

WEST Operations & Collections Council

Archiving Proposals Report for the Operations & Collections Council Archive Cycles 10 and 11 August 2020

WEST Operations and Collections Council Archive Cycles 10/11 Archiving Proposals Report

The Operations and Collections Council analyzed the regional journal holdings submitted by WEST members in fall/winter 2019. With this report, the OCC presents the following:

- 1. Overview of the 2020 OCC scope of work
- 2. Recommended Archiving Priorities for Archive Cycles 10 and 11, including:
 - A. Collections Analysis Summary
 - B. Recommended Cycles 10 and 11 Budget Allocations
 - C. Recommended Archive Holder/Builder Distribution and Budget
 - D. Recommended Criteria: Detailed Overview
- 3. Collections Analysis Key Findings and Recommendations

Historically, the OCC has charged a specially convened Collections Working Group (CWG) with the task of collections analysis. In order to reduce administrative overhead and streamline activities, WEST has opted to fold the CWG work into OCC responsibilities beginning with Archive Cycles 8 & 9. Collections analysis typically takes place over a 4-5 month period, during which the WEST Collections Analyst provides the group with detailed analyses of balancing scenarios.

Although summaries are included in this report, the proposed title lists are posted to the WEST website along with this report.

August 18, 2020

WEST Operations and Collections Council

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1. Executive Summary

WEST began its preparation for Archiving Cycles 10 and 11 in the fall of 2019, with the collections analysis taking place during the spring and summer of 2020. In close collaboration with and with significant guidance from the WEST Operations and Collections Council (OCC), the WEST project team has developed a set of high-quality journals proposed for archiving by WEST Archive Holders and Builders during Cycles 10/11. Additional recommendations for next steps for WEST archiving were also crafted with guidance from the OCC as a result of key findings from the analysis.

A. Cycles 10/11 Characteristics

In the fall of 2019, WEST member institutions submitted files of unarchived serials holdings and bibliographic records to AGUA which were used to seed the 2020 collections analysis for Archive Cycles 10 and 11. The collections analysis took place during the spring and summer of 2020. In total, 1.7 million records were submitted for 58 separate OCLC symbols; nearly 978,000 records matched to journals families and were included in the final analysis.

For Cycles 10/11, the Archive Builder roster changed for the first time since Archive Cycle 2 in 2012. Rice University stepped back from active archive creation beginning in Cycles 10/11, and Stanford University paused active archive creation for Cycles 10/11 with the option to resume participation in archiving activities in Cycles 12/13. Following strategic recommendations issued at the 2019 WEST Strategic Planning Session, two WEST Archive Holder were recruited to serve as Archive Builders beginning in Cycles 10/11: the University of Denver and the University of Missouri.

B. Criteria for Archiving Proposals & Outcomes

The Cycles 10/11 collections analysis attempted to streamline as much as possible the criteria used in shaping the final proposals made to archiving institutions. As noted in previous reports (in particular, the 2019 WEST Assessment Report Addendum – What's Left to Archive report), WEST is nearing the end of the journals eligible for Bronze archiving, and Cycles 10/11 likely represents the last major opportunity for Archive Holders to participate in WEST archiving under the current collections and participation models. For this reason, all Bronze journals were ultimately proposed for archiving, with limited exceptions. The criteria for Silver and Gold proposals leveraged WEST's participation in the Rosemont Shared Print Alliance to target journals not yet retained in any Rosemont Alliance partner program (as disclosed to the Print Archive and Preservation Registry (PAPR)) as well as journals which have been archived in fewer than three Rosemont Alliance partner programs to intentionally create redundancy to mitigate risk of loss (the Rosemont Alliance defines the optimal number of retained copies of a journal as three copies). Additionally, criteria for Gold proposals targeted journals with low publication frequency (defined in Cycles 10/11 as journals published annually and less frequently), widely reported by the Builders to be less labor-intensive to validate at the issue level for completeness and condition than journals that are published frequently. Each Archive Builder was provided the opportunity to express local preferences for criteria to include or exclude journals with certain characteristics. In the past Builders have provided highly granular preferences, including subject headings, first year published, and presence on specific title lists. For Cycles 10/11, Builders only provided preferences for publication frequency, with select Builders requesting preferences for materials based on whether they are shelved in a library (open stacks) or a storage facility. Adopting highly focused criteria helped to streamline and simplify the analysis and proposal process.

Archive Type	Title Category	Proposed Archivers	Journal Families	Estimated Volumes	
Bronze	1, 6	39	1,271	40,808	
Silver	3	6	1,020	30,039	
Gold	4, 5	5	1,629	49,522	

Table 1: Final proposed journal families and estimated volumes by Archive Type

C. Key Findings and Recommendations

Based on key findings from the collections analysis, the following recommended actions are endorsed by the WEST OCC:

Consideration of Rosemont Alliance Retention Commitments

- 1. Continue actively considering retention status in Rosemont Alliance partner programs when making archiving proposals.
- 2. Identify and propose journals which are uniquely held within WEST (duplication level 1) to fill gaps regionally.

Metadata Quality and Validation

1. Develop enhancements to the AGUA system to support more robust metadata validation and reporting in order to provide member institutions with comprehensive information about necessary and recommended updates to their records.

Total Files and Records Ingested for Collections Analysis

- Consider expanding the option to submit files for analysis to both full and supporting members in order to slow the downward trend of file submission and produce a more complete picture of the full WEST collections.
- 2. Proactively request a data sample from member institutions migrating systems in order to update mapping profiles in AGUA ahead of the unarchived holdings ingest to decouple these activities and prepare the database ahead of the call for holdings.

Review Participation Model for Archive Holders

- 1. Continue to seek retention commitments for all low risk titles including new journal publications with print copies added to Portico, CLOCKSS and JSTOR as available.
- 2. Expand the analysis of high risk journals held in non-Builder institutions to gain a clearer understanding of what collections have been previously overlooked by the current collections model, and what might be added to the WEST collection through a modified participation model.

Issue-level Validation of High Frequency Publication

- 1. Investigate the influence of publication frequency on Builder's likelihood to commit to retain Gold titles.
- Explore methods by which WEST can secure commitments for high frequency Gold journals, e.g., by
 offering a larger per-volume subsidy, by developing an off-cycle project to identify and propose high
 frequency Gold journals to be archived in addition to the proposals made in the course of the regular
 Cycles 10/11 collections analysis.

Rebalancing High Risk Journal Proposals After Analysis

1. Investigate the frequency with which journals are re-proposed to the same archiver across multiple archiving cycles to assess whether this is a trend that requires development to address.

2. OCC Scope of Work

Starting in 2016, collections analysis and the allocation of archiving proposals began to occur biennially; WEST Archive Holders and Archive Builders continue to disclose archives on a yearly basis. Accordingly, the 2020 collections analysis identified two cycles worth of archiving proposals.

The OCC reviewed the following items to support the Cycles 10/11 collections analysis:

- Archive Cycles 10 and 11 budgets, as endorsed by the WEST Executive
- Desired print duplication ranges for each Title Category
- Abstracting & Indexing (A&I) title lists to diversify Title Categories 3 and 4
- Title keyword exclusions

The OCC Scope of Work for the 2020 collections analysis included:

- Review and refine title lists given budget requirements from WEST Executive
- Define more specific criteria to reduce each archiving list to meet the Archive Cycles 10/11 budgets, with some leeway for local decision-making by Archive Holders/Builders (i.e. to over-propose to each Builder)
- Prepare summaries by Title Category, Archive Type, and proposed Archive Holder/Builder
- Report on the Cycles 10/11 analysis and any recommendations, concerns, or points of interest that arise from the analysis

Additionally, the 2020 collection analysis included a supplemental analysis to identify what, if any, high risk journals (i.e., those with few to no electronic access points) are held by non-Archive Builder member institutions. This supplemental analysis supported two of the Strategic Recommendations that were issued during the 2019 <u>Strategic Planning Session</u> held in October 2019 in Oakland, CA, and in which WEST Executive and Operations and Collections Council members participated:

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

3. Recommended Archiving Priorities for Archive Cycles 10 and 11

A. Collections Analysis Summary

The AGUA Decision Support System was used to analyze WEST's regional journal holdings for Cycles 10/11 archiving.

WEST members provided over 1.7 million records for analysis from 58 OCLC symbols. In total, just under 978,000 records were matched to a journal family (as outlined in the Ulrich's serials data service) and included for collections analysis. The risk management approach defined in the WEST Collections Model was applied to triage journal families into the WEST title categories and focus efforts on subsets of titles within each category.

For Cycles 10/11 duplication criteria were not set as part of the initial criteria for what journals would be included in the initial dataset. Ultimately, no broad limitations were set using duplication level: the Bronze archive type (Titles Category 1 and Title Category 6) had a limited number of journals available for archiving (see <u>WEST</u> <u>Assessment: 2019 WEST Assessment Report Addendum – What's Left to Archive</u> for a deeper analysis of remaining unarchived journals in WEST) so all eligible journals were proposed for archiving; Silver (Title Category 3) and Gold (Title Category 4 and Title Category 5) proposals focus on other criteria (see section 2.D.iii.c Summary of OCC Base <u>Criteria for Silver and Gold Proposals</u> for the general criteria used to shape Silver and Gold proposals in Cycles 10/11) and so did not require across-the-board limitations on duplication levels, though some institutions had this criterion applied to limit their proposals to fit their archive creation budgets (see Tables 3 and 4 for institutionspecific criteria for Silver and Gold proposals, and Table 8 for budget allocations by Builder institution).¹

Archive Type	Title Category	Regional Duplication Criteria			
Pronzo	1	None (all duplication levels)			
Bronze	6	None (all duplication levels)			
Silver	3	None (all duplication levels)			
Cold	4	None (all duplication levels)			
Gold	5	None (all duplication levels)			

Table 2: WEST Duplication Criteria by Archive Type and Title Category

In previous Cycles, the OCC (previously, the Collections Working Group) set a minimum level of duplication journals had to have across WEST members in order to be eligible for archiving proposal. This was to ensure that WEST was focusing its archiving efforts on journals which could provide broad opportunity for deselection and space reclamation in member libraries and facilities. However, as WEST has completed archiving many of the available highly duplicated journals, its focus has expanded to include 'unique' and scarce journals that are held by a small number of members. These titles may be at higher risk for inadvertent content loss through deselection, and so could benefit from the security that is afforded to all materials retained in the WEST archives.

In recognition of the ever-increasing need to strategically target high-value journals for archiving to make efficient use of WEST resources and in response to growing efforts within the shared print community to address scarce titles (including the Rosemont Alliance), the OCC elected to target Silver and Gold archiving efforts in Cycles 10/11 to journals not already archived by any of the Rosemont Alliance partner programs (see section <u>2.D.iii.c Summary of OCC Base Criteria for Silver and Gold Proposals</u>). This decision to target journals with few electronic access points that have not been retained in any Rosemont Alliance partner program also serves as a proactive response

¹ Archive Builders are paid a stipend for archiving Silver and Gold backfiles; accordingly, the aim of the Silver and Gold analysis is to determine, of the high quality titles available to archive in the region, which subset WEST will propose this cycle. Archive Builders are paid \$7/volume for Gold backfiles, and \$4/volume for Silver backfiles. An archive budget is set each cycle.

to unfolding ramifications of the COVID-19 crisis for the academic and scholarly communities. Cycles 10/11 archiving priorities allow WEST to support members' need for continued access to scholarly print journals as members potentially face financial and operational hardships as a result of the ongoing COVID-19 crisis. Additionally, securing commitments for these as-yet unretained journals also supports the broader scholarly community by reducing the potential threat of loss facing scarce journals held by WEST members that may need to make difficult decisions regarding their on-site physical collection in the coming months and years.

In addition to these general criteria for Silver and Gold proposals, each Archive Builder was asked to specify any local preferences for materials they want to have included in their final proposals ("locked") or excluded from their final proposals ("excluded"). The exclude criteria outlined in Tables 2, 3 and 4 were refined using the AGUA Decision Support System. The "lock" functionality was not used during Cycles 10/11: no Builder provided specific criteria to include in their proposals beyond the highest level of publication frequency that should be included in their proposals (these preferences were applied using the "exclude" functionality so they would not conflict with the OCC base criteria). For more detail about the recommended Cycles 10/11 criteria, see section <u>2.D</u> Recommended Criteria: Detailed Overview.

Archive Type	Title Category	Initial Journal Family Total	Exclude and Lock Criteria	Proposed Journal Families/Volumes
Bronco	1	1,016	Remove LC Class K journal families Remove JSTOR titles from UC lists ²	1,003 (est. 27,545 vols.)
Bronze	6	304	 Reassigned select UC JSTOR titles to other bronze archive holders 	268 (est. 13,263 vols.)

Table 3: Summary of Bronze (Title Categories 1 and 6) Cycles 10/11 Criteria

Table 4: Summary of Silver (Title Category 3) Cycles 10/11 Criteria

Archive Builder	Title Category	Initial Est. Volumes	Criteria	Final Est. Volumes	\$\$ Proposed
Arizona State University	3	2,589	LOCK N/A EXCLUDE - Journals archived by three or more Rosemont Shared Print Alliance partner programs (as reported to PAPR)	2,179	\$8,716
University of Denver	3	871	LOCK N/A EXCLUDE - Journals archived by three or more Rosemont Shared Print Alliance partner programs (as reported to PAPR)	800	\$3,200

² The UC Libraries are building a JSTOR print archive that is currently separate from WEST. Accordingly, WEST does not propose any JSTOR titles to the UC Campuses or RLFs.

University of Kansas	3	9,859	LOCK N/A EXCLUDE - Journals archived in Rosemont Shared Print Alliance partner programs (as reported to PAPR) - Document Subtypes Abstract/Index, Bibliography, Consumer, Corporate, Trade, and [null]	2,365	\$9,460
University of Missouri	3	19,552	LOCK N/A EXCLUDE - Journals archived in Rosemont Shared Print Alliance partner programs (as reported to PAPR) - Document Subtypes Abstract/Index, Bibliography, Consumer, Corporate, Trade, and [null]	2,536	\$10,144
UC Northern Regional Storage Facility	3	61,704	LOCK N/A EXCLUDE - Journals archived in Rosemont Shared Print Alliance partner programs (as reported to PAPR) - Document Subtypes Abstract/Index, Bibliography, Consumer, Corporate, Trade, and [null] - Duplication level: 3 and fewer	11,850	\$47,400
UC Southern Regional Storage Facility	3	32,401	LOCK N/A EXCLUDE - Journals archived in Rosemont Shared Print Alliance partner programs (as reported to PAPR) - Document Subtypes Abstract/Index, Bibliography, Consumer, Corporate, Trade, and [null]	10,309	\$41,236

Table 5: Summary of Gold (Title Categories 4 and 5) Cycles 10/11 Criteria

Archive Builder	Title Category	Initial Est. Volumes	Criteria	Final Est. Volumes	\$\$ Proposed
Arizona State	4	9,437	LOCK N/A	8,236	\$57,652
University	5	6,550	EXCLUDE - Journals archived by three or more Rosemont Shared Print Alliance partner programs (as reported to PAPR)	6,536	\$45,752
University of	4	1,315	LOCK N/A	0	n/a
Denver	5	377	<u>EXCLUDE</u> - All	0	n/a
University of	4	25,710	LOCK N/A EXCLUDE - Journals archived by three or more Rosemont	8,209	\$57,463
Kansas	5	16,994	Shared Print Alliance partner programs (as reported to PAPR) - Document Subtypes Consumer, Corporate, Trade, and [null] - Journals published more frequently than bi- monthly	1,181	\$8,267
University of	4 35,949 LOCK N/A EXCLUDE - Journals archived in Rosemont Shared Print		N/A EXCLUDE	2,822	\$19,754
Missouri	5	22,986	- Document Subtypes Abstract/Index, Bibliography, Consumer, Corporate, Trade, and [null] - Journals published more frequently than annually - Duplication level: 5 and fewer	458	\$3,206
UC Northern Regional	4	113,930	LOCK N/A EXCLUDE - Journals archived in Rosemont Shared Print Alliance partner programs (as reported to PAPR)	7,326	\$51,282
Storage Facility	5	161,794	 Document Subtypes Abstract/Index, Bibliography, Consumer, Corporate, Trade, and [null] Journals published more frequently than annually Duplication level: 3 and fewer 	4,302	\$30,114

UC Southern Regional	4	84,112	LOCK N/A EXCLUDE - Journals archived in Rosemont Shared Print	6,434	\$45,038
Storage Facility	5	102,312	Alliance partner programs (as reported to PAPR) - Document Subtypes Consumer, Corporate, Trade, and [null] - Journals published more frequently than annually	4,018	\$28,126

B. Recommended Cycles 10 and 11 Budget Allocations

Archive Type	Archive Budget	Number of Volumes
Silver	Approx. \$69,500	Approx. 17,400
Gold	Approx. \$115,000	Approx. 16,400
Total Budget	\$184,500 each year	Approx. 33,800
Total for Cycles 10 and 11	\$369,000	Approx. 67,600

 Table 6: Archiving Budget by Archive Type for Cycles 10 and 11

Using the AGUA Decision Support System, which includes functionality to propose to the next deepest backfile, the OCC redistributed Silver and Gold titles among the six Builders to ensure WEST can meet the proposed budgets and preferences for local Silver/Gold archive allocations (see Table 6). While Cycles 8/9 strictly followed an archive creation budget of \$240,000 per year, the WEST Executive Committee endorsed an archive creation budget not to exceed \$369,000 for Cycles 10/11 (\$184,500 per year).

This decrease in the archive creation budget is aligned with two Builders stepping back from archive creation in Cycles 10/11: Rice University alerted WEST program staff in 2019 to their intention to cease active archive creation and step back into an Archive Holder role beginning in Cycles 10/11; Stanford University alerted WEST program staff in the spring of 2020 that due to the developing COVID-19 crisis they would pause archiving activities during Cycles 10/11. This natural decrease in archive building capacity within the program allowed WEST to adjust the archive creation budget to minimize costs even while recruiting two new Builders from the existing Archive Holder members.

Table 7: Budgets by Archive Builder for all Cycles

Archive Builder	Cycle 1	Cycle 2	Cycle 3	Cycle 4	Cycle 5	Cycle 6	Cycle 7	Cycle 8	Cycle 9	Cycle 10	Cycle 11
Arizona State University	\$60,000	\$60,000	\$67,000	\$60,000	\$60,000	\$50,000	\$50,000	\$50,000	\$50,000	\$50,000	\$50,000
Rice University	N/A	\$27,000	\$15,000	\$27,000	\$27,000	\$28,000	\$28,000	\$28,000	\$28,000	N/A	N/A
Stanford University	\$52,000	\$19,000	\$61,000	\$61,000	\$61,000	\$40,000	\$40,000	\$40,000	\$40,000	N/A	N/A
UC Northern Regional Storage Facility	\$33,000	\$33,000	\$60,000	\$60,000	\$60,000	\$50,000	\$50,000	\$50,000	\$50,000	\$50,000	\$50,000
UC Southern Regional Storage Facility	\$59,000	\$59,000	\$64,000	\$64,000	\$64,000	\$54,000	\$54,000	\$44,000	\$44,000	\$44,000	\$44,000
University of Denver	N/A	\$1,600	\$1,600								
University of Kansas	N/A	\$28,000	\$23,000	\$28,000	\$28,000	\$28,000	\$28,000	\$28,000	\$28,000	\$28,000	\$28,000
University of Missouri	N/A	\$10,900	\$10,900								
TOTAL	\$204,000	\$226,000	\$290,000	\$300,000	\$300,000	\$250,000	\$250,000	\$240,000	\$240,000	\$184,500	\$184,500

Notes about the Archive Builder budgets and Archive Builder preferences:

- For Cycles 10 and 11, WEST is allocating no more than \$184,500 per year for archive creation.
- Rice University had alerted WEST in the fall of 2019 of their intention to transition away from their Archive Builder role beginning with Cycles 10/11.
- Stanford University alerted WEST in the spring of 2020 of changes in their local circumstances that prevented their participation in Cycles 10/11 as an Archive Builder. This information was provided early enough in the process that WEST staff were able to remove them from the collections analysis dataset and re-propose journals.
- All Builders were initially offered to be proposed Gold journals published annually and less frequently, with an option to expand this to include higher frequency journals. Arizona State University and University of Kansas requested that higher frequency journals be added to their proposals to increase flexibility in local decision making when selecting which proposals to commit to.

- The University of Denver determined that for Cycles 10 and 11 they will only archive Silver, and will revisit the question of archiving Gold in Cycles 12 and 13.
- The University of Kansas requested prioritization of Silver proposals for which holdings are already present in the storage facility. Gold proposals are preferred from campus locations. At this time, there is not an effective means of identifying campus versus storage locations for proposed journal families. KU also requested that Gold proposals with frequency of bi-monthly and lower are prioritized.
- The UC Northern Regional Library Facility requested prioritization of proposals where the deepest backfile is already present in storage. At this time, there is not an effective means of identifying campus versus storage locations for proposed journal families.
- The UC Southern Regional Library Facility requested a heavier emphasis on Gold proposals over Silver. The SRLF also requested prioritization of proposals where the deepest backfile is already present in storage. At this time, there is not an effective means of identifying campus versus storage locations for proposed journal families.

C. Recommended Archive Holder/Builder Distribution and Budget

To complete WEST's goal of archiving all or most of the existing titles in Portico, CLOCKSS and JSTOR, Bronze Title Categories were more broadly distributed across the membership (see Table 7).

Table 8: Summary by Archive Holder (Bronze)

Recommended Archive Holders	OCLC Shared Print Symbol	Archive Type	Title Categories	Total Journal Families Proposed	Total Estimated Volumes
University of Arkansas, Fayetteville	AFUSP	Bronze	1, 6	57	2,744
University of Arizona, College of Law Library	AZLSP	Bronze	1, 6	2	100
Arizona State University	AZSSP	Bronze	1, 6	47	2,401
University of Arizona	AZUSP	Bronze	1, 6	26	713
University of San Diego	CDUSP	Bronze	1	6	62
Mount Saint Mary's University	CMMSP	Bronze	1, 6	10	260
Colorado State University, Fort Collins	COFSP	Bronze	1, 6	50	1,738
University of Colorado, Denver Health Sciences Library	COUSP	Bronze	1, 6	9	234
University of California, Riverside	CRUSP	Bronze	1	7	202
San Jose State University	CSJSP	Bronze	1, 6	2	49
California State University, Northridge	CSNSP	Bronze	6	4	344
University of California, Irvine	CUISP	Bronze	1	21	348
University of California, San Francisco	CUNSP	Bronze	1	29	842
University of California, San Diego	CUSSP	Bronze	1	62	1,623
University of California, Santa Barbara	CUTSP	Bronze	1	17	318
University of California, Santa Cruz	CUZSP	Bronze	1	4	76
University of Denver	DVPSP	Bronze	1, 6	6	137
Huntington Library	HUVSP	Bronze	6	4	252
Iowa State University	IWASP	Bronze	1, 6	38	1,066
Getty Research Institute	JPGSP	Bronze	1, 6	41	1,512
Kansas State University	KKSSP	Bronze	1	28	330

University of Kansas	KKUSP	Bronze	1, 6	97	3,715
Loyola Marymount University	LMLSP	Bronze	1, 6	11	459
University of Missouri, Columbia, Health Sciences Library	MMUSP	Bronze	1, 6	13	541
University of Missouri, Columbia	MUUSP	Bronze	1, 6	34	2,009
University of Idaho	NTDSP	Bronze	1, 6	10	347
Washington State University, Pullman	NTESP	Bronze	1, 6	16	435
University of Oklahoma	OKUSP	Bronze	1, 6	28	1,115
Oregon State University	ORESP	Bronze	1, 6	16	580
University of Oregon	ORUSP	Bronze	1, 6	10	448
Seattle Pacific University	OXFSP	Bronze	1, 6	2	86
Brigham Young University	UBYSP	Bronze	1, 6	76	1,682
University of Washington	WAUSP	Bronze	1, 6	130	4,329
Washington State University, Vancouver	WS2SP	Bronze	1	1	11
Washington University in St Louis	WTUSP	Bronze	1, 6	12	209
University of Wyoming	WYUSP	Bronze	1, 6	15	399
UC Northern Regional Library Facility	ZAPSP	Bronze	1	172	5,914
UC Southern Regional Library Facility	ZASSP	Bronze	1	153	3,092
University of Idaho Law Library	ZXQSP	Bronze	1, 6	5	86

Consistent with previous years, the OCC proposed more titles (and volumes) than WEST budgeted for Silver and Gold backfiles (see Table 8). The group recommends over-proposing each Archive Builder's title list to provide the builders with greater flexibility, in terms of selecting which titles to archive. Moreover, if funds remain unspent the additional journal families can be used to draw further archiving candidates from.

Table 9: Summary by Archive Builder (Silver, Gold)

SI		VER GOLD								
Archive Builder	OCLC Symbol	TC3 Journal Families	TC3 Est. Vols.	TC4 Journal Families	TC4 Est. Vols.	TC5 Journal Families	TC5 Est. Vols.	Total Proposed	Budget	Over- Proposed by
Arizona State University	AZFSP	91	2,179	308	8,236	371	6,536	\$112,120	\$100,000	(\$12,120)
University of Denver	DVPSP	39	800	0	0	0	0	\$3,200	\$3,200	\$0
University of Kansas	KKUFP	105	2,365	224	8,209	63	1,181	\$75,190	\$56,000	(\$19,190)
University of Missouri	MUDSP	83	2,536	45	2,822	15	458	\$33,104	\$21,800	(\$11,304)
UC Northern Regional Storage Facility	ZAPSP	270	11,850	152	7,326	85	4,302	\$128,796	\$100,000	(\$28,796)
UC Southern Regional Storage Facility	ZASSP	432	10,309	182	6,434	184	4,018	\$114,400	\$88,000	(\$26,400)
TOTAL		1,020	30,039	911	33,027	718	16,495	\$466,810	\$369,000	(\$97,810)

The total proposed volumes identified in Tables 7 and 8 are for Cycles 10 and 11. This fall, WEST Archive Holders and Builders will be asked to commit to two cycles' worth of archiving. WEST will not divide the proposals into cycle-specific title lists; instead, the individual institutions can determine which titles are archived in Cycle 10, and which titles are archived in Cycle 11.

D. Recommended Criteria: Detailed Overview

Each Archiving Cycle, in consultation with the OCC, the collections analyst applies collections criteria in the AGUA Decision Support System to redistribute backfiles, protect (or "lock") journal families with desired characteristics, and further winnow down title lists through exclusion criteria. The collections analyst also reviews the title lists for quality, format, data integrity and distribution among archiver holders and builders. Backfiles outside of WEST's scope (microform/fiche, monographic series, etc.) are excluded. Specific decisions and actions taken in the Cycles 10/11 collections analysis are described below.

i. Duplication Ranges

Duplication ranges have served as an initial "first cut" to reduce the size of the lists analyzed. Historically, WEST has focused on medium to high overlap; now WEST also considers low to medium overlap.³ In 2013/14, the WEST Executive determined that all JSTOR, Portico and CLOCKSS backfiles should be archived by WEST. Additionally, during the cycle 5 analysis, the Collection Working Group determined that <u>lower overlap levels should be</u> <u>incorporated gradually</u>. Accordingly, the proposed overlap levels were progressively lowered in the 2016, 2018, and 2020 analyses. Beginning in the 2018 analysis for Cycles 8/9, no duplication criteria are set for Title Categories 1 and 6. The 2020 analysis for Cycles 10/11 expanded this trend, and no duplication criteria were set for Titles Categories 3, 4, and 5 at the system level.

The print-only backfiles (Title Category 5) remain the largest subset of the unarchived print serials being analyzed with some 17,808 candidate journal families for Cycles 10/11. Over 84% of those journal families have 5 or fewer copies within the region.

ii. Redistribution Criteria

Each Archiving Cycles the OCC leverages AGUA capabilities to redistribute proposals based on ties and "next deepest backfiles," ensuring that most Bronze Archive holders receive archive proposals and all Archive Builders receive a desirable distribution of Silver/Gold archive proposals and are over-proposed for their Cycles 10/11 budgets.⁴ This standard procedure was employed for Cycles 10/11 for all title categories.

In WEST, a "tie" is when two or more potential archive holders have equally deep backfiles (i.e. they hold the same number of volumes for a given journal family). Accordingly, the ties redistribution ranking determines if an institution should be prioritized for receiving ties or if the system can assign an Archive Holder/Builder at random (among the institutions participating in the tie). For Cycles 10/11, the OCC prioritized smaller archivers and institutions who disclosed the majority of the titles they had committed to in Cycles 8/9.

The AGUA Decision Support System was designed to allow the OCC to re-assign some titles to institutions with the next deepest backfile.⁵ Similarly to ties redistribution, the OCC prioritized smaller archivers and institutions that archived last year (particularly when the original proposals were lower than the number of volumes archived last cycle), as well as Archive Builders who had not received an adequate number of proposals in Title categories 3, 4, and 5.

iii. Lock and Exclusion Criteria

The WEST collections analysis process offers several points at which materials can be excluded from analysis, both by applying criteria at the system level and by applying criteria that impact a single member's proposals.

³ At the 2014 strategic planning meeting, the Executive Committee and OCC recommended that the CWG begin to include lower to medium overlap levels.

⁴ WEST tries to over-propose each Archive Builder's budget. This allows Builders to select the titles that most closely align with local preservation strategies/goals.

⁵ At the June 2014 WEST Strategic Planning meeting, the Executive Committee and OCC members decided that in order to better distribute archiving responsibilities, the next deepest backfile should be considered for assigning archive title lists.

a. Pre-analysis Exclusions

The following exclusion criteria were applied automatically for all categories during the member holdings ingest period:

- Journals in holdings location codes excluded by campus
- Government documents (as cataloged in the source record or in Ulrich's)
- LC classifications K (as assigned in Ulrich's)⁶
- Grandfathered UC (IEEE)
- Title keywords (see <u>Appendix 2</u> for details)
- Library holdings matching "micro"
- Library holdings matching "online"
- Titles already archived by WEST
- In-progress WEST archiving commitments (from Cycles 8/9)

In a change from the Cycles 8/9 analysis, the following title lists were *not* excluded from analysis in Cycles 10/11:

- JSTOR Arts and Sciences I and II
- Grandfathered Alliance DPR (ACS)

b. Post-Ingest Proposal Refinement

After the initial ingest period there is an opportunity to refine proposals based on title category and archiver to target journal families to proposal that best meet the needs and priorities of both WEST and the proposed archiver. AGUA includes functionalities to "lock" and "exclude" proposals based on various criteria.

Journal families with specific characteristics can be "locked" in place to ensure they will not be excluded from the proposed title lists. Lock criteria are tailored to the title category and individual archiver; this flexibility allows the OCC to prioritize certain collection characteristics, so long as it does not result in too many journal families being locked (i.e. more than was budgeted for). For Cycles 10/11, no criteria were "locked" for any archivers for any title category.

Journal families with specific characteristics can be "excluded" from consideration, so long as they do not also possess a characteristic that has been locked. When a journal family is excluded, it is no longer proposed to an archiver holder/builder for the cycle in question. See Tables 2, 3 and 4 for a summary of the Cycles 10/11 lock and exclude criteria.

In addition to the lock/exclude functionalities available in AGUA, some journal families were manually removed from Cycles 10/11 proposal based on criteria set by the OCC during the course of the collections analysis, described in the following section.

c. Summary of OCC Base Criteria for Silver and Gold Proposals

For Cycles 10/11, the OCC elected to set base criteria for Silver and Gold proposals that were used as a starting point for crafting all Builders' final proposals. The base criteria set for Silver proposals in Cycles 10/11 were Academic/Scholarly journals not archived by any Rosemont Alliance shared print partner program (as reported to PAPR). The base criteria set for Gold proposals in Cycles 10/11 were Academic/Scholarly journals not archived by any Rosemont Alliance shared print partner program (as reported to PAPR). The base criteria set for Gold proposals in Cycles 10/11 were Academic/Scholarly journals not archived by any Rosemont Alliance shared print partner program (as reported to PAPR) which are published annually or less frequently. Some Builders' proposals did ultimately expand on these criteria to include some journals that have been archived by Rosemont Alliance partner programs. In these cases, journals that have been archived by three or more partner programs were removed manually, allowing WEST to intentionally create redundancy in the collective collection and move the community closer to the goal of three retained copies per journal (see the Rosemont Shared Print Alliance <u>Strategic Directions: 1.b</u>).

⁶ During Cycles 6/7 collections analysis, the CWG recommended lifting the automatic exclusion of LC class Z materials. For Cycles 8/9, the OCC reviewed LC class Z journal families and determined they would be acceptable proposals.

Publication frequency was a particularly important consideration given the financial and staffing pressures WEST members, including Archive Builders, are likely to see in the coming two years, and building in a lightened validation load to the Cycles 10/11 proposals was seen as crucial to maintaining Builder activity through this period. Archive Builders have given consistent feedback in recent years that frequency is an important factor when selecting which Gold journals to commit to: the time-intensive nature of issue-level validation means that committing to high-frequency publications is not as cost-effective as committing to low-frequency publications which typically have fewer issues in need of validation. Some Builders elected to have higher frequency journals proposed to them to increase their flexibility in selecting which proposals to commit to.

E. Key Findings and Recommendations

The Cycles 10/11 collections analysis revealed a number of key findings. In response to these findings, the OCC presents the following recommended actions:

i. Consideration of Rosemont Alliance Retention Commitments

During the last two years the Rosemont Shared Print Alliance has matured in its role as a federation of shared print programs. Since the previous analysis the partner programs have moved to strengthen their relationship and build networks of collaboration and mutual support, including through ratifying common <u>Access Principles</u> that state that "Participants agree to make Rosemont Alliance archived materials available to other Rosemont members" as well as a <u>Last Copy Agreement</u> that seeks to identify and secure commitments for journals that are scarcely held in the partner programs.

Beginning in Cycles 10/11, Rosemont archiving commitments are made visible in the WEST data set through the field 'Rosemont Archived,' which offers a simple and quick way to identify journals that have not been retained by any Rosemont Alliance partner program (as reported in the 'Other PAPR Programs' field).

Recommended Actions:

- 1. Continue actively considering retention status in Rosemont Alliance partner programs when making archiving proposals:
 - a. Continue prioritizing for archiving journals which have not been archived in any Rosemont Alliance partner program, with particular attention paid to materials uniquely held in WEST,
 - b. Prioritize for archiving journals which been archived by fewer than three Rosemont Alliance partner programs to support intentional redundancy in the collective collection to prevent against total content loss, and
 - c. Consider as appropriate de-prioritizing for archiving journals which have been retained in three or more Rosemont Alliance partner programs and rely on the <u>Rosemont Reciprocal Retention</u> Agreement and the Rosemont Access Principles to gain access to retained materials.
- 2. Identify and propose journals which are uniquely held within WEST (duplication level 1) to fill gaps regionally.

ii. Metadata Quality and Validation

In Cycles 10/11, members submitted a total of over 1.72 million records, nearly 978,000 of which were ingested into AGUA for analysis. The number of records ingested into AGUA represent only 57% of the total records submitted, meaning that 43% of submitted records lacked sufficient metadata (specifically, ISSNs) to be included in the analysis. Without speculating as to why so many records lack sufficient metadata, it is clear that WEST's archiving efforts would be well-served by developing additional support for metadata enhancement at member institutions.

Recommended Action:

1. Develop enhancements to the AGUA system to support more robust metadata validation and reporting in order to provide member institutions with comprehensive information about necessary and recommended updates to their records.

iii. Total Files and Records Ingested for Collections Analysis

During Cycles 2 through 5, WEST encouraged all members to submit serials records for collections analysis.⁷ With the shift to the new membership model in Cycle 6, only "full" WEST members were asked to submit records for the Cycles 6/7 analysis. Cycles 10/11 followed this same model.

⁷ Most WEST members submit one file (one file = one OCLC symbol). However, some members submit multiple files so that they can submit records for multiple OCLC symbols.



Figure 1: OCLC symbols with records submitted for collections analysis (Cycles 2 through 10)

Figure 2: Records submitted for collections analysis (Cycles 2 through 10)



Phase 4 development increased the efficiency of the ingest and analysis workflows and ultimately saved a significant amount of technical staff time overall. There is no quantitative data measuring workflow efficiency, however the technical team reported completing the unarchived holdings ingest process at least one month earlier than in previous years. Areas where technical time was saved:

• A new member-facing interface for inputting location selection (identifying storage locations and indicating any locations that should be excluded from proposals and/or analysis) allowed WEST members to make these designations without requiring WEST technical staff to input the data.

- The collections analyst assisted with preparing the Abstracting & Indexing title lists used to match journals to Title Categories 3 and 4.
- The metadata analyst trained another staff member to assist with processing, shortening the overall time necessary to complete the ingest.

The technical team noted that one common scenario that slowed processing down was updating and reconfiguring mapping profiles in the AGUA database in response to system migrations. Several WEST members had performed system migrations between the Cycles 8/9 unarchived holdings ingest and the Cycles 10/11 unarchived holdings ingest, and each needed reviewing and updating.

Recommended Actions:

- Consider expanding the option to submit files for analysis to include both full and supporting members in order to slow the downward trend of file submission and produce a more complete picture of the full WEST collections.
- 2. Proactively request a data sample from member institutions migrating systems in order to update mapping profiles in AGUA ahead of the unarchived holdings ingest to decouple these activities and prepare the database ahead of the call for holdings.

iv. Review Participation Model for Archive Holders

Since its inception, WEST members have aimed to archive "everything that's in Portico/CLOCKSS" (i.e. all journal titles with print copies in the above categories). WEST members want to achieve this goal as quickly as possible to demonstrate value to many members. There is great value and simplicity in being able to say with confidence, "WEST has taken care of all of Portico, CLOCKSS and JSTOR titles."

In Cycles 10/11, WEST will come close to achieving this goal. With limited exceptions, all Bronze journals eligible for archiving are being proposed, representing the last big push to 'complete' Bronze archiving. After Cycles 10/11, Archive Holders will have limited opportunities to participate in the archiving process without modifications to the participation model. A sub-analysis to the Cycles 10/11 collection analysis focused on reviewing the high risk journals (Title Categories 3, 4, 5) held in non-Builder collections, using a select number of current Archive Holders as a test case. This analysis revealed that non-Builder institutions hold high-quality high risk journals in their collections that are not held by any of the Cycles 8/9 Builder institutions (Arizona State University, Rice University, Stanford University, University of Kansas, UC Northern Regional Library Facility, and UC Southern Regional Library Facility), as well as deeper backfiles of high risk journals that are held by those six current and former Builder institutions.⁸

Recommended Actions:

- 1. Continue to seek retention commitments for all low risk titles including new journal publications with print copies added to Portico, CLOCKSS and JSTOR as available.
- 2. Expand the analysis of high risk journals held in non-Builder institutions to gain a clearer understanding of what collections have been previously overlooked by the current collections model, and what might be added to the WEST collection through a modified participation model.

v. Issue-level Validation of High Frequency Publications

WEST has received consistent feedback from Archive Builders that the subsidy for performing issue-level (Gold) validation is insufficient for journals with high publication frequency. In Cycles 8/9 two Builders specifically requested to only have low-frequency journals proposed from Title Categories 4 and 5; anecdotal evidence suggests that other Builders also considered frequency when selecting which Gold proposals to commit to. In Cycles 10/11, frequency of publication was a key criterion for Gold proposals for all Builders. As the available low-frequency Gold journals are drawn down, Builders will have few choices but to archive high-frequency Gold

⁸ See Appendix 1 <u>Surfacing Historically Unanalyzed Collections</u> for a detailed overview of this analysis.

journals in order to use their full archive creation budgets. The subsidy for Gold commitments is currently set at \$7 per volume.

Recommended Actions:

- 1. Investigate the influence of publication frequency on Gold commitment trends and validation workload. Assess whether high frequency Gold journals merit new approaches to support their archiving in future cycles.
- 2. Explore methods by which WEST can secure commitments for high frequency Gold journals, e.g., by offering a larger per-volume subsidy, by developing an off-cycle project to identify and propose high frequency Gold journals to be archived in addition to the proposals made in the course of the regular Cycles 10/11 collections analysis, or by some other method.

vi. Rebalancing High Risk Journal Proposals After Analysis

As described above, AGUA allows for rebalancing of proposals to the "next deepest backfile" early in the collections analysis process. However, as the analysis progresses and archiving institutions express local preferences on criteria to use in crafting their final set of proposals, there is no systematic way to re-propose journals that fall off their lists to other archivers with deep backfiles (any rebalancing at this point is a manual process, and requires additional analysis to identify the next optimal archiver). Rebalancing proposals at this point in the analysis could support leveraging a Builder's full archive creation budget, or could reduce the need to expand scoping criteria in order to fully leverage the archive creation budget (such as expanding proposals beyond the criteria listed in 2.D.iii.c Summary of OCC Base Criteria for Silver and Gold Proposals, as was necessary for Arizona State University, University of Denver, and, to a lesser extent, University of Kansas in Cycles 10/11). Further investigation is recommended to assess the frequency with which this scenario arises.

Recommended Action:

1. Investigate the frequency with which journals are re-proposed to the same archiver across multiple archiving cycles to assess whether this is a trend that requires development to address.

Appendix 1: Strategic Recommendations

During the 2019 Strategic Planning Session, the WEST governance groups issued two strategic recommendations that shaped the 2020 collections analysis:

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

To pursue both of these recommendations, WEST recruited four current members, all Archive Holders, to participate in the 2020 collections analysis as Archive Builders: AGUA uses this designation to identify high risk journals (Title Categories 3, 4, and 5) included in these institutions' collections and makes proposals based on depth of holdings. Changing the designation for these four members helped expose Silver and Gold titles that had previously been invisible because they were not held by any of the official Builder members.

The four "potential new Builders" designated as Archive Builders for the collections analysis are:

- Kansas State University (KKSSP)
- University of Denver (DVPSP)
- University of Missouri (MUDSP)
- University of Wyoming (WYUSP)

The "current Builders" as referred to in this analysis are

- Arizona State University (AZSFP)
- Rice University
- Stanford University
- University of California, Northern Regional Library Facility (ZAPSP)
- University of California, Southern Regional Library Facility (ZASSP)
- University of Kansas (KKUFP)

Rice University, while no longer serving as a Builder beginning with Cycles 10/11, was included as a Builder in this analysis as their high risk collections have recently been analyzed; surfacing these titles again would not provide any insights into what titles have been overlooked as a result of the current collection model. Both Rice University and Stanford University were included in this analysis for comparing holdings, but as they are not participating as Builders for Cycles 10/11 they are not included in any comparison of Silver/Gold proposals.

A. Surfacing Historically Unanalyzed Collections

The WEST collections model only surfaces high risk journals in the analysis if they are held in any part by an institution designated in AGUA as an Archive Builder. This designation is necessary to limit proposals for these journals to only those members with the facilities and training necessary to perform the required validation work and house the materials after they are added to the WEST archives. Any high risk journals that are held by other WEST members but are not held in any part by one of the Builder institutions are not eligible for proposal, and therefore do not appear in the collections analysis. Four current Archive Holders were designated as Archive Builders in AGUA in order to investigate what high risk journals they hold that have not been archived by WEST because they are not held by any current Builder.

To identify the 'unique' journals held by the potential new Builders that are not held at any of the current Builders, an analysis was made of all holding institutions for the proposals being made to the potential new Builders. Of the 21,072 total journal families being proposed to all current and potential new Builders, 5.2% (3.1% of the total estimated volumes) are not held at any of the current Builders.

Table 10: Brief summary of Cycles 10/11 Silver/Gold proposals to all current and potential new Builders

Measure	Full Silver/Gold data set	Not held by "current builders"	% of total not held by "current Builders"
Journal Families	21,072	1,095	5.2%
Estimated Volumes	713,998	19,453	2.7%

Overall, the Silver and Gold proposals being made to the potential new Builders were more likely to not be held by any of the current Builders (rather than be proposals for journals are more deeply held at the potential new Builders, but are not unique).

Table 11: Total Silver/Gold proposals made to potential new Builders with number and percent not held in any part by the current Builders

Institution	Total proposed Journal Families	Journal Families not held by 'current Builders'	Percent 'unique'	
University of Denver	130	70	54%	
Kansas State University	241	219	91%	
University of Missouri	1,905	652	34%	
University of Wyoming	197	154	78%	

These 'unique' journals also saw a lower overlap across WEST member institutions as compared to the full data set. This indicates that many of these journals may indeed be uniquely held, and could be ideal candidates for a Last Copy Initiative currently under consideration within the Rosemont Alliance Operations Committee.

B. Recruiting New Archive Builders

Including these four Archive Holders in the Silver/Gold analysis served a dual purpose to not only investigate what high risk collections have been overlooked as a result of the current collections model, but also to recruit new Archive Builders to participate in Silver/Gold archive creation.

 Table 12: Comparison of current Builders' Cycles 10/11 Silver/Gold proposals to potential new Builders' (designated by bold type)

Institution	Proposed Journal Families	Estimated Volumes	Average Overlap in WEST	
Arizona State University	788	18,576	10	
Kansas State University	241	1,855	2	
University of California, NRLF	8,483	337,428	4	
University of California, SRLF	7,421	218,825	5	
University of Denver	130	2,563	7	
University of Kansas	1,907	52,563	8	
University of Missouri	1,905	78,487	9	
University of Wyoming	197	2,701	3	

Of the four potential new Builders, the University of Denver (DVPSP) and the University of Missouri (MUDSP) show significant promise for contributing to the WEST archives. The University of Missouri's collection is largely similar to the collections held by the current Builders, but with higher than average overlap across the WEST membership. Additionally, MU's proposals contain a large number of journal families that are not held in any part by any of the current Builders. The University of Denver has a smaller collection that is also highly duplicated as well as include a large proportion of journals that are not held in any of the current Builder collections. DU's proposals also skewed more heavily toward Silver proposals, indicating a 'lighter lift' for them with regards to validation activities in order to contribute these materials to the WEST archives.

While Kansas State University (KKSSP) and the University of Wyoming (WYUSP) were not ultimately pursued for recruitment to be Archive Builders in Cycles 10/11, both have relatively large numbers of titles that are not held by the current Builders with low levels of duplication compared to the group average. This indicates that these collections are highly unique not only in comparison to the current Builders but also within the wider WEST membership. These scarcely held high risk titles are ideal candidates for retention under a separate project, such as the Last Copy Initiative currently under consideration by the Rosemont Alliance Operations Committee.

Appendix 2: Title Keyword Exclusions

The collections analysis has historically used select keywords found in Ulrich's titles to exclude journal families from the collections analysis that are considered to be out of scope for the WEST collection. In the past these keywords have been used to target journals considered to be of a more "referencey" nature than has traditionally been desired for the WEST archives. However, as the available unarchived holdings are drawn down, the list of title keywords to exclude has shrunk to widen the scope of the analysis and in response to changing views on what types of materials are appropriate for a scholarly shared print collection.

Title keyword exclusions are applied to the journal family "title" field at the onset of collections analysis by the AGUA team. The title keywords excluded from the Cycles 8/9 collection analysis were:

- almanac
- atlas
- award
- catalog
- dictionary
- digest
- encyclopedia
- handbook
- index
- indicator
- monograph
- online
- prize
- register
- survey
- yearbook

In total, 15,410 of the 416,914 candidate journal family titles were excluded from analysis on the basis of these keywords, a rate of 3.7%. The largest exclusion category was "online" with 6,311 journals excluded on the basis of this title keyword:





Due to the relatively small number of journal families that were excluded, the OCC elected to lift all title keyword exclusions for Cycles 10/11, with the exception of "monograph" and "online," as these were more likely to be indicators of format than of content. As a result, 10,433 journal families were included in the Cycles 10/11 analysis which would have been excluded. Of the final data set of 418,193 journal families, these represent only 2.49%.



Figure 4: Count of journal families included in Cycles 10/11 analysis as a result of lifted title keyword exclusions

Appendix 3: Initial Volumes Identified vs. Proposed Volumes

(All duplication levels; post-rebalancing for next deepest backfile)

A. Silver proposals



B. Gold proposals

