Expand, Advance, Transform, Preserve, Enrich
Access to Knowledge in Action

TRACKING TOWARD STRATEGIC OBJECTIVES
AND ANNUAL REPORT

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THE CHAIR

It is my honour to serve as the new Chair of the Board of Directors. I am impressed with and encouraged by CRKN's vision of developing projects, partnerships, and initiatives that contribute to the advancement of Canadian research for all. CRKN's commitment to taking bold steps to achieve access to knowledge ensures its position as a critical partner for universities, libraries, and heritage institutions in Canada and internationally.

Following extensive consultation with members and stakeholders, and months of strategizing, in October 2019, CRKN launched the 2019-2024 Strategic Plan. This plan is ambitious and strives to advance interconnected, sustainable access to the world's research. The three strategic goals identified in the plan: transform scholarly communication, develop and foster partnerships, and collaborative advocacy define a clear focus for CRKN's activities as they meet the mission and vision of the organization.

Of the many accomplishments this year, I would like to highlight CRKN's success in consulting with the Board, committees, and members in preparation for licensing renewals in 2020, leading to the creation of the Stakeholder Alignment Group. There is substantial value in CRKN's ability to negotiate licenses on behalf of its member libraries – estimated at $150 million a year. This is an excellent example of universities collaborating at a national scale to decrease costs and increase access to knowledge and research infrastructures for students and faculty across Canada.

I would also like to highlight CRKN's newest collaboration with the Canadian Association of Research Libraries (CARL), which resulted in the launch of the DataCite Canada Consortium. The development of the DataCite Canada Consortium adds to CRKN's growing support of persistent identifiers as they contribute to research infrastructure. In its heritage activities, CRKN continues to enhance the Canadiana collections, and improve the infrastructure that ensures this documentary heritage is preserved and accessible to researchers and the public. These advancements show exceptional progress towards objectives in this first year of the strategic plan and set the stage for a bright future.

CRKN's Board of Directors, committees, and task groups provide exceptional guidance and foresight in the development of CRKN initiatives. The dedicated participation of members and stakeholders has been instrumental as CRKN meets the bold objectives of its strategic plan. As a volunteer Board of Directors that oversees over 50 volunteers through participation on committees, sub-committees, and task groups, the community's contribution to ensuring the success of CRKN is immeasurable.

Meeting CRKN's mission is more important now than ever. The COVID-19 pandemic has resulted in significant challenges and changes within Canada's universities. Some of these changes will be short-term but some will have more far-reaching impacts. National infrastructure, tools, services, and partnerships will inevitably aid in bringing together our shared goals and supporting the community in overcoming these challenges this year, and in years to come.

In closing, I would like to congratulate once again the CRKN Board, committees, task groups, and staff for their efforts and achievements this year. I look forward to continuing to work with you.

Sincerely,

Annette Trimbee
President and Vice-Chancellor,
MacEwan University
Chair, CRKN Board of Directors

MESSAGE FROM
THE EXECUTIVE DIRECTOR

The first half of 2019-2020 saw the finalization of CRKN's new strategic plan, while the second half of the year provided us with the opportunity to begin implementing our new goals and objectives. The strength of CRKN's 2019-2024 Strategic Plan is that is builds on past successes while envisioning new paths forward. As I look ahead to the opportunities presented by this plan, which will guide our work in the coming years, I am also pleased to reflect on the important work accomplished this year towards the fulfillment of our strategic goals.

The licensing team with the guidance of the Content Strategy Committee continued to offer the best possible terms for members through negotiated licences. CRKN also took the next steps in advancing our innovative licensing program with the creation of the Stakeholder Alignment Group, which will support CRKN's 2020 negotiation objectives. The support of the Stakeholder Alignment Group

highlights that access to knowledge through licensed content is more than a library issue; it is an issue at the heart of research and knowledge creation.

Open access to research continues to be at the core of CRKN business. This year, we continued our partnership with Érudit and Coalition Publica, supporting the transition to open access for their scholarly journals. To further support open access globally, CRKN has continued its participation in initiatives including SCOAP3 and SCOSS, while nationally, we launched the CRKN Open Access Journals List. For the first time, CRKN hosted a full conference with a significant focus on CRKN's future role in open scholarship in collaboration with other stakeholders in the research community.

Building on last year's heritage activities and the transition to access at no charge, CRKN integrated its heritage collections content into two access portals, **Canadiana** and **Héritage**, and began the process of decolonizing descriptive subject headings used in the Canadiana collections. This will increase the accessibility of the collections and bring us closer to our goal of offering access to historical materials with up-to-date, accurate, and culturally sensitive metadata. The evolution of the Canadiana access and preservation platforms continued in line with community standards under the guidance of the Preservation and Access Committee. Meanwhile, members of the CRKN team actively participated

in several national and international meetings and committees, increasing our engagement with the community on issues critical to our shared future.

This year, CRKN welcomed Dr. Annette Trimbee, who became Chair of the Board of Directors following the 2019 Annual General Meeting. Dr. Trimbee replaces Dr. Alan Shepard, who completed his three-year term in October. CRKN is fortunate to have such excellent leadership from its Board, committees, and task groups, and I thank them for their expertise and unfaltering dedication in volunteering their time to enact CRKN's mission and vision.

Finally, I am grateful to the CRKN team, who bring a sense of professionalism and enthusiasm to everything they do. We ended this financial year with the unforeseen closure of the CRKN offices due to the COVID-19 pandemic, and I have been amazed at the resilience and flexibility of staff in adapting to these changes. Together with them, I look forward to the next year of serving our membership and advocating for access to knowledge.

Sincerely,

Clare Appavoo
Executive Director

2019-2024
STRATEGIC PLAN

In October 2019, following unanimous support by members, CRKN launched its **2019-2024 Strategic Plan**. Building upon past achievements and looking ahead to future goals and collaborations, we are proud to share an ambitious strategic plan that takes clear steps towards transforming scholarly communications and collaborating to advance open scholarship and access to knowledge.

OUR MEMBERS

This year CRKN welcomed two new Associate Members, bringing our total membership to 81. **Learn more** about our membership.

OUR PROGRAMS

Licensing and Negotiations
Working with librarians, researchers, administrators, funders, and publishers, CRKN undertakes large scale licensing of scholarly content for academic institutions in order to expand research capacity in Canada. Currently, CRKN negotiates and manages over 50 licenses on behalf of its member institutions.

Preservation and Heritage Collections
CRKN provides access to over 60 million pages of Canadian documentary heritage through the Canadiana and Héritage collections and preserves this heritage through the Canadiana Trustworthy Digital Repository (TDR), ensuring its integrity and accessibility as technologies change over time. CRKN also provides digitization services to our member and stakeholder community, providing best-quality digital reproductions of materials that adhere to metadata and technology standards.

Financial Oversight and Sustainability
CRKN's professional finance staff under the policy framework maintained by the Finance & Audit Committee (FAC) continue to administer over $130M in annual expenditures on behalf of member institutions. The FAC also reviews and supports CRKN's internal risk management framework and budget development and monitoring process. This includes recommending budget and fee models which support CRKN's ongoing sustainability, and projecting budget decisions out over a five-year horizon.

MEETING OUR
STRATEGIC OBJECTIVES

Transforming Scholarly Communications

Transformation is at the core of our business. In 1999, the Canadian National Site Licensing Program was created to provide an innovative infrastructure to increase Canada's research capacity. Building on our successes, today, we define and put into place the next act of CRKN's innovative approach to access to knowledge. Over the past year, we refined our approach to open access and built the groundwork for future initiatives that will increase accessibility to scholarly and heritage content throughout Canada and the world. **Learn more about CRKN's progress** towards this strategic objective through our negotiation and licensing activities, heritage services, and more.

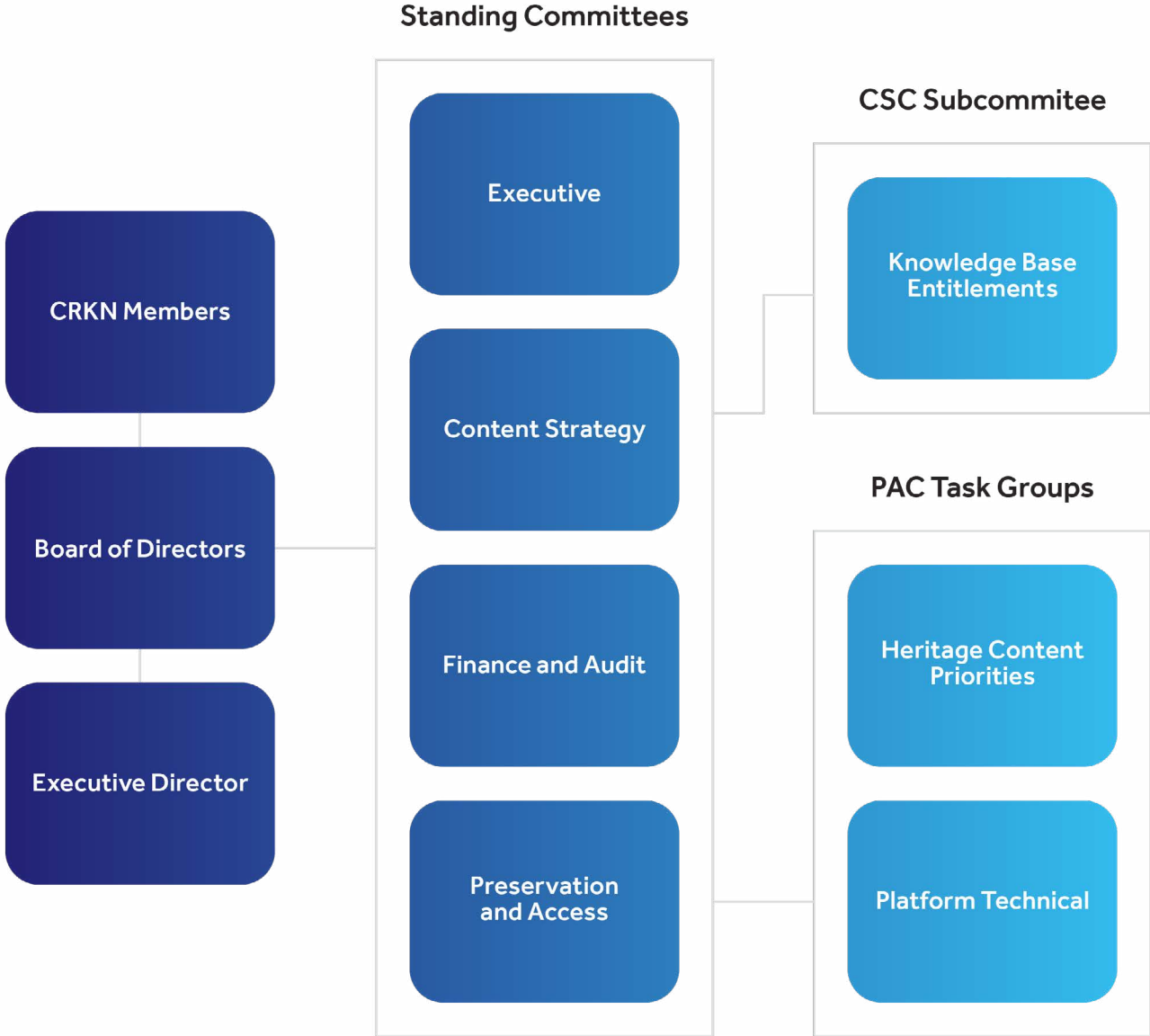## Developing and Fostering Partnerships

As a member organization, CRKN understands the importance of partnerships to achieve key goals. Over the past year, we strengthened our relationships with national and international organizations to enrich our network and build towards shared strategic objectives. **Read about CRKN's continued collaborations**, as well as administration of the ORCID Canada and DataCite Canada Consortiums in our full report.

Collaborative Advocacy

Over the past year, working collaboratively, we continued advocating for our members and stakeholders. Using data to provide tangible benefits to our community and leveraging our platform to share their perspectives, we encouraged action locally and across the country. **Learn more about our progress** this year, including CRKN initiatives, collaborative projects, and how we are planning for our future and the future of our members.

GOVERNANCE

Standing Committees

CSC Subcommitee

PAC Task Groups

CRKN Members

Board of Directors

Executive Director

Executive

Content Strategy

Finance and Audit

Preservation and Access

Knowledge Base Entitlements

Heritage Content Priorities

Platform Technical

BOARD OF DIRECTORS

CRKN is governed by a volunteer Board of Directors consisting of 12 members (nine elected, three appointed) drawn from the CRKN membership.

CRKN's Board of Directors is designed to be responsive, adaptable, and representative of the membership, while providing the oversight and strategic vision necessary to lead CRKN's projects and initiatives.

Top row (left to right): Annette Trimbee, Gwen Bird, Larry Alford, Lesley Balcom, Guylaine Beaudry, Bernard Bizimana
Bottom row (left to right): Vickery Bowles, Denis Cossette, Constance Crompton, Rebecca Graham, Melissa Just, Catherine Steeves

MEMBERS

Annette Trimbee (Chair)
President and Vice-Chancellor,
MacEwan University

Gwen Bird (Vice-Chair)*
University Librarian,
Simon Fraser University

Larry Alford
Chief Librarian, University of Toronto

Lesley Balcom*
Dean of Libraries,
University of New Brunswick

Guylaine Beaudry
Vice-Provost, Digital Strategy and University Librarian, Concordia University

Bernard Bizimana
Directeur de la bibliothèque,
HEC Montréal

Vickery Bowles
City Librarian, Toronto Public Library

Denis Cossette*
Chief Financial Advisor,
Concordia University

Constance Crompton
Assistant Professor,
University of Ottawa

Rebecca Graham
University Librarian,
University of Guelph

Melissa Just*
Dean, University Library,
University of Saskatchewan

Catherine Steeves*
Vice-Provost and Chief Librarian,
Western University

Member of the Executive Committee

CONTENT STRATEGY COMMITTEE

The purpose of the Content Strategy Committee (CSC) is to make recommendations to the Board regarding the overall direction of the CRKN content program.

Top row (left to right): Dianne Keeping, Sandy Stift, Denise Koufogiannakis, Amanda Holmes*, France Paul, Harriet Rykse, Jason Friedman*, Émilie Lavallée-Funston*
Bottom row (left to right): Alison Ambi, Rebecca Ross*, Arnald Desrochers, Clare Appavoo*, Guylaine Beaudry, Todd Mundle, Craig Olsvik*, Weijing Yuan
Absent: Tanja Harrison, Pamela Jacobs
Staff

MEMBERS

Guylaine Beaudry (Chair)
Vice-Provost, Digital Strategy and University Librarian, Concordia University

Todd Mundle (Vice-Chair)
University Librarian,
Kwantlen Polytechnic University

Alison Ambi
Head, Collection Strategies,
Memorial University

Arnald Desrochers
Chargé en projet – Achats en commun, Bureau de coopération interuniversitaire

Tanja Harrison (until December 31, 2019)
University Librarian, Mount Saint Vincent University

Pamela Jacobs
Head, Collections and Content,
University of Guelph

Dianne Keeping (from January 1, 2020)
University Librarian,
Mount Allison University

Denise Koufogiannakis
Associate University Librarian,
University of Alberta

France Paul
Services techniques – Acquisitions,
Université de Sherbrooke

Sandy Stift
Associate Dean, MacEwan University

Harriet Rykse
Associate Chief Librarian,
Western University

Weijing Yuan
Head, Licensing and eResource Acquisitions, University of Toronto

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KNOWLEDGE BASE ENTITLEMENTS
SUB-COMMITTEE

The Knowledge Base Entitlements Sub-Committee supports members in their holdings management activities, notably by overseeing the ongoing title list update process and maintaining accurate, definitive title lists for CRKN entitlements for licensed content. The Content Strategy Committee has oversight of the KBESC and an update on their activities is presented to the CSC at their monthly meetings.

Courtney Bremer (Chair)
eResources Access Manager,
University of Waterloo

Melissa Belvadi
Collections Librarian,
University of Prince Edward Island

Carolle Blais
Bibliothécaire, Acquisition et
traitement des ressources
documentaires, Université du Québec
à Montréal

Sue Fahey
Head of Serials and Acquisitions,
Memorial University

Patricia Pang (until July 31, 2019)
Electronic Resources Assistant,
University of Victoria

Mandi Schwarz
Library Assistant – Electronic
Resources, University of Northern
British Columbia

R. Scott Shannon
eResources Administrator,
University of New Brunswick

Wei Zhao
Senior Metadata Librarian,
OCUL/Scholars Portal

PRESERVATION AND ACCESS COMMITTEE

The Preservation and Access Committee (PAC) assists the Board in its activities by reviewing and making recommendations regarding the development and management of the Canadiana collections and Trustworthy Digital Repository (TDR) platform and the associated services and capabilities.

Top row (left to right): Paul Durand, Dana McFarland, Beth Stover*, Mark Jordan, Sharon Farnel, Émilie Fortin, Sascha Adler*, Russell McOrmond*, Eric Schwab
Bottom row (left to right): Rebecca Ross*, Ian Milligan, Rebecca Graham, Clare Appavoo*, William Wueppelmann*
Absent: Johanna Smith
Staff

MEMBERS

Rebecca Graham (Chair)
University Librarian,
University of Guelph

Dana McFarland (Vice-Chair)
eResources & Scholarly
Communication Librarian,
Vancouver Island University

Paul Durand
Supervisor, Military History Research
Centre, Canadian War Museum

Sharon Farnel
Metadata Coordinator,
University of Alberta

Émilie Fortin
Chef de la section Production
numérique, préservation et
conservation des collections,
Université Laval

Mark Jordan
Head of Library Systems,
Simon Fraser University

Ian Milligan
Associate Professor of History,
University of Guelph

Eric Schwab
Manager, Digitization & Preservation,
Toronto Public Library

Johanna Smith
Director General, Public Services,
Library and Archives Canada

HERITAGE CONTENT PRIORITIES
TASK GROUP

The Heritage Content Priorities Task Group reports to the Preservation and Access Committee. Its objectives are to develop principles and criteria that CRKN staff may use to evaluate and prioritize heritage content for digitization and preservation on the Canadiana TDR.

Dan Mirau (Chair)
Library Director,
Concordia University of Edmonton

Jordan Bass
Coordinator, Research Services and Digital Strategies, University of Manitoba

Melanie Brown
Manager, Strategic Initiatives,
Library and Archives Canada

Loren Fantin
Executive Director, Our Digital World

Danny Létourneau
Chef de la bibliothèque livres rares et collections spéciales, Université de Montréal

Gabrielle Prefontaine
Dean of Libraries,
University of Winnipeg

Kathryn Rose
Humanities Research Liaison Librarian, Memorial University Libraries

Eric Schwab
Manager, Digitization and
Preservation, Toronto Public Library

PLATFORM TECHNICAL
TASK GROUP

The Platform Technical Task Group reports to the Preservation and Access Committee. It meets two to three times a year to provide technical insights and recommendations relating to CRKN's digital preservation and access activities.

Mark Jordan (Chair)
Head of Library Systems,
Simon Fraser University

Erin Johnson
Metadata Management Librarian,
Western University

Roslynn Ross
Director, Digital Preservation and Migration, Library and Archives Canada

Steve Marks
Digital Preservation Librarian,
University of Toronto

Donald Moses
Interim University Librarian,
University of Prince Edward Island

Daniel Sifton
Coordinator, Library Automation and Technical Services, Vancouver Island University

Brandon Weigel
Coordinator, BC Electronic Library

Lee Wilson
Service Manager, Portage/ACENET

FINANCE AND AUDIT COMMITTEE

The Finance & Audit Committee assists the Board in fulfilling its oversight responsibilities by monitoring and making recommendations respecting the sufficiency, transparency, and integrity of the organization's financial health and sustainability. The committee also monitors and reviews the effectiveness of CRKN internal controls, risk management activities and the conduct of the independent audit process.

Left to right: Ken Blonski*, Bernard Bizimana, Rebecca Ross*, Dale Amerud, Kemi Kufuor-Boakye, Denis Cossette, Ryan Chen*
Absent: Andrew Coward
Staff

MEMBERS

Denis Cossette (Treasurer)
Chief Financial Officer,
Concordia University

Bernard Bizimana
Directeur de la bibliothèque
HEC Montréal

Kemi Kufuor-Boakye
Senior Financial Officer,
University of Alberta

Dale Amerud
Strategic Business Advisor, Finance
University of Saskatchewan

Andrew Coward
Treasurer,
University of Victoria

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Summary financial statements of Canadian Research Knowledge Network

March 31, 2020

Deloitte.

Independent Auditor's Report on the Summary Financial Statements

To the Members of
Canadian Research Knowledge Network

Opinion

The summary financial statements, which comprise the summary statement of financial position as at March 31, 2020, and the summary statements of revenue and expenses for the year then ended, and related notes, are derived from the audited financial statements of Canadian Research Knowledge Network ("CRKN") for the year ended March 31, 2020.

In our opinion, the accompanying summary financial statements are a fair summary of the audited financial statements, on the basis described in Note 1.

Summary Financial Statements

The summary financial statements do not contain all the disclosures required by Canadian accounting standards for not-for-profit organizations. Reading the summary financial statements and the auditor's report thereon, therefore, is not a substitute for reading the CRKN audited financial statements and the auditor's report thereon.

The Audited Financial Statements and Our Report Thereon

In our report dated June 22, 2020, we expressed an unmodified audit opinion on those audited financial statements.

Management's Responsibility for the Summary Financial Statements

Management is responsible for the preparation of the summary financial statements on the basis described in Note 1.

Auditor's Responsibility

Our responsibility is to express an opinion on whether the summary financial statements are a fair summary of the audited financial statements based on our procedures, which were conducted in accordance with Canadian Auditing Standard (CAS) 810, *Engagements to Report on Summary Financial Statements*.

Deloitte LLP

Chartered Professional Accountants
Licensed Public Accountants
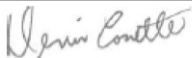Ottawa, Ontario
June 22, 2020

Canadian Research Knowledge Network
Summary statement of financial position
As at March 31, 2020

	Notes	2020 $	2019 $
Assets			
Current assets			
Cash and cash equivalents		20,657,286	18,994,911
Government remittances receivable		1,317,901	—
License and operation fees receivable		22,810,739	22,111,388
Prepaid licenses		104,946,436	94,694,088
Other prepaid expenses		203,245	123,407
		149,935,607	135,944,301
Capital assets		462,771	531,531
		150,398,378	136,475,832
Liabilities			
Current liabilities			
Accounts payable and accrued liabilities		39,869,916	33,641,371
Government remittances payable		497,365	484,516
Deferred revenue for license fees	3	105,329,207	97,841,717
Other deferred revenue	4	1,075,445	1,075,345
		146,771,933	133,042,949
Commitments	6		
Net assets			
Invested in capital assets		462,771	531,531
Internally restricted	5	1,678,000	1,628,000
Unrestricted		1,485,674	1,273,352
		3,626,445	3,432,883
		150,398,378	136,475,832

The accompanying notes are an integral part of the summary financial statements.

On behalf of the Board of Directors

_____ Director
Dr. Annette Trimbee

_____ Director
Mr. Denis Cossette

Canadian Research Knowledge Network
Summary statement of revenue and expenses
Year ended March 31, 2020

	Notes	Budget 2020 $ (Unaudited)	2020 $	2019 $
Revenue				
License fees		124,000,000	130,790,142	125,421,784
HCAP fees		1,428,132	1,426,727	1,437,536
Operation fees		1,376,380	1,377,837	1,334,678
Interest		280,000	456,656	301,892
Digitization		365,000	266,961	377,428
Other		328,869	347,268	420,050
		127,778,381	134,665,591	129,293,368
Expenses				
License fees	3	124,000,000	130,790,142	125,421,793
Salaries and benefits		2,379,026	2,263,763	1,729,241
Professional fees		410,020	291,990	246,839
Insurance		9,036	9,554	11,263
Administration		620,010	528,214	433,920
Telecommunications		25,320	33,092	31,212
Meetings and conferences		243,860	229,133	144,480
Meals, travel and accommodations		171,485	112,079	116,467
Amortization of capital assets		210,796	214,062	187,319
		128,069,553	134,472,029	128,322,534
Excess (deficiency) of revenue over expenses		(291,172)	193,562	970,834

The accompanying notes are an integral part of the summary financial statements.

1. Basis of presentation

The summary financial statements are derived from the complete set of financial statements of Canadian Research Knowledge Network (CRKN) and they meet the recognition and measurement principles of Canadian accounting standards for not-for-profit organizations. A listing of the significant accounting policies is described in the full statements, including financial instruments, revenue recognition, capital assets, and the use of estimates.

2. Nature of activities

The Canadian Research Knowledge Network (CRKN) was incorporated on April 1, 2004, under the *Canada Corporations Act*, and continued on November 8, 2013, under the *Canada Not-for-Profit Corporations Act*.

CRKN's mission is to advance interconnected, sustainable access to the world's research and to Canada's documentary heritage content.

For CRKN member organizations and the diverse communities they serve, the organization empowers researchers, educators, and society with greater access to the world's research and Canada's preserved documentary heritage, now and for future generations.

3. Deferred revenue for license fees

Deferred revenue relates to amounts received or receivable from members for license fees for future fiscal years. CRKN matches its license revenue and corresponding license expenses monthly to the period to which the license pertains:

			2020	2019
	Licence fees	**Others**	**Total**	Total
	$	**$**	**$**	$
Balance, beginning of year	97,665,445	176,272	97,841,717	90,245,868
Contributions received	138,284,411	120,303	138,404,714	133,085,735
Contributions recognized as revenue	(130,790,142)	(127,082)	(130,917,224)	(125,489,886)
Balance, end of year	105,159,714	169,493	105,329,207	97,841,717

4. Other deferred revenue

Deferred revenue relates to amounts received or receivable from members for membership, subscription and hosting fees for future fiscal years.

			2020	2019
	HCAP fee amounts	**Hosting**	**Total**	Total
	$	**$**	**$**	$
Balance, beginning of year	1,071,016	4,329	1,075,345	1,158,058
Contributions received	1,422,844	10,000	1,432,844	1,451,100
Contributions recognized as revenue	(1,426,727)	(6,017)	(1,432,744)	(1,533,813)
Balance, end of year	1,067,133	8,312	1,075,445	1,075,345

5. **Capital management**

CRKN manages its capital to ensure that there are sufficient financial resources in place to deliver on the priorities set by the Board of Directors. CRKN does not have any short-term or long-term debt.

CRKN follows a budget monitoring and modification policy to routinely and systematically evaluate financial results to budget and, as required, inform the Finance and Audit Committee and Board of deviations.

CRKN also employs a net assets policy to govern management of net assets and to ensure responsible stewardship of organizational equity on behalf of members. In particular, the policy specifies a minimum and maximum limit to unrestricted net assets, and formally restricts net assets equivalent to 40% of its operation budget each year. For the year ending March 31, 2020, the Board of Directors approved a transfer of $50,000 ($42,077 in 2019) from internally restricted to unrestricted net assets to comply with the net assets policy and ensure sufficient funds for operational contingencies.

6. **Commitments**

CRKN has commitments for the rental of space through to March 31, 2022, and for the rental of office equipment through to January 2022. Minimum lease payments for the rental period are $346,070 and $40,620, respectively ($337,041 and $47,097, respectively in 2019).

During the year, CRKN received an estimated $144,000 ($135,000 in 2019) in considerations from members in the form of office rent. These offsetting amounts are shown on the statement of revenue and expenses as other revenue and as administration, respectively.

CRKN has commitments to spend $5,000 per year ($25,000 total) between April 2016 and March 2021 to host the cndhi-ipnpc.ca website. CRKN has prepaid the hosting provider, and recorded offsetting deferred grant revenue and prepaid expense amounts to match.

At March 31, 2020, CRKN has a commitment for the purchase of US$22,520,412 (US$25,177,655 in 2019) through the use of forward contracts to settle license obligations on behalf of its membership.

7. **COVID-19**

On March 11, 2020, the World Health Organization characterized the outbreak of a strain of the novel coronavirus ("COVID-19") as a pandemic, which has resulted in a series of public health and emergency measures that have been put in place to combat the spread of the virus. In accordance with Public Health Ontario's directives, CRKN offices were closed and staff instructed to work from home beginning March 16, 2020. The duration and impact of COVID-19 are unknown at this time and it is not possible to reliably estimate the impact that the length and severity of these developments will have on the financial results and condition of CRKN in future periods.

8. **Comparative figures**

Certain comparative figures have been reclassified to conform to the current year's presentation.