

# DDI Alliance Executive Board Meeting

## 29 June 2020

*Present: Bill Block, Cathy Fitch, Jared Lyle, Steve McEachern, Barry Radler, Joachim Wackerow, Ingo Barkow (Guest)*

### Scientific Board

A temporary working group has been meeting since February to discuss how to improve the structure and organization of the Scientific Board, which is the scientific and technical body of the Alliance. This past week, that group finalized their recommendations to propose a restructuring and to draft changes to the Alliance Bylaws. Those recommendations are on the linked page: <https://ddi-alliance.atlassian.net/wiki/spaces/DDI4/pages/850853895/Scientific+Board+Revision+-+temporary+working+group>

Ingo Barkow, who chaired the temporary working group, explained the recommendations -- specifically the following three documents:

- ScientificBoard restructuring.docx (see Appendix 1). This short note is intended to explain the thinking behind a new plan to organize, operate, and engage with the Scientific Board of the DDI Alliance.
- Bylaws-2020-Final\_Draft-20200619.docx (see Appendix 2). This contains the proposed changes to the DDI Alliance Bylaws to accommodate the reorganized Scientific Board.
- ScientificBoardOperationalGuidelines-draft.docx (see Appendix 3). This specifies the operational guidelines of the reorganized Scientific Board.

Ingo was asked to define what is meant by “scientific program” in Section VII of the revised Bylaws. Ingo indicated the term needs clarification.

It was noted that the term “expert” used in the revised Bylaws may be exclusionary. Some people may not consider themselves experts, even though they are qualified to serve in the role. It was suggested to Ingo to change the name from “expert” to “representative” to encourage inclusion.

The Board discussed next steps for the recommendations. According to the Alliance Bylaws:

"Any Member Organization may propose an amendment to the Charter and Bylaws by drafting a petition to be signed by at least one-third of the Member Organizations. Amendments may also be proposed by a simple majority of the Executive Board. Proposals to amend the Charter and Bylaws shall be deliberated at the Annual Meeting of the Member Representatives. Amendments must be adopted by a two-thirds majority vote of the Designated Member

Representatives after written electronic notice of the vote of at least sixty days. No amendment may void the condition of the Bylaws that DDI standards shall be publicly and internationally available free of charge, whether or not that organization is a Member of the Alliance (Section XVII)."

It was suggested to distribute the current version of the recommendations to the membership for comment now, including listing the suggested changes from this meeting. This allows the membership to comment one more time about the recommendations (noting that in addition to the temporary working group's meetings, a portion of the annual Scientific Board meeting was allocated to discussing the recommendations). A new meeting of the membership representatives to discuss the recommendations will be called only if structural changes are needed. Jared and Ingo will work together to distribute the recommendations.

Separate from the Scientific Board restructuring vote, Ingo recommended that the Executive Board review which working groups report to the Executive Board and which report to the new Scientific Board. The temporary working group noted that it is currently unclear to which governing body the Training group and the Marketing and Membership group report.

## FY21 Budget

The Executive Board reviewed the proposed fiscal year 2021 budget that was discussed at the annual Meeting of Members.

Jointly funded development work was discussed, including whether the work can make use of COGS.

It was proposed to remove the contingency fund from the budget. This fund was for supporting members who may have a hard time paying annual dues. It was suggested that the Alliance can simply track and cover any membership hardships from reserves.

It was noted that the proposed budget removes all travel due to the uncertainty of the COVID-19 pandemic. The Board discussed whether to include a contingency budget for travel in case travel is again opened. It was noted that including travel in the budget provides a signal to organizers of meetings. It was decided to not include travel funds in the budget. Instead, a note will be added to the budget indicating "There has been no explicit provision made for travel activity in the budget, due to current limitations associated with COVID-19, but the Executive Board will consider requests for meeting funding once circumstances become clearer."

It was noted that the marketing position is intended to help with program activities more broadly, including marketing and training.

The attending Executive Board members agreed with the proposed budget (see Appendix 4). Steve will send the proposed budget to members not attending for their approval.

## Appendix 1

# Scientific Board Restructuring

## Definitions

Scientific Board: Proposes direction of scientific work to the Alliance.

Scientific Community: Comprises the scientific experts within the Alliance, those identified as fulfilling the scientific role.

Scientific Representative: An individual identified by the Member Organization to act as contact regarding scientific matters associated with the work of the Scientific Board.

Technical Contact: An individual identified by the Member Organization to act as contact regarding technical matters associated with the work of the Technical Committee.

## Background

This short note is intended to explain the thinking behind a new plan to organize, operate, and engage with the Scientific Board of the DDI Alliance. Among the new ideas is the Scientific Community, and this term is defined below.

The current Scientific Board meets mostly once a year in conjunction with the DDI Alliance meeting. It comprises all (associate) member representatives who are interested in the scientific program of the Alliance. As constituted, it does not differ markedly from the representatives in the Alliance.

However, the SB is intended to, and needs to, be more active than the one annual meeting, as the reason the Alliance exists is to support the science needed to underlie, improve, and expand DDI and other semantic products. So, what follows is a short explanation of a new proposal to restructure the SB.

As described the Scientific Board is not as active as it is intended to be. Because of this shortcoming, a small working group was convened to provide a recommendation for restructuring it. The working group was chaired by the vice-chair of the Scientific Board.

## Proposal for Structural Change

The proposal to restructure the Scientific Board and its operations include several inter-locking ideas. These are listed here:

- Member Organizations are invited to identify individuals to fulfill 3 roles that associated with the work of the 3 standing Alliance committee (these roles are defined under definitions). Note that a single person may assume more than one role:
  - Member representative related to the work of the Executive Board
  - Scientific representative related to the work of the Scientific Board
  - Technical Contact related to the work of the Technical Committee
- The Scientific Community within the Alliance comprises the scientific experts, those identified as fulfilling the scientific role.
- The Scientific Board will
  - comprise 7 scientific experts, elected by the Alliance;
  - have no power to decide Alliance scientific policy, only to recommend;
  - seek advice and consult with the Scientific Community;
  - make proposals to the Alliance, which votes on them;
  - conduct research to recommend new scientific directions.
- The representative for each member organization is given the power to vote, however the representative is expected to consult, when that is a different person, with the
  - Member representative on administrative issues;
  - Scientific representative on scientific issues;
  - Technical contact on technical issues.

## A. Purpose

Discussion and consensus on the purpose is summarized at <https://ddi-alliance.atlassian.net/wiki/spaces/DDI4/pages/850657321/Gathering+Views+On+By-laws+-+Purpose>. [this can be added as an Appendix]. Further discussions also took place, which intersected with bylaws relating to organization, voting and elections.

The outcome of the consensus agreement is reflected in the proposed changes to the bylaws. In short, this led to a new clause in the Purpose section to emphasize the strategic and coordinating role of the Scientific Board. As a result of it being reduced in size, the decision-making role has been moved explicitly to the designated membership representatives and the voting clause has been removed, along with the evaluation of new proposals for standards and work productions.

The wording standards and semantic products has been revised in line with the current description of the DDI Alliance outputs "DDI standards and other work products". Detailed changes to the Bylaws are found in "Bylaws 2020 draft". In summary these include changes in the following areas:

- Section II.A changed definition of Scientific Board and added:
  - Scientific Community
  - Member Representative
  - Scientific Representative

- Technical Contact
- Section VI.B.1.a (a) and (d) minor wording changes
- Section VI.B.2.a and b minor wording changes
- Section VII.A. replaced description of purpose
- Section VII.B. replaced description of organization
- Section VII.C. Elections (added)

The ambition is that these changes to the bylaws will engender a smaller, more flexible strategic and co-ordination body that provides an annual report to the membership, which would be expected to also include a forward plan / roadmap which would be approved by the membership and would be able to be actioned through the following year.

When a decision of the Annual Meeting has been reached, appropriate changes to the Standards Development and Review Process and Procedures document will be submitted.

*Proposed Revision to the Bylaws Section VII.A.*

The purposes of the Scientific Board are to:

1. Provide strategic direction and coordination in the development of DDI standards and other work products of the Alliance by its sub-committees and working groups
2. Oversee the substantive content of DDI standards and other work products
3. Undertake research and testing concerning proposals for DDI standards and other work products
4. Develop and promulgate best practices for use of DDI standards and work products
5. Assess progress and barriers to progress
6. Provide a report on progress of the scientific program over the previous year, and proposals for the future scientific direction and related activities to the Annual Meeting of the Alliance.
7. To enact the scientific program agreed at the Annual Meeting

**B. Organization**

Following the revision of the purposes of the Scientific board, the section VII.B Scientific Board: Organization must be amended to accommodate the change in the size and organization of the Scientific Board. By consensus of the working group the Scientific Board should be comprised of 3 member types:

- Elected members: members elected by the representatives of the Members of the Alliance. These members have voting rights within the functioning of the Scientific Board such in the selection of Chair and Vice-Chair, or in determining proposal to put before the membership. These voting members can be representatives from members or

associate members as membership on the Scientific Board is personal, not organizational. Membership in the Alliance is organizational.

- Ex officio members: The Executive Director and the Chair of the Technical Committee serve as ex officio members. The Technical Committee is a standing sub-committee of the Scientific Board and close coordination is needed.
- Advisory members: Non-voting members who represent external groups

The Scientific Board would be composed of 7 elected members, 2 ex officio members, and up to 2 advisory members for a total size of 9-11 persons. This format allows for more regular meetings of the Scientific Board, sufficient size to ensure diversity and allow for the smooth rotation of members over time without major interruption of work.

Provisions are included to guarantee rotation in membership of the Scientific Board as well as separation in the positions of officers of the different boards of the Alliance.

The reduction in size will facilitate the Scientific Board in identifying and proposing scientific directions for the approval of the membership.

The Technical Committee and other sub-committees and working groups continue to act within the strategic directions proposed by the Scientific Board and agreed to by the membership.

The Scientific Board will have to report to the Annual meeting of the Alliance.

*Proposed Revision to the Bylaws Section VII.B.*

1. The Scientific Board shall be composed of seven members elected by the Members of the Alliance.
2. The Executive Director and Chair of the Technical Committee shall serve as ex-officio members, without internal vote, of the Scientific Board.
3. The Scientific Board may appoint up to two external Advisory Members, without internal vote.
4. Representatives from Members and Associate Members of the Alliance are eligible to serve as elected members of the Scientific Board.
5. No Member or Associate Member shall have more than one representative serving on the Scientific Board at the same time.
6. Elected members of the Scientific Board shall serve no more than four consecutive terms.
7. The Chair and Vice-Chair of the Scientific Board are determined by the elected members of the Scientific Board and shall serve no more than three consecutive terms.
8. Only elected members of the Scientific Board are eligible to serve as Chair or Vice-Chair.
9. No officer (chair or vice-chair) of the Executive Board nor of the Technical Committee may serve as an officer of the Scientific Board.

10. The Technical Committee is established as a standing Sub-Committee of the Scientific Board.
11. The Scientific Board may establish Sub-Committees and Working Groups on specific topics.
12. The Scientific Board shall have oversight of every Sub-Committee and Working Group established under it.
13. Other meetings before the Alliance may be called by the Scientific Board as needed.
14. A quorum shall consist of 4 elected members of the Scientific Board.

### **C. Elections**

The creation of a smaller Scientific Board with elected membership requires the addition of wording to the Bylaws to govern the election of members.

#### *Proposed Revision to the Bylaws Section VII.C (added)*

1. Members will be elected following an Annual Meeting and serve for a term of four years except for the initial election where three will be elected for two-year terms and four for four-year terms.
2. Terms will start on July 1 of the election year.
3. Any member vacancy will be filled by election as soon as possible and that member will begin serving when elected for the remainder of the vacating member's term.
4. In election years, nominations for members will be solicited in April and a slate will be prepared by the Executive Director for discussion at the annual meeting with the election occurring in June. In the event that there are more candidates than positions, the election will be decided on the basis of those candidates getting the most votes. If a tie vote occurs, a second round of voting will take place.
5. The Chair and Vice Chair of the Scientific Board will be elected by the Scientific Board soon after the regular biennial member elections for a term of two years.

*There is no section in the existing Bylaws about elections.*

### **E. Roles**

#### *No Proposed Revision to the Bylaws*

The following are recommendations and guidelines therefore non-binding and so have not been added to the Bylaws. Nevertheless, these recommendations and guidelines serve as a base for upcoming processes and should be incorporated into the organizational guidelines document of the Scientific Board when established.

1. Member organizations will be asked to nominate one or more persons to the following roles - Member Representative, Scientific Representative (as before) and Technical Contact (new).
2. The Member Representative serves as the primary contact to the DDI Alliance in general and especially the Executive Board for organizational questions.
3. The Scientific Representative serves as the contact person for the Scientific Board and related workgroups especially for questions on requirements and future directions.
4. The Technical Contact person is a new role which serves as the contact for the Technical Committee to give inputs to technical implementations of the standard
5. All of these roles are invited to the annual meeting where the Executive Board and Scientific Board report to the whole Alliance.
6. The Technical Committee, as a permanent standing committee, reports as a part of the Scientific Board report.
7. During the year all of these roles can be called upon by their respective higher level group (Executive Board, Scientific Board, Technical Committee) to participate in virtual meetings or invitations to working groups
8. Scientific Contacts within the Member Agency should be designated to provide support and/or input to the Scientific activities of the Alliance. Scientific Contacts should express knowledge in one or more of the following areas:
  - a. expert understanding of metadata and what it can do
  - b. working knowledge of statistical life-cycle and survey methodology
  - c. knowledge of future directions in statistical analysis
  - d. working knowledge of experimental design
  - e. working knowledge of some other (outside social science) data domains
  - f. understanding of new data representation techniques
  - g. knowledge of data infrastructures
9. Technical Contacts within the Member Agency should be designated to provide support and/or input to the technical activities of the Alliance in the following areas:
  - a. Implementation of DDI and other metadata management on a technical level
  - b. Modeling in various representations (UML, XML, RDF, JSON, etc.)
  - c. Technological changes in data and metadata storage and access
  - d. Preparation of technical documentation for implementers of DDI
  - e. Technical testing of DDI products and development work

## Appendix 2

## I. Preamble

As described in the Charter, the Alliance is an unincorporated, self-sustaining membership organization whose members have a voice in the development, promotion, and dissemination of DDI specifications.

## II. Definitions

**Annual Meeting of Members:** An assembly of Member Representatives convened for the Alliance's annual business meeting.

**Annual Meeting of the Scientific Community:** An assembly of the Scientific Community of the Alliance convened for the annual report of the Scientific Board.

**Associate Member Organization:** A Member Organization that does not pay dues.

**Chair:** The individual elected by the Designated Member Representatives to lead Annual Meetings and to serve as Chair of the Executive Board.

**Designated Member Representative:** An individual designated by the Member Organization to exercise its voting rights.

**Executive Board:** The policy-making and oversight body of the Alliance.

**Executive Director:** Individual from the Host Institution who runs the Secretariat and coordinates Alliance activities.

**Executive Director's Advisory Group:** Small group that advises the Executive Director on an ongoing basis. **Good Standing:** Payment of annual Alliance dues (if applicable), provision of in-kind contributions, and adoption of DDI standards and products as appropriate.

**Host Institution:** An organization providing an operational base and assuming direct financial and legal responsibility for the Alliance.

**Member Organization:** An organization that is in good standing in the Alliance.

**Member Representative:** **An individual representing the Member Organization regarding administrative matters.** ~~An individual appointed by the Member Organization to represent it at the Annual Meeting of Members and other Alliance meetings.~~

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

**Properly called meeting:** Regularly scheduled meetings with an agenda sent a day in advance; extraordinary meetings announced with an agenda sent a week in advance; the Annual Meeting of Members, the Annual Meeting of the Scientific Community, or other plenary meetings called by the Executive Board or the Scientific Board announced with an agenda sent a month in advance; and the meeting convened by an officer.

**Scientific Board:** The scientific and technical body of the Alliance **which represents the Scientific Community.** The Scientific Board proposes the scientific work plan to the membership for approval and facilitates the scientific and technical work activities.

**Scientific Community:** Comprises the scientific representatives, technical contacts, and other experts within the Alliance, those identified as fulfilling the scientific and technical roles.

**Scientific Representative:** An individual representing the Member Organization to act as contact regarding scientific matters.

**Secretariat:** The administrative arm of the Alliance that provides financial and clerical support.

**Sub-Committee:** A subset of Member Representatives that is established by either the Member Representatives or the Scientific Board and created by formal resolution for a defined purpose or objective and for a specified period of time.

**Technical Committee (TC):** Scientific Board standing committee that models, renders, maintains, and updates the specifications.

**Technical Contact:** An individual representing the Member Organization regarding technical matters.

**Vice Chair:** The individual elected by the Designated Member Representatives to lead Annual Meetings in the absence of the Chair and to serve as Vice Chair of the Executive Board.

**Working Group:** A group composed of Member Representatives and possibly individuals outside Member Organizations that is established by formal resolution of the Scientific Board or the Executive Board, for a defined purpose or objective and for a specified period of time.

### III. Purposes

The Alliance is made up of diverse organizations from a range of countries, disciplines, and sectors committed to developing and maintaining publicly available metadata standards and semantic products for documenting social science and related data. The Alliance's purposes are to further its Mission and to fulfill the Objectives in the Alliance Charter.

### IV. Organization

An Executive Director and an Executive Board manage the operations of the Alliance, while a Scientific Board is responsible for its scientific and technical work. A small Secretariat is maintained to administer day-to-day operations. The Alliance is financially self-supporting through a variety of revenue streams, including membership dues; license fees; workshops, symposia, and publication fees; and external research or training grants and contracts with the Host or a Member Institution.

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

### V. Products

The DDI standards and semantic products are advanced through development lines. These development lines and products, which shall be publicly available, are described in a standing document, "Standards Development and Review Process and Procedure".

## VI. Membership

### A. Terms of Membership and Dues

1. Membership in the Alliance is open to any organization or agency that maintains its good standing, has a material interest in the work of the Alliance, agrees to the terms of the Membership Agreement, and is in compliance with this Charter and Bylaws. All Members shall have the same rights, although the Executive Board may create differing classifications of membership for the purpose of levying annual dues. 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 Board. Where multiple memberships are granted, each membership shall appoint a Member Representative with the rights and obligations described in this section.
2. The Executive Board shall establish a schedule for payment of annual dues for each classification of membership, payable in U.S. dollars. This payment shall be made in full upon receipt of the annual invoice. Not more than once per year, the Executive Board 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 Board, 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.

### B. Rights and Obligations of Members

#### 1. A Member Organization:

- (a) Shall have a seat at the Annual Meetings of Members and the Scientific Board of the Alliance. Its Designated Member Representative should attend the Annual Meeting and may also serve on the Scientific Board as the liaison to the Member Organization.
- (b) Shall have one vote exercisable on its behalf by its Designated Member Representative. A Member Organization shall provide the Executive Director with the name of its Designated Member Representative prior to any vote.
- (c) Shall be eligible to have a Member Representative elected to the Executive Board with all rights and privileges of a member of the Executive Board.
- (d) May send Observers to the Annual Meetings of Members and the Scientific Board of the Alliance, subject to space limitations.
- (e) Should participate in at least one substantive activity of the Alliance, such as an elected position, Technical Committee, Sub-Committee, or Working Group through its Member Representative or other employees.
- (f) May display the Alliance trademarks on promotional material and publicize the Member's participation in the Alliance.

(g) May send a specified number of participants, as determined by the Executive Board, to selected Alliance-sponsored workshops and symposia without payment of workshop and symposia fees.

(h) May request access to Member-only information for employees of its organization.

(i) The Member Organization should provide a Member Representative, Scientific Representative, and Technical Contact to support communication between the Member Organization and the Alliance. A single individual could fulfill multiple roles. These individuals should attend the appropriate meetings of the Alliance.

## 2. An Associate Member Organization:

(a) Shall have a seat at the Annual Meetings of Members and the Scientific Board of the Alliance.

(b) May send Observers to the Annual Meetings of Members and the Scientific Board of the Alliance, subject to space limitations.

(c) Should participate on at least one substantive activity of the Alliance, such as an elected position, Technical Committee, Sub-Committee, or Working Group through its Member Representative or other employees.

(d) May display the Alliance trademarks on promotional material and publicize the Member's participation in the Alliance.

(e) May request access to Member-only information for employees of its organization.

(f) The Associate Member Organization should provide a Member Representative, Scientific Representative, and Technical Contact to support communication between the Member Organization and the Alliance. A single individual could fulfill multiple roles. These individuals should attend the appropriate meetings of the Alliance.

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

## VII. Scientific Board

### A. Purpose

The purposes of the Scientific Board are to:

1. Provide direction and coordination in the development of the substantive content of the DDI standards and other work products of the Alliance by its sub-committees and working groups within the context of the Alliance Strategic Plan.

2. Implement the scientific program agreed at the Annual Meeting of the Scientific Community.
3. Oversee the substantive content of DDI standards and other work products.
4. Undertake research and testing concerning proposals for DDI standards and other work products.
5. Develop and promulgate best practices for use of DDI standards and work products.
6. Assess progress and barriers to progress.
7. Provide a report on progress of the scientific program over the previous year, and proposals for the future scientific direction and related activities to the Annual Meeting of the Scientific Community.

- ~~1. Contribute to the substantive content of DDI standards and semantic products and approve major version revisions.~~
- ~~2. Evaluate technical proposals through the Alliance standards review process.~~
- ~~3. Undertake research and testing concerning proposals for DDI standards and semantic products.~~
- ~~4. Develop and promulgate best practices for use of DDI standards and semantic products.~~
- ~~5. Assess progress and barriers to progress.~~
- ~~6. Suggest future directions and activities for the Alliance.~~

## B. Organization

1. The Scientific Board shall be composed of seven voting members elected by the Members of the Alliance.
2. The Executive Director and Chair of the Technical Committee shall serve as ex-officio members, without internal vote, of the Scientific Board.
3. The Scientific Board may appoint up to two external Advisory Members, without internal vote.
4. Representatives from Members and Associate Members of the Alliance are eligible to serve as elected members of the Scientific Board.
5. A majority of the elected members of the Scientific Board must be from Member Organizations.
6. No Member or Associate Member shall have more than one representative serving on the Scientific Board at the same time.
7. Elected members of the Scientific Board shall serve no more than four consecutive terms.
8. The Chair and Vice-Chair of the Scientific Board are determined by the elected members of the Scientific Board and shall serve no more than three consecutive terms.
9. Only elected members of the Scientific Board are eligible to serve as Chair or Vice-Chair.
10. No officer (chair or vice-chair) of the Executive Board nor of the Technical Committee may serve as an officer of the Scientific Board.

11. The Technical Committee is established as a standing Sub-Committee of the Scientific Board.
12. The Scientific Board may establish Sub-Committees and Working Groups on specific as defined in its Purpose.
13. The Scientific Board shall have oversight of every Sub-Committee and Working Group established under it.
14. The Scientific Board should maintain a document outlining its internal operational procedures entitled “Scientific Board Operational Guidelines”.

~~1. The Scientific Board shall be composed of Member and Associate Member Organization Designated Representatives and shall be staffed by the Secretariat.~~

~~2. The Executive Director is an ex-officio member, without vote, of the Scientific Board. The Executive Director is not eligible to serve as Chair or Vice Chair.~~

~~3. At least one-third of the Members present at a meeting of the Scientific Board properly called by the Executive Director shall constitute a quorum.~~

~~4. The Executive Director may invite others to participate as Observers in activities and meetings of the Scientific Board.~~

### C. Election

1. Members will be elected following an Annual Meeting and serve for a term of four years except for the initial election where three will be elected for two-year terms and four for four-year terms.
2. Terms will start on July 1 of the election year.
3. Any member vacancy will be filled by election as soon as possible and that member will begin serving when elected for the remainder of the vacating member's term.
4. In election years, nominations for members will be solicited in April and a slate will be prepared by the Executive Director for discussion at the annual meeting with the election occurring in June. In the event that there are more candidates than positions, the election will be decided on the basis of those candidates getting the most votes. If a tie vote occurs, a second round of voting will take place.
5. The Chair and Vice Chair of the Scientific Board will be elected by the Scientific Board soon after the regular biennial member elections for a term of two years.

### D. Technical Committee

1. The purpose of the Technical Committee is to model, render, maintain, and update the DDI specifications to meet community needs and align with Alliance strategic goals. The TC receives input from substantive working groups of the Scientific Board, DDI users and developers, and other interested parties.
2. The activities of the Technical Committee cover the following:
  - a. Develop the conceptual models.
  - b. Implement the models in various technical forms.
  - c. Monitor the metadata landscape and related developments.

- d. Initiate and plan possible future directions for the standards.
3. The Technical Committee will elect a Chair and Vice Chair for a three-year term. The Chair and Vice-Chair are eligible for re-election.

## VIII. Executive Board

### A. Purpose

The purposes of the Executive Board are to:

1. Select a Host Institution to house the Executive Director and Secretariat and to assume financial and legal responsibility for the Alliance.
2. Set overall policy and budget for the Alliance.
3. Provide strategic guidance and review of the Alliance's activities.
4. Appoint an Executive Director for the Alliance for a five-year, renewable term.
5. Oversee the management of the financial affairs of the Alliance on behalf of the Members.
6. Set Alliance 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.
7. Set fees for use of Alliance registered trademarks, certification marks, and collective marks or copyright material and for Alliance-sponsored activities and products.
8. Make decisions on allocation of funds for innovative work and testing.
9. Form Working Groups to perform specific duties **as defined in its Purpose.**

### B. Organization

1. The Executive Board is composed of seven voting members: six At-Large members elected by the Designated Member Representatives and one member appointed by the Host Institution.
2. The Executive Director shall serve as an ex-officio member, without vote, of the Executive Board.

### C. Elections

1. At-Large members will be elected following an Annual Meeting and serve for a term of four years except for the initial election where half will be elected for two-year terms and half for four-year terms. Terms will start on July 1 of the election year. Any At-Large member vacancy will be filled by election as soon as possible and that member will begin serving when elected for the remainder of the vacating member's term.
2. In election years, nominations for At-Large members will be solicited in April and a slate will be prepared by the Executive Director for discussion at the annual meeting with the election

occurring in June. In the event that there are more candidates than positions, the election will be decided on the basis of those candidates getting the most votes. If a tie vote occurs, a second round of voting will take place.

3. The Chair and Vice Chair of the Executive Board will be elected by the Board soon after the regular biennial At-Large member elections for a term of two years and each may serve no more than three consecutive terms. The Chair and Vice Chair of the Executive Board will also serve as the Chair and Vice Chair of subsequent Annual Meetings of the Membership Representatives.

## IX. Executive Director

The role of the Executive Director is inter alia to:

1. Supervise the Secretariat and prioritize its work.
2. Convene the Annual Meeting of Members, meetings of the Executive Board, and the Scientific Board.
3. Maintain the list of Designated Member Representatives of Member Organizations.
4. Represent the Alliance at conferences, meetings, and other forums, or designate someone from the Alliance to do so.
5. Make programmatic decisions based upon the recommendations of the appropriate committees.
6. Coordinate Alliance activities around the world.
7. Assist the Host Institution and Members to raise funds for DDI-related activities.
8. Present an annual Financial Report to the Executive Board.
9. Present an annual Activities Report to the Alliance.
10. Designate Member Representatives as official Alliance representatives to other organizations and committees.

As appropriate, the other members of the Executive Board 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 Board and the Scientific Board, without vote.

The Executive Board will negotiate an agreement with the Host Institution to house the Executive Director and the Secretariat and to assume financial and legal responsibility for the Alliance. The work of the Secretariat will be supported by membership dues and other fees.

The tasks of the Secretariat shall include the following:

1. Develop and manage a Web site for communication within the Alliance and with the public.
2. Arrange for and facilitate meetings of the Member Representatives, Executive Board, and the Scientific Board.

3. Support the Executive Director's work.
4. Arrange for and facilitate any Alliance elections and votes.
5. Publish such material as is directed by the Member Representatives, ~~Board of Experts~~ the **Scientific Board**, or the Executive Board.
6. Provide for the ongoing functioning of the DDI Agency Registry.
7. Organize workshops as directed by the Scientific Board.
8. Collect dues and fees.
9. Maintain auditable financial records and accounts.
10. Produce annually a Financial Report detailing income and expenditures for review by the Executive Board and circulation to the Member Representatives.
11. Produce annually an Activities Report for the Member Representatives, ~~Board of Experts~~ the **Scientific Board**, and Executive Board.
12. Solicit additional Member Organizations to join the Alliance.
13. Conduct such other business as assigned by the Executive Board.

## X. Executive Director's Advisory Group

### A. Purpose

The purpose of the Advisory Group is to advise the Executive Director on an ongoing basis.

### B. Organization

The Advisory Group shall be composed of the Chairs and Vice Chairs of the Executive Board, the Scientific Board, and the Technical Committee.

## XII. Working Groups

### A. Purpose

Working Groups advise the Executive Board or the Scientific Board on relevant topics and activities related to the operation, development and future of the Alliance and its specifications and semantic products.

### B. Organization

1. Working Groups may be created by the Executive Board or the Scientific Board.
2. Membership is drawn from the Member Representatives and such other persons as may be appointed by the body creating the Working Group. In general, Working Groups should broadly represent the community with relevant knowledge and expertise about the subject area that is the focus of the Group's work.
3. A Working Group shall have a designated leader who is responsible for managing the work of the group and reporting on an annual basis to its authorizing body.

## XIII. Meetings

### A. Official Meetings

The Alliance has a number of possible meetings, which may or may not occur during the course of a calendar year. These include, but are not limited to:

- Annual Meeting of Member Representatives.
- Annual Meeting of Scientific Community.
- Meeting of the Executive Board.
- Meeting of the Scientific Board.

### B. Annual Meeting of Member Representatives

1. The Annual Meeting of Member Representatives occurs once within a calendar year.
2. The purposes of the Annual Meeting of Member Representatives are to:
  - (a) Provide a forum for Member Organization discussion and feedback.
  - (b) Review and approve the activities of the Executive Board in the preceding year.
  - (c) Receive and approve by formal resolution the Annual Report of the Executive Director.
  - (d) Deliberate any proposals to amend the Charter and Bylaws.
3. The Annual Meeting of Member Representatives shall be called separately by the Executive Director and may precede or follow a meeting of the Scientific Board.
4. The Annual Meeting of Member Representatives shall be chaired by the Chair of the Executive Board.
5. At least one-third of the Designated Member Representatives present at an Annual Meeting properly called by the Executive Director shall constitute a quorum.
6. The Member Representatives may meet more often than annually if called to do so
  - (a) By formal resolution of the Executive Board.
  - (b) By presentation of a petition to the Executive Board drafted for that purpose and approved by one-third of the Designated Member Representatives.

### C. Annual Meeting of the Scientific Community

- ~~1. The Scientific Board shall meet at least once per year.~~
  1. The Scientific Board shall convene an Annual meeting and provide a report of the activities of the Scientific Board to the Scientific Community.
  2. Other meetings may be called by the Scientific Board as needed.

~~2. At least one-third of the members of the Scientific Board present at a meeting properly called by the Executive Director shall constitute a quorum.~~

#### D. Meeting of the Executive Board

1. The Executive Board shall meet at least once per year to discuss matters related to its purpose.
2. At least one-third of the members of the Executive Board present at a meeting properly called by the Executive Director shall constitute a quorum.

#### E. Meeting of the Scientific Board

1. The Scientific Board shall meet at least once per year to discuss matters related to its purpose.
2. At least four elected members of the Scientific Board present at a meeting properly called by the Chair of the Scientific Board shall constitute a quorum.

### XIV. Budget

The Executive Board shall establish a budget that provides financial support for the successful operation of the Alliance that may include support for some portion of the time of the Executive Director, Alliance duties and functions as determined by the Executive Director and the Secretariat, expert consultation, meetings, training, and funds for innovation and testing.

### XV. Specification Review Process and Procedure

Every proposal for a modification to an existing specification goes through a standard review process, unless an alternative process is later approved by the Executive Director and the Scientific Board. The standard review process is documented in "Standards Development and Review Process and Procedure."

### XVI. 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 Alliance. If the Host Institution or Member Organization has the resources to accept such staff, the visitors will be provided with appointments as Visiting Experts. For the portion of their time assigned to Alliance activities, visitors will coordinate their work with the Executive Director based on Alliance priorities.

### XVII. DDI Standard Publicly and Internationally Available

The DDI standards shall be publicly and internationally available free of charge to any one.

### XVIII. Intellectual Property

As the current Host Institution, the University of Michigan, on behalf of the Alliance, will maintain, protect and license all registered trademarks, certification marks and collective marks or copyright held by it, or held in the name of the Alliance or on behalf of the Alliance, by the University of Michigan,

solely in accordance with these Bylaws. Costs associated with these activities will be borne by the Members through assessment of dues and other fees as necessary.

## XIX. Amendments to the Charter and Bylaws

Any Member Organization may propose an amendment to the Charter and Bylaws by drafting a petition to be signed by at least one-third of the Member Organizations. Amendments may also be proposed by a simple majority of the Executive Board. Proposals to amend the Charter and Bylaws shall be deliberated at the Annual Meeting of the Member Representatives.

Amendments must be adopted by a two-thirds majority vote of the Designated Member Representatives after written electronic notice of the vote of at least sixty days. No amendment may void the condition of the Bylaws that DDI standards shall be publicly and internationally available free of charge, whether or not that organization is a Member of the Alliance (Section XVII).

## Appendix 3

# Scientific Board Operational Guidelines

*The Scientific Board should prepare operational guidelines in the following areas for the purpose transparency and codifying any normalized processes of the Scientific Board*

## **Definitions**

*Add definitions as required for the understanding of this document*

## **A. Purpose**

*Clarify specific aims and goals of the Scientific Board within the structure provided in the Bylaws*

## **B. Organization**

*Internal organization*

*Details of specific procedures such as the disposition of working group proposals*

## **C. Elections**

*Internal voting procedures for Chair and Vice-Chair within the structure provided in the Bylaws*

*Internal decision making process for other decision making areas*

## **E. Roles**

*Suggested for inclusion:*

1. Member organizations will be asked to nominate one or more persons to the following roles - Member Representative, Scientific Representative (as before) and Technical Contact (new).
2. The Member Representative serves as the primary contact to the DDI Alliance in general and especially the Executive Board for organizational questions.
3. The Scientific Representative serves as the contact person for the Scientific Board and related workgroups especially for questions on requirements and future directions.
4. The Technical Contact person is a new role which serves as the contact for the Technical Committee to give inputs to technical implementations of the standard
5. All of these roles are invited to the annual meeting where the Executive Board and Scientific Board report to the whole Alliance.
6. The Technical Committee, as a permanent standing committee, reports as a part of the Scientific Board report.
7. During the year all of these roles can be called upon by their respective higher level group (Executive Board, Scientific Board, Technical Committee) to participate in virtual meetings or invitations to working groups

8. Scientific Representative within the Member Agency should be designated to provide support and/or input to the Scientific activities of the Alliance. Scientific Contacts should express knowledge in one or more of the following areas:
  - a. expert understanding of metadata and what it can do
  - b. working knowledge of statistical life-cycle and survey methodology
  - c. knowledge of future directions in statistical analysis
  - d. working knowledge of experimental design
  - e. working knowledge of some other (outside social science) data domains
  - f. understanding of new data representation techniques
  - g. knowledge of data infrastructures
9. Technical Contacts within the Member Agency should be designated to provide support and/or input to the technical activities of the Alliance in the following areas:
  - a. Implementation of DDI and other metadata management on a technical level
  - b. Modeling in various representations (UML, XML, RDF, JSON, etc.)
  - c. Technological changes in data and metadata storage and access
  - d. Preparation of technical documentation for implementers of DDI
  - e. Technical testing of DDI products and development work

## Appendix 4

These are the recurring and requested expenses for FY2021 (July 1, 2020 through June 30, 2021). Recurring expenses are anticipated regular expenses of the Alliance. Funding requests represent all funding requests submitted by Alliance members as of May 25, 2020. Each major Alliance committee or group was asked to submit a funding request. Additionally, a message was sent to the entire DDI community soliciting funding requests. All submitted funding requests are listed below. A link to the full funding request description is also provided.

|                           | ITEMNO | Activity                                                                                       | Requested    | Approved | Area       | Notes                                                      |
|---------------------------|--------|------------------------------------------------------------------------------------------------|--------------|----------|------------|------------------------------------------------------------|
| <b>Recurring Expenses</b> |        |                                                                                                |              |          |            |                                                            |
|                           |        | Staff Salaries                                                                                 |              |          |            |                                                            |
|                           | 1      | Salaries                                                                                       | \$35,000     | \$35,000 | Operations |                                                            |
|                           |        |                                                                                                | <i>Total</i> | \$35,000 |            |                                                            |
|                           |        | Research Supplies & Services                                                                   |              |          |            |                                                            |
|                           | 2      | DDI Registry web hosting                                                                       | \$900        | \$900    | Operations |                                                            |
|                           | 3      | Zoom virtual meetings                                                                          | \$381        | \$381    | Operations |                                                            |
|                           | 4      | Wire fees (estimate)                                                                           | \$100        | \$100    | Operations |                                                            |
|                           |        |                                                                                                | <i>Total</i> | \$1,381  |            |                                                            |
|                           |        | Alliance Travel & Hosting                                                                      |              |          |            |                                                            |
|                           | 5      | Annual meeting hosting                                                                         | \$1,000      | \$1,000  | Operations |                                                            |
|                           | 6      | Meeting attendance (e.g., UNECE)                                                               | \$2,000      | \$0      |            |                                                            |
|                           |        |                                                                                                | <i>Total</i> | \$3,000  |            |                                                            |
|                           |        | COVID-19 Contingency Fund                                                                      |              |          |            |                                                            |
|                           | 7      | Contingency fund. A contingency to support members for membership payments during the pandemic |              |          |            |                                                            |
|                           |        |                                                                                                | <i>Total</i> | \$30,000 | \$0        | Contingency                                                |
| <b>Funding Requests</b>   |        |                                                                                                |              |          |            |                                                            |
|                           |        | <a href="#">Training Group</a>                                                                 |              |          |            |                                                            |
|                           | 8      | Videos (to share on social media)                                                              | \$1,100      | \$0      |            | Duplicated at Item 22                                      |
|                           | 9      | Funding for workshops (travels and fees)                                                       | \$6,850      | \$0      |            | Travel                                                     |
|                           |        | Webinar software                                                                               | \$550        | \$550    | Training   |                                                            |
|                           | 10     | Professional editing                                                                           | \$5,000      | \$5,000  | Training   |                                                            |
|                           | 11     | Discount / waiver workshop fees (for DDI members)                                              | \$1,500      | \$0      |            | Travel                                                     |
|                           |        |                                                                                                | <i>Total</i> | \$15,000 | \$5,550    |                                                            |
|                           |        | <a href="#">Marketing Group</a>                                                                |              |          |            |                                                            |
|                           | 12     | Training videos                                                                                | \$2,000      | \$0      |            | Duplicated at Item 22                                      |
|                           | 13     | Webinars                                                                                       | \$2,000      | \$5,000  | All        |                                                            |
|                           | 14     | Promotion of DDI-Lifecycle 3.3                                                                 | \$2,000      | \$2,000  | DDI-L      |                                                            |
|                           | 15     | Promotional materials                                                                          | \$2,000      | \$2,000  | All        |                                                            |
|                           | 16     | Project assistant/manager (0.2 FTE)                                                            | \$15,931     | \$15,931 | All        | Manage program activities including marketing and training |
|                           |        |                                                                                                | <i>Total</i> | \$23,931 | \$24,931   |                                                            |
|                           |        | <a href="#">Technical Committee</a>                                                            |              |          |            |                                                            |
|                           | 17     | Face-to-face meeting of the Technical Committee                                                | \$15,140     | \$0      |            | Travel                                                     |
|                           |        |                                                                                                | <i>Total</i> | \$15,140 | \$0        |                                                            |
|                           |        | <a href="#">Scientific Board</a>                                                               |              |          |            |                                                            |
|                           | 18     | Face-to-face meeting of the Acting Committee of the Scientific Board                           | \$7,000      | \$0      |            | Travel                                                     |
|                           | 19     | Dagstuhl DDI-CDI workshop                                                                      | \$9,000      | \$0      |            | Travel                                                     |
|                           | 20     | Dagstuhl cross-domain workshop                                                                 | \$9,000      | \$0      |            | Travel                                                     |
|                           | 21     | DDI-CDI working meeting                                                                        | \$9,000      | \$0      |            | Travel                                                     |
|                           | 22     | Training tutorials (may overlap with Training)                                                 | \$15,000     | \$15,000 | Training   | Integrates Items 8 & 12                                    |
|                           |        |                                                                                                | <i>Total</i> | \$49,000 | \$15,000   |                                                            |
|                           |        | Community requests                                                                             |              |          |            |                                                            |
|                           |        | <a href="#">Statistics Canada</a>                                                              | \$18,750     | \$18,750 | DDI-CDI    | Matched by StatsCan funds                                  |
|                           |        |                                                                                                | <i>Total</i> | \$18,750 | \$18,750   |                                                            |
|                           |        | <i>Total Expenses</i>                                                                          | \$191,202    | USD      | \$101,612  | USD                                                        |

These are the recurring and requested expenses for FY2021 (July 1, 2020 through June 30, 2021). Recurring expenses are anticipated regular expenses of the Alliance. Funding requests represent all funding requests submitted by Alliance members as of May 25, 2020. Each major Alliance committee or group was asked to submit a funding request. Additionally, a message was sent to the entire DDI community soliciting funding requests. All submitted funding requests are listed below. A link to the full funding request description is also provided.

| ITEMNO                                                                                                                                                                            | Activity                                  | Requested | Approved  | Area | Notes |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------|-----------|-----------|------|-------|
|                                                                                                                                                                                   | ESTIMATED REVENUE (per 2019-2020 revenue) | \$97,500  | \$97,500  |      |       |
|                                                                                                                                                                                   | SURPLUS / (LOSS)                          | -\$93,702 | -\$4,112  |      |       |
|                                                                                                                                                                                   | FORECAST FUND BALANCE (30 JUNE 2020)      | \$247,954 | \$247,954 |      |       |
|                                                                                                                                                                                   | PLUS SURPLUS/LOSS                         | -\$93,702 | -\$4,112  |      |       |
|                                                                                                                                                                                   | FORECAST FUND BALANCE (30 JUNE 2021)      | \$154,252 | \$243,842 |      |       |
| For noting: Travel-related expenditures                                                                                                                                           |                                           |           |           |      |       |
| * There has been no explicit provision made for travel activity in the budget, due to current limitations associated with COVID-19                                                |                                           |           |           |      |       |
| * The Board is not ruling out support for such activity in this financial year, but believe such expenditure cannot be reliably forecast at this time.                            |                                           |           |           |      |       |
| * Instead, the Executive Board will consider requests for meeting funding once circumstances become clearer. Such requests if approved would be drawn from the Alliance reserves. |                                           |           |           |      |       |