



Western Regional Storage Trust

WEST Members Meeting

ALA Annual 2015

San Francisco, CA

WEST Program Update



- I. Introductions
- II. WEST: Brief History, Key Features, Benefits
- III. WEST Archiving Progress
- IV. Collections Analysis and Archiving Projections Update
- V. Systems Update
- VI. WEST's Strategic Plan Implementation (2015-2018)

II. WEST: Brief History



Phase 1 Implementation (2011-2013)

- 3 archive cycles
- business and operations model established
- supported by members and Mellon Foundation

Phase 2 Sustainability (2014-2016)

- 2 archive cycles, 120,000 volumes , additional Bronze, as identified
- System enhancements to improve collection analysis and archiving
- Assessment Phase 1 and 2
- Strategic planning for sustainability
- supported by members and Mellon Foundation

Overview: Key Features of WEST



- Distributed shared print program, focused on journal backfiles, archives held in multiple storage facilities and libraries
- Membership-driven organization, >100 member libraries
- Shared governance, Executive Committee and an Operations and Collections Council
- Retention period 25 years (to 2035)
- Ownership by Archive Holder, transferred via gifts process
- Titles selected within risk categories, based on e-availability, digital preservation status
- Active validation of print only titles, higher risk titles

Benefits of WEST



- **Access.** >17,000 titles
- **Preservation.** Assured retention, higher risk titles in best environmental conditions
- **Collections.** Most STEM, Portico, CLOCKSS, JSTOR titles, many titles in common Abstracting and Indexing resources and many print only titles. Selected based on overlap, depth of holdings and quality by a task force of collections officers.
- **Collections analysis.** Periodic automated collections analyses and support for routinized archiving decisions across multiple institutions.
- **Support for collection reviews and contributions.** Collection comparison reports and ability to fill gaps.
- **Opportunities to participate,** as Archive Holder or gap filling
- **Space reclamation.** Potential est. 300,000 ASF or 2-3 ARL libraries

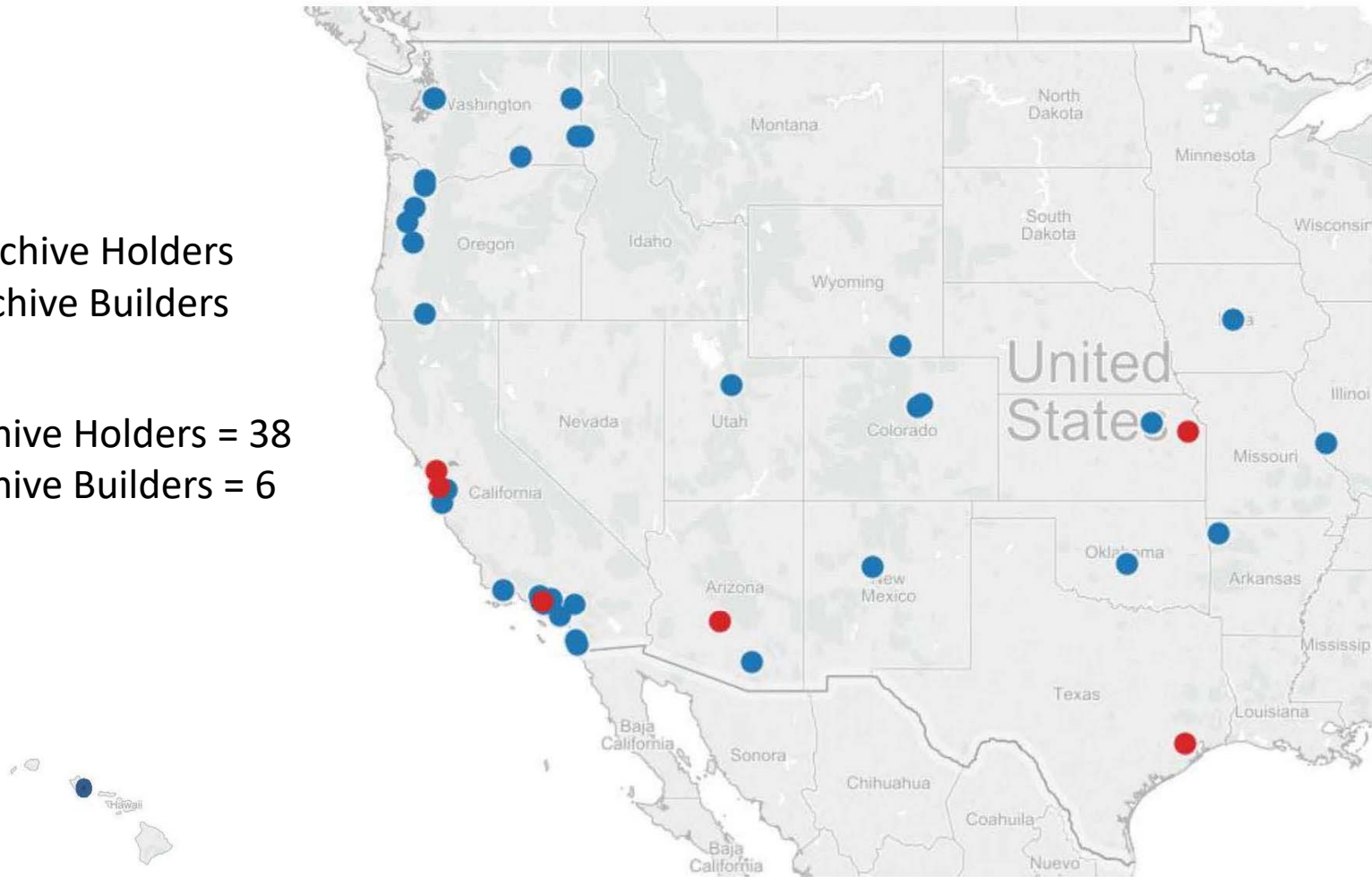
III. WEST Archiving Progress as of June 2015

		Bronze		Silver and Gold		Notes
		Volumes Budgeted in Grant	Volumes to Date	Volumes Budgeted in Grant	Volumes to Date	
Cycle						
Phase 1 Implementation Phase	1	3-year total: 117,000	125,416	30,000	38,116	Cycle Complete
	2		47,873	52,000	48,401	Cycle Complete
	3		40,123	60,000	53,903	Cycle Complete
	Total	117,000	213,412	142,000	140,420	
Phase 2 Sustainability Phase	4	N/A	30,590	60,000	51,521	Archives disclosed; collection comparison reports in July/August
	5		50,381	60,000	70,902	To be proposed in July (not all will be committed to).

Total WEST Archive Holders/Builders: 45

Blue = Archive Holders
Red = Archive Builders

Total Archive Holders = 38
Total Archive Builders = 6

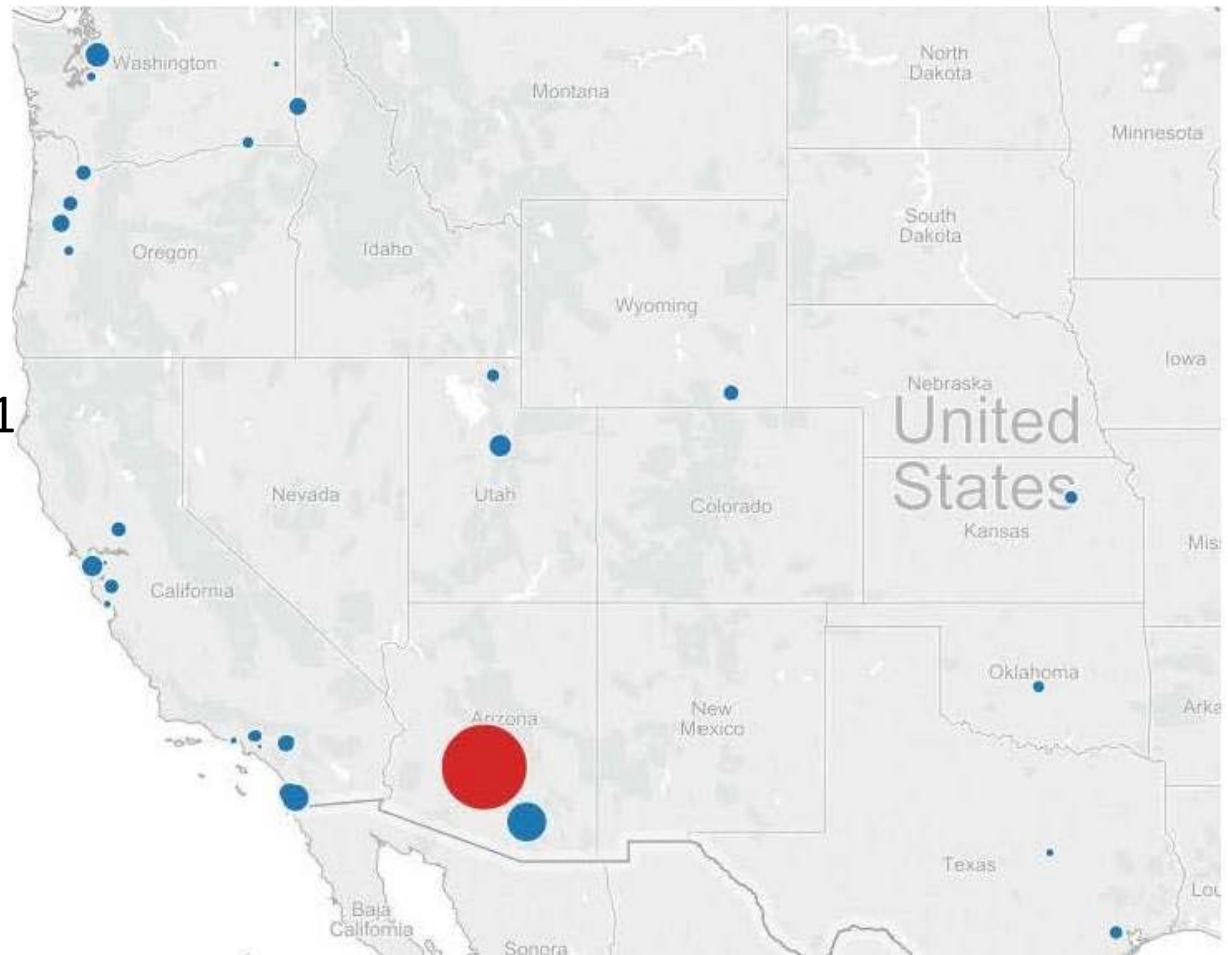


Holdings Contributions to WEST Archives -a community of contributors-

Almost half of WEST's 100+ members have contributed volumes to the WEST Archives.

Example: Contributions made to ASU (from cycle 1 to Oct. 2014 of cycle 4)

- 35 WEST members filling gaps, often in more than one cycle
- 5,200+ volumes received



IV. Collections Analysis and Archiving Projections Update



- Cycle 5 collections analysis near complete
 - 2.4+ million member records ingested, normalized, enhanced, compared
 - The Collections Working Group (CWG) analyzed member holdings and identified cycle 5 titles lists (to be endorsed by the OCC and Executive Committee)
 - Cycle 5 archive proposals will be delivered (for review/response in AGUA) in late July
 - Bronze proposals for 59 current and prospective Archive Holders
 - Silver/Gold proposals for WEST's 6 Archive Builders

Forthcoming Collections Analysis



- Upcoming analysis in 2015, to be conducted by the CWG (appointed by the OCC)
 - Consider longer term archiving projections
 - Recommend modifications to WEST collections model and WEST analytics methods/capabilities
 - Recommend additional/alternate methods for evaluating quality and breadth of the WEST archives (may include subject analysis)

Q&A

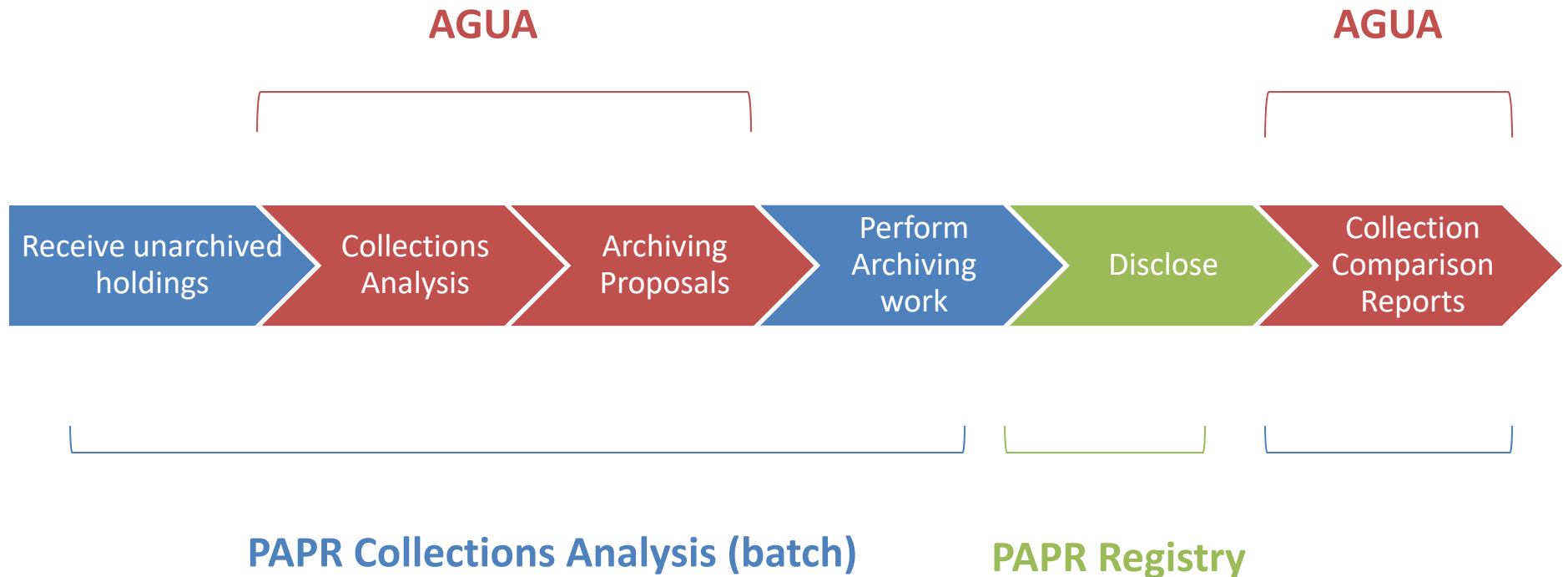
V. WEST Phase 2 (2013-2016) System Development Update



Recently Released or Forthcoming Developments:

1. Collection analysis and archiving enhancements
2. Title nominations
3. Needs and Offers

AGUA Decision Support and PAPER Collections Analysis



1. Collections analysis and archiving enhancements



The AGUA Decision Support System

- New AGUA module that facilitates the WEST group collections analysis to determine what to archive next
- Improved processes/functionality
 - Apply regional selection criteria
 - Prioritize serials with particular characteristics for archiving (by subject, year first published, etc.)
 - Run various scenarios to compare the contrasting criteria and the resulting title lists
- New functionality
 - Redistribute proposals by selecting the “next deepest backfile”
 - Compare proposals to other print archives

Phase 2: AGUA information and decision-support center

<https://agua.cdlib.org>

GCA12: Rebalance title proposals for group analysis

The WEST Collections Analyst will use this function to review and modify proposed titles in preparation for and during the group collection analysis process. The goal is to adjust title proposals based on criteria specific to title categories and in some cases to Archive Holders/Builders within those title categories, and to meet budget goals. This function is intended to replace or support much of the work that previously was done manually by the Collections Analyst to prepare reports for review by the Collections Working Group. Some of that manual work will also be replaced by applying global criteria as defined in use cases GCA 1-8.

Exclude Criteria for Removal from Proposed Title Lists

Title Category 3 ▾

Archive Holder/Builder: ALL ▾

Year First Published:

Estimated Total Volume Years:

Range in Years:

Document Subtype:

- No Selection
- Abstract/Index
- Academic/Scholarly
- Bibliography

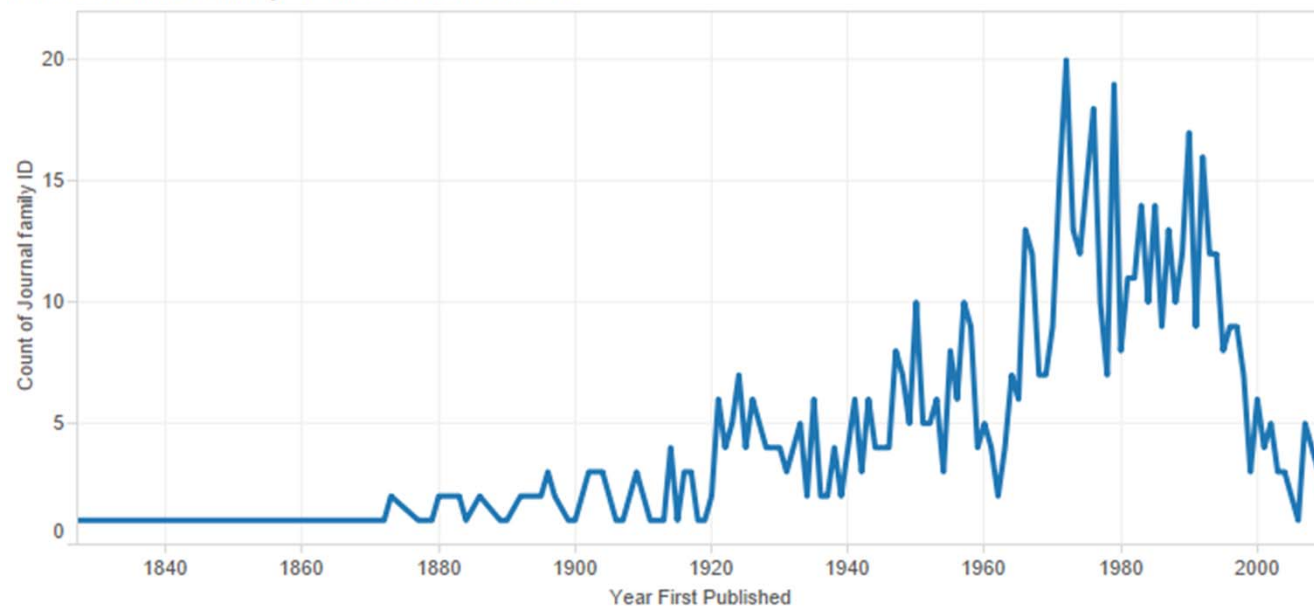
Duplication in WEST:

This step has been completed.

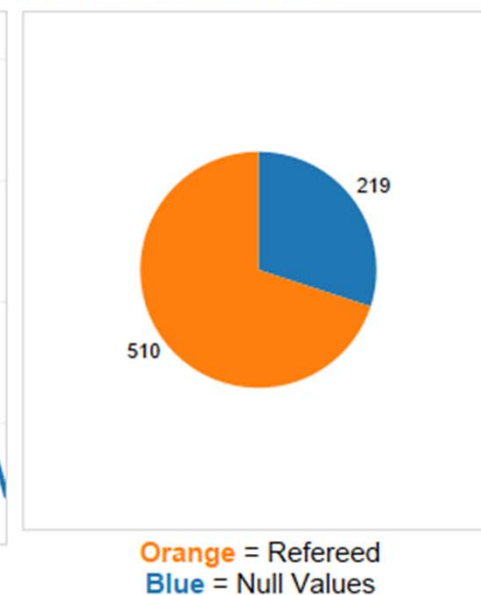
Tableau Visualizations with AGUA data

https://public.tableau.com/profile/dwattersw#!/vizhome/TC3SilverOverviewofProposedTitleList/TC3_FinalOverview

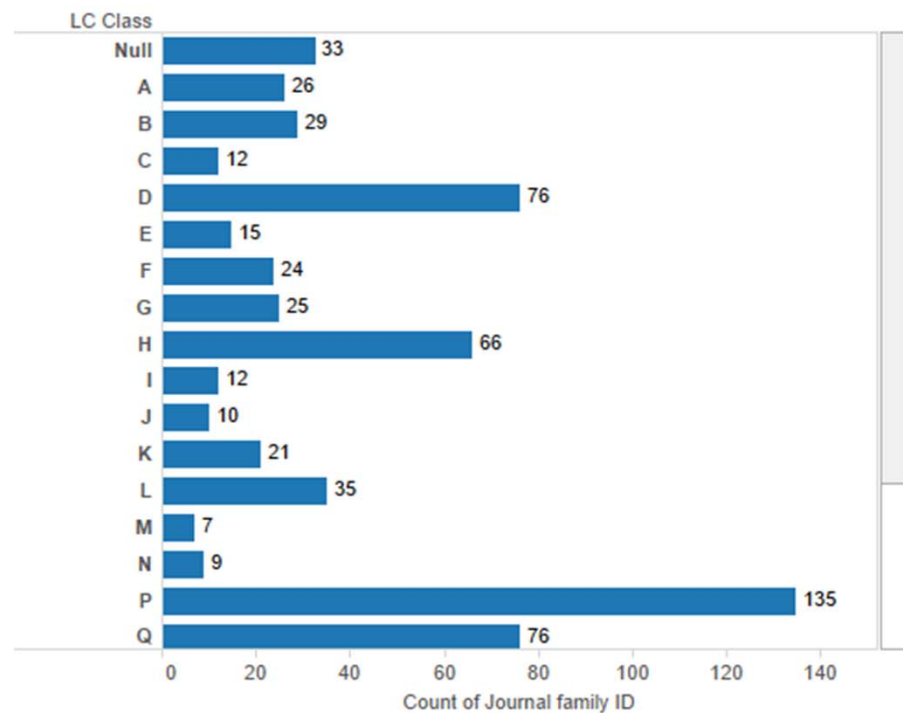
TC3: Distribution by Year First Published



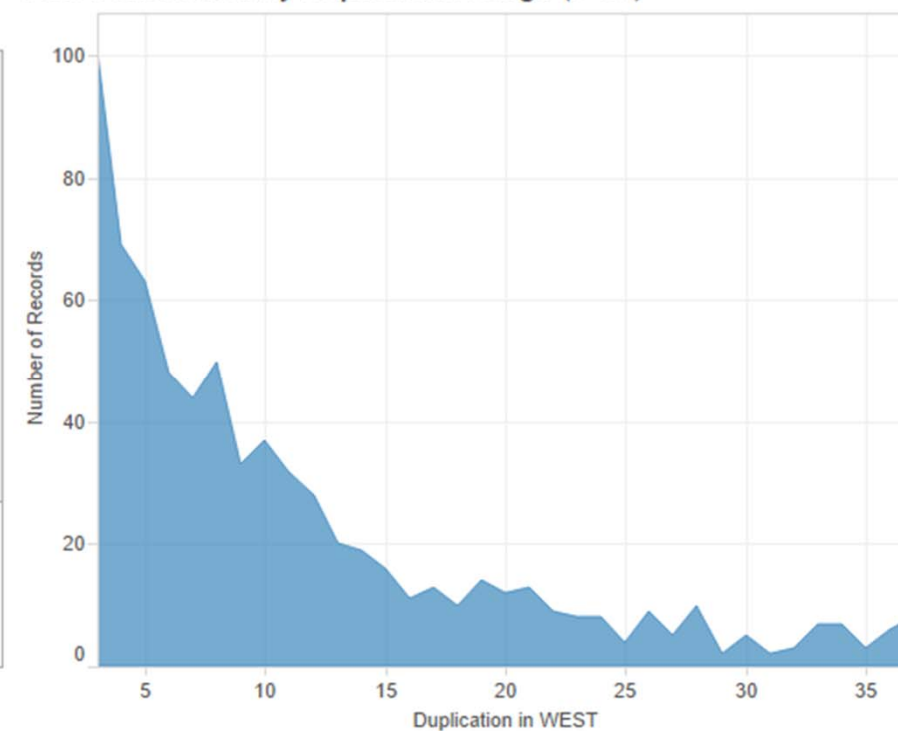
TC3: Refereed Journals



TC3: Distribution by LC Class (scroll down to view all)



TC3: Distribution by Duplication Range (3-36)



2. Title nominations



- Adopted policy and criteria for accepting title nominations (Sequoia)
- Integrated title nominations into analytic reports and PAPER Registry

3. WEST Needs and Offers (JRNL)

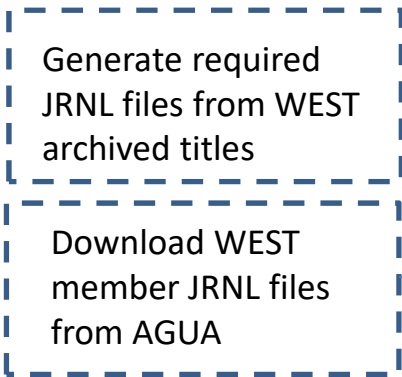


- WEST has joined with the U of Florida/ASERL/ScholarsTrust to use their Journal Retention and Needs Listing (JRNL) system which supports gap-filling and communication among offering/needing libraries
- JRNL will improve the process for filling gaps; the system publicizes “needs” (gaps) and facilitates “offers” for needed volumes.
 - Systems development complete
 - +2,000 test titles uploaded to JRNL
 - User documentation in development
 - Implementation summer 2015

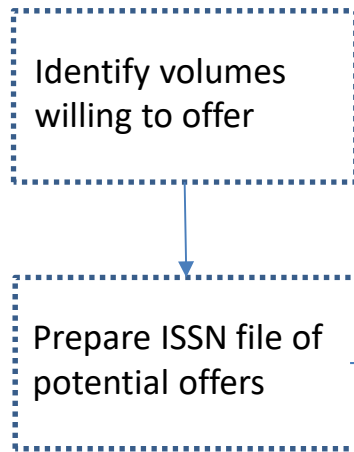
WEST Use of JRNL



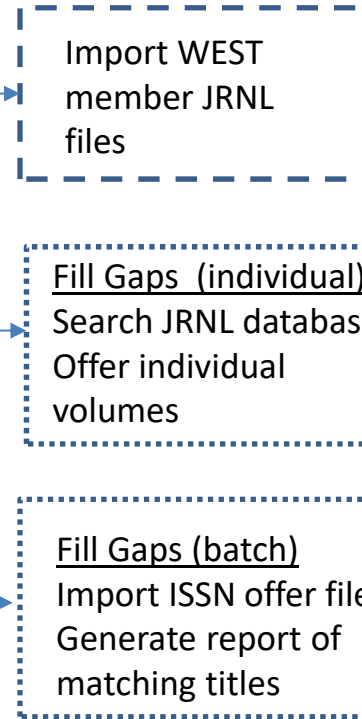
AGUA functions




Manual functions




JRNL functions



 Archive Holders/Builders (Needs)


 Any WEST library (Offers)

Anticipated benefits of WEST participation in JRNL

- 
- Improve efficiency of completing WEST backfiles
 - Support WEST library deselection efforts
 - Facilitate and track communication between offering libraries and Archive Builders
 - Expand the community of potential “offerers” and the visibility of backfile holders

Q&A

VI. WEST's Strategic Plan Implementation (2015-2018)



“I view WEST as an essential regional node in a national network of institutions guaranteeing the long-term viability of scholarship in print. I hope that WEST will continue as a trusted print archive of scholarship for as long as possible.”

-- (Library Director, Non-Archive Holder)

Strategic Planning for WEST's Future



Two program assessments are planned

- Phase 1 assessment (2014, completed)
- Phase 2 assessment (2016)

Strategic planning (2014), completed

- In person meeting of WEST Executive/OCC
- Recommendations proposed and confirmed by WEST members, refinements made

Sustainability Plan



- WEST Phase 1 and 2 (ending Sept 2016)
- 50% grant funded
- Transition to a fully member supported program
- Gradually raise fees to replace grant funding
- Make program adjustments

Key recommendations for change



- Continue to strengthen the distributed archiving program and communicate benefits to members
- Manage the costs of the program with some adjustments; raise fees steadily to replace grant funding
- Do not pursue new directions beyond journals
- Continue to explore whether to expand the journal archiving program in areas most valued by members or necessary to ensure quality of archives or archiving decisions

Strengthen the program



- Add members
 - Criteria for all-in consortial model and direct members
 - Shared interest in distributed print archiving
- Differentiate services
 - Gap filling
 - Collections analysis (ad hoc, JRNL, supports deselection)
 - Routine archiving decisions and proposals
 - Collections analysis (regular, PAPER collections analysis and AGUA)

Adjustments to manage costs and provide continued value



- Focus more on lower-moderate overlap, print only titles
- Reduce archive creation budget (\$300 to \$250K annually)
- Reduce frequency of collections analysis to every 2 years; identify enough archiving work for the full 2 years
- Reduce costs of records ingest for collections analysis (# files, institutions eligible)

Business Model Adjustments



- Establish a baseline annual budget approximately \$750,000-800,000.
- Raise fees steadily in 2015-2017 to arrive at the baseline budget and substitute grant funding.
- Total revenue from member fees to increase approximately 43% in 2015, 33% in 2016 and 27% in 2017, then plateau at 3% increases thereafter. Individual member fees may increase more than this as a tiered fee structure is put in place.

Member Fees



- Member fees cover program costs
 - Archive creation (active validation and gap filling Silver/Gold archives)
 - Collections analysis and decision-support infrastructure
 - Program and member administration
- Adjust the cost-sharing model. Determine member fees based a tiers that are simple, transparent, and independent of roles and responsibilities.
- Define member fee tiers based on total library expenditures as reported to NCES. (3 year average.)

Member Fee Tiers

Full members

	If Avg EXTOT is more than	Year 5	Year 6	Year 7	Year 8
Tier 1	\$ 1	\$1,300	\$1,735	\$2,208	\$2,269
Tier 2	\$ 1,000,000	\$1,800	\$2,403	\$3,057	\$3,142
Tier 3	\$ 2,500,000	\$2,700	\$3,604	\$4,586	\$4,712
Tier 4	\$ 5,000,000	\$4,800	\$6,407	\$8,153	\$8,377
Tier 5	\$ 10,000,000	\$7,900	\$10,545	\$13,419	\$13,788
Tier 6	\$ 15,000,000	\$9,800	\$13,082	\$16,646	\$17,104
Tier 7	\$ 20,000,000	\$12,900	\$17,220	\$21,911	\$22,514
Tier 8	\$ 30,000,000	\$15,000	\$20,023	\$25,478	\$26,179

Member Fee Tiers

Supporting members

	If Avg EXTOT is more than	Year 5	Year 6	Year 7	Year 8
Tier 1	1	\$1,300	\$1,735	\$2,208	\$2,269
Tier 2	\$ 1,000,000	\$1,800	\$2,403	\$3,057	\$3,142
Tier 3	\$ 2,500,000	\$2,700	\$3,604	\$4,586	\$4,712

Member types and differentiated services

Supporting members

- Access to archives
- Fill gaps in WEST archives using JRNL
- May nominate titles to archive locally
- <\$5M library budget

Full members

In addition:

- Eligible to participate in collections analysis, archiving proposals, comparison reports
- >\$5M library budget


Possible new services to support the journal archiving program



May include future grant proposals

- digitizing print only titles and publisher outreach
- quality assurance services
- greater coordination with other print archives and organizations such as OCLC, CRL, JRNL, HathiTrust

Areas for greater coordination: Collections and Systems Infrastructure



Collections models

- Understanding scope of unarchived titles, risks and where to focus
- ensuring scale and pace of retention decisions
- intentional duplication among programs, optimal copies

Integrated or coordinated infrastructure

- PAPER Registry
- PAPER Collections Analysis
- AGUA Information and Decision Support Center
- JRNL Needs and Offers
- OCLC Metadata Guidelines for Shared Print

Q&A

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