



# MEMBERS' HANDBOOK

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# MANUEL DES MEMBRES

**Canadian Association of Research Libraries /  
L'Association des bibliothèques de recherche du Canada**

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## BY-LAW No. I

1.1 Being a By-law relating generally to the transaction of the business and affairs of CANADIAN ASSOCIATION OF RESEARCH LIBRARIES / ASSOCIATION DES BIBLIOTHÈQUES DE RECHERCHE DU CANADA (CARL).

1.2 BE IT ENACTED and it is hereby enacted as a By-law of CANADIAN ASSOCIATION OF RESEARCH LIBRARIES/ASSOCIATION DES BIBLIOTHÈQUES DE RECHERCHE DU CANADA (hereinafter called the "Corporation") as follows:

### **Corporate Seal**

2.1 The seal of the Corporation shall be in such form as prescribed by the Directors of the Corporation and shall have the words "CANADIAN ASSOCIATION OF RESEARCH LIBRARIES/ASSOCIATION DES BIBLIOTHÈQUES DE RECHERCHE DU CANADA".

### **Conditions of Membership (revised June 9, 2005)**

3.1 Membership in the Corporation shall be limited to research libraries of Canadian universities or to such other research institutions as the membership may approve. Applications for membership in CARL will be accompanied by the following:

3.1.1 Written support from at least two present members confirming that the candidate is a Canadian institution with a capacity to contribute to the realization of the CARL mission;

3.1.2 A statement accepting all existing CARL inter-institutional agreements.

3.2 The membership fee shall be assessed annually and shall consist of:

3.2.1 an annual basic fee to be determined at the Fall General Meeting of members, and

3.2.2 an annual strategic directions fee, to be determined at the Fall General Meeting of members.

### 3.3 Overdue fees:

3.3.1 Annual membership fees and the annual Strategic Directions fees are due and payable thirty days following the date of invoice. Membership shall cease when fees are three months in arrears.

3.4 Members shall be represented at meetings by the member's Chief Executive (hereinafter called the CE). If the CE is unable to attend a meeting, he/she may appoint a senior member of his/her staff to attend the meeting in his/her place. He/She will furnish the name of the delegate to the President or Secretary of the Corporation prior to the meeting.

3.5 A member may appoint as its proxy any other member to vote at any annual or special general meeting on his/her behalf. Completed proxy forms must be submitted by electronic mail, facsimile, by mail, or in any other manner as approved by the Board of Directors to the President or Secretary of the Corporation prior to the meeting.

3.6 Any member may withdraw from the Corporation by delivering to the Corporation a written resignation and lodging a copy of the same with the Secretary of the Corporation. The remaining portion of the member's annual dues and Strategic Directions dues for that year are not refunded.

3.7 Any member may be required to resign by a vote of three-quarters of the members at an annual meeting where there appears to be a significant and sustained disparity between the accomplishment of the member institution and the mission and goals of the Corporation.

## **Head Office**

4.1 The Head Office of the Corporation shall be located in the City of Ottawa, Province of Ontario, Canada, at the place therein where the business of the Corporation may be carried on.

4.2 The Corporation may establish such other offices and agencies elsewhere within Canada as the Board of directors may deem expedient by resolution.

## **Board of Directors**

5.1 The property and business of the Corporation shall be managed by a Board of six Directors. The Directors shall consist of the President, Vice-President/President-Elect (herein after referred to as Vice-President) and one Director representing each of the following Areas: 1) the Atlantic Provinces (Newfoundland, Prince Edward Island, Nova Scotia, New Brunswick); 2) Québec; 3) Ontario; 4) the Western Provinces (Manitoba, Saskatchewan, Alberta and British Columbia).

The Executive Director shall serve as Secretary to the Board, without vote

5.2 Notwithstanding that the President and the Vice-President are also Directors, they shall each have only one vote on the Board of Directors.

5.3 The office of Director shall be automatically vacated:

5.3.1 if a Director shall resign his/her office by delivering a written resignation to the Secretary of the Corporation;

5.3.2 if he/she is found to be mentally incompetent or incapable or becomes of unsound mind;

5.3.3 if he/she becomes bankrupt or suspends payment with his/her creditors;

5.3.4 if, at a special general meeting of members, a resolution is passed by three-quarters (75%) of the members present at the meeting that he/she be removed from office;

5.3.5 if he/she resigns, retires or is terminated from the position of CE from his/her institution; or

5.3.6 upon death;

5.4 If any vacancy shall occur for any reason in paragraph 5.3, the Directors shall by resolution fill the vacancy with a person representing the same area as the Director whose office has been vacated.

5.5 Directors shall be eligible for re-election. The President is eligible at the conclusion of his or her term for re-election as a Director from his or her area.

5.6 Three Directors shall constitute a quorum for a meeting of the Board of Directors.

5.7 Meetings of the Board of Directors may be held at any time and place to be determined by the Directors provided that five working days' notice of such meeting shall be sent in writing or electronic mail to each Director. No formal notice shall be necessary if all Directors are present at the meeting or waive notice thereof in writing.

5.8 Directors, as such, shall not receive any remuneration for their services, but, by resolution of the Board, may be reimbursed for expenses of their attendance at a regular or special meeting (with the exception of those meetings held in conjunction with general meetings).

5.9 Directors may exercise all such powers of the Corporation as are not by the Canada Corporations Act or by these by-laws required to be exercised by the members at general meetings.

5.10 Directors shall have power to authorize expenditures on behalf of the Corporation and may delegate by resolution to an officer or officers of the Corporation the right to employ and pay salaries to employees. The Directors shall have the power to make expenditures for the purpose of furthering the objects of the Corporation.

5.11 The Board of Directors shall take such steps as they may deem requisite to enable the Corporation to receive donations and benefits for the purpose of furthering the objects of the Corporation.

### **Officers**

6.1 Officers of the Corporation shall be the President, Vice-President, Secretary, Treasurer and such other officers as the Board of directors may determine.

6.2 The offices of Secretary and Treasurer may be held by the same person.

6.3 Subject to what has already been provided for in this by-law regarding the President and the Vice-President, all officers of the Corporation shall hold office for two years and until their successors are appointed in their stead.

6.4 Subject to what has already been provided elsewhere in this by-law regarding the President and the Vice-President, the other officers of the Corporation shall be appointed by the Board of directors from among the serving Directors at their first meeting of the Board of Directors following the annual general meeting of members.

### **Duties of Officers**

7.1 The President shall be the Chief Executive Officer of the Corporation and shall:

7.1.1 preside at all meetings of the Corporation and of the Board of Directors;

7.1.2 have the general and active management of the business of the Corporation;

7.1.3 see that all orders and resolutions of the Board are carried into effect; and,

7.1.4 sign all by-laws and other documents requiring the signatures of the officers of the Corporation (or the Vice-President with the Secretary or other officer appointed by the Board for the purpose).

7.2 The Vice-President shall serve the first two years after election as Vice-President, and the third and fourth years as President; in the absence or disability of the President, perform the duties and exercise the powers of the President and shall perform such other duties as shall from time to time be imposed by the Board.

7.3 The Treasurer shall render an account of the financial position of the Corporation and have overall responsibility for the corporate funds and securities. The Treasurer is responsible for presenting the budget and financial statements at the annual general meeting and shall perform such other duties as may be prescribed by the Board of Directors or President, under whose supervision he/she shall be.

7.4 The Secretary shall conduct such elections as are necessary according to procedures established in Section 8.0, Elections.

7.5 The Executive Director shall have the custody of the corporate funds and corporate seal, and shall be responsible for:

7.5.1 keeping full and accurate accounts of receipts and disbursements in books belonging to the Corporation;

7.5.2 depositing all monies and other valuable effects in the name and to the credit of the Corporation and in such depositories as may be designated by the Board of Directors from time to time;

7.5.3 disbursing the funds of the Corporation as may be ordered by the Board, taking proper vouchers for such disbursements; and

7.5.4 rendering to the President and Directors at the regular meetings of the Board, or whenever they may require it, an account of all his/her transactions.

## **Elections**

8.1 At each annual election of Directors, the members shall elect two Directors to fill the positions of the two Directors whose terms are then expiring. The term of the Director so elected shall be for two years from the date of the Annual General Meeting in the year in which each is elected.

8.2 Every two years the members shall elect the Vice-President to hold that office for two years and then to hold the office of President for the immediately following third and fourth years and, during those four years, to also be a Director.

8.3 If the person elected as the Vice-President is a new member of the Board of Directors, the person who was regional runner-up in that year's election of Directors will automatically become the Director representing that area, completing the original term of office.

8.4 Directors shall be elected by the members.

8.5 Voting by members may be by mail or electronic mail except where the Canada Corporations Act or the by-laws of the Corporation prescribe the holding of a meeting of members.

8.6 In each election, members shall be eligible to cast one vote each.

8.7 The election of Directors shall be conducted in such a manner as to ensure that there is one Director, other than the President and Vice-President, from each Area.

8.8 All members shall be eligible to serve as Directors for the area in which their institutions are located.

### **Committees**

9.1 The Corporation may establish such Standing and Special Committees as it sees fit.

9.2 Members of special committees shall be appointed for the duration of time for which the committee was established.

### **Meetings**

10.1 There shall be at least two general meetings of members of the Corporation each year, one of which shall be the annual general meeting of members.

10.2 The annual general meeting of members shall be held not more than fourteen months following the preceding annual general meeting of members.

10.3 Special meetings of the members may be called to deal with extraordinary or urgent business by the President on resolution of the Board of Directors or at the request of twenty per cent (20%) of the members.

10.4 A majority of the members entitled to vote present in person at a general meeting of the members shall constitute a quorum for the conducting of business at such meeting. In the case of a special meeting of the members, a quorum shall consist of three members entitled to vote present in person, provided that those members have proxies for the other members

entitled to vote so that, together with their own votes, they have the right to vote on behalf of the majority of the members entitled to vote.

10.5 Each member's representative present at a meeting shall have the right to exercise one vote.

10.6 At all meetings of members of the Corporation every question shall be determined by a majority of votes unless otherwise specifically provided by the Canada Corporations Act or by these by-laws.

10.7 Six weeks prior written notice shall be given to each member of any general meeting, or ten working days for a special general meeting of members. Notice of any meeting where special business will be transacted shall contain sufficient information to permit the member to form a reasoned judgement on the decision to be taken.

### **Parliamentary Authority**

10.8 The current edition of Sturgis, Alice The Standard Code of Parliamentary Procedure governs this organization in all parliamentary situations that are not provided for in the law or in its charter, bylaws, or adopted rules.

### **Amendment of By-laws**

11.1 By-laws of the Corporation may be enacted, and the by-laws repealed or amended by a majority of the Directors at a meeting of the Board of Directors and sanctioned by an affirmative vote of at least two-thirds of the members present at a meeting duly called for the purpose of considering the said by-law. The repeal or amendment of such by-law(s) cannot be enacted until the approval of the Corporations Directorate, Industry Canada, has been obtained.

### **Financial Year**

12.1 The financial year of the Corporation shall be the calendar year.

### **Auditors**

13.1 The members shall at each annual meeting appoint an auditor to audit the accounts of the Corporation to hold office until the next annual meeting. The Board of Directors may act to appoint a new auditor in exceptional circumstances. The remuneration of the auditor shall be fixed by the Board of Directors.

### **Signature and Certification of Documents**

14.1 Contracts, documents or any instruments in writing requiring the signature of the Corporation, shall be co-signed by any two of the President, Vice-President, Secretary, Treasurer or Executive Director; and all contracts, documents and instruments in writing so signed shall be binding upon the Corporation without any further authorization or formality. The Directors shall have the power from time to time by resolution to appoint an officer or officers on behalf of the Corporation either to sign contracts, documents and instruments in writing generally or to sign specific contracts, documents and instruments in writing. The seal of the Corporation when required may be affixed to contracts, documents and instruments in writing signed as aforesaid by any officer or officers appointed by resolution of the Board of directors.

### **Dissolution**

15.1 Upon dissolution of the Corporation and after the payment of all debts and liabilities, the remaining property of the Corporation shall be distributed or disposed of to a charitable organization or organizations in Canada with similar goals to the Corporation.

ENACTED this 26<sup>th</sup> day of May, 2001.

WITNESS the corporate seal of the Corporation.

## BY-LAW No. 2

### **Indemnity of Directors and Officers**

Every director and officer of the organization and his heirs, executors, administrators, and other legal personal representatives, shall, from time to time, be indemnified and saved harmless by the organization from and against,

- a) any liability and all costs, charges and expenses that such director or officer sustains or incurs in respect of any actions, suit or proceeding that is proposed or commenced against him for or in respect of anything done or permitted by him in respect of the execution of the duties of his office; and
- b) all other costs, charges and expenses that he sustains or incurs in respect of the affairs of the organization, except such costs, charges or expenses as are occasioned by his own wilful neglect or default.

ENACTED on the 8<sup>th</sup> day of June, 1982, by resolution of members at the Annual Meeting.

## BY-LAW No. 3

### **By-law to authorize the directors to borrow and give security**

Be it Enacted As a By-Law of the Company as follows:

1. The Directors of the Company are hereby authorized from time to time
  - 1.1 to borrow money upon the credit of the Company in such amounts and on such terms as may be deemed expedient by obtaining loans or advances or by way of overdraft or otherwise;
  - 1.2 to issue debentures or other securities of the Company;
  - 1.3 to pledge or sell such debentures or other securities for such sums and at such prices as may be deemed expedient;
  - 1.4 to mortgage, hypothecate, charge or pledge or give security in any manner whatever upon, all or any of the property, real and personal, immoveable and moveable, undertaking and rights of the Company, present and future, to secure any debentures or other securities of the Company, present or future, or any money borrowed or to be borrowed or any obligation or liability of the Company, present or future;
  - 1.5 to delegate to such officer(s) or Director(s) of the Company as the directors may designate all or any of the foregoing powers to such extent and in such manner as the Directors may determine.

This By-law shall remain in force and be binding upon the Company as regards any party acting on the faith thereof, until a copy, certified by the Secretary of the Company and, where required by law, under the Company's seal, of a By-law repealing or replacing this By-law shall have been received by such party and duly acknowledged in writing.

ENACTED this 14<sup>th</sup> day of October, 2001

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# ASSOCIATION STRUCTURES AND PROCEDURES

Please Note:

- 1) In most instances in this section, when “member” is used to refer to a member of CARL this should be taken to mean the representative of a member institution.
- 2) By-laws that have formed the basis for procedures have been referenced. Unless otherwise stated, the by-law referenced is By-law No. 1.
- 3) Additional information about CARL’s structures and procedures may be found in the by-laws.

## **Membership criteria and application procedure (s.3.1)**

### *Definitions*

Member libraries exhibit four characteristics outlined below:

The “research libraries of Canadian universities” are those with extensive collections and services of sufficient breadth to contribute to the Canadian distributed national research collection. The member institution will be committed to graduate study and research with established PhD programs, normally in the Arts, Social Sciences and Sciences; and an income level from annual sponsored research normally equal to or greater than 15% of the institution’s general operating budget<sup>1</sup>. Further, there will be clear sustained institutional commitment and support of the library.

Other “research institutions” are defined as those with distinctive research-oriented collections and resources of national significance in a variety of media on a scale appropriate for the support of a broad range of research activities. They typically include non-university libraries, archives, museums and galleries whose activities are supportive of academic research on a national scale and which, in the view of the current members, would be able to make a significant contribution towards the work of CARL on a continuing basis.

Membership entails full attendance by the Chief Executive of the Library (in accordance with Section 3.4) and voting rights at all meetings of Members. Members are eligible to propose or be proposed as a member of the Board of Directors. All members are expected to

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<sup>1</sup> Source: CAUBO Financial Information of Universities and Colleges (FIUC) Statistics

participate in one or more Association Committee and to contribute to collaborative working parties in the furtherance of CARL's mission and goals.

Membership, once granted is not subject to withdrawal except as provided in 3.7.

### *Procedures*

The CARL Board of Directors will consider requests for membership from Canadian university libraries or other research institutions that can demonstrate that they meet CARL's membership expectations.

Potential members will be asked to provide a written statement demonstrating that they are fully committed to CARL's mission and are able to make a positive contribution to the work of the Association.

The CARL Board of Directors will consider an application for membership at any time. It is recommended that the initial point of contact would be an informal discussion with the Executive Director. If the institution wishes to proceed, it would prepare a formal letter of application. The letter would provide an explicit statement of how the applicant's membership will contribute to CARL's mission and how the applicant meets the membership guidelines. Further, the application must include a statement accepting all existing CARL inter-institutional agreements. The Board of Directors will review the application and if positive, prepare a recommendation for membership to be presented at the next General Meeting for confirmation. Membership will be voted upon by the Members at the next Annual General Meeting following the recommendation of the Board and must be approved by at least 75% of all current voting members.

Membership will commence as soon as approved by the members at the Annual General Meeting. Association dues are pro-rated based upon the time remaining in the Association's fiscal year but will under no circumstances be less than half of a normal year's dues. Special levies in support of current specific projects or strategic directions will be charged in accordance with the original formula of cost allocation among the members and pro-rated from the period of the commencement of membership to the end of the period of the levy.

### **Board of Directors**

The Board of Directors consists of six members (*s. 5.1*):

- The President (two-year term) (*s. 6.3*);
- The Vice-President/President-Elect (two-year term) (*ss.6.3, 7.2, 8.2*) and
- Four members (one from each Area: Atlantic provinces, Quebec, Ontario and Western provinces ) (*s. 5.1*) with two-year "staggered" terms (*s. 8.1*).

The Nominating Committee for the position of Vice-President/President elect will consist of the three immediate Past Presidents of the Association. All members in good standing shall be eligible to nominate a candidate or candidates and to stand themselves for the position.

The offices of regional representation will be voted on by the Members of the Association. (ss 8.4, 8.7)

Officers: President; Vice-President; Secretary; Treasurer (s. 6.1) (the posts of Secretary and Treasurer may be filled by the same member). (s. 6.2)

The Board meets at least four times a year (s. 5.7) (immediately before and just after the two General Meetings); and, if necessary, between General Meetings (GMs). The Association covers all costs for special (i.e., between GM) meetings. (s. 5.8)

### **Election Procedures**

#### *Vice-President/President-Elect*

1. In the spring of the appropriate year the Secretary shall conduct an election for the office of Vice-President/President-Elect. (s. 8.2)
2. Candidates shall be drawn from current membership of the Association.
3. Each member will be instructed to vote for one candidate only.(s. 8.6)
4. The person receiving the most votes will serve as Vice-President/President-Elect.

#### *Board of Directors*

1. In the spring of each year the Secretary shall conduct an election by mail for the two positions of Director that expire that year. (s. 8.1)
2. The Secretary shall canvass the members and identify all persons from the appropriate Areas prepared to stand for election to the Board of Directors. (s. 7.4)
3. Once the list of candidates is established, the Secretary will mail ballots in sufficient time for the electoral process to be completed prior to the Annual General Meeting. (s. 8.5)
4. Each member will be instructed to vote for not more than one candidate from each Area. (s. 8.6) (In each election, members shall be eligible to cast one vote each)
5. The person in each Area who receives the most votes will be elected Director from that Area.

Note: To provide continuity, these procedures should be applied in such a way that the terms of two members conclude every year, those two members having served a complete two year term of office. The first term served by the replacements for these members will thus be the last term for the two members remaining on the Board.

Ties: In the case of a tie vote the successful candidate shall be determined by lot conducted by the Committee on Election.

### **Duties of the President**

#### *General*

As Chief Executive Officer of the Association, the President is responsible for the general and active management of CARL, and for the carrying into effect of all orders and resolutions of the Board. (s. 7.1)

#### *Specific Duties*

With consultation and input from the membership, the Board and the Executive Director, the President supervises the development of policies and undertakes or directs the undertaking of specific actions in support of Association objectives.

The President is also responsible for supervising the work of the Executive Director.

### **Duties of the Vice-President/President-Elect**

The Vice-President/President-Elect is responsible for performing the duties and exercising the powers of the President in the event of the absence or disability of the President. (s. 7.2)

### **Duties of the Treasurer**

#### *General*

As Chief Financial Officer of the Association, the Treasurer is responsible for the general and active management of the CARL finances, and for the carrying into effect of all orders and resolutions of the Board pertaining thereto. (s. 7.3)

#### *Specific Duties*

- communicates regularly with the Executive Director on the financial status of the Association
- presents the Financial Statements, Auditor's Report and Budget to the Board and to the membership
- reports on all financial matters at general meetings of CARL
- is a signing officer of the Association (s.14.1 for officers with signing authority)

### **Duties of the Secretary**

The Secretary is responsible for conducting the annual election according to procedures established in By-law No.1, section 8.0, Elections, of the CARL By-Laws. (s. 7.4)

## **Duties of the Executive Director**

### *Purpose of the Position*

The Executive Director is the chief executive officer and is accountable for the efficient and effective business operations of the Canadian Association of Research Libraries (CARL) and for developing, recommending and implementing, upon Board approval, strategies, business plans, policies and programs for the organization.

### *Accountability*

The Executive Director is a director and officer of CARL without vote and is directly accountable to the Board of Directors.

### *Key Responsibilities*

Under the authority of CARL By-Laws and policies, the Executive Director has the following key responsibilities:

- Ensures that the mission, goals, strategies, plans and programs of CARL are clearly defined and adhered to;
- Ensures the appropriate development of CARL policies, plans, budgets and strategies to provide quality services to the membership and Board of Directors;
- Determines requirements and directs the effective utilization and administration of CARL's human, financial, information and physical resources to meet its mission, goals, strategic directions and plans;
- Ensures that preparation and presentation of CARL's budgetary and planning requirements are carried out, including adequate systems to ensure full accountability and reporting for CARL's human and monetary resources and programs;
- Ensures that CARL carries out its operational responsibilities in accordance with any contractual obligations;
- Works to obtain grants and funding to support research and other needs
- Represents CARL to the public, corporations, government organizations, other related organizations and the media;
- Collaborates effectively with other related organizations, corporations and government policy bodies to support the mission and goals of CARL;
- Identifies potential partnerships and promotes partnership arrangements with other groups and communities which share similar issues and goals;
- Provides guidance and direction in enhancing CARL's statistics program and publications and develops and implements new statistical measures;
- Provides leadership in advocacy activities by conducting environmental scans with key decision makers, researching priorities and strategic interests of groups/individuals of influence to determine CARL's strategy and issues to pursue and implementation of advocacy activities;

- Responsible for the administration of meetings, programs, workshops, other events and a program of Awards;
- Ensures the development and on-going maintenance of effective communications within CARL, with various levels of government and with other related stakeholders, to advance and enhance awareness, understanding and support of CARL's mission, goals, strategies, services and performance;
- Ensures members are informed of current developments and public announcements, as well as Board decisions and policies; and
- As Executive Director and non-voting Secretary of CARL fulfills specific responsibilities arising from the By-Laws and as directed by the Board.

### *Contacts*

The Executive Director will maintain regular internal contacts, to provide leadership and direction and to obtain input and guidance, with:

- all members of the Board of Directors;
- all CARL staff; and
- members; as required.

The Executive Director will maintain regular external contacts, to represent CARL, share expertise, contribute to and negotiate new contracts and services, and discuss new policies and directions, collaborative efforts, with appropriate officials in the following organizations or their successors:

- Association of Universities and Colleges of Canada;
- Canadian Association of College and University Libraries;
- Canadian Library Association;
- Association of Research Libraries; and
- Other related agencies and associations.

### *Required Core Competencies*

- Association Management Orientation
- Leadership
- Planning and Strategy
- Organization
- Financial Management
- Human Resource Management
- Communications
- Advocacy
- Relationship Building and Collaboration
- Innovation and Creativity
- Results Oriented
- Self Confident and Initiative

- Judgement and Decision Making
- Program Development, Management and Evaluation
- Technology
- Fundraising
- Self Management

### *Required Education/Experience*

- Postgraduate degree, preferably with a MLS or MLIS; and experience in a university library and research environment
- A minimum of five years' experience in a senior leadership role, preferably with a not-for-profit organization
- Strong interpersonal skills and experience working with boards and committees
- Ability to plan, manage, fundraise and advocate
- Possess oral and written communications skills in both official languages

### *Annual Performance Planning & Review*

The Performance Planning & Review (PPR) process for the CARL Executive Director is a participatory process requiring the active involvement of three members of the CARL Board and the Executive Director. Together they work to establish clear and measurable objectives, review results achieved compared to the planned objectives, and discuss any actions necessary to improve or enhance performance which leads into the next performance plan.

### *Procedures*

1. Once per year (normally in September) the CARL President, Past President and Treasurer (Review Committee) will meet with the Executive Director to review his/her performance during the previous year and to agree on a performance plan for the year ahead.
2. In preparation for the review & by August 31<sup>st</sup>, the Executive Director will provide the Review Committee with:
  - An overview of his/her accomplishments during the review period;
  - A draft enumeration of the goals he/she has set for the next review period and the means by which these goals will be met; and
  - Any concerns he/she has about the position and/or barriers which may have impeded successful completion of the previous year's agreed upon goals.
3. The PPR meeting will provide an opportunity for the Executive Director and the Review Committee to review the results the Executive Director achieved against those objectives outlined in his/her performance plan. The reasons for exceeding, meeting or falling short of the set objectives will be analyzed and noted. Any major contributions made beyond the requirements of the performance plan will also be recognized. In addition the

Executive Director and the Review Committee will agree on the Executive Director's performance plan for the next year.

4. Within a month of the PPR meeting, the Review Committee will prepare a written assessment of the Executive Director's performance during the review period. The assessment will be based on the following performance factors:
  - Research;
  - Planning & Implementation of Policy;
  - External Relations;
  - Financial Management; and
  - Office Administration.
5. The Review Committee will review the Executive Director's salary and if appropriate, recommend to the Board a salary increase. A summary of the financial performance appraisal will also be presented to the Board.

### **Duties of the Program Officer**

#### *Purpose of the Position*

The Program Coordinator will provide program administration, communication and financial support services for the Canadian Association of Research Libraries (CARL).

#### *Accountability*

The Program Coordinator is directly accountable to the Executive Director.

#### *Essential Duties*

Duty	% of time
1. Program Coordination (Statistics)	25%
2. Communication	20%
3. Financial Management	25%
4. Supervision (Administrative Assistant)	20%
5. Website	0%
6. Other	10%

#### *Key Responsibilities*

Under the Direction of the CARL Board, and reporting to the Executive Director, the Program Coordinator performs a wide range of duties including some or all of the following key responsibilities:

1. Program Coordination
  - Plan the delivery of the overall program activities in accordance with CARL goals.
  - Administers the statistics program and related publications.

- Supports electronic distribution of information and development of new statistical measures.
  - Serves as a staff resource person to Committees and liaises with members and Committee Chairs to implement policies and initiatives when general direction has been approved by the Board.
  - Establish and maintain positive working relationships with key players to achieve CARL goals.
2. Communication
- Develops content for communications to key stakeholders.
  - Writes reports, as required, on issues and selected topics.
  - Provides internal support to collaborative research opportunities with key players.
  - Prepares press releases on issues moving forward.
3. Financial Management
- Oversees CARL's financial management services as outlined in the Administrative Assistant Job Description.
  - Forecast and budget preparation.
  - Financial comptroller for the association, including approval of Audit documents.
4. Supervision
- Supervises the work of the Administrative Assistant. Responsible for the overall direction and coordination of this position.
5. Other
- Develops and maintains an online resource library on issues and projects related to the position.
  - Assists with planning, development and delivery activities for CARL meetings, workshops, programs and other events.
  - Works on other projects and initiatives, as required, to support the work of the Executive Director.

*Contacts*

The Program Coordinator will maintain regular internal contacts to support program coordination activities with Committees of the Board of Directors, staff and members, as required.

The Program Coordinator will be required to engage in external contacts, conduct necessary research, manage programs and assist with other advocacy and fundraising activities.

*Required Core Competencies*

- Program Coordination
- Research
- Analysis
- Communication
- Technology
- Organization
- Advocacy
- Problem-solving and decision-making

*Required Education/Experience*

- Bachelor's degree in Business Administration, Commerce or equivalent; or an acceptable combination of education, training and experience.
- Knowledge of or familiarity with the university research library and research environment is a definite asset.
- Demonstrated ability to maintain financial statements and prepare budgets.
- Demonstrated administrative, problem-solving and decision-making abilities.
- Possess excellent oral and written communications skills in both official languages.
- Computer skills and familiarity with standard software packages, including word processing, databases, spreadsheets, and website management tools.

**Duties of the Research Officer**

*Purpose of the Position*

The Research Officer provides research capability and expertise for the Canadian Association of Research Libraries (CARL).

*Accountability*

The Research Officer is directly accountable to the Executive Director.

*Key Responsibilities*

Under the authority of the Executive Director and CARL By-Laws and policies, the Research and Program Officer has the following key responsibilities:

- Research:
  - Researches issues to assist with development of policy and makes recommendations as appropriate
  - Develops and writes research and other reports for members, government and other key stakeholders
  - Assists in developing partnerships and collaborative arrangements with other organizations
  - Assists in the development and delivery of advocacy initiatives

- Program Planning and Administration:
  - Responsible for the weekly CARL *E-lert/Cybervais*
  - Serves as a staff resource person to Committees and liaises with members and Committee Chairs to implement policies and initiatives
  - Assists with the preparation of the *Annual Report*
- Website and other:
  - Develops and maintains the CARL Website
  - Develops and maintains an online resource library on issues and projects of importance to CARL
  - Assists with planning, development and delivery activities for CARL meetings, workshops, programs and other events
  - Works on other projects and initiatives, as required

### *Contacts*

The Research Officer maintains regular contacts with Committees and members to support research and programs. He/she develops external contacts in order to conduct research, manage programs and assist with other activities.

### *Required Core Competencies*

- Research Skills
- Analytical
- Communications
- Technology
- Organization
- Publications
- Problem-solving and decision-making

### *Required Education/Experience*

- Master's degree in Library Science (MLS) or equivalent. Knowledge of the university research library environment is a definite asset.
- Demonstrated ability to understand, analyze and explain clearly, issues and events in complex policy fields; to develop policy options and to work to a deadline
- Excellent oral and written communications skills in English
- Superior oral and written communications skills in French
- Demonstrated administrative, problem-solving and decision-making abilities.
- Computer skills and familiarity with standard software packages.
- Able to manage a Website

## **Duties of the Administrative Assistant**

### *Purpose of the Position*

Reporting to the Program Officer the Administrative Assistant provides financial and administrative support for operations of the Canadian Association of Research Libraries (CARL).

*Key Responsibilities*

Financial management services.

- Financial transaction processing (accounts payable and receivable, expenses, visa, bills, invoices, deposits)
- Financial and investment statements;
- Bank and account reconciliation;
- Audit preparation

Support for the Executive Director and Board of Directors.

- Assembles pre-meeting packages and required documents;
- Travel arrangements for the Executive Director and Board; and
- Other related duties.

Overall reception services, administrative, technology, and communications support:

- Deals with phone inquiries, messages and Email;
- Template design and forms;
- Faxes required documents;
- Maintains computer files;
- Manages and maintains the Association's listservs
- Orders supplies;
- Maintenance of equipment;
- Drafts, proofreads and formats documents and correspondence;
- Shipping, receiving and mailers;
- Distribution of documents for translation services.

Coordinates membership administration and services activities.

- Maintains membership database;
- Distributes communications;
- Updates website

Provides meetings management services.

- Travel arrangements;
- Creates nametags and binders etc. for meetings and workshops;
- Assembles and distributes meeting documentation
- Arranges hotel, food, accommodation and meeting room logistics;
- On-site coordination;
- Arranges invoices and payments as needed.

*Contacts*

The Administrative Assistant will maintain regular internal contacts to support the Board, Committees, volunteers, staff and members, as required.

The Administrative Assistant engages in external contacts to arrange meetings, acquire supplies, gather information, as required; and handle general inquiries.

*Required Core Competencies*

- Accounting
- Technology
- Organization
- Meeting Planning
- Member Services
- Office Administration
- Communications

*Required Education/Experience*

- A College diploma with business-related courses and two years experience, or completion of Grade 12 and five years administrative experience demonstrating increasing responsibilities
- Strong interpersonal skills and experience through working in customer service.
- Demonstrated ability to plan meetings,
- Familiarity with an accounting software package; strong computer skills.
- Strong oral and written communication skills in English. Bilingualism will be an asset.
- Ability to work in a small team-oriented office in a self-directed manner with a multi-task workload.

## **Committees (ss. 9.1, 9.2)**

### *Copyright Committee*

The Copyright Committee is established by the Board of Directors to provide a continuing focus on copyright issues as they affect Canadian academic and research libraries.

#### *Mandate*

- To monitor copyright issues and developments
- To develop and articulate positions and policies with respect to copyright issues
- To initiate or recommend appropriate programmes or activities to encourage current knowledge and awareness of copyright issues among the membership
- To initiate and maintain linkages with other organizations and individuals having common interest in copyright matters
- To report regularly to the Board and to the membership at general meetings
- To advise the Board annually on the probable financial and resource needs of the Committee

#### *Membership*

The Committee will consist of a minimum of five CARL directors, appointed for terms of three years, renewable once. The terms of the appointees will be staggered to provide for rotation and continuity. The Board will identify the Chair of the Committee from among the members of the Committee.

### *Committee on Effectiveness Measures and Statistics*

The Committee on Effectiveness Measures and Statistics is established by the Board of Directors to provide a continuing focus on statistics as they affect Canadian academic and research libraries.

#### *Mandate*

- To develop and maintain the CARL Statistics Programme
- To review current efforts in the area of performance indicators, benchmarking, and effective resource allocation as they apply to research libraries
- To raise the awareness of CARL members of developments relating to these matters in research libraries
- To facilitate discussion of these matters among the CARL membership
- To liaise with the ARL *Statistics and Measurement Committee*, CREPUQ's *Groupe travail sur les statistiques*, and others as appropriate
- To report to the membership at the General Meetings

*Membership*

The Committee will consist of a minimum of five CARL Directors, appointed for terms of three years, renewable once. The terms of the appointees will be staggered to provide for rotation and continuity. One of the five directors should be a member of the ARL Statistics Committee. Such resource persons of CARL members institutions as the Committee may require from time to time in order to fulfill its mandate more effectively may also be recruited. Each of such resource persons will be recommended by the Committee and approved by the Board of Directors. The Board will identify the Chair from among the members of the Committee.

*Government Policies and Legislation Committee*

The Government Policies and Legislation Committee is established by the Board of Directors to provide a continuing focus on government policies and legislation as they affect Canadian academic and research libraries.

*Mandate*

- To anticipate and track activities of legislative, regulatory, and government agencies and related organizations in Canada, the United States and abroad that impact Canadian research libraries
- To anticipate, analyze, respond to, and influence information, funding, intellectual property, and telecommunications issues and policies that affect Canadian research libraries
- To promote funding for Canadian agencies and national institutions that advance CARL positions reflecting member interests on these issues and policies
- To initiate and maintain linkages and partnerships with other Canadian organizations and individuals having a common interest in matters within the scope of the Committee's mandate
- To liaise with the ARL Federal Relations programme via the ARL Information Policies Committee as well as via staff contact at the Association level
- To report regularly to the CARL Board and to the membership at General Meetings
- To advise the CARL Board annually on the anticipated financial and other resource needs of the Committee

*Membership*

The Committee will consist of a minimum of five CARL directors, appointed for terms of three years, renewable once. The terms of the appointees will be staggered to provide for rotation and continuity. The Board will identify the Chair from among the members of the Committee.

*Committee on Scholarly Communication*

The Committee on Scholarly Communication is established by the Board of Directors to provide a continuing focus on scholarly communication issues as they affect Canadian academic and research libraries.

*Mandate*

- To monitor scholarly communication issues and developments
- To identify, research and promulgate positions and policies with respect to scholarly communication issues
- To initiate or recommend appropriate programmes or activities to encourage current knowledge and awareness of scholarly communication among the membership
- To initiate and maintain linkages with other organizations and individuals having common interest in scholarly communication issues
- To report regularly to the Board and to the membership at General Meetings
- In conjunction with the Treasurer of the Board, to draw up an annual budget for the work of the Committee for submission to the Board of Directors

*Membership*

The Committee will consist of a minimum of five CARL directors, appointed for terms of three years, renewable once. The terms of the appointees will be staggered to provide for rotation and continuity. The Board will identify the Chair from among the members of the Committee.

## **Statistics Programme**

### *Purpose*

To develop and maintain instruments that will allow the collection and dissemination of timely statistical information to:

- Assist in the management of libraries;
- Support cooperative efforts within CARL and with other bodies; and
- Provide data for advocacy of research libraries, and in dealing with current issues, and to increase understanding of a changing library and information environment.

### *Responsibilities*

The Standing Committee on Effectiveness Measures is responsible for initiating and developing the instruments, and for making recommendations to the Board (e.g. regarding publication, budgets).

The Committee is also responsible for the provision of advice to the membership on matters of interpretation that may arise in the data gathering process.

The CARL Office is responsible for the process of data collection, verification and publication, which it may execute through contractual arrangements as appropriate.

Member institutions are responsible for timely submission of data and the exercise of diligence on matters that have an impact on the interpretation of results.

### *The Programme*

The Programme consists of an annual survey (Statistical Survey of Canadian University Libraries) designed to collect data on basic library indicators over a longer period of time supplemented by surveys of narrower focus whose primary value is in identifying emerging trends.

The Statistical Survey of Canadian University Libraries is augmented by additional surveys and by benchmarking and performance studies to promote improved management and planning.

The Programme is coordinated, where possible, with the statistical programme of ARL, and uses standard definitions and instruments where appropriate.

For a list of current instruments, see the CARL web site under Statistics.

## **Representation on External Committees**

CARL is represented on several committees. A current list along with the representative to each Committee is listed on the website together with further information on the mandate and work of the various Committees.

### *Duties of Association Representatives on External Committees*

1. Attend meetings, or arrange to send a delegate (when appropriate)
2. Distribute Committee material to members of CARL
3. Keep the membership informed of Committee activities by:
  - a. Preparing and distributing summaries of Committee meetings (as soon as possible following the meeting)
  - b. Presenting reports at General Meetings
4. Serve on Sub-Committees, as appropriate
5. Solicit feedback on issues and directions from the membership, as required, and report back to the Committee

## **Communication**

CARL owns and operates the following listservs:

<i>BOARD-L:</i>	Current Board Members and CARL staff
<i>CARL-L:</i>	All CARL Members and CARL staff.
<i>SCEMS-L:</i>	All members of the SCEMS Committee plus invited observers, the Executive Director and the Program Officer.
<i>COPYRIGHT-L</i>	All members of the Copyright Committee plus invited observers and the Executive Director
<i>CARLSTAT:</i>	A representative from each member institution of CARL, CAUL, OCUL and COPPUL responsible for the collection and submission of yearly Statistics plus the Program Officer
<i>SCOM-L:</i>	All members of the Scholarly Communications committee plus invited observers, the Executive Director and the Research Officer
<i>REPOS-L:</i>	All members of the Institutional Repositories project plus invited observers and CARL staff

If authorized to send a message to any of the above listservs, send to:

NAME OF LISTSERV (e.g., BOARD-L)@listserv.uottawa.ca

### **Funding**

Funding for the Association is based on annual membership fees, which are GST exempt.

Supplementary fees for strategic directions are voted on by the membership as appropriate. A reserve fund is maintained for contingencies and in the event of the dissolution of the Association.

### **Office**

CARL is based at the University of Ottawa. The Association employs four full-time staff: an Executive Director, a Research Officer, a Program Officer, and an Administrative Assistant. From time to time, CARL also employs Research Associates for contract work.

### **Official Status**

CARL is a federally incorporated non-profit corporation (since 1981) and registered charity (since 1984).

### **Lobbying**

The Executive Director is a registered lobbyist under the Lobbyists Registration Act and is listed as such in the public registry.

## FACT SHEET

The Canadian Association of Research Libraries / l'Association des bibliothèques de recherche du Canada was established in 1976 and consists of 27 university libraries plus Library and Archives Canada, the Library of Parliament and the Canada Institute for Scientific and Technical Information. Membership is institutional, and is open primarily to libraries of Canadian universities that have doctoral graduates in both the arts and the sciences.

CARL has three basic goals:

1. To provide organized leadership for the Canadian research library community in the development of policies and programmes that maintain and improve the cycle of scholarly communication;
2. To work toward the realization of a national research library resource-sharing network in the areas of collection development, preservation and access; and
3. To increase the capacity of individual member libraries to provide effective support and encouragement to postgraduate study and research at national, regional, and local levels.

CARL is an affiliate member of the Association of Universities and Colleges of Canada (AUCC), and is incorporated as a non-profit organization under the Canada Corporations Act.

### **Member Institutions**

- University of Alberta
- University of British Columbia
- University of Calgary
- Carleton University
- CISTI (Canada Institute for Scientific and Technical Information)
- Concordia University
- Dalhousie University
- University of Guelph
- Université Laval
- Library and Archives Canada
- University of Manitoba
- McGill University
- McMaster University

- Memorial University of Newfoundland
- Université de Montréal
- University of New Brunswick
- University of Ottawa
- Library of Parliament
- Université du Québec à Montréal
- Queen's University at Kingston
- University of Regina
- University of Saskatchewan
- Université de Sherbrooke
- Simon Fraser University
- University of Toronto
- University of Victoria
- University of Waterloo
- University of Western Ontario
- University of Windsor
- York University

# STRATEGIC PLAN

## Mission Statement

The mission of CARL is to increase the capacity of individual member libraries to provide effective support and encouragement to advanced research and study at the national, regional and local levels.

In collaboration with the academic community, this mission will be achieved through the pursuit of long-term programmes in the following areas:

1. information policy;
2. resource sharing; and
3. scholarly communication.

## Vision

To be recognized as Canada's leading influential research library association which actively and effectively helps its member libraries to fulfil their missions, and makes distinctive contributions to the universe of global library and information research resources and services.

## Principles (adopted by the membership on Nov. 9, 1993)

*Access to Information:* The Association supports and promotes the right of all individuals to have access to all expressions of knowledge, creativity and intellectual activity.

*Creating Knowledgeable Information Users:* The Association believes researchers and students should have the necessary skills to be independent information seekers and users.

*Research Libraries -- A Strategic National Resource:* The Association recognizes the collective human and material resources of its members as constituting a strategic national information resource.

*Resource Sharing:* The Association endorses the sharing of resources among its members as an activity essential to providing access to information required by the scholarly community.

*Scholarly Communication:* The Association has a fundamental role in facilitating and enhancing the process of scholarly communication.

## Strategic Directions 2008 and onwards

In support of its mission CARL has identified three broad strategic directions for 2008 and onwards.

### **1. Leadership**

To promote the leadership role of the research library in the academic enterprise, to advocate widely to develop the academic community, and to shape and influence federal legislation, policies and programmes.

CARL represents the country's major research libraries. Its member libraries house Canada's most valuable collections, and manage extensive human and financial resources. CARL will provide leadership and work with partners to represent the interest of Canada's research libraries.

### **2. Scholarship**

To encourage, foster, support and participate in open access scholarly communication, national consortia and innovations that advance scholarship.

Research is increasingly global and interdisciplinary. The research library is a key element in scholarly communication. CARL will work to influence scholarly communication in the best interests of our institutions and the research community. CARL will focus on national initiatives that lead to a coherent approach to research support.

### **3. Stewardship**

To take responsibility and accountability, through a national leadership role, in addressing the challenges inherent in the stewardship of research resources.

Research libraries ensure the sustainability and durability of resources in support of advanced study and discovery, where resources are broadly defined as infrastructure, access, collections, expertise and strategies. CARL will focus on the maintenance and development of the physical and electronic infrastructure, and planning, funding and accountability issues at the institutional and national levels.

## Objectives 2008 and onwards

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**Leadership** - To promote the role of the library and to advocate widely to shape and influence federal legislation, policies and programmes.

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1. To demonstrate the central role of the research library in the process of scholarship.
2. To achieve a balanced copyright regime that recognizes the rights of the user and the creator, in learning, teaching and research.
3. To formulate and promote clear positions on government policies and programmes that affect research libraries.

**MAJOR INITIATIVE**

Achieve successful copyright reform through legislation.

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**Scholarship** - To encourage, foster and support open access scholarly communications systems, national consortia and other innovations that advance scholarship.

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1. To advance scholarly communication through open access systems and other innovations.
2. To develop new business models and other innovations to increase the cost-effective availability of research resources.

**MAJOR INITIATIVE**

Advance open access to scholarship

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**Stewardship** - To take a national leadership role in responding to the complex challenges inherent in the preservation and durability of knowledge content in both physical and digital collections.

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1. To encourage and develop programs, such as AlouetteCanada, to ensure the discovery, accessibility and preservation of Canada's scholarly and heritage resources in all formats.
2. To develop a national digital preservation and archiving policy in collaboration with other organizations.

**MAJOR INITIATIVE**

Support the development of AlouetteCanada.

## AWARDS

### **Award for Distinguished Service to Research Librarianship**

#### *Description*

The Award for Distinguished Service to Research Librarianship will be made annually to an individual at a CARL member institution who has made a substantial local, national and/or international contribution to research librarianship. The person may have planned and implemented an exemplary library program, actively promoted research libraries and/or librarianship or otherwise served the profession with marked distinction.

Nominees for the award are judged on the above criteria. The selection committee consists of the Board of Directors and the previous winner of the Award.

This award is sponsored by Micromedia-ProQuest.

Past winners of the Award can be found on the Association's web site.

### **Award of Merit**

#### *Description*

This Award may be made from time to time as appropriate to a Canadian individual as recognition for an outstanding contribution to research librarianship, where not otherwise recognized: no monetary award accompanies it. The Award is made by resolution of the CARL Board.

## POLICIES AND AGREEMENTS

### **Freedom of Expression**

All persons in Canada have a fundamental right, as embodied in the Charter of Rights and Freedoms and the Bill of Rights, to have access to all expressions of knowledge, creativity and intellectual activity.

It is the responsibility of research libraries to facilitate access to all expressions of knowledge, opinion, intellectual activity and creativity from all periods of history to the current era including those which some may consider unconventional, unpopular, unorthodox or unacceptable.

To this end research libraries shall acquire and make available, through purchase or resource sharing, the widest variety of materials that support the scholarly pursuits of their communities.

### **Interlibrary Loan Fee Suspension**

The CARL Interlibrary Loan (ILL) Trial Suspension Fee between members of CARL libraries came into effect January 1, 1992. During the Trial, CARL libraries agreed not to charge each other transaction fees for the loan of monographs, and submitted to the CARL Trial coordinator annual statistics for monographs loaned and photocopies sent to other CARL libraries. For these statistics, transactions, rather than items were counted: i.e. 4 volumes of one work sent at one time is one transaction; a photocopy of one article from one journal is one transaction.

This covers fees for the loan of monographs and any administration or other fees for photocopies (but not per-page charges). Fees for ILL photocopies and docdel ('non-returnables') are charged unless covered by some other regional agreement.

The trial suspension fee remains in effect although the collection of the annual statistics was discontinued in 1997.

### **Library Staff Exchanges**

#### *Introduction*

CARL recognizes the importance of effective cooperative endeavours among its member libraries. It also recognizes that the experience of performing similar activities within a different work environment constitutes a means of professional development, that can be

beneficial to both the employee and the academic/research institution. For these reasons, the directors of CARL wish to encourage and facilitate staff exchanges between member libraries.

### **Protocol on Member Surveys**

The Board encourages the sharing of information by means of questionnaires. Please observe the following:

- A questionnaire should focus on a single topic or issue.
- In the case of sensitive information it may be preferable to respond directly to the person posting not to the listserv.
- It is the responsibility of the requester to consolidate responses and distribute results in a timely fashion (about three weeks).
- All surveys initiated by library staff must be authorized by the appropriate Director.
- For ease of searching, all e-mail surveys should include the word 'survey' in the title.

Survey results are also posted on the CARL web site (Members only section).

Branch			Identification Number					Type	V	IA		
5	0	1	4	8	7	0	1	1	6	E	Z	C

CARL MEMBERS' HANDBOOK

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RBC  
DOMINION  
SECURITIES  
Corporate Trading Resolutions

Certified Copy of Resolutions Passed by the Directors of Canadian Association of Research Libraries (the "Corporation")

"RESOLVED that:

1. The Corporation establish and maintain with RBC Dominion Securities Inc and/or any of its affiliated companies ("RBC DS") one or more accounts to deal in securities, commodity, financial or index futures contracts, options on securities, and options on commodity, financial or index futures contracts.
2. Account dealings may be on a cash settlement or margin basis and may include short sales or uncovered writings.
3. **TRADING OFFICERS.** Any one of the following officers, Executive Director, Tim Mark or Treasurer William Maes (the "Trading Officers"), be and each is authorized to give orders or trading instructions to RBC DS, whether in writing or not, in respect of account dealings for, on behalf of and in the name of the Corporation, provided that, for greater certainty any person who is designated as a Trading Officer, unless also designated as a Signing Officer, shall not be authorized to give instructions in respect of matters referred to in 4 below.
4. **SIGNING OFFICERS.** Any 2 of the following officers, Executive Director and Treasurer (the "Signing Officers") are hereby authorized:
  - a) to execute and deliver for, on behalf of and in the name of the Corporation any and all agreements, consents, letters of instruction or other documents required by RBC DS for the establishment, reclassification or operation of any account;
  - b) to withdraw for, on behalf of an in the name of the Corporation from any of its accounts any monies or securities contained in such accounts.

The authorized Signing Officers are periodically updated.
5. The Secretary of the Corporation is hereby directed to notify RBC DS in writing of the persons who hold the offices designated in paragraph 3 and 4 and to provide RBC DS with a specimen of their signatures, and the Secretary of any Signing Officers be and are hereby authorized from time to time to advise RBC DS of the persons who at such time hold such offices.
6. RBC DS shall be entitled to act and rely upon the actions, orders and trading instructions of the Trading Officers and the Signing Officers taken or given in accordance with these resolutions without making or continuing any investigations or inquiries into the propriety of such actions, orders and instructions.
7. The foregoing resolutions shall remain in full force and effect until amended or cancelled and notice of such amendment or cancellation has been given in writing to the Manager of RBC DS's Compliance Department."

\* \* \* \* \*

I, Tim Mark, the Secretary of Canadian Association of Research Libraries (the "Corporation") do hereby certify that the foregoing is a true and correct copy of resolutions duly passed by the directors of the Corporation, that such resolutions are in full force and effect, unamended, that the Corporation has the corporate power and authority to establish and maintain one or more accounts with RBC DS and such power is not restricted by any provision contained in the Corporation's articles or by-laws, that the persons named below the Trading Officers and Signing Officers of the Corporation and that set forth opposite their names are their true signatures.

CARL MEMBERS' HANDBOOK

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OFFICER'S TITLE	NAME	SIGNATURE
Treasurer	William R. Maes	(appears on original)

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Dated June 15 , 19 98.

(Tim Mark's signature and the CARL stamp appear on the original)

**CARL Investment Policy Statement (as approved by the CARL Board July 5, 2007)**

*Purpose*

To establish guidelines governing the investment of Canadian Association of Research Libraries' operating funds.

*Investment Guidelines*

*1) Portfolio Objectives*

The primary objective of the portfolio will be to maximize safety of principal and certainty of payments related to the spending requirements. Subject to these constraints, the portfolio will be managed with a secondary objective of maximizing the overall return.

*2) Asset Mix*

The portfolio shall consist entirely of debt instruments with a term of not longer than 10 years. Investments will be made with the intention of holding the security to maturity. The investment policy strictly prohibits the portfolio manager from engaging in any activity that would be considered speculative or that would jeopardize the ability of the portfolio to meet its cash flow obligations.

	Target Allocation	Minimum Allocation	Maximum Allocation
<b>Cash and Money Market Securities</b>	50%	15%	100%
<b>Long term fixed income instruments</b>	20%	0%	35%
<b>Medium term fixed income instruments</b>	30%	20%	70%

*3) Eligible Investments*

Investments may be made in:

- Government obligations (i.e. Treasury Bills Notes, Strip Coupons, Debentures and/or Bonds) issued directly or indirectly by the Federal government or an agency (Canadian and U.S.) or any of the provinces, which hold appropriate credit ratings.
- Canadian Chartered Bank Securities, being Bearer Discount Notes, Deposit Receipts, Term Notes, Certificates of Deposit, Bankers Acceptances, and short term bonds and strip coupons.

- Commercial paper and other short term obligations including bonds and strip coupons of Canadian industrial companies, utilities, financial institutions, and consumer loan companies.

*4) Investment Limits*

The purchase of any securities carrying a credit rating below A for bonds A1 for commercial paper is strictly prohibited. Existing positions previously held are exempt. Upon recognizing that the portfolio currently does not reflect these limits, we have advised our investments advisors to stage out of the current three corporate bonds as appropriately as market conditions allow.

Investments of appropriate credit quality may be made subject to the following limits:

Investment Vehicle	Maximum % of Portfolio
<b>Federal Governments</b>	100%
<b>Provincial Governments</b>	100%
<b>Canadian chartered banks carrying a rating of A or better</b>	100%
<b>Commercial paper with a rating of A1 or higher</b>	30%

*5) Safekeeping*

A dealer or financial institution approved by the CARL Board will hold securities purchased in safekeeping.

*6) Application*

This investment policy will be implemented, and monitored by a Standing Committee on Finance that consists of:

- the President
- the Treasurer
- the Vice-President/President Elect

This Standing Committee will implement, review and monitor these guidelines. Any changes must be made by resolution of the CARL Board

*7) Reporting*

The Executive Director will receive monthly investment statements from RBC Dominion Securities. The CARL Office will produce reports containing the following information for presentation by the Treasurer at each regularly-scheduled meeting of the Board, and at other times upon the request of the Treasurer.

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- Complete inventories of all portfolio investments and percentage breakdown by each type of investment type and credit rating.
- Average term to maturity of the portfolio.
- A list of all transactions, whether matured or not, including opening balances, maturities, dispositions, purchases and accrued interest.
- Details of any variations from stated investment policy.

_____ President Print Name	_____ Signature	_____ Date
_____ Treasurer Print Name	_____ Signature	_____ Date
_____ Executive Director Print Name	_____ Signature	_____ Date

### **CARL Policy Regarding Member Requests for Extraordinary Funding**

From time to time CARL receives requests for the funding of special projects, representations, purchases, etc., from its members which are not included within the established program or operating budget. In order to respond to such requests, CARL requires they meet the following criteria.

#### *Requests for partial or full funding:*

1. Must be initiated by a CARL institution in good standing through its member representative;
2. Must relate to the mission of CARL and help to further one or more of its current strategic initiatives;
3. Must be supported by at least two other members, preferably from different regions; and
4. Will not exceed \$10,000.
5. Preference will be given to applications where the Association stands some chance of recovering all or part of the grant allocated.

#### *Procedures*

1. The applicant will present a case for funding in writing to the Board and in the process demonstrate the request meets the criteria for extraordinary funding.
2. The request must demonstrate that alternative avenues of funding have been sought or have proven impractical due to the nature or timing of the request.
3. The request must be submitted sufficiently in advance of a Board meeting to allow for discussion and analysis prior to a decision or recommendation to the membership.
4. The Board can decide on funding of any amount under \$5,000 without express permission of the membership. The granting of any funds which do not require a vote of the membership, and reasons for endorsement by the Board, will be reported to the membership at the next Membership meeting after a decision is made.
5. Requests greater than \$5,000 must be voted upon by the members upon recommendation of the Board.

### **CARL Policy Regarding Conference Sponsorship and Contributions**

CARL periodically receives requests for funds for conference sponsorship or for conference attendance. At its February 2, 2007 meeting the Board decided to address this matter by adopting policies and procedures to deal with such requests fairly and consistently. To receive consideration, requests must relate directly to CARL's interests and those of its members.

#### *Policy for conference contributions and donations:*

From time-to-time, CARL receives requests from organizations or individuals for contributions or donations to offset costs or to sponsor events at conferences or meetings.

As a general rule, CARL funds (which are derived from CARL member institutions' fees) are not used for conference contributions or donations.

Contributions may be approved in exceptional cases where the contribution 1) advances CARL strategic directions, and 2) directly benefits CARL members.

All such requests must be made in writing, and must be supported in writing by one or more CARL Director. Each request will be considered by the Board on the request of the Executive Director and subject to the availability of funds.

The *CARL Policy regarding member requests for extraordinary funding* should also be consulted where appropriate.

*This policy was adopted by the Board on May 15, 2007 and approved by the membership on May 17, 2007. It is modelled on the CRKN March 2007 Conference sponsorship policy: this is acknowledged with thanks.*

## **CARL Institutional Repositories Position Statement**

The Canadian Association of Research Libraries supports the systematic archiving of, and access to digital research output of Canadian academic organizations into institutional repositories.

Canadian university campuses contain a rich and heterogeneous collection of locally-produced digital content such as article pre-prints and e-prints, as well as dissertations, theses, research reports, images, maps, audio and video files, research data, and instructional tools, etc. Because this digital content is dispersed, it is neither easily accessible, nor being systematically preserved as part of the official record of scholarly knowledge in Canada. As a result, much of the unique and valuable digital content created on Canadian campuses is being lost.

It is the intention of the members of the Canadian Association of Research Libraries (CARL) to implement institutional repositories as a coordinated and integrated strategy to aggregate the digital research output of their academic institutions. Institutional repositories (IRs) are digital collections that capture and preserve the intellectual output of a single or multi-university community. IRs expand access to research, reassert control over Canadian scholarship by the Canadian academic community, and provide a sustainable management system for digital content. IRs also promote the use of standards and best practices, guaranteeing the international interoperability of their content through OAI-compliance and metadata standards.

The benefits of adopting institutional repositories are as follows:

- Institutional repositories increase the visibility of Canadian researchers and Canadian institutions. IRs aggregate the research output of a single institution, raising the profile and status of the research being conducted there.
- Institutional repositories increase the accessibility and impact of Canadian research both in Canada and internationally. IRs can elect to eliminate access restrictions and allow anyone with an Internet connection to access the content within.
- Institutional repositories preserve and maintain the research output of Canadian academic institutions in the long-term. As it is now, the majority of Canadian research is published outside of Canada. IRs capture, maintain and preserve research output as part of the official record of Canadian intellectual output.
- Institutional repositories increase the amount and diversity of scholarly output that is collected and preserved. Traditional collection activities have focused on “published” material; however, many academic digital objects exist outside of the traditional scholarly

publishing system, and can be found on departmental websites and personal computers. IRs represent a recognition of the importance of a broader range of scholarly material that are produced by Canadian academic researchers.

- Institutional repositories facilitate more timely access to research and scholarship. Traditional scholarly publishing methods often have lengthy lag times from submission to publication. IRs can reduce these lag times by capturing this material in a more timely fashion.
- CARL is committed to working closely with learned societies, university presses, scholarly journals editors and other partners in the scholarly communication process. This position statement is intended to be implemented in accordance with publisher copyright agreements and university policies. Over 50% of all academic publishers currently allow authors to self-archive their article pre-prints in institutional repositories. The copyright for unpublished content resides entirely with the author and as such may be archived freely in institutional repositories.