Western Regional Storage Trust

2019 WEST Assessment Report

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1 Introduction & Executive Summary

The Western Regional Storage Trust conducted a program assessment in 2019 to inform strategic planning and future directions for the program. The 2019 assessment included a membership-wide survey, focus groups, as well as examinations of what's left to archive, deselection statistics, and WEST's cost share model. This is the third program assessment, following two supported by Andrew W. Mellon Foundation funding, which took place in 2014 and 2016. The previous surveys focused specifically on gathering feedback on Phase 1 (2010-2013) and Phase 2 (2013-2016) respectively.[1] The 2019 member survey was not targeted to a particular phase. It was designed with the previous surveys in mind in order to assess change over time in key areas.

WEST has undergone several major changes since the last assessment took place in 2016:
- *Transitioned to become a fully member-sustained program.* WEST was fortunate to receive funding from the Andrew W. Mellon Foundation to support the first two Phases of the Trust. Beginning in 2015, WEST reshaped its models to arrive at full sustainability. This transition was successfully completed in 2018.[2]
- *Became a founding member of the Rosemont Shared Print Alliance.* Based on feedback from the first two surveys, WEST has also sought collaborative opportunities with other programs across the country in order to further leverage and scale our efforts to preserve the print record strategically. The Rosemont Shared Print Alliance ("Rosemont") is a national federation of shared print programs focused on retaining and preserving print journals.

The 2019 assessment focused on four major themes:
- Value of WEST
- Member Satisfaction and Areas for Change
- Potential New Services
- Archive Building

The membership-wide survey returned an outstanding 78% institutional response rate and included input from both WEST Directors and WEST Primary Contacts.

The assessment also included focus groups with coordinators and leaders from WEST's six Archive Building institutions,[3] as well as general focus groups to expand on the themes of the survey. Please see Appendices 1 and 2 for reports summarizing those discussions.

Please see Appendix 3 for a detailed description of the survey response rate and overall assessment methodology.

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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 September 7, 2019. http://www.cdlib.org/services/west/docs/WESTPhase1Assessment_2014MemberSurvey_FinalFullReport.pdf; Watters Westbrook, D., Stambaugh, E., Lee, J. (2016). WEST Phase 2 Assessment. Oakland, CA: California Digital Library. Accessed September 7, 2019. https://www.cdlib.org/services/west/docs/WEST_report_11022016.pdf

[2] During this transition, WEST did experience a decrease in membership due to necessary increases in membership fees. In particular, the 2015 decision of the Orbis Cascade Alliance to end its consortial membership led to a decrease of some 30 smaller members who did not choose to transition into direct membership.

[3] Archive Builders are those institutions that actively consolidate and physically validate WEST's higher risk titles. Six WEST members serve as Archive Builders: University of Kansas, Arizona State University, Stanford University, Rice University, University of California Northern Regional Library Facility, and University of California Southern Regional Library Facility.

1.1 Key Findings

1.1.1 The Value of WEST

WEST's Primary Objectives

- Preserve the scholarly print record for journals
- Ensure access to distributed journal archives
- Facilitate space reclamation

WEST's three primary objectives continue to be extremely or very important to members, but preservation remains the most important of those objectives and the most-cited reason for participation (Q10/8, pages 8-10).

Continued Participation
Members continue to value WEST and most responding Directors (96%) indicate that they are likely to be members three years from now (Q19, page 11).

1.1.2 Member Satisfaction and Areas for Change

Co-investment in WEST
Survey results indicate that a portion of the membership likely finds the cost to participate a little high (Q22, page 11). While "insufficient local resources" is the most commonly cited challenge of participating in WEST, the majority of respondents indicate that the investment of local time and resources is "just right" considering the value gained. The second most commonly cited challenge of participating is communicating the value of WEST (Q15/28, pages 12-13).

Focus group discussions reinforced the concept that co-investment in WEST (whether it is financial or otherwise) should be proportional and surfaced the issue that a member's designated type of supporting or full may not always align with a member's level of participation, or desired level of participation (page 36-37).

Communication
Members favor active communication from the program and would value additional support in communicating about WEST in their local contexts. The majority of respondents report feeling that they know "enough" about WEST governance and decision-making, but "not enough" about WEST's participation in the Rosemont Shared Print Alliance (Q38/39/40, pages 16-17).

Existing Services
The majority of respondents report finding WEST's services to be important. However, regular collections analysis, archive creation, and regular comparison reports to support deselection were rated as the most important services. The importance of active archive creation has increased significantly by comparison to 2016 survey results (Q27, page 18).

Access

While the majority of WEST members appear to consider access to archived titles as a "just in case" benefit, there are a number of suggestions for how to enhance access to WEST titles for the future (Q22, page 20).

Focus group discussions supported the finding that WEST archives serve as "just in case resources." At the same time, discussions around access and resource-sharing in both the Archive Builder focus groups and the general focus groups surfaced disparate and varied practices, which indicate an opportunity for WEST to refine its guidelines (pages 34, 37).

Deselection
Space reclamation continues at about the same rate reported in 2016 with only 9% of respondents indicating that they expect to complete their deselection activities in the next 2-5 years. Shared print copies are an important factor in deselection decisions, but the availability of electronic content and circulation are the most important factors (Q30, page 21; Q36, page 23). This second finding is further supported by focus group discussion of local deselection workflows (page 39).

Disclosure
Members continue to value the exposure of archived titles in OCLC WorldCat and the Print Archives Preservation Registry (Q45, page 24).

Collection Model
While WEST members value the distribution of the archive and the responsibility for it, those not already participating as archive holders are generally not able or willing to do so, nor do members think that all participants have an obligation to archive titles locally (page 25).

Members value opportunities to collaborate on archiving beyond WEST, but also would like to see WEST continue to pursue its own goals (Q43, page 28).

1.1.3 Potential New Services

Members continue to place the highest value on the digitization of print-only titles as a potential new service (Q51, page 28).

Focus group discussion emphasized the importance of digitization of print-only titles as a potential new service, but also indicated strong support for continuing to prioritize WEST's primary objective of preservation through archiving more titles and a desire also to prioritize the improvement of resource sharing mechanisms to maximize preservation value (page 38).

1.1.4 Archive Building

Archive Builders anticipate being able to continue at approximately the same capacity over the next 3-5 years. At the same time, Builders see potential value in distributing WEST's capacity across additional Builders and would be able to adapt to a reduced workload by reallocating staff time to other projects. See Appendix 1 for more discussion on this topic.

Generally, ongoing physical storage and maintenance of the WEST archives is not a strong concern among Builders. By contrast, the ongoing maintenance and dissemination of metadata related to the archives does provoke some concern. Builders note the challenge of supplying metadata to multiple databases, which has implications for local resources and overall data synchronicity.

The outcomes of Archive Builder focus group discussions indicate both a need to review WEST documentation related to archive creation as well as an opportunity to enhance and clarify the guidelines and policies governing all archiving work in WEST.

Builders are generally open to receiving last or scarce copies of titles they do not already hold in their collections in the future, but with limitations.

2 Survey Respondent Demographics

It is a testament to the continuing commitment and engagement across WEST that response rates to all three WEST surveys (2014, 2016, and 2019) have been significant. The institutional response rate to the 2016 survey was 76%, which increased to 78% in 2019 (Table 1).

In total, 25 WEST Directors, 44 WEST Primary Contacts, and 2 individuals serving dually as both Director and Primary Contact for WEST responded to the survey (Table 2). Respondents were also asked about how long they have served in their current role in WEST (Figure 1). Responses indicate that the majority of respondents have experienced a full cycle of WEST activities (2 years or more).

All three of WEST's possible member roles (Non-Archive Holder, Archive Holder, and Archive Builder) were well-represented in the survey respondents (Table 3).

2.1 Response rate

	2014	2016	2019
Institutional response rate	60%	76%	78%

Table 1. Response rate over time by institutional participation.

2.2 Respondent's role in WEST

Individual Role	Count	Percentage
Primary Contacts	44	62%
Directors	25	35%
Both Primary Contact and Director	2	3%

Table 2. Respondent roles in WEST

2.3 Number of years in this role

Time in WEST role

- 25% — 1 year or less
- 25% — 2 - 3 years
- 48% — 4 years or longer
- 2% — I don't know
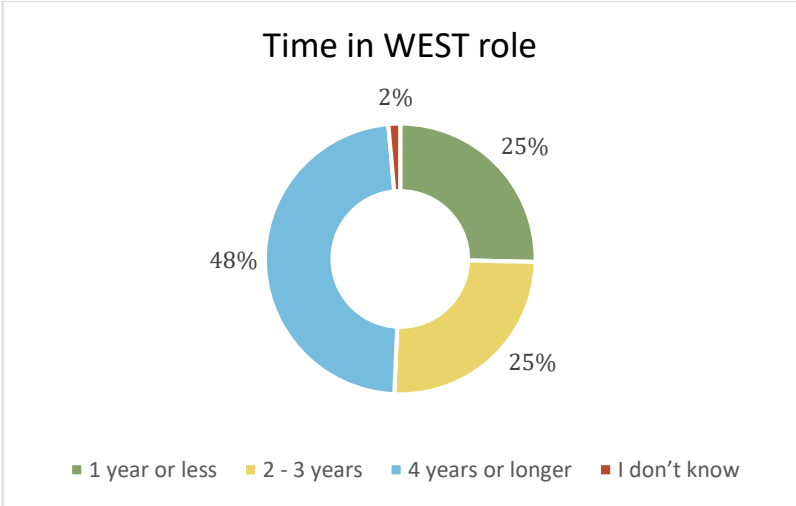
Figure 1. Length of service in individual WEST role

2.4 Role of institution in WEST

Member Type	Count	% of total responding institutions (*n=52*)	Response rate for member type
Archive Builder	6	12%	100.0%
Archive Holder	25	48%	78.1%
Non-Archive Holder	21	40%	72.4%

Table 3. Response rate by WEST member type (Non-Archive, Archive Holder, and Archive Builder). In total, 71 individuals representing 52 institutions participated in the 2019 member survey.

2.5 Participation in other shared print programs

Q26: WEST member participation in other shared print programs (n=45)

Program	Count
HathiTrust Shared Print	16
Center for Research Libraries	12
GWLA Shared Print Program	10
None	9
SCELC Shared Print	8
UC Libraries Shared Print	5
Orbis Cascade Alliance	5
I don't know	3
FDLP	3
Colorado Alliance Shared Print Trust	3
VetPrint	1
Utah Academic Library Consortium	1
DPR (Iowa-Wisconsin-Iowa State)	1
CSU+	1

Figure 2. WEST member participation in other shared print programs

3 The Value of WEST

A key component of the 2019 WEST assessment survey was to review the importance of WEST's primary objectives and what drives participation in the program.

3.1 Review of WEST's Primary Objectives

> Because we believe in the shared print ideal and the preservation of resources with trusted partners...plus some potential space saving. *-Primary Contact, Non-Archive Holder*
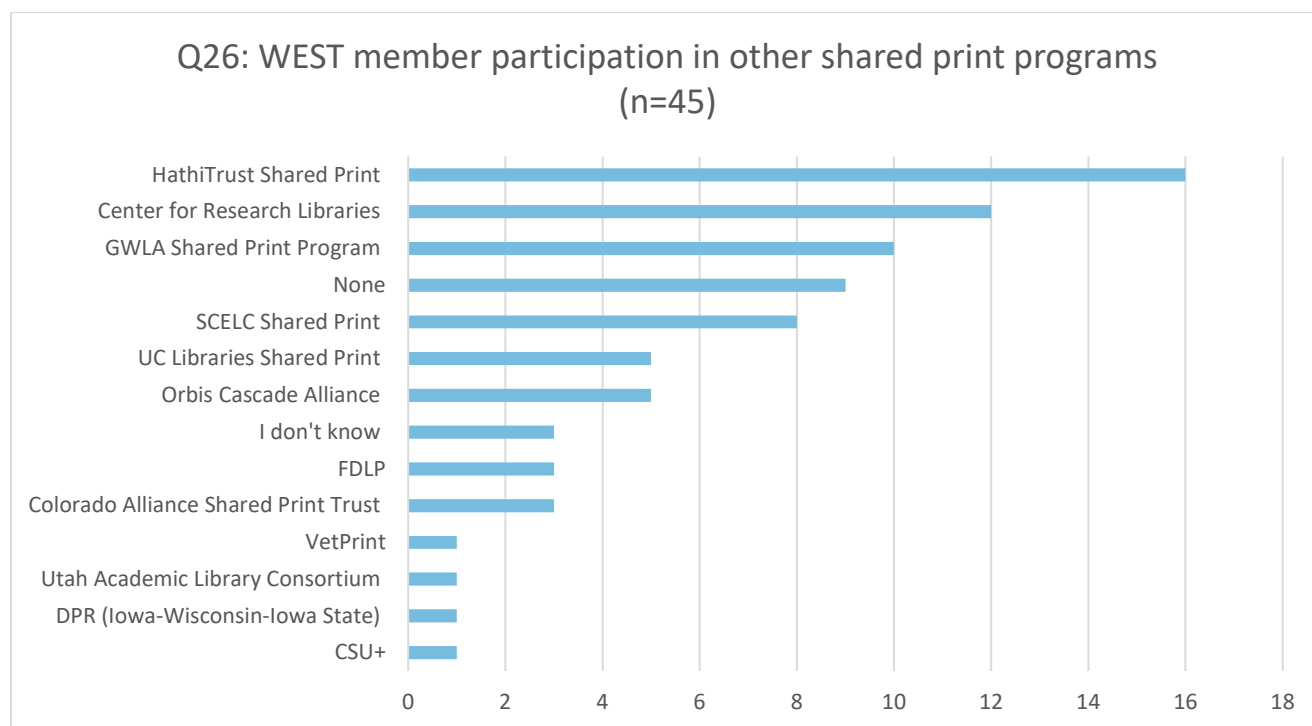
WEST has three primary programmatic objectives:
- Preserve the scholarly print record for journals
- Ensure access to distributed journal archives
- Facilitate space reclamation

These are also the major benefits of the program, and as such are assumed to serve as significant factors in member institutions' rationale for participating. Preservation is the most important programmatic objective to WEST's members. Over time (based on the findings of WEST's previous two surveys) the importance of preservation as a primary WEST objective has increased. In 2016, it surpassed ensuring access as the most important objective and is characterized by all respondents as at least somewhat

important.[4] Ensuring access is also indicated as an indisputably important objective for WEST members. Space reclamation has historically been ranked third among these three objectives, but it should be noted that the 2019 survey results confirms a steady rise in the overall importance of facilitating space reclamation. Results also indicate some variation between member types: non-archive holders place a slightly higher degree of importance on access over the other two objectives and placed greater importance on space reclamation than did the other member types. While Archive Builders placed significantly less emphasis on the value of space reclamation than did the other member types.
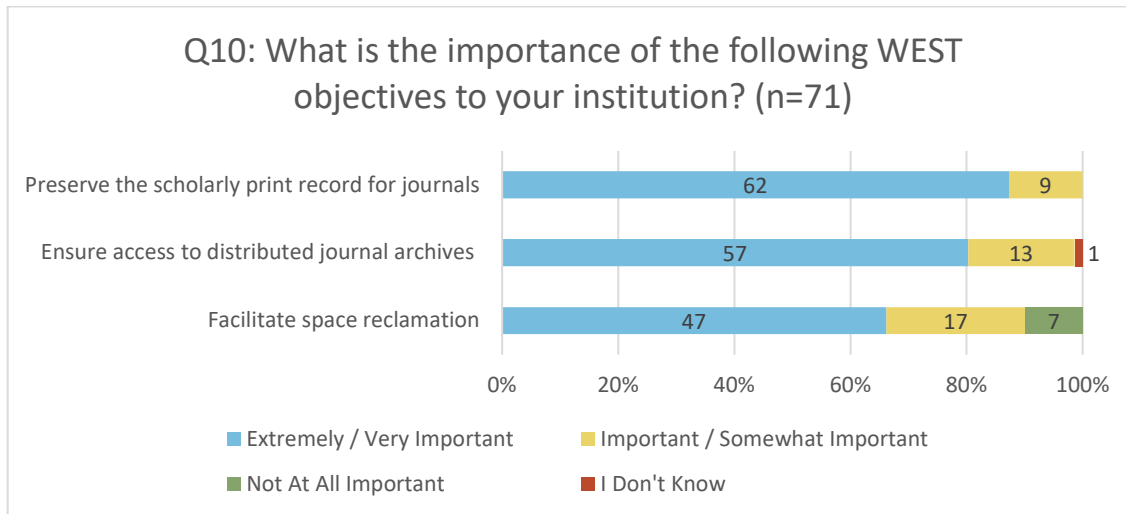
Figure 3. Respondents were asked to rank the importance of each of the three WEST program objectives.

3.2 The "Why" of Participation

In addition to reviewing WEST's primary objectives, respondents were asked an open-ended question about why they participate in WEST. This question was placed ahead of WEST's objectives in the sequence of the survey to avoid influencing responses. Responses were coded from a wide range of answers into broad categories. Answers could, and often did, fall into multiple categories. By far the most-cited reason for participating in WEST was the desire to preserve the print record. Answers that touched on the importance of activities related to space planning (including space reclamation) and collection management appeared in equal numbers with the importance of participating in the shared responsibility of collective action that WEST represents. Collaboration and access to collections were also cited frequently. Less important, but still noted by some respondents, were the importance of economies of scale afforded by the WEST partnership and the ability to fill gaps in print journal runs.

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[4] When broken out, "Somewhat Important" accounts for just 3% of respondents in responses to "Preserve the scholarly print record for journals".

Q8: Why does your institution participate in WEST? (n=71)

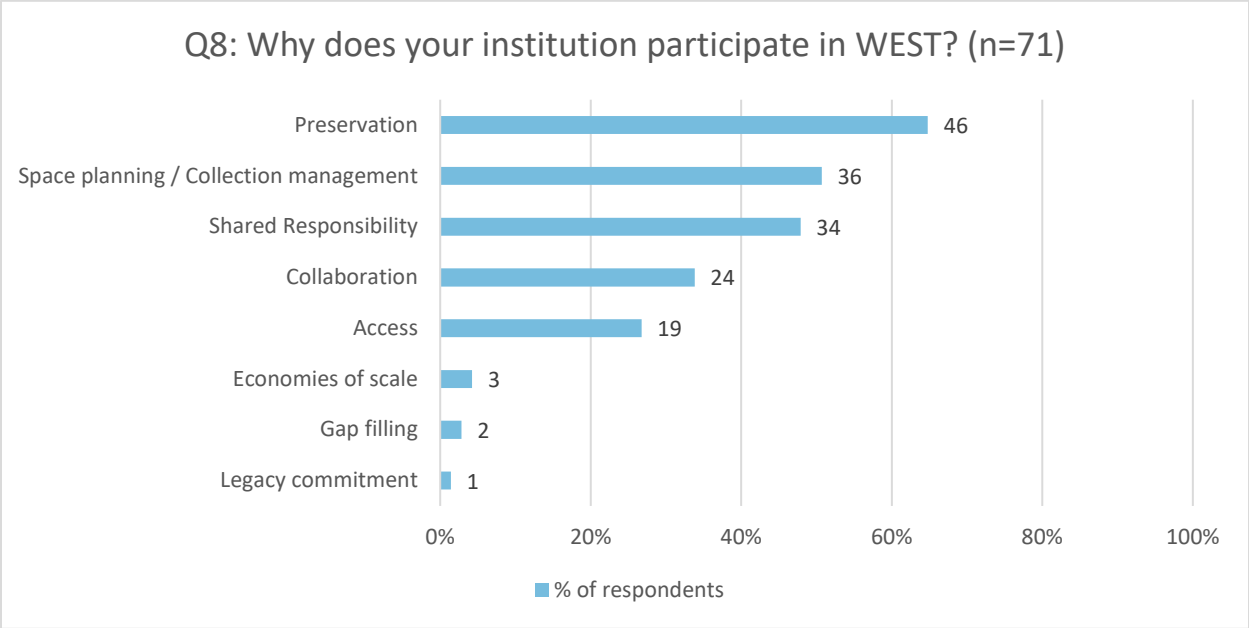| Category	% of respondents
Preservation	46
Space planning / Collection management	36
Shared Responsibility	34
Collaboration	24
Access	19
Economies of scale	3
Gap filling	2
Legacy commitment	1

■ % of respondents

Figure 4. Members were asked to share their reasons for participating in WEST (Q8). Responses may be coded into more than one category.

Selection of respondent answers to the "why" of WEST:

Our Library's membership in WEST will ensure that our weeding project will not endanger our access to (or preservation of) our legacy print collections. In addition, we recognize that the academic library community is a "commons" with shared interests and responsibilities. We have a responsibility to play a role, however modest, in preserving the legacy of print collections. *-Director, Archive Holder*

To help preserve and complete our serials within the range of the program. *-Primary Contact, Archive Builder*

1. Participating in WEST is an important contribution to our efforts to preserve the scholarly record. Working with other institutions to collectively retain materials needed by the scholarly community is essential to current and future scholars. 2. Participating in WEST provides us with the flexibility to not retain every serial volume we have ever acquired. For a variety of reasons, such as electronic duplication, incomplete runs or minimal usage, we can safely deselect some materials and rely on WEST to provide access to that content on demand. This provides us with the flexibility we need to rethink our library spaces, programs and services. *-Primary Contact, Archive Holder*

To ensure access to titles that we deaccession at our library, expand access to titles held by other members, and greater flexibility in collection space planning. *-Primary Contact, Archive Holder*

> To support collaborative partnerships to house, preserve and provide access to at-risk print serials titles while at the same time allowing [our] Libraries to re-purpose critical library space once designated to housing journal runs. *-Primary Contact, Archive Builder*

> To participate in a cooperative effort to ensure print archive survival while not burdening any particular institution. *-Primary Contact, Archive Holder*

> To help us with weeding. To support the great good of ensuring accessing to information long term. *-Director, Archive Holder*

> We strongly support this kind of collaborative collection management/shared print. It is central to how we expect to make lesser used journal content available to our users in the future. *-Primary Contact, Archive Holder*

> Most importantly because we are committed to the preservation of the print record. *-Director, Non-Archive Holder*

3.3 Expected participation Beyond 2019

96% of responding Directors indicated that their institutions are somewhat to extremely likely to be a WEST member three years from now. One respondent indicated that it is somewhat unlikely for their institution to continue its membership beyond the next three years citing cost and lack of immediate use of services as influencing factors (Q19).

4   Member Satisfaction and Areas for Change

4.1 Co-investment in WEST

The survey also sought member input on cost relative to value gained - including both financial contributions and contributions in staff time and effort.

In 2015, WEST began the transition from being partially grant-funded to becoming a fully member-sustained program. This involved fairly significant fee increases until 2018, at which point the cost-share leveled to annual 3% increases to cover inflation. While the transition and associated increase in cost proved challenging for a portion of WEST's membership, a core group of over 65 members weathered the transition to full sustainability.

Despite the challenge of transitioning to sustainability, when asked to reflect on whether the cost of membership is balanced with the value their institutions gain from participating in WEST (Q22), the largest share of WEST Director respondents replied that their membership fees are "just right" (48%). On the other hand, a significant portion of members did report their fees being "a little high" (26%), and, in the case of two members, "high" (7%). Further, some respondents (19%) indicated that they did not know. No respondents reported thinking that their membership fees were low.

WEST's most recent cost-share model and schedule of membership fees is based on an average of NCES and IPEDS Total Library Expenditures data. In the 2019 survey, WEST Directors were asked to provide input on the most relevant criteria for calculating WEST's cost-share and membership fees. Potential criteria included the existing measure of total expenditures, as well as potential new criteria. The top four ranked criteria are reflected in Table 4.

Suggested Criterion	Overall Rank	Total Respondents
Type of membership (full vs. supporting)	1	20
Library materials expenditures	2	17
Institution FTE enrollment	3	12
Total archived titles retained at the institution	4	12

Table 4. Respondents were asked to select their top three criteria that should be used to calculate WEST member fees (Q17)

Library total expenditures and Participation through a consortium followed the top four with six respondents ranking those criteria in their top three.[5]

Beyond direct cost-share, members also support WEST through local resources and staff time devoted to the Trust's activities. WEST Directors were asked to assess the amount of time and resources devoted to WEST based on the value gained. The majority of respondents indicated their investment in time and resources feels "just right" or even "low" in the case of 2 respondents (Figure 5).

Q15: Time & resources devoted to WEST activities

7%
11%
4%
7%
70%

■ Low ■ Just right ■ A little high ■ High ■ I don't know

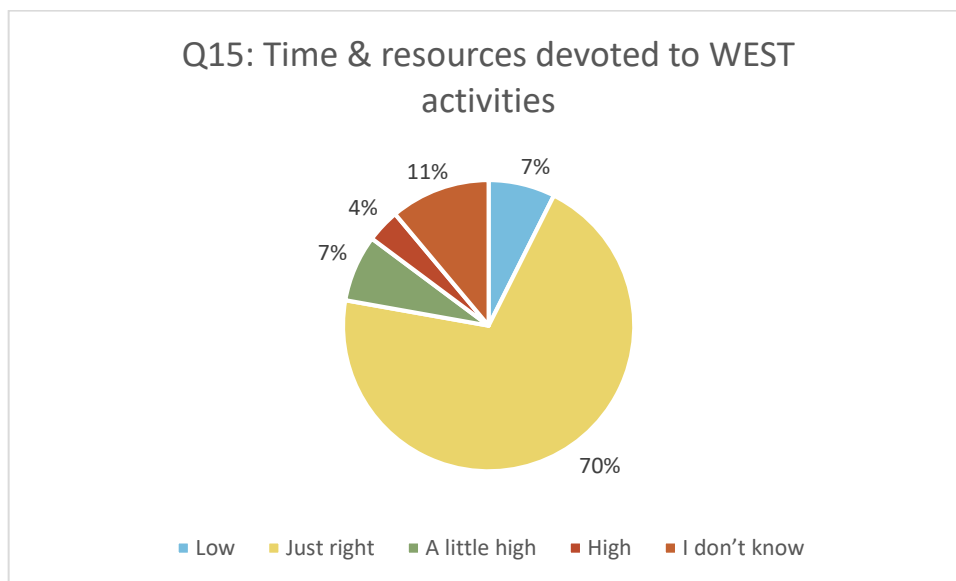Figure 5. In Q15, respondents were asked to rate the amount of time and resources they devote to WEST, as compared to the value gained (n=27)

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[5] Three other potential criteria were presented to respondents: participation in other shared print programs, number of researchers, and publications output. These three criteria received less than 5 rankings and overall fell to the bottom of the ranking.

Primary Contacts were asked to reflect on the most challenging aspects of participating in WEST, if any existed for their institutions. The most common challenge to participating in WEST for member institutions is a lack of local resources (e.g. workload, staffing) (Figure 6). When taken in combination with responses to the investment of time and resources based on value gained, there is some indication that while WEST requires significant effort from its participants, the effort translates effectively into value gained.

Q28: Local challenges to participating in WEST (n=46)

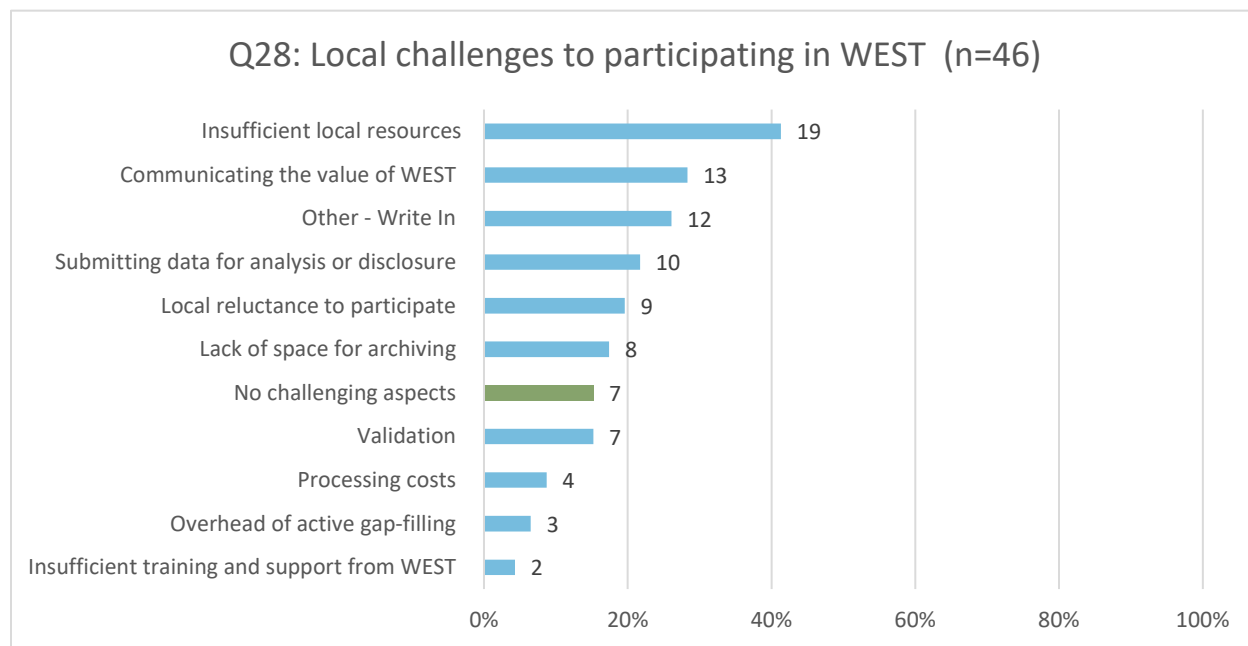| Challenge	Value
Insufficient local resources	19
Communicating the value of WEST	13
Other - Write In	12
Submitting data for analysis or disclosure	10
Local reluctance to participate	9
Lack of space for archiving	8
No challenging aspects	7
Validation	7
Processing costs	4
Overhead of active gap-filling	3
Insufficient training and support from WEST	2

Figure 6. 'Insufficient local resources' is the most commonly cited challenge to participating in WEST, though several did note that they do not face local challenges. Respondents could make more than one selection. (Q28)

The second most common challenge respondents cited was communicating the value of WEST. Other challenges included specific activities such as submitting data for analysis or disclosure, as well as performing validation work. Respondents also noted local reluctance to participate and a general lack of space as challenges. Seven respondents, or about 15%, indicated that they had no challenging aspects to report. Additionally, through a free-text option, respondents cited the following challenges:
- Cost or membership fees (4)
- Variations on local reluctance to participate (3)
- Challenges related to staying informed and understanding how best to take advantage of the membership (2)
- Incorporating WEST tasks in local staff responsibilities (1)
- Legal agreements allowing for contribution of volumes (1)
- Archive Building challenges related to validation logistics (1)

4.2 Communication and WEST

Communication is integral to the realization of value in shared print collaborations. Anticipating the feedback of the previous section, in which members noted communicating the value of WEST as a significant challenge to participation, the 2019 survey and assessment prioritized communication as one area for investigation.

All participants in the survey (Directors and Primary Contacts) were asked how they communicate about shared print to their campus communities. Responses showed a wide variation in the level and type of

communication employed by respondents to engage and educate their local communities. Many respondents stated that they communicate very little about their shared print activities with their local communities, with some indicating that they rely on shared print metadata in their local records to communicate the existence of these programs to users. Others indicated that they communicate with stakeholders about shared print on an as-needed basis, with several respondents explicitly stating that they only cite their shared print activities in specific contexts, such as when discussing space needs, deselection activities, or interlibrary loan, or that they rely heavily on librarian liaisons to pass information along to academic departments. At the same time, some responses indicate a more proactive approach:

> We use details about our membership benefits in reports and presentations to University Administration to indicate the innovative and collaborative ways that we manage our physical collection, provide access to archived content and support collective action to preserve the scholarly record. We base decisions on maintaining our existing physical collection on our WEST membership and use the membership to convince faculty that we are not undoing years of active collection building. *-Library Director, Archive Holder*

> Shared print is something we talk about to show how we are thinking and acting at the network level rather than in isolation. Faculty are most interested in access, so that is what we focus on, but we also talk about the savings from shared print initiatives and how they will allow us to expand access while reducing costs. *-Primary Contact, Archive Holder*

> We educate all user constituencies on the various collaborative print and e- archive programs/projects that we participate in. Currently working on new ways to communicate with each of our 6 colleges through their recommended communication approaches to reach their administrators and faculty re; library related topics including collaborative print archives. *-Library Director, Non-Archive Holder*

> Communication about shared print happens every time we discuss the collections with faculty and campus leadership groups. Participation in programs like WEST are described as one integral piece of our overall collection strategy. *-Primary Contact, Archive Holder*

Respondents also expressed a general desire for improved communication tools and support:

> We have done little to push notices about shared print. We have posted blog posts/news. Would like to hear how others do this. *-Primary Contact, Archive Builder*

> Mainly, communication has been to the Provost and Associate Provost so that they understand the issues. As the library significantly reduces our local holdings, we'll have to explain to students and faculty that they still have access to the materials that they need. *-Library Director, Non-Archive Holder*

Primary Contacts were also asked specifically about what kinds of metrics they reference when discussing the value of participation in WEST. Interestingly, some of the top metrics selected include those that address the development of infrastructure to support shared print collections including "policies developed and implemented to ensure the effective management of the collective collection" and "demonstrated advocacy in the broad print management community".

Metric	Percentage	Count
Total titles archived for WEST	41%	19
Policies developed and implemented to ensure the effective management of the collective collection	37%	17
Number of titles archived locally for WEST	35%	16
Demonstrated advocacy in the broad print management community	30%	14
Number of titles or items withdrawn on the strength of WEST commitments	28%	13
Linear feet reallocated	28%	13
Total volumes archived for WEST	28%	13
Number of volumes archived locally for WEST	22%	10
We don't draw on any metrics	22%	10
Total comprehensive runs archived for WEST	17%	8
Number of comprehensive runs archived locally for WEST	13%	6
How often WEST archived materials are loaned or borrowed	9%	4
Other - Write In	2%	1
I don't know	2%	1

Table 5. Metrics cited when discussing WEST locally. Respondents could make more than one selection (Q24; n=46)

Further, respondents also had the option to note other metrics, not currently available, that they would like to see for WEST. Answers included:

- Annual financial statements (1)
- What other libraries are doing to maximize membership (1)
- Generally, making metrics and statistics more findable for WEST (1)

- How many libraries are contributing to WEST archives and how many volumes are contributed (1)
- Improved WEST usage statistics (1)

The survey also included a select number of questions about how informed members feel about the program and how they receive news about WEST and shared print more generally. The key findings indicate that while the majority of members feel they know "enough" about WEST governance and decisions, more communication about WEST's participation in the Rosemont Shared Print Alliance is advised.
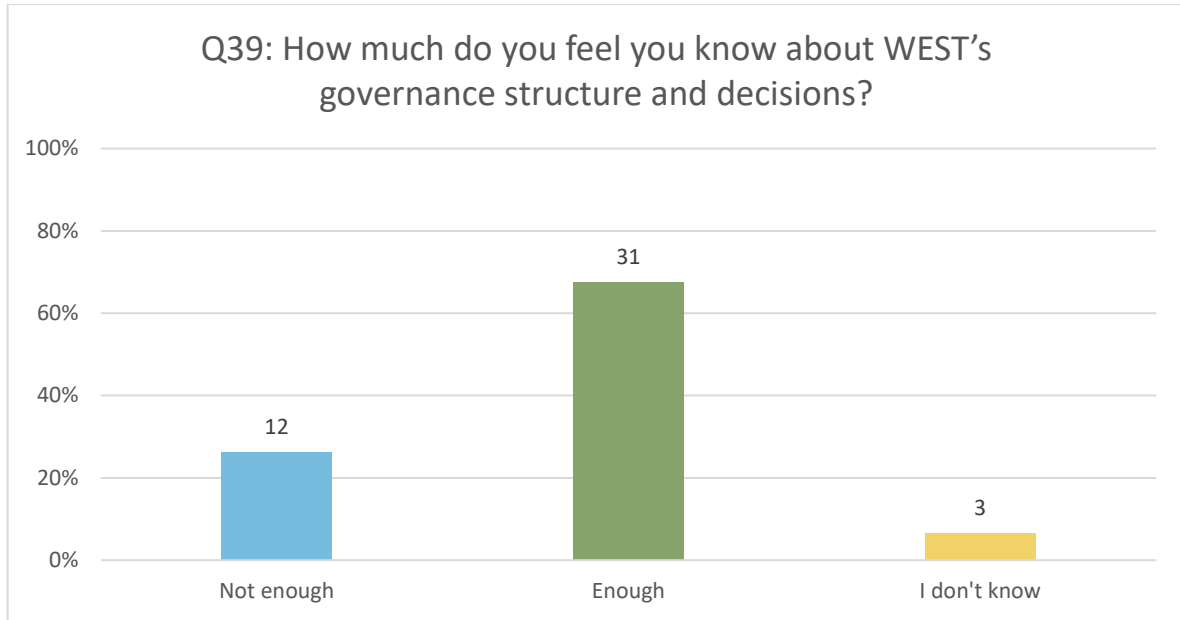
Figure 7. The majority of members feel they know 'enough' about WEST's governance structure and decisions, but over 20% reported that they feel they do not know enough (Q39; n=46)

Q38: How much do you feel you know about WEST's participation in the Rosemont Shared Print Alliance?

Not enough	Enough	I don't know
30	10	6
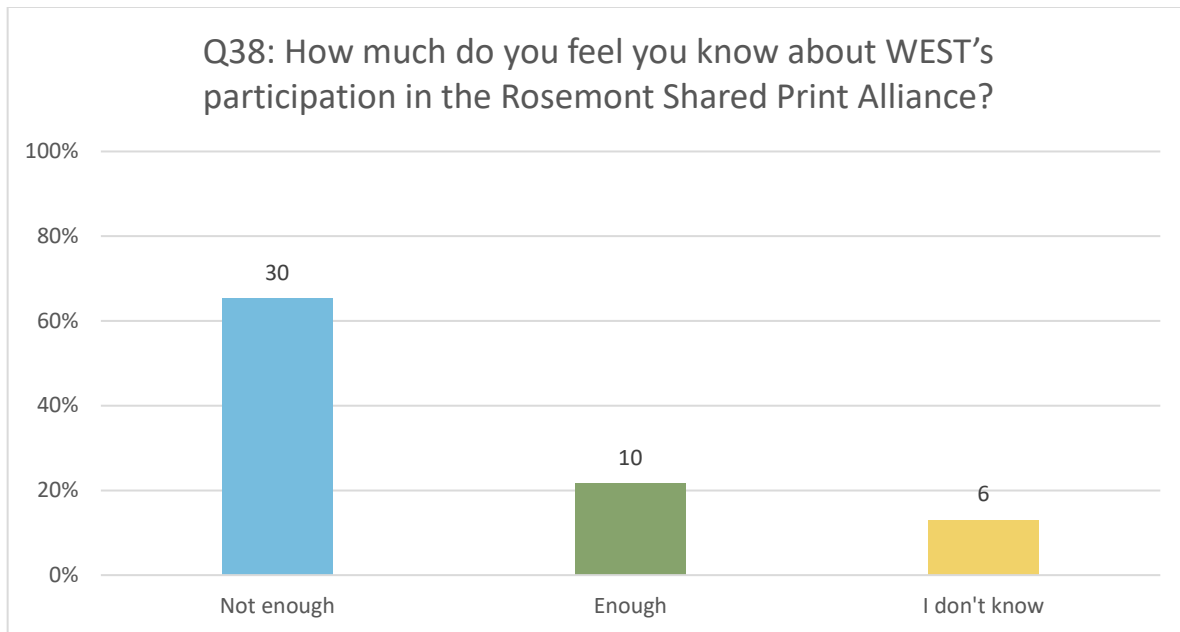
Figure 8. The majority of respondents feel they do not know enough about WEST's participation in Rosemont (Q38; n=46)

Q40: From what sources do you receive WEST and shared print news?(n=46)

- WEST emails
- WEST newsletter
- WEST website
- ALA WEST Member Meetings
- ALA PAN Forum Updates
- WEST wiki
- PAN Forum listserv
- Other - Write In
- I don't know
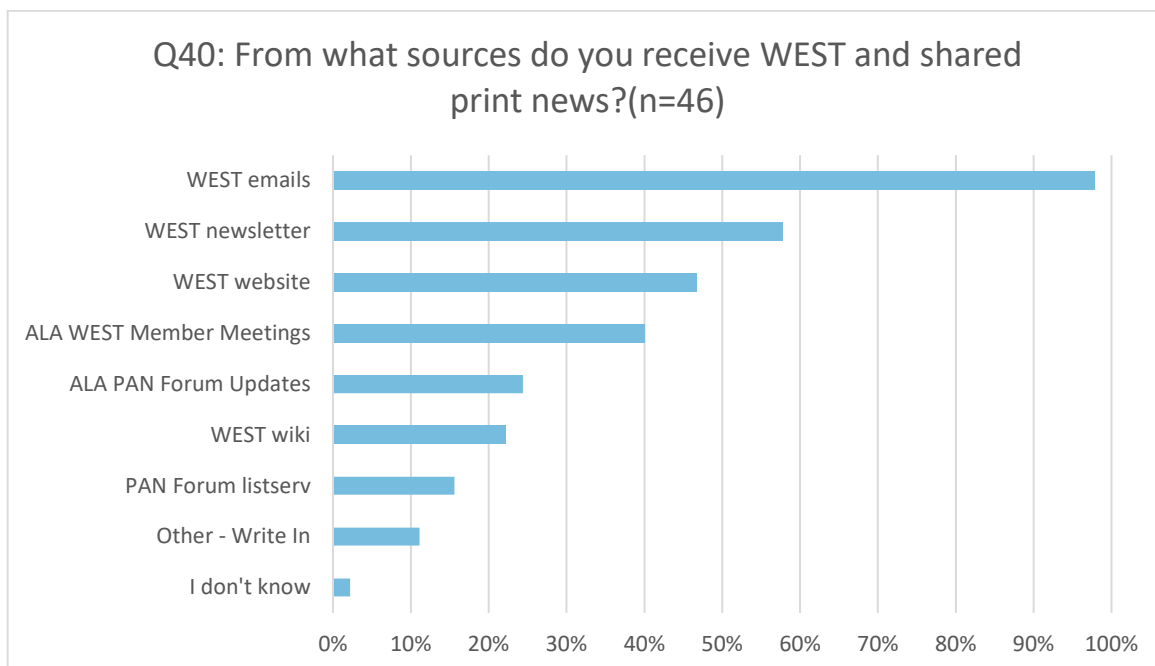
Figure 9. Active outreach characterizes the most popular sources for WEST and shared print news. Respondents could select more than one option.

Taken together, active outreach is more popular than passive methods of communication, with emails, newsletters, and in-person meetings being generally more popular than websites that may be updated without announcement. Write-in responses cite WEST committee activities and webinars as sources of information, again indicating that more active forms of communication are popular with members.

4.3 Review of WEST Services

WEST provides a number of services and reports to member institutions. Following the precedent of previous assessments, participants were asked to rate the importance of various WEST services and reports to their institutions. For all options, more than 50% of respondents indicated that they found WEST's services and reports to be "very important" or "important." However, regular collections analysis, active archive creation, and the availability of annual Collection Comparison Reports that are used to inform and support journal deselection decisions ranked highest amongst respondents (Figure 10). Regular collections analysis rose to the top in 2019, where it had been ranked second to regular reports to support deselection in 2016. Further comparison to the 2016 survey results indicates a particularly significant increase in how respondents view the importance of active archive creation. In 2016, 54% of respondents ranked active archive creation in the top categories of importance. 75% of 2019 respondents ranked active creation in the top categories of importance.
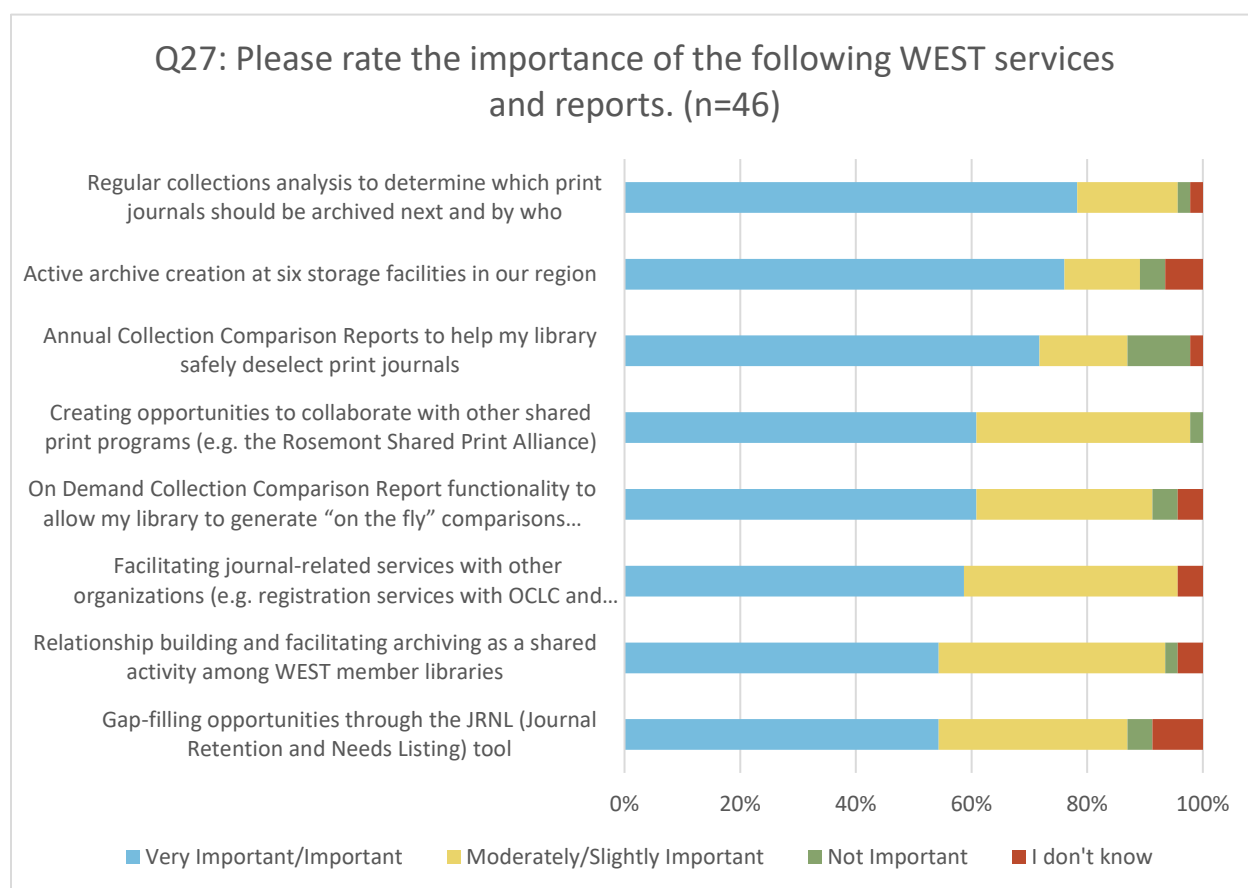
Figure 10. Member were asked to rate the importance of various WEST services and reports (Q27). The collection analysis services and reports provided by WEST and the active archive creation in storage facilities were rated the most highly of the options.

Respondents also had the opportunity to share ideas for how WEST could improve its services and reports. Several comments noted specific improvements for existing tools including the On Demand Collection Comparison Report and the Journal Retention and Needs Listing (JRNL) tool. Other comments touched on the importance of WEST's communication and the supporting resources that are made available for members:

> Continue regular communications with members; provide examples of how the service has benefited researchers. *-Primary Contact, Non-Archive Holder*
>
> WEST leaders do a good job communicating current projects and work. *-Primary Contact, Archive Holder*
>
> ...some sort of Toolbox for Archiving institutions would be helpful*. -Primary Contact, Archive Holder*
>
> Provide more guidance (manuals, instructions) on data export from local library system to WEST, especially for libraries using Alma. *-Primary Contact, Archive Holder*
>
> Include local call number for each title to be archived (for non archive builders) - *Primary Contact/Director, Archive Builder*
>
> More comprehensive information on journal family titles (title changes). *-Primary Contact, Archive Builder*

4.3.1 Current and Future Access

Primary Contacts were asked to characterize the value, to their institutions, of access to WEST archives. Over half of respondents (56%) reported that, for their institutions, the value of access to WEST archives is primarily based on a "just in case" model (Figure 11). Less than 7% of respondents indicated that access to the WEST archives is primarily based on a perception or reality of immediate need from users. Another 31% of respondents reported that the value of access to the WEST collections is a fairly even balance of the two models: the archives serve an immediate purpose for current users as well as acting as "just in case" resources for future needs. Finally, 7% of respondents indicated that they do not know how to characterize the value that access to the archives holds for their institutions.
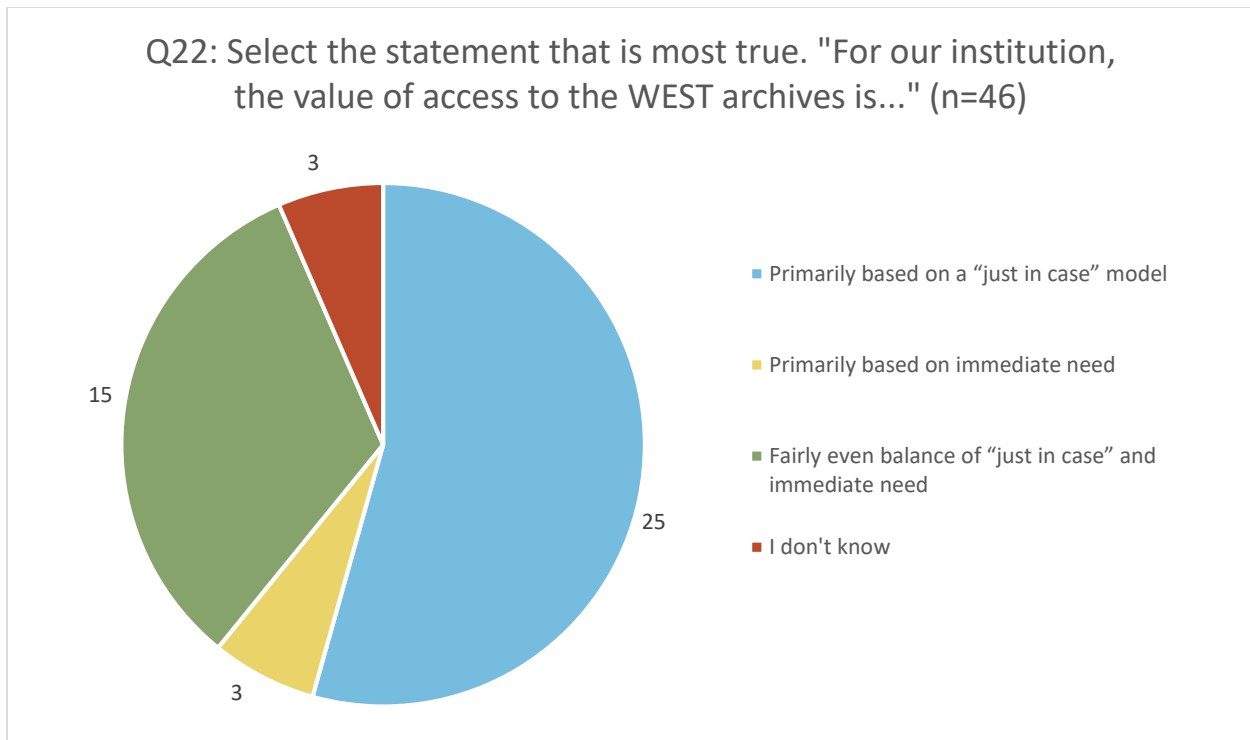
Q22: Select the statement that is most true. "For our institution, the value of access to the WEST archives is..." (n=46)

- Primarily based on a "just in case" model
- Primarily based on immediate need
- Fairly even balance of "just in case" and immediate need
- I don't know

Figure 11. Over half of respondents indicate the value of access to WEST archives to be "just in case".

While these results reflect a degree of consensus around the nature of the WEST archives as long-term investment and repository, respondents also provided feedback through an open response question on what WEST could consider changing to better meet future access needs (Q23). Some common areas of interest include:[6]

- Improve discoverability of WEST titles (including where libraries can see shared print retentions and ensuring holdings data is clear and up to date) (4)
- Improve documentation, expectations, and, potentially, mechanisms for borrowing/lending (4)
- Reciprocal or free lending (3)
- Pursue digitization of shared print titles (2)[7]

4.3.2 Deselection and Space Reclamation

Space reclamation and deselection activities continue at about the same rate as reported in 2016, with 83% of respondents in 2019 reporting that they either have deselected in the past two years or plan to over the next 2-5 years. Only 9% of respondents indicated that they plan to complete deselection over the next 2-5 years.

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[6] Eight responses, or approximately 35% of respondents to this question, responded that there were no improvements needed, or that they did not know what improvements were needed.

[7] While this question only saw two respondents specifically mention digitization, members have shown significant interest in pursuing digitization of print-only titles both in this member survey and those from 2014 and 2016. A potential area for further investigation would be to tease out the relationship between access and preservation as the motivator for pursuing digitization as a service provided by WEST, which may inform the model and deliverables for such a project.

Q30: Has your institution deselected journals? Please choose all that apply. (n=46)

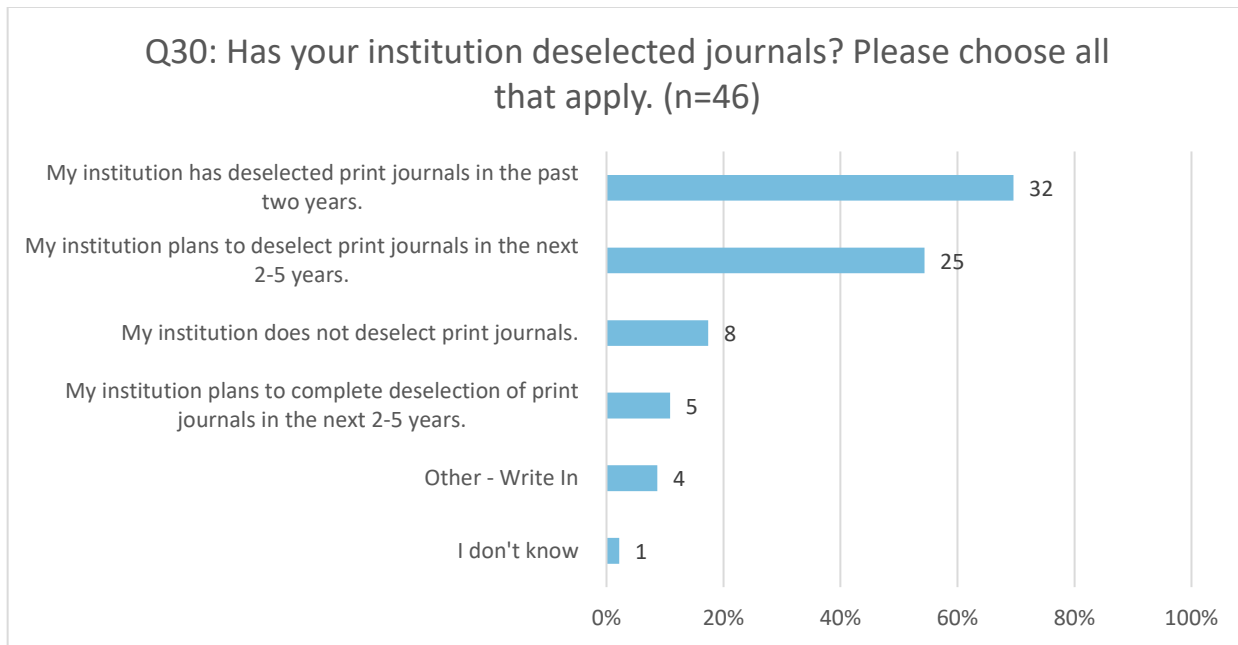| Category	Value
My institution has deselected print journals in the past two years.	32
My institution plans to deselect print journals in the next 2-5 years.	25
My institution does not deselect print journals.	8
My institution plans to complete deselection of print journals in the next 2-5 years.	5
Other - Write In	4
I don't know	1

Figure 12. Most member institutions have engaged in deselection activities, and many plan on continuing to deselect in the future, but a small number (15%) of respondents reported that their institution does not deselect print journals.

Respondents also largely reported that they do take WEST commitments into consideration when making local deselection decisions (Q31), although most do not distinguish between archive types when making their decisions (Q32). This bears further investigation to determine whether this indicates a high degree of trust in the integrity of WEST archives of all types, a high degree of trust in the availability of electronic surrogates for Bronze titles, or if this is expediency in the face of short project deadlines.

Q31: When your library deselects journals, do you take WEST commitments into consideration?
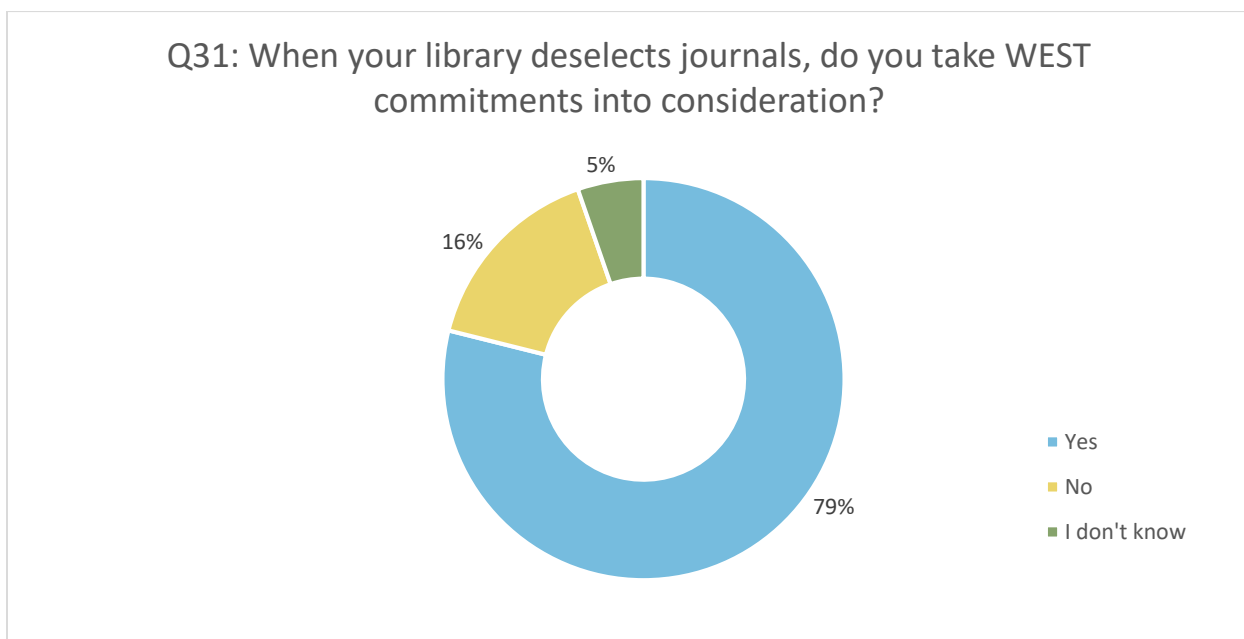
- Yes: 79%
- No: 16%
- I don't know: 5%

Figure 13. Nearly 80% of respondents report that they do take WEST commitments into consideration when making local deselection decisions (n=38)

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Q32: Which WEST archive types do you deselect against?
(n=30)

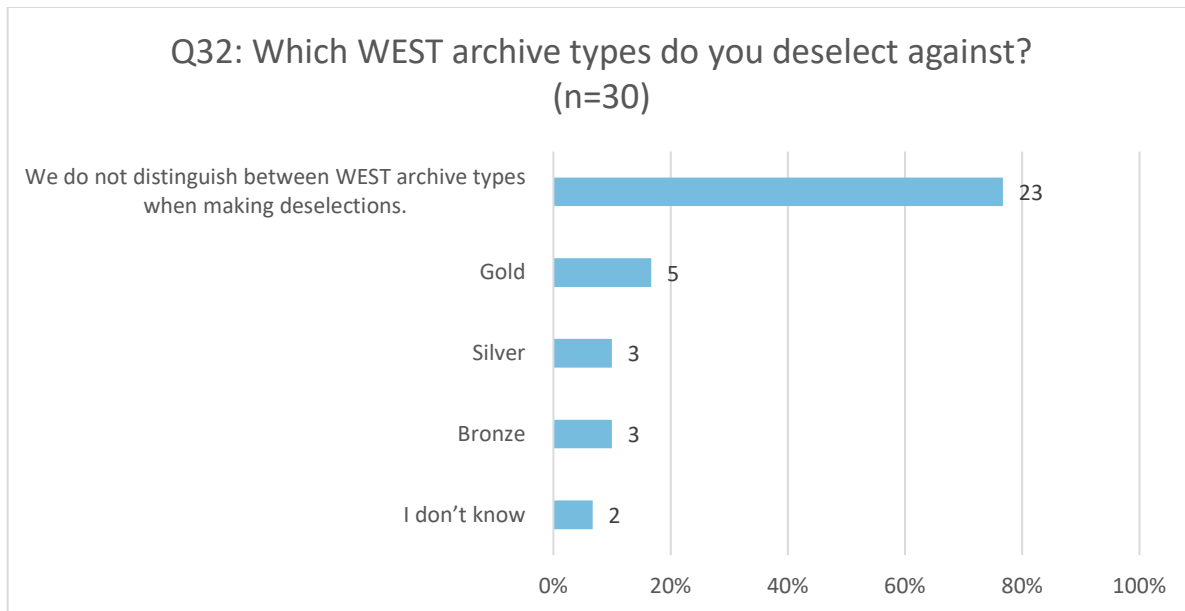| Category	Value
We do not distinguish between WEST archive types when making deselections.	23
Gold	5
Silver	3
Bronze	3
I don't know	2

Figure 14. Nearly 80% of respondents stated that they do not distinguish between WEST archive types when making local deselection decisions.

Respondents were less likely to look to programs outside of WEST when making local deselection decisions (Figure 15). 37% of respondents reported that they do take other programs' commitments into consideration, while nearly half said that they do not. The remaining respondents indicated that they do not know whether their institutions check archived journal holdings in other programs.

Q34: When your library deselects journals, do you take the commitments of shared print programs beyond WEST into consideration? (n=38)

Yes: 37%
No: 47%
I don't know: 16%
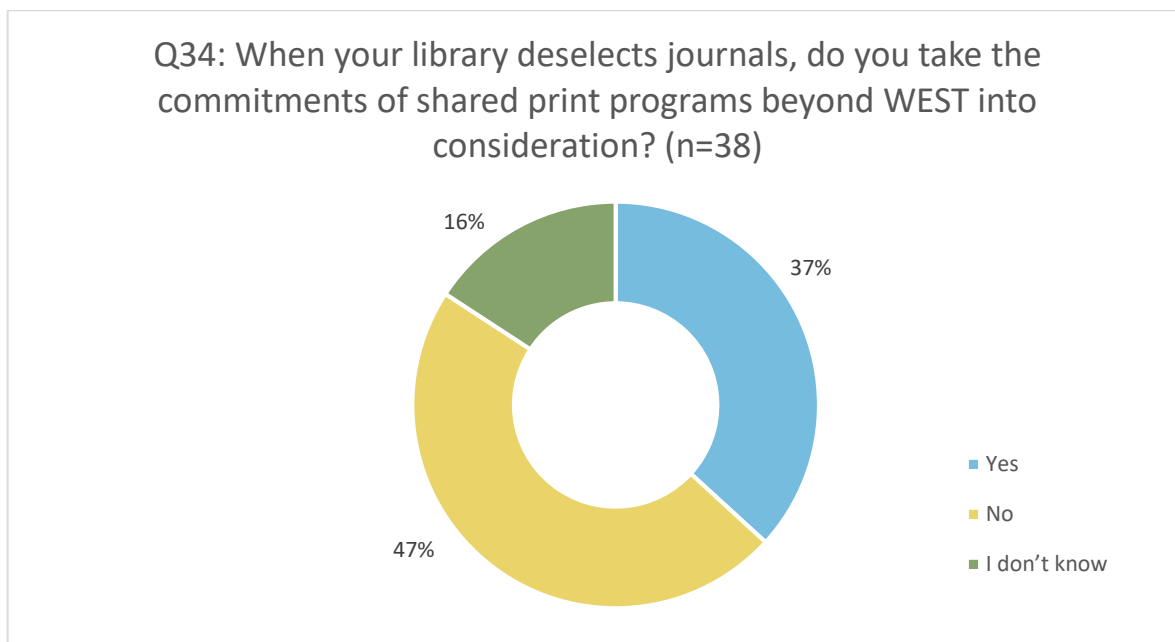
Figure 15. Less than 40% of respondents said with certainty that they look to other shared print programs' commitments when making local deselection decisions.

In the 2019 survey, respondents were also asked to gauge their success rate in finding WEST archived titles for the content they wished to deselect (Q35). While a significant portion of respondents answered that they do not know how successful they generally are (37%), 32% reported generally finding that WEST has archived titles they are seeking to deselect, and an additional 29% reported sometimes

finding that WEST had archived titles they are seeking to deselect. Only 1 respondent reported generally not finding that WEST had archived the titles they wish to deselect.

	Percent
We generally find that WEST has archived titles we wish to deselect (50% or greater)	32%
We sometimes find that WEST has archived titles we wish to deselect (between 25% and 50%)	29%
We generally DO NOT find that WEST has archived titles we wish to deselect (less 25%)	3%
I don't know	37%

Table 6. How do you gauge your success rate in finding WEST archived copies for titles you wish to deselect? (Q35, n=38)

Existing shared print copies rank high in the criteria used to make deselection decisions with over 80% of respondents considering that criteria at least somewhat important. However, the electronic availability of the content is by far the most important criteria reported by respondents, with circulation and number of copies in WorldCat (regardless of retention status) ranking higher, overall, than shared print copies (Figure 16).
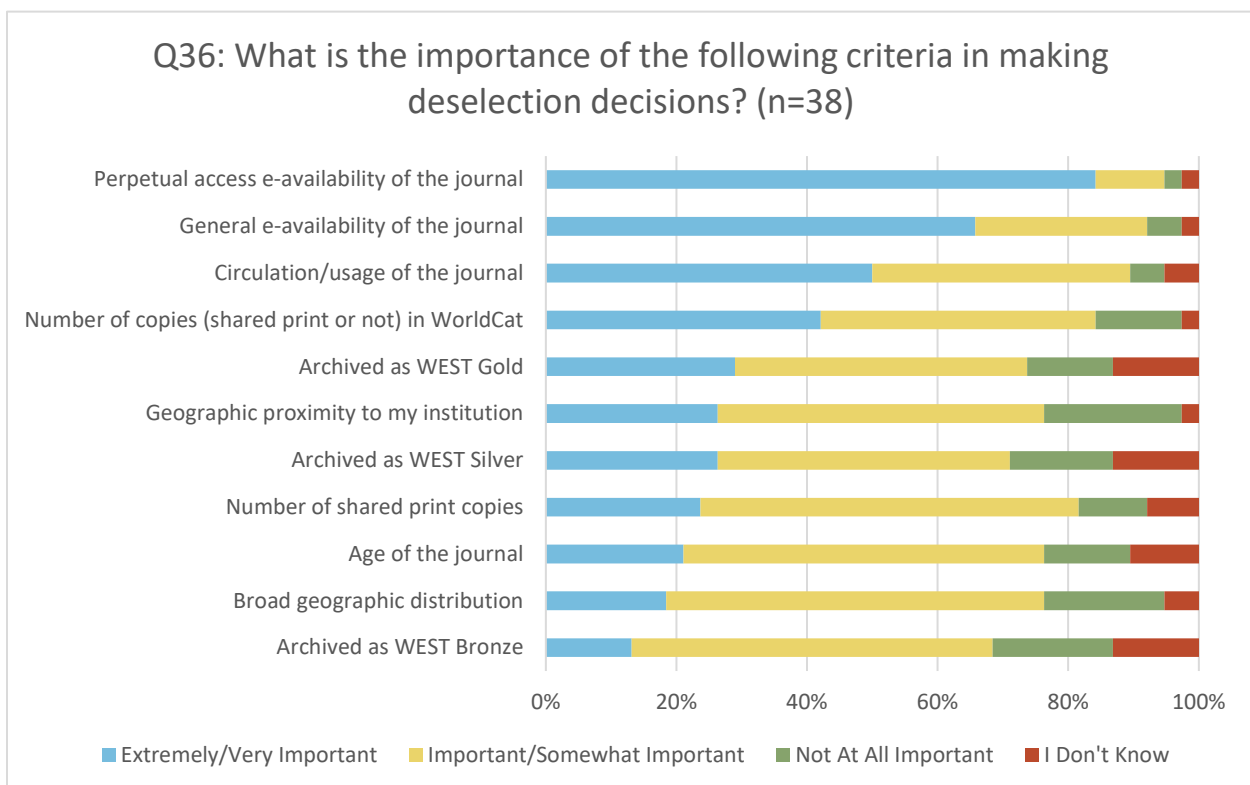

Figure 16. When asked what criteria factor into their local deselection decision making processes, respondents overwhelmingly stated that electronic access (especially perpetual access) was the most important factor.

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Respondents also noted other criteria used when making deselection decisions, including:
- Subject or local area of strength (5)
- Completeness and depth of the holdings (2)
- Whether or not the title is indexed (2)

4.3.3 Disclosure

> I think the efforts that are being made to register retention commitments at OCLC is a good step, however that information needs to be available at the ILL and public WorldCat level… *-Primary Contact, Consortium*

In keeping with previous surveys, participants were asked to give feedback on where members want to see WEST archived titles recorded 10 years from now (Q45). Consistent with previous assessments, 2019 results indicate that the majority of WEST members want to see WEST archived titles recorded in OCLC WorldCat and in the Center for Research Libraries-hosted Print Archive Preservation Registry (PAPR). Notably, only 38% of respondents indicate interest in WEST titles being recorded in a WEST-managed archived titles report 10 years from now. The least popular option was to record WEST titles in an amendment to the WEST member agreement, which garnered support from only 2% of respondents. These results indicate that members are increasingly interested in broadly shared tools that expose WEST's commitments beyond the immediate program members.

Service	2019
OCLC WorldCat	80%
CRL PAPR Registry	64%
The JRNL retention and needs listing tool	49%
A WEST-managed archived titles report	38%
I don't know	13%
Other - Write In	11%
In an amendment to the WEST member agreement	2%

Table 7. Members overwhelmingly support disclosure of shared print commitments in OCLC WorldCat, and show strong support for CRL PAPR (Q45)

4.3.4 Archiving and Collection Model

4.3.4.1 Distributed Retention Responsibilities

WEST members continue to value the distributed nature of the archive and the responsibility for it. In the 2019 survey, respondents also affirmed the concept that some materials are appropriate for in-place retention (e.g. open stacks) (Figure 17).

Q41: Please indicate your level of agreement with the following statements:

It is important that WEST archives are distributed among the membership and that responsibility for maintaining those archives is shared.

Designating portions of the collection that are appropriate for in-place retention is an effective means of ensuring distribution.

I am satisfied that, given the lower risk for loss of content due to the existence of trusted digital surrogates, Bronze archives may continue to be retained in open stacks.

Shared print retentions, regardless of risk level, should be stored in closed stacks with some level of security and environmental regulation.

■ Strongly / Somewhat agree ■ Neither Agree nor Disagree ■ Somewhat / Strongly disagree ■ I don't know

Figure 17. Respondents value the distributed nature of the archive and the shared responsibility for it (n=46)

However, the value placed on the distributed nature of the archive does not necessarily mean that all members are willing or able to participate as Archivers. As part of the 2019 survey, Non-Archive Holders were asked about their willingness to serve as Archive Holders (Q47, n=18). Over 80% responded that they were not willing to serve as an Archive Holder, with only three respondents answering that they did not know if their institution would be willing to serve as an Archive Holder. No current Non-Archive Holders indicated that they were willing to serve as an Archive Holder for WEST.

On the other hand, there may be opportunities in the future to expand the number of members who participate as Archive Builders (those institutions that actively consolidate and validate higher risk titles). In order to serve as an Archive Builder under WEST's current standards, an institution must have access to a closed-stacks facility that is secure and environmentally regulated. Just over half of respondents (n=22) affirmed that their institutions do have access to such facilities. Of that total, 15 are currently Archive Holders and 7 are currently Non-Archive Holders.

Of those 22 respondents who responded that they have access to a storage facility, two responded that they would be willing to serve as Archive Builders. Ten respondents answered that they would not be willing to serve as Archive Builders and another 10 respondents answered that they did not know.

These sentiments broadly align with the institutions' perspective on the importance of distributed archives in WEST (Q46). While some participants did respond that they believe the responsibility for WEST's archives should be as distributed as possible and that more members be given the option to serve as Archivers, the overwhelming majority of respondents (85%) took the stance that while distributed archives are important, it is not necessary for the majority of members to be responsible for holding archives for the program.

Q46: Please select the statement that best aligns with your institution's perspective:

15.20%

84.80%

■ We think that it is important that the responsibility for WEST's archives is as distributed as possible and that a majority of WEST members have the option to participate as archivers.

■ **We think it is important that the responsibility for WEST's archives is somewhat distributed, but do not think it is necessary that the majority of WEST members participate as archivers.**
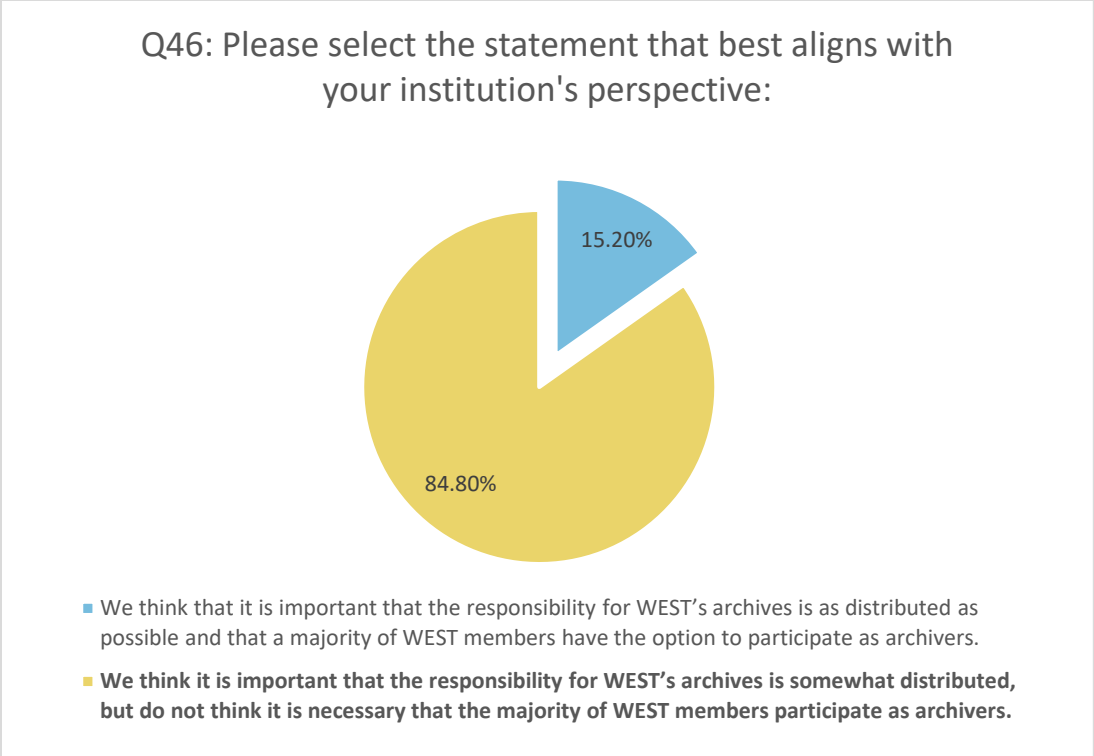
Figure 18. The majority of respondents value distribution, but do not think it is necessary for the majority of WEST members to participate as archivers (n=46)

In other areas of the survey (Q12, Q11), respondents reflected on the responsibility of the academic library community and their own specific institution to support the collective collection in various ways. As might be expected, respondents generally reported feeling that the larger academic library community holds more responsibility for the activities outlined than their own individual institution does (Figure 19). At the same time, WEST respondents did demonstrate fairly high feelings of responsibility as individual institutions, with the majority feeling at least somewhat responsible for each listed activity (Figure 20). For individual institutions, it appears that "contributing materials to archiving institutions" is most keenly felt as a responsibility, but that providing financial support for archive creation is also widely felt as a responsibility of individual institutions. This is consistent with the fact that archive creation is one of WEST's primary activities and is highly unique in the broader shared print community. Also of particular note, is the sense of individual responsibility to provide financial support for the ongoing maintenance of the collection, which is currently not a part of WEST's model.
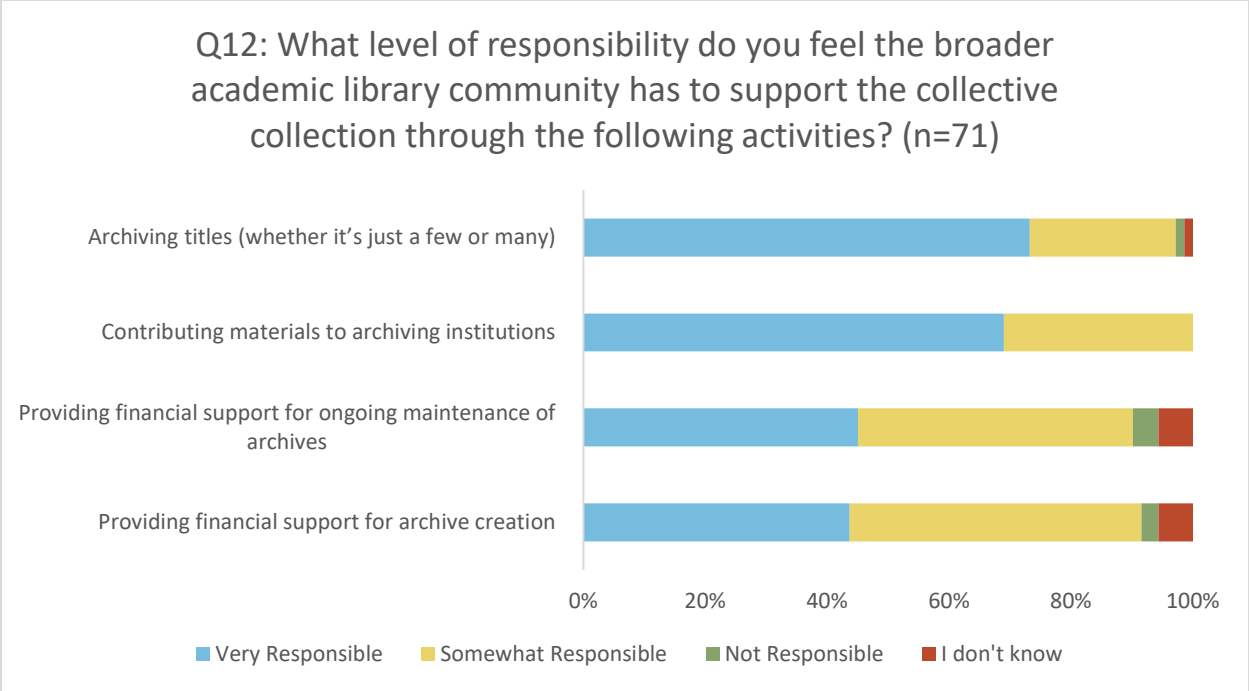
Q12: What level of responsibility do you feel the broader academic library community has to support the collective collection through the following activities? (n=71)

Figure 19. Members report feeling that the broader academic community has a responsibility to participate in active archive creation.

Q11: What level of responsibility do you feel your specific institution has to support the collective collection through the following activities? (n=71)
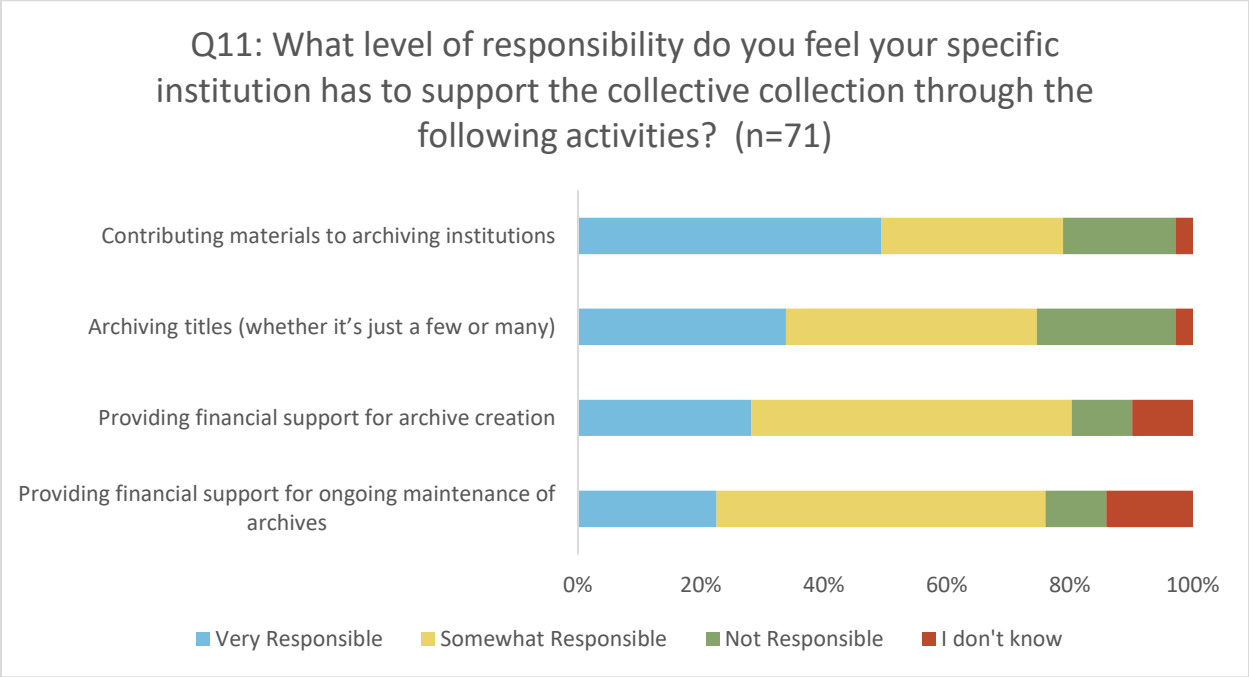
Figure 20. However, members feel that their institutions do not have as high a level of responsibility for active archive creation as does the broader community.

4.3.4.2   Bronze Archiving

Based on WEST's current collection model and the available holdings across the membership, the number of remaining titles eligible for WEST Bronze archiving (Title Categories built upon Portico, CLOCKSS, and JSTOR title lists) is more finite than Silver or Gold. Bronze has the virtue of not incurring direct costs for archiving, because the holdings are not physically validated and it is material that any

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member is eligible to hold in place (meaning, a storage facility is not required). In the 2019 survey, respondents were asked to evaluate several scenarios for the future of Bronze (Q42). The majority of answers favored maintaining the current model and allowing Bronze archiving to slow (Table 8).

Future of Bronze archiving	Count (n=46)
Maintain current collection model and allow Bronze archiving to slow	21
Expand the content categorized as Bronze by deprecating what is currently considered Silver	9
Seek additional copies of Bronze journal families within the WEST collaboration	3
I don't know	13

Table 8. Respondents largely support allowing Bronze archiving to slow over altering the collection model, though a large number of respondents indicated uncertainty (Q42).

Interestingly, when asked later in the survey about interest level in three potential new services (Q51), the 13 respondents who answered "I don't know" for Q42 showed lower than average interest in a system for verifying Bronze archives, while also showing a higher than average interest in pursuing digitization of print-only title. This perhaps indicates that the individuals who responded that they did not have an opinion about the future of the Bronze archiving category did so because the Bronze category is a low priority for them overall and not because they want a different model for Bronze that was not offered in this question.

4.3.4.3   WEST Archiving in the Context of Rosemont Collaboration

Level of coordination with Rosemont	Count (n=46)
Only select titles for archiving that HAVE NOT yet been archived by other Rosemont programs	11
Set aside a portion of WEST's budgeted capacity to target titles not yet archived by other Rosemont programs, but continue to also select titles yet to be archived specifically by WEST	30
Other – write in	5

Table 9. Members support some amount of coordination with other Rosemont programs, though they clearly indicate that WEST needs should be prioritized (Q43)

Survey responses indicate an interest in participating in and supporting the wider shared print community going forward. Nearly a quarter of respondents stated that WEST should only archive titles that have not already been archived by one of the Rosemont partner programs, which roughly aligns with the share of respondents who indicated that collaborating with other shared print programs was "very important" (Q27). This also closely follows with the answers to Q38 (page 17), in which 64.4% of respondents indicated that they do not feel that they know enough about WEST's participation in the Rosemont Shared Print Alliance, while 22.2% felt well-informed. Taken together, the answers to these questions indicate that supporting and participating in the larger shared print community is a strong shared value, even when the members might not feel well informed about the specific program. That there are equally high rates of respondents who feel ill-informed about but still open to active coordination with Rosemont programs indicates that this is an area that WEST could provide additional information and outreach to member institutions.

Overall, respondents ranked physical validation as the most important criterion in gauging their level of trust in Rosemont collections held beyond WEST.

When considering your level of trust in Rosemont archived titles, what criteria is the most important to you?	Overall Rank	Score	Total Respondents
Physical Validation	1	107	46
Number of Copies	2	92	46
Storage Environment	3	77	46

Table 10. Respondents were asked to rank three criteria in relation to their trust in Rosemont archived titles (Q44; n=46)

5 New Services for Journal Archiving

There has been a long-standing interest among WEST members to pursue the digitization of print-only titles archived by WEST. In 2014, 62% of respondents either strongly agreed or agreed that WEST should expand its priorities to "include coordinated action to digitize Silver and Gold print journal backfiles." In 2016, 86% of respondents said that "WEST should continue to explore digitization of print-only archives."[8] Once again, respondents in the 2019 survey indicate a strong interest in the digitization of print-only titles.

Potential new service	Overall Rank	Score	Total Respondents
Digitization of print-only titles	1	112	46
Prospective shared print (e.g. leveraging common, active subscriptions to retain runs through the present)	2	96	46
A system for verifying Bronze archives	3	68	46

Table 11. (Q51) WEST is considering new services to offer its members. Please rank your institution's interest in the following possible new services (top = most interested, bottom = least interested).

Prospective shared print ranked higher, overall, than verification of Bronze archives. WEST's support for prospective shared print projects could take a range of forms, from a more passive form in which the network is leveraged for information-sharing related to ongoing subscriptions, without the guaranteed commitment of continued collecting; to more active commitment of titles up "through the present" with an agreement to collect materials through the WEST retention date (2035). These are only examples and require additional investigation. Survey results do indicate that members are continuing to subscribe to print journals (Figure 21), which indicates an area of opportunity for WEST to expand its services and value proposition.

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[8] Watters Westbrook, D., Stambaugh, E., Lee, J. (2016). WEST Phase 2 Assessment. Oakland, CA: California Digital Library, p. 29. Accessed September 7, 2019.
https://www.cdlib.org/services/west/docs/WEST_report_11022016.pdf

Q50: Please select the following statement that is most true:

9%

24%

28%

39%

63% of respondents indicate their institutions subscribe to 100+ print journals.

- Our institution subscribes to 0-100 print journals.
- Our institution subscribes to 100-500 print journals.
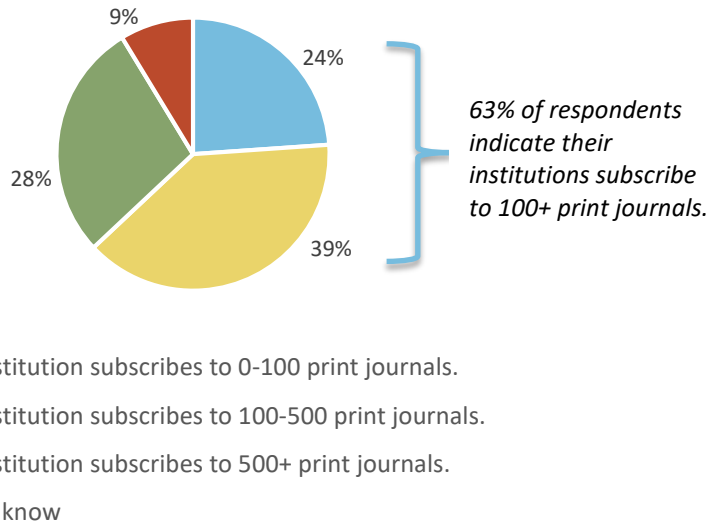- Our institution subscribes to 500+ print journals.
- I don't know

Figure 21. Survey responses indicate that libraries continue to subscribe to a significant number of print journals (n=46)

While a system for verifying Bronze archives ranked third in potential new services, this does not necessarily mean that members do not consider this also to be of importance. In general focus group discussions, the role of shared print archives as a means for verifying and correcting available digital surrogates was raised several times. While verification of Bronze may not be a first priority, its role in relation to digital copies is essential.

Eventually, the idea of bronze archiving needs to be elevated to gold or silver levels. I would never de-accession against anyone's bronze level holdings. Bronze is a good first step, but … *-Primary Contact, Archive Holder*

6   Appendix 1

6.1   Archive Builder Focus Groups Report

Archive Builder institutions were invited to take part in one of two focus groups specifically targeted to the roles they fill in WEST. Representatives from five out of the six Builder institutions participated directly in one of the two focus groups. The first focus group included four participants from two Builder institutions. The second included seven participants from three Builder institutions. Participants included a mix of operational coordinators and strategic leaders from the institutions. All participants were provided with the areas of inquiry ahead of the discussion. This was done to provide participants the opportunity to gather any necessary background or data points ahead of the discussion to ensure, as much as possible, that participants felt empowered to respond fully to the questions. The questions presented were the same for both focus groups. However, the discussion, follow-up questions, and additional topics introduced by participants varied. In this written discussion of the focus group results, responses from both focus groups are reported cumulatively, unless otherwise noted.

6.1.1   The Value of Serving as an Archive Builder

> We absolutely believe that our participation in the WEST Trust increases our effectiveness for our local efforts to make scholarly works available for the long term. We would be doing this work anyway, but we believe that we are more effective by being an Archive Builder in terms of both our own local holdings, as well as contributions to this larger community.

As an opening to the discussion, participants were asked to respond broadly to the question, "What do you value about serving as an Archive Builder for WEST?" Respondents commonly emphasized values that align with the three primary objectives of WEST: the importance of contributing to the preservation of the print record, providing access beyond their immediate communities, and also the opportunity to engage in their own space reallocation projects on the strengths of commitments made by other institutions.[9] But, another theme emerged across respondents: the value of reviewing their local holdings in detail and building complete runs of journals. Part of the responsibility that the Archive Builders undertake involves bibliographically and physically validating the holdings of higher risk (Silver and Gold) titles for WEST. The Builders receive financial subsidies from WEST member fees to support this work, which otherwise would likely be considered unsustainable. In addition to completing validation, Builders undertake the responsibility to actively seek additional volumes from partners in WEST to complete their local runs and secure comprehensive backfiles. Again, this work is subsidized by WEST member fees and represents a highly unique activity in the shared print community. It is high effort, but is clearly valued for the resulting accuracy and completeness of WEST holdings.

6.1.2   Archive Builder Capacity over the next 3-5 years

Archive Builders anticipate being able to maintain their current capacity for the next 3-5 years – both in terms of physical storage capacity and the staffing resources necessary to engage in this work. One of the reasons that physical capacity is not a great concern at this stage is the degree to which WEST's

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[9] Generally, the space reallocation should be assumed to relate to the full-service libraries of these institutions, not as much in their storage facilities.

analysis and allocation models leverage materials already present in storage facilities. Thus, while Builders are still bringing in additional volumes each year on behalf of WEST in order to complete their runs, it is not a strain on the capacity of the facility itself.[10] Additionally, three of the six Builder institutions are at various stages of constructing new storage modules.

In terms of staffing resources, Builders describe a variety of approaches to managing WEST operations from devoting portions of existing FTE, to devoting entire FTE, to supplementing processing with student FTE. A few common themes emerged in discussion around staffing capacity:
- Over time, Builders have gained efficiencies in their WEST workflows
  - However, changes to WEST's practices or in local practices (e.g. ILS migration) could impact those efficiencies
- Necessary staff time ebbs and flows throughout the year; generally, staff are involved in WEST as an addition to other duties or have the potential to shift their energy to other projects, rather than focusing exclusively on WEST activities
- Overall, Builder respondents anticipate being able to maintain current staffing resources for WEST work over the next 3-5 years

6.1.3 Funding and Budget

Archive Builders apply WEST subsidies for archive creation in a number of ways. Most commonly, WEST funds go to support percentages of FTE devoted to the project, but in some cases the funds are more generally applied to support the overall unit, equipment needs, or facility operations (e.g. purchase of scanners, stickers, even some software support). It is important to understand that WEST subsidies were never intended to cover the full cost of archive creation work and Builder responses during the focus groups confirmed that subsidies do not fully cover their investment of staff time and local resources in archive creation. That being said, the subsidies are an important part of the model that Builders operate under and they appreciate that support.

When reflecting on the subsidy rationale,[11] Builders made several observations:
- The per volume rate and associated effort of work can influence whether Builders will choose to commit to certain proposed titles. For example, in the case of Gold titles that require issue-level validation for completeness and condition, the contrast between the effort of validating a title that occurs at annual frequency versus monthly frequency is quite stark. Because the per volume compensation rate is not nuanced for titles of varying frequencies, Builders may make decisions to accept or reject proposals based on that calculus, meaning that some potentially important titles are passed over given the cost-benefit of the work necessary to archive them.
- Several Builders also noted that a significant amount of work goes into identifying the related titles of a journal family, assessing those records, and doing clean up as necessary. While this bibliographic work is identified in other parts of these discussions as a value-add of WEST, it is also something that requires significant effort and is not necessarily reflected in a per volume rate.
- Discussion in the focus groups indicated that the value placed on the archive creation work *might* carry a Builder through if it became necessary to lower or omit the current subsidy. But,

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[10] This might not have been the case earlier in the WEST collaboration, but over time Builder institutions have moved more of their collections into storage independently of WEST providing more and more titles for retention that already exist in storage.

[11] Builders are paid $4 per estimated volume that will receive volume-level validation for completeness (Silver) and $7 per estimated volume that will receive issue-level validation for completeness and condition (Gold).

the subsidy is clearly an important part of how Builders manage the resources required for creating WEST archives and is an incentive for their participation.

6.1.4 Current Practices and Looking to the Future

Recruiting Additional Archive Builders
Builder participants in the focus groups were asked whether they think WEST should expand the pool of Builder institutions. Some Builders felt that this could be a positive development for WEST from the perspective of distributing the archives and the considerable work involved in creating them. Further, at least one Builder observed that some current WEST members appear to consistently have quite deep backfiles for the Silver and Gold titles allocated to their institution.

> Yes. And the reason is that a distributed collection is more secure from preservation perspective…distributed effort, more active investment and participation. Those are all goods purely from a preservation perspective.
>
> I can speak in terms of being more granular and…the perspective of having looked at what libraries have when we're doing a call for holdings. We can clearly see that [another institution] has so many things that we end up asking them for… should they become a Builder? That changes the dynamic of the workload I was talking about for the call for holdings. You suddenly have less of the work to make the call, because it's being designated to a library that might actually have a better backfile of that title.
>
> You know it is a lot of work. And I think, maybe, if we spread it out a little bit more, it would be a little less of a burden on some of us.

All Builder respondents expressed an ability to rebalance their local efforts and reallocate staff time to other activities if funding and capacity were distributed more broadly amongst an increased number of Builders.

Ongoing Maintenance of the WEST Archives
Builders were also asked whether they have any concerns about the long-term and ongoing maintenance of titles that they have committed to retain on behalf of WEST. The original question was framed with the physical maintenance and storage of the materials in mind, but Builders provided additional feedback related to the ongoing maintenance of metadata for the archives.

Generally, the ongoing storage of WEST archives is not a cause of concern among Archive Builders. One Builder did observe that the ecological footprint of their storage facility is a rising area of interest, but that this pertains to all stored collections and not just those of WEST. However, specific to WEST, focus group participants observed that the generation and ongoing maintenance of metadata for the archived collections is a concern. Currently, metadata for the WEST collections is housed in many different spaces: local ILS, WEST AGUA system, the Print Archives Preservation Registry (PAPR), OCLC WorldCat, and the Journal Retention and Needs Listing (JRNL) tool. Separately, some Builders have local processes for managing the metadata while archive creation is in progress. Additionally, depending on local

practices and systems, the technical processes for regularly extracting and submitting data can be cumbersome.

Use of the WEST Archives
Builders observed that, generally, use of the archives they maintain appears to be low. This may be indicative of the role of shared print collections as "just in case" copies. However, Builders express concern that this might also be a function of metadata- and system-related barriers to discovery. For example, one Builder notes that while their WEST holdings are attached to the shared print second symbols (in order to clearly indicate to other members that those materials are WEST), they do not share via the second symbol, so a requesting WEST member must know this and request that same material via the Builder's main symbol. This could be an example of a barrier that may impede use of the WEST collection. In the case of another Builder, if a WEST user were to request an archived title from that Builder's primary symbol, their request would be automatically denied because the Builder lends journals only from the second shared print symbol. Overall, discussion indicated that a reassessment of WEST access policies, practices, and documentation may be advised to ensure consistency and predictability.

Other topics raised while discussing use of WEST archives:
- Whether the designation of WEST materials as building use only might not impact the number of requests and usage.
- WEST policies on charging. One Builder observed that their ability to handle potential increases in use would be dependent on their ability to continue to charge as needed for the service.[12]
- For some Builders, gathering and reporting usage statistics for their WEST holdings continues to be challenging and unclear.

What is working well in the validation standards and archive creation process? What challenges do Builders encounter?
Builder participants in one focus group echoed the value of working to improve the records and noted also that the archive creation process (calling for holdings and bringing in gap fills) facilitates communication with other WEST institutions. Builders feel that the validation standards and supporting documentation are generally working well. The extent and detail of WEST's standards provide valuable and effective guidance.

At the same time, Builders identified several areas where WEST's archive creation process and validation standards might be improved:
- While WEST's disclosure and validation standards are highly developed, there are small ambiguities and potential contradictions that Builders have noticed, which could benefit from reassessment and potential revision. Furthermore, over time, WEST has affirmed certain interpretations of the validation standards, which should be included in the official documentation for reference.
- Overall, the organization and curation of documentation supporting archive creation could be improved (the California Digital Library hosts a Confluence wiki that is used for information sharing, but it is not the easiest space to access or navigate and some documentation is scattered between the wiki, the WEST website, and local folders).

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[12] WEST's access model relies on existing policies and practices, meaning that WEST archivers follow their local policies when it comes to any charges related to lending WEST items.

- It would be helpful to provide the option and guidance for how to reflect voluntary validation that goes beyond the standard for any particular archive type. For example, if a Builder engages in issue-level validation on some Silver titles, there should be guidance on how to reflect that.
- WEST should consider providing additional recommendations to libraries providing gap-fills (either in response to a call or in the course of ad hoc gap-filling). Specifically, verification on the end of the contributing library that the volumes being sent for gap-filling are indeed complete.
- Again, Builders noted the challenge of managing metadata as part of WEST workflows – extracting it, updating it, and submitting it to various platforms to expose archived titles.
- Builders also noted the intensive work of identifying all related titles within a journal family is a challenge.
- One Builder observed that response rates to the calls for holdings have been very low in their experience and, in general, there may be a need to raise awareness of and reinvigorate enthusiasm across the membership for answering calls and participating in the archive creation process through filling gaps with the Archive Builders.

Archive Builders and Scarce/Last Copies
Finally, Archive Builders reflected on whether their institutions would be willing to consider housing last or scarce copies of journals not already held in their facilities or associated libraries. Builder respondents expressed openness to the concept, but commonly reported that the journals in question would need to fit within their institutions' established collection development scope or plan. Respondents also agreed that central oversight and standards would need to be in place to affirm the "scholarly value" of the content in question and what information the receiving institution would require in order to review and ultimately accept the deposit of a last or scarce copy.

Builders also expressed some concern that an open invitation to deposit scarce or last copies could be challenging given the rapidity of many journal deselection projects: offering libraries may not be able to wait for Builders to review lists and make decisions. Further, Builders noted that there would be additional resourcing questions to consider – accepting last or scarce copies entirely new to their institutions would not only require space and review of the physical pieces, but also staff effort to catalog the materials.

Somewhat related to the discussion of last and scarce copies of journals, one of the Builders raised the possibility of addressing special or distinctive collections in the future. Since those areas are highly developed and will be maintained anyway, could a category of the WEST archives be defined for this type of collection, which might require more restrictive access standards and a different approach for selection?

7   Appendix 2

7.1   General WEST Member Focus Groups Report

Three general focus groups took place during the 2019 WEST Assessment. Focus group participants were initially identified from the pool of survey respondents that indicated they would be willing to take part in additional WEST studies. A total of 10 individuals from 9 different institutions took part in the three focus groups.[13] Participants represented a range of roles (including deans, directors, collections leaders, resource sharing specialists, and technical services experts), as well as a healthy mix of Archive Holders and Non-archive Holders. Similarly, participants represented a combination of full and supporting members. Each focus group started out with an outline of similar topics, but the time devoted to each topic varied between focus groups. Topics covered during discussion included:

- Value of Participation, Member Roles, and Cost-sharing
- Resource Sharing
- Potential New Services
- Local Deselection Workflows

All three focus groups began with the question:

What do you envision for the future of shared print collaborations?

> There's going to be discipline differences in terms of how the arts and humanities and sciences make use of those print resources and we need to have that kind of distributed network of institutions, being able to share the resources that they've already acquired as part of their collections, because there's just so much information out there that no one institution can keep it all.

In addition to the quote above, focus groups participants expressed a general sense of the importance of shared print, as well as a desire to learn more and stay informed in order to "…figure out how to do this the best possible way" or become more involved in the future. In other cases, respondents cited the importance of having a complete print copy for reference against digital collections, an opportunity to reclaim space against reliable print copies, and the essential role of discoverability in the future of shared print. Several respondents also emphasized their commitment to collaborative partnerships as answers to current environmental factors such as budgetary or space restrictions.

> Our collection budgets aren't growing like they used to. And because of that, I want to be able to use shared print collections as a way to ensure that with a group of partners, we are covering, you know, just as much as possible.

Value of Participation, Member Roles, and Cost-sharing
When discussing participation or their roles in WEST, a general desire emerged to be more involved or aware of different means of maximizing membership in WEST. Multiple participants expressed an interest in participating more by contributing materials to complete the archives.

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[13] The number of participants per focus group varied from 3 to 4 individuals.

Two of the focus groups considered whether all academic libraries share a similar responsibility to ensure the preservation of the print record. Responses expressed a sense of overall responsibility, while also acknowledging the different roles that libraries play in these collaborations based on their local missions and resources. Participants noted that libraries might contribute to the overall effort through their membership fees, technological expertise, collections and space, or through outreach. In general, participants felt that libraries of different types and sizes have a role to play in shared initiatives like WEST. Whether it is based on ability to contribute financially or programmatically, participants generally supported the concept of proportional contributions.

Participants in all three focus groups were asked to reflect on the current model of member types (full and supporting) and share their reactions to it – what resonated and what might be missing. During these discussions, focus group participants identified a potential disconnect between members classified as full or supporting based on expenditures and their actual levels of participation or desired participation. On one hand, some full members expressed that they felt their participation level in WEST did not reflect their designated membership type (based on total expenditures). On the other hand, one participant noted that supporting members, who are not eligible to participate in collections analysis or to receive proposals may have valuable collections and the desire to participate by accepting proposals resulting from program-driven collections analysis.

Participants in one of the three focus groups discussed the specific possibility of taking a member's participation as an Archive Holder into account when developing the WEST cost share. The discussion of this revealed two main points:
- Discounts for those who are engaged in the ongoing storage and provision of access to WEST collections is a sensible approach to consider
- Offering a kind of discount for Archive Holders may also be an effective incentive to increase participation as Archive Holders

Resource Sharing
Over half of respondents to the WEST survey indicated that the value of access to the WEST archives is primarily based on a "just in case" model. In the focus groups, participants were asked about whether they agreed that shared print collections serve as "just in case" resources. Most participants did agree that shared print collections generally fill that role; however, there were some interesting nuances to the responses. Common themes that emerged:
- An emphasis on the shared print copies serving as a necessary reference for digital copies
- WEST collections as the "insurance policy" against necessary deselection projects
- While the current thinking may be focused on a "just in case" scenario, some participants observed that increasing space pressures may change that in the future

On the last theme, one participant observed that while shared print collections were originally conceived of as "just in case" resources, their role may be evolving:

> I think that's how they started, at least in my mind. And I think they're turning into something else now. I think there, again with space issues, not to belabor that point, but I think if discovery improves… it can turn into something much, much grander than just in case.

Further conversation around WEST and resource-sharing revealed ongoing interest in enhancing

discoverability of WEST titles, but not necessarily if that would detract from the resources devoted to WEST's primary goal: archiving and the preservation of print titles.

As observed in the Archive Builder focus groups, participants in the general focus groups raised the topic of the second symbol and its role in WEST's access model. One participant shared that, while WEST holdings are attached and lendable through her institution's second shared print symbol, no requests come in through that symbol. The archives are still being used, but only through requests on the main symbol. This represents yet another variation in how the second symbol features in WEST's lending ecosystem.

Potential New Services
Focus group participants considered potential new services for WEST, including digitization of print-only titles, prospective shared print, and enhanced resource sharing mechanisms for existing shared print materials.

For the digitization of print-only titles, participants suggested that use would be a compelling means of prioritizing print-only titles for digitization. Additionally, the rarity or uniqueness of a print-only journal could also be an important factor in determining prioritization for digitization. Other comments in the discussion surfaced the possibility of leveraging local digitization infrastructure or projects already in place, depending on whether WEST pursued a centralized or distributed digitization project.

Participants also considered the potential for prospective shared print (or collaborative collection development) projects under the umbrella of the WEST program. Focus group participants described a range of personal experiences with such projects, from the more passive awareness of the collecting habits of other libraries in their specialty areas, to very active collaborative collection development agreements with other institution in their region or state. Some areas of prospective shared print opportunity noted during these discussions:
- Collections where libraries have explicitly committed already to collecting comprehensively or being the institution of record
- Development of shared infrastructure to facilitate libraries' awareness of who is actively collecting what
- Active coordination and oversight would likely be more compelling and actionable (meaning, participating libraries would otherwise be concerned about material "falling" off the system)
- It is a natural progression for WEST and further reinforces the mission of preservation by facilitating diverse, and potentially niche, collecting through active collaboration (guards against hard cost-benefit decisions of collecting where immediate use is not apparent)

Participants in all three focus groups considered the relative priority of the following activities for WEST:
A. Digitization of WEST print-only titles
B. Prospective shared print projects
C. Enhanced resource sharing mechanisms for existing shared print holdings
D. Archiving more titles (including validation and consolidation as appropriate – WEST's current primary activity)

Responses to this question varied across focus groups. All participants reaffirmed the primacy of "Archiving more titles" as WEST's core activity and one that should not be adversely impacted by the pursuit of other projects.

Where the three focus groups diverged was in discussing the prioritization of activities beyond archiving more titles. One focus group affirmed that "Digitization of WEST print-only titles" as the top priority along with archiving more titles. This appeared to be the case partly because digitization, when done well, represents a contribution both to access and preservation. In the other two focus groups, participants tended toward prioritizing "Enhanced resource sharing mechanisms" over pursuing digitization of print only titles. This tendency echoed the ongoing theme in the focus groups of maximizing WEST's archives by ensuring discovery and access. One participant, expressed a preference for prioritizing "Prospective shared print projects."

Local Deselection Workflows

Finally, one focus group discussed local deselection workflows and the impact that WEST collections have on decisions to reallocate space. Three of the four participants in this focus group described factoring WEST archives into local deselection projects. The fourth participant joined the discussion from an institution that generally does not engage in deselection projects.

> We were quite a bit more likely to look at stable electronic access first before we looked at reliable shared print archiving in making deselections decisions because we were concerned about immediate accessibility. But as space constraints got tighter and tighter and stable electronic access was not adequate we used a combination of WEST archival status with age of material and the completeness of our local holdings, as well as their circulation history. So WEST was not considered adequate for deselection automatically, but if it was archived in WEST and, also, it met some other criteria that indicated to us that it was not something that was going to be in heavy demand, then that's when we would deselect.

Both use and electronic availability factored strongly into deselection decisions. Participants also looked at WEST archived titles, but were not making distinctions by archive type (Bronze, Silver, or Gold). It seemed to be more important that the material had been actively retained and would be accessible over the long term by virtue of the WEST agreement. One participant described this as the developing culture of depending on "access" versus "ownership". Another participant more generally examined the availability of titles through ILL partners, not only through WEST, thus ensuring that the titles would be available to their institution from multiple ILL partners.

Deselection decisions as described by this focus group's participants emphasize further the importance of WEST's objective of ensuring access. The prevalence of electronic access as common criteria for deselection also argues for prioritizing digitization projects that further fulfill WEST's objectives of preservation, access, and facilitating deselection.

8 Appendix 3

8.1 Assessment methodology

Assessment planning, implementation, and reporting took place over the course of the calendar year of 2019. The Operations and Collections Council (OCC) began the planning period by crafting an assessment plan, complete with proposed themes, objectives, instruments, and outputs. That plan was reviewed and approved by WEST's Executive Committee before instrument development began. The primary instrument was the general survey for membership feedback. Based on the themes and objectives laid out in the assessment plan, the WEST Project Team worked closely with California Digital Library User Experience (CDL UX) staff to develop questions and survey logic. The OCC provided oversight and ongoing feedback to refine the survey. The Executive Committee also provided feedback specifically on sections targeted to WEST Directors. The survey was tested by the WEST Project Team, CDL UX staff, and volunteers from the OCC and Executive Committee.

WEST Directors and Primary Contacts were invited to complete the survey, which divided into different branches of questions depending on the role of the respondent. Each WEST member could submit up to two responses depending on whether their Director and Primary Contact each submitted a response. The survey was open between June 17 and July 22. Two responses were submitted after July 22 by special request.

The survey was built by CDL UX staff using SurveyGizmo®, a tool available to WEST for free based on the administrative host's (CDL) subscription. The tool supported testing with a commenting feature. While the tool's reporting and visualization features proved extremely helpful in the initial review of results and the determination of how best to visualize them, results were exported so that tables and visuals could be further refined using Microsoft Excel®.

Archive Builder and general focus group questions were initially derived during survey development. All focus group sessions were conducted remotely using Zoom Video Conferencing. Builder focus groups took place in August before survey results were fully analyzed. General focus groups took place in September after analysis was mostly completed and partly reviewed with the OCC. Focus groups were conducted on the basis of maintaining anonymity of participants. Recordings and transcripts were analyzed by WEST Project Team staff only and originals are maintained in a restricted CDL folder for a defined retention period. After that period, reports and analysis notes will serve as the resources of record.

Assessment also included analysis of WEST deselection statistics and "what's left to archive" based on data gathered during WEST's 2017-2018 collections analysis. Results from those analyses are reported separately.