COUNCIL OF AUSTRALIAN UNIVERSITY LIBRARIANS

# Year in Review 2019

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CAUL
COUNCIL OF AUSTRALIAN UNIVERSITY LIBRARIANS

# Year in Review 2019


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## “2019 was a year of major transition”

*Jill Benn, Chair of CAUL*

I am pleased to report that 2019 was a productive and transformational year for CAUL, our first year as an association incorporated.

It was a year of significant transition for the Board and National Office Team. After 24 years of service, we farewelled CAUL’s Executive Officer, Diane Costello. Diane was instrumental in the establishment of the CAUL National Office and leaves a legacy of enduring initiatives within CAUL, we are very grateful for her dedication and contribution to CAUL.

We welcomed new talent, Mark Sutherland was appointed as CAUL’s first Content Procurement Manager, and then as CAUL’s Executive Director. The CAUL National Office is blossoming under Mark’s leadership and we are grateful to Mark and the team for their support of the CAUL Board, and Members more generally.

Margie Jantti (University of Wollongong) completed two terms as President/Chair of CAUL. Margie made a very significant contribution to CAUL; as a member of the Executive Committee (now Board) (2012-2019), as Deputy President (2014), and as Chair of the Quality & Assessment Advisory Committee (2011-2014). As Board Chair, Margie worked tirelessly to transform CAUL, ensuring its relevance and effectiveness in representation of university libraries. Margie was consultative in her approach, ascertaining the needs of a diverse and changing membership, while being courageous and tenacious in her desire to achieve positive change. Thanks to Margie’s leadership we are in a great position to maximise opportunities and tackle challenges as the peak leadership organisation for university libraries in Australia and New Zealand.

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# "Now, more than ever, our aspiration for fair, affordable and open access to high quality evidence-based information is incredibly important for all"

A number of personnel changes also occurred at CAUL Board level throughout 2019. Roxanne Missingham (Australian National University) completed her term on the board and we welcomed Gwenda Thomas (University of Melbourne) and Fiona Salisbury (La Trobe University). Carmel O'Sullivan (University of Southern Queensland) transitioned to the role of Deputy Chair.

Throughout the year the board continued to lead the modernisation of CAUL's ways of working - implementing and following best practice approaches to strengthen CAUL's governance, finances and strategic programs. These achievements are featured throughout this Year in Review.

The COVID-19 pandemic has presented a number of challenges for CAUL and its Members in 2020, resulting in the cancellation of events and the need to accommodate distancing requirements in library spaces across Australia and New Zealand. If there is a silver-lining in this crisis, it is the preparedness and willingness for change, agility, and innovation shown by academic libraries in the provision of essential infrastructure to support digital research, learning and teaching initiatives. As a sector we should be proud of how quickly we have worked to establish and transition libraries to enable university endeavours. Now, more than ever, our aspiration for fair, affordable and open access to high quality evidence-based information is incredibly important for all.

I'd like to take this opportunity to acknowledge and thank the CAUL Board and the National Office for their ongoing commitment to CAUL and its activities.

*Jill Benn, Chair of CAUL*

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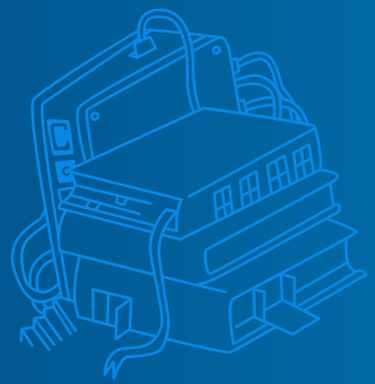

# Our purpose is to transform how people experience knowledge – how it can be discovered, used and shared

## Our objectives are to:

1. Position university libraries as essential infrastructure for teaching, learning and research in their institutions.
2. Advance open and equitable access to knowledge, information and data.
3. Be a recognised authority on the purpose, value and impact of university libraries in higher education and research.
4. Foster cooperative activity between university libraries in Australia and internationally for the benefit of their students, teachers and researchers.
5. Represent the interests of its members to government, the community and other stakeholders.
6. Promote members' views and values in national and international discourse on relevant issues and public policy developments.
7. Facilitate the sharing of best practice, information and innovation among its members.
8. Foster leadership and professional growth of current and future leaders in university libraries.

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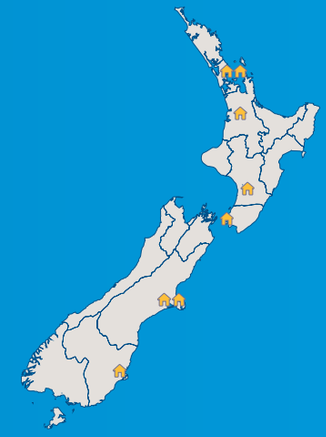
# We are the peak leadership organisation for university libraries in Australia with members from Australia and New Zealand

39 Libraries in Australia



Libraries in New Zealand 8

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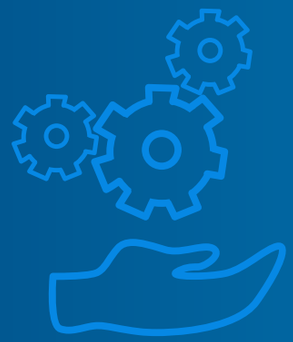

# We strengthened best practice, fostered leadership and promoted professional growth among our members

## Significant steps included:

1. Adopting a new constitution and incorporating as an association in the Australian Capital Territory (ACT).
2. Transitioning to a professional Board of seven directors, four elected and three appointed.
3. Creating new governance instruments including a board manual and induction kit for new members. These new instruments adopt best practice principles for not-for-profit organisations as outlined by the Australian Institute of Company Directors (AICD).
4. Modernising accounts and accounting practices to align with industry best practice accounting standards, reporting and monitoring.
5. Establishing a new Finance, Risk and Audit committee to provide advice and expertise to the Board.

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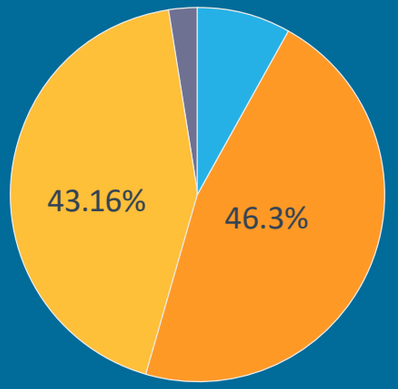
# We made all of CAUL's statistical data collected from 1969 to the present day open access

## Overview of University Library Statistics

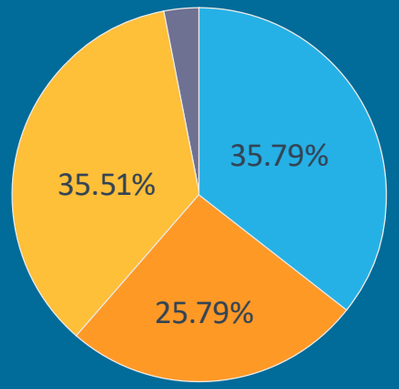
Statistical data for 2018 collected in 2019 was the first collection in accordance with new data elements determined and defined in 2018. The change in data elements necessitated the separation of the pre-2018 data from 2018 onwards.

### Library expenditure in 2018

Australia
$779,428,896.00




New Zealand
$193,855,058.00




*Expenditure is converted to $AUD for comparison*

- Physical Information Resources
- Digital Information Resources
- Staff Salaries
- Operations

# We signed the first transformative agreement for ANZ with the Microbiology Society and the first with Portland Press

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## Refreshing the Content Procurement Program

In 2019, the former CEIRC program underwent a significant overhaul becoming known simply as the CAUL Consortium and a new framework for the content procurement program was developed.

CEIRAC was reconstituted as the Content Procurement Committee with revised Terms of Reference, a new position of Content Procurement Manager was created and filled in the second quarter and the roles of Content Coordinators and the Content Community were distinguished.

By the end of 2019, all procurement agreements, including the major complex ones, were recorded and managed in the ConsortiaManager application. All negotiations for the 2020 subscription year were concluded prior to the end of the year with most vendors paid before Christmas. This brought the work of the Consortium fully up to date prior to the start of 2020.

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# We launched a landmark report on the value and impact that university libraries have towards achieving the 2030 UN SDGs

## Public Policy

We promoted members' views and values in national and international discourse on relevant issues and public policy developments by responding to consultations and enquiries in 2019, including:

- The Plan S Implementations Guidelines
- The review of Australian Higher Education Provider Category Standards
- The proposed merger of Cengage and McGraw-Hill
- The Future Humanities Workforce

We contributed to international policy and advocacy through participation in the International Alliance of Research Library Associations (IARLA).

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# We collaborated with libraries, funders, policy makers, publishers and the research community to advance open scholarship

## Advancing Open Scholarship

Four project teams delivered the following significant outputs:

A methodology for the estimating of Article Processing Charges (APCs) at a university based on data from sources such as Scopus, Web of Science and Unpaywall.

A report that investigates the best mechanisms for Australian universities to retain non-exclusive rights to author manuscript versions of scholarly works.

A review of the current state of the Australian institutional research repository infrastructure in the current global context.

A policy statement on open scholarship for CAUL that outlines a commitment and associated actions to maximise the benefits of open and F.A.I.R (Findable, Accessible, Interoperable, Reusable) scholarly practices.

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# We championed Digital Dexterity, positioning university libraries as essential infrastructure for learning and teaching

## Championing Digital Dexterity

Three project teams delivered the following significant outputs:

A position statement describing the importance of digital dexterity and its relevance to the missions of university libraries. It outlines a series of principles and goals for championing digital dexterity.

A framework that extends a definition of digital dexterity proposed by the Gartner Institute modeled the Jisc Digital capabilities framework, it outlines the skills and capabilities that students will need to succeed in the workforce of the future. It is intended for institutions to adopt and adapt as needed.

A champions network to promote the Digital Dexterity framework and the importance of digital skills at higher education institutions. A champion's role is to drive change internally at their institution and help to embed positive changes in their workplace that enable digital dexterity.

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# We engaged with our members and stakeholders to build strong and effective partnerships

## Engagement Highlights

We worked in partnership with:

- The Australasian Open Access Strategy Group (AOASG) to advocate for a national open access strategy in Australia and jointly contributed to raise awareness and improve Plan S.
- CAUDIT (Council of Australasian University Directors of Information Technology) and ACODE (The Australasian Council on Open, Distance and e-Learning) to organise and run the bi-annual THETA conference.
- ARMS (Australasian Research Management Society) to organise the first joint forum about the implications of Plan S in Australia.
- IARLA (International Alliance of Research Library Associations) to release a joint international statement on Plan S and the release of COUNTER 5.
- The ORCID Consortium to release a joint statement of principle.

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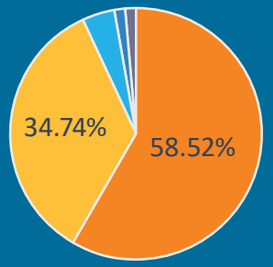
# We developed a new chart of accounts to provide simplicity and greater clarity and visibility of CAUL's finances

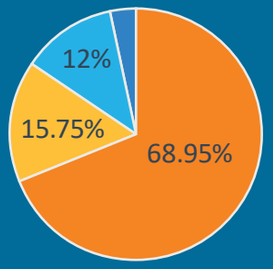
## Finance Report

Accounts rectification work was brought up to date for the years 2015-2018 in order to enable the 2019 audit and production of financial statements for the first year of incorporation. The 2020 Budget was structured according to the new chart of accounts and line items.

### CAUL recorded a surplus of $52,514 in 2019




| Revenue | $878,857 |
|---|---|
| Membership fee | $514,304 |
| Consortium Levy | $305,300 |
| Events income | $37,236 |
| Interest | $11,577 |
| Statistics Levy | $10,440 |




| Expenses | $826,343 |
|---|---|
| Staff salaries & on-costs | $569,793 |
| Professional services | $130,137 |
| Events and engagement | $100,869 |
| Other operating expenses | $25,544 |

| Assets | |
|---|---|
| Current assets | $15,941,520 |
| Non-current assets | $17,711 |
| **Liabilities** | |
| Current liabilities | $14,977,797 |
| Non-current liabilities | $0 |
| Net Assets | $981,434 |
| **Equity** | |
| Other reserves | $136,983 |
| Retained earnings | $844,451 |
| Total equity | $981,434 |

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# We are governed by a professional Board and operations are managed by the National Office

## The Board

| Name | Director Type | First Joined | Term Ending | Current Role |
|---|---|---|---|---|
| Jill Benn | Elected | 2018 | Sep 30 2021 | Chair of the Board/CAUL |
| Carmel O'Sullivan | Appointed | 2018 | Sep 30 2020 | Deputy Chair |
| Robert Gerrity | Elected | 2016 | Sep 30 2021 | Director, Content Procurement Services |
| Constance Wiebrands | Elected | 2016 | Sep 30 2020 | Chair of the Finance Risk and Audit Committee |
| Catherine Clark | Appointed | 2018 | Sep 30 2020 | Program Director, Advancing Open Scholarship |
| Gwenda Thomas | Elected | 2019 | Sep 30 2021 | Program Director, Inspiring Sustainability |
| Fiona Salisbury | Appointed | 2020 | Jan 24 2022 | Program Director, Enabling a Modern Curriculum |

## The National Office

| Name | Location | First Appointed | Role |
|---|---|---|---|
| Mark Sutherland | Gold Coast, QLD | 2019 | Executive Director |
| Angus Cook | Melbourne, VIC | 2020 | Content Procurement Manager |
| Harry Rolf | Canberra, ACT | 2016 | Communication and Policy Officer |
| Alisha Ashley | Wagga Wagga, NSW | 2006 | Finance Officer |
| Cicy Zheng | Canberra, ACT | 2018 | Administration Officer |