



Western Regional Storage Trust

Member Agreement

This agreement, entered into between the University of California Regents on behalf of the California Digital Library ("CDL") and _____ ("Member") will become effective upon execution by both parties, and remain in full force and effect until June 30, 20___. Thereafter, this Agreement shall automatically renew on an annual basis, unless either party provides 365 days advance notice in writing. The parties agree that scanned versions of this originally executed agreement are acceptable in lieu of originally signed copies and are to be given full force and effect under law.

The Western Regional Storage Trust ("WEST") is a distributed print repository program. This agreement describes CDL and Member responsibilities arising from the WEST Program:

- 1) CDL will make all commercially reasonable efforts to execute the responsibilities of the Administrative Host as described in the WEST Program Statement as amended from time to time by the WEST Executive Committee, the current version of which is incorporated herein as Attachment 1.
- 2) Member, and its consortial constituents as enumerated in Attachment 3 if Member represents a consortium, will make all commercially reasonable efforts to comply with the responsibilities of a WEST Member as described in the WEST Program Statement as amended from time to time by the WEST Executive Committee, the current version of which is incorporated herein as Attachment 1.
- 3) Member will pay such fees that may be required under said WEST Program Statement to CDL. Member will pay CDL in full within 30 days of Membership invoice, unless other payment arrangements are agreed to by both parties.
- 4) If Member elects to be a WEST Archive Holder or Archive Builder, Member will:
 - a) Sign a WEST Archive Holder and/or Builder Amendment;
 - b) Make all commercially reasonable efforts to comply with the WEST Archive Holder/Builder Responsibilities, attached hereto and incorporated herein as Attachment 2, as amended from time to time by the WEST Executive Committee;
 - c) Execute one or more WEST Archive Builder Exhibits, as applicable, which shall be attached hereto and incorporated herein.
- 5) Should Administrative Host responsibility be transferred to another organization by authority of the WEST Executive Committee as provided for in the WEST Program Statement, CDL shall assign all of its rights and obligations under this Agreement to the new Administrative Host effective with the date of transfer, and this Agreement shall remain in full force and effect.

If selected, this agreement is for a consortial membership. The consortium is authorized to represent its consortial constituent members, as enumerated in Attachment 3, in the Western Regional Storage Trust.

Member: _____

California Digital Library

By: _____ (Authorized Signature)

By: _____ (Authorized Signature)

(Name - Printed)

(Name - Printed)

(Title)

(Title)

Date: _____

Date: _____

Attachment 1: Program Statement

The Western Regional Storage Trust (WEST) is a distributed, retrospective print journal repository program. Under the WEST program, participating libraries consolidate and validate print journal backfiles at major library storage facilities and at selected campus locations.

Terms and Conditions

1. Membership and Governance

- 1.1. **Members:** Academic libraries, research libraries, and library consortia serving the Western region of the United States are eligible to join WEST as members.
- 1.2. **Membership term:** In order to promote stability of the WEST program, members agree to join WEST for an initial 3-year term.
- 1.3. **Archive Holders:** Members that commit to retain materials under the WEST program are known as Archive Holders. Once a WEST library's holdings have been analyzed through the WEST program (typically during the first year of WEST participation), the library is eligible to serve as an Archive Holder beginning in the following year.
- 1.4. **Archive Builders:** Those Archive Holders that agree to ingest and validate newly-archived materials according to standards developed by WEST are known as Archive Builders.
- 1.5. **Executive Committee:** WEST is governed by an Executive Committee—co-chaired by the Co-PIs— that oversees operation and development of WEST, prepares operating budgets for approval by members, and works to integrate WEST with related archiving programs nationally and internationally. The Executive Committee is composed of representatives from nine (9) WEST members (with representatives for Archive Holders, Archive Builders and Non-Archive Holders), elected by the full WEST membership.
- 1.6. **Operations and Collections Council:** The Operations and Collections Council oversees issues related to holdings disclosure and access/delivery, and develops and monitors a process to select titles for inclusion in the WEST archive. Members of the Operations and Collections Council are appointed by and serve for terms determined by the Executive Committee.
- 1.7. **Administrative Host:** The Administrative Host is an organization that provides program management, member support, and fiscal agency for WEST. The WEST Executive Committee is responsible for administering the contract or other relationship with the Administrative Host. The Administrative Host serves an initial term of 3 years, which may be extended annually or for additional multiple-year terms by mutual agreement. After the initial term, Administrative Host responsibility may be terminated by either party with a minimum of 12 months' notice. The California Digital Library serves as the Administrative Host for WEST for the initial 3-year term January 1, 2011 – December 31, 2013.

2. Archiving

- 2.1. **Selection process:** Decisions about which titles will be incorporated into WEST and where they will be preserved are made via a periodic Collection Voting Model administered by the Operations and Collections Council with support from WEST staff. Title sets will be routinely identified and prioritized by ongoing collection analysis. Titles may also be nominated for archiving by WEST member institutions.
- 2.2. **Retention period:** Archive Holders agree to maintain WEST archives through December 31, 2035. This date is known as the WEST Retention Date and represents a period of 25 years from the beginning of the WEST program. The Executive Committee will review and may modify the WEST Retention Date at least once every five years. WEST retention commitments survive membership in WEST.
- 2.3. **Ownership:** Members will retain ownership and title to the materials for which they are the Archive Holder. Materials which are relocated to an Archive Holder will become property of the Archive Holder (if allowed by state

laws and regulations). Archive Holders agree not to sell, discard, donate, or otherwise relinquish ownership or control of any of the archived materials prior to the Retention Date, except to transfer materials to another WEST Archive Holder or with permission of the Executive Committee.

- 2.4. **Contributing holdings:** Members agree to use their best efforts to contribute holdings via physical transfer of materials from local collections to complete the archived backfile held by any Archive Holder as recommended by the WEST Operations and Collections Council.
- 2.5. **Archiving Facilities:** Archive Holders agree to maintain WEST materials in archival locations suitable for the materials as established by the Operations and Collections Council. Archiving facilities are defined to include 1) separate high-density library storage facilities; 2) library locations with controlled access and appropriate environmental conditions, and 3) campus library shelving (for least-risk items).
- 2.6. **Original Form.** Archive Holders agree to maintain all of the archived materials in their original, artifactual form whenever possible.
- 2.7. **Review of Materials (Validation):** Archive Builders agree to examine all newly-archived materials according to the requirements for the level of validation specified by the Operations and Collections Council for those materials.
- 2.8. **Holdings disclosure:** Archive Holders agree to take all steps reasonably necessary to cause all of the archived materials, and information about their accessibility to potential users, to be registered in union catalogs and other applicable system(s) as established by WEST Disclosure Policy.
- 2.9. **Access to the Materials:** Archive Holders agree to make the materials available to other WEST members in accordance with the applicable Interlibrary Loan policies and procedures of the Archive Holder as follows
 - 2.9.1. **Reproductions:** Archive Holders agree to fulfill requests for photocopies/electronic delivery of any of the archived materials.
 - 2.9.2. **Building Use Only:** Original materials may only be provided for onsite use at the Archive Holder library or at the requesting WEST Member library.

3. Financial Obligations

- 3.1 **Financial Support to the WEST Program:** WEST Members agree to provide financial support to WEST through payments to the Administrative Host as specified in an annual budget and cost-sharing formula developed by the WEST Executive Committee and approved by the WEST membership.
- 3.2. **Financial Support to Archive Builders:** Archive Holders that also serve as Archive Builders may receive funding from the WEST program to help support their services as Archive Builders if approved and budgeted by WEST.
- 3.3. **Absorbed Costs:** WEST members agree to be responsible for all of the costs and expenses associated with maintaining the materials, contributing holdings to other Archive Holders (including transportation costs), and deselecting materials from local collections.

4. Withdrawal

- 4.1. **Withdrawal of WEST Member:** At any time after completion of its first three years of membership, a WEST member may withdraw by providing written notice to the WEST Executive Committee at least twelve (12) months prior to its intended withdrawal date. The WEST member must continue to pay any required participation fees during the 12-month notice period.
- 4.2. **Archive Holder Withdrawal:** If an Archive Holder withdraws from WEST or can no longer maintain the materials, the Archive Holder agrees to offer the materials to another Archive Holder and to transfer any accepted materials to the Archive Holder at the initial Archive Holder's expense. The WEST Executive Committee may waive this requirement if it determines that the materials no longer need to be archived.

Attachment 2: WEST Archive Holder/Builder Responsibilities

WEST Archive Holders and Builders are responsible for archiving print backfiles on behalf of the membership. Archive Holders and Builders assume the responsibilities described below.

Becoming a WEST Archive Holder/Builder

WEST Archive Holder/Builders and title lists are identified and agreed upon by WEST members once every two years. Most Archive Holders and Builders are identified during the collection analysis process based on certain semi-automated algorithms; library-storage facility affiliations are taken into account in the algorithms. Institutions also have an opportunity each year to nominate backfiles and to volunteer as Archive Holders/Builders.

Archive Holder Definition

An Archive Holder is an institution (library and/or storage facility) that retains the print backfile for a journal family.

Example 1 (Bronze Archive):

A library holds 2001-2005 for a journal family; its affiliated storage facility holds v.1-2000. The storage facility is declared the Archive Holder for v.1-2000 and the library is declared the Archive Holder for 2001-2005.¹

Archive Builder Definition

An Archive Builder proactively assembles print holdings from various libraries, validates them and discloses them. Once the backfile for a journal family is built, the Archive Builder becomes an Archive Holder for that family.

Archive Builders handle Silver, Gold and Platinum Archive types and receive special compensation to provide archive creation services, described below. The Archive Builder agrees to retain the backfile in environmental conditions stipulated for the Archive Type.

Archive Builders are usually storage facilities. When an institution does not have a storage facility, the Archive Builder can be a library.

Example 2 (Silver, Gold, or Platinum Archive):

Two libraries share a storage facility. Library A holds 1986-2005 of a journal family, Library B holds 1955-1985, and the storage facility holds v.1 to 1950. The storage facility is declared the Archive Builder for the journal family and is responsible for archiving the complete run; the facility calls for, receives and validates the libraries' holdings and stored holdings according to validation standards for the archive type. The storage facility also calls for holdings from the broader membership to complete gaps found during validation (e.g. 1951-1954 and other gaps).

Example 3 (Silver, Gold, or Platinum Archive):

One library (B) has a storage facility and another library (C) in the area that is not formally affiliated with the facility agrees to contribute holdings, when needed. The storage facility is declared the Archive Builder, and calls

¹ As the WEST program matures, the WEST Executive Committee has updated the collection scope by modifying the definition of a 'backfile' to maintain the currency and relevance of the WEST collections. Archive Holders are encouraged to retain all volumes published through the year the archiving commitment is made, and to periodically review and update past retention commitments to include volumes published after the original commitment backfile period. See the WEST Disclosure Policy "Collection scope and definition of 'backfile'" section (pg 4) for details on changes in the definition of backfile:

<https://cdlib.org/wp-content/uploads/2021/01/WEST-Disclosure-Policy.pdf>

for and validates both libraries' holdings and calls for additional holdings from the broader membership to fill gaps.

Example 4 (Silver, Gold, or Platinum Archive):

One library (D) does not have a storage facility, but through the collection analysis process, is proposed as the Archive Builder for a journal family. The library is able to house the backfile in appropriate environmental conditions. The library is declared the Archive Builder and calls for, receives and validates holdings from the broader membership to complete the backfile.

Archive Holder Responsibilities

An Archive Holder is responsible for

- Retaining print backfiles for an agreed upon preservation horizon as defined in the WEST Program Statement
- Providing access to WEST backfiles according to the WEST Access Policy
- For Bronze Archives, responsibilities include:
 - disclosing holdings according to the WEST Disclosure Policy. This also includes re-disclosing holdings that are moved to storage later.
 - Preparing progress reports and other ad hoc reports
 - Receiving gifts from WEST libraries to fill in gaps
 - Responding to WEST member inquiries and offers for holdings contributions
- Communicating and coordinating with the Administrative Host and other Archive Holders
- Participating in WEST consortial activities, particularly inter-Archive Holder activities (e.g. training, developing and sharing best practices, coordinating deselections)
- Providing a single point of contact for project management

Archive Builder Responsibilities (Silver, Gold, Platinum Archive Types)

In addition to the Archive Holder responsibilities, the Archive Builder is also responsible for

- Creating archives within a validation cycle for a predefined set of journal families and budgeted number of volumes determined by WEST partners.
 - Conducting two “calls for holdings” within the validation cycle as described in the “Call for Holdings and Gap Filling process.” This includes initial pre-validation holdings verification.
 - Validating holdings according to the “Standards for Issue and Volume Level Validation.”
 - Using reasonable efforts to complete validation within the designated validation cycle.
 - Preparing “wish lists” or “gap” reports at the end of the validation cycle
 - Preparing progress reports and other ad hoc reports for each validation cycle
 - Receiving gifts from WEST libraries to fill in gaps, after the validation cycle is complete
 - Responding to WEST member inquiries and offers for holdings contributions
- Disclosing print backfile holdings in OCLC according to WEST Disclosure Policy, which are informed by WEST validation standards
- Receiving and managing funds intended for archive creation services
- Hiring or otherwise allocating appropriately skilled staff to carry out archive creation services. Special training for project management and validation is required; previous serials management experience is very important. Sample position descriptions are made available by the Administrative Host.L

- Preparing reports using standard templates or on an adhoc basis. Reports may be used by WEST member libraries, the Administrative Host, WEST Governing bodies, the Mellon Foundation and non-WEST libraries.
- Ensuring compliance with the “Standards for Issue and Volume Level Validation.” An Archive Builder’s activities are expected to conform to these standards. If an Archive Builder does not conform to the standards, the Archive Builder is expected to align its activities and bring the archives up to standards within the archiving cycle. If the Archive Builder does not meet quality assurance and productivity standards during an archiving cycle, WEST reserves the right not to engage the Archive Builder in future archive creation services. The Archive Builder’s retention commitment for archived holdings survives termination. And the Builder continues as an Archive Holder and may continue as a member.

Example