



# WEST Guidelines for Replacing or Transferring Archived Titles

*These guidelines build on best practices outlined by national, collaborative organizations such as the Rosemont Shared Print Alliance and the Partnership for Shared Book Collections. For high-level best practices applicable across programs and formats, please visit the Partnership's site [here](#).*

WEST archiving institutions commit to retain archived titles through the agreed upon preservation horizon (December 31, 2035).<sup>1</sup> If, despite best efforts, the unintentional withdrawal of archived materials or unexpected disaster, loss, or damage occurs to retained titles, archivers are responsible for repairing or replacing damaged or lost volumes to make the archives whole again. If repair or replacement are not feasible, transferring the commitment to another WEST member may be an acceptable alternative. If it is necessary to transfer the commitment, the original archiving institution should provide physical volumes for the title to the new archiver in order to fill gaps, extend the backfile, and maintain the integrity of the WEST archives.

Archivers who find that WEST-archived materials have been damaged or lost should refer to the following basic guidelines:

1. Alert WEST Program Staff ([west-staff-1@listserv.ucop.edu](mailto:west-staff-1@listserv.ucop.edu)) that a replacement or transfer is anticipated. Provide a list of titles and volumes concerned.
2. In cases of damage to or loss of materials, if the archiving library holds another copy of the titles/volumes, the preferred action is to transfer the commitment to that other copy.
3. If the archiving library does not hold another copy of the title/volumes, the library should:
  - Follow its workflows and procedures and national best practices for repairing, substituting another copy, and/or replacing the lost or damaged volumes (in the context of WEST, this could involve reaching out to other members who hold copies to replace lost or irreparably damaged volumes); or,
  - If repairing or replacing the lost or damaged volumes is not feasible, determine whether another WEST member owns a copy that is eligible for retention in WEST and seek to transfer the commitment fully to that library (the title now resides with a different WEST archiver). Libraries are not required, but are strongly encouraged, to accept requests for transfer of a retention commitment. Should another WEST member accept the transfer, the original archiver should contribute as many volumes as necessary and as possible to complete the new archiver's backfile and maintain the integrity of the WEST archives.
4. If no other copy is available among WEST libraries, submit a list of the titles and volumes concerned, including OCLC number, ISSN, publication title, and any relevant notes to the WEST Project Team

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<sup>1</sup> Please see WEST's program statement: <https://cdlib.org/wp-content/uploads/2018/11/WESTProgramStatement.pdf>.



([west-staff-1@listserv.ucop.edu](mailto:west-staff-1@listserv.ucop.edu)). The Project Team will facilitate collaboration at the level of the Rosemont Shared Print Alliance to replace or transfer the commitment.

5. Regardless of the disposition of the retention commitment, all libraries involved should update local,<sup>2</sup> OCLC, and any other shared bibliographic records accordingly.

See [Appendix 1](#) for example scenarios and resolutions.

The responsibility for any shipping expenses sits with the original archiving institution seeking to replace or transfer volumes.

If local circumstances make it impossible for the original archiving institution to maintain any part of their WEST commitments, they may modify the above workflow to identify candidate institutions to which the commitment(s) can be transferred. The original archiving institution will only be released from their WEST commitment(s) once they have transferred the commitment(s) and any necessary volumes to another institution.

The primary goal in all circumstances is to ensure that what has been committed remains available to those who may have deselected their local copies against the strength of that commitment. Which method of replacement and/or transfer a library chooses is entirely dependent on what workflows will be most efficient and affordable for the libraries involved. WEST does recommend pursuing an in-program replacement or transfer ahead of leveraging the Rosemont Shared Print Alliance network.

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<sup>2</sup> Currently these workflows for noting deprecated, transferred, or replaced retention materials are under discussion in the shared print community. Until we reach consensus and a formal tracking mechanism is developed, WEST will track internally on amendments to Silver and Gold exhibits.



## Appendix 1: Example scenarios with expected actions

This appendix provides example scenarios to which these guidelines apply in order to convey expectations of Archive Holders and Builders (called “Archive Holder” in this Appendix) during the replacement or transfer process. In all cases, the Archive Holder should update their local holdings in a timely manner to note that damage and/or loss has occurred. Updates should also be recorded in OCLC and should be provided to WEST during the annual disclosure period. Changes may be temporary if the Archive Holder is able to repair or secure replacements for the damaged/lost volumes.

### **Scenario 1:** Minor damage to volumes, Archive Holder has additional copies of some volumes

When the damage is discovered, the Archive Holder alerts WEST Program Staff and updates the local record to note any new gaps in their retained holdings. For Gold materials, Archive Builders also update the condition validation to reflect damage. For volumes that the Archive Holder has in duplicate, the duplicate copy may be moved to the retained holdings and become the archived copy. The Archive Holder repairs the remaining damaged volumes and retains them as the archived copy. If replacement volumes are required, the Archive Holder follows the steps in [Appendix 2](#) to secure contributions from other WEST institutions.

### **Scenario 2:** Loss of select volumes, Archive Holder has no additional copies

When the loss is discovered, the Archive Holder alerts WEST Program Staff and updates the local record to note the new gaps in their retained holdings. The Archive Holder follows the steps in [Appendix 2](#) to secure replacements for the lost materials. The contributed volumes are added to the retained holdings, and the record is updated accordingly. If the Archive Holder cannot secure replacements for some volumes they will alert WEST Program Staff, who will work with the Archive Holder to determine next steps.

### **Scenario 3:** Irreparable damage to / loss of volumes, Archive Holder has no additional copies, is not able to repair damaged volumes, and is not able to secure replacements

When the loss/damage is discovered, the Archive Holder alerts WEST Program Staff and updates the local record to note any new gaps in their retained holdings. For Gold materials, Archive Builders also update the condition validation to reflect damage. If, after following the steps in [Appendix 2](#), the Archive Holder is not able to secure replacements for any lost or irreparably damaged volumes, the Archive Holder alerts WEST Program Staff. WEST Program Staff will work with the Archive Holder to determine if they should continue to hold the retention commitment or if the commitment (and any remaining volumes, if needed to complete the run at the new Archiver) should be transferred to another institution. If it is decided that the retention commitment should be transferred to another institution, the original Archive Holder will maintain their retention record until the commitment is transferred, at which point they will remove the retention note in the local record as well as OCLC. The change in Archive Holder will be reflected in AGUA after the updated records are provided to WEST in the next disclosure period.



## Appendix 2: Checking WEST Partner Holdings

WEST archiving institutions that need to request replacement volumes or transfer their retention commitments, whether due to loss, damage, or other local circumstances, should first attempt to secure replacement volumes or find a substitute archiving institution from among the WEST membership following these steps:

- The original archiving institution should alert the WEST project team as early as possible that archived materials have been damaged or lost, and whether replacements or a transfer of the commitment are being sought. This communication should include the affected title(s) and volume(s).
- If the Archive Cycle in which the archiving institution committed to retain the title is known, the “WEST Holdings for Committed Journals” report available in AGUA may help narrow the scope of which partner institutions’ collections the archiving institution should check. These reports are static snapshots of members’ collections during that past Archive Cycle, but offer a starting point for identifying potential contributors for replacing damaged or lost volumes, or for identifying potential candidates to receive transfers.
- If the Archive Cycle is not known, or if the holdings included in those reports are not sufficient to replace lost/damaged materials or support transferring the commitment, a list of current WEST member institutions is available on the WEST website: <https://cdlib.org/west/about-west/west-membership/>. This list includes members’ archiver status, and can be used in conjunction with established national union catalogs such as OCLC WorldCat or FirstSearch to identify potential candidates to receive transfers.
- Once a potential contributor or candidate to receive the transfer is identified, holdings should be double checked in the institution’s local catalog. The local catalog is considered the most authoritative representation of the member’s current holdings.
- After an ideal potential contributor / candidate to receive transfers is identified, the original archiving institution should communicate the request and receive confirmation that they are willing to contribute materials or to take on the commitment. If the request is to transfer the commitment, the original archiving institution should confirm that the candidate to receive transfers already has the necessary volumes in their collection, or are willing to receive materials from the original archiver to maintain the original commitment.
- Once the materials or retention commitment have been transferred, both the original archiving institution and the contributor / new archiving institution should update their holdings in local and national outlets as described in the WEST Disclosure Policy.

If no potential contributor / candidate can be identified, email the WEST project team ([west-staff-1@listserv.ucop.edu](mailto:west-staff-1@listserv.ucop.edu)) to escalate the request to the Rosemont Shared Print Alliance.



## Appendix 3: Draft outreach letters

The following templates are examples that archiving institutions may use and modify to fit their needs when requesting contributions of volumes to replace lost/damaged materials or requesting a transfer of the archiving commitment to a WEST member institution.

### Requesting contribution of volumes

Dear WEST member,

As a WEST Archive Holder/Builder, [original archiving institution] takes its responsibility in maintaining the integrity of the WEST archives very seriously. With this request, we are hoping that you will help us with that goal by contributing volumes to replace our original archived copies that became lost/damaged due to unforeseen circumstances. Based on a review of your holdings as recorded in your local catalog/discovery layer, we are requesting the following:

<b>Title</b>	<b>Holdings</b>	<b>ISSN</b>	<b>OCLC Number</b>
Title1	...	...	...
Title2	...	...	...

Please let us know if you have any questions, either about this request or the contribution process, and thank you for your consideration.

Warm regards,  
[signature]

### Requesting transfer of archiving commitment

Dear WEST member,

As a WEST Archive Holder/Builder, [original archiving institution] takes its responsibility in maintaining the integrity of the WEST archives very seriously. Due to local circumstances we are no longer able to maintain our commitments for some of our titles, and are seeking alternative archivers within WEST to take over our



commitments. After reviewing your holdings as recorded in your local catalog/discovery layer, we believe that your institution may be an ideal candidate to take over archiving responsibilities for the following titles:

<b>Title</b>	<b>Holdings</b>	<b>ISSN</b>	<b>OCLC Number</b>
Title1	...	...	...
Title2	...	...	...

[Original archiving institution] is willing to transfer some or all of our volumes to you to help fill in your backfile and create as whole a copy as possible for WEST. Please let us know if you have any questions, either about this request or the commitment transfer process, and thank you for your consideration.

Warm regards,  
[signature]