



Western Regional Storage Trust

WEST Members Meeting

ALA Midwinter 2015

Chicago, IL



- WEST Program Update (50 minutes)
- New Archive Holders Orientation (20 minutes)

WEST Program Update



- I. Systems Update (Guest: Judy Russell, Dean of U Florida Libraries, JRNL)
- II. Introductions
- III. Overview: Key Features and Benefits of WEST
- III. WEST Phase 1 and 2 Archiving Progress and Projections
- IV. Assessment and Strategic Planning Outcomes
- V. WEST's Sustainability Plans

WEST System Development Plans



- 1. Collection Analysis and Archiving Enhancements.**
 - Support group decisions during each archiving cycle
 - Support archive creation and collection management: ability to review and commit to proposed journal families, download collection comparison reports
- 2. Needs and Offers.** Improve the process for filling gaps. Includes functionality to publicize “needs” (gaps) and make “offers” of needed volumes.
- 3. Title nominations.** Implement procedures and system functionality to facilitate nominations from WEST member libraries for deep backfiles to be considered for the WEST archive.

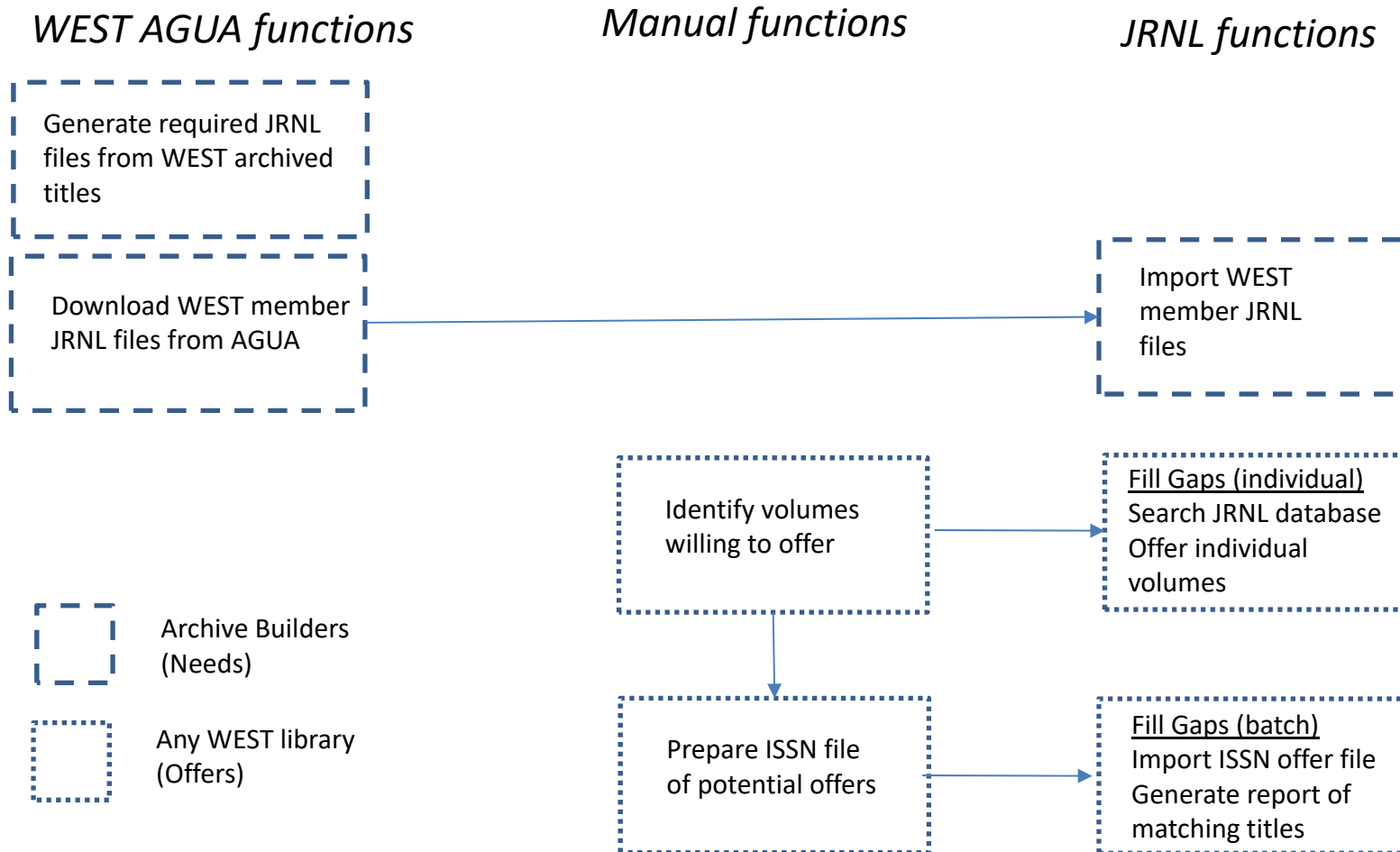
WEST Needs and Offers




Improve the process for filling gaps with system to publicize “needs” (gaps) and make “offers” of needed volumes.

- 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
- Expected implementation summer 2015

Proposed WEST Use of JRNL



Anticipated benefits of WEST participation in JRNL

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

Welcome to JRNL



Judith C. Russell
Dean of University Libraries
George A. Smathers Libraries
University of Florida

CDL – CRL Systems Relationship



- CRL has expressed an interest in assuming full development responsibility for the PAPER Registry, summer 2015
- Registry and Collections Analysis System have been developed by CDL under contract with CRL
- Interdependent infrastructure: archived and unarchived titles
- Exploring options and studying the issue

Q&A



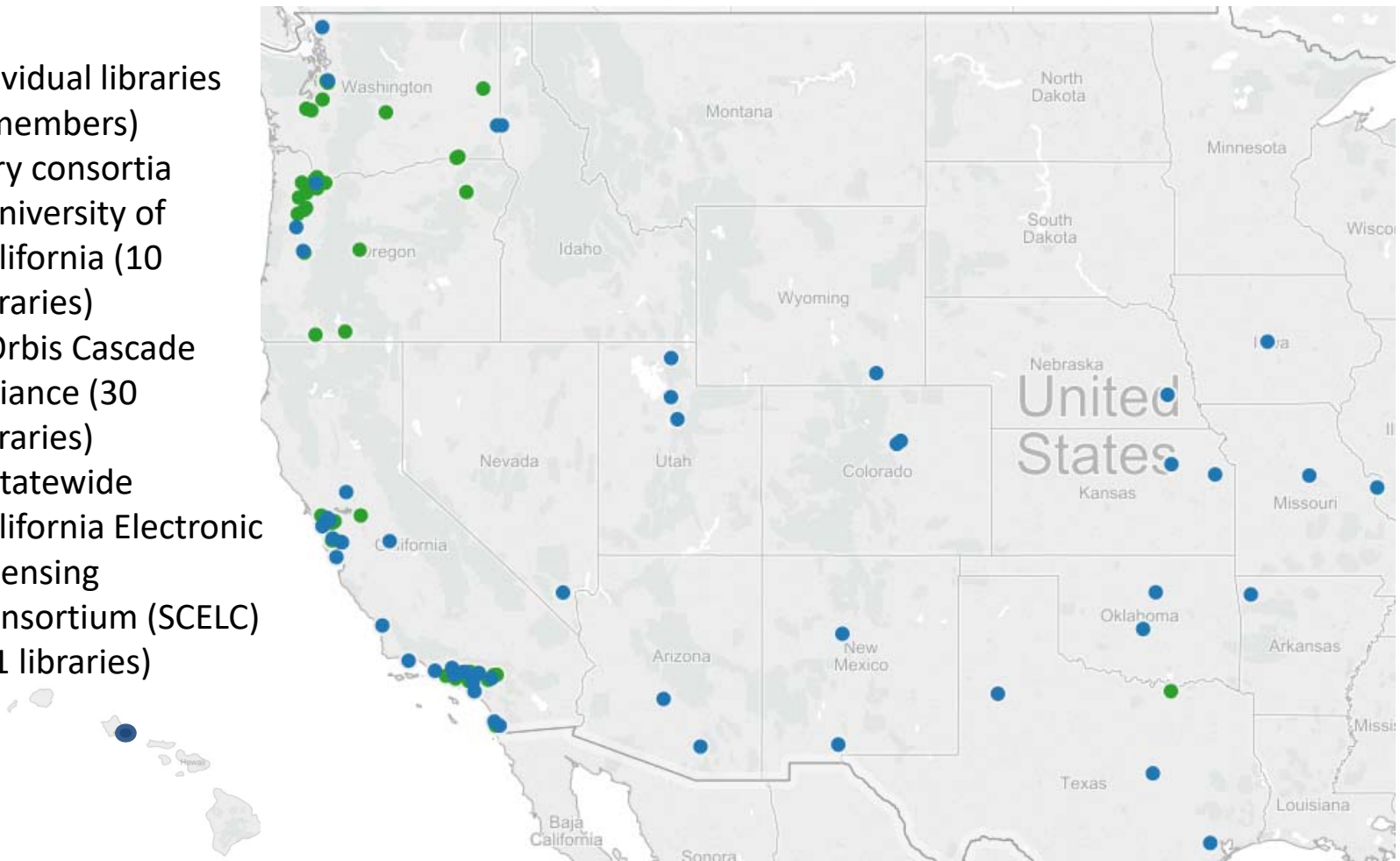
Overview: Key Features of WEST



- Distributed shared print program, focused on journal backfiles, archives held in multiple storage facilities and libraries
- Membership-driven organization, >100 member libraries
- Retention period 25 years (to 2035)
- Ownership by Archive Holder, transferred via gifts process
- Titles prioritized by risk categories, active validation of most at-risk titles

WEST Membership: 105 Libraries in 18 states

- 44 individual libraries (direct members)
- 3 library consortia
 - University of California (10 libraries)
 - Orbis Cascade Alliance (30 libraries)
 - Statewide California Electronic Licensing Consortium (SCELC) (21 libraries)



- 16 libraries > 3 million volumes
- 57 libraries with < 500,000 volumes
- 56 state-supported institutions
- 50 private institutions

• Direct Member • Consortium Member

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

Accomplishments: Phase 1 and 2

Archiving Progress



WEST Phase 1 (Implementation Phase):

- Cycle 1 (2011/12): Archiving “complete”
- Cycle 2 (2012/13): Archiving “complete”
- Cycle 3 (2013/14): Archiving “complete”

WEST Phase 2 (Sustainability Phase):

- Cycle 4 (2013/14/15): Archivers are working on “committed” titles. Archive disclosure due in Spring.
- Cycle 5 (2014/15/16): Member holdings ingested. Collections analysis underway.

WEST Archiving Summary as of January 2015

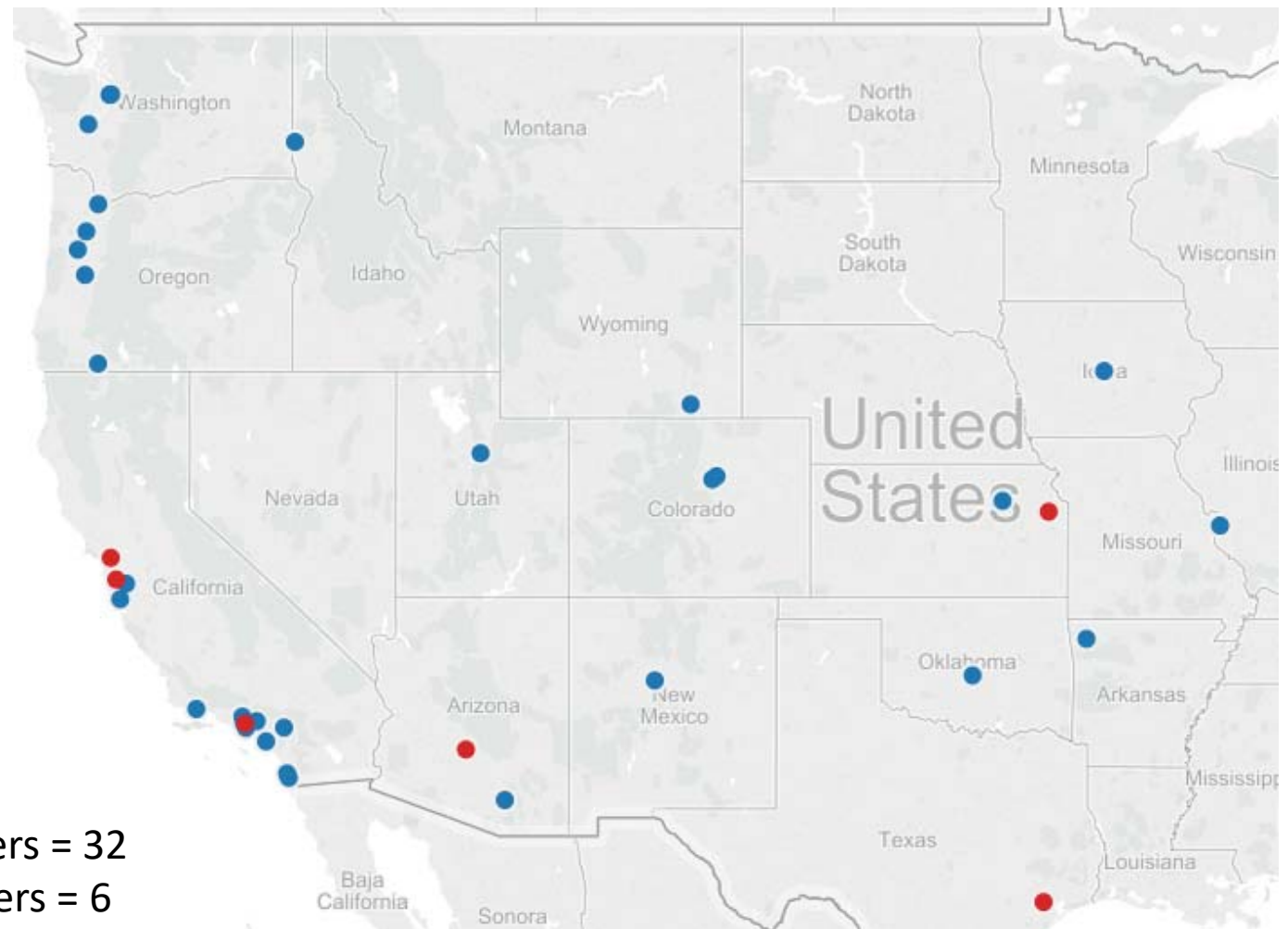
		Bronze		Silver and Gold		Notes
		Volumes Budgeted in Grant	Volumes to Date	Volumes Budgeted in Grant	Volumes to Date	
Phase 1	Cycle 1	3-year total: 117,000	125,416	30,000	38,116	Complete (Disclosed)
	Cycle 2		47,873	52,000	48,401	Complete (Disclosed)
	Cycle 3		40,123	60,000	53,903	Complete (Disclosed)
	Total		117,000	213,412	142,000	140,420
Phase 2	Cycle 4	N/A (set by OCC/CWG)	30,590	60,000	51,521*	In process (Backfiles committed to, archiving underway)

*Increase in gold, high-risk archiving (gold validation costs more)

New Archive Holders

32 Archive Holders, up from 17 in Cycle 3

Blue = Archive Holders
Red = Archive Builders



Total Archive Holders = 32
Total Archive Builders = 6

Collections Analysis Update (Cycle 5)



- 2.4+ million records ingested
 - Almost 1.3 million have ISSNs (necessary for WEST collections analysis)
 - Over 1.1 million match the Ulrich's defined journal families
- Approx. 30,000 backfiles have been identified for collections analysis
 - Only broad criteria has been applied thus far – e.g. not already archived in WEST, no newspapers/gov. docs, etc.
- Existing 6 Archive Builders will archive silver and gold
- 65 members are "open" to acting as a bronze archive holder.

Holdings Contributions to Builders -a community of contributors-



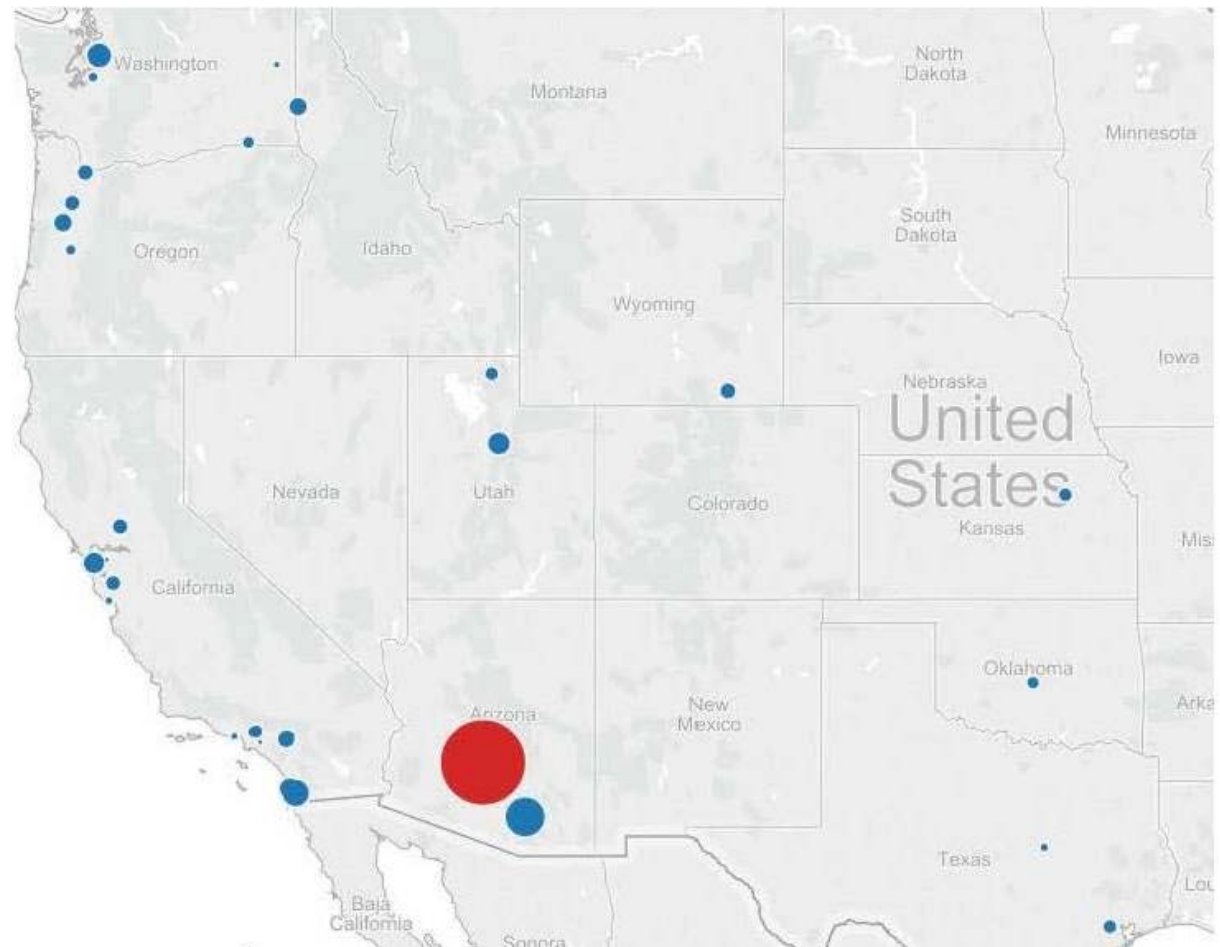
WEST obtained holdings contributions statistics from 5 out of 6 Builders during fall 2014.

- Total members contributing to Builders= 47 (45% of the membership)
- Total received across 3 of the 6 Builders: 14,000 vols.

Case: Arizona State University

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

- 35 WEST members filling gaps, often in more than one cycle
- Single contributions range from 1-2 vols. to 450+ vols.
- 5,200+ volumes received



Space Potential

Total potential space savings =
300,000 assignable square feet.

In other words...



The potential to reclaim 2-3 ARL libraries' worth of
duplicates!

Strategic Planning for WEST's Future



During Phase 2 (2014-2016), two program assessments are planned:

- Phase 1 assessment (2014, completed)
 - Member survey
 - Member fees study
 - Archive disclosures review (PAPR/OCLC)
- Phase 2 assessment (2016)



Phase 1 Assessment Themes

1. Value of WEST as a collection management, preservation and access strategy.
2. Possible changes to the current WEST program.
3. Possible new directions and services.

http://www.cdlib.org/services/west/docs/WESTPhase1Assessment_2014MemberSurvey_FinalFullReport.pdf

Key Findings – Value of WEST



- Members highly value WEST as a preservation and access service. Space reclamation is an important but more institution-specific goal.
- WEST members strongly support continuing beyond 2016 (end of Phase 2 Mellon grant)
- 95% are likely to continue to participate in the Trust over the next five years

Key Findings – Archive Creation and Collections Analysis



- Members value active archive creation as a core element of the WEST partnership.
- When considering increased fees to provide for active archive creation, mixed responses from different cohorts in WEST.
- The majority of respondents prefer collection analysis once a year (60%), with 27% indicating it could be conducted once every twenty-four months.

Key Findings – Disclosure, Discovery and Delivery



- The most valued method for recording retention commitments is via WEST Disclosure policy
 - Provides consistency with emerging national standards and to facilitate national/ international discovery and delivery
- While disclosing in PAPR is valued, disclosure in OCLC is the most highly valued place to record retention commitments. OCLC disclosure is an area for improvement
 - PAPR disclosure rate Cycles 1 and 2 = ~90%
 - OCLC disclosure rate Cycles 1 and 2 = ~65%

Key Findings – Business Model and Engagement



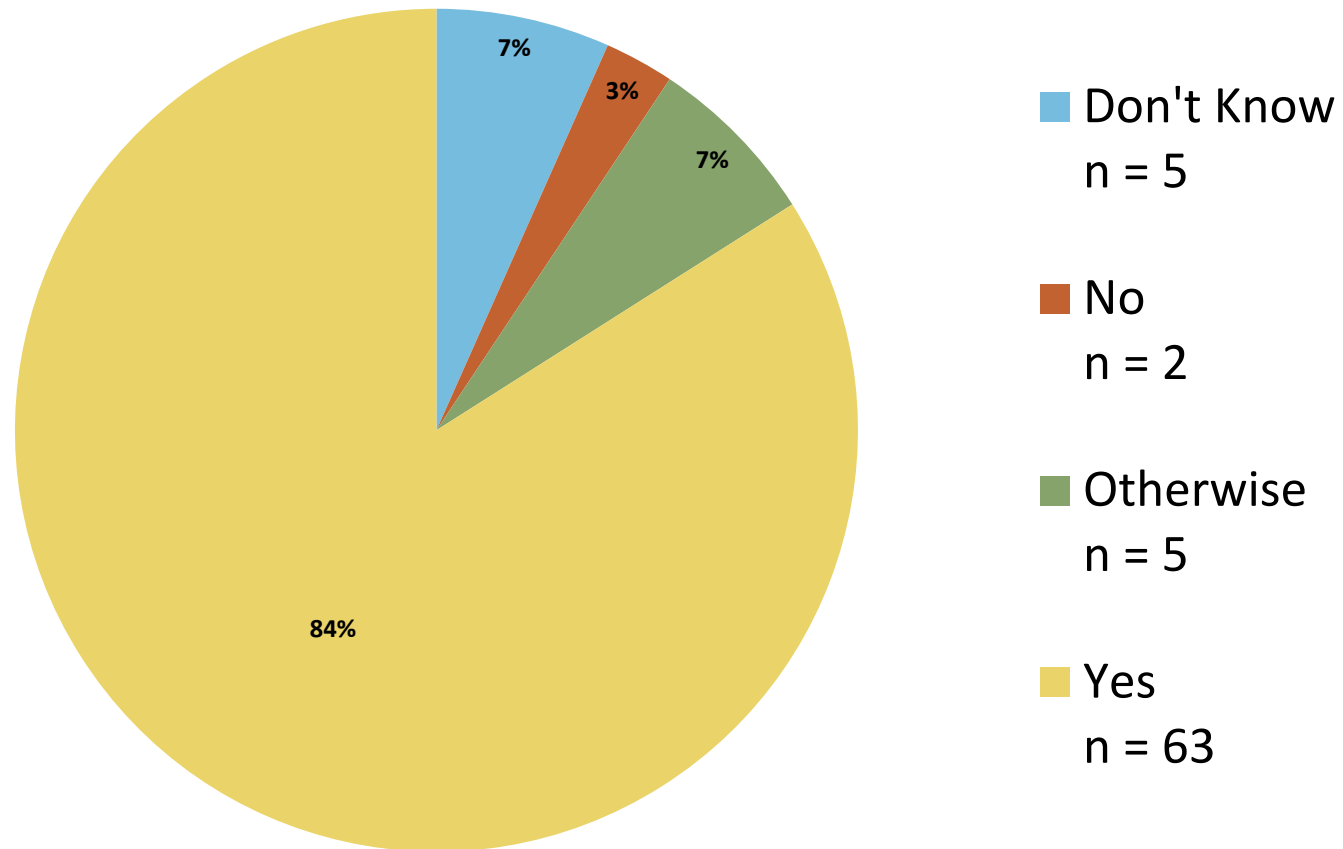
- Cost of participating in WEST is “about right” (68%); too low (8%); too high (~25%)
- WEST activities performed by staff are proportionate to the benefits accrued to their institution; only 14% report the benefits are disproportionate.
- There is interest among non-Archive Holder institutions in serving in Archive Holder roles (16%), but there may be limits to the extent to which distribution can occur

Key Findings – Member Fees Evaluation



- WEST invested approximately \$75/title in Phase 1
- WEST members that participate in other trusted services (Portico, CLOCKSS, CRL) invest substantially more in them on an annual basis and receive services for equal or less content (e.g. 17K titles archived in Portico and WEST for average member fees of \$11,652 and \$2,369 respectively)
- WEST's minimum and maximum Phase 1 member fees (\$596/\$7,091) are significantly less than other trusted services (e.g. Portico \$3,193/\$19,570)

Should WEST continue beyond 2016?



“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)

Q&A



Strategic planning for the future a deliberative process



- Goals:
 - Review outcomes of the Phase 1 assessment
 - Address any major issues regarding member expectations and benefits
 - Consider possible sustainability plans and adjustments to the business and operations model
- Process:
 - In person meeting of WEST governance groups (June 3, 2014) to formulate recommendations for change
 - Refine recommendations (Fall 2014)
 - Webinars to present recommendations to WEST Members and seek feedback
 - Implement changes 2015-

Key recommendations for change



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

Adjustments to manage costs and provide continued value



- Reduce archive creation budget somewhat
- Focus more on lower-moderate overlap, print only titles
- Reduce frequency of collections analysis to every 2 years; identify enough archiving work for the full 2 years
- Investigate options to reduce the costs of records ingest for collections analysis
- Involve more libraries as Archive Holders

Sustainability Plan



- WEST Phase 1 and 2 (ending Sept 2016)
- 50% grant funded
- Transition in 2015-2017 to a fully member supported program
- Gradually raise fees to replace grant funding
- Establish a tiered member fee structure

Business Model Adjustments



- Establish a baseline annual budget of approximately \$800,000.
- Raise fees steadily in 2015-2017 to arrive at the baseline budget and substitute grant funding.
- Total revenue^{WU1} from member fees to increase approximately 44% in 2015, 44% in 2016 and 26% in 2017. Individual member fees may increase more than this as a tiered fee structure is put in place.

Slide 35

WU1

URL to report posted to website

Windows User, 12/5/2014

Business Model Adjustments



- Adjust the cost-sharing model. Determine member fees based on a tiers that are simple, transparent, and independent of roles and responsibilities.
- Define ^{WU2}member fee tiers based on total library expenditures as reported to NCES. (3 year average.)

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WU2

URL to report posted to website

Windows User, 12/5/2014

Possible new services to support the journal archiving program



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

Q&A





New Services Director's Survey

-a sneak peak-

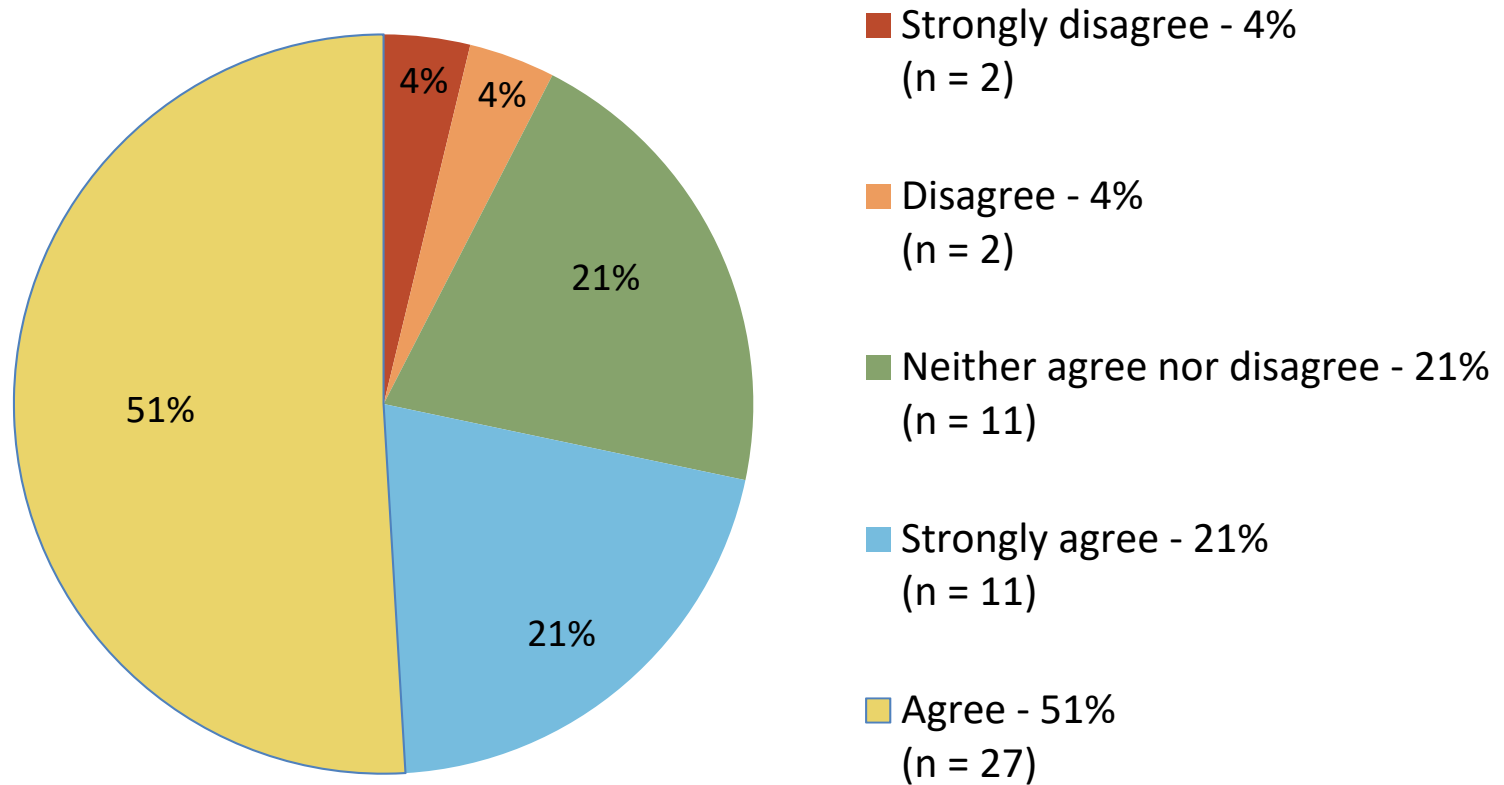
Total WEST members 106

Total responses (counted) 53

Response Rate 50%

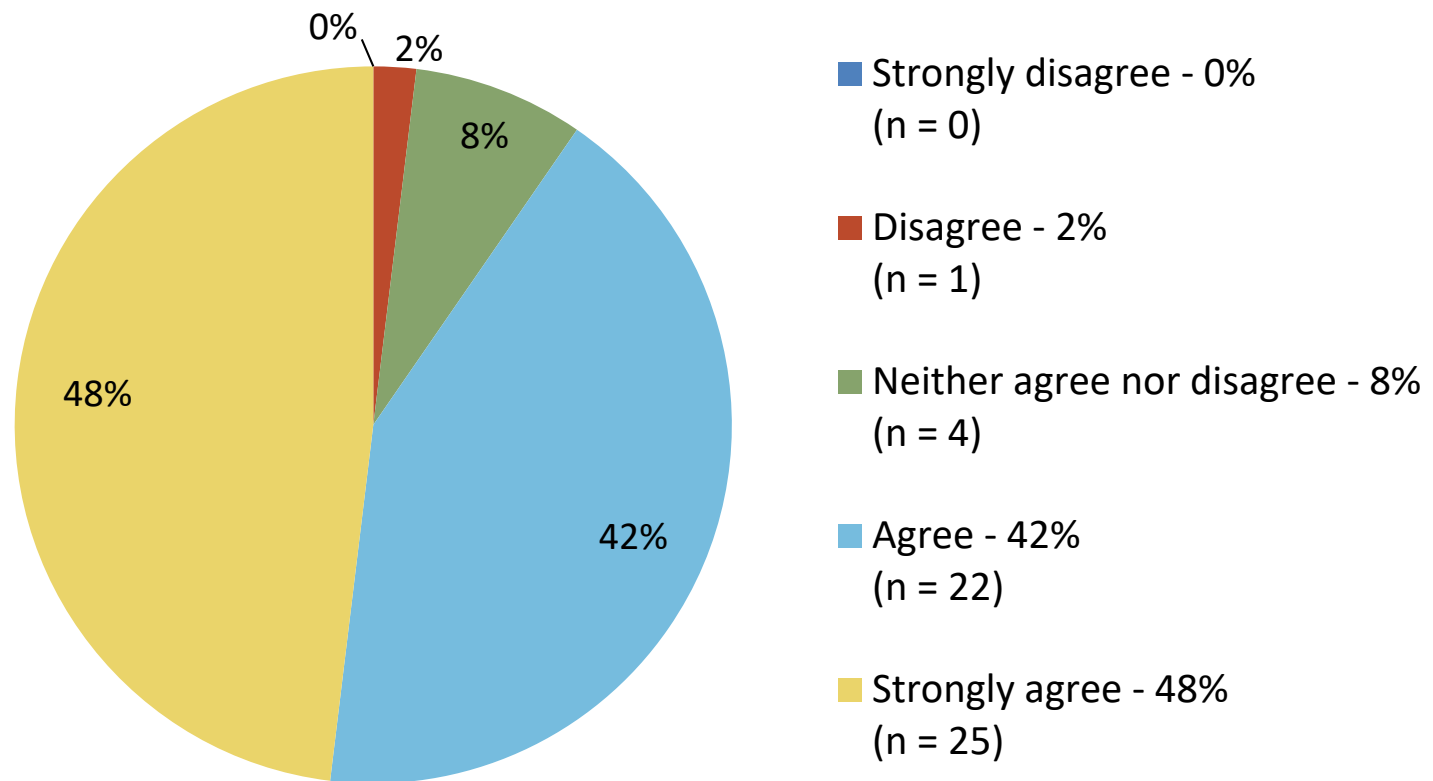
Digitization and publisher outreach (Gold titles)

WEST should expand its priorities to include coordinated action and publisher outreach to digitize and make accessible the Gold print-only backfiles. (N = 53)



Quality Assurance – Disclosure OCLC

WEST should expand its priorities to ensure an archive disclosure rate of 95% or greater in OCLC. (N = 52)



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Update your contacts!

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31 January 2019

Q&A



New Bronze Archive Holder Orientation



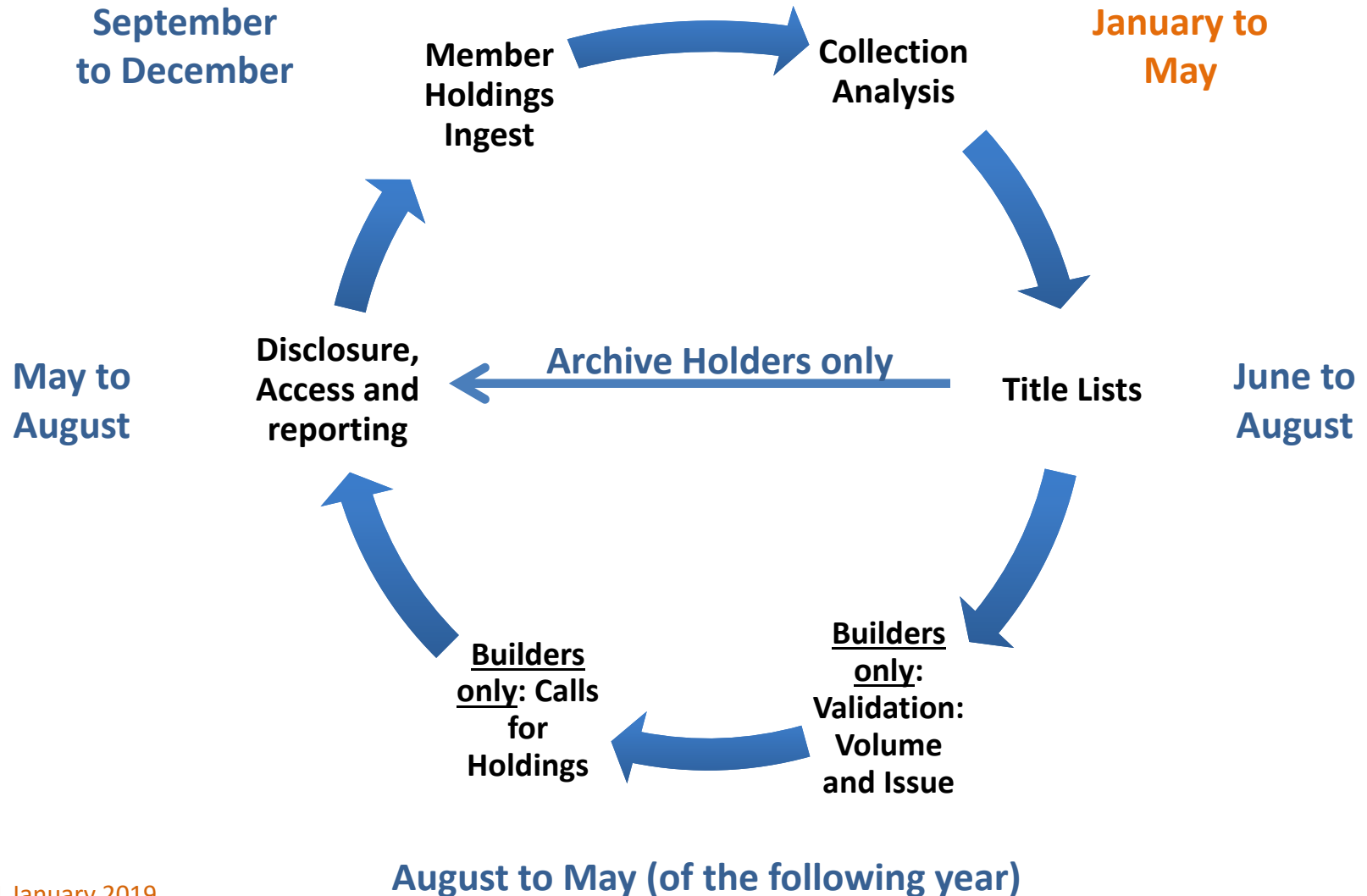
- I. Archive Holder Roles Responsibilities
- II. Annual Archive Cycle
- III. Policies and Procedures
- IV. Community Listserv (Archivers-I)
- V. JRNL participation

Archive Holder Roles and Responsibilities



- Retain print backfiles for agreed upon preservation horizon
- Disclose holdings (re-disclose when necessary)
- Provide access to WEST backfiles
- Prepare progress reports
- Receive gifts from libraries to fill gaps
- Respond to WEST member inquiries about the archives
- Communicate, coordinate and participate
- Provide a single point of contact for project management

Archiving Cycle



Policies and Procedures


- WEST [Collections Model](#)
 - WEST selection criteria, title categories and archive types
(Bronze archive holders are eligible to archive title categories 1 & 6)
- WEST [Access Guidelines](#)
 - Basic assumptions about the WEST archives
 - Access, delivery and damage criteria
 - Required statistics to track
- WEST [Disclosure Guidelines](#)
 - Goals of disclosure
 - Disclosure procedures: to the Print Archives Preservation Registry (PAPR) and OCLC
 - LHR fields and subfields (consistent with the [OCLC Shared Print Metadata Guidelines](#))

JRNL participation



- Bronze Archive Holders are not required to actively fill gaps
- Nevertheless, Archive Holders can use JRNL if they wish
 - Support deselecting libraries
 - Efficiently fill gaps in local archives to ensure a more complete backfile
 - JRNL facilitates offers/communications
 - Allows you to access a larger community of potential “offerers”

Connect with other Archive Holders

- 
- Archivers-I listserv (multiple individuals at an archiving institution can join – [sign up here](#)).
 - WEST wiki (contact Danielle to set up accounts for your institution)
 - [WESTinfo blog](#) (Archiver profiles! Interest pieces! Cycle specific news! Etc.)
 - New website FAQ forthcoming

Q&A

