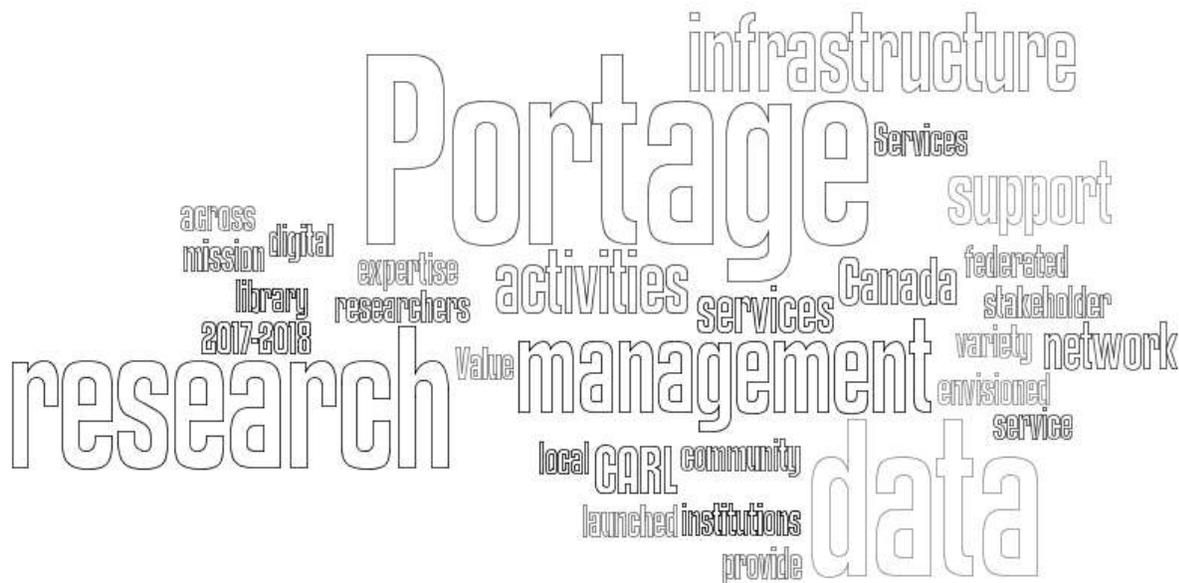


# Formative Assessment of Portage Network

## Summary Report



DECEMBER 6, 2017  
PAM BJORNSON

## About the Assessment

### Formative Assessment Objectives (as directed by CARL)

- Assess the impact and community value of Portage to date.
- Determine any course correction, new activities, or program improvements indicated by the evaluation.
- Develop an evaluation framework and indicators, and gather benchmark data to be used in future summative evaluation.

### Target Audiences\*

- Phase 1 - Canadian Association of Research Libraries (CARL) Directors (all); Portage Expert and Working Group chairs and members (all); Portage governance (sample); partners and stakeholders (sample)
- Phase 2 - External stakeholders and partners; member libraries' staff; researchers

*\*The project phases were eventually collapsed, with the exception of researchers and staff, who will be targeted after the transition into Portage's operational stage in 2019, as it was deemed premature to target these groups at this point.*

### Methodology

The external consultant, with support from the CARL office:

1. Examined core documentation (e.g. plans, progress reports, budgets, terms of reference)
2. Developed an online survey for CARL Directors and Portage Expert and Working Group participants
3. Conducted one-on-one interviews with 5 individuals involved in Portage governance and 6 external stakeholders and partners
4. Conducted 2 focus groups to deepen understanding of the platform and services with members of: Federated Research Data Repository, Dataverse North and Data Management Planning (DMP) Assistant teams
5. Wrote a final report summarizing findings and recommendations, and a detailed assessment including interview comments and suggestions

### Evaluation Framework

The Summary Report's findings follow the Evaluation Framework themes (see Appendix D) of:

- A. Relevance
- B. Implementation
  - Community of Practice
  - Engagement and Communications
  - Platform Infrastructure and Service Development
  - Governance
- C. Performance

Recommendations presented in the Key Findings are a result of the survey and interview results as well as independent analysis.

NOTE: This report is a summary. There is also a longer report that presents detailed findings including a summary of interview and focus group comments.

## What is the Portage Network?

Portage is a national RDM initiative to assist researchers and other RDM stakeholders through a library-based network of expertise on RDM and national platforms for planning, preserving, and discovering research data. Portage is managed by the Canadian Association of Research Libraries (CARL).

### Background

Project ARC, Portage's progenitor, was established in March 2014 as a one-year project to lay the foundation for implementing a national library-based RDM network. Stakeholders included the 4 regional academic library consortia, as well as the Canadian Research Knowledge Network (CRKN), CARL, Compute Canada, and Research Data Canada (RDC), and involved some of Canada's foremost RDM experts. The project had achieved four objectives at its conclusion:

1. Provided support for institutions to deliver data management plans (including adoption of tools for the Canadian environment and providing a single access point to information resources).
2. Developed a plan for the implementation of a network of expertise for the curation of research data in Canada.
3. Undertook a pilot to create an exemplar for a research data preservation service, built on existing technologies currently in use in different regions.
4. Developed an organizational framework and operational plan for the network.

Building on Project Arc, the Portage Network was established in March 2015 to evolve into a full-fledged RDM service. Its original objectives, a Network of Expertise and a National Preservation and Discovery System, were later expanded to:

1. *Fostering a community of practice for RDM* by building a network of expertise. Critical aspects of this are to coordinate and expand on expertise and services within Canadian academic libraries and to build capacity in specific areas.
2. *Facilitating and providing leadership in infrastructure development* by advancing national platforms for planning, curating, preserving, and discovering research data. This requires working with infrastructure providers, both in the library community and elsewhere, to develop new tools where gaps exist and to bridge systems where interoperability is needed.
3. *Engaging and advocating for RDM with stakeholder communities*. Managing research data across Canada requires community-wide involvement and collaboration. The preceding objectives are based on having a thorough understanding of researchers' needs and solid working relationships with funding agencies, data stewards, infrastructure providers, regional academic library consortia and international collaborators.

A three-year transition period (to 2018) was envisioned for Portage to become fully operational. In 2015, a Director was appointed for two years, and the Portage Steering Committee was struck. With CARL support, Portage has also expanded staff to support communications, governance, and service development. The Portage Business Plan (October 2016) offers a comprehensive view of Portage vision, objectives and deliverables for 2017.

## Executive Summary

The scope of the Portage assessment included an online survey<sup>1</sup> distributed to CARL directors and Expert and Working Group members, eleven one-on-one interviews, and two focus groups. 63 individuals participated in total, 6 of them external stakeholders or partners in Portage projects. In addition, the consultant reviewed core documents including business plans and updates, terms of reference and minutes of the committees and working groups, and background documents.

The Portage Network envisions comprehensive support for research data management at a national scale, and views its role as contributing a sustainable network of library-based services and collaborative infrastructure. By expanding and coordinating existing expertise, services, and infrastructure, and partnering to build new tools, academic researchers in Canada will have access to the support they need for research data management. The network model supports service delivery by local staff at institutions.<sup>2</sup>

Portage has made significant progress from 2015 to 2017, delivering on many of the goals outlined in planning documents such as the activity reports for 2015-16, the Portage Business Plan: 2017 and 2018, and various updates. This has been accomplished with a relatively small budget, combined with the in-kind contributions of experts from CARL member institutions. CARL's investment has also leveraged a partnership contribution of \$2.2M from Compute Canada for the Federated Research Data Repository (FRDR).

Some of the key strengths of the initiative include the development of the network of expertise, the preparation of support to institutions and researchers to cope with future policy changes by funders in Canada and internationally regarding data retention and access, and establishment of positive relationships with other players within the academic research environment.

The Key Findings section provides ten recommendations that build on the excellent work done so far. Some encourage Portage to continue or adapt current practices, and others to institute some new practices. While Portage has been delivering on planned outcomes, it has had less success in communicating the vision for the future and progress to date to some specific internal and external audiences. Increased researcher involvement is critical to understanding their needs, and ensuring relevance and future uptake of Portage services. In addition, a 'cost of ownership' multi-year budget would be valuable to the CARL sponsors in demonstrating ROI, and a performance and evaluation framework would assist to monitor progress and demonstrate value to all stakeholders.

The Portage initiative is still in the development phase, with some components of the envisioned services and infrastructure completed and evolving further (e.g. Data Management Planning Assistant), while the Federated Research Data Repository is in a 'soft' launch, with continued beta testing and full production in spring 2018. The FRDR video on the Portage web site<sup>3</sup> gives a glimpse of the eventual suite of services and how they will fit together.

CARL and its members have facilitated the development of the network and provided start-up operating funds. For this reason, the interviews and survey responses by CARL members carried substantial weight in the development

---

<sup>1</sup> See Appendix D for Survey Results. A detailed report including more extensive comments from the survey, interviews and focus groups, is available from the CARL office.

<sup>2</sup> Portage Business Plan: 2017 and 2018, p.3

<sup>3</sup> Portage Network website: <https://portagenetwork.ca/frdr-dfdr/>

of recommendations. There is cautious optimism that within the next two years funding sources will become available to advance Portage from the developmental phase to sustainable ongoing operations providing a strong national network of services and tools. At the same time, it will be important to assess progress regularly and to plan for various scenarios.

## Key Findings

The key findings are organized by the three assessment themes used in the survey and the interviews: relevance, implementation, and performance.

### Theme 1: Relevance

Relevance refers to the alignment of Portage objectives with those of CARL and its member institutions, as well as the value of the Portage outcomes to these and other stakeholders.

CARL members are clearly supportive of the Portage Network and find it aligned to CARL and institutional directions. However, there is some frustration with communications about the initiative (somewhat technical), and concerns about sustainability. It would also be useful to Directors to have a clearer understanding of where Portage fits within the overall RDM ecosystem, taking into account domain and institutional repositories, and other data services.

**RECOMMENDATION 1:** That Portage better inform CARL members about the Portage Network, its objectives, and relevance to them and their institution as a whole.

External stakeholders were unanimous in their positive view of Portage relevance and value. However, they agreed with some of the Portage and CARL leaders on the need for clear delineation of roles between CARL/Portage and various other organizations such as Research Data Canada (RDC). In addition, there was some confusion about whether Portage intended to serve a broader community than the universities (e.g. non-university research centres, government) and how this fit with Tri-Agency policies.

**RECOMMENDATION 2:** That Portage work closely with the Leadership Council for Digital Research Infrastructure (LCDRI) and RDC to improve clarity of roles.

### Theme 2: Implementation

The implementation section aimed to identify how well the Portage program was designed and implemented to date and what could be improved, including but not limited to the community of practice, communications and engagement, platform infrastructure and services, and governance.

#### COMMUNITY OF PRACTICE

The Network of Expertise and its distributed nature is viewed as very positive by participants and external stakeholders. It is viewed as a means of developing and sharing expertise, and considered very helpful by the external stakeholders interviewed.

## MANAGEMENT BY DESIGN / PAM BJORNSON

The coordination of the community of practice and their multiple Expert and Working Group outputs is provided by the Portage Director, with exchange of information and progress occurring at the newly formed Council of Chairs forum. The Chairs also reach out to other related groups to coordinate as needed. This relatively light weight project management approach seems to work well at present.

### ENGAGEMENT AND COMMUNICATIONS

CARL members and Portage leaders made a number of suggestions for improving communications, from a monthly teleconference with interested CARL Directors to a newsletter with focused commentary on RDM, presumably for a broader audience. The Portage web site and associated resources are viewed as very strong and should be maintained and enhanced.

Significant communication is already occurring via a multitude of channels, but with the exception of the Portage Director's outreach activities, these are often internal to Portage governance (CARL) and participants. The current communication plan is detailed but may be too broad and ambitious for the available staff to successfully carry out. By focusing on internal audiences and tangible products such as minutes, the more difficult tasks like developing key messages and a strategy for delivering these to specific target audiences could be put at risk, or neglected. The profile of the project needs to be higher within and beyond the academic library community.

**RECOMMENDATION 3:** That Portage inform CARL members of the process for forming Expert and Working Groups, and keep them informed about the composition and achievements of the groups to ensure they are aware when their staff are participating.

**RECOMMENDATION 4:** That Portage develop a Strategic Communication and Outreach Plan targeting specific audiences and linked to objectives for the coming year, and update the detailed Communications Calendar. One objective should be to identify key target audiences (e.g. a stakeholder map) and prepare high level messages for key decision makers within university libraries, the broader academy, and selected stakeholder groups.

The survey results indicated strong satisfaction from universities that had received Portage visits. These had also been most successful when engaging the VP Research office, CIO, ethics and others.

**RECOMMENDATION 5:** That the Portage Director complete visits to the remaining 16 CARL universities, adapting the engagements to each institution's needs and broadening discussions to key decision-makers such as the University Librarians, CIO, Vice President Research team, and Research Services. The two federal CARL members (Library Archives Canada and National Research Council) should also be kept informed.

### PLATFORM INFRASTRUCTURE AND SERVICES

There is significant complexity to the platforms and suite of services that are currently under development. Each of the Expert and Working Groups are contributing to one or more aspects of the overall Portage plan, and even starting to improve and evolve some of the services (e.g. DMP Assistant). For the most part, the groups are highly motivated and see where their work fits within Portage.

However, a succinct description of the future state for Portage, preferably developed with stakeholders, would be valuable. The work done on an overall RDM future state with LCDRI is very useful and may be helpful in positioning Portage within that overall RDM vision. In addition, one expert group member commented that they had not seen a

## MANAGEMENT BY DESIGN / PAM BJORNSON

service plan, and the consultant notes there were diverse takes among interviewees on what was a platform, service or tool. A multi-year service strategy or plan would be helpful for expert and working group participants, and for explaining the value and outputs of the project to researchers and stakeholders of all kinds.

**RECOMMENDATION 6:** Engage stakeholders in developing and promoting a view of the future state for Portage services and adapt the service plan as needed.

A key risk identified by expert group participants and some external stakeholders was whether Portage's platforms and services would be adopted and used. A number of factors could influence adoption, including granting council and institutional policies, communications, and researcher preferences. Portage is already working closely with the Tri-Council to align services, and assisting institutions (with RDC) to adopt RDM policies. A thorough understanding of researcher behaviours and preferences would assist Portage to increase adoption by developing services that are, to the extent possible, integrated with researcher workflows and specific needs.

**RECOMMENDATION 7:** Researcher testing and involvement in service development is essential to success of the Portage initiative, and is already occurring. This should be ramped up significantly in the next stage of development.

### EFFECTIVE GOVERNANCE

The new governance model, comprised of the CARL Directors Portage Steering Committee and the Portage Advisory Committee (external stakeholders chaired by a Vice President Research), was launched earlier this year. Early reports from those directly involved see some benefits such as enhanced direction by CARL, and a more independent voice for stakeholders. Since either body has held only inaugural meetings so far, it is too early to tell if the model is workable. The newly established Council of Chairs, comprising chairs of the Expert and Working Groups, is considered very useful, as it is aiding the chairs to see the larger picture and inter-relationships between the work of the different groups.

While the majority of CARL Directors believed that Portage has strong governance, 20% were unsure, so some gaps in communication are evident. Portage could examine the composition of the Steering Committee to ensure there is strong representation of institutions that are bearing a larger load in developing the platforms and services. External partners recommended that the Portage Advisory Committee maintain and increase broad representation from the research world involved in data.

**RECOMMENDATION 8:** The current governance model is fit for purpose and should be maintained for now. As Portage completes its transition from its developmental phase to achieve operational status, governance should be revisited based on the sustainability model and funders, and simplified, to the extent possible.

### Theme 3: Performance

Performance was analyzed based on results and impacts to date, the resources utilised to achieve them, and the perceived return on investment. Risks and challenges were explored including funding and sustainability. Measuring and tracking impact were also discussed.

Only 62% of the CARL Directors responding to the online survey agreed Portage has had sufficiently impactful results to date to provide a good return on investment. 23% disagreed and 15% were unsure. Individuals involved

## MANAGEMENT BY DESIGN / PAM BJORNSON

in Portage governance were much more positive about results to date. This could be the result of being better informed about outcomes and progress, or indicate other factors.

External stakeholders found the outcomes to date very valuable, and building an important foundation for the future. They appreciated CARL and member institutions' proactive role in developing and supporting Portage, but recognized that CARL could not carry this alone and other support would be needed.

### ACHIEVEMENTS

When asked an open-ended question about specific achievements and their value to participating organizations and stakeholders, responses were remarkably similar across all the groups surveyed. The top 5 from each are listed below.

Portage Achievements				
	CARL Directors	Portage Governance	Network of Expertise	External Stakeholders
1.	Data Management Planning tool	Data Management Planning tool	Data Management Planning tool	Data Management Planning tool
2.	Engagement and awareness	Awareness of library role and building relationships	Engagement and awareness	Federated Research Data Repository
3.	Coordinating w/ other Cdn. stakeholders	Support to Tri-Council policies	Federated Research Data Repository beta w/ Compute Canada	Engagement and awareness
4.	Creating a network of RDM professionals	Positioning libraries to support RDM best practices	Coordinating w/ other Cdn. stakeholders	Expertise development
5.	Federated Research Data Repository	Preservation Services and Federated Research Data Repository	Community of Practice/ Network of Expertise	Portage contributions to their projects

How the initiative was being managed was also noted as important by external stakeholders, who described it variously as democratic and constructive, collaborative, and contributing to the articulation of needs and policy implementation.

Respondents offered their thoughts on the key risks and challenges:

- Will it (Portage Network) meet researcher needs and be used?
- Securing long term sustainable funding and keeping momentum - providing this level of service (national scale) on a volunteer basis not workable and need dedicated longer-term funding and FTEs
- Communication and awareness about the great tool set we are offering
- Collaborating across different stakeholders (including the non-library community)
- Constructively sharing out responsibilities and coordinating between all the actors in the space (e.g. RDC, Compute Canada, LCDRI, CARA, etc.)

### Return on Investment

Appendix C shows the Portage budget from 2015 to 2018, drawn from CARL records. The multi-year budget is an important tool for demonstrating CARL support and its cumulative impact. The Portage budget reflects the central costs of Portage, including leadership, national coordination, engagement, and in 2017-18 some of the necessary support for training and communications. In addition to CARL funding, additional project-based income has been secured (e.g. Canadian Space Agency, SSHRC). Support for future sustainability has also been a priority, and

## MANAGEMENT BY DESIGN / PAM BJORNSON

Portage has worked extensively with LCDRI on a submission to Innovation Science and Economic Development (ISED).

Portage has been run in a cost-effective manner to date, with some interviewees expressing surprise that so much has been accomplished with so little funding. The inefficiency and added cost of the alternative (no coordination) was widely recognized, that is each institution building and running their own services and platforms and building expertise independently. There was also strong support for Portage to continue, to expand and maintain these tools, and to fill this role.

Portage's financial sustainability is a crucial question internally and externally. All external stakeholders stated that it is very important to their organization that Portage be stabilized. There were a variety of suggestions for how this might be accomplished. These included a mix of federal and institutional (university) support, with several noting that the Leadership Council on Digital Research infrastructure (LCDRI) has been asked by the federal government to provide background and proposals for data management as well as digital research infrastructure coordination. This could result in funding for data management which could benefit the Portage Network.

Several stakeholders credited CARL for funding Portage in its development stage. However, it was recognized that support needs to come from a broader base.

As funders and sponsors of the Portage Network, the CARL Directors should receive more executive-level information to help them to assess the costs and benefits of the initiative. For example, it would be useful for Directors to see expenditures by objective (e.g. awareness, community of practice, and platform/services). An understanding of the in-kind contributions of the academic libraries would also be useful for the directors and external stakeholders.

**RECOMMENDATION 9:** That CARL and Portage develop a financial overview that shows the multi-year development phase income and costs as well as future operational income and costs. The short, medium and long-term achievements should also be communicated and tracked. This overview would assist both CARL Directors and Portage to assess the return on investment from Portage services.

### TOWARDS MEASURING PERFORMANCE IN FUTURE

Interviewees were asked to suggest what the key success indicators should be when developing a future evaluation framework for Portage. Their responses can be summarized as follows:

- Various quantitative metrics showing usage such as number of RDM plans, training events, registered datasets, datasets stored, terabytes deposited.
- The services, training, and tools available – these are the foundation of key indicators.
- Changes in researcher, institution and funder culture towards data sharing and RDM
- Ease of use e.g. a seamless service model that meshes with researchers' work flows.
- Portage having a defined role in the RDM ecosystem.
- A sustainable funding model

**RECOMMENDATION 10:** That Portage develop an evaluation framework to measure relevance, effectiveness, impact and sustainability. Usage of services and platforms could be monitored throughout the development phase and operational roll-out, and services adapted as needed based on results.

## CONCLUSION

The consultant's opinion, based on the research completed and feedback received during the assessment, is that the Portage Network initiative is effectively and efficiently managed, delivers results within projected timelines, and has an enthusiastic and well-equipped expert community supporting it.

The three themes of the assessment were relevance, implementation and performance. In terms of relevance, internal stakeholders find it aligned to CARL and their institutional directions. Comments by internal and external stakeholders highlighted that Portage has begun to play an essential role in Canada's RDM ecosystem. Portage has begun to establish libraries as having a logical and acknowledged role in the university RDM landscape, and positioned them to provide expert support to researchers in future.

Under the implementation theme, the Network of Expertise has delivered a number of foundational elements supporting RDM discovery, curation, preservation and training. These all contribute to the more visible and tangible services and tools such as the Data Management Planning Assistant, which is operational, and the Federated Repository, now in limited production. The governance structure is deemed fit for purpose for this phase of Portage, as it meets the dual need for sponsor oversight as well as stakeholder engagement and input.

Some of the Implementation aspects that need to be strengthened are already receiving more attention, including enhanced communications, a new service manager, and support to the various governing bodies. Other gaps have received less attention but may be essential to managing risks and to future success. These include greater inclusion of researchers and non-librarians in planning, development and testing, and clearer articulation of Portage's future state and target audiences for its services.

Under the Performance theme, results and impacts to date have been positive and in line with plans. A multi-year financial overview tied to objectives and outcomes would aid assessment of the return on investment and a stronger performance framework would be useful to evaluate and provide evidence of outcomes and impact.

At present, there are several unknowns which will impact on the future state. Medium to long term financial sustainability is a critical one. As well, the level of eventual take-up of RDM services by researchers and institutions, and how RDM itself will evolve over time present opportunities and risks. For example, there are other current or emerging alternatives for data deposit for researchers, including major publishers' data deposit services and various disciplinary offerings and RDM solutions. The Tri-Council approach to implementing their RDM policies will also affect the rate of adoption of Portage Network services. All of these risks will need to be monitored and managed.

Portage has built a strong foundation for RDM in Canadian universities. It has benefitted from the support of the larger academic libraries across Canada, and the generous participation of a growing number of experts within those institutions. Compute Canada's partnership in the development of the Federated Research Data Repository has also been very positive. Continuing to build strong relationships with all players in the research data environment will be crucial to the evolution and long-term sustainability of this collaborative initiative.

## LIST OF RECOMMENDATIONS

### Relevance

**RECOMMENDATION 1:** That Portage better inform CARL members about the Portage Network, its objectives, and relevance to them and their institution as a whole.

**RECOMMENDATION 2:** That Portage work closely with the Leadership Council for Digital Research Infrastructure (LCDRI) and RDC to improve clarity of roles.

### Implementation

**RECOMMENDATION 3:** That CARL and Portage inform Directors of the process for forming Expert and Working Groups, and keep them informed about composition of the groups to ensure they are aware when their staff are participating.

**RECOMMENDATION 4:** That Portage develop a strategic Communication and Outreach Plan targeting specific audiences and linked to objectives for the coming year, and update the detailed Communications Calendar. One objective should be to identify key target audiences (e.g. a stakeholder map) and prepare high level messages for key decision makers within university libraries, the broader academy, and selected stakeholder groups.

**RECOMMENDATION 5:** That the Portage Director complete visits to the remaining 16 CARL universities, adapting the engagements to each institution's needs and broadening discussions to key decision-makers such as the University Librarians, CIO, Vice President Research team, and Research Services. The two federal members (Library Archives Canada and National Research Council) should also be kept informed.

**RECOMMENDATION 6:** Engage stakeholders in developing and promoting a view of the future state for Portage services and adapt the service plan as needed.

**RECOMMENDATION 7:** Researcher testing and involvement in service development is essential to success of the Portage initiative, and is already occurring. This should be ramped up significantly in the next stage of development.

**RECOMMENDATION 8:** The current governance model is fit for purpose and should be maintained for now. As Portage completes its transition from its developmental phase to achieve operational status, governance should be revisited based on the sustainability model and funders, and simplified, to the extent possible.

### Performance

**RECOMMENDATION 9:** That CARL and Portage develop a financial overview that shows the multi-year development phase income and costs as well as future operational income and costs. The short, medium and long-term achievements should also be communicated and tracked. This overview would assist both CARL Directors and Portage to assess the return on investment from Portage services.

**RECOMMENDATION 10:** That Portage develop an evaluation framework to measure relevance, effectiveness, impact and sustainability. Usage of services and platforms could be monitored throughout the development phase and operational roll-out, and services adapted as needed based on results.

## APPENDICES

- A. PORTAGE GOVERNANCE STRUCTURE
- B. INTERVIEW AND FOCUS GROUP PARTICIPANTS
- C. PORTAGE BUDGET
- D. FORMATIVE ASSESSMENT EVALUATION FRAMEWORK
- E. PORTAGE FORMATIVE ASSESSMENT SURVEY RESULTS

APPENDIX A: PORTAGE NETWORK GOVERNANCE

CARL Directors Portage Steering Committee (CDPSC)

The CARL Directors Portage Steering Committee (CDPSC) will consist of a minimum of three Directors appointed by the CARL Board to provide additional member input into Portage directions. The Chair of this group will also sit as a member of the Portage Advisory Committee.

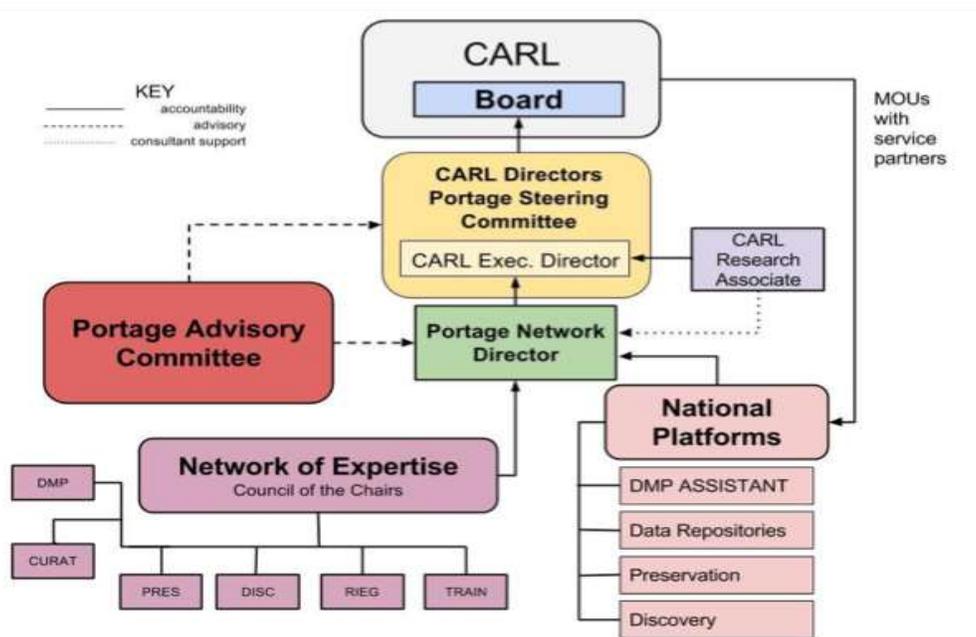
The CDPSC sets directions and priorities during the two-year funding period while operational services continue to advance and collaborative platforms are further developed for RDM services. The CDPSC recommends to the Board plans for Portage during and beyond this period, and supports the Portage Director in preparing Governance and Business models for ongoing operations. Furthermore, it will review and recommend to the Board operating principles, policies, and procedures as well as priorities for investment and areas for development.

Portage Advisory Committee (PAC)

The Advisory Committee (AC) will offer guidance to the CARL Directors Portage Steering Committee on directions and priorities during the period of the current Business Plan, 2017-2018. The PAC will also provide advice on the preparation of plans for Portage beyond this period, specifically helping the Portage Director prepare Governance and Business models for ongoing operations. Furthermore, it will review and advise on operating principles, policies, and procedures and will identify priorities for investment and areas for development.

Council of Chairs

The Network of Expertise Council of Chairs is the Portage Director’s team that coordinates the work of the Expert Groups and informs the development of services across the network. This group serves as an organizational mechanism that supports the integrated operation of the Portage Network of Expertise, including goal setting for both the short and longer term.



APPENDIX B: INTERVIEWS AND FOCUS GROUP PARTICIPANTS

*INTERNAL:*

One on one Interviews with:

- Chair, CARL Directors Portage Steering Committee
- Chair, Portage Advisory Committee
- Past Chair, CARL Directors Portage Steering Committee
- CARL Executive Director
- Portage Director

Focus Groups (2) with:

- Platform Infrastructure (FRDR) – 11 including 4 Expert Group chairs
- Dataverse North and DMP Assistant – 4 including chair of DMP Expert Group

*EXTERNAL:*

One on one interviews with stakeholders and project partners:

- SSRCC DMP Workshop
- CIHR
- Canadian Space Agency Life Sciences contract consultant (also LCDRI member)
- CARA and CAREB
- LCDRI Data Management WG
- RDC

APPENDIX C. PORTAGE BUDGET 2015-18

2015-18 Budget - Portage   Budget 2015-18 - Portage					
				<b>Estimated</b>	
			Plan de Budget	<b>Year-end</b>	
	2015	2016	2017	2017	2018
	Actual	Actual	Budget Plan	<b>Fin d'année provisoire</b>	Budget
<b>Revenue - Revenus</b>					
Member Sponsorship			283 500	283 500	283 500
CARL Project Funds	89 418	210 121			
Portage - contract revenue			20 000	27 216	
Roll-over of 2017 funds					33 739
<b>Total Revenue</b>	<b>89 418</b>	<b>210 121</b>	<b>303 500</b>	<b>310 716</b>	<b>317 329</b>
<b>Expenditures - Dépenses</b>					
Salaries					
Staff			170 000	196 902	260 046
Portage Consultant	22 769	26 534	24 000	6 152	5 000
Program Delivery					
Governance				7 637	7 700
Training Program			67 000	20 895	9 500
Stakeholder Meetings			25 000	33 350	25 000
Program Support & Communications			17 500	9 983	9 993
Sponsorship				2 058	
<i>Subtotal</i>	<i>66 649</i>	<i>182 687</i>			
<b>Total Expenditure</b>	<b>89 418</b>	<b>210 121</b>	<b>303 500</b>	<b>276 977</b>	<b>317 239</b>
Surplus (deficit)	0	0	0	33 739	0

APPENDIX D. EVALUATION FRAMEWORK

Evaluation issue	Questions	Data source
Relevance	Do the objectives of Portage align with the strategic directions of CARL and its member institutions?	CARL Director Survey Interviews
	Are the objectives of Portage feasible? Are the objectives of Portage clear?	CARL Director Survey Interviews Focus Group
	How valuable are the Portage Network outcomes to date to other stakeholders?	Interviews
Implementation  How well was the program designed and implemented to date and what could be improved, including but not limited to:	<p>Community of Practice and Expert Groups:</p> <p>Is the process for forming Portage Expert/Working Groups open, fair, and transparent?</p> <p>Does the process engage people with appropriate knowledge for the task?</p> <p>Do the Expert/Working Group have clear terms of reference, timeframes, and deliverables?</p> <p>Do they have clear and achievable work plans?</p> <p>Are the Portage Expert/Working Groups achieving expected results?</p> <p>Are Expert/Working Groups engaged and satisfied with their experience at Portage?</p>	<p>CARL Director Survey Expert/Working Group Chair Survey</p> <p>Interviews Expert/Working Group Participant Survey</p>
	<p>Platform Infrastructure and Services:</p> <p>Have the Portage platform infrastructure needs been well described and mapped out?</p> <p>Are platforms well scoped and proceeding as planned?</p> <p>Have the Portage services been well planned and scoped?</p> <p>What is the greatest challenge or risk for this initiative?</p>	Focus Groups
	<p>Engagement and Communications:</p> <p>Do CARL Directors feel they are informed enough about Portage?</p> <p>Do CARL members know how to find the information they need?</p> <p>For CARL members that have received a Portage visit, was</p>	CARL Director Survey Interviews

Evaluation issue	Questions	Data source
	<p>this useful/successful?</p> <p>For CARL institutions that have not received a workshop, would they like to receive one? What programming content would they want to receive?</p> <p>Are Expert/Working Group participants informed enough about Portage?</p> <p>Do Expert/Working Group participants know how to find the information they need?</p>	Expert/Working Group Participant Survey
	<p>Governance:</p> <p>Does Portage have effective governance?</p>	CARL Director Survey Expert/Working Group Chair Survey Interviews
Performance (effectiveness, efficiency, and economy)	<p>Has Portage had sufficiently impactful results to date to provide a good return on CARL's investment?</p> <p>What are the most important achievements of Portage to date?</p> <p>How do our stakeholders rate the success of Portage and what are specific benefits do they identify?</p>	CARL Director Survey Expert/Working Group Participant Survey  Interviews
	<p>Is it a cost-effective approach? Are there better alternatives? How might this initiative be sustained in future?</p>	Interviews Focus Groups
	<p>What are the key indicators of success?</p>	Interviews Focus Groups
	<p>How are resources being allocated and used? Could this have been done with fewer resources? Are more resources required?</p>	Financial and administrative data

APPENDIX E. PORTAGE FORMATIVE ASSESSMENT SURVEY RESULTS

Which of the following best describes your involvement with Portage?

Respondents: 52

Choice	Percentage	Count
CARL Director or Board Member	30.76%	16
Expert/Working Group Chair or Participant	69.23%	36

16 out of 29 Directors (Response rate of 55.17 %)

36 out of 76 Expert/Working group Participants (Response rate of 47.36 %)

\*Important to note that not all respondents answered all questions.

Portage Objectives

Please indicate your level of agreement with each of the following statements:

Respondents: 16

	Strongly agree	Agree	Disagree	Strongly disagree	Unsure	Total
The objectives of Portage align with the strategic directions of CARL and its member institutions.	43.75% (7)	37.50% (6)	6.25% (1)	0.00% (0)	12.50% (2)	16
The objectives of Portage are feasible.	18.75% (3)	62.50% (10)	6.25% (1)	0.00% (0)	12.50% (2)	16
The objectives of Portage are clear.	12.50% (2)	50.00% (8)	12.50% (2)	12.50% (2)	12.50% (2)	16

Expert/Working Groups

Please indicate your level of agreement with each of the following statements:

Respondents: 15

	Strongly agree	Agree	Disagree	Strongly disagree	Unsure	Total
The process for forming Portage Expert/Working Groups is open, fair, and transparent.	6.67% (1)	66.67% (10)	6.67% (1)	0.00% (0)	20.00% (3)	15
The process engages people with appropriate knowledge for the task.	26.67% (4)	60.00% (9)	0.00% (0)	0.00% (0)	13.33% (2)	15

MANAGEMENT BY DESIGN / PAM BJORNSON

Communications

Please indicate your level of agreement with each of the following statements:

Respondents: 15

	Strongly agree	Agree	Disagree	Strongly disagree	Unsure	Total
CARL members feel they are informed enough about Portage.	13.33% (2)	46.67% (7)	26.67% (4)	6.67% (1)	6.67% (1)	15
CARL members know how to find the information they need	26.67% (4)	33.33% (5)	20.00% (3)	13.33% (2)	6.67% (1)	15

Institutional Outreach

Has your institution received a site visit/presentation from the Portage Director, on the topic of Research Data Management?

Respondents: 14

Choice	Percentage	Count
Yes	35.71%	5
No	64.29%	9

Do you think that the visit/presentation benefited your institution?

Respondents: 5

Choice	Percentage	Count
Yes	100.00%	5
No	0.00%	0

Do you intend to plan an RDM themed site visit/presentation with the Portage Director in the future?

Respondents: 9

Choice	Percentage	Count
Yes	77.78%	7
No	22.22%	2

Results

Portage has had sufficiently impactful results and there has been a good return on our investment.

Respondents: 13

Choice	Percentage	Count
Strongly agree	23.08%	3

MANAGEMENT BY DESIGN / PAM BJORNSON

Agree	38.46%	5	
Disagree	23.08%	3	
Strongly disagree	0.00%	0	
Unsure	15.38%	2	

How would you rate the success of Portage to date?

Respondents: 13

Choice	Percentage	Count	
Excellent	38.46%	5	
Good	23.08%	3	
Fair	30.77%	4	
Poor	0.00%	0	
Unsure	7.69%	1	

Are you a member of the CARL Board of Directors or the CARL Directors Portage Steering Committee?

Respondents: 13

Choice	Percentage	Count	
Yes	38.46%	5	
No	61.54%	8	

Governance

Portage has effective governance (Clarity of accountability, reporting, etc.).

Respondents: 5

Choice	Percentage	Count	
Strongly agree	40.00%	2	
Agree	40.00%	2	
Disagree	0.00%	0	
Strongly disagree	0.00%	0	
Unsure	20.00%	1	

Expert/Working Groups

Does your Expert/Working Group have clear terms of reference, time-frames and deliverables?

Respondents: 36

Choice	Percentage	Count	
Yes	97.22%	35	
No	2.78%	1	

Do you have a clear and achievable work plan?

Respondents: 36

Choice	Percentage	Count	
Yes	86.11%	31	
No	13.89%	5	

Are the Portage Expert/Working Groups achieving expected results?

Respondents: 36

Choice	Percentage	Count	
Yes	91.67%	33	
No	8.33%	3	

How would you rate your level of engagement and satisfaction with your Expert/Working Group experience at Portage?

Respondents: 35

Choice	Percentage	Count	
Excellent	37.14%	13	
Good	51.43%	18	
Fair	11.43%	4	
Poor	0.00%	0	
Unsure	0.00%	0	

MANAGEMENT BY DESIGN / PAM BJORNSON

Communications

Please indicate your level of agreement with each of the following statements:

Respondents: 31

	Strongly agree	Agree	Disagree	Strongly disagree	Unsure	Total
Expert/Working Group participants are informed enough about Portage.	29.03% (9)	64.52% (20)	3.23% (1)	0.00% (0)	3.23% (1)	31
Expert/Working Group participants know how to find the information they need.	29.03% (9)	64.52% (20)	3.23% (1)	0.00% (0)	3.23% (1)	31

Results

How would you rate the success of Portage to date?

Respondents: 30

Choice	Percentage	Count
Excellent	33.33%	10
Good	50.00%	15
Fair	10.00%	3
Poor	0.00%	0
Unsure	6.67%	2

Do you chair an Expert/Working Group?

Respondents: 30

Choice	Percentage	Count
Yes	16.67%	5
No	83.33%	25

Do you report on the work plan?

Respondents: 5

Choice	Percentage	Count
Yes	100.00%	5
No	0.00%	0

MANAGEMENT BY DESIGN / PAM BJORNSON

Please indicate your level of agreement on each of the following statements:

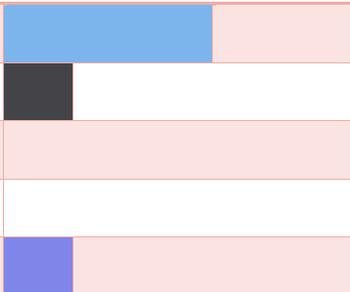
Respondents: 5

	Strongly agree	Agree	Disagree	Strongly disagree	Unsure	Total
The process for forming Portage Expert/Working Groups is open, fair, and transparent.	60.00% (3)	40.00% (2)	0.00% (0)	0.00% (0)	0.00% (0)	5
The process engages people with appropriate knowledge for the task.	20.00% (1)	80.00% (4)	0.00% (0)	0.00% (0)	0.00% (0)	5

Governance

Portage has effective governance (Clarity of accountability, reporting, etc.).

Respondents: 5

Choice	Percentage	Count	
Strongly agree	60.00%	3	
Agree	20.00%	1	
Disagree	0.00%	0	
Strongly disagree	0.00%	0	
Unsure	20.00%	1	