WEST: Toward a Western Regional Storage Trust

Planning Meeting, January 7 – 8, 2010

12/17/2009

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WEST Planning Project Overview

In September 2009, the University of California was awarded a grant by the Andrew W. Mellon Foundation to bring together library leaders in the Western region of the United States to plan a distributed, retrospective print repository service for journals.

The objectives of the 9-month WEST Planning Project are to:

- Design a business model, including operating plan, governance, and financial model

- Develop selection criteria incorporating risk management principles to identify materials to be archived

- Establish standards for low-level validation and disclosure of holdings

The timetable for the planning project is:

- Planning phase (October – December 2009)
    - Communicate with potential participants
    - Develop alternative models

- Meeting 1: January 2010
    - Explore selection criteria, risk management and validation standards
    - Select preferred business model(s)
    - Identify working teams to develop further details

- Design Phase: February – May 2010
    - Refine the business model(s) and develop selection criteria
    - Develop the MOU
    - Analyze print holdings across participating institutions

- Meeting 2: early June 2010
    - Select final business model
    - Approve policies and standards embodied in MOU
    - Endorse initial title list for archiving
    - Consider next steps for implementation

    Final Report: June 30, 2010

Participants

Potential participants in the WEST project which will be represented at the first planning meeting include:

- California Digital Library
- University of California, Berkeley
- University of California, Los Angeles
- University of California, San Diego
- Stanford University
- Huntington Library
- Getty Institute Library
- University of Washington
- Washington State University
- University of Oregon
- Oregon State University

- University of Arizona
- Arizona State University
- Orbis-Cascade Alliance
- Greater Western Library Alliance (GWLA)
- Statewide California Electronic Library Consortium (SCELC)
- California Institute of Technology
- Occidental College
- Claremont College

Overview of Shared Print Archive Initiatives

A number of shared print archive projects are in planning or under way in the United States and Canada (see list in Attachment 1). Some of the initiatives listed there are or will be **"built archives"** which are proactively created through a process of selection, consolidation, and (sometimes) validation. In other cases, groups of libraries have created **"de facto archives"** of materials already in storage facilities or campus libraries that are subject to an explicit retention and service agreement.

Examples of built archives are:
- University of California Shared Print JSTOR archive
- Orbis-Cascade Distributed Repository Program (archiving JSTOR and American Chemical Society)
- PALCI Distributed Journal Archive (ACS and American Institute of Physics)

Examples of de facto archives are:
- PASCAL (Colorado) shared journals
- Triangle Research Libraries Network (TRLN) Shared Copy Program
- Washington Research Library Consortium (WRLC) Shared Copy Program

Overview of Business Models

The business models to be considered for WEST will describe the major components of a functioning retrospective journals repository network:

- Operating plan: Selection of archive contents, validation, archive location(s), disclosure, and access/delivery

- Administrative plan: Ownership and retention agreement, organization structure, financial model

During November and December 2009, the WEST project consultant Lizanne Payne spoke with potential participants by phone, to ascertain their goals and priorities for the proposed print repository network. These preliminary conversations also considered these questions:

- Selection: which of the following categories would be highest priority to archive?
  a) Print titles corresponding to <u>widely-available electronic</u> journals (dual-format titles)
  b) Print titles with <u>considerable holdings overlap</u> between participating institutions, <u>regardless of electronic availability</u>,
  c) Print titles with relatively little holdings overlap between participating institutions, i.e. <u>high uniqueness</u> in the region which would benefit from preservation or support local space reclamation
- Archive location: storage facility and/or library-based?
- Validation: volume-level, issue-level, little or none?
- Retention period: defined term or "permanent"?
- Disclosure: How and where to indicate archive status?
- Access/delivery: What kind of access provided and to whom? How to process requests and delivery of archived items?

Some general areas of preference emerged from these conversations:

- Most libraries emphasized significant space pressures and recommended archiving of print titles which correspond to electronic journals because they provide the most immediate space reclamation.

- Most libraries preferred to deposit in storage facilities if possible, although a distributed library-based program would be acceptable for some materials

Some participants raised alternative points such as:

- It may be harder to justify the business model (cost) for retaining print that is widely-available electronically.

- It may be preferable to archive widely-available dual format materials in a few copies at the national level to achieve the lowest possible cost to the research community as a whole, and to concentrate regional archives such as WEST on titles with moderate overlap for which real and local access demands exist.

Impact of Selection Criteria on Business Plan

Selection of materials to be archived is a critical component of the proposed journals repository network. The risk profile and format availability of selected journals has a profound effect on the design, operations, and funding structure for the overall system.

For example, print-only journals where the risk of content loss or access to content is higher may be more appropriate for a "built archive" which has significant processing costs including coordinating deposits, selecting best copies, consolidating holdings, and low-level validation. Low-risk journals such as those which are widely-available electronically (especially those with third-party digital archiving such as Portico or LOCKSS) can perhaps be served appropriately by "de facto archives", i.e. existing holdings at storage facilities, once identified.

Similarly, if validation is required, there may be an increased need for storage facility capacity throughout the system, because it is most cost-effective to perform validation when ingesting items. There are additional advantages and disadvantages in each case, and hybrid models for WEST may incorporate both approaches.

The following sections outline risk factors, risk management principles, and associated journal validation standards that may be incorporated in various journals repository models.

Selection Criteria and Risk Management for Print Journals

As mentioned, the models for WEST will depend on the selection criteria. The universe of print backfiles that could be consolidated is extensive; WEST will need to define selection criteria. Even the universe of titles that are electronically available will need to be winnowed.

WEST may wish to identify categories of titles by attributes. The initial criteria may favor two or three categories of titles and the service can proportionally shift effort over time to other categories.

For long term sustainability, it is advisable to attend to more than one category of title from the outset, to ensure the needs of diverse partners are met and to gain experience with different types of material. And it is advisable to incorporate risk management and other principles in our selection criteria.

To put WEST's selection criteria in context, it might be useful to consider some statistics about print journal collections[1].

- Average library holdings for print serial titles in WorldCat = 9   [n = 4.18 million titles]
- Average library holdings for print titles in Portico = approx. 250   [n = 7463 titles]
- Average library holdings for titles in JSTOR = approx. 600   [n = 1106 titles]
- As much as 40% of the *refereed* scholarly journal literature is not available in electronic format (a figure that hasn't changed between 2006 and 2008). Far more unrefereed journals are available in print only;
- Some 56% of peer-reviewed history journals are published in print-only format. By contrast, almost 80% of the refereed medical journals is available online;
- According to WorldCat Collection Analysis, UC Libraries hold nearly 500,000 print serial titles published from 1900-. About 173,000 titles are held in duplicate by 3-6 UC libraries, though further analysis is needed at the holdings level. There may be significant opportunity for backfile consolidation. Analysis of WEST holdings may reveal even more opportunities.
- Recent research conducted by Ithaka on Optimal Copies provided the libraries with a statistical method for determining how many copies to store with minimal validation to ensure a complete copy across the network.

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[1] Statistics prepared by OCLC Research (RLG). WorldCat Collection Analysis statistics prepared by CDL Shared Print.

FRAMEWORK FOR SELECTION CRITERIA

Selection criteria for WEST may include five (5) aspects:

1. Risk factors
2. Mitigating factors
3. Potential to achieve goals through regional collaborative action
4. Quality metrics
5. Strategic criteria

RISK FACTORS

For our purposes risk is defined less in actuarial and more in practical collection management terms. We are concerned with the loss of content, loss of access to content and failure to fulfill our stewardship responsibility as we deaccession print backfiles. Certain titles will be more at risk than others.

Risk Factors

- **Loss of Content:** loss of journal articles among WEST libraries as libraries deaccession print
- **Loss of Access to Content:** loss of access to journal articles as WEST libraries deaccession print
- **Stewardship Failure**: the extent to which users care about loss of content or access locally or regionally
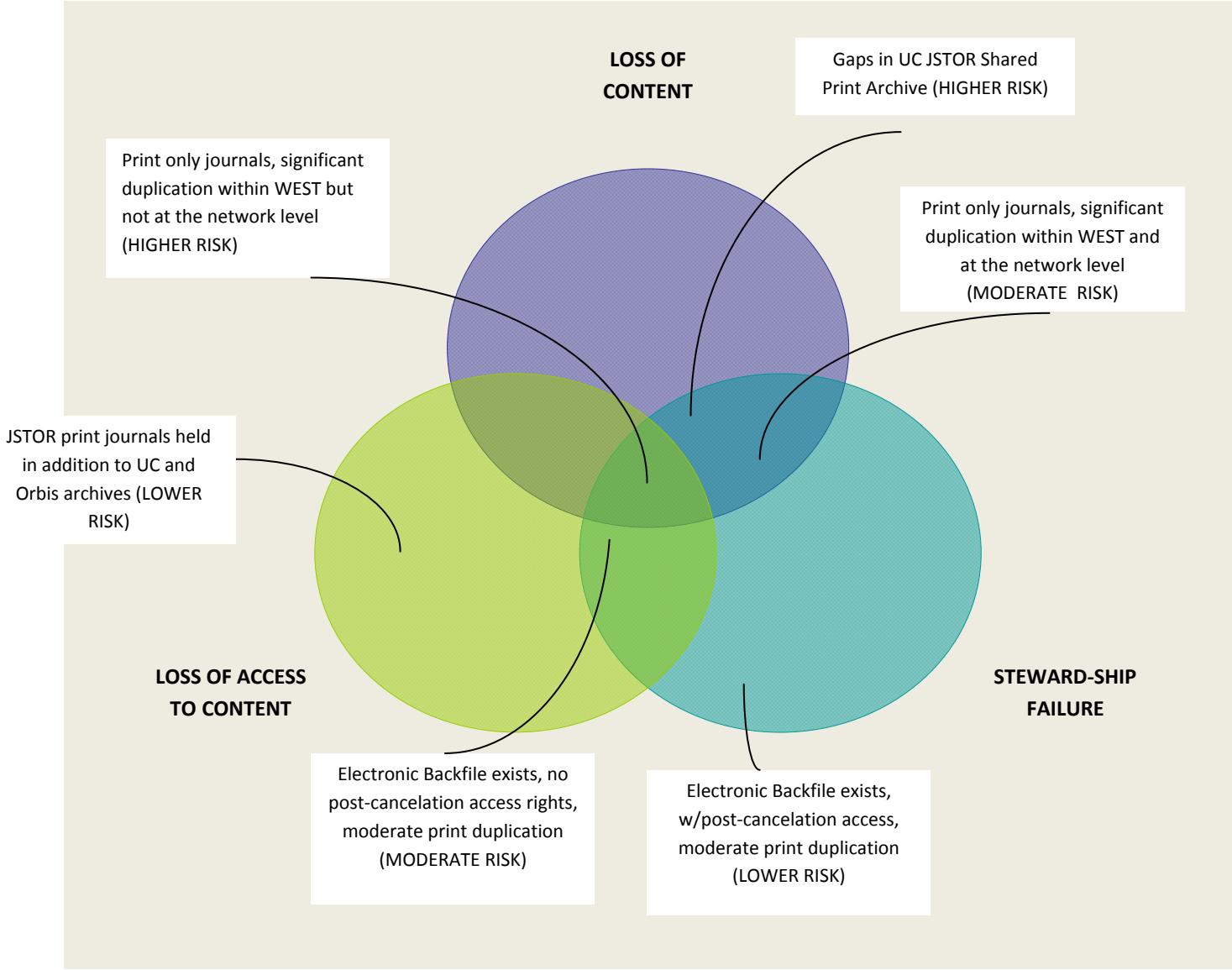
MITIGATING FACTORS

Journals can be categorized based on the likelihood of each of these three risk factors occurring absent any coordination. WEST's selection criteria might be defined based on the potential to mitigate those risks. Factors that mitigate risks include format availability, terms of access to electronic formats, level of duplication within the WEST partnership and in the broader library community, presence of an existing, validated print archive and access to that archive.

Mitigating Factors

- Electronic Availability to the Backfile
- Post Cancellation Access Permissions to the Electronic Backfile
- Print Only Availability to the Backfile
- Level of Duplication within WEST
- Level of Duplication beyond WEST
- Presence of an Existing, Validated Print Archive
- Access to a Validated Print Archive

The risk and mitigating factors can be aligned in a matrix to facilitate decision-making, effectively assigning a risk "score" to a journal or category of journals. For example, journals with electronic access to the backfiles for which most of the libraries have post cancellation access permissions and for which most of the libraries hold print duplicates may be considered at low risk overall. In other words, if each library were to independently decide to deaccession print backfiles without regional coordination, it is not very likely WEST libraries will lose access to the

electronic backfile (low risk of loss of access), lose the intellectual content (low risk of loss of content) or that any of the partners are concerned about the loss of the print content except perhaps for artifactual value (low or no stewardship failure.) Another example might be modestly duplicated print only journals. In this case if WEST libraries were to independently decide to deaccession print assuming "someone, somewhere" beyond WEST will save a copy, WEST libraries risk a loss of content and stewardship in the western region (moderate content+stewardship risk), but access to single articles and physical volumes can probably be secured via ILL (low access risk) from other regions.

LOSS OF
CONTENT

Gaps in UC JSTOR Shared
Print Archive (HIGHER RISK)

Print only journals, significant
duplication within WEST but
not at the network level
(HIGHER RISK)

Print only journals, significant
duplication within WEST and
at the network level
(MODERATE RISK)

JSTOR print journals held
in addition to UC and
Orbis archives (LOWER
RISK)

LOSS OF ACCESS
TO CONTENT

STEWARD-SHIP
FAILURE

Electronic Backfile exists, no
post-cancelation access rights,
moderate print duplication
(MODERATE RISK)

Electronic Backfile exists,
w/post-cancelation access,
moderate print duplication
(LOWER RISK)

COLLABORATION EFFECTIVENESS: POTENTIAL TO ACHIEVE GOALS

A third component of WEST's selection criteria may be expressed as an "opportunity score" or "collaboration quotient". That is, titles may be selected based on the opportunities they present for effective collaborative action in the Western Region. If we assume that space savings is one of the primary and most pressing goals for WEST participants, the titles with most or modest duplication and deepest backfiles present the highest opportunity for collaborative action. There are some titles for which any amount of collaborative action will not be effective (e.g. low duplication, ubiquitously held titles or shallow backfiles.) And there are other titles for which collaborative action is best suited at a different level in the network of libraries (e.g. CRL).

There may be other, secondary goals beyond space savings WEST may wish to consider in time: transformation of the publishing lifecycle for serial literature (positioning the libraries to digitize rather than license backfiles) and transformation of the libraries' preferred formats for preservation. Titles may be assessed for their potential to satisfy these goals as well.

To achieve success in space savings, there are two key indicators for successful collaboration: print duplication and depth of backfiles. The higher the duplication among WEST libraries and the deeper the backfiles, the greater the potential for large scale space savings; the lower the duplication and shallower the backfiles, the less effective we can be at achieving space savings.

The key attributes to look for in titles that might best lend to collaborative print consolidation are:

- **Level of duplication among WEST libraries**
- **Depth of print backfiles**
- Electronic availability and terms of electronic access
- The availability of some form of abstracting and indexing for print only titles

The principle success factors (or goals) for a collaborative effort might be:

- **Space savings**
- Commitment to a preferred preservation format, digital preservation investment
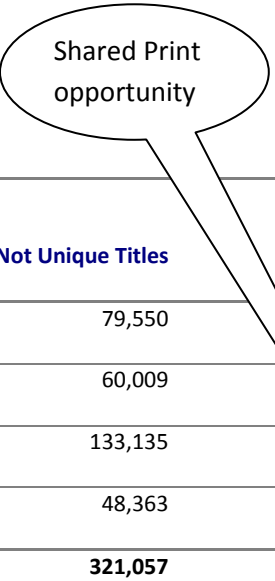- Transformation of the publishing lifecycle, cost avoidances

Analysis of the extent of duplication across WEST partners will form part of the next phase of the planning process. But to provide some context, a recent high-level study of UC holdings suggests that there is ample duplication at least at the title level. Further analysis of the WEST partner's holdings may suggest even greater potential for savings:

Table 1: UC Print Serials Campus Duplication and Potential Savings

Source: WorldCat Collection Analysis

Includes print serials published from 1900- in all languages held by UC campuses. Includes ceased and continuing publications.

Does not include microform or electronic only serials, for the most part.

Shared Print opportunity

Discipline	Total Titles	Unique Titles	Not Unique Titles	Titles Shared by 3-6 libraries
Humanities	126,816	47,266	79,550	38,493
Sciences	88,682	28,673	60,009	33,267
Social Sciences	221,102	87,967	133,135	68,661
Government Documents	58,370	10,007	48,363	33,005
Totals	**494,970**	**173,913**	**321,057**	**173,426***

Campus Space Savings if backfiles consolidated	
Estimated Volumes (4 vol/title, 5 years holdings)	**3,468,520**
Estimated Linear Feet (7 vols/lin.ft)	**495,503**
Estimated ASF (12.5 vol/ASF)	**277,482**
Campus Space Savings ($)	**$ 124,034,275**
Campus Space Savings (Annualized $)	**$ 4,959,984**

*The titles that are shared by a modest number of participants are the most likely candidates for cooperative action ("Shared by 3-6 libraries"). Titles that are shared by fewer than 3 campuses may be so unique that coordinated action would not provide space saving benefits and may jeopardize stewardship. Titles that are shared by more than 6 libraries appear to include high use reference material and other journals that campuses are likely to need on site and therefore are not candidates for consolidation.

Some titles may be more suited for archiving at certain levels within the system of research/academic libraries. Titles held in moderate duplication within WEST and across the system, may make sense for regional action. Such titles, once consolidated, can contribute to the optimal copies compiled across the system. Other titles, for example, those that are ubiquitously held, unique, or electronically available with post cancelation access rights), may be consolidated at a higher level (e.g. CRL) to secure the content but with far fewer copies.

Graphic 1: Effectiveness of Collaboration and Locus of Action, Consortial, Regional, National Level

QUALITY METRICS

In addition to risk management factors, WEST partners may also consider various quality metrics. Quality metrics may include years of publication (assuming the longevity of a title's publishing history is a measure of continued value in higher education), ceased or continuing publication, journals that are peer reviewed, society journals and journals that have some sort of value metric (ISI impact factors or similar).

STRATEGIC CRITERIA

Strategically, WEST partners may also choose certain titles or categories of titles, irrespective of the previously mentioned criteria. Such criteria may include:

1. Titles that other library consortia are compiling – to contribute to an "optimal copies" collection at the network level
2. Titles that other library consortia are not compiling – to "brand" WEST archives as unique
3. Last copy agreements among bibliographer groups
4. Titles in specific subject areas
5. Title from certain countries
6. Titles from specific international and non-governmental organizations
7. Federal documents

KEY DECISION POINTS

For planning purposes, WEST's next steps may be to outline categories of titles and plan a timeframe for attending to each that shifts effort proportionally between categories. The Appendix offers some worksheets that each representative may wish to use to explore options.

1. Identify categories of titles based on risk management and mitigating factors, duplication rates, quality metrics and strategic criteria.
2. Identify 2-3 categories to start with and 2-3 categories to move toward over time and the proportional amount of effort to devote to them over the years.
3. Develop a timeline to attend to each category

Validation Principles and Standards

The purpose of validation is to provide some assurances of completeness and condition to partners so that collection management decisions can be made locally in an informed context.

Validation may have two goals: to produce an archive suitable for reading or to produce an archive suitable for digitization. The approach to validation will differ based on the goal.

Goals
- Readable archive
- Archive for digitization

For the partnership to be effective, one of the critical decision-points for WEST will be to identify which titles merit some level of validation. This can be done after the selection criteria is defined. Whatever the model ("built" or "de facto"), it is assumed that some titles will require some validation. The possibilities are:

Level of Validation
- No validation
- Low-level validation
- Page validation (not recommended for future projects)

Standards Development
Assuming that some low-level validation will be necessary for some categories of titles, the next critical activity will be to define what we mean by "low level" validation. There are no standards in the community for this. "Low level" validation must be defined, documented and made transparent; a set of "standards" for validation are needed. ***Validation standards define what a partner can and cannot expect to find in terms of completeness and condition in a shared archive. They also outline what a reasonable effort is to ensure completeness and condition.***

If low-level validation is desired, WEST will need to define what is meant by that. UC Libraries are experimenting with low-level validation and have drafted some standards that WEST may find useful.

Productivity and Location of Validation Effort
It may be useful for WEST to consider some findings from various projects to frame a validation approach:
- It is rare for a single library to hold a complete run of a title
- A complete run of a title can typically be assembled from the holdings of 2-4 libraries plus the holdings in storage facilities
- Binding practices across libraries, particularly for older print backfiles, may not be uniform. The unit of published content to be validated may need to be decided upon (e.g. volume or issue)
- Publishers may not have a complete list of the historical issues of their own journals
- Productivity and progress toward completion of an archive must be made transparent such that partners know which archives are "under construction" and which ones have been "completed"

These findings have implications for WEST's operational model. Whether the service model is based at storage facilities or distributed at local libraries, in order for other libraries to make collection

management decisions the "compiled archive" must be proactively constructed on some sort of time table.

UC Libraries have tested models where the final location of the archive is the storage facility (with validation at campuses or the facility) and the goal for validation was to build a readable archive. UC Libraries' intention with these experiments was to determine the lightest-weight, low-level validation approach. (UC Libraries have not done any modeling where the final archive resides at a library and the validation work also occurs there, but others in WEST may have.)

The location where validation occurs is critical to the model's cost effectiveness and productivity.

Table 2: Productivity Rates, JSTOR, IEEE and CoreStor compared

	JSTOR	IEEE	CoreStor
Model	*A centralized, storage facility-based page-level validation model*	*A decentralized, campus-based issue-level validation model*	*A centralized, storage facility based issue-level validation model*
Partners	JSTOR, CDL/SRLF Shared Print, All campuses	CDL Shared Print, UCB, UCD, NRLF	CDL Shared Print, UCLA, SRLF
Productivity (Estimated Potential Volumes Validated/Year)	9,858*	13,600**	30,154***

*actual volumes 2008
**may be underestimated due to NRLF and campus learning curve for Shared Print management and dependency on 3rd party digitization which may not exist in future projects
*** May be overestimated because the titles in this project had very high numbers of annual volumes per title skewing estimates (popular science journals) and due to lack of validation standards and disclosure work.

KEY DECISION POINTS

In summary, critical decision points and aspects for WEST to develop for each category of titles are:
1. Whether and when to validate
2. Goals for validation (readable or digitizable)
3. The level of validation
4. What is meant by low-level validation (standards development)
5. The location for validation and desired productivity

Disclosure and Access Scenarios

Disclosure and access policies and procedures are the two additional significant components of print repository operating plans. Disclosure measures include the system(s) and metadata standards for bibliographic data which identifies archived materials, to facilitate collaborative archiving and local deaccessioning decisions. Access measures include the policies and systems necessary to support request and delivery of archived materials.

DISCLOSURE

A bibliographic disclosure system is necessary to display archive status, support consolidation of holdings, and facilitate local deaccessioning. Such as system would include an aggregated database of bibliographic data identifying archived materials – title level and summary holdings at least -- across all participating archives, and a capability to enable participating libraries to compare and identify which local holdings can be deaccessioned in reliance on the archived holdings.

There is no existing system which supports these particular requirements, at present. For most existing print archives projects, staff members manipulate files locally using data output from local catalog systems or from OCLC (in a process dubbed "spreadsheet wrangling" by staff at GWLA).

A large-scale journal archives project like WEST would benefit from a more robust system for comparing and disclosing archive holdings. Such a system could be developed out of existing systems, such as:

- OCLC WorldCat (583 tag)
- RAPID
- Ulrich's Serials Analysis system
- Metadata derived from digitizing projects such as JSTOR

However, the disclosure system doesn't depend on or affect other operational decisions. That is, the requirements remain generally the same regardless of the operational plan or business model selected. Therefore, the disclosure system can be determined later during the design phase of the WEST project (February through May 2010).

ACCESS

Access policies will identify services to be provided to WEST participants, to non-member libraries, and potentially to publishers or other commercial or not-for-profit entities. These policies and procedures will also identify what delivery formats will be supported (e.g. digital, photocopies, physical volumes, in-house use).

Access and delivery policies will be affected by a number of factors, such as:

- Need to provide advantage to members/participants

- Institutional mandates or established relationships
- Risk profile of the selected material (including availability of digital surrogates)

It may be desirable to give preferred access to WEST participants compared to nonmembers, as a benefit of membership or participation. Preferred access could constitute any or all of the following:

- Priority fulfillment (turnaround time)
- Differentiated delivery formats (digital, physical)
- Reduced or waived charges compared to ILL users

Institutional mandates may govern or at least influence the services provided and to whom. For example, giving preferential access (especially in terms of fees) to fellow WEST participants may conflict with existing university policies or consortial relationships. Concerns and possible solutions for conflicts of this type will be explored during the design phase of the project.

The availability and risk profile of the archived material will also affect the kind of access services that are necessary. There is an inverse relationship between content availability and access to the physical volume: for dual-format journals available in electronic form, a request for the print most likely reflects a real need for the print artifact, whereas for print-only journals, a request most likely reflects a need for the volume's content which could be delivered electronically.

For journals available in electronic form, demand for the print copy would probably be low but, when required, would be more likely to require access to the original print volume. For print-only journals, demand for the print copy would likely be higher but a large portion of requests could be filled by digital delivery. For either category, deaccessioning of print copies by other participants increases the risk profile of the archived copies (fewer redundant copies out there) but in the case of the already-riskier print-only titles, the risk is mitigated because of the ability to fulfill most requests electronically.

Access could be provided in the following forms:

- Digital copy (scanned and delivered via ILL system)
- Color photocopy
- Original physical item for in-library use
- Onsite review of original physical item
- Print-on-demand copy of original physical item

Each of these has different costs and benefits, and could be associated with different service levels and prices to allow selection by the end-user. Since the reason for maintaining a print archive is ultimately to provide access to a print volume, consideration must be given to the best balance between providing access and preserving the print original for the future.

Business Models: Operating and Administrative Plans

OPERATING PLANS

The primary components of the WEST operating plan to be discussed at the first planning meeting include selection of archive contents and archive location(s). As mentioned earlier, disclosure and access/delivery mechanisms can be determined in a later phase.

ARCHIVE LOCATION

For purposes of the proposed WEST business models, archive location means the type of facility housing the archived materials:

- Library storage facilities
- Campus libraries under a retention agreement

Library storage facilities

Existing high-density library storage facilities provide the ideal location for archiving print volumes. These facilities generally maintain the appropriate environmental conditions, building security, and procedures for accessioning and delivering materials. Smaller on-campus storage options such as closed-stack libraries and compact-shelving sections could also serve, but may be more appropriate in the context of the distributed library-based model discussed later.

Among the currently-identified potential WEST participants, the libraries of the University of California, Arizona State University (also a member of GWLA), and Stanford University operate large-scale high-density library storage facilities which possibly may serve as archive locations for WEST. Please note that this is a working assumption based only on casual discussions, and that these institutions have not agreed to serve in this role. A shared Regional Library Service Center serving Orbis-Cascade members has been planned for several years. Several other libraries in the Western region operate library storage facilities, including a few which are GWLA members. Examples of other Western library storage facilities are:

- University of Colorado (GWLA, PASCAL shared storage facility)
- University of Utah (GWLA, ASRS robotic system)
- University of Nevada, Las Vegas (GWLA, ASRS)
- California State University, Northridge (first ASRS in the U.S.)
- San Francisco State University (ASRS)
- Sonoma State University (ASRS)
- Santa Clara University (SCELC, ASRS)

The business models presented later in this document assume that the library storage facilities at the University of California (Northern and Southern Regional Library Facilities), Arizona State, and Stanford are potential sites for archiving WEST materials. Please note that this is a working assumption based

only on casual discussions, and that these institutions have made no commitments to serve in this role. Other archiving facilities may be identified later in the planning project.

Archiving at existing library storage facilities will be constrained by the capacity remaining at each facility and by space commitments already made to existing users. It is assumed that additional staff may be required for accessioning, validation, and retrieval under the WEST project, and that providing such resources to the WEST program would be compensated under the business model.

Campus libraries under a retention agreement

Several consortia in the U.S. have initiated distributed library-based archiving programs, in which participating libraries agree to retain and provide access services for selected print volumes under the terms of an MOU. Orbis-Cascade members have agreed to archive JSTOR and American Chemical Society (ACS) titles under the Distributed Repository Program (DRP). GWLA members are collaborating with the Center for Research Libraries (CRL) and others on the Technical Report Archive & Image Library project (TRAIL), a project focused on collecting, archiving, and digitizing historic government technical reports.   GWLA is also planning a distributed journals retention project which currently is working to identify titles for archiving. Similar distributed retention projects around the country include the Pennsylvania Academic Library Consortium, Inc (PALCI) which is archiving ACS and American Institute of Physics (AIP) titles, and the Triangle Research Libraries Network (TRLN) in North Carolina, which is archiving individual science titles nominated by member libraries.

Distributed library-based retention agreements may be perceived as less secure than storage facility archiving. An MOU would govern both the agreed retention period and the conditions under which the materials would be housed and circulated.

ADMINISTRATIVE PLANS

Administrative plans for a WEST journal repository network would consist of the following components, embodied in a Memorandum of Understanding (MOU) or other form of agreement:

- Ownership and retention agreement
- Financial support model
- Organization structure
- Validation standards

Ownership and Retention

In a collaborative archiving agreement, ownership of the materials is always one of the most difficult questions. The original owner of the archived copy nearly always wants to retain its full rights to that item: to claim as part of its holdings, to return to campus (if stored offsite) for a revived campus program, or to withdraw. Sometimes institutional or state legal requirements prohibit or inhibit transfer of ownership. At the same time, partners that may have deaccessioned their local copies in reliance on the shared archive will want assurance that the shared copy remains available to them. The ownership question arises primarily in the case of new "built archives". In the case of "de facto" archives of material already stored in its own facility by the owner, transfer of ownership is usually not in question.

Almost all of the existing shared print archives projects resolve this question by leaving ownership with the original owner but specifying that the owner commits to provide long-term or perpetual access to the archived material. In some cases the owner must offer the physical item to archive partners, while in others the owner must only provide access to the item's content (i.e. digital copy) in order to repatriate or withdraw the physical item.

The desired retention period for archived materials relates to the nature of the material selected and its archive location. In an ideal world, most WEST participants would prefer to see permanent retention for materials that are at moderate to high risk, preferably in a storage facility. For materials that are well-represented in electronic form, especially those with a digital archive program, WEST participants may feel that a defined retention term may be sufficient. The recent paper from Ithaka S+R "What to Withdraw"[2] posits that a 20-year archiving horizon would be satisfactory for materials which were digitized at high quality, with archived digital copies, and not image-intensive. The Orbis-Cascade DPR program includes a 25-year retention agreement.

If retention isn't permanent, it may be advisable to develop sunset provisions in the MOU, such as to offer divested holdings to other partners or to make arrangements to transfer archives to another entity (e.g. CRL).

Financial Support Model

Participants in the WEST journal repository network would incur costs in multiple ways.

Archive providers would incur direct and indirect costs for providing archive space, for accessioning new materials, for validating holdings (as applicable), for disclosure, IT/programming, project management and for providing access and delivery. Archive users would incur costs for deaccessioning local copies and for transporting archivable copies to the archive. Of course any given institution could play both roles and different financial models could direct compensation flow from users to providers in different ways.

A financial support model may involve multiple categories of support:

- Sustaining fees to cover fixed costs for the archive provider(s)
- Transaction fees for activities incurred on a specific user's behalf (such as delivery)
- Credit for materials contributed to the archive

Organization Structure

An organization structure will be needed to provide administrative, financial, and planning support for the WEST collaboration. In all cases, committees of WEST participants would make recommendations regarding selection and policies.

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[2] Schonfeld, Roger and Ross Housewright. "What to Withdraw: Print Collections Management in the Wake of Digitization." http://www.ithaka.org/ithaka-s-r/research/what-to-withdraw/What%20to%20Withdraw-%20Print%20Collections%20Management%20in%20the%20Wake%20of%20Digitization.pdf

The three primary options for organization structure are:

- o Host institution
- o Federation (informal organization)
- o Third-party or consortium (formal organization)

A <u>host institution</u> could provide archiving services to WEST participants under contract. This model would be the most efficient in terms of administrative and financial services. Multiple archive providers could provide services as an informal <u>federation,</u> in which providers would share responsibility for the services and would broker financial compensation among themselves and consumers. A formal <u>consortium</u> (existing or new) could contract with participants and aggregate financial activity, to accept remuneration from users and disseminate compensation to providers. This option might require dedicated staff (small) and thus might be more costly.

Business Model Alternatives

Based on recent discussions with potential WEST participants and analysis of the various operating components of a retrospective journals repository system, we have developed several possible business models for consideration.

The components which affect the operating model most directly are:

- Archive location (storage facilities, libraries)
- Selection and associated validation

Decisions about these factors affect the design and operation of the journal repository system in fundamental ways.

Other operating components such as retention period, disclosure and access methodologies – while critically important to the success of any journal archive project – can be determined independently and can be implemented with only minor variations for any of the models. Similarly, the organization structure and financial model are influenced more by the number of archive providers and participants than by other factors.

Working Assumptions

The following working assumptions apply to all of the potential models:
- A common MOU would govern services, archiving conditions, validation and participation
- Service providers would be compensated for their costs in some way
- Credit would be given for various kinds of support, i.e. materials and services as well as funds
- Governance committees composed of WEST participants would determine specific selections for the built archive and would negotiate services and related fees with the archive providers
- Details of the title selection, organization structure, and compensation system would be developed in detail in the design phase of the WEST planning project

WEST Model 1: UC as central host

In this model, the University of California would host the WEST journal repository network at the two Regional Library Facilities (RLFs) on behalf of all WEST participants. UC would provide archiving, validation, disclosure, IT/programming support, project management and access services to WEST participants. The financial model would be designed so that WEST participants would support the UC archives via subscription and transaction fees.

UC would disclose existing RLF journal holdings as de facto archives (not originally validated in most cases). This would support near-term deaccessioning of those volumes at other WEST libraries. Titles selected for built archives would be validated at the RLFs, at a level to be determined by WEST participants.

The advantages of Model 1 are:

- UC and the RLFs have extensive experience with consolidating and validating journal volumes through a variety of shared print initiatives.

- UC holds a large share of the journals that may held in common with other WEST participants

- Centralized administration may be most efficient and space savings can be achieved faster (high productivity).

The disadvantages of Model 1 are:

- Available capacity in the RLF's must be coordinated with the needs of UC campuses and space is limited. Space remains at the RLFs for a total of about 1.8 million volume equivalents but that includes shelving areas which may not be sized appropriately for journal volumes, and UC libraries deposit approximately 450,000 volumes per year into storage.

- Non-UC participants may feel less commitment to the archive if it is hosted by a single participant.

- California state requirements may constrain the administrative arrangements which could be offered.

WEST Model 2: Multiple storage facilities

In this model, archiving, validation, disclosure, and access services would be provided by participants with high-density storage facilities such as UC, Arizona State, and Stanford (and possibly others). As described above, the archive providers would disclose existing journal holdings in storage as de facto archives (not originally validated), and would provide low-level validation for built archives.

Participation would be organized and governed either by a loosely-organized federation or by a more formal third-party or consortium structure. Participants would share costs through membership and transaction fees to compensate the archive providers for their expenses.

The advantages of Model 2 are:

- Potentially more archiving capacity (compared to Model 1) and more materials already stored which would provide for a broader selection of materials for local deselection.

- Broader distribution of responsibility would reduce dependence on any one provider and encourage long-term commitment by participants.

The disadvantages of Model 2 are:

- As above, available capacity in the storage facilities must be coordinated with the needs of the owning institutions and may be limited

- Administration across multiple institutions is more complex:
    - With a looser organizational structure, communication is more time-consuming and savings achieved more slowly (slower productivity)
    - With a tighter organizational structure, overhead cost may be greater if dedicated staff are required but space savings occurs more quickly (higher productivity)

WEST Model 3: Hybrid system of storage facilities and library-based agreements

In this model, the retrospective journal archive takes a distributed form, in which storage facilities disclose their de facto archives, create built archives for higher-risk print-only titles, and individual campuses also assume responsibility for preserving lower-risk dual-format titles. Print-only titles would be validated at the storage facilities, while the dual-format titles would be checked for completeness and consolidated at the libraries. The MOU would identify specific shelving, retention, validation and access requirements for the campus-based agreements. This model would be more likely to require an explicit third-party or consortium organization to manage the collaboration, because so many more entities would be involved in providing services.

The advantages of Model 3 are:

- Matches the permanence of the archive location to the archiving horizon of materials

- Potentially more archiving capacity and more materials already stored which would provide for a broader selection of materials for local deselection

- Broader distribution of responsibility would reduce dependence on any one provider and encourage long-term commitment by participants

The disadvantages of Model 3 are:

- Available capacity in the storage facilities must be coordinated with the needs of the owning institutions and may be limited

- Administration across multiple institutions is more complex

- More difficult to validate holdings in campus-based retention agreement, validation for general completeness most likely

- If holdings are allowed to remain in open stacks, potentially more vulnerable

WEST Model 4: Multiple storage facilities and libraries archive by subject/domain

This model, while essentially the same as Model 3, emphasizes a different selection strategy. In this model, the participants would identify materials to be archived based on subject areas or domains of interest to WEST participants (such as "physical sciences"). Within the selected domain, materials would be further subdivided by risk profile, so that higher-risk materials would be archived and validated at the storage facilities and lower-risk (such as dual-format) materials could be retained at campus libraries as described above. In terms of operations, organizational structure, and financial support, this model would resemble Model 3 above.

The advantages of Model 4 are:

- Domain or subject focus could provide associated research support and expertise

- Creates a positive emphasis rather than negative emphasis on relocating or divesting materials

- Could support creation of digital collections and help transition libraries to publishing role

- May encourage long-term support by libraries strong in that domain

The disadvantages of Model 4 are:

- May create fewer opportunities for libraries to reclaim space quickly, if their holdings do not match the selected domain

- May require more detailed title-by-title analysis to identify those belonging to the domain

- May fragment support for WEST as a whole by encouraging identification with individual domains

Summary

The goals of the first WEST planning meeting are to consider risk management principles, validation requirements, and alternative business models. The desired outcome of the meeting is a consensus around these topics:

- Priorities for selecting archive materials based on risk management principles and participant needs

- Preferred business model(s), ideally one or two, to be developed in the next phase for presentation at the second planning meeting in June 2010

Attachment 1: Shared Print Archive Initiatives Worldwide

Name	Project Description	Organization and Project Links (Learn More)	Status	Format Archived	Selection	Archive Type	Retention	Owner-ship	Validati on
Association of Southeastern Research Libraries (ASERL) Collaborative Federal Depositories Program	ASERL is a consortium of 36 academic libraries in the Southeastern United States. ASERL was awarded an IMLS grant in 2009 to develop a Collaborative Federal Depository Project (CFDP). This project will create "centers of excellence" to ensure multiple, complete retrospective collections of federal publications by agency, supported by subject matter experts. Initially the project will focus on two pilot tests: The University of Kentucky (Works Progress Administration) and the University of South Carolina (Department of Education).	http://www.aserl.org/ http://www.aserl.org/ projects/gov-doc/2009_10_ASERL_ Collab_Fedl_Dep_Prog ram_Update.pdf	Planning 2009	Government documents	Domain-based: Works Progress Administrati on (WPA), Education				
Association of Southeastern Research Libraries (ASERL) Cooperative Virtual Storage Project	ASERL is a consortium of 36 academic libraries in the Southeastern United States. ASERL is studying a plan whereby ASERL libraries would guarantee to retain certain items for long-term storage as a "bank" so that other libraries could consider deaccessioning their copies of the same item. A Study Group is expected to issue recommendations in spring 2010.	http://www.aserl.org/	Planning 2009	Journals	TBD	Campus library or storage facility	Permanent	Original owner	None
CARLI (Consortium of Academic and Research Libraries in Illinois) Last Copy Project	CARLI is a consortium serving 153 academic libraries in Illinois. Under this pilot project, CARLI members who own the last copy of library materials in Illinois may donate those items to the University of Illinois at Urbana-Champaign (UIUC). The purpose of the pilot is to determine the amount of material involved and the complexity of processing necessary.	http://www.carli.illino is.edu/ http://www.carli.illino is.edu/mem-serv/coll-man/lastcopypilot.ht ml	Pilot 2009	Monographs (primarily)	Library-selected	Campus library or storage facility		UIUC	None
CAVAL Archival and Research Material (CARM) Shared Collections	CAVAL is an Australian not-for-profit corporation which provides services to libraries in Australia, New Zealand, and Asia. CAVALoperates a shared storage facility for low-use	http://www.caval.edu. au/carm.html	operatio nal 1995	Journals	Library-nominated	Storage facility	permanent	Consorti um	Minimal
Committee on Institutional Cooperation (CIC) Center for Library Initiatives Government Documents	The Committee on Institutional Cooperation (CIC) is a consortium of 12 universities primarily in the U.S. Midwest. CIC is developing a plan to take collective action toward the digitization and management of federal government document collections in member libraries, which will include print retention, preservation and a shared storage	http://www.cic.net/H ome/Projects/Library	Planning 2009	Government documents		TBD			

Name	Project Description	Organization and Project Links (Learn More)	Status	Format Archived	Selection	Archive Type	Retention	Owner-ship	Validation
	infrastructure.								
CRL American Periodicals	CRL worked with ProQuest to digitize a portion of CRL's American historical journals, which ultimately will contain full text and full-color scans of nearly three million pages of content representing special interest and general magazines, labor and trade publications, scientific and literary journals, and photographic periodicals, as well as other historically significant titles. CRL is systematically archiving the associated print volumes and filling gaps with CRL member contributions.	http://www.crl.edu http://www.crl.edu/collaborative-digitization/american-periodicals	Operational 2009	Journals	Various	Storage facility	Permanent	CRL	Page
CRL JSTOR Print Archive Project	The Center for Research Libraries (CRL) is assembling a complete set of print copies of journals available through JSTOR. CRL members have contributed over 41,000 volumes representing more than 700 JSTOR titles.	http://www.crl.edu http://www.crl.edu/archiving-preservation/print-archives/journals/crl-jstor	Operational 2006 ??	Journals	JSTOR	Storage facility	Permanent	CRL	Volume
CRL World Newspaper Archive	The World Newspaper Archive represents a collaborative effort of CRL member institutions and Readex, a division of NewsBank, to preserve and provide persistent access to historical newspapers from around the globe. CRL is preserving the original newspaper issues and microfilm versions.	http://www.crl.edu http://www.crl.edu/collaborative-digitization/world-newspaper-archive	Operational 2008	Newspapers	Various	Storage facility	Permanent	CRL	Page
Five Colleges of Ohio Shared Library Materials Agreement	Five Colleges of Ohio is a consortium of four institutions: Denison University, Kenyon College, Ohio Wesleyan University, and College of Wooster. The Five Colleges maintain several collaborative library initiatives, including a shared library system and storage facility, and a shared print "library of record" program for JSTOR, American Chemical Society, and Physical Review Online journals.	http://collaborations.denison.edu/ohio5/libres/ http://www3.wooster.edu/library/OH5/CCCD/CCCD_MOU.html	Operational	Journals	American Chemical Society (ACS), JSTOR, Physical Review Online (PROLA)	Campus library or storage facility	Permanent	Original owner	Minimal

Name	Project Description	Organization and Project Links (Learn More)	Status	Format Archived	Selection	Archive Type	Retention	Owner-ship	Validati on
Five Colleges, Inc (MA) Depository Archive Agreement	Five Colleges, Inc is a consortium of four colleges and one university in Massachusetts: Amherst College, Smith College, Mount Holyoke College, Hampshire College, and the University of Massachusetts, Amherst. The Five Colleges (MA) maintain a shared library system and storage facility, with a shared copy agreement for JSTOR and Project Muse titles deposited by UMass.	http://www.fivecolleges.edu/ http://www.fivecolleges.edu/sites/depository/	Operatio nal	Journals	JSTOR, Project Muse, others library-nominated	Storage facility	Permanent	Umass (JSTOR and Project Muse), Five Colleges (all others)	Minimal
GEPA Collaborative Print Repository in Catalunya	GEPA (Guaranteed Space for the Preservation of Access) is a shared repository for the 10 members of the Consortium of Academic Libraries of Catalunya. Stored materials are owned collectively and efforts are made to retain the copy in best physical condition.	http://www.cbuc.cat/ http://www.cbuc.cat/cbuc_en/programes_i_serveis/gepa	Operatio nal 2008	Journals, Monographs	Library-nominated	Storage Facility	permanent	Holding Library	Volume
Joint Universities Research Archive (JURA)	JURA will be a shared collection and storage facility for eight universities in Hong Kong. Deposited materials remain the property of the depositing library, will be deposited in perpetuity but an be withdrawn as long as they can continue to be borrowed by the other seven JULAC libraries.	http://www.julac.org/ http://www.julac.org/project/index.html#JURA	Planning 2009	TBD	Library-nominated	Storage facility (ASRS)	permanent	Holding Library	TBD
Law Library Microform Consortium (LLMC) and Legal Information Preservation Alliance (LIPA) Print Archive	LLMC is a non-profit consortium of libraries devoted to providing economical access to a wide range of legal and law-related materials. LIPA is a loosely organized group of law libraries focused on the preservation of legal information in all formats, including print and born digital.to recruit and identify a core group of "Preservation Libraries" willing to preserve specific titles utilizing a "distributed-preservation" approach.	http://www.llmc.com http://www.llmc.com/AboutLIPA	Operatio nal 2009	Serials, Govt docs		Distribute d	Indefinite	Holding Library	Volume

Name	Project Description	Organization and Project Links (Learn More)	Status	Format Archived	Selection	Archive Type	Retention	Owner-ship	Validati on
OhioLink Shared Last Copy project	The Ohio Library and Information Network (OhioLINK) is a consortium of 88 Ohio college and university libraries, and the State Library of Ohio. OhioLink has responsibility for five regional storage facilities. The public university members have adopted a plan to convert the separate regional repositories to community shared repositories. Major first steps include the migration of the five repository catalogs to a shared library system and undertaking a coordinated de-duplication effort of bound journals.	http://www.ohiolink.e du	Planning 2009	Journals	Ad hoc	Storage facility	Indefinite	State of Ohio	Minimal
Ontario Council of University Libraries (OCUL) Thunder Bay Agreement	OCUL is a consortium of twenty-one university libraries in the province of Ontario. In fall 2008, OCUL library directors agreed to focus attention on the coordinated retention and collaborative storage of print journals.OCUL is investigating the creation of a centrally maintained OCUL Print Journal Title and Holdings Registry and developing a Weeding Tool Kit for journals.	http://www.ocul.on.c a/ http://www.carl-abrc.ca/projects/prese rvation/pdf/thunder_ bay_agreement.pdf	Planning 2009	Journals					
Orbis-Cascade Alliance Distributed Repository Project	The ORBIS-Cascade Alliance is a consortium of 36 colleges and universities in Oregon and Washington. The Distributed Repository Program consolidates and preserves print runs of journals among ORBIS member libraries. The materials selected for archiving are journals of the American Chemical Society (ACS) and JSTOR.	http://www.orbiscasc ade.org http://www.orbiscade .org/index/current-work	Operatio nal 2008	Journals	American Chemical Society, JSTOR	Distribute d among campus libraries	20 years, agreement reviewed after 10 years	Original owner	Volume
PASCAL (Preservation and Access Service Center for Colorado Libraries) Shared Copy policy	PASCAL is a consortial storage facility operated for the University of Colorado, Auraria Library, and the University of Denver. Under PASCAL operating policies, journals deposited in the shared storage facility become shared copies and no duplicate volumes may be deposited. This results in an ad hoc print archive for those journal volumes.	http://pascal.uchsc.ed u/ http://pascal.uchsc.ed u/about/policies.php	Operatio nal 2001	Journals	Library-selected	Storage facility	Undefined	Original owner	Minimal
Pennsylvania Academic Library Consortium (PALCI) Distributed Journal Archive	The PALCI distributed print serials archive project proposes to create a regional print archive of journals produced by major scientific societies. The plan is for 2 light archives and 1 dark archive (probably Penn State).		Planning 2009	Journals	American Chemical Society, American Institute of Physics	Distribute d	10 years	Original owner	Issue

Name	Project Description	Organization and Project Links (Learn More)	Status	Format Archived	Selection	Archive Type	Retention	Owner-ship	Validation
Triangle Research Libraries Network (TRLN) Shared Copy Program	Triangle Research Libraries Network (TRLN) is a collaborative organization of Duke University, North Carolina Central University, North Carolina State University, and The University of North Carolina at Chapel Hill. TRLN sponsors an "opt-in" model for archiving a single print copy of long journal runs, to be held by the owning library.	http://www.trln.org http://www.trln.org/singlecopy/index.htm	Operational 2009	Journals	Library-nominated	Distributed	Indefinite	Holding Library	Volume
Tri-University Group of Libraries (TUG) Preservation of Last Copy Agreement	The Tri-University Group of Libraries (TUG) is a consortium consisting of three Ontario universities: University of Guelph, University of Waterloo, and Wilfrid Laurier University. TUG's last copy agreement emphasizes preservation of materials unique within the consortium. Each library may send to the shared storage facility only items for which there is not already a copy in the Annex or anywhere else in the TUG libraries. TUG libraries also agreed not to discard items in campus collections which are the last copy.	http://www.tug-libraries.on.ca/ http://www.tug-libraries.on.ca/info/annex/documents/cr_appendix_i.pdf	Operational 2006	Journals, Monographs	Library-selected	Campus library or storage facility	Permanent	Original owner	Minimal
UC-CRL Prospective Shared Print Archive for E-Journals	The University of California operates a prospective shared print archive containing print copies of licensed e-content from major publishers. Discussions are under way to transfer future collecting responsibility for these issues to the Center for Research Libraries.	http://www.cdlib.org/ http://www.crl.edu/archiving-preservation/current-projects/shared-print-archive	Operational at UC 2005, planned for CRL 2010	Journals	About 4,600 titles from 11 publishers	Storage facility	Permanent	UC CDL	None
UC-CRL Prospective Shared Print Archive for E-Journals	The University of California operates a prospective shared print archive containing print copies of licensed e-content from major publishers. Discussions are under way to transfer future collecting responsibility for these issues to the Center for Research Libraries.	http://www.cdlib.org/ http://www.crl.edu/archiving-preservation/current-projects/shared-print-archive	Planning 2009	Journals	About 4,600 titles from 11 publishers	Storage facility	Permanent	UC CDL	None
UK Research Reserve	The UK Research Reserve (UKRR) is a collaborative partnership between the British Library and the higher education sector. The UKRR is a distributed print repository which holds at least 3 copies of important research journals among 15 higher education institutions within the UK, and frees valuable space within the participating libraries.	http://www.ukrr.ac.uk/ http://www.ukrr.ac.uk/	Operational 2008	Journals	Library-nominated	Storage facility and campus libraries	permanent	Holding Library	Volume

Name	Project Description	Organization and Project Links (Learn More)	Status	Format Archived	Selection	Archive Type	Retention	Owner-ship	Validation
University of California IEEE Archive	The University of California conducted a pilot project to develop a retrospective archive of IEEE journals, validated to the issue level. The validation work was performed at UC Berkeley and UC Davis prior to transfer to the NRLF storage facility.	http://www.cdlib.org/	Pilot 2007	Journals	IEEE	Storage facility	Permanent	Original owner	Issue
University of California JSTOR archive	The University of California operates a dim archive of JSTOR titles intended to serve as a backup for JSTOR in case of potential re-scanning. The archive covers almost 800 titles which were validated to the page-level and stored at the Southern Regional Library Facility (SRLF).	http://www.cdlib.org/ http://www.srlf.ucla.edu/Jstor/Default.aspx	Operational 2006	Journals	JSTOR	Storage facility	Permanent	Original owner	Page
University of California Shared Print E-Books Program	The California Digital Library has licensed from Springer over 20,000 ebooks in the sciences and social sciences. Shared print copies for all of the books published from 2009 forward will be housed at UC Merced .	http://www.cdlib.org/ http://www.cdlib.org/inside/projects/springerebooks/	Operational 2009	Monographs	Springer e-books	Campus library	Permanent		None
University of California Shared Print Persistence Policy	The University of California operates two regional library storage facilities (the RLFs) whose holdings are governed by a "persistence policy" which states that all deposited materials will be held in perpetuity to enable other UC libraries to withdraw copies in reliance on the stored volumes.	http://www.cdlib.org/inside/resources/sharedprint/http://www.cdlib.org/inside/resources/sharedprint/documents/RLF_Persistence_Policy_rev_final.pdf	Operational 2004	Journals, Monographs	Library-selected	Storage facility	Permanent	Original owner	Minimal
USAIN-Cornell National Preservation Program for Agricultural Literature	Cornell University and other partners, on behalf of the U.S. Agricultural Information Network (USAIN) and in cooperation with other land grant university libraries, has received three grants from the National Endowment for the Humanities (NEH) to preserve the most significant published materials on the history of state and local agriculture and rural life from 1820-1945. While this is primarily a preservation microfiliming initiative, the agreement states that original material will be retained in the collection as long as the material is usable. When possible the material will be stored in each library's climatically controlled storage facility to ensure longevity.	http://neh-usain.mannlib.cornell.edu/ http://neh-usain.mannlib.cornell.edu/	Operational 1995	Monographs, Journals, Government Documents	Domain-based: Agriculture	Distributed	Indefinite	Holding Library	Page

Name	Project Description	Organization and Project Links (Learn More)	Status	Format Archived	Selection	Archive Type	Retention	Owner-ship	Validati on
Washington (DC) Research Library Consortium (WRLC) Shared Copy Policy	WRLC is a consortium of 8 university libraries in Washington DC, with a shared library storage facility containing about 1.3 million volumes. Effective in 2009, journals deposited in the shared facility become shared copies and no duplicate volumes may be deposited. The WRLC shared journals constitute a de facto archive for these materials.	http://www.wrlc.org http://www.wrlc.org/ offsite/storpolicies.ht ml	Operatio nal 2009	Journals	Library-selected	Storage facility	Permanent	Holding Library	Minimal
Western North Carolina Library Network (WNCLN)	The Western North Carolina Libraries Network has developed a distributed print system for JSTOR titles already held within their system. Titles are redistributed to the library with the most holdings and housed there for preservation. The library with the most holdings is designated the network DRL (Designated Retaining Library). The DRL agrees to keep copies of JSTOR print/microform serials and then inform and obtain consent from the other two libraries if they wish to weed either print or microform JSTOR titles. All 3 libraries have access to all JSTOR collections except for the Additional Collections (e.g. 19th Century British Pamphlets). All JSTOR titles that are held are represented in their shared online catalog and can be accessed there or through the JSTOR portal by authorized users at the three libraries.	http://wncln.lib.unca. edu/	Operatio nal 2008	Journals	JSTOR	Campus libraries	Indefinite	Holding Library	Minimal

Attachment 2: Selection Criteria Exploration

Table 1: Possible categories based on Risk

On which categories shall we place effort? Proportionally, how much effort?

	Mitigating Factor	Less Effort Here	Some Effort Here	More Effort Here	De Facto Archive?	Built Archive?
Higher Risk						
1. Print only journals	Significant duplication within WEST only, A&I indexing available					
2. Print only journals	Moderate duplication within WEST only, A&I indexing not available					
3. Gaps in UC JSTOR Archive	None					
Moderate Risk						
4. Print only journals	Significant duplication within WEST and network, A&I indexing available					
5. Print journals w/electronic	Electronic backfile exists, no post-cancelation access rights, moderate print duplication in WEST					
Lower Risk						
6. Print journals, w/electronic	Electronic backfile exists, post-cancelation access rights available, moderate print duplication in WEST					
7. JSTOR print journals held by Orbis-Cascade	presence of page validated archive, though access restricted					
8. JSTOR print journals held by others in WEST	presence of page validated archive, though access restricted, and presence of Orbis-Cascade archive, access copy though validation level unknown					

QUALITY METRICS

As a general principle, which of the following quality metrics might we want to look for in candidate titles? Which are not important?

Table 2: Preferred quality metrics

	Doesn't matter	*Yes, effort here*	*No effort here*
1. Many years of publication			
2. Few years of publication			
3. Peer reviewed, refereed			
4. Not peer reviewed, refereed			
5. Ceased publication			
6. Continuing publication			
7. Society journals			
8. Journals with a value metric			
9. Other quality measure?			

STRATEGIC CRITERIA

Regardless of all of the risk categories above and the quality metrics, on which of the following strategic choices would your institution want WEST to focus?

Table 3: Preferred strategic criteria

		Yes, effort here	*No effort here*
1. WEST as a contributor to the optimal copies nationwide. We ought to compile the backfiles in parallel with others.	Consult the list of shared print efforts and indicate which ones.		
2. WEST as a unique built archive. We ought to compile the backfiles for XXXX as the first nationwide compiled copy			
3. WEST to support last copy agreements among bibliographer groups by compiling backfiles for the higher and moderate risk categories	Indicate which bibliographer agreements		
4. WEST to compile backfiles in specific subjects	Indicate which subjects		
5. WEST to compile backfiles for journals published in specific countries	Indicate which countries		
6. WEST to compile backfiles for specific international organizations	Identify specific agencies/organizations (WorldBank, Development Banks, EU, etc.)		
7. WEST to compile backfiles for Federal Documents	Refine categories within this (Hearings, Serials Set, specific Agencies, Departments, etc.)		