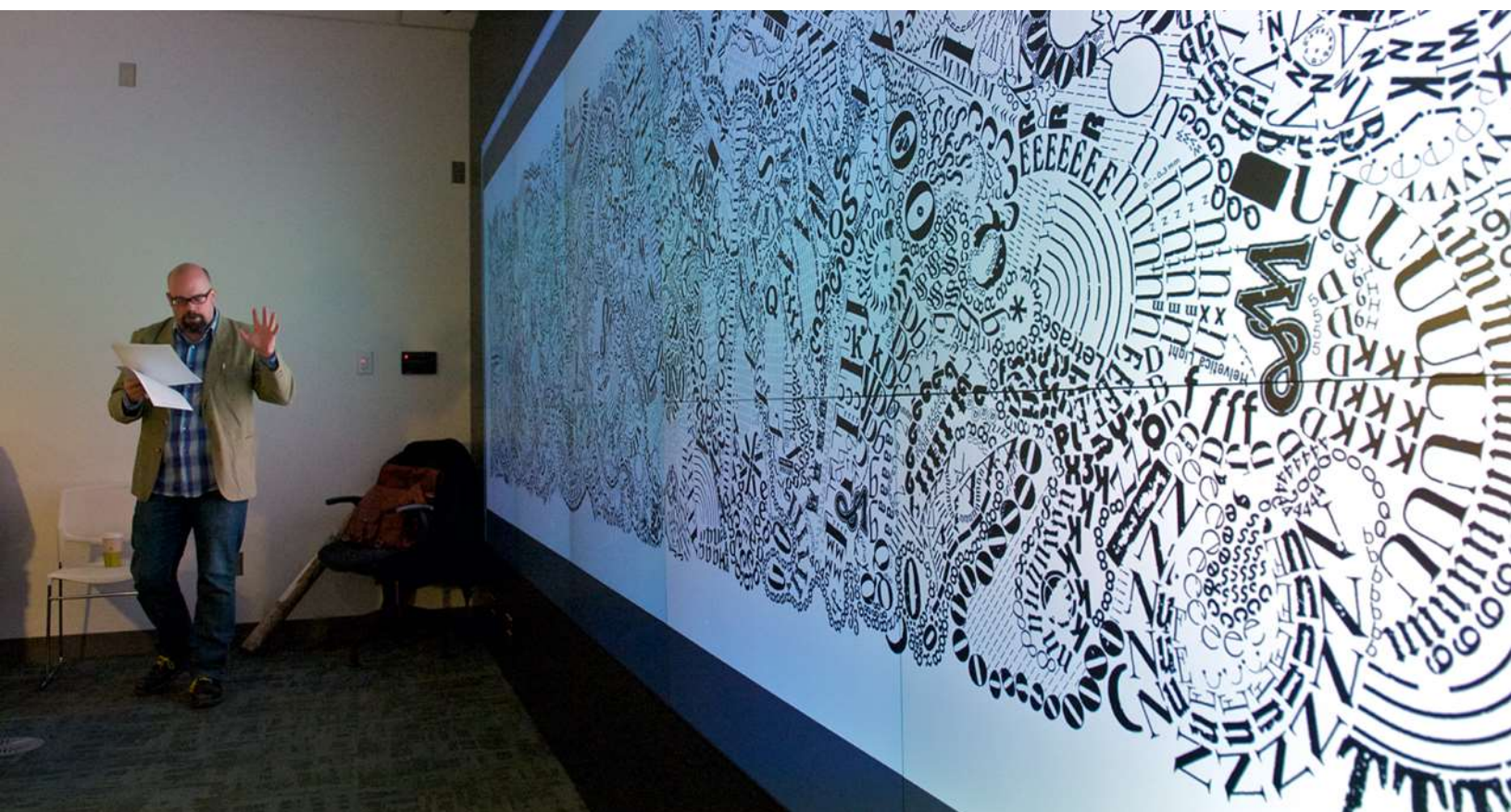




2016 ANNUAL REPORT



Canadian Association of Research Libraries Annual Report 2016

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COVER:

Library and Archives Canada Gatineau Preservation Centre (south façade)
Photographer: Gordon King

Derek Beaulieu, Visualization Studio, Taylor Family Digital Library: University of Calgary
Photographer: Dave Brown



President's Message

CARL provides leadership on behalf of Canada's research libraries and enhances capacity to advance research and higher education. This leadership was abundantly clear in 2016, as we made significant progress in all four of our strategic directions – Advancing Research, Strengthening Capacity, Measuring Impact and Influencing Policy.

The accomplishments highlighted in this annual report reflect the vision and commitment of our members, committee chairs, board and staff, and multiple other stakeholders with whom we share common interests. Working together empowers us to promote effective and sustainable knowledge creation, dissemination, and preservation, and public policy that enables broad access to scholarly information. I would like to say thank you to all for your fabulous work in 2016!



Martha Whitehead
CARL President

Executive Director's Message



As I get to know the individuals and libraries that make up CARL, I am increasingly impressed with their commitment to creating long-lasting improvements not just for libraries, but for the students, researchers, and faculty within their institutions.

CARL has delved into some extremely interesting areas in the past year, and I look forward to continuing and expanding on the work we've done with Portage, with the Canadian scholarly publishing community, as part of the larger copyright advocacy community, and with our international peer associations.

Susan Haigh
CARL Executive Director

CARL Board

President

Martha Whitehead
Queen's University

Vice-President

Donna Bourne-Tyson
Dalhousie University

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University of New Brunswick

Secretary, Québec Region Representative

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Université du Québec à Montréal

Director, Ontario Region Representative

Vivian Lewis
McMaster University

Director, Western Region Representative

Gwen Bird
Simon Fraser University

Executive Director

Susan Haigh



ASRS Interior: University of British Columbia

Highlights from 2016

CARL celebrated an important anniversary in 2016, having achieved 40 years of concerted advocacy, strategy and innovative projects that promote, develop, and support Canada's research libraries.

Early in 2016, CARL adopted a set of new Strategic Directions for 2016-2019. A new committee structure was implemented in order to support the organization's updated goals, each with refreshed objectives closely aligned with members' current priority areas: ***Influencing Policy***, ***Advancing Research***, ***Strengthening Capacity***, and ***Measuring Impact***. Key achievements and activities in each of these areas over the past year are described below.

Influencing Policy

As in prior years, CARL was a leading advocate for increased open and equitable access as fundamental support for post-secondary education and advanced research. Our 2016 initiatives included:

- Letters introducing CARL and outlining research libraries' policy positions were sent to the Prime Minister, five key Liberal government ministers, 55 chairs and members of five relevant House of Commons committees, 214 MPs and 41 Senators.
- CARL responded to the 'Access to Information Act - Revitalizing Access to Information' consultation, stressing unequivocal support for the open-by-default policy direction.
- CARL and Portage made an Open Science submission to the Open Government (OG) consultation on the draft third OG action plan, presenting five recommendations that together promote a vision of open science where infrastructure and services are distributed across institutions and departments, yet community governed.
- Victoria Owen (University of Toronto, Scarborough) and Susan Haigh appeared before the Senate Standing Committee on Banking, Trade and Commerce and spoke to the proposed amendments to the *Copyright Act* in support of the Marrakesh Treaty. The Treaty was later ratified, and came into effect on September 30, 2016.
- Joy Kirchner (York University) spoke on behalf of CARL at the public hearing in Toronto on the Transpacific Partnership (TPP). The association furnished a letter to the Minister reiterating the key messages presented at the public hearing. Victoria Owen and Susan Haigh later appeared before the Standing Committee on International

Trade to present a brief and answer questions about the library community's position on Chapter 18 of the TPP.

- The CARL-sponsored 'Hack the Act' session during the May 26-27 ABC Copyright conference in Halifax provided some useful input as to what changes libraries would like to see if the *Copyright Act* is reopened in 2017. Ann Ludbrook (Ryerson University) and Susan Haigh then co-curated the copyright session entitled 'Influencing Canadian Copyright: Getting Ready' on June 1st at the CLA Policy Forum in Ottawa.
- In September, CARL released a strong statement asserting the responsible use and beneficial impact of fair dealing in the context of post-secondary education.
- On October 17-18, a CARL delegation — President Martha Whitehead (Queen's University), Policy Committee Chair Gerald Beasley (University of Alberta), Policy Committee member and copyright expert Victoria Owen (University of Toronto Scarborough), and Executive Director Susan Haigh — assisted by Temple Scott Associates (CARL's Government Relations firm), held ten meetings with politicians, political policy staff, and departmental officials. Key messages focused on CARL's perspectives on copyright, digital research infrastructure, and open government.

Strengthening Capacity

Building on its established and respected programs to support research in academic libraries, in 2016 the Strengthening Capacity Committee worked strategically towards long-term support of librarian research on a number of initiatives:

- Work began on a business plan for a long-term, self-sustaining Librarians' Research Institute (LRI) that would take into account findings of the Whitmell evaluation.
- Planning for the next LRI commenced in 2016. It will be hosted by Western University Library June 12-15, 2017.
- A new Graduate Student Research Grant was created in 2016, to be awarded annually to students enrolled in any of Canada's graduate library and information studies programs. The grant supports current LIS students actively conducting research pertaining to research and/or academic libraries with the intent to publish the results, and to promote research in the field of academic librarianship by and/or about Canadians. The first of such award will be considered in 2017.

The CARL Research in Librarianship Grant is awarded annually to new and established librarians working in research libraries and who are actively conducting research to support projects involving structured, evidence-based research in libraries that propose answers to real-world issues. The 2016 recipients were:

- Cara Bradley (University of Regina) for her study ‘Research Support Priorities and Opportunities for Collaboration Among Librarians and Research Administrators: A Study of the Literature’;
- Christie Hurrell, Paul Pival and Kathryn Ruddock (University of Calgary) for their study ‘Open Badges for demonstrating Open Access compliance: A pilot project’;
- Katya Pereyaslavskaya (University of Toronto) for her study ‘How will the implementation of the Marrakesh Treaty change the current accessibility landscape across CARL libraries to facilitate a more effective interaction among members as well as in the international arena.’

Advancing Research

This year, the Advancing Research Committee took several important and purposeful steps towards identifying solutions for the sustainability of scholarly communication, while continuing to offer guidance and support to its members on current practices in this area.

- In early 2016, CARL released the white paper ***CUSP: Canadian Universities and Scholarly Publishing***, co-authored by Brian Owen (Simon Fraser University) and CARL President Martha Whitehead (Queen’s University). The paper outlines the numerous converging factors in scholarly publishing technology and access and argues for new strategies that would support transformative change in Canada’s scholarly publishing infrastructure. The paper set the stage for CARL to develop a roadmap to guide its collaborative work with other stakeholders towards a sustainable publishing ecosystem for Canada.
- Directly inspired by the *CUSP* paper, the Advancing Research Committee brought together various key stakeholders (publisher groups, funders, researchers, libraries) to form a Canadian Scholarly Publishing Working Group, chaired by CARL Board member Gwen Bird (Simon Fraser University). This group set out to develop a framework for sustainable scholarly publishing in Canada.
- In May, CARL released a report by Kathleen Shearer, ***Trends and Innovations in Research Dissemination***, that tracked emerging trends in

scholarship, including text and data mining, collaborative authoring tools, data sharing, researcher social networks, impact measures, and several other areas.

- CARL collaborated with SPARC on a webinar, offered in both French and English, entitled 'Library and Research Services Supports for the Tri-Agency Open Access Policy on Publications.' The webinar featured multiple perspectives: Jeanette Hatherill (Scholarly Communication Librarian, University of Ottawa), Shannon Cobb and Philippe-Olivier Giroux (Natural Sciences and Engineering Research Council of Canada), and Karina McInnis (Executive Director, University Research Services, Queen's University, and Board Member, Canadian Association of Research Administrators). Based on the success of this collaboration, CARL and SPARC plan to develop more joint web-based programming in 2017.
- On November 10, CARL and the Confederation of Open Access Repositories (COAR) hosted a full-day open forum entitled 'Where Next for Repositories?' This pan-Canadian meeting aimed to strengthen the role and momentum for a Canadian network of repositories, to discuss new and evolving roles for repositories, and to develop an agenda for the future of repositories. The forum was organized by Kathleen Shearer (COAR), Jeanette Hatherill (University of Ottawa), Leah Vanderjagt (University of Alberta), Susan Haigh and Lise Brin (CARL), under the guidance of CARL's Advancing Research Committee. Participants expressed a strong desire to develop a community of practice, and to build strategic collaborations to move Canadian repositories forward.
- With funding from Library and Archives Canada's Documentary Heritage Communities Program, CARL managed and completed 'The Student Voice.' This online portal is a historical collection of post-secondary student media, in both French and English, drawn from the holdings of CARL member libraries and student bodies across the country. Canadiana.org developed the platform for the project, which includes metadata and digitized files from four CARL institutions: University of Alberta, Dalhousie University, University of New Brunswick, and York University.

Measuring Impact

As in previous years CARL continued to support assessment within and across Canadian research libraries by collecting and publishing data that demonstrates the valuable contributions of these libraries toward higher education and the research enterprise, and by facilitating the continued evolution of library services. Our 2016 initiatives included the following:

- The data collection for the Statistical Survey of Canadian Academic and Research Libraries 2014-2015 was completed in the spring of 2016, and results were published shortly thereafter. The 2015-2016 survey was launched in the fall of 2016. Both iterations used the same questionnaire and definitions as the previous year.
- Beginning in the fall of 2014, eleven of CARL's member libraries joined together to administer a survey of faculty members to elicit feedback on the library's support to research and teaching both on and off campus. The aggregated results and executive summary of the 'Canadian Association of Research Libraries Faculty Survey' were published on CARL's website and simultaneously on partner Ithaka S+R's website in October 2016.

Operations

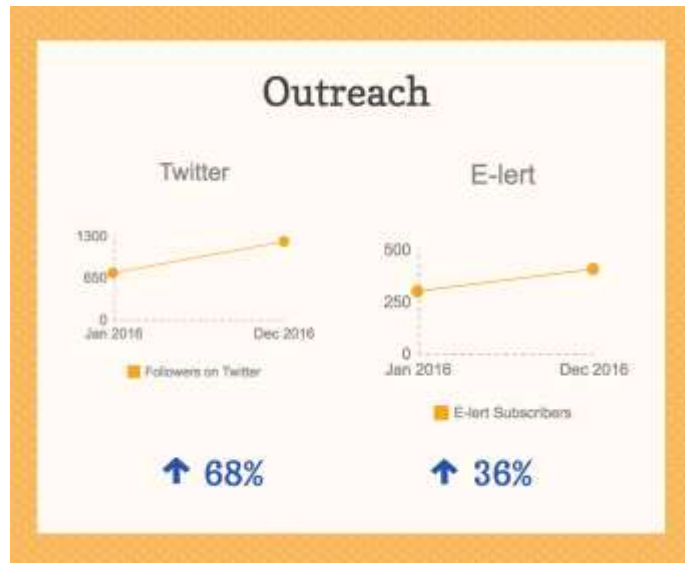
In order to better support the Portage initiative and the range of CARL projects, several new staff joined CARL in late 2016.

- Lise Brin, originally on secondment from her home institution St. Francis Xavier University, accepted an ongoing position as Program Officer.
- Shahira Khair, who has an M.Sc in Biology and is completing a Masters of Information Studies at the University of Ottawa will begin working for CARL in January 2017, and will split her time between two roles: Portage Training Officer and support to the CARL Assessment Committee and its ongoing statistics program.
- Julie Morin, who completed her MLIS at McGill in 2014, will work for CARL on a half-time basis, providing content development and communications support for both CARL and Portage.

Communications

- The brand and website redesign that CARL developed with design team McLeod & Associates in 2015 was adopted in early 2016, and the website (along with the brand-new Portage website) was launched in April.

- Following a 10-month hiatus of CARL's weekly E-lert news bulletin, CARL surveyed subscribers and found overwhelming support for its return. As a result, publication of the E-lert resumed in March, incorporating revised structure and focus inspired by the survey results.



- CARL also increased its reach via Twitter, growing from 728 to 1221 followers in 2016.

Member Gatherings

CARL Meetings

The 2016 CARL Spring Meeting, a joint meeting of the Association of Research Libraries (ARL) and CARL, convened April 25–28, 2016, in Vancouver, British Columbia. There were sessions on the topic of research data management, a panel on the value of libraries, and two presentations related to diversity and social justice within academic libraries.

The 2016 CARL Fall Meeting convened November 8–10, in Ottawa, and allowed for an opportunity to discuss future funding and planning related to Portage.



CARL members and staff at 2016 Fall Meeting in Ottawa.



Utrecht University Library -Utrecht, Netherlands

Study Tour 2016

A delegation of thirteen members plus the CARL Executive Director visited seven cities in three countries (Netherlands, Denmark and Finland). The tour ranged widely in content, variously covering: scholarly communication issues, research data



*University of Amsterdam Special Collections
-Amsterdam, Netherlands*

management, research ethics, physical spaces, special collections, and information about the activities of peer organizations to CARL. It ended with the LIBER Conference in Helsinki. The delegation was warmly hosted during its many site visits in both the Netherlands and Denmark.

CARL 40th Anniversary



CARL's 40th Anniversary Celebratory Dinner

2016 marked CARL's 40th anniversary. A celebratory dinner was held in conjunction with the Fall Annual Meeting, bringing together current and past directors and staff, including past Executive Directors Brent Roe and Timothy Mark, and original founding member and former National Librarian Marianne Scott.

CARL Distinguished Service to Research Librarianship Award



Ian Glassford (ProQuest), Martha Whitehead (CARL President, Queen's University), Richard Dumont (Université de Montréal), Guylaine Beaudry (Concordia

Richard Dumont, directeur général de la direction des bibliothèques de l'Université de Montréal, received CARL's Distinguished Service award for his considerable contribution to the development of research libraries.

Mr. Dumont actively argues for universities to regain control over the knowledge they produce, and as a member, both past and present, of the Board of Directors for a number of organizations including CARL, Érudit,

and CRKN, Mr. Dumont has helped facilitate the evolution of relationships between organizations to transform scholarly publishing in Canada towards sustainability.

The CARL Award for Distinguished Service to Research Librarianship is awarded annually to an individual at a CARL member institution who has made a substantial local, national or international contribution to research librarianship. We thank ProQuest for their generous ongoing support to the CARL Award.

Canadian Federation of Library Associations (CFLA)

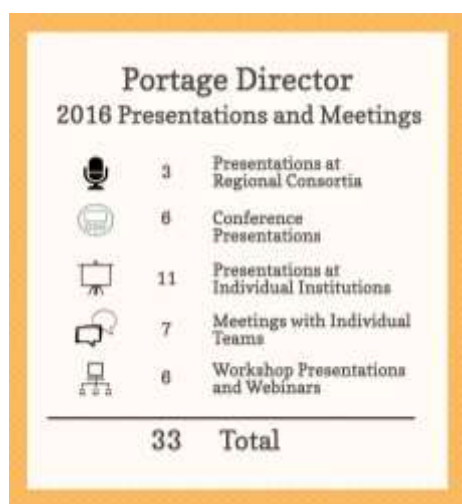
In 2016, CARL members supported a resolution to join the newly established Canadian Federation of Library Associations (CFLA). CARL Vice President Donna Bourne-Tyson was appointed to the founding CFLA Board as Co-Chair and agreed to stand for election for the permanent Board, which will be voted in at the CFLA's first AGM in January 2017.

For more information please visit the CFLA website: <http://cfla-fcab.ca/en/home-page/>

Portage Annual Update

Under the leadership of Director Chuck Humphrey, Portage had an extremely active first full year of existence.

The director traveled extensively across Canada, presenting to individual institutions and to regional consortia on research data management and the role of libraries within this process. He also met frequently with policy and funding bodies, and other stakeholders and organizations supporting research data in Canada.



Expert groups continued development and support for the Portage DMP Assistant, a bilingual, free web service open to the whole research community to prepare data management plans.

During the Fall Meeting, CARL directors renewed their commitment to Portage by agreeing to sustain their funding of the initiative through the end of 2018.

In 2016, the number of expert groups grew from two to six.

The full roster of expert and working groups is now as follows:

Data Management Planning Expert Group (DMPEG)

- *DMP Customization Working Group*

Preservation Expert Group (PEG)

Data Discovery Expert Group (DEG)

- *DEG Collections Development Working Group*
- *DEG Metadata Working Group*

RDM Training Expert Group (TEG)

Research Intelligence Expert Group (RIEG)

Curation Expert Group (CEG)



Meeting of the Council of Chairs

A Portage Council of Chairs, consisting of the Chairs of all active expert groups, was formed to ensure ongoing communication and strategy flow across all expert groups.

Key 2016 Portage Achievements:

- A **Portage website** (*portagenetwork.ca*) was developed from January to March 2016 and launched on April 15, 2016.
- A **Twitter account** was launched in March 2016.
- In July, the Discovery Expert Group released the white paper ***Research Data Discovery and the Scholarly Ecosystem in Canada***. The paper explores options for the design of a coordinated, national discovery service for research data in Canada.
- The DMP Customization Working Group launched version 1.0 of the ***DMP Assistant Institutional Customization Guide***, which allows institutions to develop a template within the *DMP Assistant* that reflects their specific needs and allows them to adopt a look and feel that reflects that of the institution.
- In August, the *DMP Assistant* was awarded the University of Alberta's Information Technology Excellence Award.
- CARL signed an agreement with the Council of Prairie and Pacific University Libraries (COPPUL) towards ensuring long-term preservation as a component of the Portage outcomes.
- Compute Canada and CARL joined forces in 2016 to begin building a scalable national platform for research data management and discovery. The **Federated Research Data Repository (FRDR)** aims to enhance research data transfer, storage, preservation and access.
- The Portage Director served as an advisor to the International Development Research Centre (IDRC) **Data Sharing Pilot** (conducted between March and December 2016) and introduced IDRC-funded researchers to DMPs, and to using *DMP Assistant*.
- Three contracts involving Portage were started:
 - The **Social Sciences and Humanities Research Council (SSHRC) DMP Workshop** brought together recipient researchers of 18 SSHRC grants to work with local librarians in creating DMPs guided by the *DMP Assistant*. They completed a survey on their RDM practices and concerns, the results of which will inform SSHRC about the current RDM practices and future requirements of researchers applying for funding.
 - Work on Canadian Institutes of Health Research (CIHR) **Training Modules** began in November 2016. Three members of the Portage Training Expert Group and three volunteers from the academic library community collaborated to produce six research data management (RDM) training modules for the CIHR website.
 - The **Canadian Space Agency Life Science contract** involved advising the Agency about the archiving of life sciences research data from projects that they fund. This contract concluded on February 3, 2017 with an in-person presentation based on a previously submitted final report.

2016 CARL Publications

CARL E-lert weekly news digest (distribution resumed in March 2016 after a 10-month hiatus)

<http://bit.ly/17HMKrV>

CARL Statement on Fair Dealing and Copyright

http://www.carl-abrc.ca/wp-content/uploads/docs/CARL_Statement_on_Fair_Dealing_2016_EN.pdf

CARL Response to Fundamental Science Review

http://www.carl-abrc.ca/wp-content/uploads/docs/CARL_Fundamental_Science_Review_e.pdf

CARL Response to Help Shape Canada's Action Plan on Open Government 2016-18

<http://www.carl-abrc.ca/wp-content/uploads/docs/CARLInputonOpenGovernment-May2016.pdf>

CARL Response to the Access to Information Act – Revitalizing Access to Information Consultation

http://www.carl-abrc.ca/wp-content/uploads/docs/ATI_Revitalization_Submission_June2016.pdf

Trends and Innovations in Research Dissemination

http://www.carl-abrc.ca/wp-content/uploads/docs/Trends_and_Innovation_160506.pdf

CUSP: Canadian Universities and Sustainable Publishing

http://www.carl-abrc.ca/wp-content/uploads/2016/04/Can_Univ_Sustainable_Publishing_2016.pdf

2015-2016 Public Affairs & Policy Report

http://www.carl-abrc.ca/wp-content/uploads/2016/04/2016_CARL_Public_Affairs_Advocacy_Report_EN.pdf

Visit the browsable archive of CARL publications and documents at:

<http://www.carl-abrc.ca/publications-and-documents/>

You can view Portage's publications and documents at:

<https://portagenetwork.ca/about/documents-and-presentations/>

CARL Events in 2016

- **2016 CARL Spring General Meeting, Joint ARL-CARL Meeting** (April 24-28, Vancouver)
- ***Hack the Act!*** participatory session, ABC Copyright Conference (May 26, Halifax)
- **CARL-SPARC webinar: *Library and Research Services Supports for the Tri-Agency Open Access Policy on Publications***, offered in both French and English (May 25 and June 1, online)
- **2016 CARL Fall General Meeting** (November 8 – 10, Ottawa)
- ***Where Next for Repositories? An open national forum***, co-presented by CARL and the Confederation of Open Access Repositories (COAR) (November 10, Ottawa)

Looking ahead to 2017

CARL anticipates an exciting and full slate of activities this coming year.

We plan to release a Scholarly Communication Roadmap in early 2017, which will focus efforts on reshaping publishing practices towards increased sustainability and quality. An accompanying Action Plan will be produced to identify and prioritize specific actions presented in the Roadmap.

A Legislative Review of the Copyright Act is expected to begin in November 2017 or shortly thereafter, which will likely require an increase in advocacy work, both asserting the benefits of fair dealing within the realm of post-secondary education, and advocating for changes to the Act that would benefit libraries, educational institutions, and individuals. CARL looks forward to this opportunity to collaborate with other stakeholders within the education and libraries sectors.

We look forward to a joint spring meeting with the Canadian Urban Libraries Council, in Hamilton in May. In conjunction with our Fall general meeting, we are planning a full-day session in collaboration with Library and Archives Canada and Center for Research Libraries (CRL). This event, *@RiskNorth* (inspired by the CRI @Risk forum held in Chicago in April 2016), will be devoted to the collectively organized preservation of print collections.

2017 will see the return of both the Librarians Research Institute (LRI) and the Canadian Library Assessment Workshop (CLAW). LRI 2017 will take place at Western University in London, Ontario in June, while CLAW will take place in October at the University of Victoria, Victoria, BC. We also plan to begin reviewing and updating the *Core Competencies for 21st Century CARL librarians*, to replace the 2010 edition. An environmental scan of other relevant competency statements will be completed in the spring.

Portage will enter its second full year of operations, continuing with partnerships and expert groups whose comprehensive agendas aim to streamline practices around research data management and access. As research data management and open science continue to gain traction with funders and research institutions, the work related to Portage is expected to increase, and to keep CARL very busy in the foreseeable future.

CARL institutions

University Libraries

Brock University
Carleton University
Concordia University
Dalhousie University
McGill University
McMaster University
Memorial University
Queen's University
Ryerson University
Simon Fraser University
Université de Montréal
Université de Sherbrooke
Université du Québec à Montréal
Université Laval
University of Alberta
University of British Columbia
University of Calgary
University of Guelph
University of Manitoba
University of New Brunswick
University of Ottawa
University of Regina
University of Saskatchewan
University of Toronto
University of Victoria
University of Waterloo
University of Windsor
Western University
York University

Federal Institutions

These members do not take part in CARL's political advocacy activities.

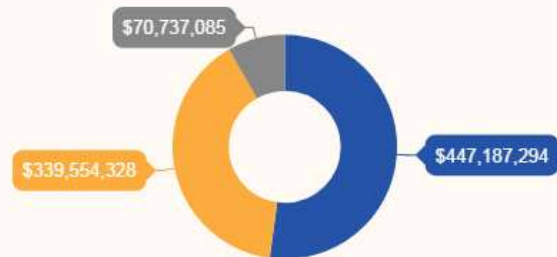
Library and Archives Canada
NRC Knowledge Management -
National Science Library

CARL Member Statistics* 2015 - 2016



\$396
Average Yearly Material Expenditures per FTE Student

\$874,609,050
Total Operating Expenses



Staffing Expenditures
(1% ↓ from 2014-15)

Material Expenditures
(9% ↑ from 2014-15)

Other Operating Expenditures
(6% ↓ from 2014-15)

*Source: 2015-2016 CARL Statistics

**Two member institutions did not report institutional repository data.

CARL Staff



Susan Haigh
Executive Director



Katherine McColgan
Manager, Administration
and Programs



Chuck Humphrey
Director, Portage



Lise Brin
Program Officer



Shahira Khair
Project Officer



Julie Morin
Project Officer



Veronica Amirault
Administrative Assistant



Kathleen Shearer
Research Associate