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# Canadian Association of Research Libraries

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2011 Annual Report

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**CARL**—the Canadian Association of Research Libraries—is the leadership organization for the Canadian research library community. The association’s members include 29 major academic research libraries across Canada, together with Library and Archives Canada, the Canada Institute for Scientific and Technical Information (CISTI) and the Library of Parliament. CARL strives to enhance the capacity of Canada’s research libraries to partner in research and higher education, seeking effective and sustainable scholarly communication and public policy encouraging of research and broad access to scholarly information.

### Canadian Association of Research Libraries

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## MISSION

CARL strives to enhance the capacity of member libraries to partner in research and higher education, seeking effective and sustainable scholarly communication and public policy encouraging of research and broad access to scholarly information.



## PRESIDENT'S MESSAGE

Dear members,

We have had a busy year and the next one promises to be just as exciting.

By providing library resources and services, CARL members play a key role in helping the majority of Canada's university researchers discover and innovate.

The vast majority of sponsored research in Canada occurs at CARL member institutions. Our libraries collectively manage collections of over 73 million printed titles, among many other resources, in support of research, teaching, and learning.

Some of our notable achievements this year were:

- A study tour to China by Canadian library directors to study local research library developments.
- Preparing a Librarians' Research Institute which takes place in 2012
- A new website for the association
- A presentation before the Legislative Committee on Bill C-32, the *Copyright Modernization Act*
- The development of a vision and business plan for a national collaborative research data management, preservation and access infrastructure

Finally, I would like to applaud Ingrid Parent's election to IFLA's presidency for a two-year term. I know that IFLA is in great hands with UBC's University Librarian.

I look forward to a productive year in 2012 for our Association.

### Thomas Hickerson

President, CARL

Vice Provost for Libraries and Cultural Resources and University Librarian, University of Calgary



## EXECUTIVE DIRECTOR'S MESSAGE

Dear CARL members,

We are committed to delivering valuable support to our members and to the researchers and students they serve.

We achieve this in a variety of ways, following the three directions taken in our strategic plan:

- Transforming scholarly communications
- Influencing public policy
- Advancing the research library.

These remain our priorities as we begin to consider a new strategic plan for 2013-2015.

CARL made progress in all three areas thanks to the active participation of many of our members, as well as the leadership of the Board of Directors under CARL Presidents Ernie Ingles and Thomas Hickerson.

Great credit is also due to the CARL staff, Katherine McColgan, Mathieu Jacques, Diego Argáez, Shaun Hassanali, and Kathleen Shearer, our research consultant. I would like to thank them all, as well as our members, for their continued support and determination to make things happen.

Finally, the CARL office has changed location, moving to space in the offices of the Association of Universities and Colleges of Canada at 350 Albert Street, in downtown Ottawa. I would like to thank the University of Ottawa Library for hosting the CARL offices for so many years.

The organization of this report reflects CARL's work in these areas and other projects that have taken place and I hope it provides readers with a useful overview of what 2011 was like at CARL.

I look forward to working with our members in 2012.

**Brent Roe**  
Executive Director

## SOME CARL LIBRARY STATISTICS

The following statistics are taken from *CARL Statistics 2009-2010*. They include data from all CARL member libraries, except for Ryerson University's library, as it was not yet a CARL member.

In 2009-2010, CARL libraries represented:

- **7,259 full-time jobs**
- **\$866 million** was spent on materials, staffing and operating expenses by CARL libraries.
- **\$382 per full-time student**, average amount spent for materials by CARL libraries
- **76.4 million** volumes in CARL university libraries
- **13 million** additional volumes in federal libraries
- **13.2 million** ebooks accessible through CARL libraries
- **1.4 million** digital serials accessible through CARL libraries
- **8.8 million** initial loans by CARL libraries
- **3.3 million** government documents in CARL university libraries
- **334 million** government documents in Library and Archives Canada

## 1. TRANSFORMING SCHOLARLY COMMUNICATION

### International Open Access Week 2011

In celebration of International Open Access Week 2011, an event that was held worldwide, CARL helped raise awareness about open access and the potential it has to transform and greatly improve how the results of scientific research are disseminated and preserved both for the progress of science and for society's greater benefit.

These activities included:

- An op-ed piece in *The Hill Times* explaining what Open Access is and its benefits for researchers, universities, and society
- A webcast co-sponsored with the University of Regina Library about Open Access and its implications for the university
- A webcast co-sponsored with Carleton University and CISTI about DataCite, international project CISTI is participating in to develop a consistent way to cite research datasets and to connect them with Digital Object Identifiers (DOIs)
- CARL signed the *Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities*



### Joint CARL / CRKN Open Access Working Group

In the Fall, CARL and the Canadian Research Knowledge Network (CRKN) launched the Joint Open Access Working Group at the CARL and CRKN's October membership meeting held in Gatineau, Quebec.

The Open Access Working Group will collaboratively explore and promote sustainable open access models as an element of a cost-effective scholarly content ecosystem in Canada. In order to do so, the working group will:

- Consider past Canadian successes, challenges and future opportunities for stimulating the advancement of open access models that expand the dissemination of

scholarly research and reduce financial pressures on libraries and researchers.

- Consider the CARL and CRKN expertise relevant to strategies for advancing open access and develop future scenarios for leveraging that expertise.
- Investigate and recommend practical ways to incorporate open access into content agreements, including development of model licensing enabling timely deposit of published articles in open access repositories

### Canadian National Collaborative Data Infrastructure (CNCDI) Project

In consultation with various national stakeholders within and outside of the research library community, CARL articulated a vision for a national collaborative network of digital data repositories with trusted status and institutional permanence which included:

- Preservation storage repositories
- Tools and applications for data reuse and analysis
- Skills training and support services

The steering committee convened a two-day symposium in March 2011 with the participation of researchers from various fields, spanning the sciences, health sciences, social sciences and the humanities. Researchers at this event provided generous feedback regarding what they deemed challenges and necessary elements in influencing the creation of a national research data management platform.

Other achievements included a vision document detailing how a collaborative new infrastructure would build on and enhance the existing patchwork of data curation repositories already being used in Canada, and a business case for a national collaborative distributed research data management and archiving infrastructure.

While an application for funding by CFI could ultimately not be submitted, CARL members remain collectively committed to pursuing a solution to this national need. The CARL Data Management Subcommittee will coordinate next steps in continuing CARL's participation in this critical enterprise.

## 2. INFLUENCING PUBLIC POLICY

### Pre-budget submission to FINA

Every year CARL submits a pre-budget consultation brief to the House of Commons Standing Committee on Finance (FINA). The Association's recommendations for the 2012 federal budget were:

- That the federal government fully reap the value of its investment in research by supporting the development of a national infrastructure for the preservation and exploitation of research data. We suggested a minimum of \$2 million in each of the next five years for a pilot Canadian research data management system.
- That the federal government maintain strong support for the essential programs and services that make Canada's research enterprise successful.
- That the federal government undertake initiatives to increase broadband internet access and the speed of data transfer throughout Canada as part of a national digital policy framework that recognizes Canada's libraries as a key component.

### © Copyright

CARL testified before the Legislative Committee on Bill C-32, the Copyright Modernization Act in February 2011, speaking primarily to the inclusion of "education" as a fair-dealing exception.

Presently, the ways in which individuals experience and exchange information is changing. In amending the Copyright Act, Parliament has a duty to protect Canada's creators from the theft and misuse of their products; however, it has a further duty to uphold the rights of users.

CARL believes that creators and consumers alike will be best served when educational institutions can confidently use content for education purposes according to fair dealing criteria. Canadian universities and their libraries support creators through their purchasing and licensing of access to content, collecting spending some \$300 million per year.

The inclusion of "education" as a fair dealing purpose will enable libraries to support teaching more effectively in the service of the public good.

CARL's submission to the committee on Bill C-32 included the following key points:

- Fair dealing has a place in copyright law and an additional purpose will not result in extraordinary litigation
- Education as fair dealing allows instructors and librarians to dispense with some arbitrary distinctions among uses by students, instructors or librarians
- The amount (and other factors) of copying that is permissible as fair dealing is restricted
- The negative economic effects of education as a fair dealing purpose would be minor
- We can meet our international obligations copyright and include education as a fair dealing purpose

CARL was pleased to see a number of other constructive provisions in Bill C-11 (the latest version of the *Copyright Modernization Act*), including those governing the migration of library materials when formats are becoming obsolete, provisions for digital inter-library loans, the use of copyright material in online learning, and exceptions for persons with perceptual disabilities. CARL commended the government for opting for a notice-and-notice ISP liability regime, and for providing for educational use of publicly available materials on the Internet. As with the previous bill, CARL expressed concern about the potential impact of the technological protection measures (TPMs) provisions on user rights.

### 3. ADVANCING THE RESEARCH LIBRARY

#### Librarian's Research Institute

CARL developed a four-day institute for academic librarians who want to undertake research projects for publication. The institute is the culmination of the combined efforts of the CARL Research Libraries Committee in collaboration with librarians at the University of Saskatchewan and the University of Windsor.

To be hosted by the University of Windsor June 11-14, 2012 and co-sponsored by the University of Windsor's Leddy Library, the York University Library, University of Saskatchewan and CARL, the Librarians' Research Institute will provide practicing academic librarians in Canada an opportunity to immerse themselves in sustained conversations and activities related to scholarly research, inquiry, and publishing.

Working with a team of skilled Peer Mentors, institute participants will take part in an intensive workshop experience intended to take their current research projects to a more advanced level. Participants and Peer Mentors will have an opportunity to make connections with other researching librarians from across Canada and to build the scholarly research networks required to develop a vibrant research community.

#### Study Tour to China

CARL's Study Tour to China took place in March 2011 and visited research libraries in Beijing, Shanghai and Hong Kong. The tour allowed 15 participating CARL directors to learn about Chinese research libraries in their institutional and national contexts, and to meet a number of Chinese research library directors and key staff members.

#### CARL's participation in various fora

CARL participated in a number of conferences, nationally and internationally. Here are some examples:

- May 2011, CARL held its spring meeting jointly with ARL in Montreal.
- August 2011, CARL, along with other Canadian organizations, helped to organize and prepare a

"Discover Canada" booth for the IFLA conference in San Juan, Puerto Rico. CARL also helped in organizing a reception for the inauguration of Ingrid Parent as IFLA's first Canadian president.

- November 2011, joint meeting with the CKRN and CREPUQ – *Sous-comité des bibliothèques* in conjuncture with CARL's fall conference in Gatineau.

#### Winners of the CARL Research in Librarianship Grant

The CARL Research in Librarianship Grant is awarded to new and established librarians working in research libraries that are actively conducting research. Graduate library and information studies students are also eligible for the grant. The CARL Research in Librarianship Grant is intended to support projects involving structured, evidence generating research in libraries that propose answers to real-world issues.

CARL was very pleased to support Leila Fernandez (York University) and Jane Burpee (University of Guelph) for their project entitled "A Study of Librarian Roles in Promoting Scholarly Communication within Canadian Research Libraries" and Max Neuvians (University of Ottawa LIS student) for his project "An analysis and interpretation of existing social media policies utilized by public information institutions"

Leila Fernandez and Jane Burpee will develop an in-depth understanding of the roles that librarians play in promoting scholarly communication in academic institutions, and the organizational structure in which they operate. The study will explore how scholarly communication activities have an impetus in redefining librarians' roles and how these roles may evolve in the future.

Max Neuvians' research will analyze, interpret, and seek to understand the existing body of social media policies utilized by public information institutions, as they relate to their employees. The project will provide an analytical overview of social media policy and propose recommendations for improved social media policy for the future, with a focus upon ethical and curatorial themes for both the workplace and the information profession as a whole.

#### 4. CARL AWARDS

##### CARL AWARD FOR DISTINGUISHED SERVICE TO ACADEMIC LIBRARIANSHIP



CARL recognized **Marnie Swanson**, University Librarian, University of Victoria, as the winner of the 2011 CARL award for Distinguished Service to Research Librarianship. Ms. Swanson received the award for her outstanding contributions to libraries and to the library profession in Canada.

The Council of Prairie and Pacific University Libraries (COPPUL), which Marnie chaired from 2004 to 2006, greatly benefitted from her approach to cooperative collection and service development in libraries. Once established in the University of Victoria, she advocated for the inclusion of British Columbia's academic libraries in this regional association. Until the late 1980s COPPUL's members were drawn from Alberta, Saskatchewan and Manitoba. The inclusion of the University of British Columbia, Simon Fraser University, and University of Victoria libraries in COPPUL in 1990 strengthened its vendor negotiations, enabled it to play a significant role in supporting innovative library software development, and bolstered COPPUL's development as an innovative and strategic organization.

She contributed to collaboration and service innovation in the library world as the Chair of the CARL Data Management Sub-committee which has an important role in developing strategies to ensure the permanent viability and stewardship of essential Canadian research data resources. Most recently, Marnie chaired the CARL steering committee that led the project to envision and work towards national partnerships and funding to support a national collaborative research data management infrastructure.

##### CARL AWARD OF MERIT



**Onil Dupuis**, former *Chargé de recherche principal* at the *Conférence des recteurs et principaux des universités du Québec (CREPUQ) – Sous-comité des bibliothèques*, received the CARL Award of Merit at a reception hosted by McGill University.

CARL presents this award to a Canadian individual as recognition for an outstanding contribution to research librarianship, yet who is not employed in a CARL member institutions. The award was made to Mr. Dupuis in recognition of his exceptional leadership in the development of Canadian research libraries and librarianship through his publications and deep involvement over many years in numerous library organizations.

A librarian by training, Onil has always been devoted to the cause of culture, knowledge, and libraries – particularly in Quebec's university libraries. He served for 35 years as coordinator for the activities of the *Sous-comité des bibliothèques* of CREPUQ. During this time, he attended 220 *sous-comité* meetings and worked with 20 chairs.

Other notable positions Onil held include: president of the *Corporation des bibliothécaires professionnels du Québec (CBPQ)* in 1978-1979, chair of the organizing committee for the 48th World Congress of the International Federation of Library Associations and Institutions (IFLA), which was held in Montreal in 1982, and president of the *Association pour l'avancement des sciences et des techniques de la documentation (ASTED)* in 1987.



## 7. CHANGES AT CARL

2011 saw a number of changes, notably the move to a new location for the CARL office and the launch of a new CARL website.

### New location for the CARL office

After lodging within the walls of the University of Ottawa's Morissette library building for two decades, CARL moved into new offices in downtown Ottawa.

The new space is rented from the Association of Universities and Colleges of Canada in Constitution Square.

CARL's new offices are located at the following address:

Canadian Association of Research Libraries  
600-350 Albert Street,  
Ottawa, Ontario  
K1R 1B1

CARL would like to thank the University of Ottawa Library for many years of happy cohabitation on the university campus.

### CARL Financials

CARL's operations are primarily financed through members' fees.

In 2011, CARL's operating budget included:

- 663,706\$ in revenues
- 585,891\$ in expenditures

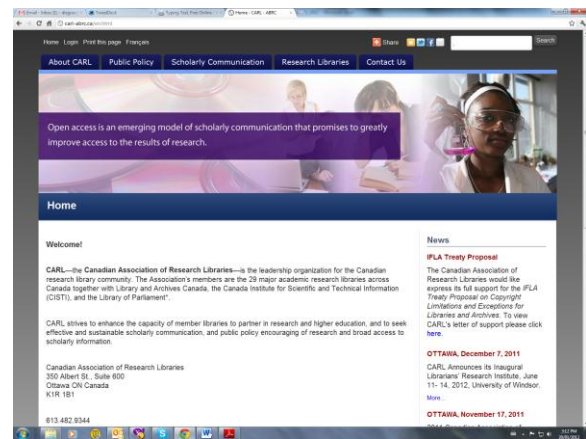
The surplus revenues will be reinvested into 2012 and 2013 projects to achieve the Association's goals.

### New CARL Website

CARL launched a new website in 2011.

The rebranded site was designed with a cleaner, more modern look. Content has been reorganized around the association's three strategic themes:

- Scholarly Communication
- Public Policy
- The Research Library



Other features of the new website include:

- Embedded social media tools such as Facebook and Twitter
- An Association Newsfeed
- A rebranded weekly CARL E-Lert

## 8. 2011 PUBLICATIONS

Including briefs, policy documents, and other publications.

- CARL's submission to the Legislative Committee on Bill C-32: *Considerations on an Inclusion: "Education" as an Explicit Fair Dealing Purpose* (February 13, 2011). This publication was updated in 2012.
- CARL 2008–2009 Statistics: Expenditures and Collections Emerging Services Use, Facilities, and Services / 2009–2010 Salaries (February 2011)
- CARL's Pre-budget submission to the House of Commons' Standing Committee on Finance (August 12, 2011)
- *It's Open Access Week: Time to Open it all up* Opinion piece published in *The Hill Times* by Diego Argáez – CARL - and Gale Moore - University of Toronto (October 24, 2011)
- CARL's response to the White House Office for Science and Technology Policy's *Request for Information: Public Access to Peer-Reviewed Scholarly Publications Resulting from Federally Funded Research* (December 20, 2011)
- CARL's Diego Argáez published "International Open Access Week", a theme feature article in the fall edition of *Félicité*, Issue #3, Vol.57, pp.103-105. This open-access themed issue was co-edited by CARL research associate Kathleen Shearer and included a contribution by CARL Vice-President Gerald Beasley.
- 51 Issues of the weekly CARL E-Lert, # 406 (January 7, 2011) to # 452 (December 23, 2011)

## 9. GOALS FOR 2012

- Continue to raise awareness in government in areas such as data stewardship and balanced copyright reform to the benefit of the research community in Canada
- Prepare a new strategic plan 2013-2015
- Work with partners on new approach to research data management in Canada.
- Continue promoting open access and support the adoption of open access programs at Canadian universities
- Develop tools or processes to encourage sharing and enhanced access to research conducted by librarians at CARL member libraries.
- Hold Librarian Research Institute

## 10. CARL MEMBERS

University of Alberta Libraries,  
University of Alberta, **Ernie  
Ingles**, Vice–Provost and Chief  
Librarian

UBC Library, University of British  
Columbia, **Ingrid Parent**,  
University Librarian

James A. Gibson Library, Brock  
University, **Margaret Grove**,  
University Librarian

Libraries and Cultural  
Resources, University of  
Calgary, **Thomas Hickerson**,  
Vice Provost and University  
Librarian

Maxwell MacOdrum Library,  
Carleton University **Margaret  
Haines**, University Librarian

Canada Institute for Scientific  
and Technical Information  
(CISTI)\*, National Research  
Council Canada, **Pam  
Bjornson**, Director General

Concordia University Libraries,  
Concordia University, **Gerald  
Beasley**, University Librarian

Dalhousie University Libraries,  
Dalhousie University, **William  
Maes**, University Librarian

University of Guelph Library,  
University of Guelph, **Michael  
Ridley**, Chief Librarian and Chief  
Information Officer

Université Laval, **Silvie  
Delorme**, Directrice de la  
bibliothèque

Library and Archives Canada\*,  
**Daniel Caron**, Librarian and  
Archivist of Canada

Library of Parliament\*, **William  
Young**, Parliamentary Librarian

University of Manitoba Libraries,  
University of Manitoba, **Karen  
Adams**, Director of Libraries

Library and Collections, McGill  
University, **Colleen Cook**,  
Trenholme Dean of Libraries,  
McGill University

McMaster University, **Jeffrey  
Trzeciak**, University Librarian

Memorial University Libraries,  
Memorial University of  
Newfoundland, **Lorraine Busby**,  
University Librarian

Bibliothèques de l'Université de  
Montréal, Université de  
Montréal, **Richard Dumont**,  
Directeur général

University of New Brunswick  
Libraries, University of New  
Brunswick, **John Teskey**,  
Director of Libraries

University of Ottawa Library,  
University of Ottawa, **Leslie  
Weir**, University Librarian

Université du Québec à  
Montréal, **Lynda Gadouri**,  
Directrice générale des  
bibliothèques

Queen's University Library,  
Queen's University, **Martha  
Whitehead**, University

Dr. John Archer Library,  
University of Regina, **William  
Sgrazutti**, Library Director

Ryerson University Library and  
Archives, **Madeleine Lefebvre**,  
Chief Librarian

University of Saskatchewan  
Library, University of  
Saskatchewan, **Vicki  
Williamson**, Dean, University  
Library

Université de Sherbrooke,  
**Sylvie Belzile**, Directrice,  
Service des bibliothèques et  
archives

Simon Fraser University Library,  
Simon Fraser University,  
**Charles Eckman**, University  
Librarian & Dean of Library  
Services

University of Toronto Libraries,  
University of Toronto, **Larry  
Alford**, Chief Librarian (Until  
July 31, 2011, **Carole Moore**)

University of Victoria Libraries,  
University of Victoria, **Marnie  
Swanson**, University Librarian

University of Waterloo Library,  
University of Waterloo, **Mark  
Haslett**, University Librarian

Western Libraries, University of  
Western Ontario, **Joyce C.  
Garnett**, University Librarian

Leddy Library, University of  
Windsor, **Gwendolyn Ebbett**,  
University Librarian

York University Libraries, York  
University, **Cynthia Archer**,  
University Librarian

\* As they are government-related institutions, our national library members do not participate in any CARL advocacy or lobbying decision-making or activities that seek to influence parliamentarians or public service officials on matters of national policy.

## 11. ABOUT CARL

### CARL Board of Directors (from May 2011)

- **Thomas Hickerson**, President
- **Gerald Beasley**, Vice-president/ President Elect
- **John Teskey**, Treasurer,  
Atlantic Region Representative
- **Mark Haslett**, Secretary,  
Ontario Region Representative
- **Richard Dumont**, Director,  
Quebec Region Representative
- **Karen Adams**, Director,  
Western Region Representative
- **Brent Roe**, Executive Director

### CARL Committees and Subcommittees

- **Public Policy Committee**  
Karen Adams, Chair  
*It is important to note that our governmental library members do not participate in this committee or in any CARL advocacy or lobbying activities.*
- **Scholarly Communications Committee**,  
Margaret Grove, Chair
  - **Data Management Sub-committee**,  
Martha Whitehead, Chair
- **Research Libraries Committee**  
Gwendolyn Ebbett , Chair
- **CFI Application Steering Committee**,  
Marnie Swanson, Chair

### CARL Staff



**Brent Roe**  
Executive Director



**Diego Argáez**  
Program & Committee  
Support Officer



**Shaun Hassanali**  
Administrative Assistant



**Mat Jacques**  
Program & Committee  
Support Officer



**Katherine McColgan**  
Program and Administrative Officer



**Kathleen Shearer**  
Research Associate