



2015 ANNUAL REPORT



Canadian Association of Research Libraries Annual Report 2015

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COVER: McGill University's Cybertheque. Photo: Klaus Fiedler.



President's Message

Welcome to the 2015 CARL Annual Report.

The Canadian Association of Research Libraries is driven by a collective desire to enhance research and higher education. CARL promotes effective and sustainable scholarly communication, and public policy that enables broad access to scholarly information. Our members include Canada's twenty-nine largest university libraries and two federal institutions.

It is my hope that this document reflects the energy, enthusiasm and commitment that this group of people puts into our efforts to unite the voices and priorities of Canada's research libraries.

Martha Whitehead
CARL President



Executive Director's Message

In this final year of our 2013-2016 Strategic Directions, I believe CARL has made substantial strides in supporting access to research, as well as advancing the vision, building the capacity, and promoting the value of research libraries in Canada.

We are already hard at work preparing for the next three years, which I am certain will be full of challenges and opportunities that will be just as rewarding. New Strategic Directions have been articulated for the next three years, and new committees will guide CARL's work to advance research, strengthen capacity, measure impacts, and influence public policy.

Susan Haigh
Executive Director

CARL Board

President

Martha Whitehead
Queen's University

Vice-President

Donna Bourne-Tyson
Dalhousie University

Treasurer, Atlantic Region Representative

Lesley Balcom
University of New Brunswick

Secretary, Quebec Region Representative

Lynda Gadoury
Université du Québec à Montréal

Director, Ontario Region Representative

Vivian Lewis
McMaster University

Director, Western Region Representative

Jonathan Bengtson
University of Victoria

Executive Director

Susan Haigh

Key Statistics from CARL Libraries¹:

- Total titles held (all formats): 88,573,130
- Total material, staffing and operating expenses: \$814,045,979
 - Total material expenditures: \$291,167,298 (36%)
 - Total staffing expenditures (includes benefits): \$434,081,889 (53%)
 - Total other operating expenditures: \$88,796,792 (11%)
- Average yearly material expenditures per FTE student: \$354/student (excluding federal libraries)
- Total number of initial loans: 5,826,592 (excluding federal libraries)
- Total number of reference transactions: 1,206,339
- Total number of items in institutional repositories: 757,327

Source: 2013-14 CARL Statistics

¹ One federal library member did not complete the survey in 2013-14 due to unforeseeable circumstances. Also, expenditures data excludes one institution for which data was incomplete.



Highlights from 2015

CARL experienced a number of organizational changes and exciting updates in 2015.

This year saw several new staff join CARL. Chuck Humphrey, one of Canada's most esteemed data stewardship experts, was hired on a two-year secondment from University of Alberta to be the director of the Portage Network. Suzanne Bélanger, a recent graduate from the University of Ottawa's School of Information Studies, who brings with her more than eight years of work experience in program evaluation and market research, joined the team as Project Officer. Veronica Amirault also joined CARL as part-time Administrative Assistant. Finally, in order to support the large number of current projects, Lise Brin was hired to join CARL on secondment from her home institution St. Francis Xavier University for the 2016 year.

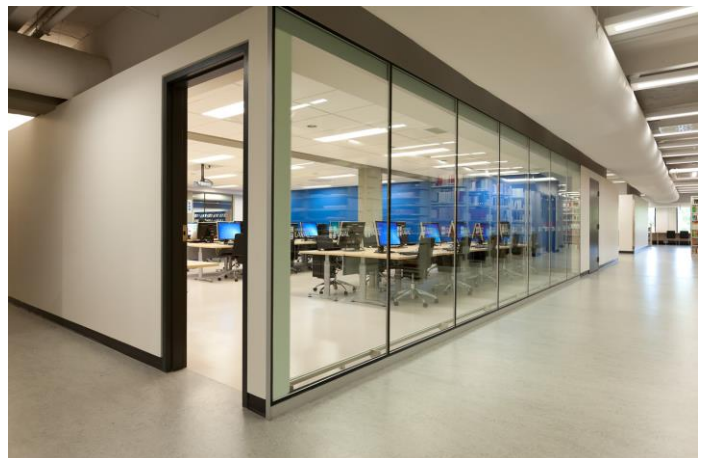
In the latter part of the year, CARL worked with design team McLeod & Associates on a brand and website redesign. A clean, modernized look (reflected in this report) is slated for adoption in January 2016 while the website (along with the new Portage website) is expected to be launched in April.

The following are CARL's achievements and undertakings in 2015, grouped according to our four Strategic Directions for 2013-2016:

Advance the Vision of Canadian Research Libraries

Federal Advocacy

Executive Director Susan Haigh met regularly with a small group of copyright specialists from CARL institutions to strategize around copyright advocacy, especially in preparation for the mandatory five-year review of the Copyright Modernization Act in 2017. CARL has also been engaging in joint copyright advocacy with the Canadian Library Association (CLA) and the Canadian Urban Libraries Council (CULC), particularly in relation to the Trans-Pacific Partnership Agreement and to Canada's accession to the Marrakesh Treaty.



In the lead-up to the federal leadership race, CARL sent a letter to the leaders of all the major political parties outlining our members' policy issues for consideration in their election platforms. A template letter in French and English was also distributed to members, which they could adapt to send to their local candidates, outlining CARL's views and providing contact information for their local candidates.

CARL released a statement applauding the announced reinstatement of the long-form census, a source of vital data that is essential for sound evidence-based policy-making at all levels of government, and which enables researchers to produce credible social, historical, and scientific research about all aspects of life in Canada.

In September, CARL provided a response to the Tri-Agency's Draft Statement of Principles on Digital Data Management voicing strong support for this guiding framework for the development of more concrete policies and practices in Canada, which articulates both expectations and responsibilities related to research data management.

Also in September, the Portage Network submitted a response to Industry Canada's Consultation on Developing a Digital Research Infrastructure Strategy, voicing strong support for Industry Canada's Science, Technology and Innovation Strategy 2014. This response stressed that while the task of research data management is too great for any single stakeholder, Canada can achieve world-class digital research infrastructure through organizations working collaboratively on agreed upon goals. It also called for Canada's Digital Research Infrastructure Strategy to address all stages of the research lifecycle, including data management planning, data sharing and the long term preservation of research outputs.

In November, CARL submitted a response to the Canada Foundation for Innovation (CFI)'s Consultation on Funding Architecture that focused on the need for national platform funding for comprehensive management and sharing of research data in Canada, and recommended a shift in investment from domain and project based infrastructures and services towards horizontal infrastructures.

CARL joined several other international organizations in expressing support for the editorial board members of the journal *Lingua*, who resigned in October 2015 in protest of publisher Elsevier's steadily increasing and inflated pricing.

Hague Declaration on Knowledge Discovery in a Digital Age

CARL signed on to the Hague Declaration on Knowledge Discovery in a Digital Age in May 2015. The Declaration pertains to text and data mining, and was spearheaded by CARL's peer organization for Europe, LIBER.



*McPherson Library, University of Victoria.
Photo: UVic Photo Services.*

CARL Meetings

CARL's Spring Meeting was held in Toronto, and included sessions on the Ithaka S+R Faculty Survey, and on the 8Rs Redux, a study on human resources in CARL libraries.

CARL and the Canadian Knowledge Research Network (CRKN) opted to hold a joint membership meeting in Ottawa in the fall, which allowed for discussions on a number of issues of concern to both organizations, including copyright, open access, and the creation of new models for scholarly publishing.

Build the Capacity of Canadian Research Libraries

8Rs Redux

The original 8Rs Canadian Library Human Resources Study conducted in 2003-2004 arose in response to a growing perception in the community that libraries would be facing mass retirements within the next decade. The 8Rs Redux, CARL Libraries Human Resources Study conducted for CARL in 2014-2015 by Kathleen DeLong (University of Alberta), Marianne Sorensen (Tandem Social Research Consulting) and Vicki Williamson (University of Saskatchewan) provides a review of the many ways in which CARL libraries and their staffing requirements have changed, as well as how they have responded to those changes.

The resulting report, **8Rs Redux Report, CARL Libraries Human Resources Study** presents a comprehensive overview of 26 CARL libraries and represents comparisons over time since the first report a decade ago. It looks at a multitude of factors such as the 2008 recession, retirements, new information technology, scholarly communication and publishing changes, and provides a comprehensive set of data on human resources in academic libraries that has never before been available in Canada.

Librarians' Research Institute

The fourth Librarians' Research Institute took place at Simon Fraser University June 15-18. Twenty-eight librarians and five peer mentors took part in this intensive four-day workshop designed to foster strong research skills among Canadian academic librarians.

CARL also took the opportunity in 2015 to commission an external review of the Librarians' Research Institute. This review was done by Vicki Whitmell (Executive Director, Information and Technology Services Division and Legislative Librarian, Legislative Assembly of Ontario), and provides a complete overview of the institute, the process of the review, and a series of recommendations based on this review. CARL expects that these findings will be very helpful in planning future iterations of the Institute.

Toward a Future Federation of Canadian Library Associations

Susan Haigh represented CARL on the working group tasked to refine the federation model in terms of its membership, governance and financial models, as well as on a subgroup that focused on the last of these. CARL members have expressed support in principle for this endeavour, and CARL continues to participate actively in the preparatory steps towards the establishment of the new organization.

Promote the Value of Canadian Research Libraries

Ithaka Report

Eleven member institutions and CARL pooled resources to commission an aggregate analysis of the data collected in the 2014 inaugural Canadian Ithaka S + R Faculty Survey. A preliminary analysis of the results was presented at the 2015 CARL Spring meeting, and a more in depth analysis will be released in 2016.

Canadian Library Assessment Workshop (CLAW)

This sold-out workshop on assessment in research libraries was delivered to 55 attendees from 30 institutions (including 10 non-CARL members) at Ryerson University on October 14-15. It was preceded by an optional Google Analytics Workshop on October 13, which had 27 attendees and was very well received.

Statistics Program

The data collection for the Statistical Survey of Canadian Academic and Research Libraries 2013-2014 was completed in the spring of 2015, while the 2014-2015 survey was launched in the fall of 2015. Both iterations used the same questionnaire and definitions as the previous year.

Support Access to Research

Portage – Research Data Management

In September, Chuck Humphrey, Research Data Management Services Coordinator for the University of Alberta Libraries, began a two-year secondment as director of the Portage research data management network.

Chuck Humphrey has supported data services at the University of Alberta since 1992, and has worked on numerous regional, national and international initiatives to increase access to data for teaching and research purposes. Chuck was also a key participant in CARL's Project ARC working group, which developed the vision and framework for Portage.

In Portage's first year, CARL launched DMP Assistant, a national, open, bilingual data management planning tool which takes researchers through a series of questions based on a general template for research data stewardship. Data management plans (DMPs) are widely recognized in the international research community as a best practice. DMP Assistant (Assistant PGD in French) was adapted from the (UK) Digital Curation Centre's DMPOnline tool and is hosted at the University of Alberta. The French user interface was produced with support from the Université de Montréal Library. DMP Assistant is Portage's first step in building a set of sustainable, practical, national services for research data management.

The Portage Data Management Planning Experts Group (DMPEG), composed of data librarians from a number of Canadian universities, developed the general data stewardship template underlying the DMP Assistant, and conducted usability tests with researchers and other stakeholders.

Leviathan North

CARL planned and delivered an open Forum, **Leviathan North: Long-term Access to Government Information in the Digital Era**, on the subject of the long-term preservation and access of the digital information of governments. This Forum, inspired by the Leviathan event held by the Center for Research Libraries in Chicago in April 2014, was designed to give a high-level assessment of the current state of policy and practice, and to lead a forward-looking discussion.

Leviathan North was held in Toronto, May 14-15, and had 80 attendees. The two keynote speakers were Janice Stein from University of Toronto and Thomas Blanton from the National Security Archive at George Washington University.

The Student Voice

In December, CARL received just under \$47,000 in funding from Library and Archives Canada through the Documentary Heritage Communities Program for the first phase of **'The Student Voice,'** an online portal to growing historical collections of post-secondary student media, in both French and English, drawn from the holdings of CARL member libraries and student bodies across the country. While this first phase of the project will focus on planning and proof-of-concept, including the development of the platform with Canadiana.org, the project's ultimate goal is to encourage and support more of our members and Canadian student organizations to preserve digitally, aggregate and make accessible these hidden collections.



*McLaughlin Library, University of Guelph.
Photo : McLaughlin Library, University of Guelph.*

Canadian Journals Project

The CARL Canadian Journals Working Group, which also included representation publishers and researchers, submitted a Social Sciences and Humanities Research Council (SSHRC) funding application in partnership with the Canadian Association of Learned Journals (CALJ). The application was to support the collaborative development of sustainable open access publishing models, and the proof-of-concept aggregation of access to Canadian journals from different platforms (e.g. OJS, Érudit). The application was approved by the selection jury, but ultimately did not receive funding. CARL hopes to partner with other stakeholders in scholarly publishing in order to continue working on a large-scale sustainability project related to Canadian journals.

Open Access

The Portage Data Management Expert Group timed the release of the new DMP Assistant/Assistant PGD tool to coincide with Open Access Week (October 19-25).

A webinar, **'Understanding, Promoting and Supporting the Tri-Agency Open Access Policy,'** was planned and delivered by some members of the CARL Open Access Working Group and Project Officer Suzanne Bélanger on November 23. Attendance was stellar, with 133 registrants from 80 different sites attending.

The Open Access Working Group was extremely active in 2015, producing a one-page document, **'Identifying and Avoiding Predatory Publishers: A Primer**

for Researchers’; a primer on the SPARC addendum, **‘Using the SPARC Canadian Author Addendum to Secure Your Rights as the Author of a Journal Article’**; and a report entitled **‘Library Open Access Funds in Canada: Review and Recommendations,’** that compiled and analyzed the results of the survey on author funds in CARL libraries.

CARL Award of Merit

Kathy Scardellato received the Award of Merit for her leadership and vision in developing what has become a widely respected consortium, the Ontario Council of University Libraries (OCUL), together with her positive and enduring influence on the development of partnerships and collaborations within the library community in Canada and beyond.

The CARL Award of Merit recognizes outstanding contribution to Canadian research librarianship by individuals who are not employed by CARL member libraries. Ms. Scardellato joins six previous recipients of this award, which was introduced in 2001.

Ms. Scardellato is also the 2015 recipient of the CLA Outstanding Service to Librarianship Award.

CARL Research Grants

The CARL Research in Librarianship Grant is awarded annually to new and established librarians working in research libraries and who are actively conducting research. Students enrolled in any of Canada’s graduate library and information studies programs are also eligible for the grant. The CARL Research in Librarianship Grant is intended to support projects involving structured, evidence-based research in libraries that propose answers to real-world issues.

This year’s recipients were Karine Fournier and Lindsay Sikora, University of Ottawa, for their project **‘Individualized Research Consultations Assessment Project.’**

Publications

CARL E-lert weekly news digest (published weekly until hiatus in May 2015; distribution is planned to resume in March 2016)

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

8R's Redux Report, CARL Libraries Human Resources Study

Executive Summary: <http://bit.ly/1TYTmCH> Final report: <http://bit.ly/1NyrMjI>

Library Open Access Funds in Canada: Review and Recommendations

(Open Access Working Group Report)

<http://bit.ly/1R8EBvq>

Identifying and Avoiding Predatory Publishers: A Primer for Researchers

(Open Access Working Group Report)

<http://bit.ly/23Xg3gg>

Using the SPARC Canadian Author Addendum to Secure Your Rights as the Author of a Journal Article (Open Access Working Group Report)

<http://bit.ly/1Toonnx>

Tri-Agency Open Access Policy on Publications: Quick Answers

(Open Access Working Group Report)

<http://bit.ly/1TYRutw>

Leviathan Final Report

<http://bit.ly/1srMho1>

Visit the new browsable archive of CARL publications and documents at
<http://www.carl-abrc.ca/publications-and-documents/>

CARL Events in 2015

- **Leviathan North** (Toronto, May 14-15)
- **Librarians' Research Institute** (Simon Fraser University, June 15-18)
- **Canadian Library Assessment Workshop** (Ryerson University, October 14-15) and **Google Analytics Workshop** (October 13)
- **Understanding, Promoting and Supporting the Tri-Agency Open Access Policy** webinar (November 23)

Looking ahead to 2016

In 2015, CARL Vice President Donna Bourne-Tyson led a team in the important task of adapting the 2014-2016 Strategic Directions for the next three-year period (May 2016-April 2019). The result is a streamlined set of directions and newly formed committees that will focus on four areas:

- Advancing Research
- Strengthening Capacity
- Measuring Impact
- Influencing Policy

CARL will continue in its efforts to encourage and support compliance with the Tri-Agency Open Access Policy through webinars and other initiatives, as well as to advance discussions to ensure a strong, sustainable Canadian scholarly publishing ecosystem.

We look forward to a joint spring meeting with our American counterpart, the Association of Research Libraries, in Vancouver in April.

In order to support the community of repository managers across its member institutions, CARL has begun planning a full day of sessions, immediately following the Fall 2016 meeting in Ottawa, on next generation institutional repositories.

The Portage Network is expected to evolve substantially in the coming year, starting with the launch of its website, which will feature in-depth information on how to support data management, how to acquire data management skills, how to develop open data policy, and how to partner with other stakeholders around research data. New expert groups addressing preservation, discovery and training will become active, in addition to the ongoing Data Management Planning Expert Group. The DMP Assistant tool will be refined and further promoted, and work with Compute Canada to develop an automated data preservation workflow will progress.

CARL will continue to document and promote the interests of research libraries related to copyright, and we foresee that our advocacy could also extend to issues such as the right to be forgotten, net neutrality, and the need for investment in long-term preservation of digital scholarship and heritage.

CARL institutions

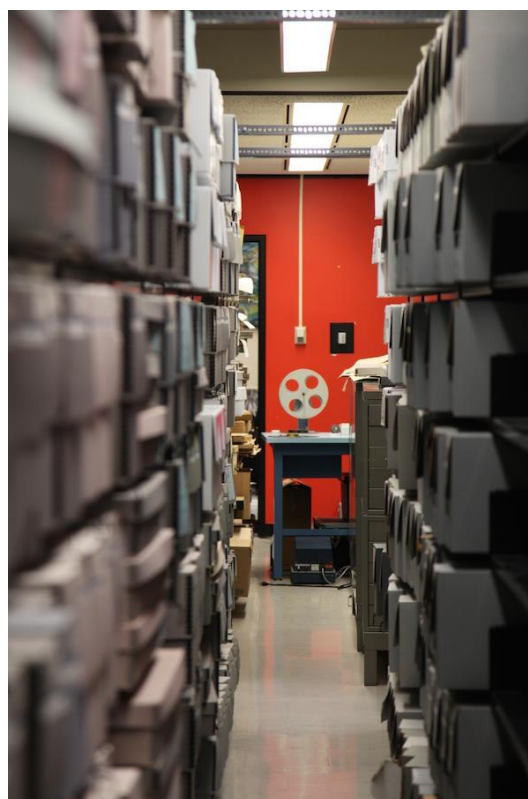
University Libraries

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 participate in CARL's political advocacy activities.

Library and Archives Canada
NRC-Knowledge Management



Archives, University of Toronto Media Commons. Photo: Gordon Belray.

CARL Staff



Susan Haigh
Executive Director



Katherine McColgan
Manager, Administration
and Programs



Chuck Humphrey
Director, Portage



Suzanne Bélanger
Project Officer



Lise Brin
Project Officer



Veronica Amirault
Administrative Assistant



Kathleen Shearer
Research Associate