CARL Executive Director's Report

Tabled at the CARL Board Meeting, September 6, 2019

The following provides an overview of selected activities undertaken or supported by the CARL Office since the April 30, 2019 report to the Board, which was also shared with the Membership.

Policy and Public Affairs

Legislative Review of the Copyright Act

On June 11th, CARL issued a statement on the Standing Committee on Industry, Science and Technology (INDU)'s Report, which brought to a close the legislative review of the *Copyright Act* and presented 36 recommendations. In its statement, CARL applauded the INDU Committee for their reasoned analysis and balanced conclusions, including those related to fair dealing, text and data mining, Indigenous knowledge, technological protection measures. On May 15th, the House of Commons Standing Committee on Canadian Heritage had released the final report on its study of remuneration models for artists and creative industries. Since this was not the authoritative report for the larger review of the *Act*, CARL did not issue any response.

Crown Copyright

On August 2, 2019, members of the library and archival community (Canadian Federation of Library Associations, Canadian Council of Archives, Canadian Association of Research Libraries, Association des archivistes du Québec, Association of Canadian Archivists, Canadian Urban Libraries Council, Fédération des Milieux Documentaires and Canadian Association of Law Libraries) submitted a letter encouraging the Government of Canada to consider alternatives to the recommendation regarding Crown copyright that is proposed in the INDU report. The letter was addressed to the Minister of Innovation, Science and Economic Development, the Minister of Canadian Heritage and Multiculturalism, and the President of the Treasury Board of Canada. On August 20th, S, Haigh and K. McColgan (representing CARL and CFLA) met with the Policy Advisor to Minister Bains in follow-up, and S. Haigh subsequently wrote to ISED officials requesting a meeting.

Open Course on Copyright

On June 11th, CARL distributed two calls for support aimed at the educational community for the series of video-based modules being developed (adapted from the existing "Copyright Literacy for Ontario College Employees" copyright modules) to educate faculty and staff at Canadian universities about copyright. Institutions were invited to offer sponsorship for this effort and/or present expressions of interest for providing the technical expertise for producing the videos. The completed modules are scheduled to be launched in early 2020.

Management, Advancement and Assessment of Research Libraries

Librarians' Research Institute (LRI)

The 2020 LRI will be held at the University of New Brunswick, June 15-18, 2020, and a call for peer mentors was circulated in late August.

CARL Research in Librarianship Grant

Nicole Doro, (MLIS Student at Western) was awarded 500$ for research exploring varying attitudes across departments and faculties on the institutional repository (IR), specifically Scholarship@Western.

The call for applications to the 'practicing librarian' category of the CARL grant closed on August 15th. Applications will be considered by the review panel shortly.

Workplace Diversity

Maha Kumaran, Associate Librarian, Education Liaison, Education & Music Library, University of Saskatchewan, was selected to serve as CARL Visiting Program Officer for Equity, Diversity, and Inclusion, and began her term on July 2nd.

M. Just agreed to chair the EDI Working Group, which held its inaugural meeting on August 15th, and is working with Maha on a draft workplan for SCC approval.

Core Competencies Working Group (CCWG)

CCWG has now moved onto the analysis and drafting phase. The aiming for a soft launch in the fall of 2019, pending SCC and Board approval.

Leadership and Management Skills

Terms of Reference for the Leadership Program for Senior Library Leaders Working Group were shared with the membership and posted on the website. The group is now meeting monthly.

CARL Statistics Program

The Statistics Working Group reconvened to examine the feedback received. Further revisions were completed, and translation is underway before the survey is recirculated to CARL, OCUL, CAUL, and COPPUL members for implementation in Fall 2020. A pilot project will be undertaken in Fall 2019 to ensure the questions and definitions are sufficiently clear as well as to identify best practices for libraries in completing the survey.

Library Impact Working Group

A new sub-group of the Assessment Committee has been formed to guide the development of a Library Impact Assessment Framework by a new Library Impact Toolkit Project Team. The first meeting was held in July 2019 and the project will begin once a Chair is identified. It is anticipated that an early draft of the Impact Framework will be presented at the Fall General Meeting.

Data Visualization Project Group

The project group has developed a LibGuide aimed at providing senior library administrators and assessment teams with guidance on developing and using dashboards and related data visualization tools for evaluating and communicating value in libraries. Based on the feedback received, the guide will be translated and hosted on the CARL website in Fall 2019.

Canadian Library Assessment Workshop

CLAW 2019 will be held at the University of Windsor on October 22-24th, 2019. The Program Committee has developed a two-day Conference program with two pre-Conference workshops. It is intended that some of these sessions will be repurposed as CARL webinars and the Assessment Committee will be considering the use of CARL financial support for their production at the Spring General Meeting. The CLAW 2019 planning committee is pleased to support CARL's commitment to supporting workforce development and advancing equity, diversity, and inclusion by offering 2 travel awards to support the attendance of new librarians and library workers or those new to assessment work. Preference will be given to individuals from traditionally underrepresented populations. Conference registration will begin in late August.

CARL-Coordinated Library Assessment Tool

The Assessment Committee has developed a brief survey to gauge the interest among its members about coordinating another major library survey for member institutions. They are interested in knowing whether there is support to conduct a survey that CARL has done in the past (e.g. LibQUAL+, Ithaka S+R Faculty Survey) or to implement a different survey (Insync, Library Life Pulse, other). If enough interest exists, the next step will be to investigate currently available options and tools before bringing it back to all members for further discussion.

<div align="center">Support to Research Production, Preservation and Dissemination</div>

Portage

Over 129 individuals from over 62 organizations are participating in Portage as of August 22.

The community-led and community-supported application to ISED for DRI funding was submitted by the May 6th deadline. A formal announcement was made for the new Digital Research Infrastructure Contribution, an expansion to Canada's Advanced Research Computing Capacity Contribution Program, and CANARIE in August. No announcements have been made regarding transition funding to support Data Management initiatives, including potential support for advancing national DM stewardship, platforms and services. Work toward this goal is ongoing.

The Data Management Planning Expert Group and Portage continue to work closely with the University of Alberta on the DMP Assistant 2.0 update/migration. The University of Alberta has started preparations to initiate this project in anticipation of funding support from Portage. It is hoped that DMP Assistant 2.0 will be launched in late 2019/early 2020.

The Portage Service Manager and FRDR Development team created a 'FRDR Production Launch Project Plan' to transition FRDR from limited to full production to better support the

Canadian research community. It is expected that FRDR will move to full production in advance of the new national Digital Research Infrastructure (DRI) organization articulated in the response to the Ministry of Innovation, Science, and Economic Development's (ISED) DRI Contribution Program (http://engagedri.ca/). FRDR in full production is expected to have managed repository storage spread across multiple Compute Canada Federation hosting sites. Discussions are underway with two possible FRDR host sites. The Cedar system at Simon Fraser University has been identified as the likely first FRDR host site. The second host site is still under negotiation. The FRDR Service Model's Policy Working Group has completed the development of several policies in support of operating a national-scale data repository service. Drafted policies have been reviewed by the CARL Director's Portage Steering Committee and are expected to receive legal review before being finalized. In 2019, the group will work on Service Level Agreements between FRDR and Compute Canada Federation hosting sites, as well as other storage providers.

The Portage Council of Chairs held a full-day in-person meeting on May 10, 2019, at the University of Toronto. Chairs heard and discussed updates from the Portage Secretariat and provided updates on their progress to date and future work plans. Other points of discussion included a debrief on the ISED application for the new organization, updates on CANARIE-funded RDM software development projects, priorities for the 2019/20 transition period, and training initiatives.

The Research Intelligence Expert Group developed a survey of institutional readiness for the Tri-Agencies' proposed Institutional RDM Strategies policy requirement. This survey, deployed in June 2019, will provide an excellent snapshot of the current situation as we anticipate launch of the policy in late 2019 or early 2020. Another larger survey is being developed to evaluate broader institutional-readiness to meet RDM requirements (as opposed to researcher-readiness) will be launched in late August.

Following initial discussions in January, 2019, a new National Data Training Working Group had its inaugural meeting in July with membership from across the data management ecosystem, including RDC, CARL Portage, CODATA Canada, World Data Systems, College and Institutes Canada, Centre de documentation collégiale, SSHRC, NSERC, CIHR, and ISED. The exact mandate of this group has yet to be established, but Portage will be represented on this group through the Director and the Chair of the Training Expert Group (TEG).

In addition to the successful Portage/McMaster application for funding to support a national Curation Workshop, Portage is involved in and/or supportive of a number of other SSHRC RDM Connection Grant applications, including:

- Emily Carr University of Art + Design
- University of Ottawa
- University of Alberta
- University of Laval
- Portage Sensitive Data Working Group
- Fanshawe College

At the request of ISED, Portage submitted a preliminary budget for 2020-21 to address medium-term urgent needs to maintain momentum and advance RDM in Canada.

The Portage training program continues to progress. Three sets of training modules are currently in production: Repositories 101, Dataverse 101, and DMPs 101. The Metadata sub-

group of the Dataverse North Working Group released the Dataverse North Metadata Best Practices Guide, now available in French and English. Portage also released the Repository Options in Canada: A Portage Guide. Additional one-page Brief Guides and two-page Primers continue to be developed.

Open Scholarship

CARL and CRKN staff have met twice to discuss the development of a joint framework for a 'made-in-Canada plan' for open scholarship. These meetings build on recent joint efforts by the two organizations and on CRKN members requesting increased participation by the organization in this area, largely related to the possibility of negotiating transformative, or read-and-publish, agreements.

Following up on the release of 2017 CRKN license cost data by CARL institutions in 2018, CARL is currently preparing to release the CRKN license cost data for both 2018 and 2019. Sarah Wilkinson is leading the data preparation for CARL, working in collaboration with Jason Friedman at CRKN. This dataset will be deposited into FRDR, as was done with the earlier release.

Through the CRKN-CARL joint consortial approach to SCOSS, CRKN issued a call for commitments to DOAJ and Sherpa/ROMEO. The SCOSS Board (on which S. Haigh sits) has approved three additional services for round two, that will be announced this fall.

On May 31st, Coalition S released its revisions to the Plan S Guidance document in response to the extensive feedback they received. Changes include: the timeline for implementation was extended by a year, to January 1, 2021; a commitment by funders to revisit their assessment policies, and not take into account the name/prestige of the journal a funded article appears; technical requirements for IRs have been reduced; funders are no longer required to place a cap on APCs. The International Alliance of Research Library Associations (IARLA), of which CARL is a member, is currently developing a response, to be released this fall.

62 people participated in the Advancing Open workshop (May 6 & 7 in Vancouver), co-sponsored by CARL, CRKN, and SPARC, with support from the libraries at the University of Alberta, Dalhousie University, University of Guelph, Mount Saint Vincent University, University of Ottawa, and University of Saskatchewan. Juan Pablo Alperin gave a keynote talk entitled *Are Faculty the Key to Advancing Open?* and participants engaged in 1.5 days of lively discussion on a variety of topics related to furthering the cause of open scholarship in Canada. There was considerable positive feedback from scholarly communication practitioners who attended the event, who indicated that they often feel isolated at their institutions and would love to have more frequent opportunities for such exchanges. The planning committee (Ann Barrett, Amy Buckland, Lindsey MacCallum, Rebecca Ross, Nick Shockey, Leah Vanderjagt, and Lise Brin) is currently distilling and synthesizing the discussions, and will soon approach communities who were underrepresented at the event for additional input towards the drafting of a white paper to be released in early Fall 2019.

In June, the Open Repositories Working Group (ORWG) 's Task Group on OpenAIRE put out a call for institutions willing to participate in an initial pilot project to harvest Canadian institutional repositories as part of CARL's collaboration with OpenAIRE. Nine institutions have since come forward to participate in this pilot, which is expected to conclude in November 2019 and result in clear, concise guidelines for remaining Canadian repositories wishing to participate in the OpenAIRE harvesting.

The ORWG's Task Group on Standards for IR Usage Data has prepared a report with recommendations regarding collection of IR usage data across Canadian repositories which is in the final discussion stages and will be shared with the community soon.

The ORWG's Task Group on Next Generation Repositories has drafted a report that is soon to be released entitled *Digital Preservation Functionality in Canadian Repositories*. This report builds on progress made through the Portage Network's *Research Data Preservation in Canada: A White Paper* (released last year) and will address challenges around three main functionalities: bit preservation, preservation metadata, and export of archival information packages (AIPs).

Based on the feedback collected at the CARL Spring Meeting and during the Zoom call held with respondents in June, Kathleen Shearer and Lise Brin revised and annotated the Open Infrastructure Investment Survey and redistributed it to CARL institutions in early August. The revised survey was open until August 31. Kathleen Shearer has engaged in ongoing discussions with the Educopia/David Lewis/Mike Roy team, who have expressed great admiration for the CARL survey instrument and are very keen to adapt it for use in their research. CARL aims to extend this survey to all (non-CARL) CRKN member libraries in September 2019.

Author Rights

On May 14th, CARL released three documents related to author rights and the Canadian Author Addendum: a revised *Canadian Author Addendum to Publication Agreement*, the *CARL Guide to Using the Canadian Author Addendum*, and the *CARL Guide to Author Rights*. The members of the working group that developed these documents were Rosarie Coughlan (Queen's U.), Roger Gillis (Dalhousie U.), Stephanie Savage (UBC), Jennifer Zerkee (UBC), and Lise Brin (CARL). Two members of this group participated in a panel on author addenda at the 2019 Creative Commons Summit in Lisbon, Portugal on May 11th.

Open Education

The Open Education Working Group (OEWG), chaired by Joy Kirchner, has been meeting regularly and has made progress on a number of fronts. Under the leadership of the CARL VPO for Open Education, Erin Fields, an OEWG sub-group has drafted a CARL statement on open education about the value and impact of open education within librarianship in Canada, which will be discussed by the CARL Advancing Research Committee at its September 9th meeting. The OEWG is also developing an Open Education Leadership Essentials (OeLE) event for January 2020 to provide leadership and training for librarians with responsibilities in the area of open education on a national scale. The two day OeLE Event will build capacity, strengthen and unite the national community, and provide foundational training in OE for those who are just entering this field. Another OEWG sub-group is working on a scan of exemplar open education initiatives in Canadian academic institutions – with a focus on libraries – to help inform national practices, while another task group is developing a community of practice model that fulfills the needs of open education practitioners in Canadian academic libraries.

Preservation

The Digital Preservation Working Group, chaired by Dale Askey since May 2019, is currently wrapping up the activities in its initial work plan. The final report on the survey on digital

preservation capacity in Canadian memory institutions (led by Grant Hurley, Scholars Portal) is now complete and will be released in September. Based on these findings as well as those reported in the @Risk North 2: Digital Collections report, the working group is currently developing its work plan for 2019-2020. Activities will likely span three areas: establishing a technical basis to expand existing infrastructure and models from local, regional, or provincials levels to a national service; addressing capacity building for digital preservation (defining staff roles and identifying applicable and successful job descriptions for supporting this work); and institutional policy (i.e., determining via policy what assets are subject to preservation practice, as well as inter-institutional issues to ensure that we don't create extensive overlap and redundancy or, conversely, leave large national gaps).

National Collective Print Strategy

The Canadian Collective Print Strategy Working Group co-chaired for CARL by Gwen Bird has met several times, including an in-person meeting hosted by University of Toronto on February 4th. OCLC has undertaken a first Overlap Study that is focused on federal government publications, and the group has been discussing its preliminary findings. Subgroups have been formed to examine retention strategy, governance and communications. Another all-day meeting will be held on September 22, hosted by the Library of Parliament in Ottawa.

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CARL Administration & Outreach

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> **Commented [LB1]:** Something about Jonathan's Communications Officers network?

Strategic Planning

The Strategic Framework was approved by the CARL membership at the 2019 Spring General Meeting and has since been posted on the website.

Annual Report

The CARL 2018 Annual Report was released June 18, 2019.

Study Tour

S. Haigh accompanied eleven directors on a very successful CARL Delegation 2019. We visited university or national/state libraries in Auckland, Hamilton, Whakatane, Rotorua, Wellington, and Christchurch in New Zealand, and Melbourne, Australia before heading to Perth, Australia for IATUL. The learnings of the tour will be presented at the FGM.

Conferences & Events

Since the last report, S. Haigh or other CARL staff attended events as follows:

- L. Balcom attended the International Invitational Summit About Predatory Journals (April 17-18, Ottawa, ON)
- L. Brin attended the Library Publishing Forum (May 7-10, Vancouver, BC)
- S. Wilkinson attended Bibliometrics and Research Impact Community for Libraries and Information Professionals (May 15-16, Quebec City, QC)
- S. Haigh attended CASRAI CA Reconnect (May 18, Ottawa, ON)
- J. Bengtson attended COAR (May 21-23, Lyon, France)
- J. Moon presented at IASSIST 2019 (May 27-31, Sydney Australia)

- L. Brin & M. Swartz presented at ABC Copyright Conference 2019; S. Haigh was also in attendance (May 30 to 31, Saskatoon, Saskatchewan)
- J. Moon attended the U de Montreal RDM and Ethics meetings (June 10-11, Montreal, QC)
- J. Moon delivered keynote speech at U de Quebec RDM Day (June 18, Montreal, QC)
- S. Haigh and several Directors attended IATUL (International Association of University Libraries) post-delegation (June 23-27, Perth Australia)
- L. Wilson presenting at TECC/CANHEIT-ARC (June 17-21, Winnipeg, Manitoba)
- L. Wilson delivered a keynote address on Portage and RDM initiatives in Canada at the BIREDIAL-ISTEC 2019 conference (Aug 1-2, Sao Paulo, Brazil)
- S. Haigh and K. McColgan attended IFLA (24-30 August, Greece)

Government Relations

We continue to work with Temple Scott Associates for 2019 government relations services.

CARL Member Transitions

Lisa O'Hara has been appointed Vice Provost (Libraries) and University Librarian at University of Manitoba for a 5-year term, effective June 1. Rebecca Graham reassumes her position as University Librarian, University of Guelph, on September 3rd. Gwen Bird is on leave until December 2019, and Deanna Reder will be filing in as Acting Dean for this period. R. Dumont, Université de Montréal, announced his retirement as of August 9, 2019, and appointment is expected shortly. L. Weir will succeed G. Berthiaume as Librarian and Archivist of Canada.

Staffing

Veronica Amirault left CARL in July and was succeeded by Katarzyna (Kasia) Kozyra-Kocikowska.

Erin Fields began her term as CARL Visiting Program Officer for Open Education in March. Maha Kumaran began her term as CARL Visiting Program Officer for Equity, Diversity, and Inclusion in July.

The current general division of responsibilities is:

- *Susan Haigh – Executive Director*: Overall executive direction and management; lead for staff support to Policy Committee; copyright and other government advocacy; outreach and strategic national and international relationships;
- *Katherine McColgan – Manager, Administration and Programs*: Board Secretariat; financial and office administration (@.20 FTE);
- *Lise Brin – Program Officer*: Staff support to Advancing Research Committee; open access initiatives; E-lert production lead; support as needed to Copyright; website and communications support
- *Mark Swartz – Visiting Program Officer* (@20% FTE): Copyright and other policy issues.
- *Maha Kumaran* – Visiting Program Officer (@20% FTE): Equity, Diversity, and Inclusion.
- *Erin Fields* - Visiting Program Officer (@20% FTE): Open Education.
- *Julie Morin – Project Officer*: Staff support to Portage Governance Committees; support to Strengthening Capacity Committee; support to Policy as needed; website and communications;

- *Sarah Wilkinson - Project Officer:* Staff support to Assessment Committee; support to Statistics Program; support to Portage operations;
- *Katarzyna (Kasia) Kozyra-Kocikowska– Administrative Officer & Event Coordinator*: Book-keeping and financial administration; meeting and hospitality arrangements; office management and administrative support; staff support to Standing Committee on Finance and Audit
- *Jeff Moon – Director, Portage:* Direction and coordination of Portage
- *Lee Wilson - Service Manager, Portage* – Manage development and rollout of FRDR and other services and platforms
- *Kathleen Shearer: Research Associate -* As-needed consultancy supporting RDM, scholarly publishing and open science initiatives.

Respectfully submitted,

Susan Haigh

September 6, 2019