Canadian Association of Research Libraries
Annual Report

Alouette Canada

CARL ABRC

Libraries: Partners in E-Learning

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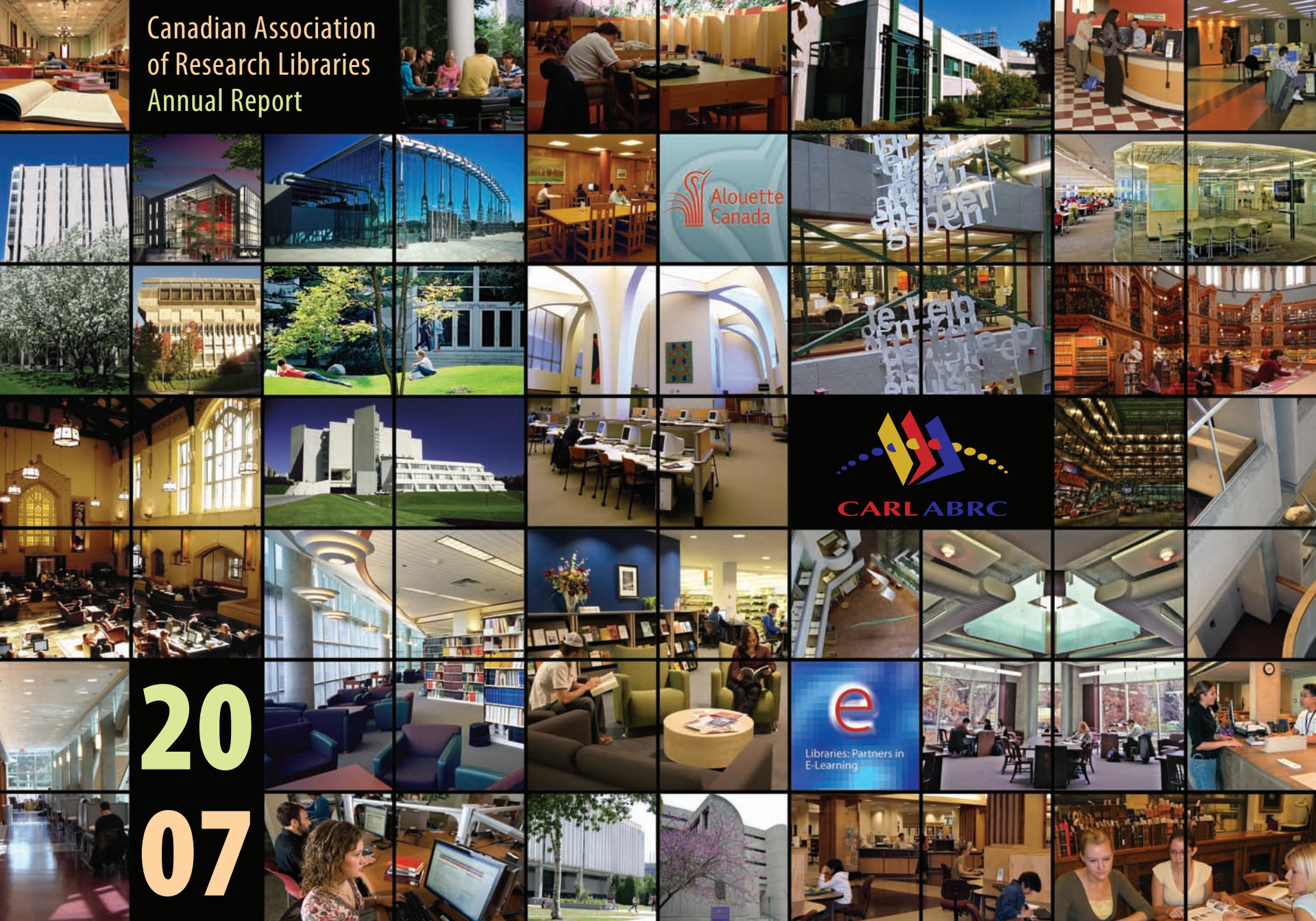
CARL is the leadership organization for the Canadian research library community. The Association's members are the 27 major academic research libraries across Canada plus Library and Archives Canada, the Canada Institute for Scientific and Technical Information (CISTI) and the Library of Parliament. CARL members are the backbone of Canada's intellectual holdings in all disciplines, with an annual expenditure of over seven hundred million dollars ($737,730,000*), monograph holdings of over 85 million items and over 1.2 million journals.

*CARL 2005-2006 Statistics

Message from the President

Canadian research libraries play a critical role in support of the research enterprise in Canada. CARL members strive to provide researchers, teachers and students with full and authoritative information as quickly and in as cost-effective a manner as possible. As an Association, CARL's role is to lead, shape and facilitate scholarly communication for the benefit of the research community that we serve.

Notable accomplishments for 2007 included:

- A well-attended workshop on using LibQual+ Canada survey data to enhance library services
- Further development of the AlouetteCanada initiative to digitize and preserve Canada's documentary heritage
- The release of the SPARC Canadian Author Addendum – a legal instrument that enables authors of journal articles to increase the visibility and impact of their research
- A successful campaign, in association with the Association of Canadian Map Libraries and Archives (ACMLA), to keep the Canada Map Office open
- CARL made an appearance at the pre-budget consultations of the House of Commons Standing Committee on Finance

Leslie Weir
President

University Librarian
University of Ottawa

Message from the Executive Director

CARL is committed to delivering direct, timely and effective support to its members through three broad strategic directions. These were re-examined and refined by a Task Force headed by Michael Ridley (University of Guelph) and re-affirmed at the 2007 Annual General Meeting.

- Leadership - to promote the role of the research library and to advocate widely to shape and influence federal legislation, policies and programs
- Scholarship – to undertake actions to help design, implement and promote an innovative and effective scholarly communication system that both fosters research and its dissemination
- Stewardship - to take a national leadership role in addressing the complex challenges inherent in the preservation of and long-term access to Canada's documentary heritage in both physical and digital forms

Progress was made in all three areas in 2007 as this report will demonstrate. This is due to the enthusiasm and active participation of many Directors in the activities of the Association. It is due also to the leadership of the Board and CARL President Leslie Weir. Finally, great credit is due to the CARL staff, Katherine McColgan (Program Officer), Diego Argáez (Research Officer), and Shaun Hassanali (Administrative Assistant). Thank you everyone for your enthusiasm and your determination to make things happen.

Timothy Mark
Executive Director

Leadership

Copyright

For Canada to flourish in today's internationally competitive knowledge economy, researchers must have full and prompt access to information sources. In 2007, CARL continued to advocate for a copyright regime that is balanced, fair and encouraging of innovation.

• CARL wrote to the Ministers of Industry and Canadian Heritage strongly advising against any limiting of fair dealing and warning of the very real dangers digital rights management (DRM) systems present.

• The CARL publication *Rights or Restrictions? An Examination of Several Key Issues and Debates Surrounding the Use and Potential Legislative Protection of DRM systems* reinforced the message that DRM's may jeopardize the ability of libraries to preserve and provide access to digital works for future researchers (or to adapt material to other formats for disabled patrons) and that libraries must have the right to circumvent technological protection measures for non-infringing purposes, such as for preservation.

• The CARL Copyright Committee drew up an ambitious plan to develop policies and a process to deal with copyright issues of concern to research libraries, especially in light of the landmark Supreme Court of Canada judgment on the 2004 CCH Canadian Ltd. v. Law Society of Upper Canada case.

• The CARL Copyright Committee commissioned the study *E-Books in Research Libraries: Issues of Access and Use*. The rapid growth and acceptance of e-books points to the need to develop licensing principles and practices that can be incorporated into a model licence that could reflect the requirements and expectations of libraries. Since the library market is a major segment for e-book publishers, there is a real opportunity for the library community to set out its requirements and expectations. The report is expected to be released in the spring of 2008.

Government Policies and Legislation

Beyond copyright, there were a number of issues CARL worked on such as upholding library patrons' right to privacy, keeping the Canada Map Office open, and advocating for an increase in funding of the Indirect Costs of Research reimbursement program.

• CARL commissioned the study *Privacy and Disclosure: Research Libraries' Commitment to Patron Privacy* as an exploration of privacy issues highlighted by effects of the US Patriot Act and the implications of increasing transborder flow of information. Related issues include the request and retention of personal information requested by some databases, personal information recorded in interlibrary loan records, and the need to purge circulation records and backup systems.

• CARL continued its support for the Association of Canadian Map Librarians and Archivists (ACMLA) in the successful *Save the Maps* campaign to keep the Canada Map Office open and to ensure the continued printing of topographic maps. On April 1, Natural Resources Canada announced the release of Canadian topographic

maps, data, and satellite imagery free of charge and usage restrictions. CARL President Leslie Weir represented the Association at a ceremony held at Parliament hosted by ACMLA and CARL, to recognize the Hon. Gary Lunn, Minister of National Resources, for these decisions.

• CARL submitted a Pre-budget submission to the House of Commons Standing Committee on Finance. William Curran (Concordia University) represented CARL at the Committee hearings held in Montreal December 7, 2007. The Committee requested supplementary information on funding for CANARIE, the Indirect Costs of Research reimbursement program (which CARL would like to see raised to 40%) and the removal of the GST from scholarly electronic publications. CARL's submission also noted that e-learning technology use in higher education has increased by 30% over five years: libraries are now integrating curriculum development, electronic library resources and learning techniques into online courses: CARL recommended tax credits to encourage Canadians to pursue further education online.

LibQual+™ Canada

More than 70 librarians and library administrators attended a CARL / ARL LibQual+™ Canada Workshop in Ottawa. Sam Kalb (Library Assessment & IT Projects Coordinator, Queen's University Libraries) led the workshop. Speakers discussed the use of data, data evaluation indicators, and methods for marketing and implementing action plans to act on LibQual+™ Canada Survey results within an institution. Created by the Association of Research Libraries (ARL), LibQual+™ Canada is a rigorously tested Web-based survey bundled with training that helps libraries solicit, track, understand, and act upon users' opinions of service quality in order to improve library services.

A Canadian database will be built to house the LibQual+™ Canada survey data. A LibQual+™ Canada database will offer opportunities for further research and for data mining.

Professional Education and Research

The Library Education Working Group was established in November 2006 under the leadership of Vicki Williamson (University of Saskatchewan). It will present its final report and recommendations at the 2008 CARL Annual General Meeting. In 2007, the Working Group:

• Identified a National Research Agenda as a priority. A survey in April identified 112 issues 'that keep CARL Directors awake at night.' The responses were grouped into ten research categories and ranked by the members in a second survey (September) (See: www.carl-abrc.ca/about/working_groups/library_education_mandate-e.html)
• Commissioned and distributed *Research Competencies for CARL Librarians*. The aims of the document are to outline a research agenda and to encourage and prepare academic librarians to undertake research.

As major employers, CARL libraries want to be sure that MLIS graduates receive appropriate education and training. The Working Group will support practical collaboration between CARL and the Canadian Council for Information Science (CCIS).

Scholarship

Open Access

CARL libraries are dedicated to improved dissemination of research. As an original signatory of the 2002 Budapest declaration, CARL believes that researchers should be able to read, download, copy, distribute, print, search, link to the full text of articles, crawl the articles for indexing, pass them as data to software, or use them for any other lawful purposes without expectation of payment (see *Budapest Open Access Initiative* http://www.soros.org/openaccess/read.shtml).

Following extensive consultations, with CARL and others, the Canadian Institutes of Health Research (CIHR) announced its *Policy on Access to Research Outputs*. As of January 2008, CIHR-funded researchers will make the peer-reviewed articles they write "freely accessible through the Publisher's website or an online repository within six months of publication." CARL welcomed this policy and will offer to assist in its implementation.

CARL collaborated with the Scholarly Publishing and Academic Resources Coalition (SPARC) to produce the SPARC Canadian Author Addendum. The Addendum helps authors negotiate with publishers to retain certain rights such as, for example, to deposit a copy of a journal article in an online Institutional Repository to make the work openly and permanently accessible.

Other notable events:

• CARL contributed to the Presidents' Meeting in March on Open Access, hosted by the Canadian Federation for the Humanities and Social Sciences. Presidents and VP's of Canada's three granting councils (CIHR, NSERC and SSHRC) attended this event. Representatives from CARL, the Association of Universities and Colleges of Canada (AUCC), the Canadian Association of University Teachers (CAUT), the Canadian Research Knowledge Network (CRKN), the Canada Institute for Scientific and Technical Information (CISTI), Synergies, and the Canadian Association of Learned Journals (CALJ) were also present. The various groups met to advance national dialogue on Open Access through an exchange of ideas and information on current initiatives in Canada.

• The University of Ottawa Library in cooperation with CARL hosted *Open Access: the New World of Research Communication*. Kathleen Shearer, CARL Research Associate, moderated the forum. Invited speakers discussed practical ways faculty and researchers can widen exposure and maximize impact for their research.

Stewardship

Data Management

Much of today's research involves creating, analyzing, and storing large and complex datasets. A CARL Survey showed that many member libraries wished to address this matter. Properly curated research data hold enormous potential for scholars who can re-analyze or re-purpose the data to innovate and create new knowledge. However, the research community in Canada needs national standards and policies that address infrastructural, cultural, legal, and training challenges to ensure proper stewardship and realize the full potential of research data.

• The CARL Data Management Working Group was founded to assist members in collecting, organizing, preserving and providing permanent access to research data generated at their own institutions.
• Under the leadership of Carolynne Presser (University of Manitoba), the Group has commissioned a review of Canadian and international data management initiatives (final report expected Spring 2009). It will also examine a cooperative approach to managing research data as well as partnerships with other stakeholders.

Institutional Repositories

Institutional Repositories (IR) represent an important strategy for attaining both open access and long-term preservation of digital materials. The Working Group is chaired by Jean-Pierre Côté (Université de Montréal). The 2007 priorities were:

• to articulate the importance of Institutional Repositories and the value of the CARL IR Program
• to improve content recruitment
• to demonstrate the value of added services

As of the end of 2007, 24 of the 27 academic library members of CARL have or are planning for an Institutional Repository.

Digitization and Digital Preservation

It is quite clear that Canada needs a national vision and a coordinated action plan to digitize and preserve Canada's documentary heritage; without a well-articulated preservation strategy all digital information is at risk. CARL, recognizing this need, developed a visionary plan to digitize and make accessible Canada's heritage materials and contributed to national discussions on their long-term preservation.

AlouetteCanada

Building on the momentum gained in 2006, the national AlouetteCanada initiative made significant gains in coordinating and promoting the digitization of Canada's documentary heritage. Funded almost entirely by CARL members its goal is "to create, disseminate, preserve and sustain the knowledge base of Canadian memory organizations in digital form, for the purpose of benefiting all Canadians."

In 2007 AlouetteCanada:

• developed a bilingual search and discover portal
• loaded metadata from the charter projects and major aggregators into the portal: 380 libraries, museums and archives contributed metadata for 200,000 records for a wide variety of formats and types of digital objects
• received a grant from the Canadian Culture Online Program to develop an "out of the box" metadata toolkit. The total value of the project is $534,000, with a delivery date of March 2008. The Toolkit Research Team is based at Simon Fraser University, lead by Mark Jordan as Project Manager.

• supported the development of a regional network of support services/aggregators to work with AlouetteCanada to extend its support to grass roots contributors

• created provincial "Views" for each province to provide more geographically refined searches for users and to provide provincial groups with 'branded' services for promotion and fund-raising

As stated on the AlouetteCanada website, "Imagine a country:

• where every citizen has the opportunity to access its online cumulative cultural heritage

• which is able to harness the will and energy of every library, archive, gallery, museum, historical society or institute of record to create a comprehensive collection of digital resources for the benefit of its citizens

• committed to eliminating barriers of access, not only physical but geographical

• where urban and rural areas are as one, and where the official motto "A Mari usque ad Mare" (from sea to sea) represents a statement of purpose and not simply of space

• capable of exploiting proven and emerging technologies to bring its past forward to the present, to make the far away nearer, and to make the inaccessible accessible

Canada is such a country. The AlouetteCanada Open Digitization Initiative is this imagination." (See http://www.alouettecanada.ca/)

At the CARL Fall General Meeting, the membership agreed to look into the feasibility of merging AlouetteCanada with the Canadian Institute for Historical Microreproductions (CIHM). The idea is to create a new, powerful and cohesive organization that can combine AlouetteCanada's broad vision and long-range public service goal with the expertise that CIHM staff have in researching, locating, cataloguing and digitizing Canada's published heritage for preservation.

The Canadian Digital Information Strategy (CDIS)

Library and Archives Canada released the *Draft Canadian Digital Information Strategy* as a consultation document (October 2007). CARL contributed to national discussions on long-term digital preservation. A number of factors can contribute to the fragility of digital content: technology dependence, rapid technology and format obsolescence, material degradation, and inadequate processes and standards (See Canadian Digital Information Strategy http://www.collectionscanada.gc.ca/cdis/index-e.html).

CARL supported the suggested collaborative approach to digitization and recommended, amongst other things:

• Use of open source software

• The development of tools and services to permit users to "create, preserve, access and use their own digital content"

• Sustainability plans to ensure continuing access and long-term curation on a national scale

• Funding to support open access journals and institutional repositories

• Implementation of the recommendations of the report on the National Consultation on Access to Scientific and Research Data (NCASRD)

• Advocacy for changes to copyright legislation, e.g., the treatment of orphan works, crown copyright, and the right to circumvent technological measures (TMs) for non-infringing purposes

Government Publications

Andrew Hubbertz (Librarian Emeritus, University of Saskatchewan) updated the CARL-commissioned report *Collection and Preservation of Web-Based Provincial/Territorial Government Publications* for presentation at the May 2007 annual conference of the Association of Parliamentary Librarians in Canada (APLIC).

Recent developments noted include two successful 'web crawls' carried out by Library and Archives Canada (LAC) and legal deposit, for electronic publications effective January 2007.

UK Study Tour

A CARL Study Tour to the United Kingdom took place November 26 – December 4, 2007. As with previous Study Tours the goals were:

*   to exchange professional experience with colleagues through a series of visits to institutions undertaking leading-edge library–related initiatives
*   to look at examples of library architecture and space-planning
*   to visit special collections

The nineteen CARL Directors who participated were warmly welcomed by the UK hosts. Visits were made to JISC (Joint Information Systems Committee), the British Library, the Bodleian, Warwick, Coventry and Manchester Libraries (including the newly-renovated John Rylands Library in Manchester); and to Cambridge University Library, and the Pepys Library (Magdalene College, Cambridge). The tour concluded with an information exchange with British colleagues, and attendance at the SCONUL (Society of College, National and University Libraries) Winter conference.

The hosts and visitors raised several ideas for possible collaboration on issues where Canadian and UK interests converge:

*   The National E-books Observatory Project has commissioned a study on the e-book market in the UK, and CARL promised to share the results of its study of access and intellectual property issues where they relate to e-books (see above Copyright).
*   The (UK) National Data Centres have created a number of discovery tools, for access to resources such as geospatial and satellite data, that may serve as a data stewardship model for Canada to emulate.
*   Members of the CARL Library Education Working Group and the UK Library and Information Research Group (LIRG) met to discuss, among other things, collaboration to develop research training courses and a portal to collect and disseminate research findings.

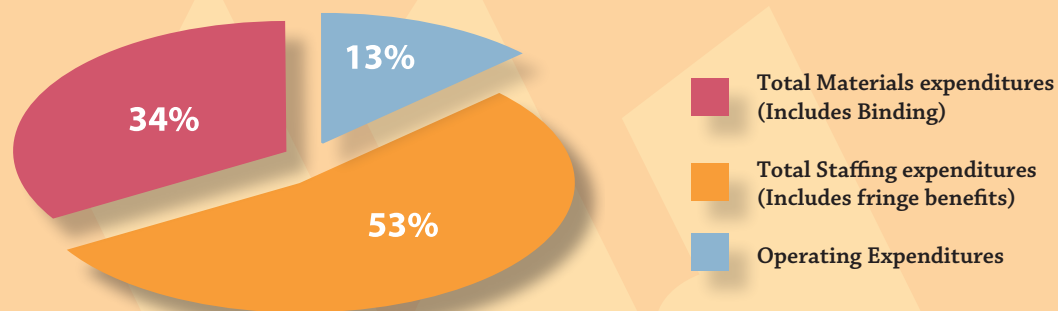CARL anticipates a return visit from members of SCONUL in the Fall of 2008.

Key CARL Statistics*

Spending on electronic serials by CARL-member libraries rose to over $104 million, signifying a 10% increase over 2004–2005. For the third consecutive year, electronic serials expenditures exceeded print serials expenditures. CARL-member libraries collectively spent over $66 million on print serials subscriptions.

Altogether the 29 reporting CARL-member libraries spent an impressive $250.2 million on materials in 2005–2006, holding over 82.5 million print volumes and subscribing to over 923,000 journals.

(*CARL 2005-2006 Statistics)

Library Expenditures 2005 - 2006

- 34% — Total Materials expenditures (Includes Binding)
- 53% — Total Staffing expenditures (Includes fringe benefits)
- 13% — Operating Expenditures

Total materials expenditures (includes binding)	$250 232 472
Total staffing expenditures (includes fringe benefits)	$386 300 416
Operating expenditures	$91 964 693
Totals	$728 497 581

2007 Briefs, Policy Documents, Publications, Consultations and Conferences

CARL Response to the Canadian Digital Information Strategy (November)
http://www.carl-abrc.ca/new/pdf/carl-cdis_comments-final.pdf

CARL Response to the Canadian Institutes of Health Research (CIHR) *Policy on Access to Research Outputs* (September)
http://www.carl-abrc.ca/new/pdf/carl_press_release-cihr.pdf

CARL's Submission on the Customer Name and Address Information Consultation to Public Safety Canada (October)
http://www.carl-abrc.ca/new/pdf/carl_submission_onl_lawful_access_consultation-e.pdf

CARL 2005-2006 Statistics (October)

Collection and Preservation of Web-Based Provincial/Territorial Government Publications. Revised edition (April)
http://www.carl-abrc.ca/projects/preservation/pdf/ah_report_update.pdf

LibQUAL+® & Beyond : Applying Your Survey Results & Other Performance Measures in Library Practice. A LibQUAL+ Canada Workshop co-sponsored by the Canadian Association of Research Libraries & Association of Research Libraries. October 24-25 , 2007, Ottawa, Ontario
http://library.queensu.ca/webir/canlibqual/carl-workshop-2007.htm

Open Access: the New World of Research Communication. A Seminar hosted by the University of Ottawa Library, in association with the Canadian Association of Research Libraries, October 10, 2007.
http://www.carl-abrc.ca/projects/open_access/October_10_2007-e.html

Pre-Budget Submission to the House of Commons Standing Committee on Finance (August)
http://www.carl-abrc.ca/projects/finance/pdf/brief_2007-e.pdf

Research Competencies for CARL Librarians. (May)
http://www.carl-abrc.ca/resources/reports_and_briefs/pdf/carl_lewg_product_brief-en.pdf

Rights or Restrictions? An Examination of Several Key Issues and Debates Surrounding the Use and Potential Legislative Protection of DRM systems
http://www.carl-abrc.ca/projects/copyright/pdf/drm.pdf (May)

Using the SPARC Canadian Author Addendum to secure your rights as the author of a journal article
http://www.carl-abrc.ca/projects/author/EngBrochure.pdf (August)

Key goals for 2008:

- Continue to advocate for copyright legislation that addresses the access and preservation needs of the users of research libraries

- Promote and continue to implement the vision of AlouetteCanada

- Work with partners to improve the dissemination of research, with special reference to the implementation of the Canadian Institutes of Health Research *Policy on Access to Research Outputs*

- Develop a policy for long-term access to research data

- Frame a national education research agenda and research training and development for librarians

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University of British Columbia
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University Librarian Pro Tem

University of Calgary
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