

RDM Readiness Report

Shifting Horizons II // Des Horizons évolutifs II

Realities of Research Data Management

Réalités des services de gestion des données de recherche



PREPARED BY FELICITY TAYLER, RDM LIBRARIAN
CHANTAL RIPP, RESEARCH SERVICES LIBRARIAN (DATA)
AND MAZIAR JAFARY (RA)

UNIVERSITY OF OTTAWA LIBRARY

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Executive Summary

Shifting Horizon II was the fourth in a series of annual uOttawa Library events dedicated to research data management (RDM) awareness-raising and training. This year focused on institutional capacity building by upskilling Librarians, research facilitators, faculty IT representatives and research administrators and support staff. This report has shown that the event catalyzed a nascent community of practice at uOttawa, which also reaches out to include those senior-level administrators from funding agencies, Library, OVPR and Central IT who were in attendance.

Quick overview of registration:

- 53 registered attendees, 51 attended
- 30 were from the Library
- 6 were from University administration
- 5 were from other uOttawa departments
(OVPR, Central IT, Faculty Research Facilitators)
- 12 were from government or other agencies

The overall intention of this report is to understand our uOttawa Library staff readiness to provide RDM services. A separate document, *uOttawa Library Strategy: Champion and Provide Campus Leadership in Research Data Management*, prepared with the support of Katrine Mallan, identifies a current state of minimum service level provision, and recommends incremental steps over five-years to move towards achieving a vision of coordinated campus-wide RDM services, in which the library plays a leadership role through awareness-raising and data deposit support. Although this report provides insight into levels of RDM readiness and training gaps in potential campus strategic partners, the focus of this document will be on trends in Library awareness and training gaps. For more detailed discussion of participant self-

evaluation indicators, event feedback results, as well as reporting of quantitative and qualitative data, please refer to the main report and appendices.

Overall, the *Shifting Horizon II* event was a resounding success, with feedback from attendees indicating the following:

- The workshop was highly engaging;
- The workshop was well organized;
- The event was an excellent platform to engage with external RDM experts, government or other agencies;
- Feedback from participants highlighted networking activities and access to expertise from outside their home institution as key areas where this training would have a lasting impact on their professional practice
- Participants indicated that they would attend future RDM training opportunities and/or recommend them to their colleagues;
- Self-assessment by participants show that there is a level of awareness of “Data Management Plans” in the Library and in campus-wide research support staff.
- Availability of French-language training materials is an important factor in encouraging uptake of RDM by Librarians and other research support staff, and crucial for service provision to researchers;
- Future awareness-raising and training opportunities can now be targeted at an intermediate or advanced level.

Introduction

The purpose of this document is to assess a state of RDM readiness in the University Ottawa Library staff. We are also able to offer some observations on RDM readiness in the University Ottawa campus-wide community as a whole. Preliminary recommendations are made for future RDM training needs and opportunities for Librarians, with some consideration to the needs of other research support staff working in RDM-related services and departments beyond the Library.

Shifting Horizon II, held on February 20, 2020, was the fourth in a series of annual uOttawa Library events dedicated to research data management (RDM) awareness-raising and training. The focus of the event was on institutional capacity building by upskilling Librarians, research facilitators, faculty IT representatives and research administrators and support staff. The highly anticipated roundtable panel featured prominent leaders from the Tri Council agencies, First Nations Information Governance Centre, as well as experts on Research Data Management.

These conclusions regarding RDM readiness are derived from information gathered during the registration process as well as results from a post event evaluation survey for the *Shifting Horizons II* event. The registration gave us demographic variables such as institutional affiliation and working sector of the attendees. We also asked all registrants to self-assess their level of knowledge of Data Management Plans before attending the event. In order to analyze these collected data, we used the software *Excel*, and standardized and enriched the registration data with information from public data sources.

During and after the event, we distributed an exit survey of 14 questions in paper and online versions. The feedback survey was the main evaluation tool of the event. The majority of the conference attendees registered for the whole day; however, some attendees including invited speakers and select senior administrators from uOttawa, attended only the morning session. The exit survey was sent to full-day participants, and had a response rate of 37%. Participant information is derived from reported registration information. The data was enriched with information retrieved from various public sources, including the uOttawa

Employee Directory, the Government Electronic Directory Services, and other academic directories. While the methodology outlined here means that we may not be able to draw definitive conclusions regarding the RDM readiness of Librarians and research support staff, we nonetheless believe the conclusions drawn, when coupled with trends outlined in the companion literature review,¹ are representative and useful for making decisions regarding further awareness-raising and training undertakings.

In the following sections of the report, we will give a contextual framing of the RDM landscape in Canada and RDM readiness across Canadian institutions as indicated by the Portage Institutional Research Data Management Services Capacity Survey. The next section examines the main characteristics of the attendees based on the information gained from the registration questionnaire filled out by them ahead of the workshop; we will subsequently review the evaluation feedback garnered from attendees, and conclude with a reflection upon additional lessons learned towards the programming for future events such as the 2021 *Shifting Horizons III* event.

RDM Readiness in the Canadian Research Space

Over the last decade, effectively managing research data has become a major policy initiative of research funding agencies as a mechanism to enhance research excellence. The agencies expect the research they fund to be conducted to the highest scholarly and disciplinary standards, both within the domestic and international spheres. The standards set out in the [Tri-Agency Draft Research Data Management Policy](#) support research excellence by ensuring that research is performed ethically and makes good use of public funds, experiments and studies are replicable, and research results are as accessible as possible. The policy is directed researchers as well as the institutions that administer Tri-Agency funds, establishing

¹ F. Tayler and M. Jafary, (2020) *Shifting Horizons: A Literature Review of Research Data Management Training Models for Library and campus-wide research support staff*. In review.

the requirement for individual institutions to develop and implement strategies to support researchers in adopting RDM best practices.

The Portage network is a national, library-based research data management network that coalesces initiatives in RDM to build capacity and to coordinate activities better. Portage 's [*Institutional Research Data Management Capacity Survey Executive Summary*](#) (2020) presents results received from 77 institutions across Canada regarding their current capacity to provide necessary RDM support before the final Tri-Agency RDM policy is announced. The majority of institutions identified several barriers to support RDM, including lack of time, limited awareness of RDM benefits, lack of incentives, and lack of funding. Moreover, a majority of institutions identified the need for more human resources as the highest priority required in order to streamline RDM at their institution.

Shifting Horizons II, a day-long training event was led by James Doiron (who is both an author of the Portage training landscape whitepaper and the RDM Services Coordinator at the University of Alberta Libraries). He led a series of sessions relating to a wide range of RDM best practices, including but not limited to both FAIR & OCAP principles, building RDM into funding applications, data management plans, data storage and access, file naming, and data deposit and preservation. As defined in their white paper, [*Research Data Management Training Landscape in Canada*](#) (2017), Portage aims to approach RDM training with a holistic multi-platform vision of a coordinated national training curriculum to “level the playing field” where expertise in data stewardship has been unevenly distributed across institutions in the higher education sector. Thus far, the cumulative knowledge of the members of its distributed network have developed best practices, data primers and ad hoc webinar training, supplemented by single-day in-person sessions reflecting the individual expertise of members of the Portage Training Expert Group. For a more detailed assessment of the current RDM training environment in Canada and internationally, refer to the companion literature review conducted by F. Tayler and M. Jafary.

Results and Findings

Language of Choice

The language of correspondence for almost 30% of all attendees was French, and more than 35% of Librarians and Library staff chose French as their language of correspondence. This shows a high level of preference for French as the language of choice, despite the event's promotion with the following language disclaimer: *"Guest speakers will present in English, but learning materials will be bilingual. No simultaneous translation will be offered."* An allocation of funds was made in the event budget towards the external translation of learning materials and speaker slides from English to French. It is recommended that this approach be adopted in all RDM awareness raising and training in the future. It is of note that this allocation of resources to professional translation services contributed to a strong representation of French-language participants at this event, including a RDM librarian from another French institution who requested to participate as they noted a lack of French instructional programming available elsewhere. These materials will undoubtedly serve many more in future provision of RDM services as they were also made available online following the event. As one trainee wrote in the exit survey:

[Accès aux ppts en français était bien](#)

Event Participation

The event brought together senior-level administrators from funding agencies, Library, OVPR and Central IT. Registration was preferentially promoted to University of Ottawa affiliates, with 77% of attendees affiliated to the University. The remainder of the registration comprised primarily of those participating on the experts' panel from the *Social Science Research Council (SSHRC)*, *Natural Sciences and Engineering Research Council of Canada (NSERC)*, *Canadian Institutes of Health Research*, *First Nations Information Governance Centre*, and *the University of Alberta*. Every invited speaker from a government department or agency was encouraged to bring one additional staff member for attendance of the full-day event. This ensured that the day acted as a training event for the policy

makers as well as those of us who will be impacted by the policy. Furthermore, their participation in the breakout discussions and workshop modules ensured networking opportunities and that multiple perspectives were present at the training event. As one attendee shared in their feedback evaluation:

La participation aux ateliers. J'ai trouvé pertinent de faire se rencontrer différents participants pour échanger sur leurs défis ou perspectives sur la question des données de recherche. C'est un excellent moyen de briser la glace, de rencontrer différents collègues qui bien que travaillant à des projets différents rencontrent des défis similaires

Attendees from other institutions came from across the National Capital Region, including Statistics Canada Carleton University, Université du Québec à Chicoutimi, Saint Paul University. The following graphic depicts the organizations to which the attendees were affiliated.

Chart 1: Attendee organizational affiliation

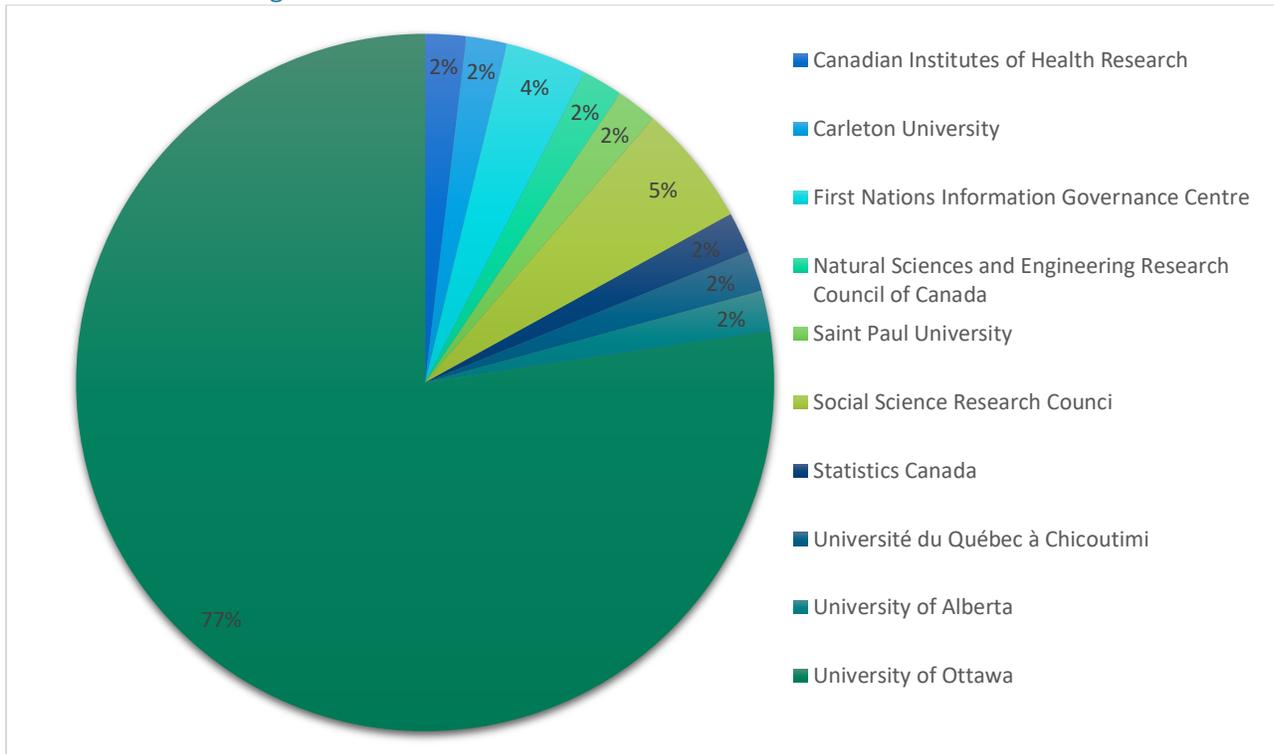
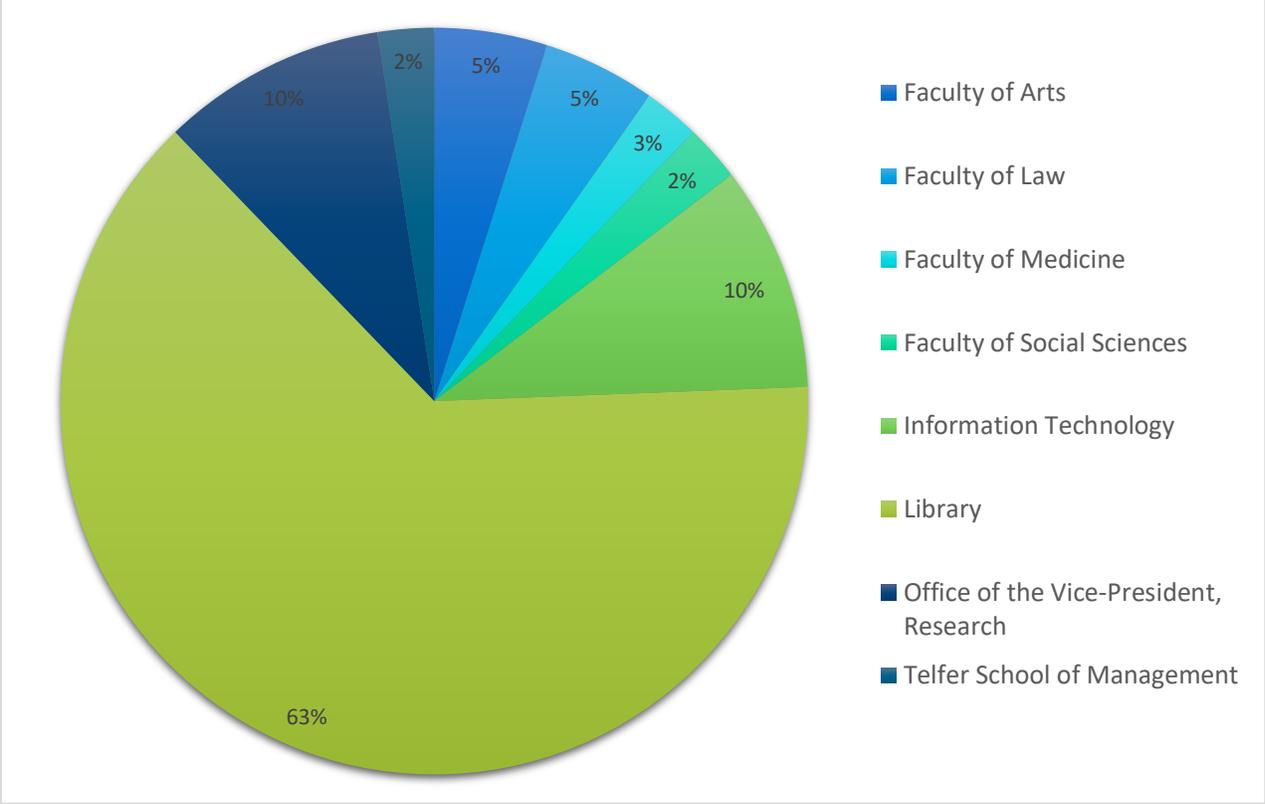


Chart 2 highlights the representation of various faculties, departments, and units who participated across campus. The self-motivation and self-selection of participants to attend, as

well as the exceptionally low rate of non-attendance, suggests that there is great interest in RDM training for professional development on campus, which will be further discussed in the next section. The raw data for which these numbers were derived are available in Appendix A.

Chart 2: Departmental affiliation for uOttawa attendees



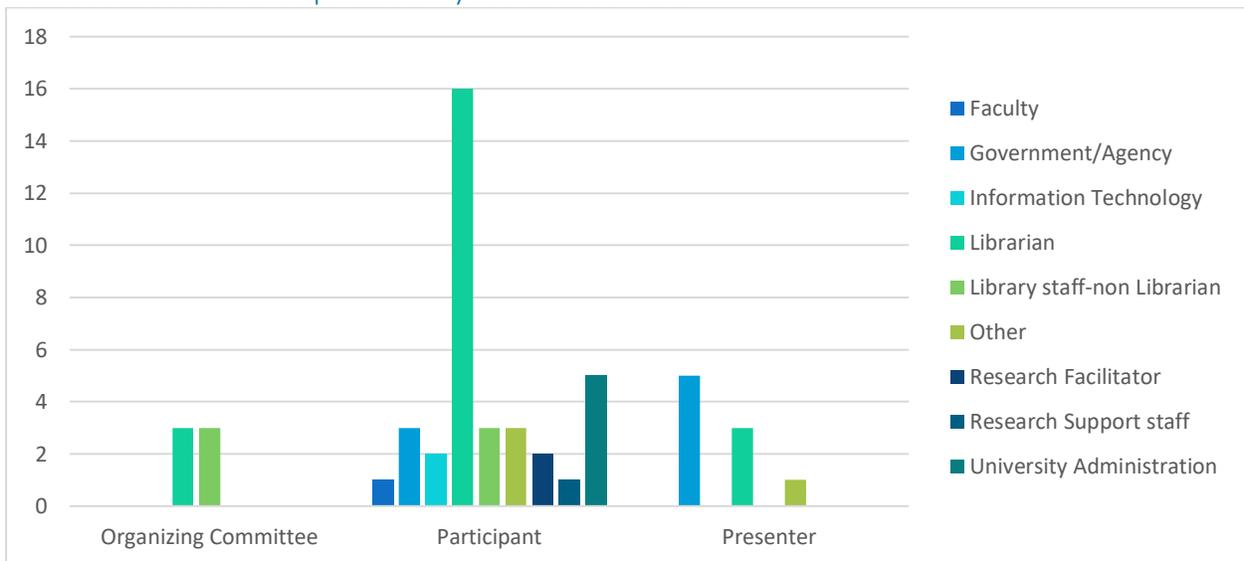
During the registration process, attendees were asked to identify their professional roles. If the information was not supplied, details from public directories were used. The category “Government/Agency” comprised primarily the panel members who held various senior level professional titles. The category of “Information Technology” included attendees who self-identified as management or support in IT services. The following table depicts the professional role of attendees.

Table 1: Professional role of attendees

Professional Role	Percent of total attendees
Faculty	2 %
Government/Agency	15 %
Information Technology	4 %
Librarian	43 %
Library staff-non Librarian	11 %
Other	8 %
Research Facilitator	6 %
Research Support staff	2 %
University Administration	9 %

Of note, Research Facilitators made up 6% of attendees. Research Facilitators are key partners in the delivery of RDM services, as they have the closest relationship to researchers in guiding them on RDM requirements in the granting process. 4 attendees joined from the Office of the Vice-President, Research (OVPR) whose professional role is identified as category of University of Administration.

Chart 3 Attendee Participant role by Professional role



The bar chart (3) shows us the share of attendees as per their self-identified professional roles, of note is the wide distribution across university departments and across library divisions. This distribution reflects the field of RDM as it is responsive to the requirements of funding agencies and as it is often defined as a suite of services that requires skill sets beyond the traditional training of Librarians and Library staff.

The percentage of those who registered but did not attend was as low as 3.8%. It should also be added that all the attendees said that they could benefit from the workshop and that they would recommend similar workshops to their colleagues. Feedback from participants highlighted networking activities and access to expertise from outside their home institution as key areas where this training would have a lasting impact on their professional practice:

Ce qui m'a plu le plus était avoir accès à des experts

What I liked the most was getting to know different experiences of RDM from across Canada

C'est un excellent moyen de briser la glace, de rencontrer différents collègues qui bien que travaillant à des projets différents rencontrent des défis similaires.

I enjoyed the breakout sessions as an opportunity to engage with the materials and have a discussion with my peers

I am following up with one of the presenters and I do think there will be impacts after meeting

Experiences from James were great, he is a great speaker

Panel was very interesting

I also really enjoyed the panel

Attendees Self-Assessment of RDM Readiness

As part of the registration process, we asked attendees to self-assess their knowledge of Data Management Plans according to a scale of Very Knowledgeable, Aware, and Curious. DMPs are a key tool in RDM best practices and a topic promoted as one of the event training modules. The requirements set out in the DRAFT Tri-Agency Research Data Management Policy encourage grant applicants to complete DMPs as an essential step in research project design. It

goes so far as to suggest that for specific funding opportunities, DMPS may be required to be submitted.

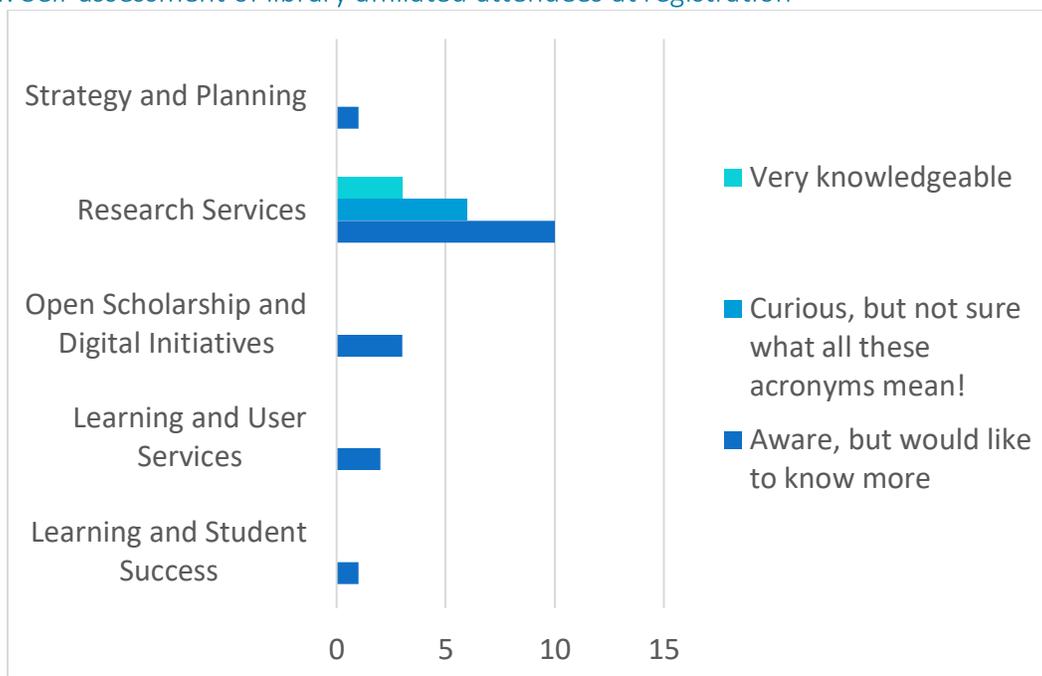
Awareness of DMPs also reflects a threshold in the definition of Library RDM services between the minimum service level expected of all staff in the Research Service division, and the Tiered services available through the RDM Librarian and other trained RDM experts. The following table presents the attendees self-assessed knowledge of DMPs, excluding those identified as presenters, since the emphasis is on local readiness and not those of invited experts.

Table 2: Registration self-assessment of attendees

Aware, but would like to know more	59%
Very knowledgeable	23%
Curious, but not sure what all these acronyms mean!	18%

As it is shown above, a majority of the attendees (59%) said that they were “aware of Research Data Management Plans but would like to know more” about it. While 23% of all attendees self-identified as “very knowledgeable” of DMPs, only (18%) self-identified with as novices, or “curious.” Within the library context, however, we see a greater rise in the self-assessed category of “curious”, specifically within the Research services unit. Chart 4 presents attendees self-assessed knowledge for DMPs whose professional role is identified as either librarian or library staff, self-assessed knowledge for DMPs.

Chart 4: Self-assessment of library affiliated attendees at registration



This self-assessment suggests that there is a reasonable level of awareness of Data Management Plans in the Library and in campus-wide research support staff and that awareness-raising and training opportunities can now be targeted at an intermediate or advanced level, and that a community of practice for campus-wide RDM services is in its early stages, thanks to events such as *Shifting Horizons*. Multiple attendees gave feedback confirming that this training improved their ability to provide RDM services to researchers. Exit surveys further indicated the desire to complete other RDM training, and to encourage their colleagues to do so as well:

The workshop was a good occasion for my colleagues to learn about RDM

I'll be better able to provide info to our researchers

J'apporterai une meilleure compréhension de RDM a mon pratique professionnel

Event Evaluation Results

A feedback survey was used as the main evaluation tool of the *Shifting Horizons II* event, which comprised of 14 questions. The feedback survey was circulated in both English and French in paper format at the event and subsequently distributed through an electronic survey to attendees, refer to Appendix B for the survey questions. The majority of the conference attendees registered for the whole day; however, some attendees including invited speakers and select senior administrators from uOttawa attended only the morning session. The exit survey was sent primarily to full-day participants, and had a response rate of 37%. The feedback received from attendees was highly positive, as highlighted in the following chart.

Chart 5: Attendee responses to feedback survey questions



As presented in the chart, attendees overwhelmingly selected the statements “completely agree” or “Agree” for each question. Nearly all attendees who provided feedback would recommend this workshop to their colleagues. Also, a large majority (14) indicated that the presentation materials were helpful, emphasizing the value-added contribution of providing resources in both English and French. Beyond the exit survey feedback already shared above, when asked ***What did you like the most about today’s workshop***, notable positive comments

were received, which reemphasized the critical need for this capacity building initiative and suggest a way forward for the programming of Shifting Horizons II in 2021: a return to a full day of modular programming, including researcher-focused “hot topic” panels and practical workshops, as proved successful for Shifting Horizons I (2019).

What I liked the most was the small audience

It was nice to have concrete examples embedded in presentations

Ce qui m’a plu le plus était tous les conseils pratiques et concrets

It would be helpful to have a hands-on workshop on writing Data Management Plans or other related topics. Also maybe discussing different tools for RDM might be useful

It would have been ideal to hear firsthand from researchers their experience

When asked, ***What did you dislike the most about today’s workshop?*** The comments received indicated that the participants wished to expand their community of practice:

The full-day format mostly by a single speaker was hard to sit through

We need more professions/PIs to participate

inviting a broader group of people would be helpful though - graduate program coordinators for example

Beaucoup de concepts évoqués, mais aussi de défis sont intimement liés aux disciplines archivistiques et à la gestion de l'information...j'ai peu retrouvé d'aller-retour, de prolongements ou d'évocation de ces disciplines dans les présentations données, et peu de représentants de ces secteurs au sein de l'Université au delà du personnel de la bibliothèque.

Attendees were also interesting in the matters of inclusion and diversity:

Seek better gender representation in presenters and keep them on time too many men

les questions relatives à la gouvernance de l'information des Premières Nations, qui par ses spécificités ouvre la porte à plus de questionnements en matière d'inclusion

We also learned the value the members placed the efforts of the organizing committee made with respect to ethically and environmentally friendly hospitality.

I love the fact that everything was recyclable

Recommendations

Pursuant to the success of the fourth event in the series of *Shifting Horizon* conferences, the following recommendations are put forth as a means of building capacity within the University of Ottawa Library to sustain RDM services as well as build a community of practice across campus to ensure the long-term sustainability of such a coordinated campus-wide research support initiative. Training and capacity building in Research Data Management requires a significant investment of time, whether online or in person. Librarians (and researchers) must have sufficient incentive to undertake such training. It has been shown in the companion literature review (F. Tayler and M. Jafary, 2020), that librarians are unlikely to take on additional training, or to complete the training once enrolled, without a perceived benefit or reinforcement of the training through regular RDM service provision.

1. The self-assessed knowledge of DMPs among *Shifting Horizon II* attendees suggests that there is an adequate level of awareness of Data Management Plans in the Library to meet the definition of minimum service level requirement. Moving forward, awareness-raising and training opportunities for Library staff should be targeted at an intermediate or advanced level and should extend to campus-wide research support staff as well.
2. Establishing a set of shared training principles across campus RDM service providers will harmonize training offerings and services over the long term.
3. In-person training opportunities are best, and online instruction is the most effective when paired with an in-person component. This suggests that the *Shifting Horizons* training series should continue as an in-person on-campus workshop opportunity;² however, if capacity for coordinated campus-wide RDM services is truly to be achieved, on-campus workshop options will need to be enhanced with access to online instruction opportunities and in-person instruction delivered by experts beyond the campus, as was the case with our speaker invitations to *Shifting Horizons II*.
4. Bilingual materials were crucial to fostering inclusion with our French speaking attendees. Investment made in translation services for instructional materials is recommended to continue in all RDM awareness raising and training in the future.

² This recommendation assumes that the pandemic-related restrictions for on-campus life have been lifted; should social distancing measures still be in place, the onus will be upon designing online training options that use strategies to improve retention and completion rates.

5. To better align RDM services with the strategic priorities of the University as articulated in [*Transformation 2030*](#), the future of RDM training and for researchers and for research support staff should be integrated into a researcher-led cross-disciplinary open-science community of practice, Advanced Research Computing (Central IT), Open Access publishing support and open scholarship and digital initiatives (Library).
6. Resources should continue to be allocated to disciplinary-specific RDM training in local campus environment, as has proven successful in the two years of *Shifting Horizons* programming. As made evident through the trends highlighted in the literature review, and echoed in the evaluation feedback of participants from the *Shifting Horizons II* event, disciplinary-specific RDM instruction is preferable over general instruction for both librarians and researchers and that generalized RDM training offered by third parties have to be adapted to local contexts to be meaningful.
7. A librarian's own training opportunities will influence their ability to provide discipline-specific RDM instruction to researchers (F.Tayler and M. Jafary, 2020). There is a double gap in the training landscape, as the lack of disciplinary-specific training opportunities for librarians, further contributes to a lack of training options and service offerings for distinct research areas. Therefore, the Library should incentivize targeted professional development opportunities to align with the RDM-related goals of the Library Strategic Plan of the Library.

Conclusion

This report has shown that the *Shifting Horizons II* programming was a success on many fronts; furthermore, participant feed-back allows us to assess a state of RDM readiness in the University Ottawa Library staff. We are also able to offer some observations on RDM readiness in the University Ottawa campus-wide community as a whole. Preliminary recommendations are made for future RDM training needs and opportunities for Librarians, with some consideration to the needs of other research support staff working in RDM-related services and departments beyond the Library. Emphasis is placed on a coordinated approach to RDM training needs and opportunities for Librarians and other research support staff working beyond the Library. Within the short term, Research librarians and library staff have an adequate level of RDM awareness to continue to provide the minimum level of RDM services, with the support and guidance of the RDM Librarian. The release of the Tri-Agency policy will increase

demand for RDM services significantly. In order to build capacity for responsive RDM services, an investment in multi-year training should be paired with advocacy for FTE in RDM specialist positions.

As campus-wide capacity for RDM services is acquired, these trainees in the Library and research support staff, and new dedicated highly qualified personnel would become the core of a campus-wide community of practice. Upskilling and expanding capacity with dedicated personnel in support of RDM are all resource intensive activities, but international examples show it is well worth the investment (F. Tayler and M. Jafary, 2020). Librarians and other research support staff with disciplinary awareness and technical competencies will more successfully engage with researchers, helping them to adopt research data management practices as an extension of their disciplinary peer communities. It is clear that an investment in human resources, both through staffing additional FTE and upskilling of existing personnel, will be imperative for the future delivery of RDM support service at a competitive research university. Building capacity through dedicated staffing of RDM services is aligned with the long term vision of coordinated campus-wide RDM services, where the Library is able to reach beyond current engagement training and awareness raising on DMPs to provide support in metadata, data curation, deposit and preservation.

Appendix A Raw number for the figures and Statistics

Variable Label: Registration
Registration Question:
Concept: Registration for full day session and morning session
Note:

		Count	Percent
Answer categories	Full day training	46	86.8%
	Morning session only	7	13.2%

Variable Label: Attendee Role
Registration Question:
Concept: Organizing committee comprised of those attendees who supported in the planning and delivery of the event; Participant comprised of attendees from uOttawa and external organizations who attended either the full day or morning session; and Presenter comprised of those who presented at the event, including key note speeches and introductions, panelist, and facilitators.
Note: Derived variable

		Count	Percent
Answer categories	Organizing Committee	6	11.3%
	Participant	38	71.7%
	Presenter	9	17.0%

Variable Label: Language of correspondence
Registration Question:
Concept: Derived language of correspondence from the language in which the registrations were received.
Note: Derived variable

		Count	Percent
	English	38	71.7%

Answer categories	French	15	28.3%
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Variable Label: Organization

Registration Question:

Concept: Academic, Other is composed of attendees from external institutions from uOttawa; Government & Agency is composed of attendees from federal departments, the Tri-Council Agencies, and well as FNIGC; University of Ottawa is composed of attendees affiliated to the academic institution.

Note: Derived variable Source: Business category in registration form

		Count	Percent
Answer categories	Academic, Other	4	7.5%
	Government & Agencies	8	15.1%
	University of Ottawa	41	77.4%

Variable Label: Departmental affiliation

Registration Question:

Note: Derived/inputted variable. Source: Employee Directory (University of Ottawa; Government Electronic Directory Services – GEDS);

		Count	Percent
Answer categories	Canadian Institutes of Health Research	1	2%
	Faculty of Arts	2	4%
	Faculty of Law	2	4%
	Faculty of Medicine	1	2%
	Faculty of Social Sciences	1	2%
	First Nations Information Governance Centre	2	4%
	Information Technology	4	8%

	Library	30	57%
	Natural Sciences and Engineering Research Council of Canada	1	2%
	Office of the Vice-President, Research	4	8%
	Social Science Research Council	3	6%
	Statistics Canada	1	2%
	Telfer School of Management	1	2%

Variable Label: Organizational Unit

Registration Question:

Note:

Derived/inputted variable. Source: Employee Directory (University of Ottawa; Government Electronic Directory Services – GEDS)

		Count	Percent
Answer Categories	Collections	1	2%
	Common Law Section	2	4%
	Inspire Core Facility	1	2%
	IT Solutions, Research	2	4%
	Learning and Student Success	1	2%
	Learning and User Services	2	4%
	Library	2	4%
	Missing	9	17%
	Office of Research Ethics and Integrity	1	2%
	Office of the CIO	2	4%

Office of the Vice-Dean Research	1	2%
Open Scholarship and Digital Initiatives	3	6%
Research Enterprise	1	2%
Research Management Services	2	4%
Research Services	19	37%
Research Support and Infrastructure	1	2%
School of Epidemiology and Public Health	1	2%
School of Information Studies	1	2%

Variable Label: Knowledge of RDM Plans
Registration Question: How would you rate your knowledge of Research Data Management Plans*

Note:

	Count	Percent
Valid Values	2	3.6%
Aware, but would like to know more	28	50.9%
Curious, but not sure what all these acronyms mean!	8	14.5%
Very knowledgeable	17	30.9%

Variable Label: Professional role
Registration Question:
Note: Derived from Affiliation & other category in Registration form

		Count	Percent
Valid Values	Faculty	1	1.9%
	Government/Agency	8	15.1%
	Librarian	23	43.4%
	Library staff-non Librarian	6	11.3%
	Other	4	7.5%
	Research Support staff	2	3.8%
	University Administration	9	17.0%
