration in the United States. This does not preclude incorporating the acronym “DDI” and the phrase “Data Documentation Initiative” into a single design in, for example, the form of a seal. It simply means that in the overall design and the “DDI” acronym would be protected but the phrase would not.

Other advantages of the trademark approach are:

a) it is simple and inexpensive to obtain and register;

b) it has no end-of-term such as a patent has;

c) control of access to the mark provides protection from potential erosion of the DDI specification; and

d) it need not be associated with an activity or artefact.

So, for example, in regard to d), the DDI specification/methodology remains open source but the DDI mark can only be used with permission.

Not being a separate legal entity, the Alliance cannot *per se* hold the trademarks. We will return to this and the key question of policing, monitoring and rights enforcement of the trademarks in the discussion of the entity question in section 9 below.

In anticipation of following the trademark route as a way to protect the rights of the Alliance in the DDI from erosion and to exercise control over its use, the Alliance should establish a sub-committee of Member Representatives to consider acronym variations, logo designs and a protocol for licensing Members and 3rd parties, as well as a fee structure to be associated with the latter.

To see more details go to ***Appendix 8***, *Memorandum on DDI Trademark Issues*, which does not constitute a Legal Opinion?

6. DDI 2 and DDI 3 - The Branding Debate

The adoption of the 'DDI 3.0' as the 'name' for the data life-cycle DDI product is a source of confusion as, given the fundamental differences, few see the implied continuum from DDI 2.0 to DDI 3.0 in the versioning sequence. The recent introduction of DDI 2.5 may have exacerbated this confusion. Most see two products in need of distinct branding.

Related to this issue is a strongly held view among many stakeholders that the DDI 2.0 was until recently, if not being abandoned, at least being neglected and, further, that this was happening without a lot of stakeholder consultation.

This view that there was not much discussion of the move from 2.0 to 3.0 is substantiated by the extensive minute references to discussion of DDI 3.0 going as far back as 2004 setting out matters relating to its development. Furthermore, 3.0 is positioned as a central matter in the 2007 strategic plan – perhaps too much so. This may demonstrate an internal communications concern referred to elsewhere and perhaps the voices of those seeking continuing attention for 2.0 may have been drowned out until much later. The minutes of the May 31, 2010 Expert Committee Meeting held in Ithaca, New York contains a discussion of the 'branding' question:

> "A proposal for branding the two development branches of DDI was viewed and discussed. With this new model, DDI 2.x would become DDI-C (codebook), and DDI 3.x would become DDI-L (lifecycle). The consensus appeared to be that this would make the difference between the two branches clearer for new users. There should be a decision tree to guide users regarding which version of the standard makes the most sense for the tasks they need to perform. The Expert Committee recommended that the Director solicit the opinion of someone with marketing expertise and then do some usability testing. The TIC agreed to investigate how these new designations might be incorporated internally into the standard itself."

It is instructive and disquieting that in late January and February 2011 during face-to-face and telephone interviews with stakeholders conducted as part of this review this matter was still a 'hot-button' for some. It is easy to say that those concerned about the possible abandonment of 2.0 should have spoken out earlier and often. But what Alliance forum was available to do so? The Steering Committee as presently structured is a relatively small and perhaps a somewhat too closed group and the Expert Committee while larger is technically oriented and meets only once per year. The opportunities for having an impact on strategic direction are

therefore limited and point towards a governance problem in need of addressing. This matter is raised and further discussed in sections 9, 10 and 11.

The creation of the DDI 3.0 is undoubtedly a signal accomplishment and widely regarded as such by virtually all stakeholders although some have less *strategic* interest in it than others, many of whom feel strongly that their interest in 2.0 was in danger of being ignored.

We recommend that the May 2010 proposal (see Ithaca meeting minutes) to adopt the names DDI-Codebook and DDI-Lifecycle as the descriptors for the DDI standards be adopted sooner rather than later and clearly communicated through a well-designed media campaign to all Members and other stakeholders.

7. Tools – Building the DDI does not guarantee they will come

Without exception stakeholders lamented the lack of useful actively supported tools for both DDI 2.0 and 3.0. There is less agreement on the role the Alliance should play on the tools question but substantial concurrence that the lack of tools directly impacts take-up.

The tools question has been around since the establishment of the DDI. It was raised in the 2001 evaluation report initiated by NSF and conducted by ICPSR and it is given a complete section in the *Strategic Plan 2007 and Beyond.* Largely but not exclusively addressing 3.0, it states:

> "… we need to establish an ongoing mechanism for tools creation and updating and an active community of developers. Open source appears to be the best technological environment of choice to make this happen. To that end we will establish a DDI Tools Working Group that will recruit participants who have expertise in this domain and can participate in a tools community. The Alliance will also continue to put up as much financial support as possible to facilitate the creation of the needed suite of tools."

A Tools Catalog Working Group appears on the Alliance web site and we are aware that its work to inventory and describe existing DDI-related tools is ongoing. There is now an active Developers Group that met at EDDI II in Utrecht and will meet again in Vancouver during IASSIST. We are clear that in our view the Alliance does not have anything like the resources required to fund the creation of tools. Nor, to our knowledge, has there been any policy decision on the nature of the role it should play as a Standard Setting

Organization in the tools arena. The latter is, in our view, the first question in need of being addressed.

The tools situation though dire does not seem to be quite as desolate a desert as was previously the case. Some new private sector initiatives show significant promise and need to be encouraged. Getting the statistical software vendors engaged – a matter addressed in section 16 – would likely be very useful and would advance the cause. Work with StatTransfer has begun, which is a positive development. Tools to exploit DDI are critical; indeed, some stakeholders acknowledge that the arrival of Nesstar tool some years back may have saved the DDI from oblivion.

8. Finance and Resources – Achieving so much with so little

To paraphrase Churchill, never has so much been owed by so many to so few resources! The Alliance is clearly underfunded especially when a cost value is attributed to 'in kind' contributions. The annual revenue of the Alliance has ranged between $64,900 and $82,450 from 2005 to 2010 inclusive. The general trend is for the annual excess of revenue over expenditure to drop and indeed there was an operating loss of $4,268 in 2010 – see table following.

DDI Alliance - Revenue and Expenditure 2005 - 2010

	2005	***2006***	***2007***	***2008***	***2009***	***2010***
	$	*$*	*$*	*$*	*$*	*$*
Revenue	64,913	64,906	72,382	78,607	64,771	82,450
Expenses	38,395	68,875	40,455	49,880	52,992	86,718
Excess (Deficit)	***26,518***	***(3,969)***	***31,927***	***28,727***	***11,779***	***(4,268)***
Opening balance	25,947	52,465	48,496	80,423	109,150	120,929
Closing balance	***$52,465***	***$48,496***	***$80,423***	***$109,150***	***$120,929***	***$116,661***

For purposes of this report an approximation of value attributable to 'in kind' contributions from all sources, including by those paid for their work as employees or consultants, suggests

that a revenue base in the order of at least $200,000 is required to sustain the Alliance on a going concern basis. Even that amount does not take into account any slightly ambitious additional project that might be considered. It would simply cover the real and basic cost of operations at rates approximating market values and of necessity assumes an ongoing relationship with UM/ICPSR as the primary Host Institution.

Given the resources available to the Alliance over the years the progress on developing the DDI standards has been extraordinary.

The current resource levels are, in our opinion, so low and the Alliance membership base so fragile, as to represent a serious risk to maintaining the ongoing viability of the organization. In the present difficult economic times membership is not growing, inquiries notwithstanding, and, in fact, some members have failed to renew in recent years. As referenced above there has been some change in membership make-up and while interesting institutional inquiries about joining continue to be received these are not yet yielding new members. Having said that, the Alliance has recently welcomed into its ranks the Australian Social Science Data Archive (ASSDA), the Australian Bureau of Statistics (ABS), the Ontario Council of University Libraries/Scholar Portal (OCUL/SP), and the University of Washington, Center for Studies in Demography and Ecology (CSDE).

Stable long term funding is a matter in need of the most urgent addressing and, furthermore, continuing dependency on 'in kind' funding as an alternative to a solid financial footing may not suffice as a basis for future development should DDI take-up accelerate.

9. The Entity Question – "To be or not to be …"

The Alliance has no separate legal existence and on the face of it this is a simple matter to remedy but paradoxically to do so may be neither necessary nor even a good idea, at this juncture.

The Alliance is a Program of the University of Michigan within ICPSR. This lack of independence is a problem for some stakeholders. The range of concern varies from disenchantment with American politics, to some dislike of UM/ICPSR, through vaguely articulated perceptions of possible undue influence from UM/ICPSR, to ICPSR 'branding' on Alliance material. We did not come away with any sense of the Alliance/UM/ICPSR relationship being a major problem. On the contrary it has worked well over the years. The negative views of UM/ICPSR were few and far between and, for the record, were not held exclusively by non-Americans.

Another aspect of the entity question is the view that the Alliance should become a not-for-profit corporation. One person interviewed put it this way: now the Alliance cannot even trade its own assets. It was noted that Dublin Core is incorporated in Singapore. However, W3C is not incorporated. It appears to be an unincorporated 'child' of the Massachusetts Institute of Technology (MIT) – an arrangement not too dissimilar to that of the Alliance and one that does not seem to have inhibited W3C's growth and stature! Should the Alliance wish to incorporate and continue its association with UM/ICPSR then a consideration will be that incorporation as a not-for-profit LLC (Limited Liability Corporation) is not available in the State of Michigan. Incorporation in another jurisdiction would then be necessary.

Perhaps of more substantial importance and relevance is the fact that the mere act of setting up a corporation does not provide the kind of independence those proposing it may have in mind. The corporation must achieve the status of a 'legal person.' As such it should have employees, contracts and the other trappings of business-like activity – it cannot simply be a shell. As a 'legal person' the entity has rights, protections, privileges, responsibilities and liabilities under law just as natural persons do. Therefore, making the DDI an independent organization outside of UM/ICPSR and then creating a hosting arrangement is both a cumbersome and expensive proposition which, at the present time, is simply not financially feasible for the Alliance.

Also, incorporation does not bring with it any intrinsic power to protect the interests of the Alliance in the DDI standards. On the contrary, it may be a weaker position than remaining within the UM/ICPSR 'family'. Returning, for example, to the question of registered trademarks and IPR discussed in section 5, there is no doubt in our mind but that the present UM/ICPSR arrangement affords more protection at less cost than Alliance incorporation would. Under the Alliance's current UM/ICPSR arrangement the University of Michigan would hold and police the mark. It has a well-earned reputation and the resources for doing so vigorously in relation to its own logos and trademarks. Under such a regime all license revenue would go back to the Alliance under a Memorandum of Understanding (MOU) with the University to that effect. The DDI Alliance would move under the umbrella of UM sponsored projects, waiving indirect cost recovery. In this way UM could hold the trademark without the Alliance incorporating itself. If at a later date Alliance incorporation status changed the marks could be moved and this is easier to do than moving out of the UM/ICPSR 'family' and perhaps moving back later.

The question of finding another 'home' for the Alliance has arisen on a number of occasions throughout this review and is alluded to as recently as last May in the minutes of the Expert Committee meeting. We have looked at joining OASIS as a possible option for the Alliance. It could be done and would have the advantage of providing the Alliance with a full range of tried

and true procedures and processes that go beyond those currently in place. It would also put the Alliance inside an organization that around the world commands considerable respect as an SSO. In the US, OASIS has the capacity and reputation to present standards for ISO certification and we understand from sources that in the European Union it is a *de facto* SSO as well.

The disadvantages of OASIS and a small number of similar organizations, as a possible home for the Alliance, in our view outweigh the advantages, at least for now. Thus, for example, the OASIS processes and procedures may have too much overhead and process burden for the liking of Alliance members who, while expressing a desire for more rigour, do not want something overly heavy. OASIS would also require a substantial annual fee and does not provide the secretariat services currently provided by ICPSR should the latter not be available under a new arrangement. Also, and perhaps most important of all, the Alliance activities would be subject to and subordinate to the OASIS Board of Directors and the Alliance would therefore lose much of the independence it now enjoys. Finally, we are of the view that a move to an OASIS-like organization could place the Alliance corporate culture at risk of erosion and we said at the outset that this key asset must be preserved and even nurtured as much of the success to date has to be attributed to it. However, if in reassessing the objectives of the Alliance actively seeking out ISO certification for the standards was to be an overarching objective then affiliating with OASIS should be given serious consideration. Note also that remaining within the UM/ICPSR umbrella does not in any way preclude seeking ISO certification status.

10. The Governance Model – A Tweak in Time

The committee structure set down in the Bylaws seems to envision the Steering Committee as the leadership group with the Expert Committee taking on the scientific and technical role of developing the standards. This structure has been somewhat eroded in practice with the result that de facto *power to influence the Alliance's direction sits elsewhere and mainly within the Technical Implementation Committee (TIC).*

The widely-held perception is that this, at least to some extent, seems to have happened in the Alliance. It is unclear and really doesn't matter why this may have occurred and to speculate on the possible reasons would be just that – speculation – and not bring one closer to the cause. Fortunately for the Alliance the outcome has been strong standards developed with major contributions by many but especially from a small group of well-intentioned highly skilled people committed to the DDI, the Alliance, and propagation of the standards and the take-up of social science metadata in general. The Alliance is very fortunate this has been the outcome.

The current governance model is set down in the Bylaws which are discussed in greater depth in section 11. On the face of it, if closely followed, the explicit structure of committees should have resulted in clear administrative and technical direction and guidance to those charged with developing the more detailed scientific and technical aspects of the standards. Instead what seems to have occurred is that the direction has in recent years and in large part come from a technically skilled and committed small group of experts. In short, the TIC is perceived by many stakeholders to wield too much power while at the same time the extraordinary contribution of its members is readily acknowledged and appreciated.

Not-for-profit entities, even unincorporated ones like the Alliance, are difficult to manage. Managers when dealing with volunteers or near-volunteers do not have the same leverage as in a commercial enterprise. However, the tail wagging the dog, as the role of the TIC has been described, or even that perception, is never desirable. Some unintended consequences of this may have been:

- Releasing the complex DDI 3.x too early and without adequately addressing modularity as well as might have been the case
- Seeming to neglect 2.0 and creating unnecessary tension with some stakeholders
- Setting in motion a perception that there is a lack of structure and discipline within the Alliance and a sense that there is an excess of free-wheeling.

All of these matters cannot justly be placed squarely at the feet of the TIC. There was no *coup d'etat.* Indeed and as previously noted the *Strategic Plan 2007 and Beyond* spends much time discussing 3.0 to the near exclusion of 2.0. Nor do management and leadership autonomously devolve downwards – some benign neglect by the Steering Committee may have been a catalyst. Perhaps the shift was slow and largely undetectable and while the Steering Committee might have been more alert and intervened, for whatever reason, it did not. Also, participation in Alliance activities, especially in the Expert Committee, is technically demanding and is only a part-time activity for everyone involved. Perhaps as well, there is less face-to-face activity than is optimally desirable. This needs to be addressed by creating a stronger awareness of the committee structure, roles, relationships and responsibilities as well as having more frequent meetings. However, under-resourcing of the Alliance makes the latter difficult. Also the structure of the Bylaws may have been a contributing factor and this is addressed separately below.

11. Bylaws – Were suitable for start-up but now require review

The Bylaws as currently structured do not adequately facilitate stakeholder representation at the Steering Committee level. In addition, they contain matters of a detailed operational and process nature which would require Bylaw amendment to modify. These deficits need to be addressed.

The present Bylaws structure was based on W3C and co-founder Richard Rockwell's desire to 'get everything into one document'. It has served the Alliance well but, for example, the position of two 'hardwired' Host Institutions is an anomaly from founding days and is no longer necessary. The Roper Center was originally envisioned as a Host Institution because of the active participation of Richard Rockwell, who left the ICPSR directorship to become Director of the Roper Center just as the DDI Alliance was forming. Roper is now fully open to a new governance structure in which they no longer play this role.

The Bylaws contain a lot of process and even job descriptions that could just as easily be captured in separate documents. Modification to these separate documents could be voted upon thus avoiding a need for a by-law amendment over a procedural issue.

With these and other changes in mind we have redrafted the *Charter and Bylaws*. They are presented for consideration in ***Appendix 9.***

Some background as to the basis for the changes may be helpful. Conceptually we have followed a business corporation model where Members are the equivalent to shareholders and the Executive Committee (Formerly Steering Committee) equates to the Board of Directors. In thinking about the Expert Committee, we realised it has TWO distinct roles that are being confused at present. Its primary role is as DDI experts who direct sub-committees or working groups dealing with technical aspects of the DDI – the TIC could be seen as either a working group or a sub-committee. The Expert Committee's secondary, but no less important role, is to approve the operational decisions of the Executive Director (formerly Director) and the Executive Committee on an annual basis and in this capacity, although they are in fact the same people, they are analogous to shareholders. The draft Bylaws create an Annual Meeting of Members which while having the same members as the Expert Committee deals with a different set of purposes and has its own agenda. Voting rights are also dealt with explicitly.

We have attempted to deal as well with broader representation for stakeholders by enlarging the Executive Committee and to reinforce the relative reporting relationships of committees. We thought this necessary as we have observed and previously commented that at present

intrinsic governance power seems to have become dispersed and is at least partly if not largely appropriated by the TIC. For example, as now redrafted a Sub-committee cannot create Working Groups. The draft creates an elected Executive Committee and Chair and permits the creation of multiple membership classifications with equal rights but differing membership dues.

The intention in creating multiple memberships classifications is to deal in part with the under-resourcing of the Alliance. Different types or levels of memberships with scaled fees are commonplace in organizations. For example, OASIS has three levels that could inform the Alliance's thinking in this area: Foundational Sponsor, Sponsor and Contributor with fees of $50,000, $16,000 and $8,000, respectively. It also distinguishes between academic institutions, national and local governments with fees ranging from $40,000 to $1,100. ICPSR has two membership classification systems. For universities it employs the Carnegie Classification of Institutions of Higher Education and sets out a range of fees across six levels derived from the academic range of degrees offered. The fee goes up from $1,600 (Associate/Community College) to $15,000 (Doctoral Research Extensive). For non-profit, government, commercial and academic institutions outside the United States it has a classification based upon size and use of data resources. Using four levels of membership the fees range is from $2,000 to $15,000. The European organisation for International Research Information (euroCRIS) has three levels: Institutional, Personal and Affiliate. Object Management Group (OMG) distinguishes six levels of membership with fees ranging from $550 to $75,000.

The amendments also address multiple memberships by components of single organizations and make such applications subject to case-by-case decisions by the Executive Committee. We have removed all technical approval process from the Bylaws except to say there is one and it (or changes to it) must be approved by the Expert Committee.

In the draft there are now references to trademarks, certification marks and collective marks as well as copyright. This is all about the IPR question and as discussed earlier in section 5 and is based on consultation with the University of Michigan legal department.

At present the Alliance Charter and Bylaws differ only in title. Usually the Charter of an entity is derived from its enabling legislation such as, for example, the Canada Business Corporations Act or the UK Companies Act. In essence the Charter identifies the entity's legal root and sets out its objectives and the Bylaws set out governance within the scope of the objectives. We have redrafted the Charter to reflect these concepts.

12. Membership – Fees and the Thorny Voting Question

Membership, fees and voting rights do not have to be connected but in the minds of some stakeholders they appear to be. In particular, some stakeholders are concerned that the admission to membership of large institutional organisations may erode the influence of the more traditional and smaller Alliance participants, particularly those who were present from the beginning. The proposal that large institutional members might pay higher membership dues seems to carry with it the idea that higher fees mean more voting power for those members.

There is also concern regarding 'block voting' – the phenomenon of members from essentially the same or like organizations collaborating and voting in a manner that may not be in the best interest of the DDI standards.

DDI Alliance resources are inadequate and something has to be done about that if the Alliance is to be placed on a solid financial footing. Towards this end and in the redrafted Bylaws we are proposing multiple tiers of membership with different fee structures but no voting inequality.

Adding more Host Institutions needs consideration as this (without automatic membership of the Executive Committee) would strengthen the ongoing viability of the Alliance and, depending on how it is structured, could enhance the finances as well. A strict adherence to the use of the word "host" to mean where the Alliance is held or housed in the sense of home or head office would seem to preclude its use to also mean a place where one or more of its activities or functions was supported, sponsored or carried on. Semantics aside, in our view, consideration should be given to actively pursuing national and international bodies that have a clear interest in promoting the DDI standards and encourage them to join as Sponsoring Institutions. Adoption of the phrase 'Sponsoring Institution' would necessitate a Bylaw amendment, albeit a simple one to do. The Host Institution would continue to provide the Secretariat as at present. However, a role for a Sponsoring Institution could be built around its core competency or declared preference for a specific type of contribution. For example, it might wish to make progress in fostering a stronger relationship with another standard such as SDMX. An example too might be for a Sponsoring Institution to develop and/or fund training capacity in the DDI standards for developing countries. Having multiple Sponsoring Institutions could also inform succession and future secretariat arrangements by providing a broader set of options to the Alliance for a future Host Institution. Offering Sponsoring Institution status could be a vehicle for recognising major contributions, whether monetary or in kind, while keeping voting power focused on Member Representatives regardless of the size of the institution they represent. Sponsoring Institutions would thus be afforded recognition and, in effect, be given

informal extrinsic power without impacting the formal intrinsic power of Member Representatives, each with the right to exercise one vote.

13. Succession

Since the founding of the Alliance it has been a Program of ICPSR and the present arrangement is that ICPSR provides approximately ten per cent of a senior resource person to function as the Director. This has served the Alliance well since its foundation but a significant number of stakeholders feel that 'succession' – by which is meant the process of identifying and selecting the next Director – needs to be taken up.

There is universal support for the present incumbent. She has been described as '… the gel that makes the Alliance work as well as it does'. The genuinely expressed concern is about how the current Director will be replaced upon retirement.

The Alliance is now truly an international Standards Setting Organisation and in the future it may well not be in its best interest that the Executive Director come from ICPSR or even any other member institution. Consideration, based on the experience of the past years, as to what the role of the Executive Director should be in the future would be a good start to considering matters of succession.

14. Conflict of Interest

We can define a conflict of interest as a situation in which a person has a private or personal interest sufficient to appear to influence (emphasis added) the objective exercise of his or her official duties as, say, a public official, an employee, or a professional[7]*. As enunciated by some stakeholders within the Alliance, the appearance of conflict of interest situations arises in the following distinct ways:*

a) *any professional working on the standard getting paid by the Alliance has a potential conflict of interest;*

[7] *Chris MacDonald, Michael McDonald, and Wayne Norman, "Charitable Conflicts of Interest",* Journal of Business Ethics *39:1-2, 67-74, August 2002*

b) *any professional, who is a Member, who offers fee-based training or consulting services based on the DDI to another Member or 3rd party has a potential conflict of interest;*
c) *any commercial entity involved in the development of the standard (or tools for its implementation) whether as a Member or invited Observer may exert undue influence on the DDI specification and therefore has a potential conflict of interest; and*
d) *any otherwise public sector Member who carries on quasi-commercial activities who is involved in the development of the standard (or tools for its implementation) has a potential conflict of interest.*

The thematic connection between these scenarios appears to be the potential for monetary gain or commercial advantage. However, while the comments we received were limited to the foregoing, based on the referenced definition it seems to us that other motives could just as easily give rise to potential conflict of interest.

It is a fact of life that all Standards Setting Organisations suffer from the same conflict of interest situations or scenarios as the Alliance. Standard-setting bodies in the commercial software, telecommunications and hardware vendor arena in most well-developed jurisdictions are replete with cases where allegations and counter-allegations have been and are before the courts. Litigation and cross-litigation, usually couched in terms of IPR and licence infringement, is commonplace.

It is important to note that in the course of this review no stakeholder made any allegations of actual conflict of interest. Equally it is important to recognise that appearances as described above are real and do exist within the Alliance. The more important question is how to deal with them.

Alliance members are right to be concerned about conflicts of interest and these may be partly resolved by IPR protection strategies such as licensing arrangements as discussed in section 5.

Quite apart from IPR infringement questions these conflicts have the ability to slow down the development of the standard or to push them ahead at such a rapid pace as to inhibit their take-up. Both would damage the Alliance. Conflict of interest situations may also subtly create elite closed groups that reduce market forces for the development of tools, training or consulting services and related competitive pricing. This too could damage the Alliance.

We have seen absolutely no evidence that any of this has occurred. However, even the appearance that such conflicts exist creates an unhealthy tension among stakeholders which, if not managed, may erode the robust corporate culture that is an important hallmark of the Alliance.

Be clear on this, shutting out those with the appearance of conflict of interest would not well-serve the DDI standards if only because the persons and entities that may be so-identified are the very same people who have helped, and continue to help, advance the DDI standards to their current lofty position around the world. They are counted among the small group referenced in section 10 and the Alliance is fortunate to enjoy their services and support. It is a symbiotic relationship of mutual self-interest that begs for transparent and objective supervision by Alliance senior management.

Our position is that dealing with the appearance of conflict of interest is a question of transparency, self-assessment/declaration and having appropriate procurement procedures for professional services and goods exercised pro-actively and objectively by Alliance senior management. We have reviewed the current *Draft DDI Alliance Conflict of Interest Policy* (see Appendix 10) and in that it is a self-assessment trust-based declaration, it appears to meet the present needs of the Alliance. Not less than annual pro-active requests from the Executive Director for self-declaration from all affected parties would be essential to make it effective and not simply window-dressing. We recommend that the *Draft DDI Alliance Conflict of Interest Policy* be formally adopted.

15. Training - Meet User Needs

Training does not seem to meet all current needs of existing or emergent stakeholders. Training, in their view, is too tightly controlled by a small group. There is a need for at least two levels of training as well as a train-the-trainer program. The very small group currently involved in training likely cannot meet the actual and pent up demand.

Training is a key component for encouraging take-up of the standards and has long been recognised as a basic need. The Alliance needs to have a clear policy position on the role it plays in training, if any.

The *Strategic Plan 2007 and Beyond* speaks to the need to broaden training and in lamenting tones opens the subject with the phrase "… as was the case four years ago". Well, based on the comments from many stakeholders, insufficient progress has been made since 2007. Apart from current members of the TIC, who are well equipped to deliver in-depth advanced technical training and do, there also appears to be a wide-spread but relatively small number of individuals with the skill-set to deliver basic and mid-level training in the use of 2.x in particular. Drawn mostly, though not exclusively, from the ranks of IASSIST, the Data Liberation Initiative

and individuals within NSOs and similar bodies as well as international agencies, they operate on an ad hoc basis without coordination, guidance or quality control from the Alliance. None of the training material used has any 'official' standing with, or stamp of approval, from the Alliance. Perhaps it does not need to have its *imprimatur*; yet, given the cross-roads the Alliance finds itself at, the role of the Alliance in the training arena needs to be given consideration.

Depending on the policy position adopted it may be timely to have a professionally developed well-funded training strategy in place. A fact an evidenced based study of training needs might be undertaken with the objective of defining the student population, its needs and levels from basic to expert user, including train-the-trainer considerations, across the two existing standards. The output could be a curriculum with course descriptions developed using principles of instructional design and should embrace the creation of full sets of pedagogical material. How delivery is, if at all, coordinated or otherwise influenced by the Alliance, which is primarily a Standards Setting Organisation, should at least be a matter for internal discussion to create a policy on the role the Alliance might play, and should include the possibility of licensed outsourcing.

16. Marketing not "Outreach"

The DDI Alliance may have an 'in-house' PR problem in need of addressing in that the emergent stakeholders do not see themselves as well served although they very strongly support and need the DDI 'products' and tools. The broader need for an external/outward-facing Marketing Plan and implementation strategy to promote even more take-up of the standards and Alliance membership needs to be addressed.

There are at least two dimensions to the outreach question. First, there is reaching inside the Alliance to the membership; and, secondly, there is external facing position of the Alliance in its role to promote and encourage take-up of the DDI standards and more besides. The second we see as marketing.

The internal membership view is well enough handled by the existing web site and periodic communications generated for members. The 2007 strategic plan addressed Outreach and encouraged going beyond simply promoting the DDI. It speaks of feedback from the user community and the solicitation of new ideas and functionality not yet implemented. All this is still largely inward looking.

Beyond reaching the user community there is a need to attract the interest of the vendors of statistical software tools and perhaps – for 3.X in particular – some part of the business intelligence software industry. Get their attention and a solution to the lack of DDI tools could be on the horizon instead of being somewhat out of sight as is now largely the case, with some notable exceptions.

It is beyond the scope of this review to develop a full-fledged marketing strategy for the DDI standards and the Alliance but a plan and the resources – it will not be inexpensive - to both create and execute it is required if the organization is going to take the next critical steps in its development. Organizations do not grow linearly; they do so in steps and each step is progressively more demanding in terms of the resources required to take it. A marketing strategy is one of the key needs – among the others already indicated – to take the Alliance forward.

17. Audit and Evaluation of DDI Activities including Committees and the Standard

Independent audit of Alliance finances and evaluation of its activities against strategic plan benchmarks may be worth considering and a technical evaluation of the DDI specification may also be appropriate.

A formal evaluation of the DDI specification was last carried out at the request of NSF and reported in 2001. No audit or evaluation of the DDI Alliance has been conducted to our knowledge. Given the now diverse membership of the Alliance and in particular the increasing participation of larger government and international organizations the need for an annual audit to report on its operations and financial position needs to be considered. The present legal affiliation with UM/ICPSR means this would need to be done in consultation with the Host Organization.

A periodic formal evaluation, using a well-founded strategic plan with clear performance indicators as a base, would also be a useful contribution to monitoring as a key component of overall governance. Audit and evaluation, both forms of monitoring, give comfort to the Alliance members and management of participating organizations that funds are being employed for the intended purpose and achieving planned outcomes. As government and international agencies increasingly participate in Alliance activities audit and evaluation may take on greater importance in that public and donor funds are being contributed to it.

It may also be important to evaluate the DDI specification itself in preparation for Version 4.0. This should be a wide-ranging review with the aim of aligning the DDI with important scientific and technological developments and meeting the expectations of new and traditional stakeholders.

APPENDICES

APPENDIX 1 - DDI External Review
October 2010 –January 2011 - Terms of Reference

Objectives of Review:

The review should provide legally sound guidance about a governance structure for the DDI Alliance that best supports the continued development of the DDI standard, meets the needs of the stakeholders, and protects the products of the Alliance. Breckenhill is expected to do the following:

- Clarify who holds the intellectual property rights to the DDI specification and how the Alliance can best protect its IP (the specification is currently distributed under the Lesser Gnu Public License)
- Consider alternatives to the current Alliance governance structure, including becoming a nonprofit or joining an existing standards organization
- Review the structure of host institutions and associations described in the Bylaws with a view toward opening up the Alliance to others to participate in governance, understanding what it means to be a host institution, and putting in place a system for periodic review and renewal of the governance body
- Review the Bylaws and rewrite to be more specific on the above points
- Provide guidance on having a Constitution that does not change and Bylaws that are easier to change, separating the mechanism for revising the specification from the Bylaws
- Review the membership agreement and suggest content
- Suggest content of a contributor agreement for those contributing products to the Alliance
- Review the current Conflict of Interest form used by the Alliance and provide guidance on how the Alliance should approach this broad area

Outcomes:

An Interim Report and a Final Report addressing all of the objectives noted above are expected. The reports should include recommendations on next steps in terms of IP protection and governance.

Key Stakeholders:

The DDI has many stakeholders and audiences, including:

- Social science data archives
- Institutional repositories
- Academic libraries
- Campus data centers
- National Statistical Organizations (NSOs)
- Government agencies producing data and statistics

- Data producers, including principal investigators and data collection entities
- Funding agencies
- Software developers
- Academic researchers
- Data users

Some of these audiences may be grouped for purposes of discussions. Names of individuals representing these stakeholder communities will be supplied.

Key Groups and Resources:

DDI Alliance Secretariat: Consists of the DDI Director and administrative personnel at the University of Michigan. This group maintains the membership accounts, accepting new members, invoicing for membership dues, and processing payments. This group also maintains the DDI Web site – http://www.ddialliance.org.

DDI Expert Committee: Consists of one representative from each of the member institutions. This group meets annually in connection with the IASSIST meeting and is chaired by Chuck Humphrey, University of Alberta, with Mari Kleemola, Finnish Data Archive, serving as Vice-Chair.

DDI Steering Committee. Consists of representatives from ICPSR and Roper Center (Host Institutions); IASSIST, IFDO, and CESSDA (Host Associations); and the Chair and Vice-Chair of the Expert Committee.

Working Groups. Consist of members working on common topics. There is a standing Technical Implementation Committee (TIC) that works on the specification itself.

Bylaws/Charter: Specifies how the Alliance does its work and who does the work.

Alliance Publications: List of publications, including Annual Reports, describing the work of the Alliance.

APPENDIX 2 - DDI Review – Stakeholders Interviewed

Social science data archives

- Ornulf Riesnes, NSD/Nesstar, Bergen, Norway

Institutional repositories

- Ann Green, Yale University

Academic libraries

- Katherine McNeill, Massachusetts Institute of Technology (MIT)
- Wendy Watkins, Data Librarian, Carleton University, Ottawa

Campus data centers

- William Block, Cornell University (CISER)
- Stefan Kramer, Cornell University (CISER)
- Ron Nakao, Stanford University

National Statistical Organizations (NSOs)

- Alistair Hamilton, Australian Bureau of Statistics
- Therese Lalor, Australian Bureau of Statistics,
- Simon Wall, Australian Bureau of Statistics
- Michel Seguin, Statistics Canada
- Alice Born, Statistics Canada
- Amy Lee, Statistics Canada

Government agencies producing data and statistics

- Olivier Dupriez, World Bank, Development Data Group (DECDG)
- Daniel Gillman, U.S. Bureau of Labor Statistics

Software developers

- Pascal Heus, Open Data Foundation
- Jeremy Iverson, Algenta Technology
- Dan Smith, Algenta Technology
- Don MacIntosh, Space Time Research

Current DDI Steering Committee Members

- Mark Abrahamson, representing the Roper Center

- George Alter, representing the Inter-university Consortium for Political and Social Research (ICPSR)
- Chuck Humphrey, University of Alberta-- DDI Alliance Expert Committee Chair
- Mari Kleemola, Finnish Social Science Data Archive -- DDI Alliance Expert Committee Vice Chair
- Hans Jørgen Marker, Swedish National Data Service (SND), representing the Council of European Social Science Data Archives (CESSDA)
- Mary Vardigan, ICPSR, DDI Alliance Director
- Melanie Wright, United Kingdom Data Archive (UKDA)

Former Steering Committee Members

- Richard Rockwell, University of Connecticut
- Tom Piazza, University of California, Berkeley

Technical Implementation Committee Members

- Joachim Wackerow, GESIS - Leibniz Institute for the Social Sciences
- Wendy Thomas, University of Minnesota, Minnesota Population Center
- Arofan Gregory, Metadata Technology

Others

- Kevin Shürer, University of Leicester, United Kingdom
- Jostein Ryssevik, Ides2Evidence, Bergen, Norway
- Ernie Boyko, Adjunct Data Librarian, Carleton University, Ottawa
- Eduardo Gutentag, Director of Standards, Oracle Corporation,
- Tim Mulcahy, NORC, Bethesda

APPENDIX 3 - DDI Timeline

1995
ICPSR Director Richard Rockwell constitutes a Committee on metadata. Committee meets in Quebec City. Members develop a draft list of codebook elements.

Members of Original DDI Committee:

Bjorn Henrichsen, Chair, Norwegian Social Science Data Services
Micah Altman, Harvard University
Atle Alvheim, Norwegian Social Science Data Services
Grant Blank, American University
Ernie Boyko, Statistics Canada
Bill Bradley, Health Canada
Cavan Capps, Bureau of the Census
Bill Connett, University of Michigan
Cathryn Dippo, Bureau of Labor Statistics
Pat Doyle, Bureau of the Census
Dan Gillman, Bureau of Labor Statistics
Peter Granda, ICPSR
Ann Green, Yale University
Peter Joftis, ICPSR
Ken Miller, ESRC Data Archive
Tom Piazza, University of California, Berkeley
Karsten Boye Rasmussen, University of Southern Denmark
Richard Rockwell, The Roper Center
Jostein Ryssevik, Norwegian Social Science Data Services
Merrill Shanks, University of California, Berkeley
Peter Solenberger, University of Michigan
Wendy Thomas, University of Minnesota
Rolf Uher, Zentralarchiv fuer Empirische Sozialforschung
Mary Vardigan, ICPSR

1995
Merrill Shanks, UC-Berkeley, Chair of the DDI Committee

1996
First DTD prepared at University of Michigan Library. An SGML DTD was produced by David Barber and John Brandt (University of Michigan), Ann Green (Yale University), and the DDI Committee.

1997
NSF funding received to enhance DDI and betatest it. This award (SBR-9617813) funded DDI development and ICPSR codebook digitization. http://www.ddialliance.org/sites/default/files/final.pdf" Final Report (pdf)

1997
SGML DDI specification translated to XML. This work was done by Jan Nielsen, Danish Data Archive.

1998
Committee meets in New Haven, CT. Prepares for betatesting.

1999
Betatest of DDI DTD takes place with testers' reports submitted. List of Betatesters:

Centre for Comparative European Survey Data (CCESD)
London, England
Contact: Richard Topf

Danish Data Archive
Odense, Denmark
Contact: Nanna Floor Clausen

The Data Archive
University of Essex
Essex, England
Contact: Ken Miller

Harvard-MIT Data Center
Cambridge, MA
Contact: Michael McDonald, Micah Altman

NIWI-Steinmetz Archive
Amsterdam, The Netherlands
Contact: Repke de Vries

Norwegian Social Science Data Services (NSD)
Bergen, Norway
Contact: Jostein Ryssevik

University of California, Berkeley
Survey Research Center
Berkeley, CA
Contacts: Juteh Theresa Cheng, Jeff Royal

University of Giessen
Giessen, Germany
Contact: Karsten D. Wolf

University of Ljubljana

Social Science Data Archive
Ljubljana, Slovenia
Contact: Janez Stebe

University of Michigan
Harlan Hatcher Library
Contacts: Bonnie Dede, JoAnn Dionne, Lynn Marko, Patricia Dragon

University of Minnesota
Machine Readable Data Center
Minneapolis, MN
Contact: Wendy Treadwell

University of Warsaw
Institute for Social Studies
Warsaw, Poland
Contacts: Pawel Morawski and Jacek Szamrej

University of Wisconsin-Madison
Data and Program Library Service
Madison, WI
Contact: Cindy Severt

2000
DDI Version 1 (DTD-based) published.

2001
Formal DDI evaluation takes place, funded by NSF. Evaluators praise the effort.
http://www.ddialliance.org/DDI/papers/evalsummary.pdf Evaluation Report

2001
Working group on aggregate data meets in Voorburg. Group develops a proposal for DDI coverage of aggregate/tabular data.

2001
First DDI Training held at IASSIST in Amsterdam. Bill Block and Wendy Thomas led the workshop on Creating DDI Compliant Codebooks.
http://www.iassistdata.org/conferences/2001/presentations/ddi_workshop.ppt

2002
Bjorn Henrichsen, NSD, Chair of the DDI Committee
2002
Committee meets in Storrs, CT, to draft DDI Alliance charter
http://www.ddialliance.org/org/charter.html

2003
DDI Alliance established with Tom Piazza, UC-Berkeley, Chair

2003
DDI Alliance Steering Committee meets for the first time. http://www.ddialliance.org/DDI/committee-info/minutes/2003-02-08.html Minutes

2003
DDI 2 published. DDI now covers aggregate data and geography.

2003
Final meeting of original Committee held in Washington, DC.
http://www.ddialliance.org/DDI/committee-info/minutes/2003-02-07.html Minutes

2003
Expert Committee meets for first time in Ann Arbor. Committee discusses transition from DTD to Schemas; New working groups on Structural Reform and Substantive Issues formed.
http://www.ddialliance.org/DDI/committee-info/minutes/2003-10-12.html Minutes

2004
Expert Committee meets in Madison, WI. Committee discusses requirements for Version 3.
http://www.ddialliance.org/DDI/committee-info/minutes/2004-05-29.html Minutes

2005
Hans Jorgen Marker, DDA, Chair; Ron Nakao, Stanford, Vice Chair

2005
Expert Committee meets in Edinburgh. Committee ratifies life cycle model and DDI 3 begins to take shape. http://www.ddialliance.org/DDI/committee-info/minutes/2005-05-22.html Minutes

2006
Expert Committee meets at IASSIST in Ann Arbor. Committee approves the scope and timeline for Version 3.
http://www.ddialliance.org/DDI/committee-info/minutes/2006-05-27.html Minutes

2007
Public Review of DDI 3 takes place

2007
Expert Committee meets in Montreal. Committee approves Candidate Draft of DDI 3.
http://www.ddialliance.org/DDI/committee-info/minutes/2007-05-19.html Minutes

2008
DDI 3 published as XML Schema.

2008
Expert Committee meets at IASSIST in Palo Alto, CA. http://www.ddialliance.org/DDI/committee-info/minutes/2008-05-31.html Minutes

2008
DDI develops Best Practices for DDI 3.
http://www.ddialliance.org/resources/publications/working/bestpractices Best Practices

May 25 2009
Expert Committee meets at IASSIST in Tampere. Committee discusses tools and transition from DDI 2 to 3.
http://www.ddialliance.org/sites/default/files/minutes/2009-05-25.pdf Minutes (pdf)

May 26 2009
Steering Committee meets in Tampere. http://www.ddialliance.org/sites/default/files/2009-05-26.pdf Minutes (pdf)

Oct 2009
DDI develops Use Case papers. http://www.ddialliance.org/resources/publications/working/usecases

Jan 01 2010
Chuck Humphrey, University of Alberta, Chair, and Mari Kleemola, Finnish Data Archive, Vice Chair

Jan 2010
New DDI Web site developed in Drupal so that multiple users can edit.

May 31 2010
Expert Committee meets in Ithaca, NY
http://www.ddialliance.org/sites/default/files/DDI%20Alliance%20Expert%20Committee%20Meeting%20Minutes(2)%205-31-2010.pdf Minutes (pdf)

Jun 2 2010
Steering Committee meets in Ithaca, NY
http://www.ddialliance.org/sites/default/files/DDI%20Steering%20Committee%20Minutes%202010-06-02.pdf Minutes (pdf)

October 2010
Best Practices for Longitudinal Data Using DDI prepared.
http://www.ddialliance.org/resources/publications/working/BestPractices/LongitudinalData

APPENDIX 4 - Data Documentation Initiative (DDI) Mission and Guiding Principles

Mission

The mission of the Data Documentation Initiative is to establish a standard for documenting and managing data from the social, behavioural, and economic sciences across the data life cycle. To carry out this mission in a trustworthy way, the DDI Alliance commits to the guiding principles outlined in this document.

Guiding Principles

The DDI Alliance accepts responsibility to establish a standard metadata specification for use by researchers, policymakers, data producers, archivists, developers, and other users in national and international jurisdictions. The technical standard should fulfill the following requirements in order to support the return on investment made by its stakeholders.

- The standard should *solve common issues* in the relevant domain and *adapt to changes* in the domain. For example, many ongoing social science surveys have begun to supplement their data with biomedical data. The DDI should be able to accommodate such evolution.

- The standard should *be accepted in the relevant communities*. The quality and usefulness of the standard should be apparent to prospective users.

- The standard should be *transparent and reliable* in terms of
    - Development of the standard. It should be clear who is developing it, who has input into its content, and the timetable for releases.
    - Access to the standard. All versions of the standard should always be accessible from persistent locations. The standard should be licensed appropriately to ensure wide access.
    - Usage of the standard. The standard should be as easy to use as possible. Users should be able to understand its structure and documentation with minimal training in order to use it effectively and to develop tools to exploit it. To support such understanding, the standard should be model-based, with actual representations (like XML Schema) derived from the model.

- The standard should support solutions based on the standard that are
    - Maintainable
    - Reusable
    - Sustainable

- When the version of the standard changes, the standard should *support migration* from older versions so that the investment in mark-up and solutions based on previous versions is not lost.

- The standard should be *interoperable with other metadata standards* in the domain and related domains.

Consult the DDI Strategic Plan for more information about the goals and objectives of the DDI Alliance.

APPENDIX 5 – DDI Alliance Strategic Plan 2007 and Beyond

Introduction

Transitioning to this new plan from the original DDI Alliance Strategic Plan written in June 2003 provides us with an opportunity to reflect on previous goals and to look ahead to what we hope to achieve over the next several years. For many reasons, this is a good time to assess our progress as a self-supporting membership Alliance and to set out an agenda for the future that takes the DDI project to a new level.

The four intervening years since the establishment of the Alliance have seen dramatic advances for the DDI project and the Alliance. The creation of DDI 3.0, long envisioned to deliver requested features and functionality is a signal accomplishment. DDI 3.0 brings the DDI effort fully into the 21st century in terms of cutting-edge use of XML Schemas to provide machine-actionability to drive systems. It incorporates all of the key substantive areas recommended in 2003, with much more robust spatial coverage. Other important innovations in DDI 3.0 include:

- An underlying data model that permits the expression of the model in alternative technologies
- Coverage of more of the data life cycle, with an emphasis on data collection
- Modular design
- Enhanced support for multiple languages
- Support for variable comparison and harmonization
- Structured mechanisms for identification and versioning that enable the creation of registries like question banks
- Core HTML for formatting of unstructured text
- Elimination of redundancies through a new grouping model and an extensive set of reusable elements
- Capability to create “DDI profiles” for specific uses
- Mechanism to carry data inline
- Alignment with other metadata standards, including MARC (library catalog bibliographic format), Dublin Core (cross-domain information resource description), SDMX (time-series data), ISO 11179 (metadata registry), and FGDC and ISO 19115 (geographic standards)
- Extensibility

At the point of this writing, DDI 3.0 has been approved as a Candidate Release and is scheduled to be published by early 2008, with a user manual to accompany it. This will be followed closely by publication of DDI 3.1, which is likely to incorporate more of the research data life cycle – i.e., survey design and implementation elements – and other enhancements not fully realized at the time of publication.

Strategic Questions

With the delivery of DDI 3.0, the Alliance is now positioned to make good progress on strategic goals over the next several years. To set the stage for this next phase of DDI development, it is helpful to pose some big-picture questions about the future of DDI and our vision for success. Three such overarching questions are considered here, followed by a discussion of tactics that will be key to realizing our vision.

What should the DDI standard be in five years? In an ideal future, we envision an evolving standard used universally in the social science data community and serving as a model for other XML-based metadata standards for data. This DDI of the future should be a registered ISO standard with a committed advisory group that maintains and enhances it on a periodic basis. Systems used across the social science research enterprise should be built upon and import/export DDI so that the DDI is part of the mainstream of social science.

Who should be members of the DDI Alliance in five years? Again, thinking in broad terms, a significant number of academic and non-academic data producers and data archives should be members, as well as many universities and software publishers whose products lead to the collection, management, archiving, and analysis of data. These DDI members should support the evolution of DDI in various ways – through membership fees, by supporting specific projects financially, and through contributions of staff resources. The research community should understand the value of having structured and standardized metadata across the life cycle.

What should the DDI Alliance accomplish in the next five years? We need to develop the standard so that it keeps pace with changing needs; promote the development of tools to make DDI easier to use; train users and developers in working with DDI; and raise sufficient funds to continue our activities. We need to promote the DDI concept and develop materials and language that articulates the advantages of the DDI approach. These objectives are not new, but we need to envision innovative strategies to accomplish them and to move the DDI effort forward to new levels of achievement.

Tactics to Realize DDI Goals

To realize these goals for the future, it is important to have agreement on a clear set of priorities and projects. Below, we lay out some important areas for DDI and some tactics that will help us make progress toward our ideal future.

Refinement of the Specification

While we have a solid foundation on which to build, we need to continue to develop and refine DDI 3.0 so that it meets the real needs of users. We have just undertaken a radical change in moving to DDI 3.0, and it is now time to evaluate and fine-tune what we have created so that it works optimally for its intended purposes. We need to pay particular attention to the areas of complex files and longitudinal data, instrument documentation, aggregate data, and ex-post comparison as we move forward. This will involve continuing to apply DDI 3.0 to real world examples and creating a suite of use cases that provide proof of concept and convincing evidence that DDI can handle the variety of social science data scenarios.

Tools

Tool development is critical for widespread use and adoption of DDI 3.0, and thus we designate this activity as a top priority moving forward. The complexity of the DDI 3.0 data model and the XML Schemas environment means that the standard and tools to use it must be developed hand in hand. We have made good progress in this area with the creation of comprehensive DDI Help documentation, a DDI 2 to 3 converter, a statistical package converter, style sheets, forums, and templates. In addition, at the time of this writing, a coalition of stakeholders including the Alliance is coming together to create an open source DDI start-up toolkit with financial and in-kind support from several sources. This toolkit will provide potential DDI users with a set of tools that will meet their needs in terms of getting information into DDI.

The goal for the future is to build upon the existing tools to create a suite of utilities that permits users to take full advantage of the capabilities of DDI 3.0 in an efficient way. For those interested in using DDI 3.0 we need to provide a clear path to adopting the standard with tools that remove the barrier of complexity so that mark-up, management, and display tasks are relatively easy and straightforward.

The structure of DDI 3.0 was designed to enable the development of metadata registries, and we need to capitalize on this new functionality. By sharing and reusing metadata in this way,

the social science research community can ultimately realize some savings and also forge new relationships.

Further, we need to establish an ongoing mechanism for tools creation and updating and an active community of developers. Open source appears to be the best technological environment of choice to make this happen. To that end, we will establish a DDI Tools Working Group that will recruit participants who have expertise this domain and can participate in a tools community. The Alliance will also continue to put up as much financial support as possible to facilitate the creation of the needed suite of tools.

Outreach

Outreach for DDI needs to go beyond simply promoting the DDI approach. Looking ahead, we need to obtain feedback from the broader user community on how the current specification meets their needs, and we must solicit new ideas on features and functionality not yet implemented. This two-way communication with users and with experts across the data life cycle is essential to making the standard the best it can be.

In terms of a communication strategy, we need to develop a library of presentations, targeted to different audiences, that our members and others can use for specific venues and forums. We might also publish a newsletter or a blog to highlight uses of DDI and how it is being used in different settings. FAQs or an Ask the Experts column would be useful as would DDI "profiles" listing the element sets used in different organizations and for specific purposes.

These communication pieces must be professional in quality and part of an overall communications strategy. In taking the DDI to the next level, it will be necessary to set up strategic meetings with key individuals with the goal of urging adoption of the DDI or recruiting new members. These targeted meetings must be part of the communications plan.

We suggest the following constituencies as potential outreach targets:

Vendors. With publication of DDI 3.0, we are now in a position to begin serious outreach efforts to new communities. While we have made inroads to some data producers and are working with Blaise and CASES computer-assisted interview software to produce DDI XML, we need to expand these efforts to reach other CAI firms. Having tools and examples that showcase the potential of DDI mark-up is important to this endeavour.

Other types of software vendors, including the statistical package vendors and companies like StatTransfer, are another important outreach target. Having statistical packages support DDI mark-up as an output format is highly desirable.

Potential members and users. Outreach to potential DDI Alliance members is another objective in this area. A review of the DDI Papers, Presentations, and Reports on the DDI Web site shows over 60 publications, mainly presentations, about the DDI since 2000. IASSIST conferences have had a significant focus on DDI in recent years, and the support from IASSIST for the standard has been excellent. We have begun to present DDI to new audiences (e.g., FedCASIC and the Comparative Survey Design and Implementation group during 2007), and now need to expand those efforts by encouraging Alliance members to be effective advocates for the effort. Spreading the word in this way has the potential to bring in new members of the Alliance and to speed the adoption of DDI.

Researchers. One factor that has slowed success of the DDI endeavour is the lack of support from social science researchers themselves. Many do not understand the advantages of DDI for their work and question the investment in metadata of this type. We need to counter this attitude by building a cogent business case that persuades the research community of the usefulness of this approach to documentation. Until we have a good argument to present to this community, we will not be able to fulfill the promise of DDI. We also need to continue to present information about the DDI to this group to reinforce the value of the standard.

Other standards developers. The social science research environment has a multiplicity of relevant metadata standards at its disposal. How they all relate is not clear and there is confusion about best practice in a world of so many standards. DDI can make a contribution by presenting clear mappings between DDI and other standards and by explaining how they fit together. We should also be talking to developers of the other standards to determine how we might work together to help the community. Otherwise, we continue to work in isolation and run the risk of not understanding the environment in which we are working.

Membership

This is an area in which the Alliance can improve over the next few years. At this writing, there are 29 official members of the Alliance with another promised for the next fiscal year, an increase of five from the inception of the Alliance in 2003 with the original 25 members. The membership has largely been stable with little churn: only a handful of members (five) have left

the Alliance since it began, in almost all cases because the representative moved elsewhere. However, we need to do better at recruiting new members.

Having said that, it is also the case that there are dedicated DDI users all over the world who support the effort enthusiastically but are not official members. Some are members of DDI working groups. There is an especially large group of DDI users who use the International Household Survey Network Microdata Toolkit to produce documentation in DDI format. We need to think about whether we could involve these individuals in the Alliance, perhaps at a reduced or subsidized membership level.

We might also look again at government statistical agencies as potential members, along with the other groups that we are targeting for outreach. This will require customizing our message to articulate the benefits of joining the Alliance in ways that are meaningful to the various groups.

Training

As was the case four years ago, we need to broaden our training efforts with additional workshops and develop a wider array of useful training materials. Formal training courses need to be created and widely offered, perhaps through the vehicles of the ICPSR and Essex Summer Programs, as well as elsewhere in Europe and the Americas. Many have pointed out that it is difficult to get started in using the DDI and that there is a steep learning curve.

The Alliance Web site can play an important role in providing access to tools and other materials, such as step by-step instructions in getting started with the DDI. Related to this, we need to "train the trainers" so we have a solid group of trained presenters to represent the Alliance in various venues. Ideally, training should be offered on a regular schedule at a set location and also in a flexible, customized manner so that DDI trainers can travel to specific venues when this is desired.

Funding – External and Internal

The previous Annual Report suggested that the Alliance would not be able to fulfill its goals without significant external support. While this has not happened, it is still the case that external funding is a worthwhile aim. We need to be thinking about how to partner to find external funding sources and to have a mechanism whereby the Alliance can accept contributions from member organizations that might be targeted at specific tasks.

As of this writing, a new funding model for projects has been created to permit multiple partners to contribute to a project and to enable matching of DDI Alliance funds. This seems an excellent model to use going forward, one that we should attempt to build on in coming years to leverage resources.

Related to this, now that we have a standard in place, we need to be more aggressive about using the Alliance monies to further tools development and the adoption of the standard. We need to earmark funds for specific purposes and outsource activities that we have previously relied on committee members to do, such as documentation writing, use case/example development, evaluation, etc. Using our internal funds more proactively to accomplish specific tasks and goals, we can move away from our previous model of in-kind contributions, which has been difficult to sustain. This new approach will enable the Alliance to function more professionally and efficiently going forward.

ISO Standard Status

Now that the DDI has a data model underlying the specification, the DDI is positioned to become a recognized standard sanctioned by the International Standards Organization, ISO. Having the status of an ISO standard would serve to legitimate the DDI specification more effectively than almost any other activity we could pursue. In our next phase of activity, we need to craft a timetable to set us on the path to becoming an official standard for the social sciences.

APPENDIX 6 – Global Reach - Institutions and Projects Using the DDI Standards

Institutions

- University of Alberta
- Australian Bureau of Statistics (ABS)
- Australian Social Science Data Archive (ASSDA)
- University of California, Berkeley -- Computer-Assisted Survey Methods Program and UCDATA
- Centro De Investigaciones Sociologicas (CIS), Spain
- Cornell University (CISER)
- Danish Data Archive
- Data Archiving and Networked Services (DANS), The Netherlands
- Finnish Social Science Data Archive
- German Socio-Economic Panel Study (SOEP)
- GESIS - Leibniz Institute for the Social Sciences

- University of Guelph
- Institute for Quantitative Social Science (IQSS) at Harvard University
- Institute for the Study of Labor (IZA)
- Inter-university Consortium for Political and Social Research (ICPSR)
- Massachusetts Institute of Technology (MIT)
- University of Minnesota, Minnesota Population Center
- Norwegian Social Science Data Service (NSD)
- Open Data Foundation
- Princeton University
- Research Data Centre of the German Federal Employment Agency, Institute for Employment Research (IAB)
- Roper Center
- Stanford University
- Survey Research Operations, University of Michigan
- Swedish National Data Service (SND)
- Swiss Foundation for Research in Social Sciences (FORS)
- United Kingdom Data Archive
- University of Toronto Scholars Portal
- University of Washington, Center for Studies in Demography & Ecology (CSDE)
- U.S. Bureau of Labor Statistics (Associate Member)
- World Bank, Development Data Group (DECDG)

Projects/Locations

- Administrative Data of the German Federal Employment Agency
- Australian Social Science Data Archive
- California Digital Library's "Counting California" Project
- Center for Comparative European Survey Data
- Canadian Research Data Centres (RDCs)
- Census Aggregate Information Resource Demonstrator (CAIRD) Project at the University of Manchester, United Kingdom
- US Census Bureau's DataFerrett
- Centers for Medicare/Medicaid Services (CMS) Denominator File Project,University of Minnesota
- CESSDA Data Portal, European Union
- CIVICACTIVE Project , European Union
- Cultural Policy and the Arts National Data Archive (CPANDA), United States
- DAIS Nesstar System at Health Canada

- DAMES Project, University of Glasgow, Scotland
- DataFirst at University of Cape Town, South Africa
- The Data Liberation Initiative Metadata Collection, Canada
  Dataset Documentation Manager (DSDM)
- The Dataverse Network,
- DevInfo, UN
- Documenting the Survey Life Cycle Using DDI, Canada
- EduDDI , Germany
- Enhanced Publications, Digital Repository Infrastructure Vision for European Research
- European Social Survey (ESS) and ESS-Edu-net
- Gallup Europe
- General Social Survey, NORC, USA
- The Global Fund to Fight AIDS, Tuberculosis and Malaria, Switzerland
- ICPSR Data Catalog, USA
- ICPSR Social Science Variables Database (SSVD), USA
- Institute for the Study of Labor -- IZA, Germany
- Israel Social Sciences Data Center (ISDC)
- LISS (Longitudinal Internet studies in the Social Sciences), Netherlands
- Metadata Share Project (MSP), Duke University, USA
- Michigan Questionnaire Documentation System (MQDS), University of Michigan, USA
- MIDUS II -- Midlife in the United States: A National Study of Health and Well-Being (ICPSR Mirror), University of Wisconsin, USA
- National Historical Geographic Information System
- National Survey of Family Growth, University of Michigan, USA
- Ontario Data Documentation, Extraction Service and Infrastructure, Canada
- Philippines National Statistics Office
- Questionnaire Development Documentation System, University of Konstanz, Germany
- Research Data Centre (FDZ) of the German Federal Employment Agency
- Social Science Research Services (SSRS) and Social Science Libraries & Information Services (SSLIS) at Yale University, USA
- Sri Lanka Department of Census and Surveys
- Statistics New Zealand
- Survey Documentation and Analysis, University of California, USA
- The Tromsø Study, Norway
- UNICEF, Child Info – Monitoring the Situation of Children and Women
- University of Chicago-UTCC Research Center
- Vision of Britain

- International Household Survey Network and Microdata Management Toolkit, World Bank

APPENDIX 7 – DDI Alliance Membership Request Form

University of Michigan
PO Box 1248
Ann Arbor, MI 48106-1248
734/615-9522 (Phone) 734/647-8700 (Fax)
E-mail: secretariat@ddialliance.org
Web site: http://www.ddiallance.org

Membership Request Form

1. MEMBER agrees to participate in the DDI Alliance, a PROGRAM to establish an international metadata standard for documenting social, behavioural, and economic data. MEMBER agrees to provide annual support to the PROGRAM in the amount set by the Alliance Steering Committee. The payment is due within ninety (90) days from the date of this document.

2. MEMBER agrees to participate in good faith in the PROGRAM for a minimum of one (1) year beginning July 1, 2011. This Agreement may be renewed from year to year until revoked by either party. In future years membership payment will be invoiced and payment is expected within 30 days of receipt of the invoice.

3. MEMBER agrees to bear all costs it incurs in participation in the PROGRAM.

4. Reports on activities will be prepared by the Alliance at appropriate intervals and posted to the DDI Alliance Web site, http://www.ddialliance.org.

5. MEMBER understands that funds provided to the UNIVERSITY for the PROGRAM will be added to funds from other members and therefore no individual financial reports will be given to the MEMBER concerning the disposition of the funds provided by it.

6. Neither MEMBER nor the UNIVERSITY will use the names or trademarks of the other in any publicity or advertising without the express written permission of the party to be named.

7. Either party may terminate this Agreement at any time upon sixty (60) days written notice. Financial obligations to the UNIVERSITY will be settled on a pro-rated basis with any excess prepayment returned to MEMBER.

Data Documentation Initiative (DDI) Alliance
Membership Form (page 2)

Institution:_____Date:_____
Complete Address:_____
_____

DDI Alliance Contact Person:
Name: _____
Dept.: _____Address_____
_____
Phone: _____Fax:_____
E-mail: _____

Representative to the Expert Committee of the DDI Alliance:
Name: _____
Dept.: _____Address_____
_____
Phone: _____Fax:_____
E-mail: _____

Invoice Recipient:
Name: _____
Dept.: _____Address_____
_____
Phone: _____Fax:_____
E-mail: _____

Effective Date of Membership: July 1, 2011 (with the understanding that payment will be received within 30 days of the effective date of membership)

It is understood that the Official signing this "Membership Request Form" has read the various membership stipulations as outlined in the DDI Alliance Bylaws (see http://www.ddialliance.org/alliance/bylaws).

_____
Signature -- Vice President, Dean, or Other Official Authorized to Sign for Institution Joining

_____
Name and Title (printed)

APPENDIX 8 - Memorandum from Attorneys on DDI Trademark Issues

This memorandum will describe the alternatives available for the Data Documentation Initiative with regard to trademark protection.

As we understand the fact setting, UM-ICPR is a member of a consortium of various research institutions that has established an international standard for describing data from the social, behavioural, and economic sciences called the Alliance for Data Documentation Initiative. This consortium is interested in assuring that the Initiative preserves any intellectual property rights in the identity of the DDI standardization, perhaps through some trademark or other protection. In our discussion, you described the goal as something like the "Good Housekeeping" seal of approval.

Certification marks. The trademark act (Lanham Act) defines a certification mark as "any word, name, symbol, or device, or any combination thereof used by a person other than its owner....to certify.. origin,...quality, accuracy or other characteristic of [the person's] goods or services." In brief, these are marks that do not identify a certain seller (as a trademark does) but certifies that the goods or services tested from a number of different sources meet certain standards or conditions. The standards are set by the owner(s) of the certification mark. An often cited example of a certification mark is the "UL" or Underwriter Laboratories" certification mark. The certification mark owner must exercise control over its use and may not discriminatorily refuse to certify services that meet the standards or conditions that such a mark certifies.

Collective marks. The Lanham Act defines a collective mark as a trademark or service mark used by members of a cooperative, an association or other collective group... and includes marks indicating membership in an association or other organization. These marks are used by members of an organization to identify and distinguish their goods or services. Examples of these types of marks are the Professional Golfers' Association and the National Association of Realtors.

Distinction between collective and certification marks. Collective and certification marks are almost indistinguishable with the primary difference being one of form. Persons using a collective mark are members of an association with standards of admission while a certification mark is used by sellers that are not members of an association but their products are certified as meeting certain standards.

Decision needed: As noted above, DDI Alliance will have to decide if membership in the Alliance is the primary criteria that they desire to use (with certain standards being required for membership) or if they will certify non-members as well as members as meeting DDI standards.

Effect of either collective or certification mark. Either type of mark is eligible for federal registration on either the principal or supplemental register. Once registered, the certification or collective mark has substantially the same rights as any trademark or service mark that is federally registered.

Other information requested: You have asked us to review the availability of registration for DDI, including various forms of the name, including Data Documentation Initiative, DDI, DDIA, DDI Alliance

and the domain names and logos. We conducted a brief review of records at the United States Patent & Trademark Office ("USPTO") for variations of "DDI" without examination of graphic designs. There are some registrations for data collection but they appear to be associated with different products or services. Overall, therefore, it does not appear that a registration application for DDI would be subject to rejection based upon prior registration of DDI for the same activity or services. We do not believe it to be necessary to register all variants of the acronym. Infringement is determined on overall commercial impression and the core of "DDI" is probably sufficient to deter others from its use. We do believe, however, that a registration application for "Data Documentation Initiative" would be rejected for registration as being either generic or merely descriptive, meaning that it only describes the activity and therefore does not serve to distinguish the goods or services.

The trademark registration process involves filing an application at the USPTO, providing specimens of use and interacting with the USPTO regarding any questions or grounds that they may have for refusing a registration. The fees associated with such a registration application are typically between $1200 and $2000 including the filing fees paid to the USPTO (approximately $300 per class). After filing, assuming that any issues preventing registration are resolved, the mark is then "published for opposition." If there are no objections, the mark then registers in the ordinary course. The process generally takes 10-18 months, although it may take longer.

While we have provided you with our initial impression of the likelihood of U.S. registration, a more substantial analysis would be appropriate if substantial resources will be expended to develop and promote the marks and to avoid any claims of infringement. This is best accomplished through a "clearance opinion" in which we request a data accumulator to examine use of the primary aspects of the proposed mark. This data accumulator examines federal and state registrations in this country, corporate name information, magazines and similar information sources and domain registrations. The fees we pay to the data accumulator are approximately $600 to $700 per mark. A separate examination is appropriate for a graphic mark (especially if the graphic design does not incorporate the word used in the mark). We then analyze the data and the manner in which potentially conflicting marks are used, including the services or goods provided under these marks, and provide you with our opinion regarding potential claims of infringement or others that may oppose your registration application. Depending upon the results of the data accumulation, the fees for our time normally run between $1000 and $2000 for each such mark.

Answering your other questions, it is completely appropriate to use the TM designation while the registration application is pending. It provides notice to others that you claim this as a trademark. As to ownership, UM could, as it has in the past, act as a nominal owner of the trademark depending upon the type of mark for which you seek registration.

APPENDIX 9 – Draft DDI Alliance: Charter and Bylaws

Charter

Preamble

Established in 1995, the Data Documentation Initiative Alliance (the Alliance) is a Program of the University of Michigan (UM) within the Inter-university Consortium for Political and Social Research (ICPSR) and is operated in accordance with this Charter and the Alliance Bylaws, the whole subject to the policies and regulations of the University of Michigan.

Objectives

The Data Documentation Initiative Alliance is an international coalition of organizations sharing a commitment to meet worldwide requirements for publicly available standards and semantic products supporting the documentation of social science data. The Alliance's purposes are to:

(a) oversee the continued development of DDI standards and semantic products, including revisions, corrections, and new releases;

(b) promote the adoption of DDI metadata standards and semantic products by data producers, data archives, data users, and software suppliers;

(c) coordinate and/or offer entry-level and advanced training in the uses of DDI standards and semantic products for all groups of potential adopters;

(d) insofar as possible, ensure compatibility of DDI standards with emerging metadata standards in other fields; and

(e) resolve the varying and sometimes conflicting interests of the diverse community that is developing and using the DDI standard.

Membership

The Membership of the Alliance shall consist of all stakeholder organizations, in good standing that assume responsibility for the development and stewardship of DDI metadata standards and semantic products. A Member remains in good standing through in-kind contributions, payment of annual Member dues and adoption of DDI standards and products within their own operations as appropriate. From the beginning, Member organizations have been international, interdisciplinary and cross-sectorial. This diversity is seen to be vital for the future of the Alliance and its standards and products.

Host Institution

A Host Institution will provide the Alliance with an organizational home, including a secretariat. A Memorandum of Understanding between the Host Institution and the Alliance shall establish the conditions under which this Charter applies.

Governance

The Alliance is governed by its Bylaws. An Executive Director and Executive Committee manage the operations of the Alliance, while its scientific and technical work is conducted under the guidance of an Expert Committee. The Alliance maintains a small Secretariat to administer its day-to-day operations. The Alliance is financially self-supporting through Membership dues; license fees; workshop, symposia, and publication fees; and through external research or training grants and contracts to a Host or Member Institution.

Bylaws

1. Preamble

The Data Documentation Initiative Alliance (DDIA) is an international coalition dedicated to establishing metadata standards and semantic products for describing social science data. The specifications of these standards are identified as the Data Documentation Initiative (DDI) followed by symbols designating specific data models, such as DDI-C (codebook) and DDI-L (lifecycle). The DDIA is a self-

sustaining membership organization whose members have a voice in the development, promotion, and dissemination of DDI specifications.

The DDIA is a Program of the University of Michigan (UM) within the Inter-university Consortium for Political and Social Research (ICPSR) and is operated in accordance with Alliance's Charter and Bylaws and with the policies and regulations of the University of Michigan.

2. Definitions

Member Organizations: The organizations that collectively comprise the DDIA and that are in good standing, that is, up to date in their payment of dues.

Host Institution: An organization taking direct financial and legal responsibility for the DDIA.

Member Representative: An individual appointed by the Member Organization to represent it on the Expert Committee and who, if elected at the Annual Meeting of Members, may also serve on the Executive Committee.

Annual Meeting of Members: The assembly of Member Representatives normally held each year. Executive Committee: The policy-making and oversight body of the DDIA.

Expert Committee: The scientific and technical body of the DDIA comprised of Member Representatives.

Sub-Committee: A subset of either the Executive Committee or the Expert Committee that Member Representatives created by formal resolution for a defined purpose or objective and for a specified period of time. It is subordinate to the Committee that created it.

Working Group: A group, established by formal resolution of either the Executive Committee or the Expert Committee Member Representatives for a defined purpose or objective and for a specified period of time. Its membership is drawn from the Member Representatives and such other persons as may be appointed by the committee setting up the Working Group. It is subordinate to the Committee that created it.

Observers: Individuals from Member Organizations who are not Member Representatives, or individuals from non-member organizations, participating in meetings. Observers participate without voting rights.

3. Purposes and Organization.

The DDIA is a coalition of diverse international organizations committed to developing and maintaining publicly available metadata standards and semantic products for documenting social, behavioral, and economic data. The DDIA's purposes are to:

(a) Oversee the continued development of DDI standards and semantic products, including revisions, corrections, and new releases

(b) Promote the adoption of DDI metadata standards by data producers, data archives, data users, software vendors, and other stakeholders

(c) Support the development of training programs that encourage the use of these standards for all skill levels of potential adopters

(d) Insofar as possible, ensure compatibility of DDI standards with existing and emerging metadata standards in other fields

(e) Resolve the varying and sometimes conflicting interests of the diverse community that is developing and using DDI standards

An Executive Director and an Executive Committee manage the operations of the DDIA, while an Expert Committee is responsible for its scientific and technical work. A small Secretariat is maintained to administer day-to-day operations. The DDIA is financially self-supporting through membership dues; license fees; workshops, symposia, and publication fees and through external research or training grants and contracts to the Host or Member Organizations.

4. Membership

a) Terms of Membership and Dues

Membership in the DDIA is open to any for-profit or not-for-profit educational, commercial, or governmental agency, international organization or institution that agrees to the terms of the Membership Agreement and maintains its good standing by payment of annual dues and by being in compliance with this Charter and Bylaws. All Members shall have the same rights, although, the Executive Committee may create differing classifications of membership for the purpose of levying annual dues. The Executive Committee shall establish a schedule for payment of annual dues for each classification of membership. All dues must be paid in U.S. dollars. Not more than once per year, the Executive Committee may modify the classification of membership and raise or lower the annual dues after consultation with and ratification by the Members at the Annual Meeting. No Member Organization may have its dues raised until the end of its yearly membership period. At the discretion of the Executive Committee, annual dues may be reduced for Members located in developing countries or in countries whose economies are in transition. Such reduction of membership dues will be reported annually to and ratified by the Members at the Annual Meeting.

Multiple memberships from a single agency, organization, or institution are admitted on a case-by-case basis subject to the approval by formal resolution of the Executive Committee. Where multiple memberships are granted, each membership shall have a Member Representative with the rights and obligations described in this section.

b) Rights and Obligations of Members

Each Member Organization has the following rights and obligations:

(a) The Member Organization appoints one Representative to the Expert Committee.

(b) The Member Organization has one vote exercisable on its behalf by the Member Representative on formal resolutions of the Expert Committee.

(c) A Member Representative who also has been elected to the Executive Committee has one vote on formal resolutions of the Executive Committee.

(d) Member Representatives or any designated employees of Member Organizations are encouraged to participate in at least one Sub-Committee or Working Group.

(e) The Member Representative sitting on the Expert Committee serves as the liaison between the Member Organization and the Expert Committee for the submission of proposals and comments

(f) The Member Representatives sitting on the Expert Committee participate in the review of technical proposals and votes upon them

(g) Employees or designated Member Representatives of Member Organizations may access Member-only information, with the consent of the Member Representative.

(h) The Member Organization may display the DDIA trademarks on promotional material and publicize the Member's participation in the DDIA.

If the Member Organization is itself a consortium, user society, professional association, or otherwise has members or sponsors, the rights and privileges granted under DDIA membership extend only to the paid employees or designated representatives of the organization, not to the organization's members or sponsors.

5. Annual Meeting of Members

This meeting of Member Representatives occurs once within a calendar year. The Annual Meeting of Members is not exclusively a meeting of the Expert Committee, although those in attendance are also members of the Expert Committee. The Annual Meeting may precede or follow a meeting of the Expert Committee and shall be called separately by the Executive Director and have a separate Agenda.

a. Purpose.

The purpose of the Annual Meeting of Members is to:

a) Provide a forum for Member Organization discussion and feedback

b) Ratify by formal resolution the activities of the Executive Committee in the preceding year

c) Receive and approve by formal resolution the Annual Report of the Executive Director and

d) Elect a Chair and members of the Executive Committee.

b. Meetings and Organization

The Member Representatives may meet more often than annually if called to do so by formal resolution of the Executive Committee or by presentation of a petition to the Executive Committee drafted for that purpose and approved by one-third of the Member Representatives entitled to vote at the Annual Meeting of Members.

The Annual Meeting of Members shall be chaired by the Chair of the Expert Committee. At least one-third of the Member Representatives present at an Annual Meeting properly called by the Executive Director shall constitute a quorum.

6. Expert Committee

a. Purpose

The purposes of the Expert Committee are to:

a) Develop and approve major version revisions to DDI standards and semantic products

b) Evaluate technical proposals through the DDIA review process

c) Undertake research and testing concerning proposals for DDI standards

d) Develop and promulgate best practices for use of DDI standards

e) Analyze and evaluate annual plans of work

f)Assess progress and barriers to progress

g) Suggest training activities

h) Suggest future directions for DDIA efforts

The Expert Committee shall be composed of all Member Representatives and shall be staffed by the DDIA Secretariat. The Executive Director is an ex-officio member and may invite others to participate as Observers in activities and meetings of the Expert Committee. Members of the Expert Committee shall elect a Chair from among themselves for a term not to exceed three years. The Expert Committee may also form Sub-Committees and Working Groups on specific topics. Working Groups may include Observers. Sub-committees may not create Working Groups.

b. Appointment of Representatives.

Each Member Organization is entitled to appoint one expert who serves as its voting Member Representative. Each Member Representative will serve on at least one Sub-Committee or Working Group.

c. Meetings and Organization.

The Expert Committee will meet at least once per year. At least one-third of the Members present at a meeting of the Expert Committee properly called by the Executive Director shall constitute a quorum.

7. Executive Committee.

a. Purpose

The purposes of the Executive Committee are to:

(a) Select a Host Institution to house the Executive Director and Secretariat

(b) Set overall policy and budget for the DDIA

(c) Provide strategic guidance and review of the DDIA's activities

(d) Appoint an Executive Director for the DDIA for a renewable term not to exceed five years

(e) Oversee the management of the financial affairs of the DDIA on behalf of the Members

(f) Not more than once per year, set institutional classifications of DDIA membership, each class having the same rights as any other class, except as to the amount of annual dues, all subject to ratification by formal resolution at the Annual Meeting of Members

(g) Set DDIA membership fees and length of membership term for each institutional classification of membership subject to the ratification by formal resolution at the Annual Meeting of Members

(h) Set fees for use of DDIA registered trademarks, certification marks, and collective marks or copyright material and for DDIA-sponsored activities and products

(i) Make decisions on allocation of funds for innovative work and testing

b. Appointment of Members

(a) The Host Institution shall have one voting representative on the Executive Committee. The representative will ordinarily be the director, president, a senior staff member, or officer of that organization.

(b) The Executive Committee shall also include the Chair of the Expert Committee and up to five other individuals elected by the Member Representatives at the Annual Meeting of Members. These individuals should hold the position of director, president, a senior staff member, or officer of the Member Organization.

(c) The Executive Director is an ex-officio member of the Executive Committee.

(d) The Executive Committee shall elect a Chair from among its members for a term of two years. The Chair may serve no longer than two consecutive terms.

(e) Except for the Host Institution representative and the Chair of the Expert Committee, half of the Executive Committee will rotate off every two years and these individuals will not be eligible to stand for election to the Executive Committee for two consecutive years.

c. Meeting and Organization

The Executive Committee shall meet at least once per year.
At least one-third of the committee members present at a meeting properly called by the Executive Director shall constitute a quorum.

8. Executive Director

The role of the Executive Director is inter alia to:

(a) Supervise the DDIA Secretariat and prioritize its work

(b) Convene the Annual Meeting of Members, meetings of the Executive Committee and the Expert Committee

(c) Represent the DDIA at conferences, meetings, and other forums, or designate someone from the DDIA to do so

(d) Make programmatic decisions based upon the recommendations of the appropriate committees

(e) Coordinate DDIA activities around the world

(f) Assist the Host Institution and Members to raise funds for DDI-related activities

As appropriate, the other members of the Executive Committee will assist the Executive Director in these activities. The Executive Director may also appoint appropriate staff as needed. The Executive

Director serves as an ex officio member of the Executive Committee and the Expert Committee, without vote.

9. DDIA Secretariat

The Executive Committee will negotiate an agreement with the Host Institution that will enable that Institution to house the Executive Director and the Secretariat. The work of the Secretariat will be supported by membership dues and other fees. The tasks of the Secretariat shall include the following:

(a) Develop and manage a Web site for communication within the DDIA and with the public

(b) Arrange for and facilitate meetings of the Executive and Expert Committees

(c) Support the Executive Director's work

(d) Publish such material as is directed by the Expert Committee or the Executive Committee

(e) Organize workshops as directed by the Expert Committee

(f) Collect dues and fees

(g) Maintain auditable financial records and accounts

(h) Annually produce a Financial Report detailing income and expenditures for review by the Executive Committee and circulation to the Member Representatives

(i) Annually produce an Activities Report for the Expert and Executive Committees

(j) Solicit additional Member Organizations to join the DDIA

(k) Conduct such other business as assigned by the Executive Committee

10. Budget

The Executive Committee shall establish a budget that provides financial support for:

(a)The time of the Executive Director and the Secretariat spent on DDIA duties and functions

(b) Expert consultation

(c) Meetings and training

(d) Innovative work and testing

Member Organizations are eligible to apply for funding to support work towards the development of a proposal or its review and testing; matching institutional funds or in-kind contributions are expected.

11. Standards Review Process and Procedure

Every proposal for a modification to an existing standard goes through an Approved Process, unless an alternative process is later approved by the Executive Director and the Expert Committee. The Approved Process must include a reasonable period for public comment. An Approved Process for purposes of this section shall be that agreed by formal resolution of the Expert Committee. To be considered by the DDIA, a proposal must be sponsored by a lead Member Organization and formally supported by at least three other Member Organizations.

12. Visiting Experts

Member Organizations may volunteer to contribute staff on assignment to the Host Institution or Member Organizations for specific implementation efforts sponsored by the DDIA. If the Host Institution or Member Organization has the resources to accept such staff, the visitors will be provided with unsalaried appointments as Visiting Experts. For the portion of their time assigned to DDIA activities, visitors will coordinate their work with the Executive Director based on DDIA priorities.

13. DDI Standard Publicly and Internationally Available

The DDI standards shall be publicly and internationally available free of charge to any organization interested in adopting it, whether or not that organization is a Member of the DDIA. Except for participation in the work of the Expert Committee as enumerated in sub-section 4[a] above, membership in the DDIA shall not confer any special benefits upon a Member as a user of the standards.

14. Intellectual Property

While the DDIA recognizes that the creators of intellectual products using the DDI standard and their host institutions should have substantial rights over how their products are created, modified, and distributed, it is DDIA policy to encourage open access to all DDI-related products.

The DDIA through its association with ICPSR and the University of Michigan asserts its exclusive rights to use, disseminate and license all registered trademarks, certification marks and collective marks or copyright held by it, or held in its name or on its behalf by ICPSR or the University of Michigan.

15. Amendments to the Constitution and Bylaws

Proposals to amend the Constitution and Bylaws may be initiated only annually and by a simple majority vote of the Executive Committee or by a petition presented to the Executive Committee signed by at least one-third of the Member Organizations. Amendments must be adopted by a two-thirds majority vote of the Members in Annual Meeting and a two-thirds majority vote of the Executive Committee after written electronic notice of the vote of at least sixty days. Votes by Members will be registered electronically. No amendment may void the condition of the Charter and Bylaws in Section 11 above: DDI standards shall be publicly and internationally available free of charge.

Last revised: 2011-04-24

APPENDIX 10 - Draft DDI Alliance Conflict of Interest Policy

For Alliance Director, Executive Committee Members, and Consultants Engaged in Outside Professional Activities

Status of This Document

This policy is binding on the DDI Alliance as of 1 July 2009. The DDI Executive Committee will be responsible for reviewing and approving all disclosures and will seek advice of counsel to review their own potential risks for conflict of interest. This policy was modeled on the Conflict of Interest Policy of the World Wide Web Consortium -- http://www.w3.org/2000/09/06-conflictpolicy.

Overview

In order to assure trust in the work of the DDI Alliance, the Director and all paid consultants (hereafter called "representatives") must operate in a manner that avoids any conflict of interest between a representative and organizations other than the Alliance with which the representative is associated. This policy identifies the types of outside professional relationships in which representatives may engage, and provides disclosure and approval procedures to help avoid situations in which these relationships may cause conflicts of interest. This disclosure and approval process does not ban, a priori, any particular relationship, but relies on transparency and on the good judgment of representatives and the Executive Committee to discourage improper relationships.

Purpose

The role of the DDI Alliance as a decision-making body with control over the DDI specification requires that Alliance member institutions and the larger social science community have a high level of trust in its activities. In order to preserve this trust, the Alliance must assure that representatives make technical and management decisions free from possible conflict or even appearance of conflict arising from commitments to other organizations or individuals. This policy governing professional activities with other organizations will help provide guidance to the Executive Committee in maintaining these standards.

The goals of this policy are:

- Maintain the vitality of the Alliance as a trusted decision-making body

- Avoid conflict of interest or appearance of conflict of interest in professional relationships with other organizations
- Assure fairness to all representatives and others dealing with the Alliance

In pursuing these goals, the Alliance recognizes that the Alliance Director and its paid consultants have considerable expertise in matters of interest to the DDI community. This policy is not intended to discourage representatives from pursuing activities outside of the Alliance; rather its goal is to assure that these activities do not compromise the integrity of the Alliance and the specification.

Activities Raising Conflict Concerns

The following activities have the potential to create actual conflicts of interest, or raise the appearance of a conflict:

- Long-term paid consulting (six days full-time work or more in a six-month period with a single organization)
- Any consulting compensated with equity (shares of stock, stock options, or other forms of corporate equity)
- Decision-making role/responsibility in other organizations relevant to the Alliance -- Board memberships, etc.
- Position on publicly visible advisory bodies, even if no decision-making authority is involved

Note that for the purposes of this policy, consulting is any work done in a related field in exchange for financial compensation.

When a representative engages in one of these activities, he or she should take the steps described in this document to provide adequate disclosure of the activity, seek approval in advance where required, and consult with the Executive Committee in the event there is any question about the impact of the activity on the Alliance and the general guidelines set out here.

The following activities do not require any approval under this policy:

- Honoraria for speaking or writing engagements
- Short-term consulting engagements (five days or less in a six-month period)

General Guidelines

Assessing possible conflicts of interest should be guided by general reference to the Alliance's mission and the particular individual's responsibilities. The Director and paid consultants should

not engage in any outside professional relationship with another organization unless it is clear that the relationship is consistent with the following principles:

- Architectural and content integrity: No Alliance representative should have an outside professional relationship with an organization whose activity is in conflict with the Alliance's mission or the basic architectural and content principles of the specification espoused by the Alliance.

- Public appearances or endorsements associated with other organizations: If any public statements, endorsements or product-related commentary are expected as part of the outside relationship, they must be approved by the Executive Committee in advance.

Any unresolved question regarding a potential conflict should be discussed and resolved by the Executive Committee.

Disclosure Mechanisms

Annual disclosures for all concerned will be made to the Executive Committee in writing. Those with nothing to disclose should send a brief statement noting that fact.

Each disclosure should contain the following information:

- Outside organization name
- Nature of relationship
- Duration of relationship (start and end dates)
- Scope of work