



2019 WEST Program Assessment and Strategic Planning Outcomes

January 2020

Sound and Visual Check

Can you hear the presenter?

(please note any audio issues in the chat)

Meeting Agenda



- I. Welcome
- II. Brief Program Refresher and Updates
 - I. Refresher
 - II. Archiving
 - III. WEST and Rosemont
- III. 2019 WEST Program Assessment and Strategic Planning Outcomes
 - I. Overview
 - II. Key findings & Next steps
- IV. At a Glance: WEST Priorities and Groups for 2020 and beyond



WEST Refresher

Archiving Progress

WEST and Rosemont

BRIEF PROGRAM REFRESHER AND UPDATES

WEST Refresher

What we do

Collaborate across the western regional United States to build a shared, retrospective print collection of journals.

Our objectives:

- Preserve the scholarly print record through distributed retention commitments and targeted consolidation of journal holdings
- Provide access to retained materials
- Create opportunities to reallocate library space

How we do it

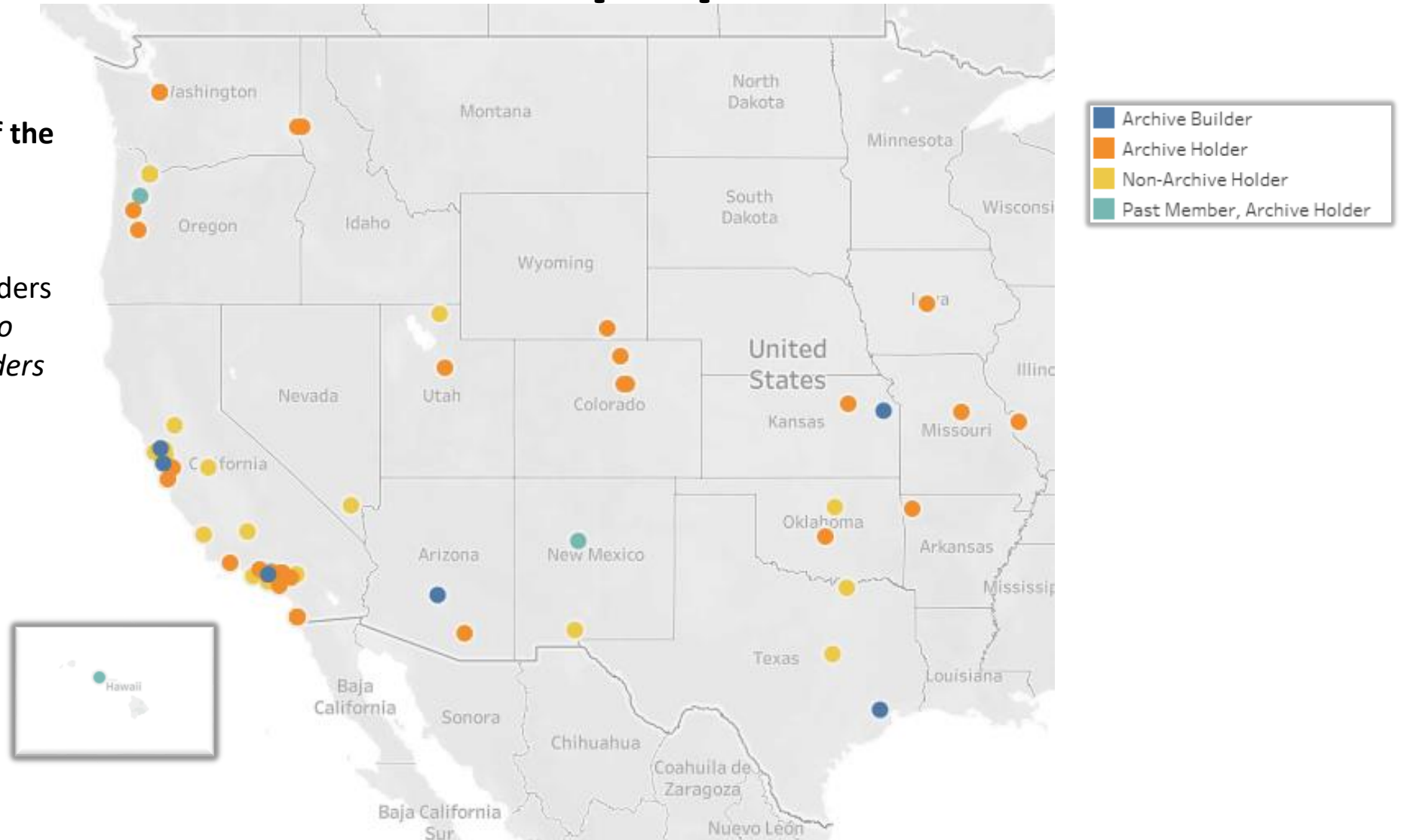
- Analyze our collective serial holdings using WEST's custom-built decision support tool, AGUA, to identify titles for retention
- Target our effort and resources based on risk for loss of content:
 - Higher risk titles are physically validated and consolidated in optimal storage environments
 - Lower risk titles are retained in-place as they are
- Explicitly record the retention in the local metadata for the titles; disclose what has been retained internally to WEST members and through public registries
- Provide tools for local decision-making and comparison against WEST-retained titles
- Collaborate with the wider community to develop policies, practices, and technology that support the responsible management of our collective

Who we are:

Membership update

66 institutions west of the Mississippi

- 6 Archive Builders
- 33 Archive Holders
- 27 Non-Archive Holders
- 5 Past members who remain Archive Holders



Archiving Progress

Cycle 8 Archiving

FY2018/2019

Disclosed Spring 2019

Total Unique Titles:

Bronze: 454

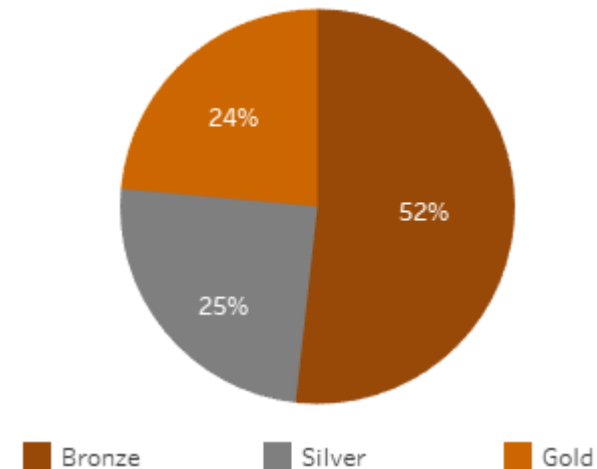
Silver: 769

Gold: 786

Cycle 9 in Progress

Disclosure in Spring 2020

Total Archiving



Total Unique Titles:

Bronze: 15,318

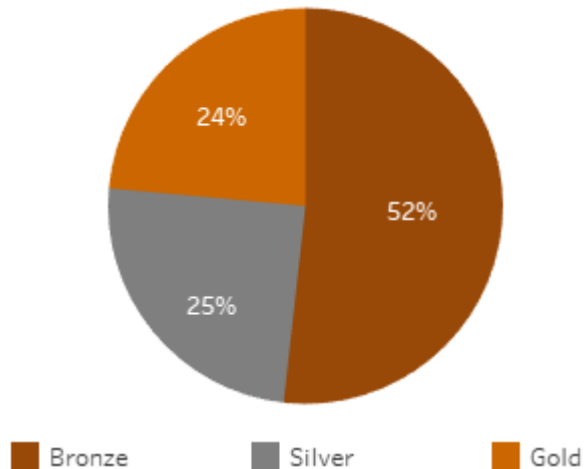
Silver: 7,425

Gold: 7,076

Total: 29,819 titles

What's left to archive

What's been archived:



Total Unique Titles:

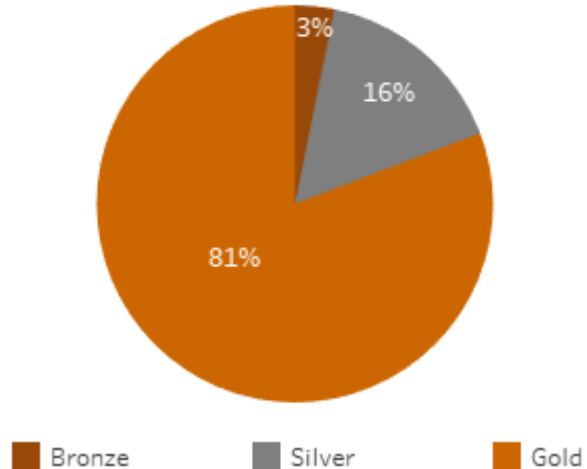
Bronze: 15,318

Silver: 7,425

Gold: 7,076

Total: 29,819 titles

What's left to archive:



Total Journal Families:

Bronze: 670

Silver: 3,369

Gold: 16,987

← Over 25x more than Bronze

AGUA Development Update



- Phase 4 highlights
 - New holdings ingest process and location review
 - Local call number added to reports
 - Enhanced journal family matching

Thank you to testers!



- Christina Hennessey
- John De La Fontaine
- Wen-ying Lu
- Nancy Hunter
- Richard Jackson
- Andy Kohler
- Greg Yorba
- Susan Boone
- Denyse Rodgers
- Carol Boyse
- Deborah McCarthy
- Vitus Tang
- Deborah Kulczak
- Sion Romaine
- Natalee Vick
- Debra Spidal (x3!)
- Ryan Finnerty
- Marcia Barrett
- Jodi Haire
- Lynne Grigsby
- Jian Wang
- Allison Yanos
- Joel Smalley
- Karl Pettitt



WEST and Rosemont



The Vision: To ensure the preservation and availability of print journal literature.

The Mission: To collaboratively develop, manage and coordinate the identification, retention, registration, discovery of and access to a shared, distributed collection of print journals in the United States.

Member Programs

- BTAA
- EAST
- FLARE
- Scholars Trust (ASERL & WRLC)
- WEST


What happened in 2019

- Decision support service explorations
- Reciprocal retentions
- Last Copy Agreement & Transfer Guidelines
- OCLC/CRL Mellon-funded grant to enhance shared print infrastructure (registration, shared print API)
- Rosemont-retained title analysis

What's coming up in 2020

- Last Copy Initiative
- Decision support service and analysis
- Shared policies (metadata, validation, condition)
- Collaboration with other programs like the Partnership for Shared Book Collections
- Expanding communication

QUESTIONS AND COMMENTS



Overview
Key findings
Next steps

2019 WEST PROGRAM ASSESSMENT AND STRATEGIC PLANNING OUTCOMES



Assessment and strategic planning as an ongoing, collaborative process

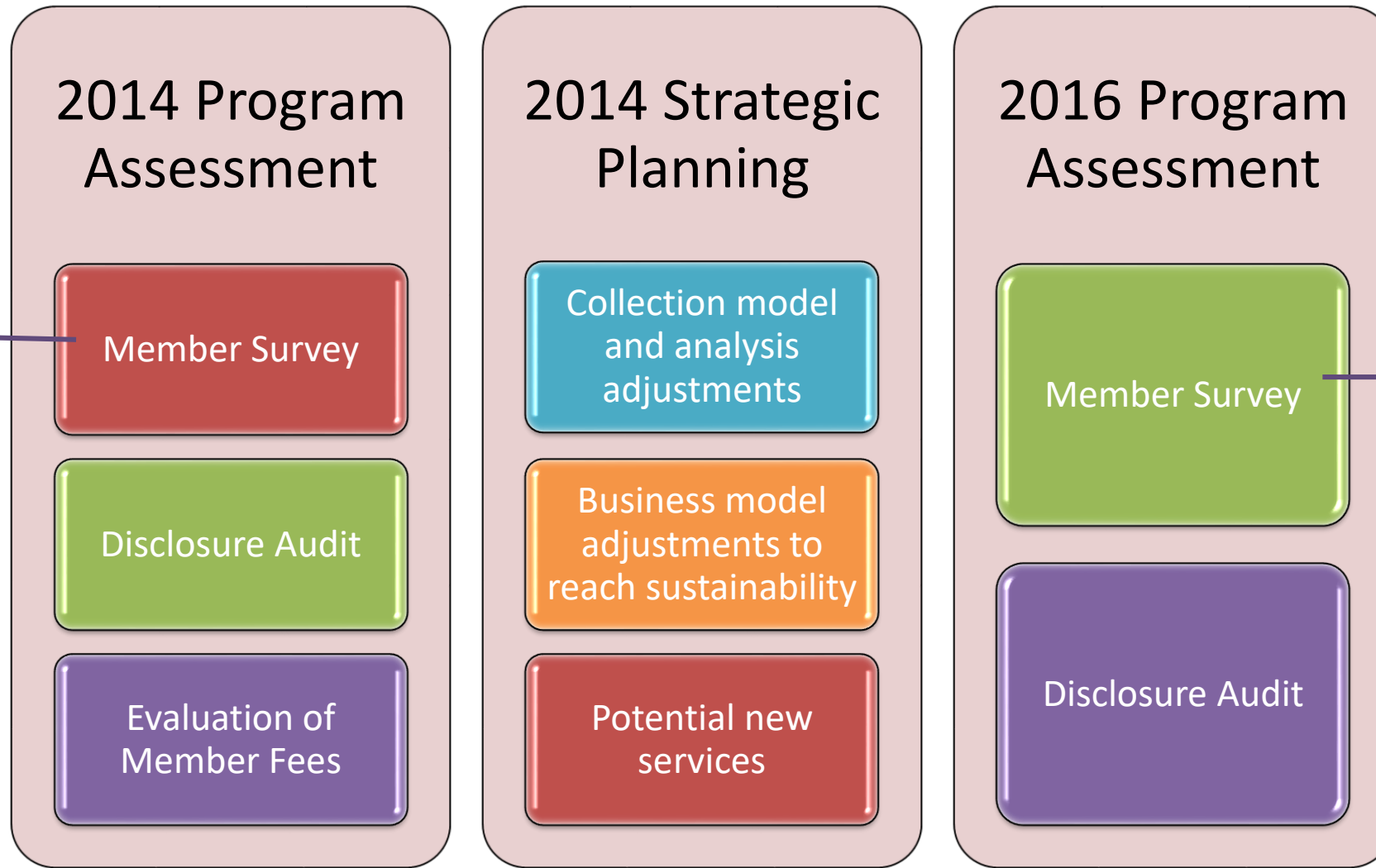
Questions, comments, reactions at any point throughout

Past Program Assessments

(supported by Phase 2 grant funding)

Themes:

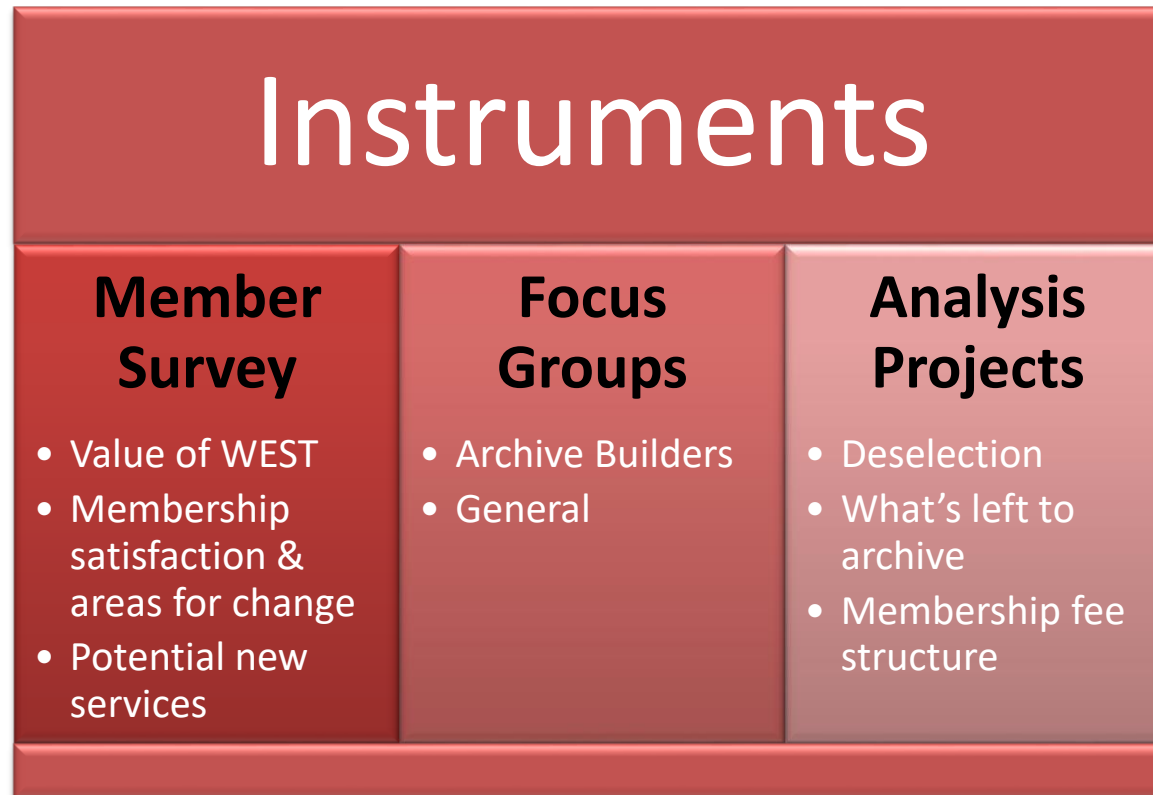
- Value of WEST
- Areas for change to the current program
- New directions and services



Themes:

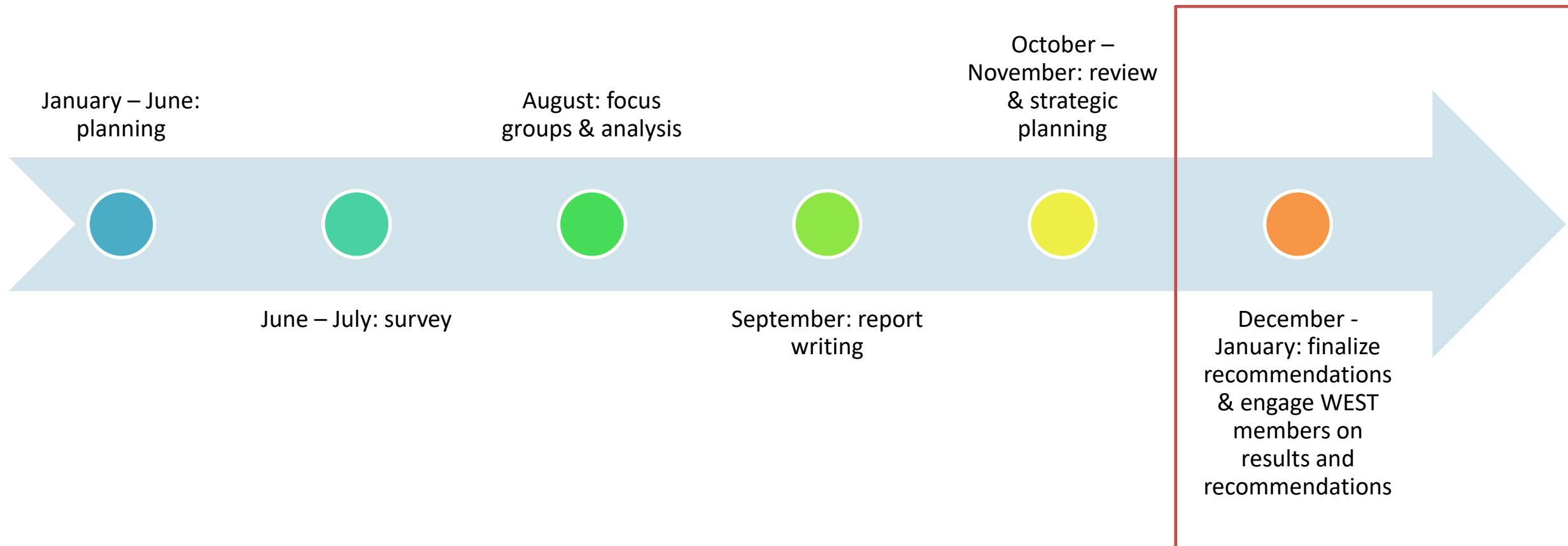
- Value of WEST
- Satisfaction with existing services and possibilities for change
- New journal archiving services

2019 Program Assessment



Not looking at disclosure rates this time around...

Timeline



2019 Assessment – Key Themes



- Value of WEST
- Membership Satisfaction and Areas for Change
- Potential New Services
- Archive Building

Assessment

Value of WEST

Co-investment

Communication

Existing Services

Access

Disclosure

Deselection

Collections Model

Potential New
Services

Archive Building

What's Left to Archive

Findings (brief)

Preservation is most important objective to members

Membership type and total collections expenditures are relevant
criteria for cost share

Members favor active communication

Active archive creation, collections analysis, and collection
comparison reports rate as the most important services

Members generally view WEST archives as “just in case” / Lack of
clarity around lending/borrowing guidelines and practices

Disclosure in national registries is most important in the long term

Deselection from Silver and Gold categories appears to be gradually
increasing

Members value distribution of archive

Digitization remains important potential new service to members,
but the primary work of archiving should not be impacted

Further distribution of Archive Building may be valuable

Ongoing storage is less of a concern than maintaining metadata

There are areas of the archiving guidelines and policies that should
be expanded or refined

Strategic Recommendations

1. Articulate vision, mission, and
guiding principles

2. Restructure website

3. Allow Bronze archiving to slow,
consider new ways to expand
collective archiving efforts

4. Recruit 2-4 additional Archive
Builders

5. Working group to explore expanding
WEST's scope beyond journals

6/7. Maintain WEST's budget;
establish a program reserve fund

8. Reissue WEST's cost share; convene
Member Advisory Group to provide
input and oversight

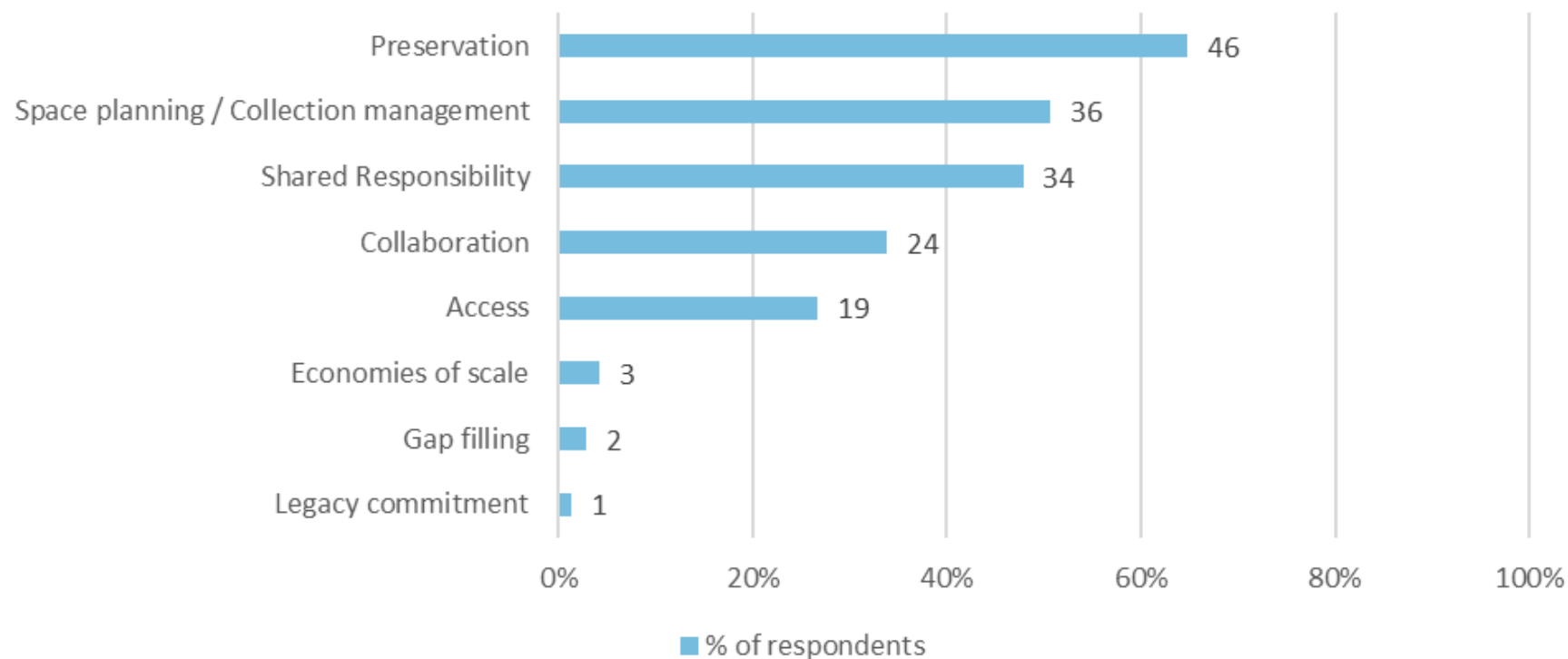
9. Review and revise WEST's
borrowing, lending, and lending
statistics guidelines

10. Review and revise WEST's
disclosure and validation standards



Findings – Value of WEST

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



Preservation was the most commonly cited reason for participation, but space planning, the importance of collaboration and shared responsibility, and access were also commonly cited reasons.

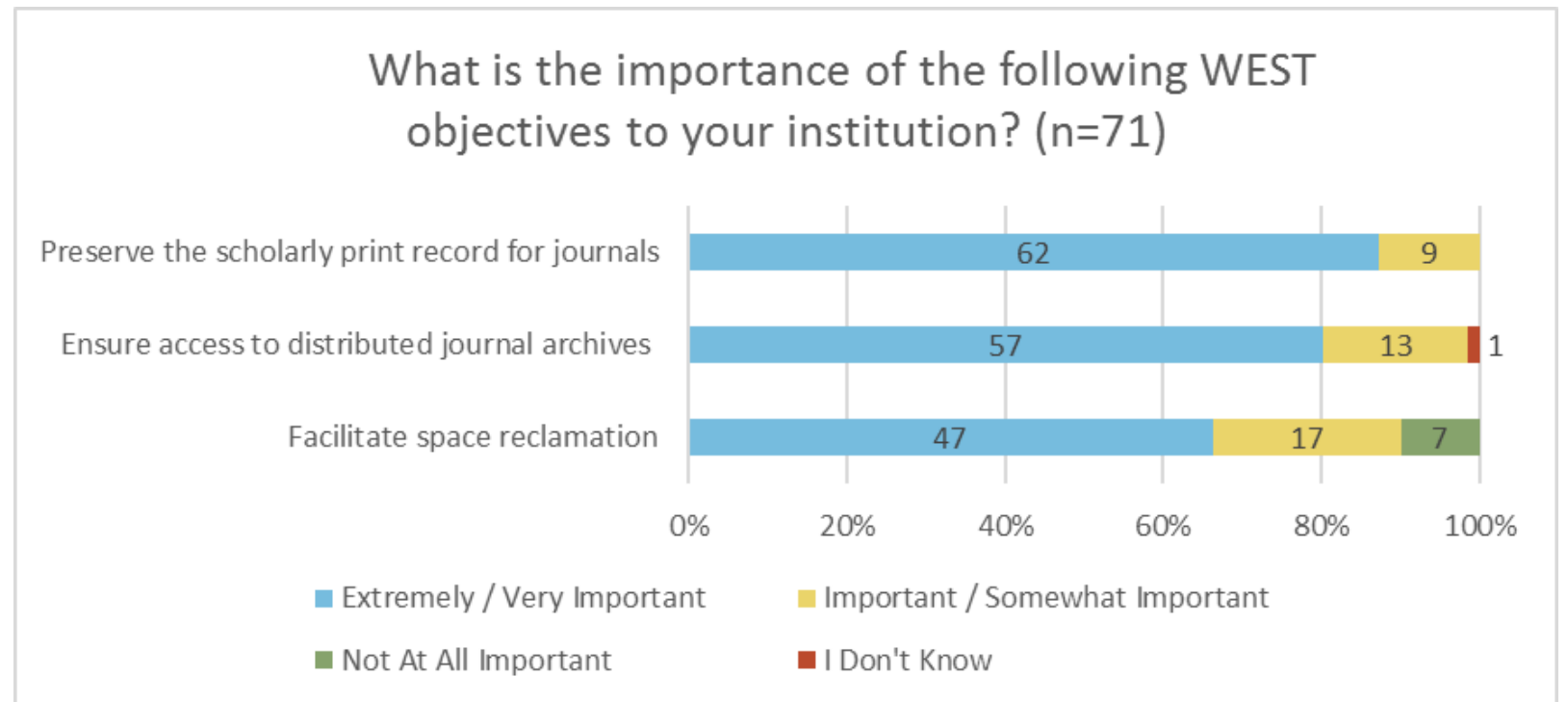
Most importantly because we are committed to the preservation of the print record.

- *Director, Non-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*

WEST's three primary objectives continue to be extremely or very important to members, but preservation remains the most important of those objectives.

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



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

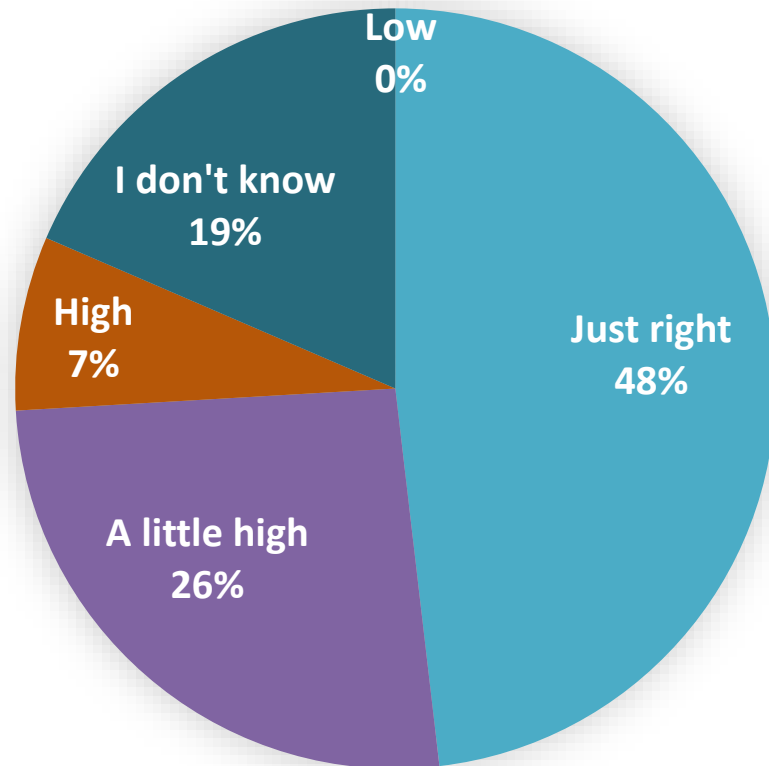




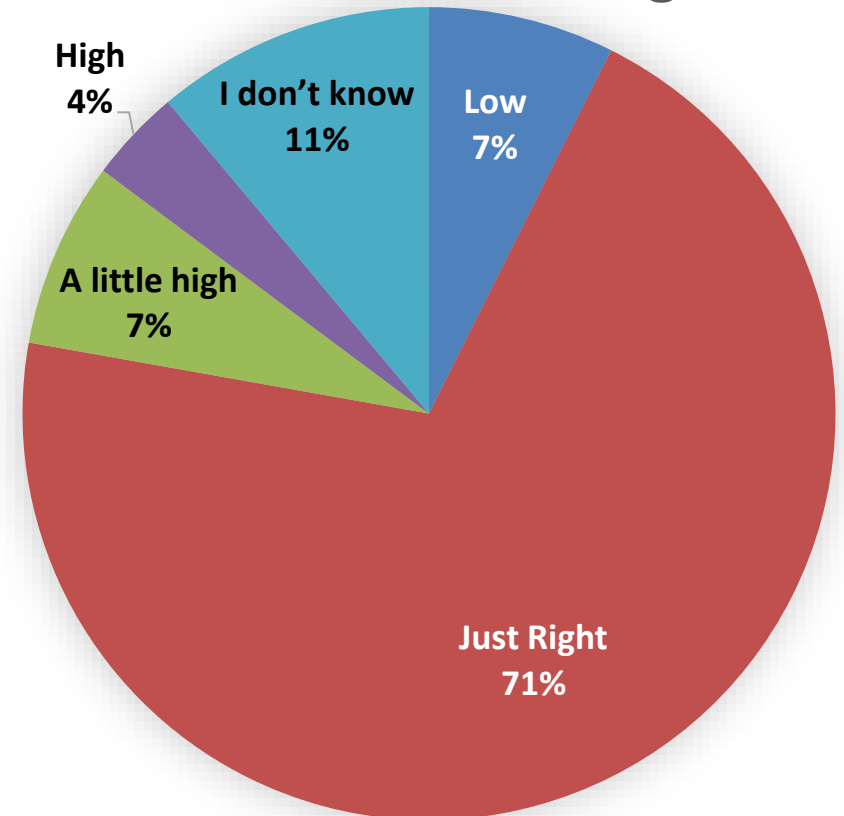
Findings – Member Satisfaction and Areas for Change

Co-investment

Based on the value gained, members reported feeling that their fees are:



Time & resources devoted to WEST activities based on value gained



Co-investment

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

- ✓ Current cost share model: IPEDS Total Library Expenditures define how members are categorized into tiers
- ✓ Criteria of most interest per the survey – type of membership and library materials expenditures
- ✓ Survey comments and focus group discussion also indicated:
 - ✓ The type of institution is of interest as well (R1, etc.)
 - ✓ There may be a disconnect between how members are categorized into types and members' desire to participate

Communication

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 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*

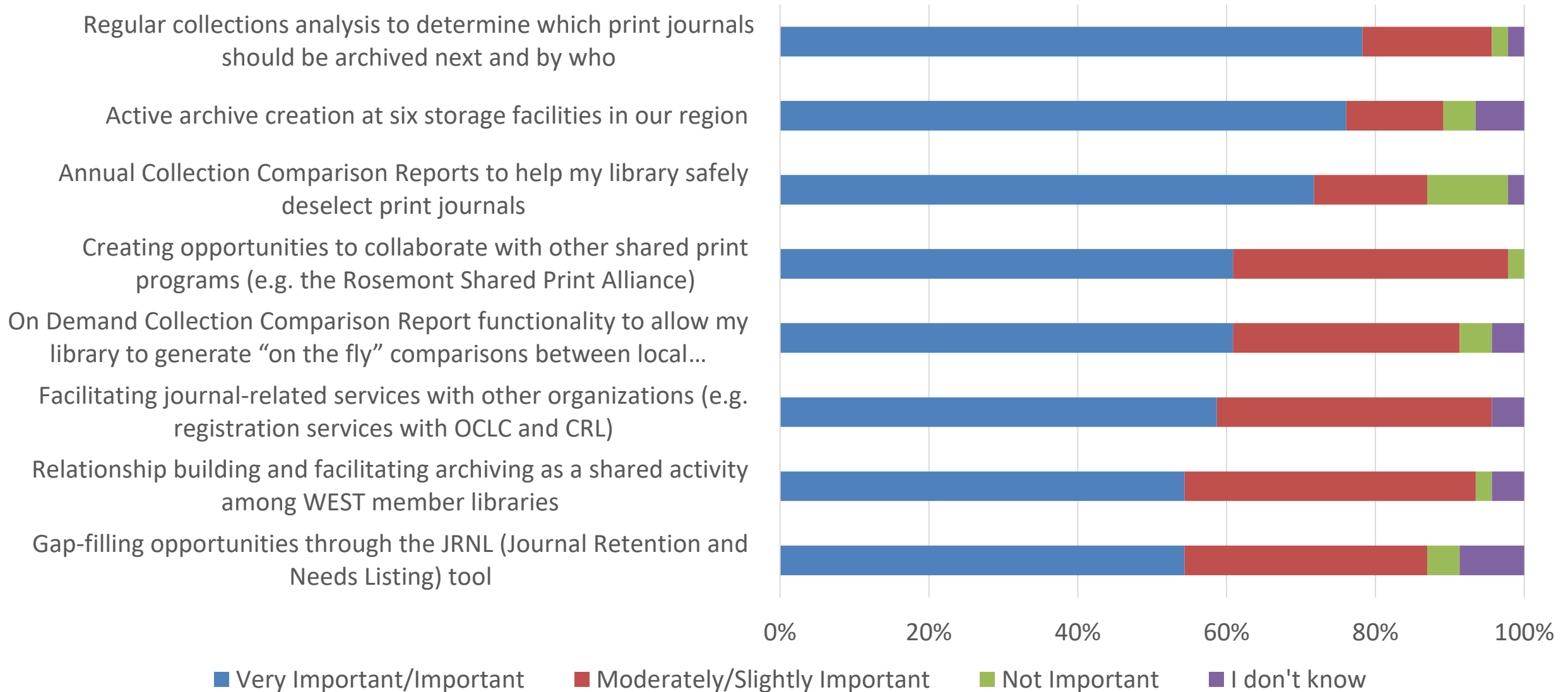
“Other”/what else would members like to see?

- Annual financial statements
- What other libraries are doing to maximize membership
- Generally, making metrics and statistics more findable for WEST
- How many libraries are contributing to WEST archives and how many volumes are contributed
- Improved WEST usage statistics

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

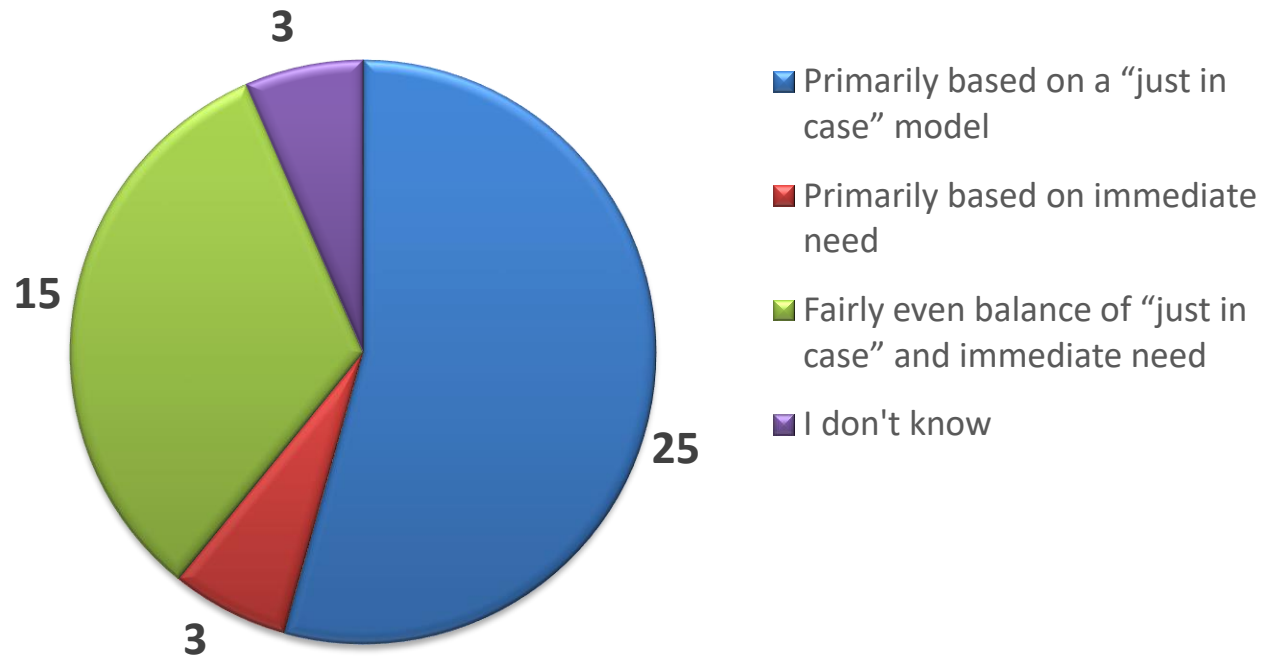
Services and Reports

Please rate the importance of the following WEST services and reports



Access

Select the statement that is most true. "For our institution, the value of access to the WEST archives is..." (N =46)



How WEST could consider better supporting future access needs (common open response answers):

- 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)

Deselection

- ✓ 83% of respondents report either having deselected in the past two years or planning to deselect over the next 2-5 years.
- ✓ Only 9% of respondents indicated that they plan to complete deselection over the next 2-5 years.
- ✓ About 80% of respondents report taking WEST archives into consideration when deselecting (16% do not and 5% do not know)
 - ✓ For those who do take WEST archives into consideration the vast majority are not taking archive type into account (Bronze)
- ✓ The majority of those comparing to WEST archives are finding the content they wish to deselect has been archived
- ✓ The most important criteria in deselection is electronic access

Deselection

Analysis of WEST deselection statistics from Cycles 2-7 indicate:

- ✓ The majority of deselection, where specified, falls under the archive type Bronze (titles preserved in Portico, CLOCKSS, JSTOR)
- ✓ Deselection falling under the archive types Silver and Gold is gradually growing
- ✓ Ratio of volumes to titles has decreased over time (early deselection of “low hanging fruit” and common, long runs)

Disclosure

Where should WEST archives be recorded 10 years from now?

Service	
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%

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*

Collection Model




- ✓ In principle, WEST members agree that it is important to distribute the archives
 - ✓ However, members do not believe that the majority of WEST members have an obligation to serve as archive holders (85%)
- ✓ Members remain satisfied with intentional in-place retention (low risk material retained in open stacks)
- ✓ Less than half of members think that all shared print should be stored in closed stacks

Collection Model

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

What's left to archive?

Analysis

- 
- ✓ WEST has made significant progress in archiving Bronze and Silver journal families in the membership
 - ✓ WEST could “finish” Bronze in the next two cycles
 - ✓ What next?
 - ✓ Some Builders are coming to the end of their Silver journal families as well
 - ✓ WEST has archived a great deal of the medium-high overlap journal families in the membership; the majority of the remaining journal families are Gold with overlap of 10 or fewer copies across WEST



Findings – Potential New Services

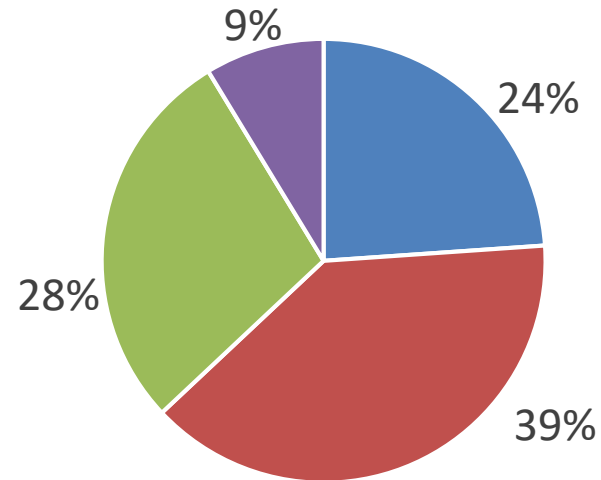
Digitization continues to appeal the most to members as a possible new service

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

When discussing potential new services, participants in both general focus groups 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.

Prospective Shared Print

Please select the following statement that is most true:



- 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



Findings – Archive Building

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.

- ✓ Value associated with WEST's three primary objectives: preservation, access, opportunities to reclaim space
- ✓ Reviewing local holdings in detail and building complete runs of journals

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
- ✓ The per volume subsidy supported by WEST member fees continues to be an important aspect of how Builders resource the significant work that goes into building validated, complete archives of higher risk titles

Looking into the Future



- ✓ Builders see potential value in recruiting additional institutions to serve in the same capacity
- ✓ Ongoing maintenance of the physical archives is less of a concern than maintaining and disseminating associated metadata
- ✓ Currently, borrowing requests for WEST materials is manageable and Builders express an ability to adapt to increased borrowing if they continue to be able to manage access according to their local policies
- ✓ WEST's supporting documentation for archiving is a valued resource, but we have reached a point where review and updates are advised
- ✓ Builders are open to receiving last or scarce copies they do not already own

Assessment Thanks

All WEST members who have made this possible by completing surveys over the past 10 years, submitting annual statistics, contributing their time in 2019 focus group discussions, and generously sharing feedback with the project team.

The WEST Executive Committee and Operations and Collections Council members who guided the 2019 assessment. Members of the governance groups engaged in many a discussion, reviewed multiple drafts of instruments and reports, and tested instruments (and then participated in the survey and/or focus groups!).



Strategic Planning – Outcomes

Structure

- ✓ The WEST Executive Committee and Operations and Collections Council met in-person in Oakland, CA
 - ✓ Program history and reflection
 - ✓ Assessment findings discussion
 - ✓ SWOT analysis
 - ✓ Recommendations



Themes

- ✓ Resilience / flexibility / adaptability
- ✓ Visionary
- ✓ Value
- ✓ Collaboration and the Collective
- ✓ Trust



Recommendations – Program Communication

Recommendation 1: WEST should develop a distinct vision statement, mission, and guiding principles that acknowledge WEST's regionality and highlight its commitment to collaboration at the network level.

Recommendation 1a: Convene a working group of project team staff and governance committee members to develop these components for review with the membership.

Recommendation 2: Assess and update WEST's website, curation of documentation, and communication strategies. Pursue migration from the current California Digital Library-structured site to a more standalone WEST-branded site.

Recommendations – Archiving and Collection Model

Recommendation 3: In the near term (Cycles 10/11, extending through spring 2022), allow Bronze archiving to slow.

Recommendation 3a: Prioritize development/analysis to surface Silver and Gold titles that are invisible because they are not held by any of the six Builders.

Recommendation 3b: Seek out, assess, and tag as appropriate, Bronze titles that have been ‘elevated by stealth’ - that is, Bronze that has received validation at the level of Silver or Gold.

Recommendation 3c: Compare WEST Bronze titles against holdings in other shared print programs to determine overlap and uniqueness, with consideration that unique titles may need additional validation work, even if they are Bronze.

Recommendation 3d: Explore mechanisms that signal and create space for a more expansive and flexible model of archiving participation (taking into account both the framing of new models and incentivizing or refining existing models).

Recommendation 4: Recruit 2-4 additional members to participate in Cycles 10 & 11 analysis as Archive Builders.

Recommendation 5: Convene a working group to take up the question of expanding WEST’s scope to include non-journal formats (analog or digital) and/or to collaborate with non-journal shared print programs.

Recommendations – Business Model and Financial Stability

Recommendation 6: Maintain WEST's baseline annual budget of approximately \$800,000 to continue to support existing program activities and scope. Any new projects or improvements are supported through buffer funds or reallocation of existing funds.

Recommendation 7: Pursue the development of a program budgetary reserve.

Recommendation 8: Reassess and reissue WEST's cost-share model based on inputs gathered from the 2019 assessment and internal analysis.

Recommendation 8a: Convene an advisory group of WEST members to review and provide input on new approaches to WEST's cost share model. Development of models will still sit primarily with the Executive Subcommittee for Membership.



Recommendations – Policies and Practices

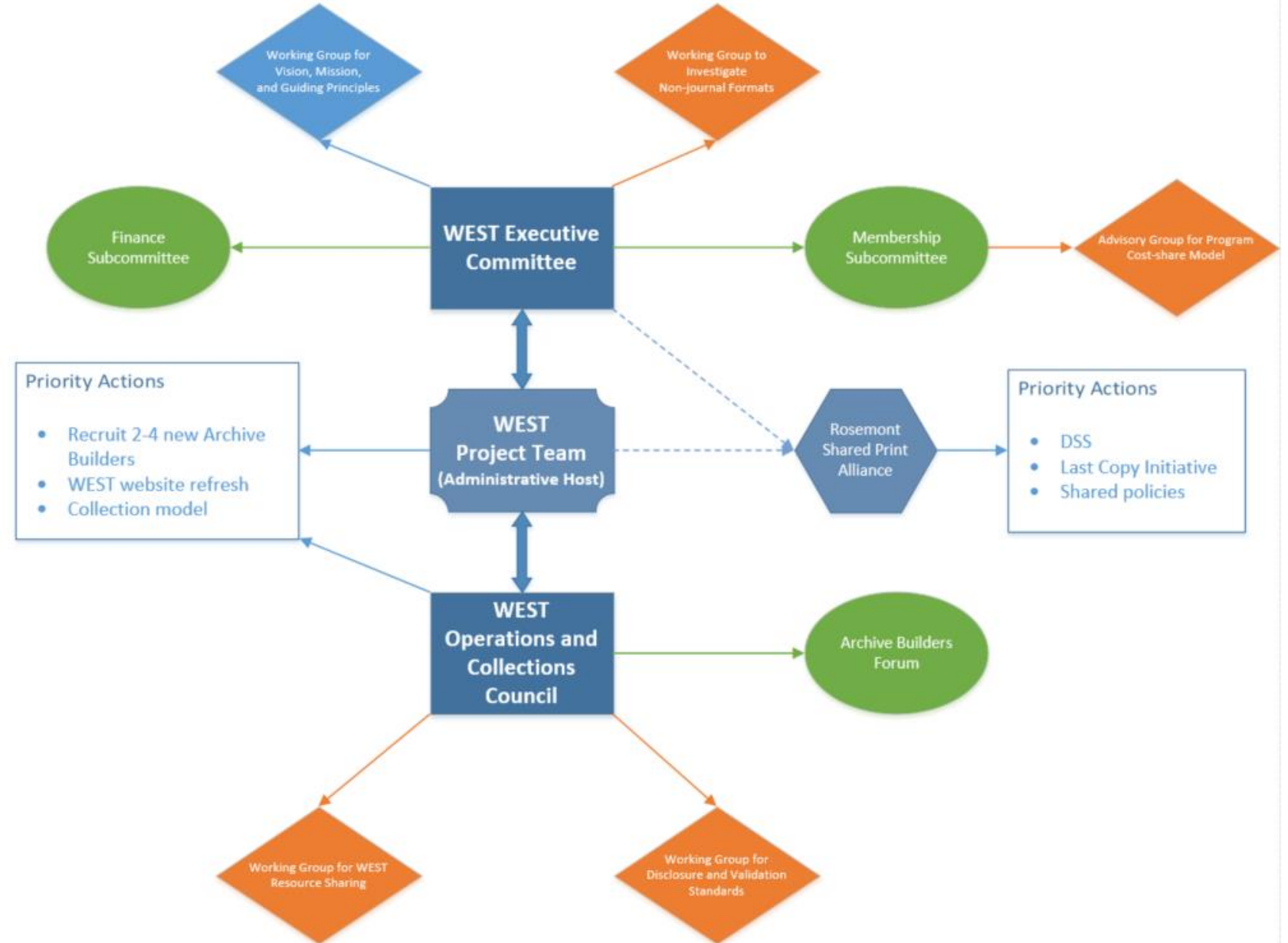
Recommendation 9: Convene a dedicated working group to review and revise, as necessary, the WEST borrowing and lending documentation and lending statistics reporting practices.

Recommendation 9a: Include members of the OCC as leaders for this working group and seek wide participation from WEST members.

Recommendation 10: Convene a dedicated working group to review and revise as necessary the WEST Disclosure Policy and Validation Standards.

Recommendation 10a: Include members of the OCC as leaders for this working group and seek wide participation from WEST members.

Getting involved...



Expressions of interest – email anna.striker@ucop.edu.

Full charges and estimated time commitments forthcoming.

Thank you!

Please stay in touch with your questions and feedback.

<https://cdlib.org/services/consortial-partnerships/west/>

Alison Wohlers

WEST Program Manager

alison.wohlers@ucop.edu

510-987-0095

Anna Striker

WEST Shared Print Operations and Collections Analyst

anna.striker@ucop.edu