2015 Annual Report
of
The Council of Atlantic University Libraries /
Conseil des bibliothèques universitaires de l'Atlantique

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Distributed January 2016
Message from the Chair

2015 proved to be a year of transitions, arrivals, and departures for CAUL/CBUA. We welcomed new Associate members Holland College (Patricia Doucette) and the College of the North Atlantic (Andrew Wood) to our ranks. We bid farewells to Karen Keiller of University of New Brunswick, St. John, Lorraine Busby of the Memorial University of Newfoundland, and Mark Leggott of the University of Prince Edward Island, all of whom moved on to other opportunities. In their places, we welcome, respectively, Laurelle LeVert, Louise White, and Donald Moses.

CAUL/CBUA continued to contribute positively during 2015 to supporting its members’ strategic interests and programmatic requirements in both emerging and traditional areas. In the former, the CAUL/CBUA committees tasked with Collections, Copyright, Digital Preservation and Stewardship, and Scholarly Communication made noteworthy contributions. The new Last Copy Steering Committee began formulating a plan of action in furtherance of the consortium’s print retention goals.

Finally, CAUL/CBUA’s core, bread-and-butter programs of document delivery and the negotiation and maintenance of electronic resource licenses continued apace, notwithstanding difficult budget climates in post-secondary institutions and a disastrous fall in the exchange value of the Canadian Dollar.

Sincerely,
Marc Truitt, CAUL/CBUA Chair

CAUL/CBUA

Purpose
The purpose of CAUL/CBUA is to enhance university education, research and scholarly communication in the region by:

- strengthening library collections;
- fostering cooperation and resource sharing;
- coordinating library services among AAU institutions;
- improving the delivery of information services;
- providing for regular discussion of matters of inter-institutional interest;
- advising AAU, as appropriate.

Governance
CAUL/CBUA is governed by the Canada Not-for-profit Corporations Act.

Governance

CAUL/CBUA is governed by the Canada Not-for-profit Corporations Act.
### Member Institutions & Board Representation

CAUL/CBUA welcomed two new Associate Members in 2015: Holland College and the College of the North Atlantic.

<table>
<thead>
<tr>
<th>INSTITUTION</th>
<th>LOCATION</th>
<th>BOARD REPRESENTATIVE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acadia University</td>
<td>Wolfville, NS</td>
<td>Smith, Ann</td>
</tr>
<tr>
<td>Atlantic School of Theology</td>
<td>Halifax, NS</td>
<td>Martel, Robert</td>
</tr>
<tr>
<td>Cape Breton University</td>
<td>Sydney, NS</td>
<td>Bethke, Shawn</td>
</tr>
<tr>
<td>College of the North Atlantic</td>
<td>Stephenville, NL</td>
<td>Wood, Andrew</td>
</tr>
<tr>
<td>Dalhousie University</td>
<td>Halifax, NS</td>
<td>Bourne-Tyson, Donna</td>
</tr>
<tr>
<td>Holland College</td>
<td>Charlottetown, PE</td>
<td>Doucette, Patricia</td>
</tr>
<tr>
<td>Memorial University of Newfoundland</td>
<td>St. John's, NL</td>
<td>Busby, Lorraine</td>
</tr>
<tr>
<td>Mount Allison University</td>
<td>Sackville, NB</td>
<td>Truitt, Marc (Incoming Chair)</td>
</tr>
<tr>
<td>Mount Saint Vincent University</td>
<td>Halifax, NS</td>
<td>Harrison, Tanja</td>
</tr>
<tr>
<td>Nova Scotia Community College</td>
<td>Halifax, NS</td>
<td>Stewart, Andrea</td>
</tr>
<tr>
<td>NSCAD University</td>
<td>Halifax, NS</td>
<td>Young, Rebecca</td>
</tr>
<tr>
<td>Saint Mary’s University</td>
<td>Halifax, NS</td>
<td>DeYoung, Marie (Outgoing Past-Chair)</td>
</tr>
<tr>
<td>St. Francis Xavier University</td>
<td>Antigonish, NS</td>
<td>Cameron, Susan</td>
</tr>
<tr>
<td>Université de Moncton</td>
<td>Moncton, NB</td>
<td>Brideau, Marthe (Treasurer)</td>
</tr>
<tr>
<td>Université Sainte-Anne</td>
<td>Pointe-de-l’Église, NS</td>
<td>Maher, Pamela</td>
</tr>
<tr>
<td>University of King’s College</td>
<td>Halifax, NS</td>
<td>Dwyer, Sandra</td>
</tr>
<tr>
<td>University of New Brunswick, Fred</td>
<td>Fredericton, NB</td>
<td>Balcom, Lesley</td>
</tr>
<tr>
<td>University of New Brunswick, SJ</td>
<td>Saint John, NB</td>
<td>LeVert, Laurelle</td>
</tr>
<tr>
<td>University of Prince Edward Island</td>
<td>Charlottetown, PE</td>
<td>Leggott, Mark (Incoming Vice-Chair)</td>
</tr>
</tbody>
</table>
COMMITTEES

Below is a current list of the CAUL/CBUA committees and committee members, as of the 2015 Annual General Meeting held on Thursday, September 3.

Audit Committee
The Audit Committee assists the Board by reviewing and making recommendations regarding financial information and the internal audit processes.
In 2015, the Audit Committee reviewed the Audited Financial Statements for year ended March 31, 2015 and recommended that the Board approve these statements. The committee also updated the signatories for the management representation letter.
*Members:*
*Voting:* Shawn Bethke (CBU); Chris Callbeck (UNBSJ); Mark Leggott (UPEI).
*Non-Voting:* Marthe Brideau (UdeM); Cynthia Magdy (ISI); Kathryn Reddy (Manager).

Board of Directors
The Board of Directors consists of one representative elected from each CAUL/CBUA member library. Refer to page 2 of this report for a list of Directors.
In 2015, the Board welcomed representatives for two new Associate Members and bid farewell to Karen Keiller (UNBSJ) and Tasya Tymczyszyn (UKC).

Collaborative Research and Innovation Grant Award Committee
The Collaborative Research and Innovation Grant Award Committee administers CAUL/CBUA’s annual Collaborative Research and Innovation Grants.
The 2015 Grant was awarded to Suzanne van den Hoogen, Public Services Librarian at St. Francis Xavier University and Kristel Fleuren-Hunter, Children’s Services Librarian at Pictou Antigonish Regional Library to help fund their project, *At Your Leisure: Providing leisure reading materials to a university community through an academic and public library initiative.*
In their proposal, Suzanne and Kristel emphasized "the benefits of leisure reading to the individual are many and include lifelong learning, increased literacy, benefits to mental health, and reading for the simple pleasure of reading". The proposed research will explore the role for leisure reading within the university community.
*Members:*
Creighton Barrett (DAL); Marthe Brideau, Chair (UdeM); Jennifer Richard (ACA).

Collections Committee
The CAUL/CBUA Collections Committee supports CAUL/CBUA initiatives by evaluating collections opportunities, exploring emerging trends in library collections, and advising the CAUL/CBUA Manager in matters of digital licensing.
In 2015, the Collections Committee investigated implementing a consortial electronic management system (ERM) and released a License Agreement Checklist, while continuing to advise the Manager on digital license agreements.

Members:
Melissa Belvadi (UPEI); Susan Cameron (StFX); Debbie Costello (NSCC); Dianne Keeping (MUN); Heather MacFayden (DAL); Nathalie Parent (UdeM); Kathryn Reddy (Manager); Jennifer Richard, Chair (ACA); Peter Webster (SMU).

Communications Committee
The Communications Committee serves as an advisory committee for the CAUL/CBUA Manager on communication activities within CAUL/CBUA.
In 2015, the group began an evaluation of the current website with the goal of adding additional digital licensing information, in order to facilitate the renewal process.

Members
Mark Leggott, Chair (UPEI); Pamela Maher (UStA); Kathryn Reddy (Manager); Jennifer Richard (ACA); Kathryn Rose (MUN).

Copyright Committee
The Copyright Committee provides guidance and support to the CAUL/CBUA community on copyright issues and offers research and advisory support to the Board of Directors in developing CAUL/CBUA copyright policy.
In 2015, the Copyright Committee committed to hosting the 2016 ABC Copyright Conference, while continuing to respond to members’ copyright questions.

Members
Jeannie Bail (MUN); Simon Bonnell (SMU); Josh Dickison (UNBF); Simon Lloyd (UPEI); Erin Patterson (ACA); Denyse Rodrigues, Chair (MSVU); Ann Smith (ACA); Andrea Stewart (NSCC).

Digital Preservation and Stewardship Committee
The Digital Preservation and Stewardship Committee helps to foster and advance digital preservation and stewardship amongst the members of CAUL/CBUA.
In 2015, the committee was comprised of four working groups focused on the following areas: Research Data, Government Documents, Best Practices, and the WWI Portal Project.

Members
Creighton Barrett (DAL); Lou Duggan (SMU); Alison Farrell (MUN); Siobhan Hanratty (UNB); Mark Leggott, Chair (UPEI); David Mawhinney (MtA); Mike Nason (UNBF); Maggie Jean Neilson (ACA); Sarah Stevenson (DAL); Suzanne van den Hoogan (StFX); Jamie Mackenzie (UNB).
**Document Delivery Group**
The CAUL/CBUA Document Delivery Group (DDG) coordinates the shared document delivery/interlibrary loan services. The DDG Administrator is Joseph Wickens, Dalhousie University.
In 2015, a DDG working group was tasked to review report options. The group recommended that Relais International provide a new report generating software. Relais International has since introduced RePortal, a report platform purchased through a third party vendor.

**Executive Committee**
The Executive Committee consists of the CAUL/CBUA Chair, Vice-Chair/Chair-Elect, Past Chair, and Treasurer.

*Members*
Marc Truitt, Chair (MtA); Mark Leggott, Vice-Chair (UPEI); Marthe Brideau, Treasurer (UdeM).

**Last Copy Program Steering Committee**
The Last Copy Steering Committee is responsible for the development, implementation, and maintenance of CAUL/CBUA’s Last Copy Program. This program provides a system by which participating members coordinate retention of print serials, including government documents, in a collaborative effort to maintain “last copies” within the Atlantic region. The committee was established in 2015 and currently has fourteen members, as elected by the Board of Directors.

*Members*
Melissa Belvadi, Chair (UPEI); Karen Chandler (DAL); Brad Murray (AST); Sally Krueger (MtA); Elaine MacLean (StFX); Detta Morrison-Phillips (NSCAD); Brenda O’Flaherty (CBU); Nathalie Parent (UdeM); Cecile Pothier-comeau (UStA); Meg Raven (MSVU); Dianne Taylor-Harding (MUN); Jocelyne Thompson (UNB); Britanie Wentzell (ACA); Sally Wood (SMU).

**Scholarly Communications Committee**
The Scholarly Communications Committee provides support to the CAUL/CBUA community in open access and scholarly communications and makes recommendations to the Board of Directors for supporting these activities.
In 2015, the Scholarly Communications Committee focused on Open Textbooks, releasing an open textbooks infographic, and a [Digital Scholarship Toolbox](https://caul_cbuia.gitbooks.io/caul-cbuia-scc-digital-scholarship-toolbox/content/).

*Members*
Ann Smith (ACA); Dawn Hooper (UPEI); Geoff Brown (DAL); Lise Brin, Chair (StFX); Mike Nason (UNBF); Victoria Volkanova (UdeM).

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EVENTS

Open Textbooks Workshop
The Open Textbook Workshop was held on Thursday, February 19th, 2015 in the Kenneth C. Rowe Management Building, Dalhousie University. This workshop was intended to raise awareness about open textbooks and how these resources are being implemented by institutions across Canada. Speakers included:
Amanda Coolidge, Manager, Open Education at BCcampus
Clint Lalonde, Senior Manager, Open Education at BCcampus
Leva Lee, Manager, Professional Learning and Open Education Resources at BCcampus
Mark Leggott, University Librarian, University of Prince Edward Island

WorldCat Discovery Services for CAUL/CBUA Members
In collaboration with Novanet, CAUL/CBUA offered a webinar on OCLC’s WorldCat Discovery Services, held on April 1. The goal of this webinar was to inform members about the new WorldCat Discovery Services and the impact this product has on library collections. The webinar was designed to assist libraries in making informed decisions about the 2015 renewal of this product. Speakers included Peter Webster, Associate University Librarian at Saint Mary’s University, and Bill Slauenwhite, Manager of Novanet.

DDG Annual General Meeting
The Document Delivery Group held their 2015 Annual General Meeting at the Killam Memorial Library, Dalhousie University. Consistent with previous years, the meeting was well attended and proved to be an excellent learning opportunity for members.

APLA 2015 Conference
As in previous years, CAUL/CBUA hosted a breakfast at the Atlantic Provinces Library Association (APLA) 2015 Conference in June. The breakfast provided a networking opportunity for members and allowed CAUL/CBUA to update members on its committees’ activities and projects.
The Financial Statements for 2014-2015 were reviewed and recommended for approval by the Audit Committee. The proposed budget for 2015-2016 was balanced, and the quarterly updates reflect the proposed budget.

Deloitte was hired to conduct a full scope audit. As in 2014, Deloitte identified two significant risks: revenue recognition and management override of controls. Deloitte concluded that satisfactory procedures continue to be followed to avoid both significant risks. The audit was completed with no difficulties and no growing concerns were identified.

ISI highlighted three Financial Risk Factors: credit risk, liquidity risk, and market risk, being foreign exchange risk and interest rate risk. CAUL/CBUA will continue to discuss ways by which to decrease the impact of these factors.
DIGITAL LICENSES

In 2015, digital licenses for the following resources were negotiated for CAUL/CBUA members.

<table>
<thead>
<tr>
<th>Product Name</th>
<th>License Expiry</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABI Global &amp; Research Library</td>
<td>31-Aug-16</td>
</tr>
<tr>
<td>Academic ebook Collection, EBSCO</td>
<td>31-Mar-16</td>
</tr>
<tr>
<td>AccessScience</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>ACM Digital Library</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>America: History &amp; Life (with FT)</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>America National Biography (ANB)</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>Annual Reviews</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>Archaeology</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>Art Index</td>
<td>31-Jul-16</td>
</tr>
<tr>
<td>ASFA</td>
<td>31-Jul-16</td>
</tr>
<tr>
<td>ATLA</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>ATLAS</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>Bibliography of Native North Americans</td>
<td>31-May-16</td>
</tr>
<tr>
<td>Biological Abstracts</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>BIOSIS</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>Britannica</td>
<td>30-Sep-16</td>
</tr>
<tr>
<td>CANSIM &amp; Census</td>
<td>30-Apr-16</td>
</tr>
<tr>
<td>CBCA</td>
<td>31-May-16</td>
</tr>
<tr>
<td>CFMRC</td>
<td>30-Apr-16</td>
</tr>
<tr>
<td>CINAHL</td>
<td>31-Aug-16</td>
</tr>
<tr>
<td>Canada Info Desk</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>CPLQ</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>Curio.ca</td>
<td>31-Aug-16</td>
</tr>
<tr>
<td>Dictionary of National Biography</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>e-Duke Journals</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>EconLit (with FT)</td>
<td>31-Aug-16</td>
</tr>
<tr>
<td>Electronic Enlightenment</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>Encyclopaedia Universalis</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>Engineering Village</td>
<td>14-Sept-16</td>
</tr>
<tr>
<td>ERIC</td>
<td>31-Aug-16</td>
</tr>
<tr>
<td>Eureka.cc</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>GeoRef</td>
<td>30-Apr-16</td>
</tr>
<tr>
<td>GeoScience World</td>
<td>31-Dec-16</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Product Name</th>
<th>License Expiry</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grove Art Online</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>Grove Music Online</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>Historical Abstracts (with FT)</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>Historical Newspapers: Globe &amp; Mail</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>IEEE Library</td>
<td>29-Nov-16</td>
</tr>
<tr>
<td>Le Grand Robert</td>
<td>31-Mar-16</td>
</tr>
<tr>
<td>LexisNexis Academic</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>LexisNexis Quicklaw</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>LGBT Life (with FT)</td>
<td>31-Aug-16</td>
</tr>
<tr>
<td>Mango Languages</td>
<td>31-May-16</td>
</tr>
<tr>
<td>MLA</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>NFB Campus</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>Oxford Dictionaries Online</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>Oxford Biographies Online</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>Oxford English Dictionary</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>Oxford Language Dictionaries Online</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>Oxford Reference Online (ORO)</td>
<td>30-Jun-16</td>
</tr>
<tr>
<td>PAIS</td>
<td>31-May-16</td>
</tr>
<tr>
<td>Philosopher's Index</td>
<td>31-Jul-16</td>
</tr>
<tr>
<td>Politics Collection</td>
<td>31-May-16</td>
</tr>
<tr>
<td>Project MUSE</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>PsycARTICLES</td>
<td>31-Aug-16</td>
</tr>
<tr>
<td>PsycINFO</td>
<td>31-Aug-16</td>
</tr>
<tr>
<td>Research Library</td>
<td>31-Aug-16</td>
</tr>
<tr>
<td>RefWorks</td>
<td>30-Apr-16</td>
</tr>
<tr>
<td>Science</td>
<td>22-Aug-16</td>
</tr>
<tr>
<td>SDA @ CHASS</td>
<td>30-Apr-16</td>
</tr>
<tr>
<td>Sociological Abstracts</td>
<td>31-May-16</td>
</tr>
<tr>
<td>SPORTDiscus</td>
<td>31-Aug-16</td>
</tr>
<tr>
<td>Trade Analyzer</td>
<td>30-Apr-16</td>
</tr>
<tr>
<td>Ulrich's Web</td>
<td>30-May-16</td>
</tr>
<tr>
<td>World Culture</td>
<td>31-Dec-16</td>
</tr>
<tr>
<td>WorldCat Discovery Services / FirstSearch</td>
<td>30-Apr-16</td>
</tr>
<tr>
<td>WWWho</td>
<td>30-Jun-16</td>
</tr>
</tbody>
</table>
CAUL/CBUA’s 2014-2016 Strategic Plan was developed after a planning session held at the University of Prince Edward Island campus on May 13, 2013. The plan has ten strategic goals set out in alphabetical order. It is an aspirational plan that will be reviewed as CAUL/CBUA progresses and priorities change. The Executive and the Board, in consultation with committees, will determine priorities as opportunities arise or when it is appropriate to leverage existing resources or activities.

1. Collective Purchasing

<table>
<thead>
<tr>
<th>Investigate consortial ebook purchasing / leasing</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Negotiated first agreement with EBSCO</td>
</tr>
<tr>
<td>Communicate how consortial purchasing works within CAUL/CBUA</td>
</tr>
<tr>
<td>✓ Updated procedures &amp; mailing lists</td>
</tr>
<tr>
<td>Assess best practices for consortial buying with peers (e.g. CRKN)</td>
</tr>
<tr>
<td>✓ Attend regular meetings with the Regional &amp; National Academic Consortia</td>
</tr>
<tr>
<td>Investigate other possibilities (ex, storage, software) for consortial purchasing</td>
</tr>
<tr>
<td>✓ Investigated shared storage for research data and an electronic resource management system</td>
</tr>
<tr>
<td>Provide support on managing consortial purchases, either by technology or by best practices</td>
</tr>
<tr>
<td>✓ Collections Committee created a License Agreement Checklist</td>
</tr>
<tr>
<td>✓ Communications Committee plans to add renewal features to the website</td>
</tr>
</tbody>
</table>

2. Communication

<table>
<thead>
<tr>
<th>Develop and implement a communications strategy</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Mailing lists, newsletter, new welcome materials</td>
</tr>
<tr>
<td>✓ Overall increased communication</td>
</tr>
<tr>
<td>✴ Social media strategy required</td>
</tr>
<tr>
<td>Ensure website continues to meet our needs</td>
</tr>
<tr>
<td>✓ Combined the main website &amp; DDG site</td>
</tr>
<tr>
<td>✓ Information updated regularly</td>
</tr>
</tbody>
</table>

3. Funding & Accountability

<table>
<thead>
<tr>
<th>Identify a select number of projects that require funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ In 2015, committees focused on the WWI Portal, Open Textbooks, and Relais</td>
</tr>
<tr>
<td>Explore potential funding sources</td>
</tr>
<tr>
<td>✓ Submitted three proposals for funding in 2015</td>
</tr>
<tr>
<td>Provide awareness and training opportunities for the CAUL-CBUA community</td>
</tr>
<tr>
<td>✓ Webinars and events listed on page 7 of this report</td>
</tr>
<tr>
<td>Develop a process for identifying key areas where there is a value for collaboration</td>
</tr>
<tr>
<td>Develop an open process for gathering ideas from entire CAUL-CBUA body</td>
</tr>
</tbody>
</table>

4. Open Textbooks / Open Educational Resources

<table>
<thead>
<tr>
<th>Investigate &amp; communicate best practices for adopting open textbooks &amp; OER</th>
</tr>
</thead>
<tbody>
<tr>
<td>✓ Open Textbook Workshop held in February, 2015</td>
</tr>
<tr>
<td>✓ Released a Guide to Approaching &amp; Evaluating Open Textbooks</td>
</tr>
<tr>
<td>✓ Created a LibGuide on Open Textbooks &amp; OER</td>
</tr>
</tbody>
</table>
Identify possible subject areas and content for open textbooks & OER
✓ Identified after February Workshop and presented at the AAU AVP Meeting
Identify or implement a platform for open textbooks and open educational resources
Seek funding
Create grants for faculty and librarians to collaborate on the development of open textbooks / open educational resources

5. Professional Development
Continue the Experience Exchange webinar series
✓ WorldCat/FirstSearch Webinar
Provide a mechanism for keeping CAUL-CBUA Members aware of relevant professional development opportunities
✓ Newsletters, Twitter, CAUL/CBUA website, mailing lists
Develop cross training opportunities (for example, staff / work exchanges)

6. Preservation & Digital Collections
Continue to develop CAIRN as a single point of access and search for Atlantic Canadian collections
Continue to build a strong network supporting best practices in data stewardship, ensuring the continuance of the history, culture, and research performed in this region
Develop a plan for reaching out to CAUL members with workshops and educational activities around digitization, preservation and best practices

7. Research Data Management
Provide best practices for research data management services
Advocate for policies on our campuses and beyond
Investigate opportunities for collaborative research data management infrastructure
✓ DPSC Research Data Working Group’s ARDR Proposal

8. Resource Sharing
Explore licensing options to enable better e-resource sharing
✓ Implementing different pricing models
✓ Including more institutions & expanding into other sectors (health)
✓ Continuing partnership with Consortia Canada
Ensure that our systems (e.g. Relais) are providing the best solutions
✓ Upgraded to Relais v.2014
✓ Relais Hosted ILL Client piloted at UNBSJ
✓ Reports Working Group was successful
✓ Formed Manual Makers Working Group
Develop a plan for last print copy in the region
✓ Formed the Last Copy Program, led by the Steering Committee

9. Scholarly Communications
Conduct an assessment of scholarly communications activities within CAUL institutions
✓ Scholarly Communications Committee began to revise the Fall 2013 survey for redistribution
Coordinate CAUL-CBUA Open Access Week events
✓ Scholarly Communications Committee released the Digital Scholarship Toolbox
Investigate potential for Open Journal Systems collaboration
Explore Open Access business models
Support teaching and communication in the area within CAUL-CBUA libraries
Develop best practices in the areas of scholarly communication, potentially including:

i. Research Repositories (e.g., formats, copyright, staffing and workflow, preservation, automation)

ii. Author funds policies

iii. Open Access content recruitment strategies

iv. Funding models for Open Access support (e.g., external funding for editorial support of OJS journals, administering authors fees)

✓ The Scholarly Communications Committee is working on several best practice documents and actively shares information via the mailing list

10. User Needs & Expectations

Conduct an Ithaka-style faculty survey
Checklist for Negotiating License Agreements

This checklist identifies the terms and contractual considerations most likely to be encountered in negotiating a license agreement and, if appropriate, offers license recommendations. In some cases, more detailed considerations are outlined in the Schedules section.

This checklist is a modified version of COPPUL’s Checklist for Negotiating License Agreements, created in April 2013.

1. Users
   - All current students, faculty and staff (e.g., part-time, full-time, permanent, contract, adjunct, or visiting)
   - Retired faculty and staff with Emeritus or equivalent status
   - Alumni
   - Walk-ins

2. Access
   - Unlimited or concurrent users
   - Remote access
   - Authentication methods (e.g., IP ranges, username/password, Shibboleth, proxy server)

3. Uses
   - Consider specifically referencing Canadian Copyright Act and Fair Dealing.
     - The fair dealing provisions of the Canadian Copyright Act can be modified by a negotiated contract. If a license agreement expressly acknowledges fair dealing or is silent as to how licensed materials may or may not be copied, fair dealing will apply, but if the parties agree to limitations on use that are more restrictive than would otherwise be permitted under copyright law, the licensee cannot later claim broader rights under Canadian law.
   - Consider delineating permitted uses.
     - It can be argued that there is no need to list rights in the agreement that are granted under Canadian Copyright law or that setting forth a ‘laundry list’ of permitted uses, there is a risk of unintentionally losing certain rights that would otherwise be allowed under law. If the agreement must have a permitted uses list,
be careful that terms are broad enough to include all the uses the library patrons are likely to make of the licensed materials.

- Be aware that CONTU Guidelines or Section 108 of US Copyright Law do not apply to Canadian libraries. Consider removing any references.
- In certain circumstances it may be important to negotiate additional uses (e.g., Mash-ups, use in Massive Open Online Courses (MOOCs), data mining, document delivery).

4. **Obligations of the Licensor**
   - Specify commencement and termination date of contract.
   - Quality of service:
     - Server capacity and response time
     - Uninterrupted service
     - Downtime (advance notice, minimum inconvenience)
     - Compensation for non-conformance
   - Detailed and accurate content information (e.g., differences from print versions; title lists, coverage periods)
   - Notification of content changes and fee adjustment to account for any reduction in usability
   - Persistent links to individual items, whether articles or chapters, within the licensed materials using OpenURL or DOI
   - World Wide Web Consortium Standards (http://www.w3.org/Consortium/)
   - Web Accessibility (assistive software or devices consistent with the Web Content Accessibility Guidelines)
   - Documentation (end user and librarian)
   - Support (end user and librarian)
   - Training (end user and librarian)
   - COUNTER-compliant usage reports
   - MARC records / Metadata
   - No click-through agreement

5. **Obligations of the Licensee**
   - Provide notice of permitted and prohibited uses to authorized users.
   - Agree to take reasonable efforts to correct misuse but do not agree to police users or take remedial action that is beyond the institution’s authority.

6. **Mutual Obligations**
   - Confidentiality of personally identifiable user data

7. **Renewal of License**
   - Consider negotiating that a license automatically terminates unless notice is provided to the vendor to renew for another term.

Appendix A
Renewal notices should be delivered to the Licensee with sufficient time to evaluate continued need and ensure any price change is reasonable. Consider specifying what constitutes sufficient time for your institution (e.g., at least 90 days).

8. Early Termination
☐ Both parties should have the right to back out of the license under appropriate and defined circumstances
☐ In the case of a suspected or alleged breach, the licensee should be notified in writing and given a reasonable cure period before cancellation or litigation is contemplated.
☐ Consider including a cancellation clause specifying what constitutes reasonable notice for your institution (e.g., at least 90 days).
☐ Licensee will have a right to a prorated refund if the licensor breaches the contract
☐ Funding contingency “opt-out” clause

9. Post Cancellation Access
☐ Perpetual access to paid content either through provider, licensee or third parties (e.g., LOCKSS).
☐ Post-cancellation platform maintenance/access fee, if any, should be specified.

10. Archiving
☐ Perpetual access: specify provisions for long-term access and archiving and identify responsibilities for these. Ideally, third party archiving should be allowed (e.g., Portico, CLOCKSS, LOCKSS, Scholars Portal).
☐ Subscriptions: specify if access to the licensed material will continue after the subscription period lapses, and under what conditions.

11. Representation and Warranties
☐ Procure all necessary representations and warranties, including the licensor’s guarantee of the rights and permissions to license the digital information.
☐ Explicit description of content that falls outside of the licensor’s standard rights and permissions
☐ Compensation for non-conformance

12. Indemnification
☐ Do not agree to indemnify the licensor for anything. Rather, the licensor should indemnify the licensee from certain claims, specifically for claims of copyright infringement related to the licensed content.
☐ Remedies
☐ No limitation on the monetary amount for which the publisher will indemnify the library.
  ○ Copyright infringement claims can be very expensive, even if no liability is found. Licensor typically limits the amount of compensation to be equal to the

Appendix A
license fee. The license fee would likely not be sufficient to cover the library’s legal costs. It is very difficult/impossible to get licensor to agree to no monetary limitation.

☐ No time limit for making a claim

13. **Restricted Functionality**
   - ☐ Any limitations to use and functionality should not create an undue burden on the user and should not infringe on permitted use as defined in the agreement.
   - ☐ Text and images should have very few restrictions on printing
   - ☐ The file itself should be easy to use and access (e.g., each page should not be a separate file)
   - ☐ Navigation between chapters should be easy
   - ☐ No DRM restrictions that would interfere with the ability to download or copy under Fair Dealing.

14. **Dispute Resolution**
   - ☐ The license should provide for mediation or alternative dispute resolution which are less expensive and time-consuming than court litigation.
   - ☐ Do not agree to a binding arbitration provision that would prevent the licensee from seeking a remedy in a court of law, if necessary.

15. **Governing Law**
   - ☐ Be aware of agreements that state jurisdiction is outside of Canada. If the licensor will not agree, then request to delete this clause.

16. **Assignment**
   - ☐ Prior written consent by either party should be required.
   - ☐ Although the need for the licensee to assign the agreement to another entity is unusual, the licensee should ensure that a provision is included in the agreement.

17. **Non-Disclosure Statements**
   - ☐ Strike out any non-disclosure language, particularly language that would preclude sharing pricing and other significant terms and conditions with other consortia.

18. **Notices**
   - ☐ In writing and signed by both parties
   - ☐ Delivery (registered mail, fax, or email)

19. **Integration**
   - ☐ Assert that the agreement in hand represents the entire agreement between the parties
20. Amendments

☒ No modification unless signed by both parties.

- The terms of a license should be considered fixed at the time the license is signed by both parties. If the terms are subject to change (e.g., scope of coverage or method of access), the agreement should require the licensor or licensee to notify the other party in writing in a timely and reasonable fashion of any such changes before they are implemented, and permit either party to terminate the agreement if the changes are not acceptable.

21. Force Majeure

☒ Address Force Majeure and consider specifying that server failures, software glitches, or disputes with copyright owners do not constitute Force Majeure.

- Force Majeure literally means “greater force”. These clauses excuse a party from liability if some unforeseen event beyond the control of that party prevents it from performing its obligations under the contract (e.g., natural disasters, wars, labour disputes, etc.)

22. Schedules

This is the place to give very specific listings of items covered in the license. It is easier to modify a schedule than the whole contract, should any need for change arise.

a. Content

☒ Title lists and coverage years including clear statements about embargo periods
☒ Effective date/Subscription period: Is the license granting permanent use of the content or access rights only for a defined period of time?
☒ Licensor should supply KBART compliant and up-to-date title lists to designated link resolver service providers (e.g., GODOT, Summon, Ex Libris).

b. Access and Accessibility

☒ Remote access to authorized users
☒ Authentication mechanisms
☒ Platform independent
☒ Display formats (XML, HTML, PDF, SGML)
☒ User navigation and tools
☒ Offline reading options
☒ Ability to migrate locally hosted content to new formats
☒ Indexing and linking capabilities (e.g., integration with ILS and discovery systems)
☒ Alternative access formats for persons with disabilities
☒ Appropriate metadata (MARC records, URLs, etc.)
☒ Allows fair use of information, including ILL, as per Fair Dealing exceptions

Appendix A
c. **Pricing**
   - One-time Purchase / Annual or Multi-Year Lease
   - List price
   - Consortium discounts
   - Multi-year pricing
   - Annual hosting fee
   - Renewal price cap
   - New subscribers allowed with prorated pricing
   - Currency (CAD, USD, etc)
   - Central invoicing
   - Applicable taxes

d. **Usage Statistics**
   - COUNTER compliant
   - Delivery mechanism
   - Frequency
   - Granularity
   - Consortia summaries and individual institution statistics
   - Supports SUSHI

e. **Access to Archive**
   - Post subscription
   - Post vendor/publisher change
   - Participation in archive services (Portico, LOCKSS, Scholars Portal)
   - Participation in Transfer Protocols

f. **MARC Records / Other Metadata Options**
   - Availability
   - Cost
   - Process for downloading
   - Cataloguing standard (e.g., AACR2, RDA, etc.)

g. **Training**
   - Access to training materials
   - Online documentation (webinars, user guides, etc)

h. **Customer Service**
   - Technical support available electronically and via toll-free telephone number
   - Turn-around time for technical queries

*Completed March 4, 2015*
LAST COPY PROGRAM GUIDELINES

This document is a companion to the CAUL-CBUA Last Copy Program Agreement.

PRINCIPLES
The purpose of the Last Copy Program is to develop, implement, and maintain a system by which participating members coordinate retention of print serials (including government documents) such that libraries voluntarily commit to keeping specified runs to maintain “last copies” within the Atlantic region. Such networks are often known as “distributed print archives”.

The choice of which titles to keep is entirely voluntary on the part of each participating library. While the primary intent is to provide security for some CAUL-CBUA members to discard titles that are not otherwise in archives, members may also volunteer to keep print runs of titles that are in archives if they wish to do so.

Every library may have its own conception of how secure various online archives are, so the intent of this program is to maximize options that each library has to make its own decisions. For example, some libraries may find that even JSTOR maintenance may be unaffordable in the future so this program may mitigate against the concern of future loss of access to “secure” archives.

FURTHER GUIDELINES
- “Print” may include microforms and government documents. The particular format will be specified in the records of the commitments so all members know precisely what is being retained.
- “Serials” can include any type of non-monograph publication. Participating libraries are encouraged to be as inclusive in this definition as they wish in what they volunteer to retain. For instance, anything with an ISSN is certainly appropriate.
- Record keeping procedures will be implemented for participants to track their commitments. Records will include details regarding format, run gaps, general condition, and any other factors which might be relevant to other libraries making weeding decisions.
- The program will provide for all CAUL members to be able to look up by title, run coverage, and format the commitments of others.
- The program will monitor and communicate with participants new opportunities for coordination of retention and weeding of specific print serials.
- The program will manage cyclical renewals of the commitments, special situations, and modifications to the agreement contract as per its terms.

GOVERNANCE
The Program will be governed by a Steering Committee consisting of one representative of each Participating Library and a representative from the CAUL-CBUA Board of Directors. Each Participating Library Director will designate the Steering Committee member. The CAUL-CBUA
Manager shall be an ex officio member of the committee and shall be non-voting except to decide any tie votes. The Committee Chair shall normally be elected by committee members at the first meeting following the CAUL-CBUA Annual General Meeting.

**REPORTING**
The Steering Committee will report its activities and progress to the Board on a regular basis, including at the Board’s regular meetings, or as requested by the Board.

**COLLABORATION**
The Last Copy Committee collaborates with the CAUL-CBUA Collections Committee.

*Updated April 2015*
CAUL-CBUA Last Copy Program Agreement

Introduction
The Council of Atlantic University Libraries Last Copy Program provides a distributed system by which participating members coordinate print serials holdings such that one or more libraries commit to keeping a specified run to preserve a “last copy” within the Atlantic region. The primary intent is to provide security for CAUL-CBUA members to discard titles that are not otherwise in secure online archives.

1. Terms
1.1. The Program: the CAUL-CBUA Last Copy Program
1.2. The Steering Committee: the operational management body for this Program
1.3. The Program List: a detailed list of holdings, including title, volumes, and format each Participating Library has committed to preserve.
1.4. Participating Library: a library that signs this agreement and commits to preserving at least one serial run.
1.5. Holding Library: the library that is in the program record for preserving a particular title run.
1.6. Retained Material: a print original or microform copy of a serial run for which a holding library has committed to preserve for the duration of the agreement.
1.7. Serial run: a substantial sequential portion of a serial’s publication sequence. A run may be broken by missing issues.

2. Governance
2.1. The Program will be governed by a Steering Committee consisting of one representative of each Participating Library and a representative from the CAUL-CBUA Board of Directors. Each Participating Library Director will designate the Steering Committee member. The CAUL-CBUA Manager shall be an ex officio member of the committee and shall be non-voting except to decide any tie votes.
2.2. The Steering Committee receives its authority and direction from the CAUL-CBUA Board of Directors. Other governance issues shall follow standard CAUL-CBUA procedures for committees.
3. **Duration, Renewal, and Amendment of Agreement**

   3.1. **Term:** The initial term (“Initial Term”) for which this Agreement will be in effect is ten (10) years, commencing on the Effective Date of this Agreement and concluding on August 1, 2025.

   3.2. **Review:** A formal review of this Agreement and the Program shall be conducted by the Steering Committee near the midpoint of the Initial Term, by February 1, 2020.

   3.3. **Amendment:** This Agreement may be amended in whole or in part at any time by unanimous agreement of the Directors at the Participating Libraries.

   3.4. **Renewal:** Following the Initial Term, this Agreement shall be eligible for renewal (“Renewal Term”) in five-year increments. For the purposes of this Agreement, “Term” shall be deemed to include the Initial Term and any Renewal Term(s). The Agreement may be amended at the time of renewal by 2/3 vote of the Steering Committee.

   3.5. **Inability to Retain:** Should a Participating Library be unwilling or unable to retain, prior to the Agreement’s expiration, a Serial Run that was committed to under this Agreement, that library must provide twelve (12) months written notice to the CAUL-CBUA Manager and offer to transfer ownership of that run to another Participating Library for retention under this Agreement. This requirement may be waived if the Steering Committee determines that retention of that Serial Run is no longer required.

   3.6. **Termination:** This Agreement is subject to early termination as provided below.

      3.6.1. **Termination by Mutual Consent.** This Agreement may be terminated at any time upon the mutual consent of the Participating Libraries.

      3.6.2. **Notice of Termination.** Notice of termination of this Agreement, by any Participating Library, shall be made in writing to the Steering Committee.

      3.6.3. **Effect of Termination.** If a Participating Library terminates its participation in the Program, it will arrange for the Retained Materials to which it has committed preservation to be transferred to one of the remaining Participating Libraries as per 3.5 above.

4. **Selection and Identification of Retained Materials**

   4.1. **Selection:** Each Participating Library can select the Serial Runs within its collections to offer to retain for this Program, to become a “Holding Library” for that Serial Run. A Library can select as many or as few as they wish, with a minimum of one (1) to become a Participating Library with membership on the Steering Committee. The Steering Committee may solicit specific requests, but no Participating Library will be required to offer any specific Serial Run.

   4.2. **Conditions:** The prospective Holding Library will ensure that the materials are intact as committed and in good condition. This shall be done by examining materials on a number-by-number, issue-by-issue, and volume-by-volume basis.

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Materials infested by mold or otherwise in a state of obvious deterioration should not be offered for retention. Any gaps should be documented for the Program.

4.3. Format: Holding Libraries agree to maintain all of the Retained Materials in their original, artifactual form whenever possible. If necessary, individual pages can be replaced with high quality photocopies. A Participating Library can offer a microform Serials Run for retention instead of, or in combination with, print volumes. The format of all volumes should be documented for the Program List.

4.4. Identification: Participating Members will provide information concerning Retained Materials as required for the Program Participation List.

4.5. The Steering Committee and the CAUL-CBUA Board of Directors will have access to all of the data stored in the full List.

4.6. The Steering Committee shall maintain a free publicly accessible version of the Program List. This view may exclude portions of the data collected only for the use of the Committee and Board of Directors.

5. Ownership, Location and Maintenance of Retained Materials

5.1. Holding Libraries will retain ownership over the Retained Materials included in the Program.

5.2. Retained Materials will be maintained by the Holding Library, in accordance with the institutional policies of and under conditions subject to the discretion of the Holding Library. The Holding Library agrees to store Retained Materials in the best environmental and physical conditions it can reasonably offer.

5.3. In the case of lost or damaged materials, the Holding Library will attempt to replace or repair the materials. If a replacement for the materials cannot be found or the materials are deemed to be beyond repair, the Holding Library will inform the Last Copy Program Steering Committee, as soon as possible.

6. Operational Costs

6.1. The Holding Library is responsible for all of the costs and expenses associated with maintaining, preserving, and providing access to the Retained Materials, in accordance with the Terms of this Agreement.

6.2. There are no fees associated with participating in this Agreement.

7. Access

7.1. Access to Retained Materials will be subject to the discretion of the Holding Library, provided that the Retained Materials are available for use by CAUL-CBUA patrons under the same terms as for the Library’s own patrons.

7.2. Members seeking to use Retained Materials may be required to provide advance notice to allow time for materials to be retrieved from storage when applicable.
8. **Duplicate Materials**  
8.1. Duplicates of Retained Materials may be available at other libraries, as there is no requirement for Retained Materials to be the last copy in the region.  
8.2. Multiple Participating Libraries may commit to retaining overlapping Serial Runs.

9. **Signatories**  
The Member representative on the CAUL-CBUA Board of Directors shall sign on behalf of the Participating Library. A Steering Committee representative from that Library should also be identified.

For **[Institution]**  
Name:  
Position:  
Signature:  
Date:  

Steering Committee Representative  
Name:  
Position:  
Email:  
Phone: