

**CARLETON UNIVERSITY LIBRARY
LIBRARY COMMITTEE OF SENATE**

Minutes of the Meeting of February 14, 2012

Present: Stephen Fai (Chair) and Azrieli School of Architecture and Urbanism; Margaret Haines (University Librarian); Janet Hempstead (Library); Jane Fry (Library); F. Richard Yu (FED); Jaffer Sheyholislami (FASS); André Loiselle (GSRO, FGPA); David Jackson (Spratt School of Business); Elizabeth White (Graduate Student member) David Cannon (Graduate student alternate member); Nene Brode (Acting Executive Assistant to the University Librarian and Report, SLC)

Guest Speakers: Pat Moore (Library); Patti Harper (Library); Val Critchley (Library); Gilles Monast (Library); Jennifer Wolters (Advancement)

Regrets: Tom Darby (FPA);

1. Lunch

A light luncheon was served from 12:30 to 1:00 p.m. to members of the Senate Library Committee. During the luncheon, Patti Harper presented a video entitled, 'Stories from the Douglas Cardinal Archive: "The Archival Project"'. This video is posted online at: <http://www.youtube.com/watch?v=a2GzkTnQIU>.

See attachment:

- *The Douglas Cardinal Collection: Social Media Links*

2. Welcome and Introduction of Members (Stephen Fai)

The Chair, Stephen Fai, called the meeting to order at 12:20 p.m. with a request for introductions around the table.

3. Adoption of the Agenda

Motion to accept agenda as circulated: moved by P.Moore, seconded by A. Loiselle.

Carried.

4. Approval of the Minutes of the Meeting of December 15, 2009

As the previous minutes are incomplete, this item was tabled to the next meeting.

5. Business Arising from the Minutes of the Meeting of December 15, 2009

As noted above, this item was tabled to the next meeting.

6. Strategic Planning (Margaret Haines)

The drafted plan updates were appended to the meeting package. This updates the previous 2008-2010 plan to 2011-2015. The Strategic Plan will only be issued as a brief report in print and online. The Annual Plan is the operational outline to execute the Strategic Plan. Please forward any feedback to Margaret for review. No comments were forwarded at the meeting.

See attachments:

- *Strategic Plan Update*
- *Annual Plan Update*

7. Fundraising Strategy (Jennifer Wolters)

Jennifer Wolters presented a power point presentation on the current fundraising strategy for the Library (see attached).

Annual gifts are contributions of under \$10,000 (within one fiscal year) while Major gifts are considered anything above \$10,000. Annual giving for the library is steady. The Library is one of the top three revenue generators of funding on campus and resonates well with annual donors. There are significant fluctuations in major gifts and the goal is to equalize these gifts in order to be able to forecast contributions. Last year, of all funds raised (\$140,000), \$80,000 were cash donations. Annual giving will play a key role in future fundraising priorities. The Gifts in Kind and these have been separated in slide 4 and it was noted that the policies for these types of gifts are currently in review. In 2009, of the \$425,000 received that year, \$410,000 were from the Wingate Snaith Endowment. In 2011, two major Gifts in Kind (George Bemis and Jon Hobbs) were received with cash components in order to support the appraisal.

The Library staff are some of the most engaged staff on campus with 40% support of the Community Campus Campaign last year. This set a tremendous example for the rest of the campus and the community for engaging donors. Unlike other Faculties whereby alumni would be a defined donor pool, the library is open to all donors. A communications plan is being devised so that support can be sought by all Advancement Officers on campus.

The campaign fundraising priorities include:

- Expanding and improving library space via renovation and construction
- Extending library collections
- Increasing access to services and collections

A comprehensive customized plan is being drafted outlining the history of previous giving, setting clear expectations, and validating prospects. Prospects include previous donors as well as those who can connect the Library to major donors (individuals, faculties, corporations). Volunteers will play a critical role in selling the vision. The Volunteer Fundraising Committee will be established to endorse the Library to major donors. They are the ambassadors who will champion the campaign, and will be directly involved with solicitation while making a significant personal contribution.

The Library Management Group have the natural means for gift solicitation and will be directly involved in the solicitation. The Senior Advancement Officer will handle the research, the recognition, receipting and other facilitation. As well, Advancement works on the planning, volunteer recruitment, materials, follow through with the University's methodology and engagement.

The Circle of Friends' focus is now shifted from efforts of fundraising through the annual book sale to 'friendraising'. Due to the renovations, the Library could no longer offer to store the collection of the materials for the sale. The Circle of Friends subsequently decided to end the sale; however the Library and COF are excited to work together in a new capacity.

The target of the fundraising campaign for the Library is currently \$30 million although this is still being tested for feasibility in the community. The breakdown of this figure includes:

- \$10 million for renovation of the old building
- \$5 million for collections
- \$5 million for open access

The key takeaways from the presentation were as follows:

- There is a customized plan for the library campaign;
- Involve your Senior Development Officer early in projects and discussions;
- DUA will provide the leadership you need to get engaged in advancement activities;
- Senior management and volunteers are critical to the campaign success;
- This campaign will succeed and Carleton will be even better because of it.

See attachments:

- *MacOdrum Library Campaign Presentation*

8. Staffing and Budget Update (Gilles Monast)

Going into this year's budget, there was a cut of \$149,000 and the Library was asked to prepare a 3% reduction scenario with an actual reduction of just over 1%. The reductions were as follows: \$58,000 in staffing (deleting one position), \$8,000 from operating, and \$87,000 from acquisitions. However, fiscal funding of \$100,000 for mandated student need (student labour), and \$285,000 for copyright were received. The budget is doing well so far this year. As most of the materials are purchased in American dollars, the strong Canadian dollar has fared well for purchases. There should be a healthy carry-forward this year which will be used to offset any proposed cuts to the collections budget, to fund additional shelving in the storage facility, and to address shortfalls on the renovations.

Moving forward for the 2012-2013 fiscal year, the Library has again been asked to prepare a 3% reduction scenario which is \$426,000. The proposal is to cut staffing costs (by eliminating two unfilled support staff positions, and using base salary savings) for a savings of \$126,000, reduce the operating budget by \$50,000 and reduce acquisitions by \$250,000. It is anticipated that the cut will be more in line with last year's cut of 1% in which case the acquisitions budget will be spared from the cuts.

It was noted that Carleton University Library has one of the lowest staff to student ratios of any CARL library. Therefore additional staff cuts are not realistic. Similarly, Carleton University Library is in the lowest 15% in terms of expenditures in acquisitions. There are no easy choices in terms of budget cuts. Cuts to collections are based on the fact that there is usually a carry-forward from previous years that can off-set the cuts and most of the endowment funds are restricted to expenditures on collections. A significant endowment interest amount has been accumulated that will again off-set cuts for this fiscal year. The Carleton University Library is one of the only libraries to not have their collections budget protected. The national and provincial average budget for university libraries is \$380/ student which is notably higher than Carleton's average \$232/ student. An increase to base funding is being sought for student wages as the Library is a major employer on campus with over 100 students part-time which equates to 25 FTE (over \$600,000). In previous years, base salary savings were used for the shortage of student wages; however, as the vacant positions are eliminated, the savings are also eliminated.

In the last few years, print and e-books have been compared and wherever possible, print copies have been removed although many come bundled. If there is a print journal that Carleton Library uniquely holds, this would not be cut this from the collection. Books are an easier target as they are not ongoing. A restructuring has resulted in a new collections team which will include the Head of Collections, E Resources, and Serials currently posted internally, and the Collections Assessment Librarian. The latter position will review all metrics on usage and data such as circulation statistics to assess the best value for Carleton University. Use of reference material cannot be assessed by circulation statistics as they are not circulated, however, there are physical trace methods used such as return counts and wear. Electronic references are being promoted which allows for access statistics. MINES is an electronic use survey through Scholars' Portal although

this does not cover reference materials. This brief survey identified patterns around material usage by a sampled survey. Overall the library community is working towards consistency on statistics as the consortias such CKRN (Canadian Research Knowledge Network) or Scholars' Portal assesses the best values for purchases including disaggregating packages.

With regards to staffing, due to the changes in the financial planning processes, vacancies have been able to filled without providing business cases for each position. No new positions have been brought forward. There have been significant retirements including Anita Hui, Elizabeth Knight, and Susan Jackson, all of whom are longstanding members of the Library.

Four proposals were submitted with the budget for additional funding. These include:

1. Staffing increases for student wages and to extend hours during renovations;
2. Continued assistance for copyright;
3. Collections materials for newly funded programs (through APPIC approvals);
4. Enhancements to the Library Systems including increased digital storage and for a digital discovery layer software. This software allows searching of not only the catalogue, but also electronic journals, and other resources (CURVE, and digital collections) at the Library.

Gilles Monast's portfolio now includes all of the CUASA human resources practices, recruitment, promotions, and professional development which were formerly part of duties of the Executive Assistant. Additionally, Gilles has taken on the increasing role of managing research and endowment funds as well as library funds.

9. Collection Development Update (Wayne Jones)

This item was tabled to the next meeting as Wayne Jones was unable to attend due to a collective bargaining preparatory meeting.

10. Copyright Policy Committee and Developments (Valerie Critchley)

Last year, Carleton University Library opted out of the Access Copyright and partnered with EDC to educate faculty, students, library, and university staff about the changes including:

- Why copyright has changed?
- What is the licensing agreement?
- How does one get resources?
- What can be used on WebCT?
- What can be used in class?
- What is different about showing materials in class and posting?
- How does one ask for permission?
- How does one pay for permissions?

Another major project with respect to copyright was the Ares implementation. Ares, a copyright management software, ties in with reserves software which is for short term loans. Ares allows faculty to request permissions which Ares then submits directly to the copyright clearance centre. If the copyright is held with the centre, the cost is outlined and it can be managed directly through the software. If the clearance centre does not have the copyright, the request can still be made through Ares. Ares also manages the course reserves system so anything electronic can be listed in Ares and faculty can integrate this through WebCT.

The implementation of Ares was a major endeavour that began last summer and extended through the fall. The process went well although there was a steep learning curve and issues that arose. The team comprised of systems, WebCT, reserves, circulation, and interlibrary loans staff worked diligently resulting in a successful project. A surprising outcome was the amount of clearances was significantly lower than expected. The approach at Carleton has been to review permissions requests against current licenses or e-journal subscriptions, or purchasing the material outright. For example, in one instance, the permission for a resource for one semester was \$2,800 whereas purchasing the e-book containing the material was only \$350 for simultaneous license for the year. Therefore instead of \$2,800 for use of the material for the course, an entire volume can be used for the year for \$350. Staff time is being used on investigation of these other types of options but the overall cost for clearances is less.

In the first semester, when there was an option of clearing materials electronically and the original print book was available, the original print book was being used. This is not ideal for students who then need to get single copy from reserves. Starting in the second semester, all of the chapters were being cleared or purchasing the e-book. Use of the print materials will continue to decrease. Prices vary dramatically from no charge to \$3-400/ chapter/ semester. It will take time to get a good average; however, there is still a cost savings. Calculations are still pending as materials are still being purchased for this semester. The overall estimate currently is \$250,000 and the original Access Copyright agreement was for \$48.50/ student which would have been over \$1,000,000. The recently signed University of Toronto and University of Western Ontario agreements with Access Copyright were for \$29.50/ student would result in approximately \$600,000 at Carleton. The costs for copyright at these other institutions have been forwarded directly to the students while these costs have been absorbed at Carleton University. The cost per student of managing copyright independently is being reviewed by Carleton and other institutions. At the moment, the cost seems to be \$18-21/ student which is significantly less than the University of Toronto and University of Western Ontario agreements. Moreover, Access Copyright only has copyright on a portion of collections whereas the current methodologies being used cover all permissions. Efforts are being made to ensure Carleton adheres to the law and the processes are being streamlined.

A question was raised regarding how previously scanned material posted on WebCT is now handled. Permission would be sought to scan and put the material on Ares which then integrates with WebCT. This allows students to access their materials in one place and at all times and allows them to tag materials. It also allows usage statistics to be recorded.

Copyright has raised unexpected questions. For example, a professor wanted to take text from a book which would then be put into software which counts words in proximity to other words. The question was raised if this violates copyright which it does not. Another example is a professor who wanted to use a guestbook from an exhibition opening which also does not have copyright implications. To address these types of questions and interpret the law, the Copyright Committee is being struck and is pending approval from ARC tomorrow. Many of these questions arise from images and theses. The membership will include representation from every faculty, graduate and undergraduate students, the EDC, the Print Shop, and Johanne Bray (University Secretary and lawyer). Some of the committee members come from a research area on intellectual property. This committee will address the approach to Access Copyright and provide advice to senior management across a widespread community on campus. The official announcement is pending the approval by ARC.

11. Scholarly Communications including CURVE (Pat Moore)

A power point presentation was given on the current development of CURVE (see attached).

The repository is a place to highlight Carleton's research in a systematic way. The project goals were to increase the exposure of research, to develop practices for preservation, to meet the increasing requirements from granting agencies to provide open access to funded study, to provide a method for self-archiving for individual authors and researchers, and to streamline the systems on campus. The main contributions to the repository will Carleton research outputs and in particular peer reviewed.

The overall goal is long term preservation in an open access open architecture. Retrospective digitization is complete including theses any with provenance and writ as far back as the mid 1990's. Permissions are being sought for other theses materials. Work flow analyses have been completed to plan the publishing process. Staff loading forms have now been developed and are being fine-tuned as material is uploaded following the OA Policy approval. The filtering is also being fine-tuned although it is currently in a rough estimate. The CURVE team is working with Grad Studies on the submissions project which will mean that within the next two years, all theses will be submitted digitally. The team is also working with CISTI on the Data Cite project looking at data repositories, and policy and documentation. The next steps are the creation of instruction, procedures and communication with faculty, staff, and researchers on campus.

The project has moved from the technical phase to the implementation which will continue to be refined based on feedback. The login is through the MyCarleton campus system. The self-reporting process includes an assertion that the author makes the materials available open available in a non-exclusive license. The form will handle multiple authors although it was noted that currently the author order defaults to alpha order which may need to be revised. The other fields include the abstract, the publisher, the date, and other usual details. The drop down menu for departments is being drawn from Banner and will have an additional field where people can add their research centre. The file upload will request both a pdf and original file. The entry will preview as you update.

The first set of data to be entered on CURVE will be textual; however, subsequent material will be data sets, multi-media, and other materials. There is technical capacity built into the architecture and is pending policy. Beyond CURVE, there will be a digital stack space where digitized or purchased material will be housed for open access at Carleton University which may also include data sets.

The search feature is full text indexed as well as meta-data privileged. The browse will allow selection by field such as department. Theses Canada has a federated search which uses all the meta data from the various graduate granting institutions. Open Door is a registered repository discovery which is not strict federated search rather a collection description. It outlines the scope of your work and the search is not of the repository themselves, rather collection descriptions to find the search start point. CARL has a harvester of CARL institutions and it's the intent to allow Carleton's meta data to be harvested so it is discoverable at other institutions.

The Bodin Sources Index is annotations on a medieval law document collection. The Procedure Recommendations for Conducted Energy Weapons is an unpublished white paper about Tasers. The government did not want to post on their own site as they did not want fiduciary responsibility around the results. At the same time, the vendor did not want to post on their site as it would diminish the paper's credibility. CURVE allows

this paper to be accessed by journalists and legislators. This particular group is in discussions with CURVE about hosting the test data. This potential housing of test data could set Carleton apart from other institutions. As Carleton faculty and researchers produce many white papers for government, this could be a growing area of interest. As part of the Data Cite pilot project, digital object identifiers could be added so that the data could be uniquely identified. Going forward, data link initiatives will be explored. The data centre staffing are actively engaged in the data management, preservation, and these type of link initiatives. Data may require sanitizing, normalizing, with explicit instruction and annotation. A data management institute is being planned primarily for librarians so they can train graduate students. Potentially an existing course could be brought in from another institution which will be catered to the Canadian context. Data storage is also an ongoing area of investigation.

All comments are welcome. The librarians will be engaged to encourage faculty and students to use CURVE.

CARL put forward a CFI application initially to develop a network of repositories of data across Canada which was subsequently withdrawn as it did not seem to fit with the requirements of the CFI grant. There have since been discussions about whether Scholars Portal could go forward with a more regional version or as a node in a national network.

See attachment:

- *CURVE Presentation*

12. Library Research Projects (Patti Harper)

This item was tabled to the next meeting due to time constraints.

13. Renovations (Valerie Critchley)

The renovation schedule has been revised to have multiple phases occur simultaneously and at an accelerated schedule in order to achieve the original timeline of the 2013 spring completion. Hoarding and demolition has already begun and therefore staff and collections are being moved. Currently, discussions are being held with the Facilities Management and Planning to ensure coordinate student and potentially staff space elsewhere on campus. As of April, the front door access will be eliminated. The main entrance will move to the side door by Interlibrary Loans with an engineered accessible ramp. As this will be the only access, there will be issues with regards to flow. The outdoor ramp will be uncovered and without an airlock. Pagebreak will be closed for the next year. Many of these closures are not part of the original plan and are being discussed with Facilities Management. Currently there is a significant loss of student space, however, again, other space on campus is being sought and there are discussions to push the timeline to not interfere with exams. Ongoing communications are in progress and updates will be given as soon as they are received. Maria McClintock has been assigned to assist the Library with the communication of the Library construction which will be issued as soon as possible.

14. Any Other Business

Congratulations were extended to the Ares team who received the Team Award for Service Excellence.

15. Adjournment

The meeting was adjourned at 2:02 pm. The next meeting will be scheduled for the end of April or beginning of May. A doodle poll will be issued.

Attachments

- *The Douglas Cardinal Collection: Social Media Links*
- *Strategic Plan Update*
- *Annual Plan Update*
- *CURVE Presentation*