Western Regional Storage Trust

2016 WEST Assessment

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Contents

1 Executive Summary

The Western Regional Storage Trust (WEST) conducted a program assessment in August 2016 to guide future activities and strategic planning for the Trust. The primary objectives of the assessment were to determine:

- the value of WEST;
- satisfaction with existing services and possibilities for change; and
- new journal archiving services.

A survey of WEST Directors and Primary Contacts achieved an outstanding 76% response rate from WEST's institutional members.

The assessment also included a review of journal family commitments and disclosures in the Center for Research Libraries' Print Archive Preservation Registry and OCLC's WorldCat.

The Value of WEST

Continued Participation

Members continue to value WEST and most (90%) indicate that they are likely to continue to participate in the Trust six years from now (Q44, pages 33).

WEST's Primary Objectives

WEST's three primary objectives all remain very or extremely important to members; while the need to reclaim space is important, it remains secondary to preservation and access (Q14, page 10). Notably, preservation of the scholarly print record has surpassed access as WEST members' most valued goal and as the main rationale for participating in WEST (Q11/13, pages 11-12).

> "By participating, we are helping preserve the scholarly record. The cost is minimal and this 'insurance' is crucial" (*Primary Contact*, Archive Holder).

Existing Services and Possibilities for Change

Challenges and Costs to Participating

- Routinizing WEST activities continues to be a challenge to some members; staff changeover, insufficient staffing levels in general, and not having a local staff member assigned to WEST can make reaping the full benefits of the Trust challenging (Q12, page 13). Some WEST members expressed a desire for additional support.

- The majority (73%) of WEST members agree that the costs of WEST activities are proportionate to the benefits gained (Q43, page 15).

- While WEST is viewed as "a cost effective means for managing print journal collections," increased membership fees are a concern and challenge for some members (Q43, page 15).

Deselection Activities

Space reclamation is accelerating in our region (Q17a, page 20). It appears members expect to "finish" deselecting print journals within the next five years (Q17b, page 20), and will take WEST retention commitments into account when doing so.

Communications

WEST members are generally satisfied with WEST's communications. Areas for improvement include storytelling around the impact and value of WEST, an improved web presence, and alternatives to the in-person member meetings (Q21, pages 18-19).

Disclosure

- The majority of WEST members expect to see WEST archives recorded in OCLC WorldCat (94% of respondents), the CRL PAPR Registry (70%), and in a WEST-managed title list (68%) ten years from now (Q30, pages 21-22).

- Some committed titles are not being disclosed and may not be archived (Commitment Review, page 7-8). While there is opportunity to improve disclosure rates in both PAPR and OCLC, PAPR continues to be a more reliable source for WEST disclosures. The disclosure rate for cycles 1 through 5 archives is 87.4% in PAPR versus 69.7% in OCLC).

Access

Most WEST members (77%) are very or completely confident that WEST's access model will continue to meet member needs in 10 years (Q28, page 22)

Distributed Retention Responsibilities

Most WEST members want to retain WEST's distributed nature for as long as possible (Q26, page 23-24). However, because of the uneven distribution of unarchived collections, future changes will be necessary if WEST wants to maintain its distributed print archiving model. Potential changes might involve maintaining distribution by proposing archivers with shallower backfiles (necessitating more gap-filling) and/or asking libraries to commit to archive titles not already held locally.

Archiving Pace & Quality

Members overwhelmingly favor maintaining the current pace and quality of print archiving. Members feel strongly that any changes made to pace or cost must not decrease quality (Q61-64, pages 25-27).

New Journal Archiving Services

Larger Scale Gap Filling and Deselection Service

The majority of WEST members (68%) are willing to ship full backfiles to Archive Builders upon request (Q40, pages 28). Archive Builders are divided about requesting all holdings and removing duplicates as a (compensated) service to complete archives more efficiently (Q39, page 30).

Findings: Digitization

- WEST members want to continue to pursue digitization of WEST's print-only archives (Q32, page 29).

- WEST members are most interested in pursuing an open access model for digitizing WEST's archives, and want there to be opportunity to nominate, review, and/or prioritize titles for digitization (Q33/34, page 29-30).

2   Review of Commitments and Archive Disclosures

WEST archive disclosures are submitted by Archive Holders and Archive Builders to the Center for Research Libraries' Print Archive Preservation Registry (PAPR) and OCLC's WorldCat. In the 2014 WEST Assessment, a review of archive cycles 1 and 2 journal family commitments and disclosure records revealed a 91.6% disclosure rate in PAPR and a 64.9% disclosure rate in WorldCat.

As part of the 2016 assessment, journal family commitments and disclosures were reviewed for archive cycles 1 through 5. Currently, the disclosure rate is 87.4% in PAPR and 69.7% in WorldCat.

2.1   Methodology and Notes

To determine disclosure rates, the cycles 1 through 5 committed journal families were compared to the title-level disclosures on the WEST All Titles disclosure report from PAPR and to a custom WorldCat disclosures report generated by OCLC. The ISSN was used to match journal family commitments to title-level disclosures.

The custom OCLC report was missing a small number of titles that were in fact disclosed in WorldCat. The OCLC report was spot-checked, but no additional omissions were found.

2.2   Key Findings

Some committed journal families are not publicly disclosed and may not be archived. While there is opportunity to improve disclosure rates in PAPR and OCLC, PAPR continues to be a more reliable source for WEST disclosures (see Figure 1). The low disclosure rate in cycles 2 and 5 warrants further investigation.

Cycle 1		Cycle 2		Cycle 3		Cycle 4		Cycle 5	
PAPR Discl. Rate	OCLC Discl. Rate	PAPR Discl. Rate	OCLC Discl. Rate	PAPR Discl. Rate	OCLC Discl. Rate	PAPR Discl. Rate	OCLC Discl. Rate	PAPR Discl. Rate	OCLC Discl. Rate
90%	90%	75%	62%	97%	73%	93%	74%	79%	58%

Figure 1. Journal family commitment totals and the PAPR and OCLC WorldCat disclosure rates for archive cycles 1 through 5.

The higher response rate overall for PAPR is likely due in part to the assistance provided to archivers during ingest of disclosure records to PAPR. The WEST Project Team is aware that some member libraries do not regularly upload records to WorldCat, and that routinizing this work for WEST disclosures can be difficult. There are also known issues with Ex Libris' Alma. For some Orbis Cascade Alliance members, such as the University of Washington, field corruption occurred during the migration, impeding record upload to OCLC. Alma also does not currently support mapping to OCLC shared print symbols at the location level. The Orbis Cascade Alliance is working with Ex Libris to resolve these issues.

When there is a discrepancy between the total disclosed archives in OCLC versus PAPR, it is most often because the archiver did not disclose any titles to OCLC. Sometimes most/all disclosures are found in PAPR but only a portion is in WorldCat. In very few cases, an institution's OCLC disclosure rate is higher than their PAPR disclosure rate.

Some archivers, such as the University of San Diego, submitted disclosures to PAPR that were rejected by the registry because the institution had not yet created a shared print symbol with OCLC. Interestingly, 22.8% of OCLC disclosures are under the institution's regular symbol as opposed to a shared print symbol.

2.3 Disclosure Rates

WEST has 50 archives located across 45 archiving institutions. Most institutions actively commit to archive titles in some but not all cycles. At present, 22 archives have completed most or all of their disclosures in both PAPR and OCLC (see Figure 2).

Archive	Cycle 1 PAPR Discl. Rate ≥ 80%	Cycle 1 OCLC Discl. Rate ≥ 80%	Cycle 2 PAPR Discl. Rate ≥ 80%	Cycle 2 OCLC Discl. Rate ≥ 80%	Cycle 3 PAPR Discl. Rate ≥ 80%	Cycle 3 OCLC Discl. Rate ≥ 80%	Cycle 4 PAPR Discl. Rate ≥ 80%	Cycle 4 OCLC Discl. Rate ≥ 80%	Cycle 5 PAPR Discl. Rate ≥ 80%	Cycle 5 OCLC Discl. Rate ≥ 80%
Most/all disclosures have been submitted										
California Institute of Technology	✓	✓								
California State University, N							✓	✓	✓	✓
The Huntington Library	✓	✓			✓	✓	✓	✓	✓	✓
Loyola Marymount University			✓	✓	✓	✓	✓	✓	✓	✓
Mount Saint Mary's University							✓	✓		
Oregon Health Sciences University							✓	✓		
Oregon State University	✓	✓			✓	✓	✓	✓	✓	✓
Rice University (in-place)			✓	✓	✓	✓	✓	✓		
San Jose State University							✓	✓	✓	✓
Seattle Pacific University							✓	✓	✓	✓
Stanford University (storage)	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Stanford University (in-place)	✓	✓	✓	✓						
University of Arizona	✓	✓			✓	✓	✓	✓	✓	✓
University of Arkansas							✓	✓	✓	✓
UC Riverside			✓	✓	✓	✓	✓	✓	✓	✓
UC San Diego	✓	✓			✓	✓	✓	✓	✓	✓
UC Santa Barbara			✓	✓	✓	✓	✓	✓	✓	✓
The University of La Verne									✓	✓
The University of New Mexico							✓	✓	✓	✓
The University of Oklahoma			✓	✓	✓	✓	✓	✓	✓	✓
Washington State University, Sp.					✓	✓				
Willamette University							✓	✓	✓	✓

Figure 2. WEST archives where most if not all of the archive disclosures have been submitted to PAPR and OCLC (n = 22 archives).

Of the 28 archives with incomplete disclosure submissions to PAPR and/or OCLC, 12 archives under-disclosed in only one cycle (see Figure 3).

Archive	Cycle 1		Cycle 2		Cycle 3		Cycle 4		Cycle 5	
	PAPR Discl. Rate ≥ 80%	OCLC Discl. Rate ≥ 80%	PAPR Discl. Rate ≥ 80%	OCLC Discl. Rate ≥ 80%	PAPR Discl. Rate ≥ 80%	OCLC Discl. Rate ≥ 80%	PAPR Discl. Rate ≥ 80%	OCLC Discl. Rate ≥ 80%	PAPR Discl. Rate ≥ 80%	OCLC Discl. Rate ≥ 80%
Incomplete disclosure submissions to PAPR and/or OCLC										
Arizona State University (storage)	✓	✓	✓	✓	✓	✓	✓	✓	✓	X
Arizona State University (in-place)	✓	✓	X	X	✓	✓	✓	✓	✓	X
Brigham Young University			✓	X			X	X		
The Claremont Colleges									X	X
The Getty Research Institute							X	✓	✓	✓
Iowa State University			X	X	✓	✓	✓	✓	✓	✓
Kansas State University			X	X	✓	✓	✓	✓	✓	X
Rice University (storage)			X	X	✓	✓	✓	✓	✓	✓
University of Arizona, Law					✓	X				
UC Irvine							✓	X	✓	X
UC Los Angeles	✓	✓	X	X	✓	✓				
UC NRLF	✓	✓	X	X	✓	✓	✓	✓	X	✓
UC Santa Cruz							✓	✓	X	X
UC SRLF	✓	✓	X	X	✓	✓	✓	✓	X	X
University of Colorado, HSL							✓	X	X	X
University of Denver							✓	X	✓	X
University of Hawaii at Manoa			X	X	✓	X				
University of Idaho							✓	✓	✓	X
University of Kansas (in-place)					✓	X	✓	X	✓	X
University of Kansas (storage)					✓	X	✓	X	✓	X
University of Oregon	✓	✓			✓	X	✓	✓		
University of San Diego							X	X	X	X
University of Washington	✓	✓	✓	✓	✓	X	✓	X	✓	X
University of Wyoming			✓	X	✓	X	✓	X	X	X
WSU Tri-Cities	X	X								
WSU Pullman	X	X			✓	✓			✓	X
WSU Vancouver	✓	✓			✓	✓			X	X
Washington University in St. Louis			✓	✓	✓	✓	✓	✓	X	✓

Figure 3. WEST archives with incomplete disclosure submissions to PAPR and/or OCLC in at least one cycle (n = 28 archives).

Disclosure rates below 80% are considered incomplete. This measure takes into account that commitments can change during validation, and that WEST's methodology for matching commitments to disclosures is somewhat affected by the match point used (ISSN; OCLC number is not available).

3 Survey

3.1 Survey Methodology and Respondent Demographics

WEST has received two three-year grants from the Andrew W. Mellon Foundation to cover program implementation. The second three-year grant included support for two assessment surveys.

The first assessment was conducted in 2014 and focused on evaluating WEST Phase 1 (2010-2013). The findings allowed WEST to implement productive adjustments to the program and to target new services.[1]

The second assessment was completed this year. The survey focused on evaluating WEST Phase 2 (2013-2016) and possibilities for change.

3.1.1 Assessment Methodology

In June 2016, the Executive Committee and Operations & Collections Council (OCC) developed survey objectives to assess program outputs and member expectations around future directions for WEST. The following themes emerged:

- the value of WEST
- existing services and possibilities for change, and
- new services for print journal archiving.

The WEST project team and the California Digital Library (CDL) User Experience Team drafted the survey instrument, and the survey was built using the Qualtrics Research Suite.

WEST Directors and Primary Contacts were invited to complete the survey. Where an institution has multiple Primary Contacts, only one Primary Contact was asked to respond on behalf of the team. Directors and Primary Contacts were encouraged to solicit and incorporate feedback from their staff. The survey included five demographic questions and between nine and twenty-six additional questions depending on responses to specific conditional questions.

The survey opened on July 28, 2016 and closed August 19, 2016. Responses were submitted by 70 individuals representing 58 of WEST's 76 institutional members.

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[1] Watters Westbrook, D., Poe, F., Stambaugh, E., Payne, L., & Anderson, I. (2014). WEST Phase 1 Assessment: Member Survey. Oakland, CA: California Digital Library. Accessed October 06, 2016. http://www.cdlib.org/services/west/docs/WESTPhase1Assessment_2014MemberSurvey_FinalFullReport.pdf

3.1.2 Respondent Demographics

The survey achieved an outstanding 76% response rate from WEST's institutional members. In total, 49 Primary Contacts and 28 Library Directors completed the survey. In seven instances, the respondent serves as both the Library Director and Primary Contact; in such cases, only one survey response was submitted (see Figure 2).

All three of WEST's member types (Non-Archivers, Archive Holders and Archive Builders) are well represented in the survey response (see Figure 3).
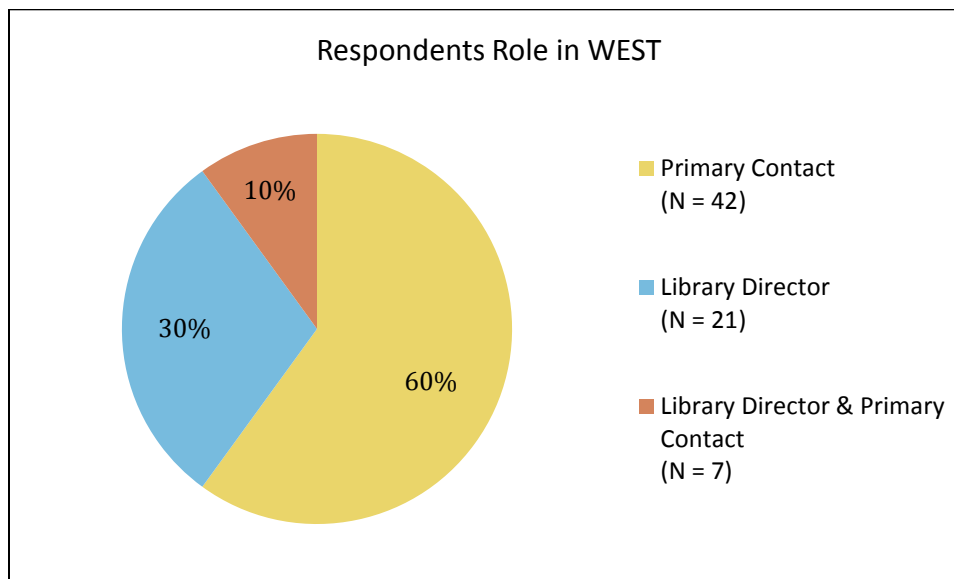

Figure 4. Respondent roles in WEST for the 70 WEST members who responded to the 2016 assessment survey.

Member Types	Count	% of total Institutions that responded (N = 58)	Response rate for member type
Non-Archiver	24	42%	75%
Archive Holder	28	48%	74%
Archive Builder	6	10%	100%
Total	**58**		

Figure 5. Response rates for WEST's three member types (Non-Archive, Archive Holder and Archive Builder). In total, 70 respondents from 58 institutions responded to the survey.

3.2 The Value of WEST

A primary objective of the 2016 assessment survey was to understand the continued value of WEST to its members. A series of questions were designed to review:

- WEST's objectives,
- member rationale for participating in WEST,
- challenges to participating in WEST, and
- the cost of WEST as it relates to benefits gained.

While some of these questions were posed to both Library Directors and Primary Contacts, the majority were posed to Primary Contacts only.

3.2.1 Review of WEST's Objectives

The majority of Primary Contacts report that WEST's three objectives continue to be very or extremely important to their institution (Q14). Access to distributed print archives and preservation of the scholarly print record remain members' most valued objectives (very or extremely important to 86% and 94% respectively). Space reclamation, though very or extremely important to 63% of respondents, is a secondary goal.

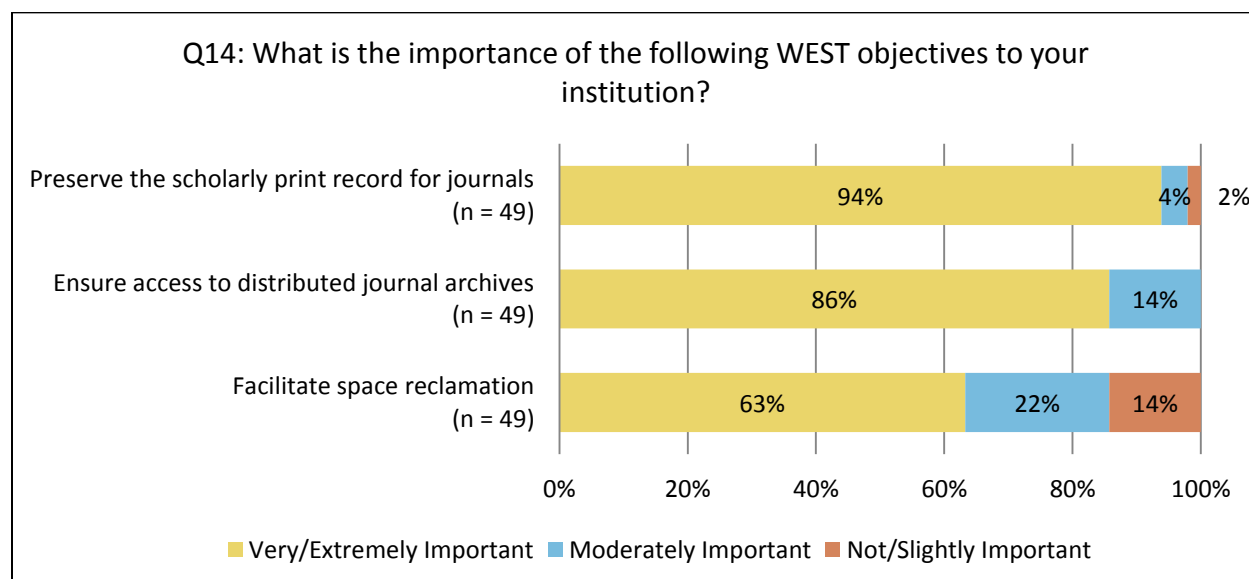**Figure 6. The importance of WEST's objectives, according to Primary Contacts (n = 49 respondents).**

Access is the only objective ranked at least moderately important by all respondents. Both preservation and space reclamation are slightly or not important to a small number of WEST members. The difference between the importance of WEST's objectives to Archive Holders and Builders versus non-Archivers is negligible.

The WEST Project Team also asked members about the value of WEST's objectives in the 2014 survey.[2] While the 2014 question differs slightly, asking respondents to indicate whether WEST's objectives are a priority to their institution, the responses are still comparable.

Both in 2014 and 2016, all three objectives are very or extremely valuable to the majority of respondents. In 2016, we see a notable shift as preservation of the scholarly print record surpasses access as WEST members' top priority (from 78% in 2014 to 94% in 2016, versus 80% to 86% for access). The facilitation of space reclamation remains the least valued goal and remains very/highly valuable to about the same number of respondents proportionally (62% of 77 respondents in 2014, and 64% of 44 respondents in 2016).

The proportional increase seen in 2016 related to WEST's preservation and access goals may in part reflect that some access-interested institutions recently left the Trust. Between 2014 and 2016 the Orbis Cascade Alliance terminated its consortia membership, as did a small handful of direct members. Of the 17 respondents in 2014 who stated preservation was a medium, low or not a priority, 47% are no longer WEST members. Of the 15 respondents in 2014 who stated that access was a medium, low or not a priority, 33% are no longer WEST members.

3.2.2 Rationale for Participating in WEST

Preservation is on the rise as a key rationale for participating in WEST. Space reclamation is also an important element for member libraries.

Primary Contacts and Directors were asked to describe the rationale provided to higher administration about participation in WEST (Q11/13). The top three rationales reported are also WEST's three core objectives: preservation of the scholarly record; space reclamation; and access.

There appears to have been a shift in local dialogue around shared print. Where preservation is currently the top rationale, in the 2014 survey it was ranked fifth as a rationale for participating in WEST.

Interestingly, while space reclamation as a goal is ranked lowest in terms of importance, here it is ranked second highest when used as rationale.

Collaboration and shared responsibility, in terms of archiving and stewardship, continue to be widely cited as motivation to participate in WEST, as are the efficiencies afforded through WEST in terms of resources and strategic collection management.

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[2] Watters Westbrook, D., Poe, F., Stambaugh, E., Payne, L., & Anderson, I. (2014). *WEST Phase 1 Assessment: Member Survey*. Oakland, CA: California Digital Library (pages 11-12).
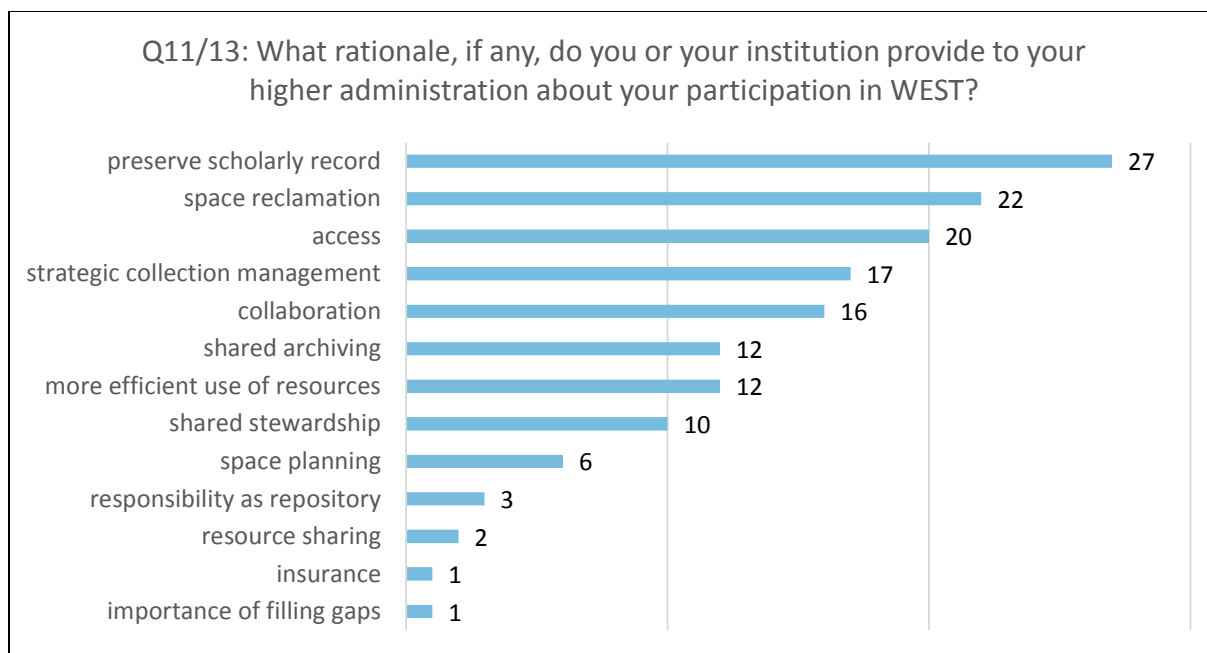
Q11/13: What rationale, if any, do you or your institution provide to your higher administration about your participation in WEST?

Rationale	Count
preserve scholarly record	27
space reclamation	22
access	20
strategic collection management	17
collaboration	16
shared archiving	12
more efficient use of resources	12
shared stewardship	10
space planning	6
responsibility as repository	3
resource sharing	2
insurance	1
importance of filling gaps	1

Figure 7. Raionale provided by Library Directors and Primary Contacts to their higher administration about their participation in WEST (n = 65 respondents).

In total, 65 respondents answered WEST's open-ended rationale question. Across the responses, 14 rationales can be identified. An additional ten respondents stated "none" or that they are not sure what their rationale for participation is. Two responses did not answer the question.

Respondents report the following rationale for participating in WEST:

- "By participating, we are helping preserve the scholarly record. The cost is minimal and this 'insurance' is crucial." (*Primary Contact*, Archive Holder)

- "I present this as a means with which we collaborate with other libraries to strategically manage print storage and archival needs. I follow this with explanations for how this will help us eventually reclaim our valuable library spaces for other needs, instead of using it for storage of print materials." (*Library Director*, Non-Archiver)

- "Strategic and selective print journal archiving conserves resources for our regional network of institutions of higher education, serves as an opportunity to collaborate to preserve the print record, and serves as a model for other print preservation programs." (*Primary Contac*t, Archive Builder)

- "The preservation of and access to our print collections relies on regional cooperatives such as WEST. These programs help ensure long-term reliable access to materials that might otherwise be at risk and pose a method for institutions like [Institution name omitted] to act strategically in building our collections." (*Library Director and Primary Contact*, Archive Builder)

- "WEST is an example of innovation in the library profession and offers the promise of saving scarce resources (physical space, acquisitions funding)." (*Library Director and Primary Contact*, Non-Archiver)

3.2.3 Challenges to Participating in WEST

When asked to describe the aspects of participation that have been most challenging, 41 Primary Contacts responded and many provided multiple answers. Eight respondents noted that they do not have any challenges to report.

Local workloads and staffing are cited most frequently by Primary Contacts (Q12). Staff changeover, insufficient staffing levels in general, and not having a local staff member assigned to WEST can make reaping the full benefits of the Trust challenging for some members. In the 2014 survey, some members similarly noted that routinizing WEST activities at the local level can be challenging.

The aforementioned staffing issues, particularly around staff changes, can produce a steep learning curve, both when a new WEST representative is identified and when a member takes on new responsibilities, such as archiving. There is opportunity for WEST to offer additional guidance, not only for new members, but for contact/representative changes and new archivers.

Attaining local consensus around what to archive and/or what to contribute to fill gaps is also difficult for some members.
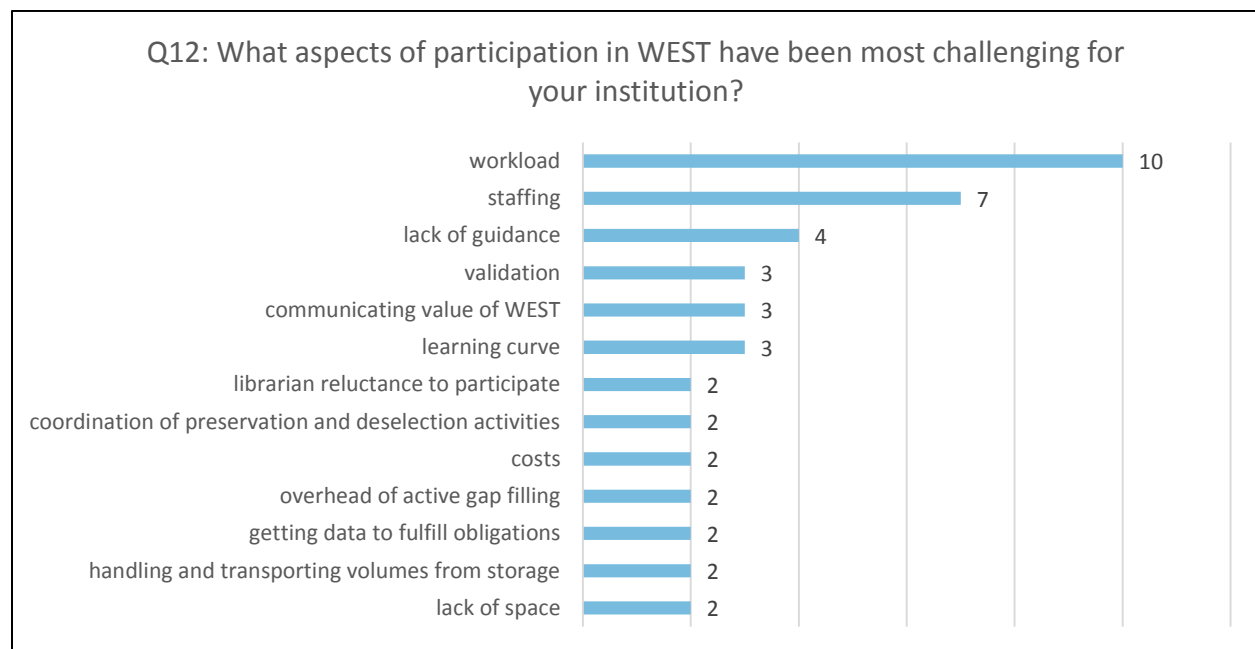

Q12: What aspects of participation in WEST have been most challenging for your institution?

Category	Value
workload	10
staffing	7
lack of guidance	4
validation	3
communicating value of WEST	3
learning curve	3
librarian reluctance to participate	2
coordination of preservation and deselection activities	2
costs	2
overhead of active gap filling	2
getting data to fulfill obligations	2
handling and transporting volumes from storage	2
lack of space	2

Figure 8. Challenges to participating in WEST, as reported by Primary Contacts (n = 41 respondents)

When describing the challenges they face, WEST members offered the following:

- "We are unable to commit to become an archive holder due to lack of space. We also do not have a collection development librarian to coordinate our contributions and participation in the program." (*Primary Contact*, non-Archiver)

- "We do not have a dedicated staff member to coordinate the WEST requests, so we typically make a decision about "holding" titles and/or contributing to builders by committee. The workflow is not routine and is done on an ad hoc basis which typically seems to fall at other busy times. We have also had trouble getting our records into PAPR." *(Primary Contact*, Archive Holder)

- "Reaping the full benefits of what WEST has to offer with a small tech services staff is the most challenging for us. The archive cycle reports make this much simpler, but there is still a lot of verification and number-crunching we end up doing in-house due to discrepancies with how our holdings data has been maintained by Cataloging over the years. There are two of us in tech services working on WEST, and really only myself on any consistent basis, except when large comparison projects of the archive cycles are underway. So the challenges are periodic, not constant." (*Primary Contact*, non-Archiver)

- "Figuring out which journals to remove and which to keep. We have many stakeholders with differing views. Another challenge has been to get the de-selection project started. We have been derailed by reduced staffing and competing projects." *(Primary Contact*, non-Archiver)

- "As a new WEST member, just learning the ropes and learning what we need to do to contribute in the future as an archive holder." (*Primary Contact*, non-Archiver)

The following challenges were reported only once:

- the need to clean up holdings information to benefit from the collections analysis
- resistance to culture shift/participation
- dealing with local, incomplete runs after gap-filling for Archive Builders
- responding to Builder requests for holdings
- submitting records to PAPR
- handling Archive Builder requests for individual items bound in multi volume sets (for gap-filling)
- Local needs matching WEST archive proposals
- metadata (in general)
- making sure WEST archives aren't deaccession
- local stakeholder management
- concerns around long-term program sustainability

3.2.4 The Cost of WEST as it relates to benefits gained

The cost of WEST continues to match the benefits gained from participation. The majority of Primary Contacts (73%) somewhat or strongly agree that the cost of WEST activities is proportionate to the benefits gained (Q43). Roughly one quarter of respondents neither agree nor disagree, or they somewhat/strongly disagree with the statement.
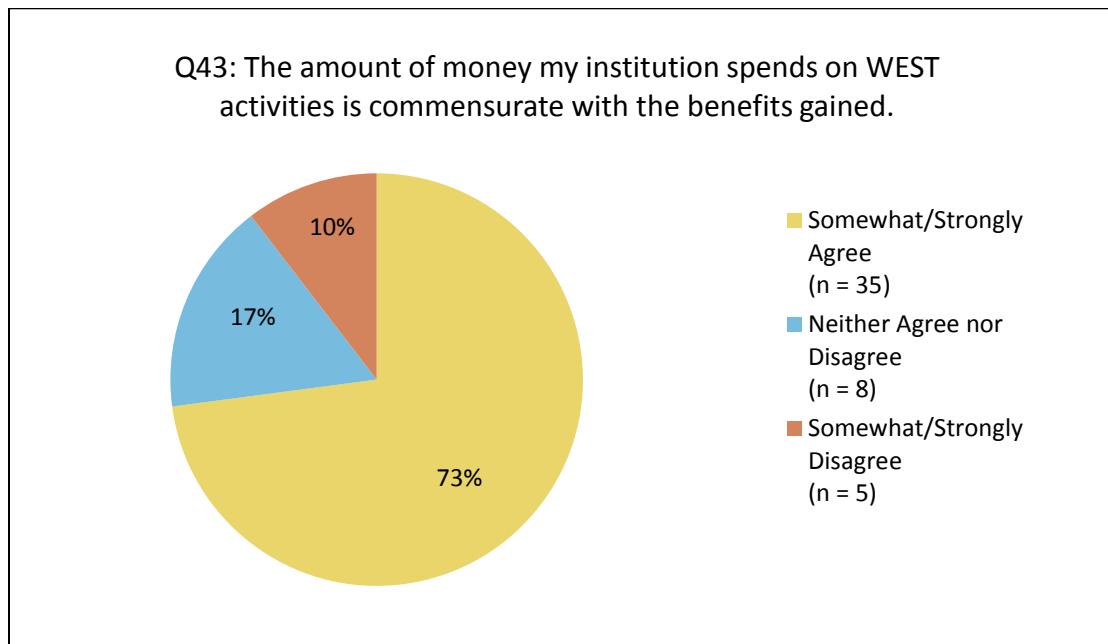

Figure 9. Level of agreement around whether the cost of WEST is proportionate to the benefits gained, as reported by Primary Contacts (n = 48 respondents).

Feedback from elsewhere in the survey further supports this response, that the cost of WEST matches the return:

- "[WEST is a] cost effective means for managing print journal collections." (*Primary Contact*, Archive Holder)
- "Participation in WEST as a cost-effective strategy to let us shift prime library space in the middle of campus from collection space to student user space." (*Library Director*, non-Archiver)
- "WEST's recent price increase got the attention of our acquisitions staff, but seems to make sense given the need to keep a project like this financially sustainable." (*Library Director*, non-Archiver)

However, other feedback reveals concern around member fee increases, as WEST moves from being partially grant-funded to a fully-member supported program:

- "We want to continue our membership and we do value WEST, but I am worried about the increasing WEST costs given that our library budget gets tighter each year." (*Library Director*, non-Archiver)
- "We have noted substantial cost increases and will be evaluating cost effectiveness of our WEST participation." (*Primary Contact*, Archive Holder)
- "Increased membership fees are a challenge to participating." (*Primary Contact*, Non-Archiver)

3.3 Existing Services and Possibilities for Change

Another primary objective of the WEST assessment survey was to evaluate existing services and ascertain if any actionable changes to the existing program are desired by the WEST membership.

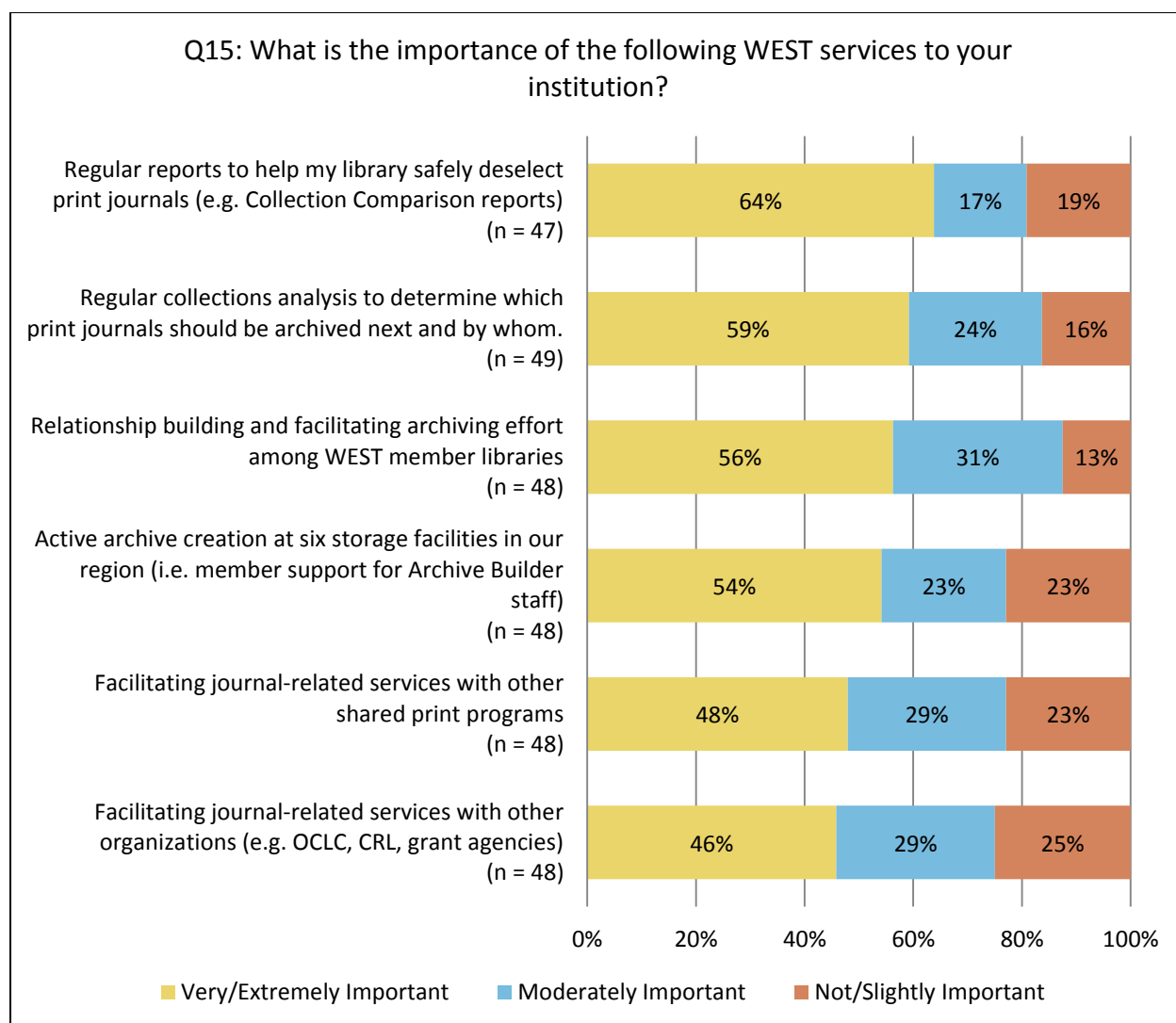A series of questions were designed to review:

- core services;
- communication methods and needs;
- member deselection activities;
- long term disclosure needs;
- current and future access needs;
- distributed retention responsibilities; and
- future print archiving plans.

Given the operational nature of the questions, most were posed only to Primary Contacts. Questions around future print archiving plans were posed to both Primary Contacts and Directors.

3.3.1 Review of WEST Services

Primary Contacts rated the importance of WEST's core services lower than expected, especially when compared to the high value they placed on WEST objectives (Q14) and member satisfaction with benefits accrued through the program (Q43).

Primary Contacts value regular deselection reports the most, with 64% of respondents regarding them as very or extremely important to their institution.

Q15: What is the importance of the following WEST services to your institution?

Service	Very/Extremely Important	Moderately Important	Not/Slightly Important
Regular reports to help my library safely deselect print journals (e.g. Collection Comparison reports) (n = 47)	64%	17%	19%
Regular collections analysis to determine which print journals should be archived next and by whom. (n = 49)	59%	24%	16%
Relationship building and facilitating archiving effort among WEST member libraries (n = 48)	56%	31%	13%
Active archive creation at six storage facilities in our region (i.e. member support for Archive Builder staff) (n = 48)	54%	23%	23%
Facilitating journal-related services with other shared print programs (n = 48)	48%	29%	23%
Facilitating journal-related services with other organizations (e.g. OCLC, CRL, grant agencies) (n = 48)	46%	29%	25%

Figure 10. The importance of WEST core services, as reported by Primary Contacts (n = 49 respondents).

Interestingly, "regular collections analysis to determine what to archive next and by whom" ranked second, with 59% of respondents regarding it as very or extremely important. The collections analysis is a necessary precursor to the deselection reports. Moreover, it is through the WEST collections analysis that the Trust has been able to preserve more than 500,000 volumes.

The disconnect between the very high value of WEST's preservation goal (very/extremely important to 94% of respondents), and the collections analysis service - a core component to assessing archive risk and prioritizing preservation activities - invites further investigation.

The response to the active archive creation service managed by WEST's six storage facilities, rated very or extremely important to 54% of Primary Contacts, also invites further investigation. When asked later in the survey whether the quality of WEST archives should be lowered to bring about cost and time savings, the vast majority of respondents -- between 75% and 90%, depending on the scenario presented -- answered that WEST should maintain the current quality of its archives.[3] This represents a

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[3] These scenarios (posed in questions 61-63) are discussed further in 4.7 Future Archiving Plans.

potential lack of awareness of the relationship between the highly valued quality of the WEST archives and the active archive creation service that ensures said archive quality.

Further investigation is required to better understand whether refinement of core services would be welcomed by WEST members, or whether the disconnect between survey question responses might be the result of question wording, survey fatigue, or a broader communications issue.

3.3.2 Communications

A key finding from the 2014 survey was the member desire for improved communication mechanisms.[4] It was useful to ask about this again to see how WEST fared two years later.

When members have an idea or a concern to share with WEST governance, most members contact Emily Stambaugh, WEST's program manager, or the WEST administration directly and typically by email (Q20). WEST's committee members also serve as an important communication avenue.
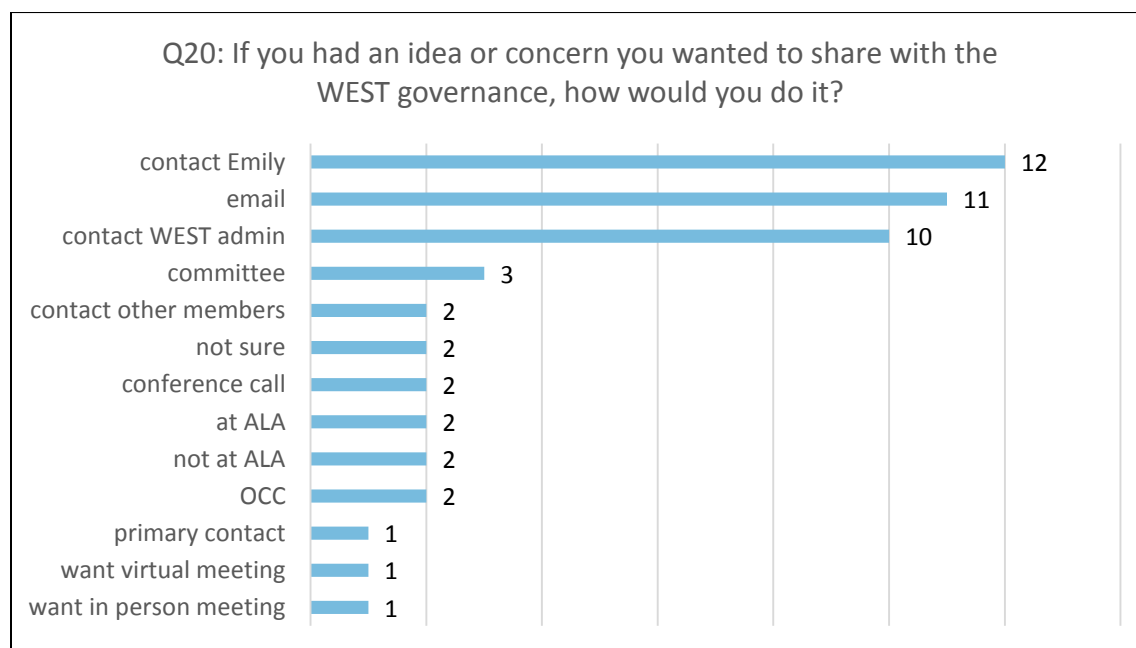

Figure 11. Modes/methods for Primary Contacts to share feedback and ideas with WEST governance (n = 39 respondents).

ALA member meetings were mentioned -- twice in a positive light and twice to mention that the member did not attend ALA and would prefer an alternative. In total, 42 Primary Contacts responded. While each respondent typically included between one and three responses, 13 themes were evident.

When asked how WEST might improve communication with its members, the plurality (30%) indicate an overall satisfaction with WEST's communications (Q21). The second most common response was that of uncertainty. One primary contact noted: "Tricky area since [communication] improvements come at a cost and if there are not specific problems the ROI of improvements may not be justified" (*Primary Contact*, Archive Holder).

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[4] See *WEST Phase 1 Assessment: Member Survey* (2014), page 5.

Many members expressed satisfaction with the current level of communication, or noted that communication has improved since the early years of the Trust. The following member comments reveal specific opportunities for improvement:

- "Consolidated news briefings; virtual meetings." (*Primary Contact*, Archive Holder)

- "I hope that WEST can have a more user friendly website, so that we can access its holdings and prepare our work accordingly." (*Primary Contact*, Archive Holder)

- "Use visuals, talk about impact, especially value of the now-preserved print journal collection, put it in perspective." (*Primary Contact*, Archive Holder)

- "Provide a more concise summary of purpose and goals to help clarify organization for non-librarians." (*Primary Contact*, Archive Holder)

Currently, WEST does not have a formalized communications structure. Therefore, many members contact the WEST Program Manager directly. A less centralized and standardized communications structure could provide more flexibility as the program matures and grows.

Suggestions for improving communications include website enhancements, regular program updates, and better reports and documentation. Storytelling, particularly around compelling narratives for program goals and accomplishments, is a priority for members looking to tell their WEST stories locally. Helping members connect with each other through meetings, mentorships and clear communication channels might strengthen the overall program.

Q21: Communications Comments Groupings

Figure 12. Methods for improving WEST communications with members, according to Primary Contacts (n = 34 respondents).

3.3.3 Deselection Activities

Space reclamation is accelerating in our region. In the 2014 survey, 60% of respondents stated that they had deselected print journals. Now in 2016, 83% of surveyed institutions report having deselected print journals (Q17a).
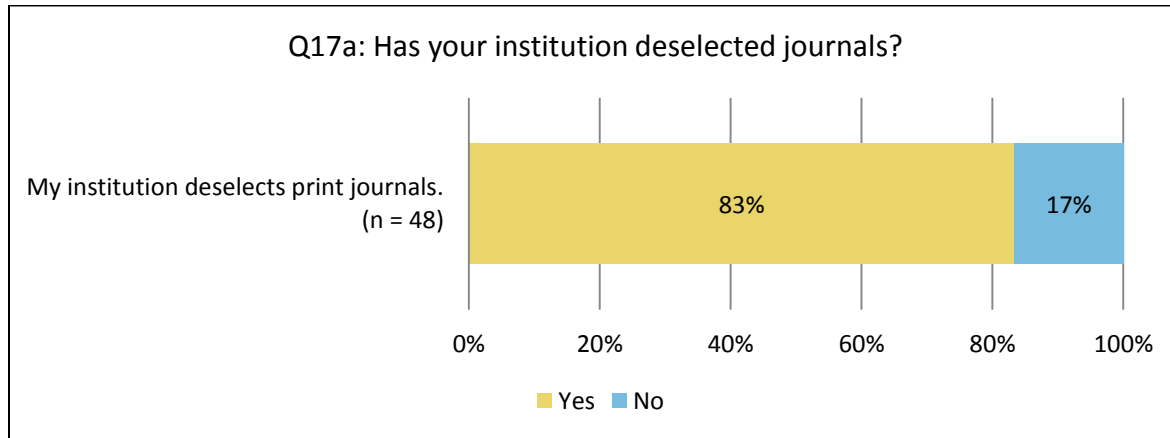

Figure 13. WEST member deselection activities, as reported by Primary Contacts (n = 48 respondents).

Interestingly, some members have likely already reaped most of the space reclamation potential available through the Trust. Over the past two years, a smaller subset (65% of members) report actively deselecting journal volumes (Q17b). It is also apparent that more members expect to "finish" deselecting print journals soon; only 40% of members plan to continue to deselect journals over the next five years.
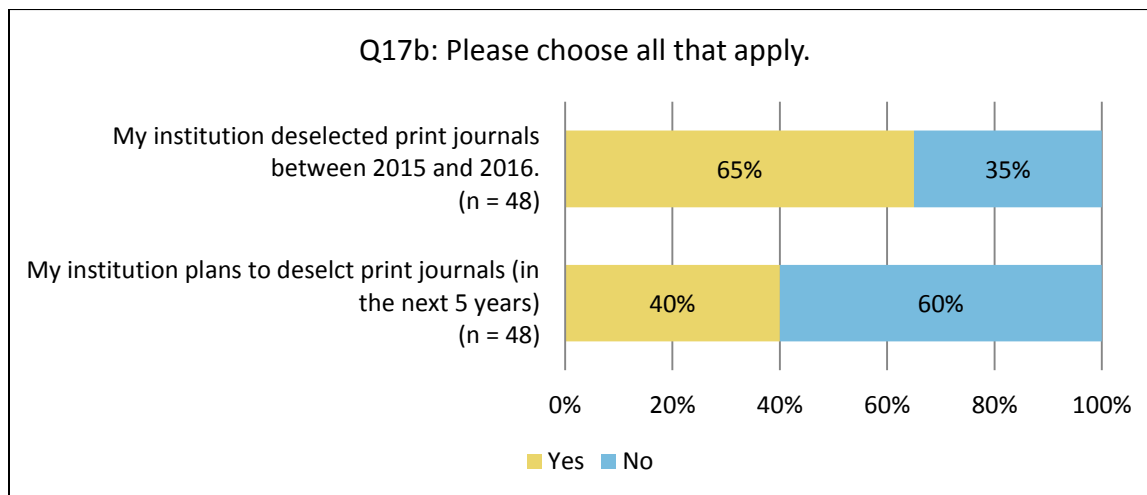
Figure 14. Recent deselection and potential future deselection for WEST members, as reported by Primary Contacts (n = 48 respondents).

In 2014, more members mentioned the potential for space reclamation: "we know that we could reclaim space quickly if needed by withdrawing some portion of WEST's bronze journals…" (Collection Development Librarian, Non-Archiver). Now in 2016, the custom collection comparison reports provided by WEST are highly or extremely important to the majority of members (see Q15), and more members are describing active deselection and near-term weeding projects:

- "We are… using the opportunity to weed those items held in the trust to enhance limited facility space." (*Primary Contact*, Archive Holder)

- "Participation in WEST allows us to weed our lower-use print materials and open up space in our library building while ensuring that there will still access to the content if needed." (*Primary Contact*, non-Archiver)

- "Participation in WEST is part of our long-range strategy for space planning in the library. Over the next 2-3 years, we will be discarding our bound print runs of titles present in JSTOR's A&S IV-XIV and relying on WEST for print versions when necessary…" (*Primary Contact*, non-Archiver)

- "[WEST] enable us to strategically draw down our print journal collections with the assurance that a print copy remains accessible to our users if required." (*Primary Contact*, Archive Holder)

As space reclamation increases, more members leverage the WEST archives to make decisions around what to deaccession. In 2016, 86% of Primary Contacts from deselecting institutions report that they consider WEST archives when deselecting print journals (Q18). In 2014, 76% of respondents stated that it was moderately, very, or extremely likely that WEST archives would be leveraged when identifying print journals to deselect.
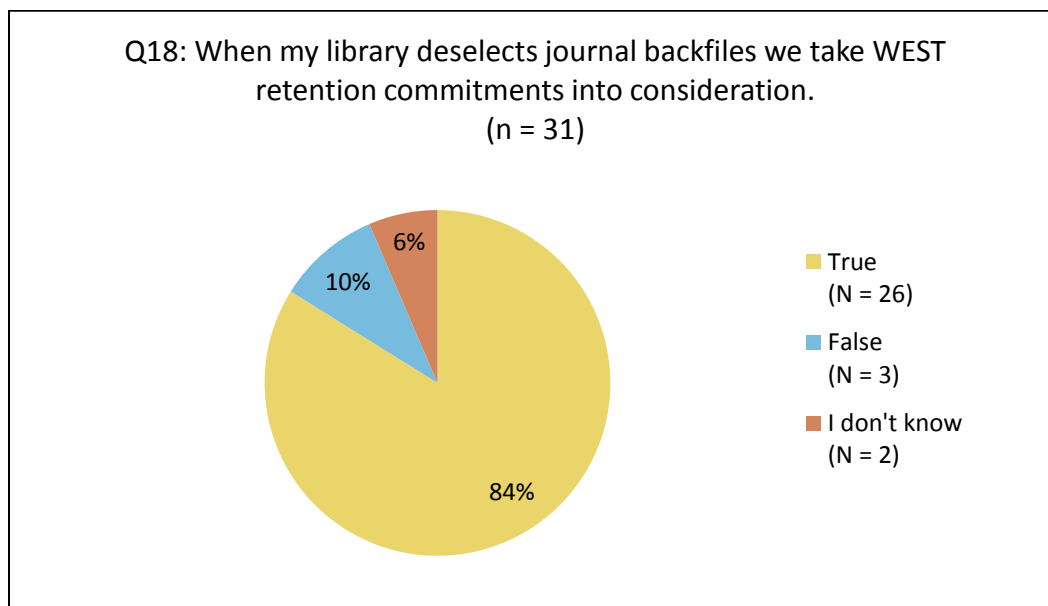

Figure 15. The value of WEST retention commitments when determining what to deselect, according to Primary Contacts who have actively deselected print journal volumes (n = 31 respondents).

3.3.4 Disclosure of WEST Archives

An archive disclosure is a public declaration of the retention commitment being made on behalf of the Trust. Currently, WEST Archive Holders and Archive Builders disclose their archived titles according to the WEST Disclosure Policy and in compliance with the OCLC Shared Print Disclosure Guidelines. WEST archives are disclosed in local archiver ILS', the CRL PAPR Registry, and OCLC WorldCat.

When asked to indicate where the WEST archives should be recorded 10 years from now, almost all responding institutions (94%) state that they expect to see WEST archives recorded in OCLC WorldCat (Q30). A strong majority also expect to see archives recorded in the PAPR Registry (70%) and in a WEST-managed archived titles report (68%).

Options for Recording/Disclosing WEST Archives	WEST archives should be recorded here 10 years from now (n = 47)
OCLC WorldCat	94%
The CRL PAPR Registry	70%
A WEST-managed archived titles report	68%
The JRNL retention and needs listing	45%
In an amendment to the WEST member agreements	17%

Figure 16. Primary Contact preferences for where to record WEST archives 10 years from now (n = 47 respondents).

The majority of WEST members (83%) do not see a long-term value in using amendments to record and track WEST archives. Furthermore, WEST members do not expect commitments to be included in the Journal Retention and Needs Listing.

3.3.5 Current and Future Access

Most WEST members (77%) are very or completely confident that WEST's access model will continue to meet member needs in 10 years.

Non-Archivers and Archive Holders/Builders have similar confidence levels in the WEST access model, with 71% of non-Archivers very or completely confident versus 81% of Archive Holders/Builders.

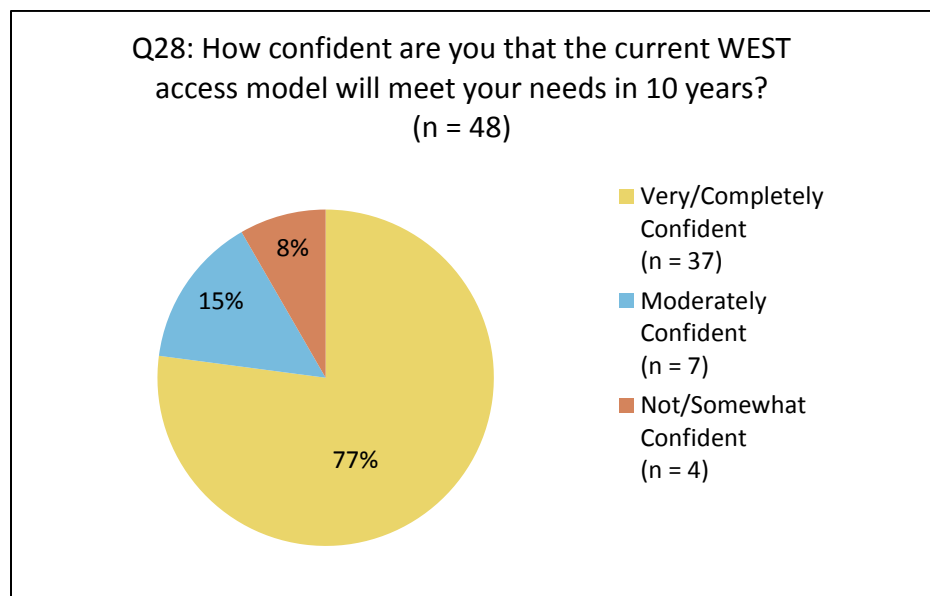Figure 17. Primary Contacts' confidence levels in WEST's current access model and how it will continue to meet member needs over the next 10 years (n = 48 respondents).

When asked what WEST can change to better meet future access needs, one third of respondents (35%, or seven out of twenty respondents) state that no changes are necessary, or that they are not sure given the timeline (10 years).

Another third note that we should look towards current ILL statistics and industry developments to better understand how the access model might change. Digitizing WEST's print-only archives was mentioned by 20% (four out of twenty respondents). Concern around long term ILL costs for borrowers of WEST materials, and long-term access in general, was also mentioned.
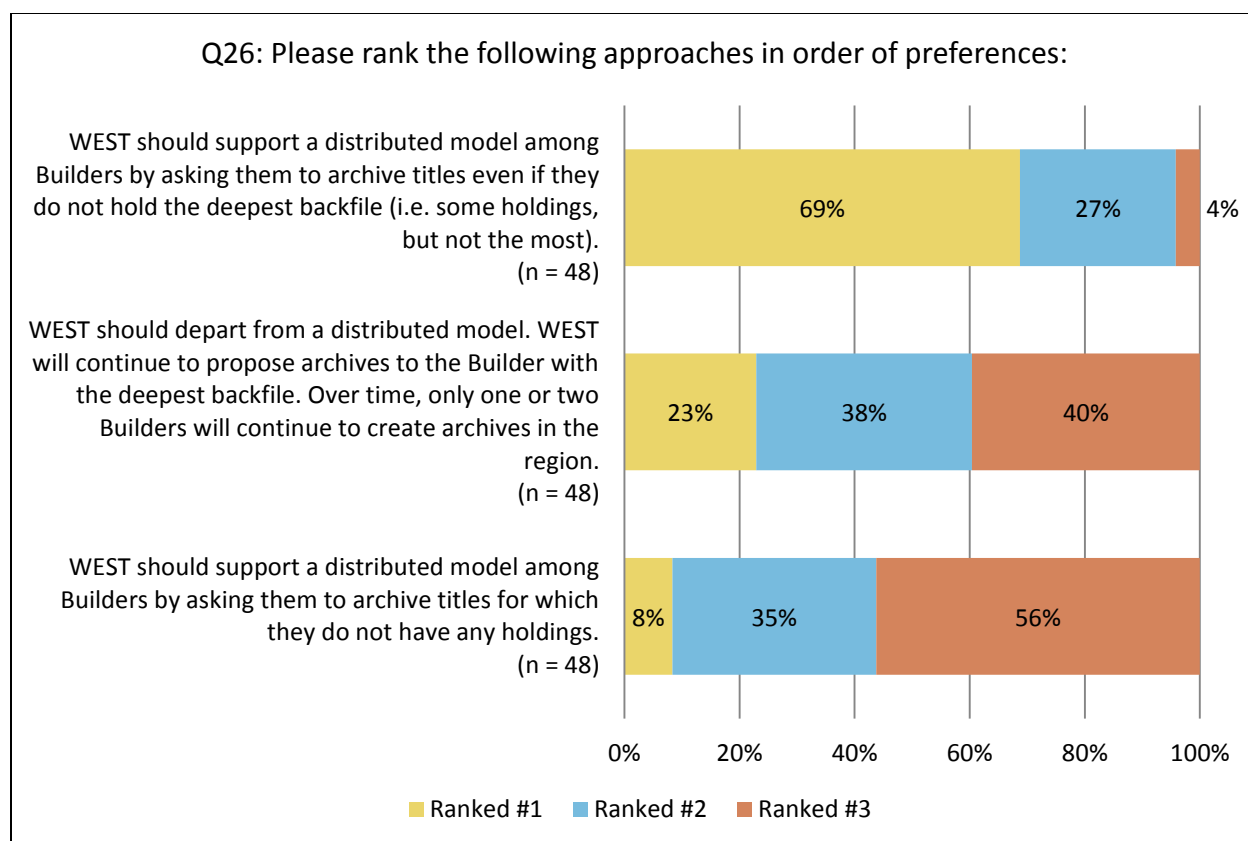
3.3.6 Distributed Retention Responsibilities

WEST is a distributed print archive program. Currently, over 40 institutions across the western region of the United States hold WEST archives. Archives are selected based on an analysis of who holds the most volumes for a particular journal. If distribution of responsibilities continues to be valued, some adjustments may be needed to the program.

Currently, responsibilities are assigned based on backfile depth. However, as WEST matures and owing to the uneven collection distribution in the region, only one or two Archive Builders will receive archive proposals and subsidies in the future.

WEST members were asked to weigh in on their perspective about distributed responsibilities. Primary Contacts were presented with three scenarios, two of which maintained the distributed nature of WEST, and a third which departed from WEST's distributed model (Q26). All three scenarios may need to be pursued, but knowing member preferences will help inform which one(s) to emphasize.

The majority of respondents (69%) favor maintaining WEST's distributed nature by no longer selecting archivers based on who holds the deepest backfile; instead Archive Builders with some but not the most holdings could be selected. This approach would ensure broader distribution, but would also necessitate more gap filling. An additional 27% rank this scenario second. The majority of Archive Builder Primary Contacts rank this option first, with only one ranking it second.

Q26: Please rank the following approaches in order of preferences:

WEST should support a distributed model among Builders by asking them to archive titles even if they do not hold the deepest backfile (i.e. some holdings, but not the most). (n = 48)
- 69% Ranked #1
- 27% Ranked #2
- 4% Ranked #3

WEST should depart from a distributed model. WEST will continue to propose archives to the Builder with the deepest backfile. Over time, only one or two Builders will continue to create archives in the region. (n = 48)
- 23% Ranked #1
- 38% Ranked #2
- 40% Ranked #3

WEST should support a distributed model among Builders by asking them to archive titles for which they do not have any holdings. (n = 48)
- 8% Ranked #1
- 35% Ranked #2
- 56% Ranked #3

Legend: Ranked #1, Ranked #2, Ranked #3

Figure 18. Primary Contacts review potential changes to WEST's approach to assigning archives (n = 48 respondents).

The next most popular scenario departs from the distributed model (ranked first by only 23% of respondents, and second by 38%); for this option, WEST continues to propose titles only to the Archive Builders with the deepest backfile. Over time, the number of active Archive Builders will shrink from six to two.

Least popular is the distributed model where Builders are asked to archive titles for which they do not have any holdings, with 8% ranking it first, 35% second and 56% third. Although ranked last, this scenario might still warrant further discussion. There is strong member interest in contributing full backfiles to other institutions.[5] Mechanisms for connecting contributing libraries with the appropriate Archive Builder were not mentioned in the survey but would be key to the success of this scenario.

3.3.7 Future Print Archiving Plans

With respect to future print archiving plans, WEST members were asked to reflect on whether WEST should change the pace, quality, or cost of archiving.

Primary Contacts and Directors were first asked to rank three scenarios around whether WEST should increase, decrease, or maintain its current archiving pace. Then, they were asked how changes to the pace of archiving should affect quality and cost.

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[5] As demonstrated in question 40: 68% of surveyed institutions are interested in sending most or all volumes held for requested titles to an Archive Builder.

Overall WEST members are satisfied with the current pace of archiving and quality, and simply want WEST to continue on, as planned. However, if changes must occur, WEST members favor increasing the pace (e.g., number of titles per year) while keeping up archive quality. In this scenario, WEST members favor raising member fees to maintain quality and accomplish the additional archiving. Reducing quality to achieve more titles is less desirable.

The majority of WEST members (85% of the 68 respondents) want to maintain the current pace of archiving; the remaining members are relatively split between wanting to increase or decrease the archiving pace.
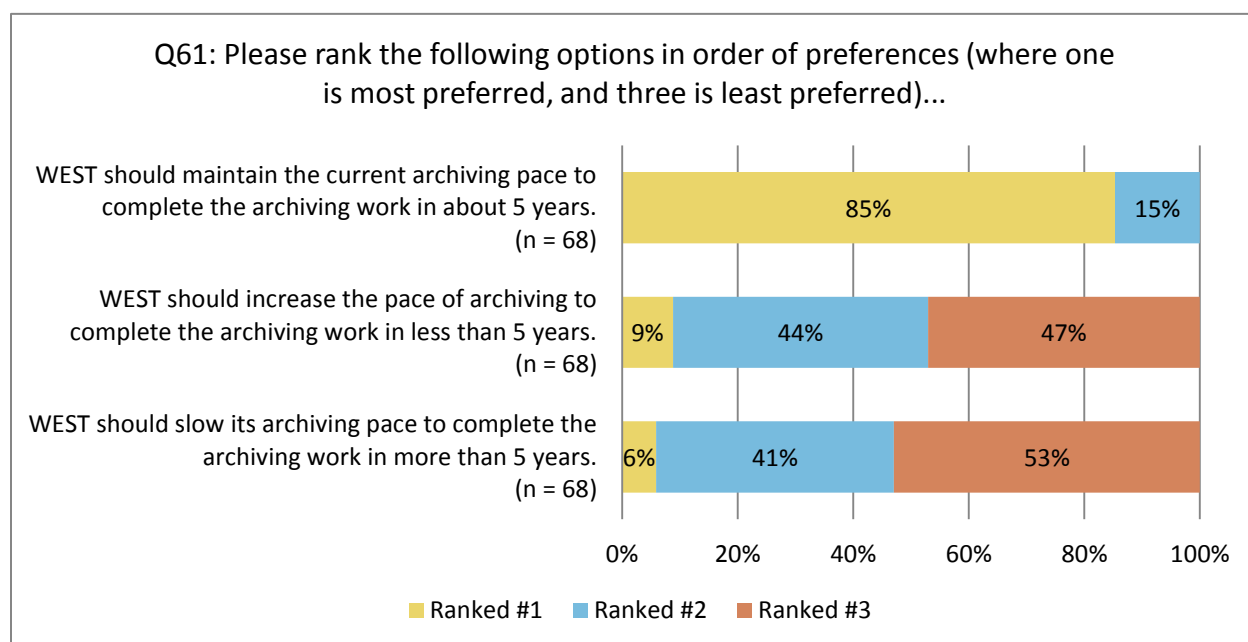

Figure 19. The preferred pace of archiving, according to both Primary Contacts and Directors (n = 68 respondents).

Because a change to archiving pace necessitates either a change to archive quality or a change to the cost of archiving, respondents were asked a follow-up question around how quality and cost should be balanced for the archiving paces they prefer. Each scenario's follow-up question was asked only to those who ranked it either first or second.

Because respondents ranked the scenario to maintain the current pace of archiving first or second, all respondents were asked whether the quality of the archives should be affected.

The majority of members (90%) want to maintain the current pace of archiving at the current quality, even though this will keep the projected annual costs the same. Ten percent of members would like to see lower costs at the expense of lower quality.
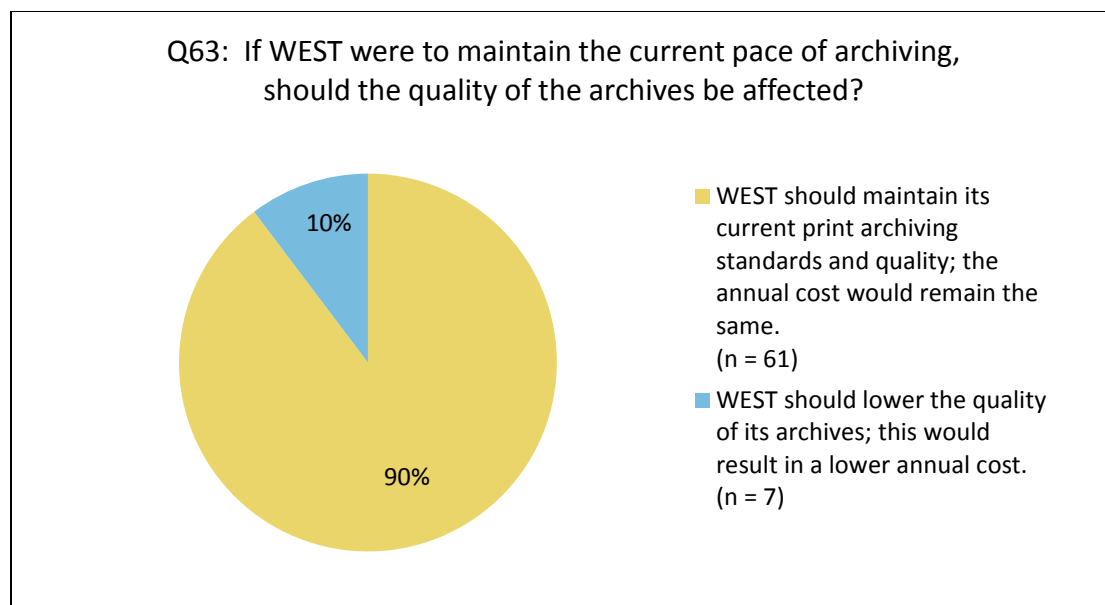
Figure 20. Determining archive quality if we maintain the pace of archiving, according to the Primary Contacts and Directors who ranked the option to maintain our pace first or second (n = 68 respondents).

Just over half of the respondents (36) ranked the scenario to increase the pace of archiving first or second, and notably, most ranked it second.

If WEST were to increase the pace of archiving, three quarters of respondents want to increase annual costs so that we can maintain WEST's current print archiving standards and quality (Q62).
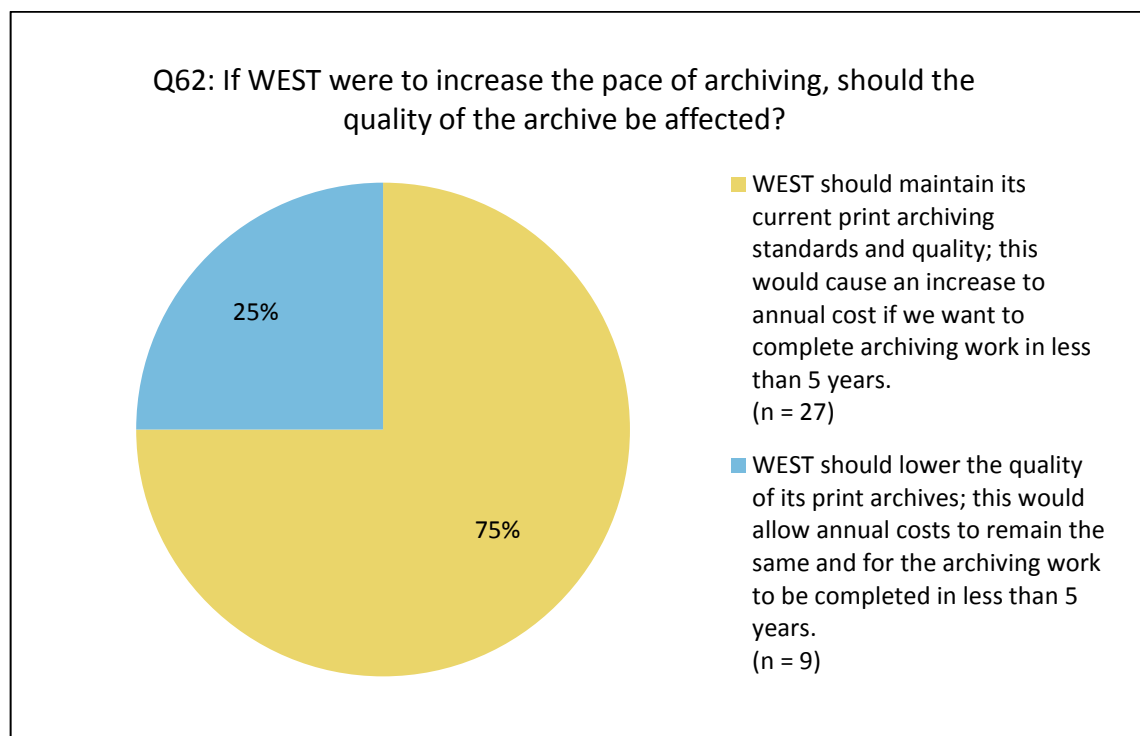
Figure 21. Determining archive quality if we increase the pace of archiving, according to the Primary Contacts and Directors who ranked the option to increase pace first or second (n = 36 respondents).

Just under half of the respondents (32) ranked the scenario to lower the pace of archiving first or second, and notably, most ranked it second.

Given the choice between maintaining quality with a slight cost savings and lowering quality with greater cost savings, 81% of respondents choose to maintain quality.

Q64: If WEST were to slow the pace of archiving, should the quality of the archives be affected?

■ WEST should maintain its current print archiving standards and quality, this would result in a slightly lower annual cost (as the archiving work would be spread our over more than 5 years).
(n = 26)

■ WEST should lower the quality of its print archives; this would result in the lowest annual cost.
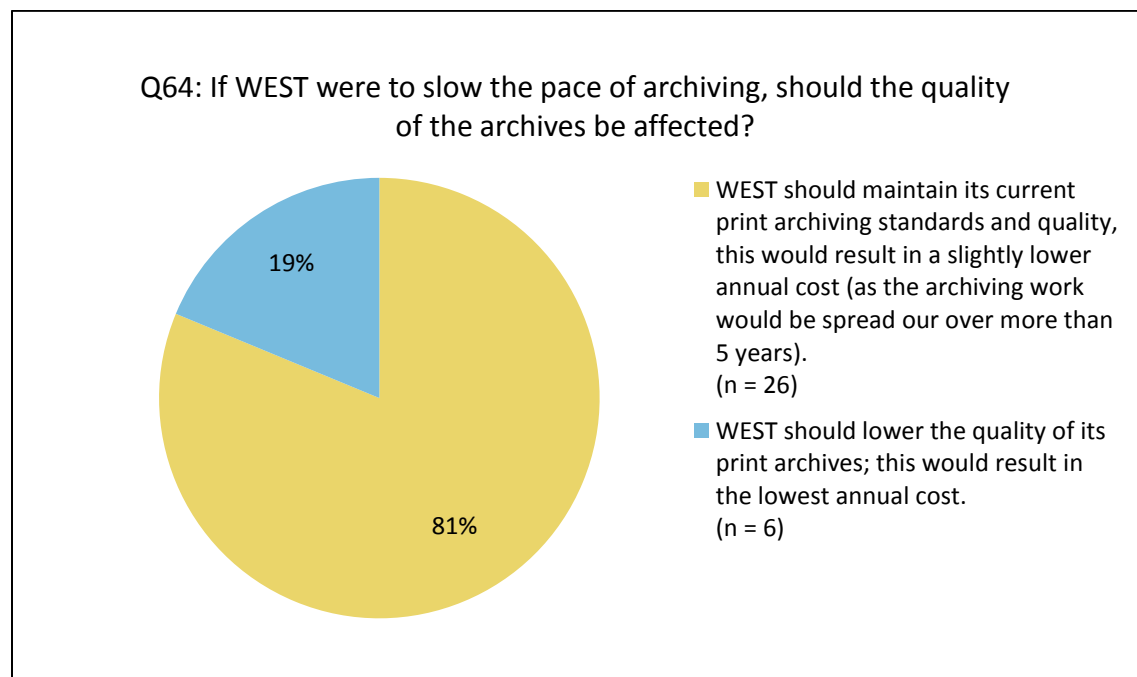(n = 6)

Figure 22. Determining archive quality if we decrease the pace of archiving, according to the Primary Contacts and Directors who ranked to option to decrease pace first or second (n = 32 respondents).

Across all three of the archiving pace scenarios, respondents overwhelmingly favor maintaining the current pace and quality of print archiving. The message is clear: any changes made to pace or cost must not decrease quality.

3.4   New Services for Journal Archiving

The 2016 assessment survey sought to better understand member preferences for evaluating member interest in a new service for larger scale gap-filling and deselection, as well as digitizing WEST's gold archives.

Operational questions were posed to Primary Contacts only; scope and financial questions were posed to both Directors and Primary Contacts.

3.4.1   Larger Scale Deselection Service and Gap-Filling

Most WEST members would like to simplify the gap-filling process. WEST Primary Contacts were presented with a possible new service to accelerate and simplify gap-filling and space reclamation for member libraries. The service would complement existing archive creation services and would be performed by Archive Builders.

Currently, WEST's six Archive Builders actively create archives by requesting specific volumes from WEST member libraries for a defined title list.

Gap-filling for specific volumes is time-consuming for Archive Builders as well as for contributors. Member libraries often report that gap-filling is hard to routinize when making volume-level decisions and pulling only subsets of backfiles.

Primary Contacts for the general membership were asked whether they are willing to provide all or most of their holdings for a backfile when requested by an Archive Builder (Q40). The scenario specified that Archive Builders would discard duplicates. The majority of respondents (68%) somewhat or strongly agree with simplifying the gap-filling process and allowing contributors to provide all or most holdings for backfiles requested by Archive Builders.
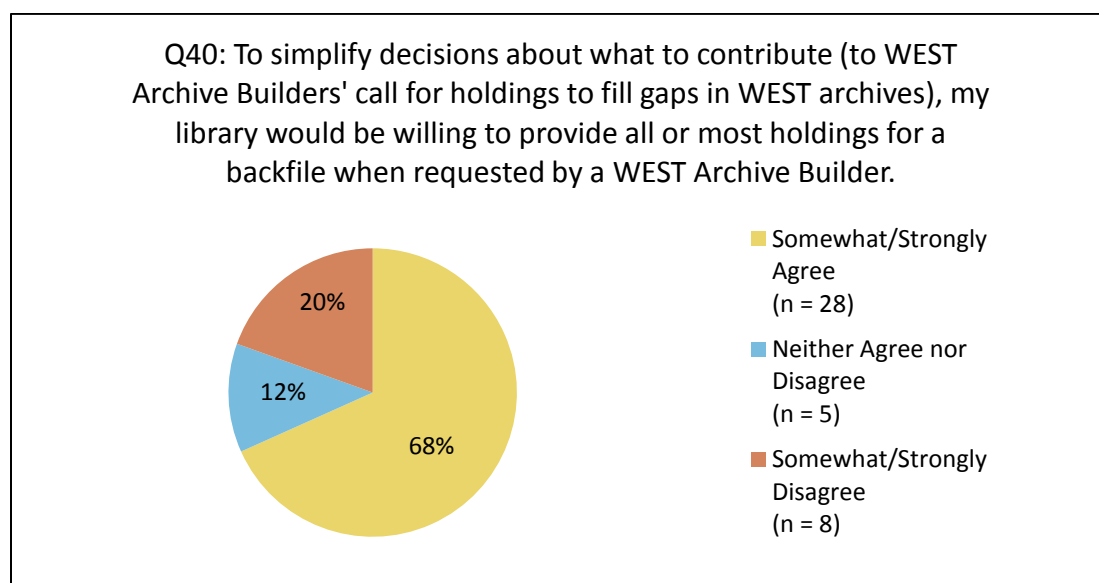

Figure 23. Primary Contact interest in shipping entire runs to Archive Builders to fill gaps (n = 41 respondents).

The Primary Contacts from Builders were asked whether they are willing to simply request all available holdings for a backfile from one or more institutions (Q39). Primary Contacts from five out of six Archive Builders completed the survey and responded to this particular question. The results are divided with three Builders somewhat or strongly agreeing that they will ask for and accept all available holdings from contributing libraries, and two Builders somewhat or strongly disagreeing with the scenario.
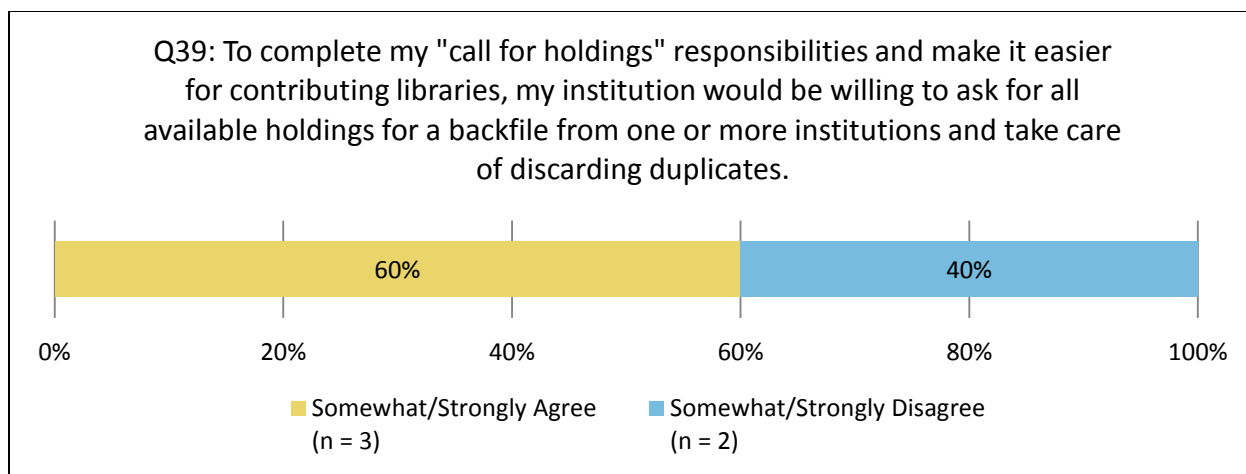
Q39: To complete my "call for holdings" responsibilities and make it easier for contributing libraries, my institution would be willing to ask for all available holdings for a backfile from one or more institutions and take care of discarding duplicates.

| 60% | 40% |

■ Somewhat/Strongly Agree (n = 3) ■ Somewhat/Strongly Disagree (n = 2)

Figure 24. Archive Builder interest in accepting entire backfiles from WEST members to fill gaps and discard duplicates (n = 5 respondents).

While Archive Builders are divided on whether to implement a "call for all volumes" service, with a slight majority in favor, there is substantial interest in a large scale deselection services across the membership.

3.4.2 Digitizing Print-Only Backfiles

The majority of WEST members (86%) want to continue to pursue digitization of WEST's print-only archives (Q32).

Q32: WEST should continue to explore digitization of print-only archives.

■ Agree (n = 41)
■ Disagree (n = 4)
■ I Don't Know (n = 3)
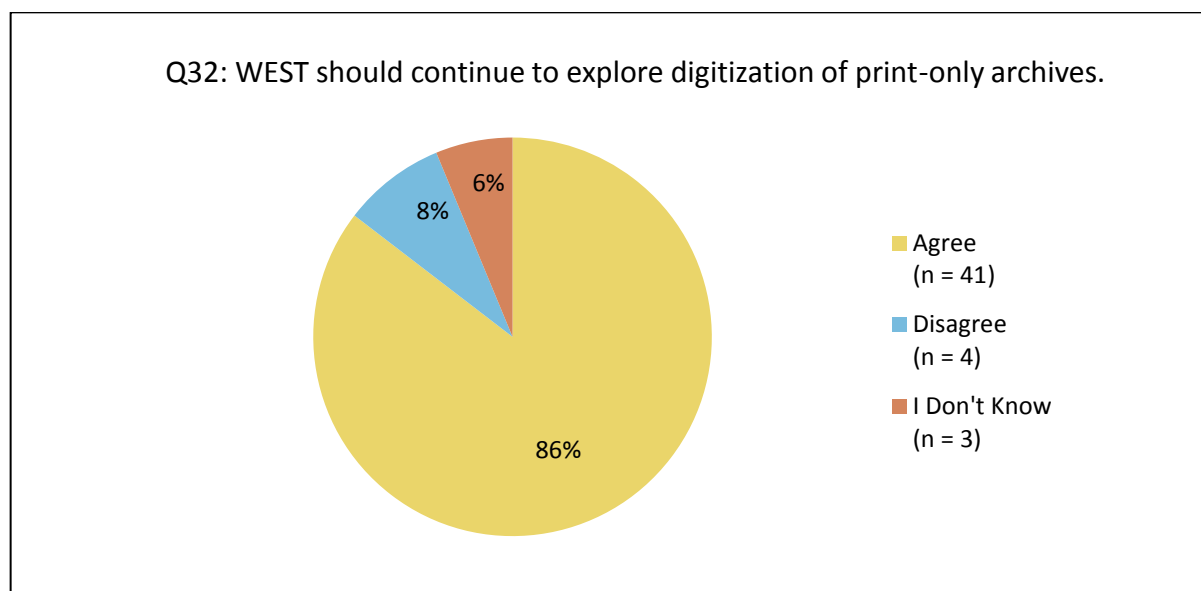
Figure 25. Primary Contact interest in continuing to explore digitization of WEST print-only (gold) archives (n = 48 respondents).

Those supportive or unsure about a WEST digitization program were asked a follow up question that presented four models for digitizing and accessing print-only backfiles. Primary Contacts were asked to indicate their level of interest in these models (Q33/34).

While interest was expressed in all four models, Primary Contacts are most interested in digitizing for open access to orphaned titles and ceased titles; although not as popular, a majority are still very interested in digitizing for open access to currently published titles.

The plurality of members (48%) are only somewhat interested in digitizing WEST archives for incorporation into existing JSTOR subscriptions.
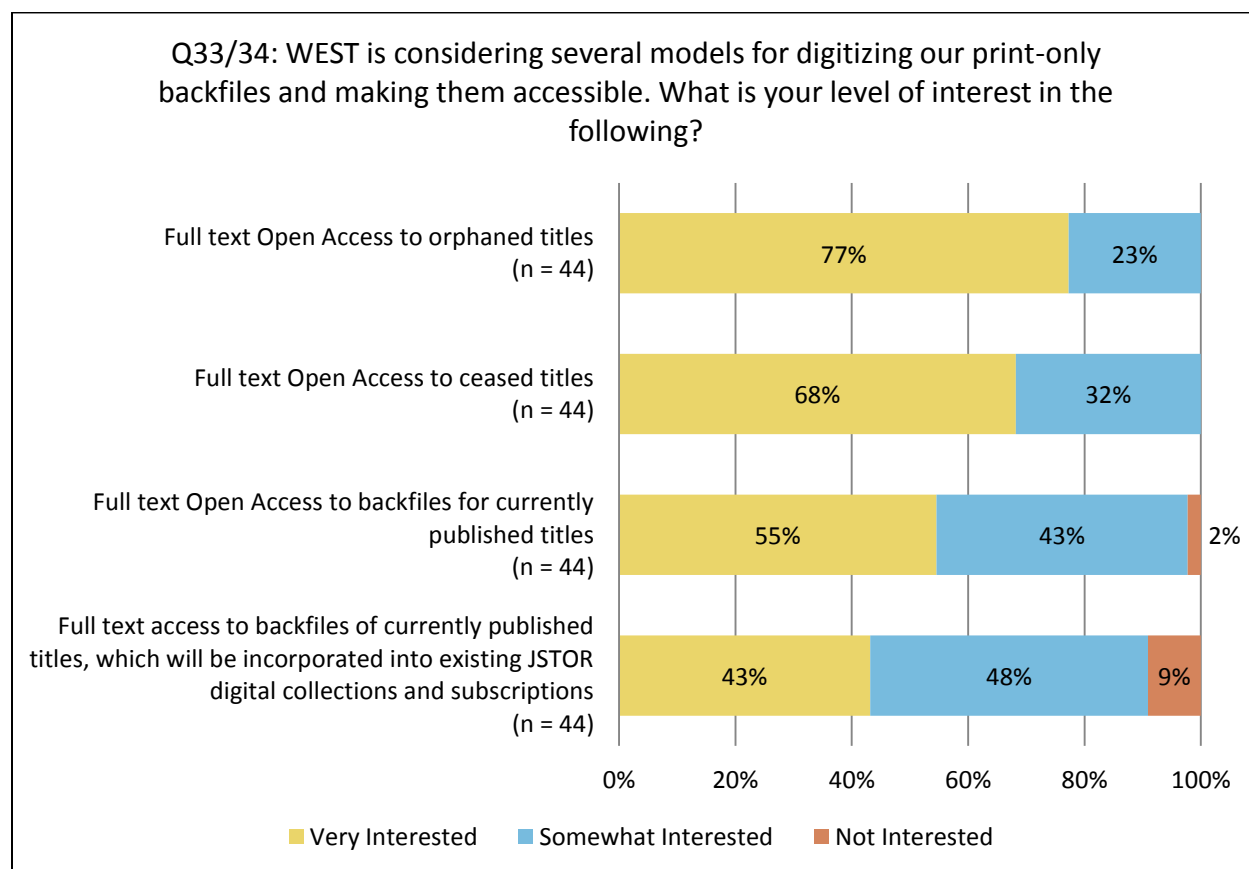

Q33/34: WEST is considering several models for digitizing our print-only backfiles and making them accessible. What is your level of interest in the following?

Full text Open Access to orphaned titles (n = 44): Very Interested 77%, Somewhat Interested 23%

Full text Open Access to ceased titles (n = 44): Very Interested 68%, Somewhat Interested 32%

Full text Open Access to backfiles for currently published titles (n = 44): Very Interested 55%, Somewhat Interested 43%, Not Interested 2%

Full text access to backfiles of currently published titles, which will be incorporated into existing JSTOR digital collections and subscriptions (n = 44): Very Interested 43%, Somewhat Interested 48%, Not Interested 9%

Legend: Very Interested, Somewhat Interested, Not Interested

Figure 26. Primary Contact interst in digitizing models that support open access versus a licensed subscription (n = 44 respondents). Only those Primary Contacts who answered "agree" or "I don't know" to question 32 ("WEST should continue to explore digitization of print-only archives") responded to this question.
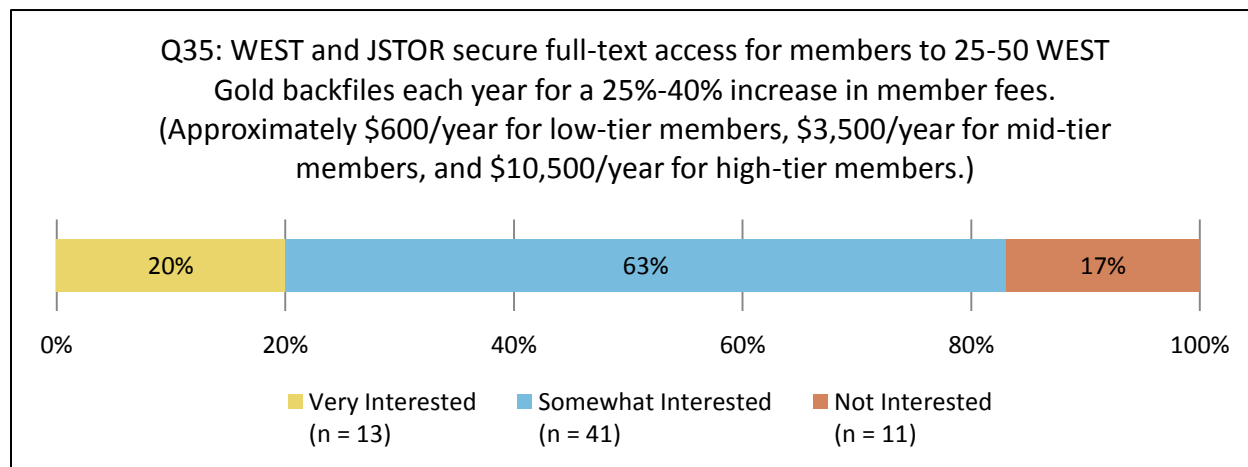
To establish a general barometer for a meaningful service, Library Directors and Primary Contacts were presented with a financial model for partnering with JSTOR to digitize 25-50 titles for secure, full-text access (Q35). The scenario proposed fee increases ranging from $600 to $10,500 depending on member type to accomplish digital access.

Overall, 63% of respondents are somewhat interested; this suggests that the proposed number of titles and resulting fees may represent a reasonable service offering. Further study is needed to determine the appropriate cost and number of titles.

Of note, more than half of the small-tier institutions that responded are "very interested" in the proposed scenario. This suggests that the proposed price point and number of titles are attractive to small-tier members and could be used to attract more small-tier supporting members. A Library Director

from a small-tier institution noted: "I'm very interested to hear more about the possibility of a digitization project with JSTOR. That would be a very valuable addition to WEST membership."

For medium- and high-tier members, there is some uncertainty around the scenario and cost proposed.

Q35: WEST and JSTOR secure full-text access for members to 25-50 WEST Gold backfiles each year for a 25%-40% increase in member fees. (Approximately $600/year for low-tier members, $3,500/year for mid-tier members, and $10,500/year for high-tier members.)

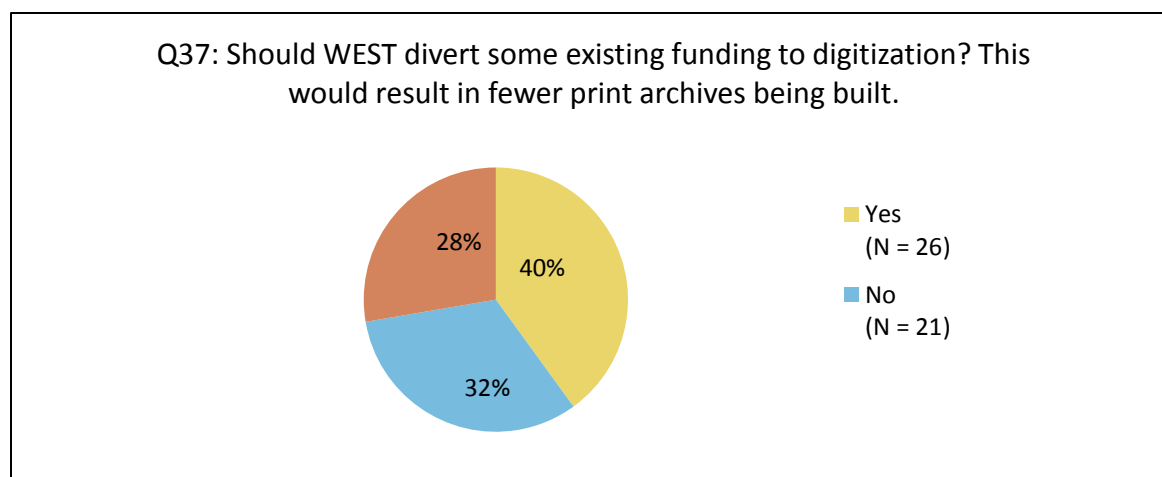| Very Interested (n = 13)	Somewhat Interested (n = 41)	Not Interested (n = 11)
20%	63%	17%

Figure 27. Primary Contact and Director interest in a financial model to digitize 25-50 WEST gold backfiles with JSTOR (n = 65 respondents). Only those Primary Contacts who answered "agree" or "I don't know" to question 32 ("WEST should continue to explore digitization of print-only archives") responded to this question.

Library Directors and Primary Contacts were asked whether WEST should divert funding to digitization efforts (Q37).

Overall, WEST members are uncertain whether to divert funding; while a plurality (40%) are in favor, 32% are not in favor and 28% are unsure.

Medium size, tier 4 and 5, institutions are most likely to be in favor; they are the only tiers where the majority (60%) wants to divert existing funds to work on digitization.

Q37: Should WEST divert some existing funding to digitization? This would result in fewer print archives being built.

Yes (N = 26): 40%
No (N = 21): 32%
28%

Figure 28. Director and Primary Contact opinion around diverting existing funding to digitization (n = 65 respondents). Only those Primary Contacts who answered "agree" or "I don't know" to question 32 ("WEST should continue to explore digitization of print-only archives") responded to this question.

Primary Contacts were also asked to indicate the ways in which WEST members should be involved in selecting which Gold backfiles to digitize (Q34).

In general, WEST members are interested in a committee-based approach to selecting titles for digitization. Involvement via the Collections Working Group (CWG) or a similar committee is mentioned the most. Input through online surveys or a vote is also popular.
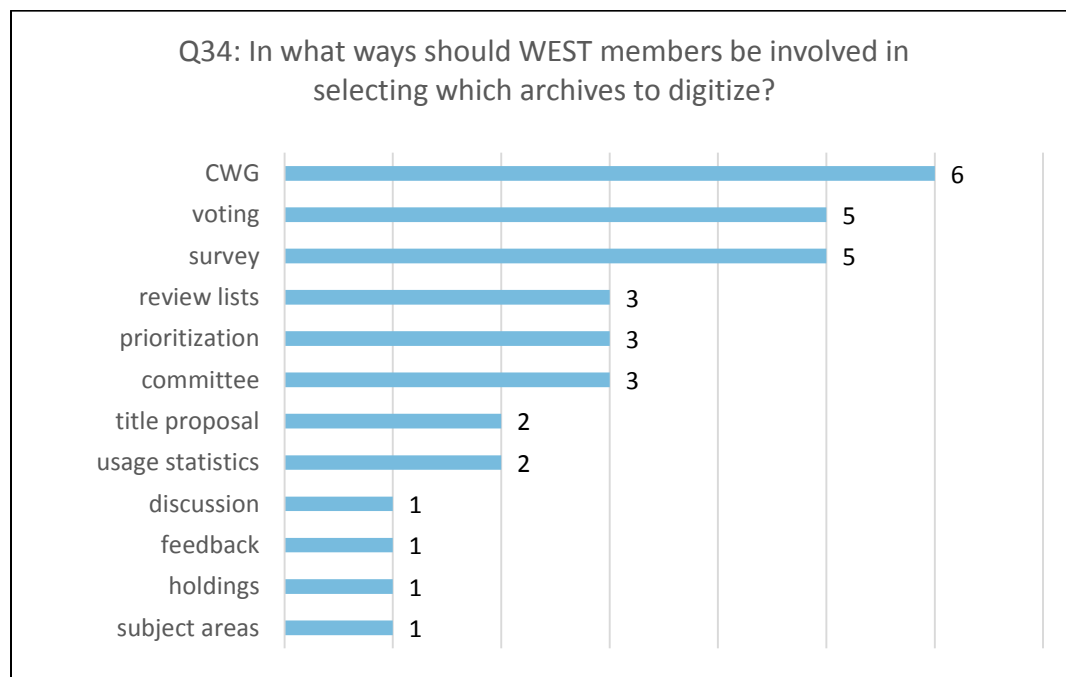

Figure 29. Primary Contact input around how WEST members should be involved in selecting which archives are digitized (n = 24 respondents). Only those Primary Contacts who answered "agree" or "I don't know" to question 32 ("WEST should continue to explore digitization of print-only archives") responded to this question.

Twenty-six members responded to the open-ended question around participation in title selection, and 13 unique tags were applied to their responses. The chart in Figure 27 does not display the four responses tagged "n/a". The number of tags applied to each response ranged from one to three.

Whatever the method, it seems that members would appreciate an opportunity to help nominate, review, and prioritize titles for digitization. As one Library Director noted, "WEST should involve members in a way that helps them understand and stand behind the added cost and work."

3.5 Expected Participation Beyond 2016

By the end of Cycle 5 (Spring 2016), WEST had archived over half of a million print journal volumes across more than forty distributed archives; that is equivalent to nearly 14,000 backfiles or 20,000 individual titles. WEST estimates that an additional 16,000 backfiles remain unarchived, representing another half of a million print journal volumes. Given the number of backfiles that remain unarchived, a goal for the assessment survey was to determine the probability that WEST institutions will continue archiving and continue participation (Q44).

The vast majority of Primary Contacts and Directors (93%) state they are somewhat or extremely likely to continue their membership for another three years; at almost the same rate (90%), they indicate that they are somewhat or extremely likely to continue their membership for another six years.
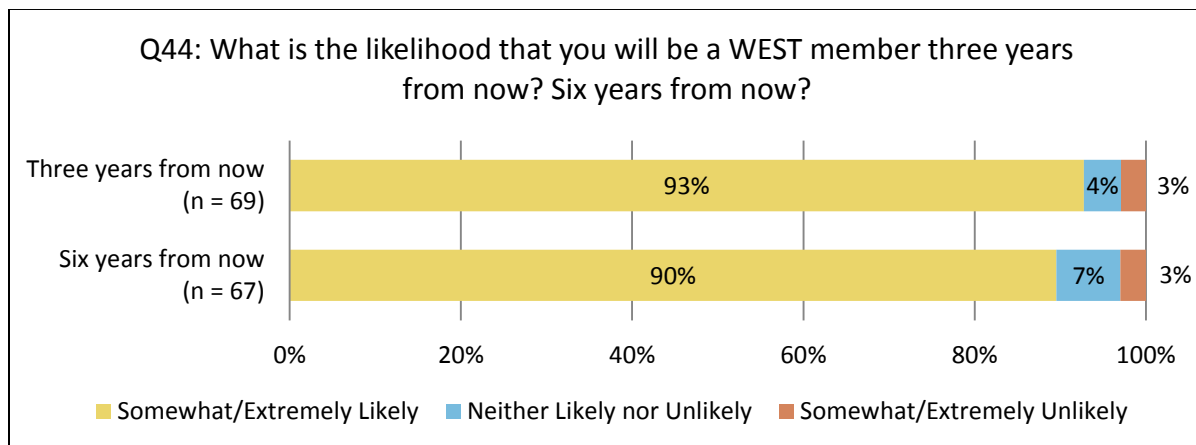

Figure 30. Likelihood of membership three and six years from now, according to both Directors and Primary Contacts (n = 69 respondents).

WEST members show some hesitancy around straying too far from WEST's core print journal archiving mandate and around cost increases when university budgets are stagnant and funding demands only continue to grow. WEST members noted:

> "While it is important for the WEST program to stay current, it is also important that the focus remain on print archiving. Digitization and similar ancillary programs should only be considered as separate projects." (*Library Director & Primary Contact*, Archive Builder)

> "My reason for not supporting digitization now, and my concern about the JSTOR proposal as presented, is not in principle but in practice. I see the next few years as being critical for developing a robust national network of print archives. Keeping the overall cost of membership low for all members for now is critical to keeping a multi-type (research + non-research) network together. Discounted access to a WEST-fed JSTOR archive might be an incentive to join; but increasing the cost of membership (i.e., assuming all would want such access) would likely be a disincentive." (*Library Director*, Non-Archiver)

> "Future membership depends on library budget and fees charged. We would like to maintain the archiving building pace as long as fees remain the same." (*Primary Contact*, non-Archiver)

Adjacent to budget and mandate concerns, Primary Contacts and Directors report that WEST is a trusted print archiving program, one that members see long-term benefit in supporting.

> "The value of WEST will continue to grow over time if user needs and library initiatives continue to drive down usage and space allocated to bound print serials. Back issues are essential for research in humanities disciplines, for assignments asking students to analyze advertisements, text mining research, etc." (*Library Director*, Non-Archiver)
>
> "Being a member of WEST is a small contribution that we can make to the larger community, and that contribution holds great importance for us as an institution that values our role as a research university despite our not being a major research university." (*Library Director*, Non-Archiver)
>
> "This collaborative regional approach to managing library collections represents an important step, when joined with other initiatives, toward development of a network-level shared print archive." (*Primary Contact*, Archive Holder)