



Western Regional Storage Trust

Cycles 14 & 15 Archiving Proposals Report

Prepared for the WEST Operations and Collections Council

Prepared by the WEST Project Team

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WEST Operations and Collections Council

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1. Context

A. Cycles 14 & 15 Collection Characteristics

The Operations and Collections Council analyzes the regional journal holdings submitted by WEST members every other year. The purpose of the analysis is to prioritize approximately two-years' worth of archiving proposals for WEST members.

In the fall of 2023, all WEST member institutions were invited to submit files of unarchived serials holdings and bibliographic records to AGUA, which were used as the foundation of the 2024 collections analysis for Archive Cycles 14 & 15.¹

WEST received files of unarchived print journal and serial holdings from 57 OCLC institution symbols, representing 48 WEST member institutions. All eight members who became new archive holders in Cycles 12 & 13 submitted their data again for Cycles 14 & 15 analysis. Additionally, three of WEST's new members (Southern Methodist University, Graduate Theological Union, and University of Colorado Boulder) submitted their data for analysis. 1,600,389 records were loaded into AGUA. 879,552 records matched to a journal family. This is a 55% match rate, which is slightly higher than the last two holdings analyses.

B. 2023 Future of WEST Recommendations² - Influence on Analysis & Proposals

The following 2023 Future of WEST recommendations influenced the final outcomes of the Cycles 14 & 15 collections analysis and final archiving proposals.

a. Do not recruit new Builders for Cycles 14 & 15

- i. *What this means* - Arizona State University, University of Kansas, and University of Denver successfully archived the majority of local higher-risk titles by the end of Cycle 13. During Cycles 14 & 15, WEST will make proposals to the three continuing Builders – University of Missouri and University of California Northern and Southern Regional Library Facilities – and reassess potential recruitment of new builders for Cycles 16 & 17.³
- ii. *What actions archivers need to take* - Simply be aware that there will be fewer active Builders in Cycles 14 & 15. Based on analysis outcomes, WEST may reach out to potential new Builders for Cycles 16 & 17.

b. Continue prioritizing low-effort archiving of higher-risk collections not held by Builders

- i. *What this means* - During Cycles 12 & 13, WEST introduced a new category of titles, which previously represented a blind spot in the model: higher-risk titles not held by any of the Builders. Known as 'high-risk/no Builder' or Title Category 2, this particular subset of higher-risk content is eligible for archiving in place by Holders. Physical validation and transfer to storage is encouraged but not required. This approach leverages the wider network to ensure preservation of titles that otherwise would not be addressed by WEST's collection model.
- ii. *What actions archivers need to take* - Understand that Title Category 2 proposals are higher-risk titles and are good candidates for voluntary validation and/or transfer to storage.

c. Eliminate archive types terminology (i.e. Bronze, Silver, and Gold)

¹ Member archiving work for the next two cycles will extend from fall 2024—when members submit their archiving commitments—to spring 2026—when members submit disclosures for Cycle 15. Please see [WEST Current Work and Future Milestones](#) for more details.

² For more information on the recommendations, please see the [Future of WEST report for members](#).

³ Arizona State University will continue piloting legacy gap-filling during Cycle 14, but will not archive new titles.

- i. *What this means* - WEST has long-relied on the shorthand of Bronze, Silver, and Gold archive types to communicate both a title’s risk level at the time of analysis and the actions performed to archive the title (e.g. issue-level completeness validation). However, because risk level is a snapshot in time and the description of specific actions taken are recorded elsewhere in the disclosed record, the archive type terminology confuses and obscures more than it communicates. Moving forward, WEST will rely on plain-language descriptions: specific title categories to describe risk at the time of analysis and proposal, and existing fields that convey exactly the actions taken in archiving.⁴
 - ii. *What actions archivers need to take* - Follow guidelines put out by the WEST Project Team for adjustments to make in Cycles 14 & 15 disclosures and, as desired, leverage change management communication resources for local transition in terminology. There are *no requirements or recommendations* at this time to retrospectively remove archive type terminology from previously made commitments.
- d. Simplify and streamline physical validation requirements for higher-risk titles**
- i. *What this means* - Until now Builders have followed different physical validation guidelines for medium-risk (previously Silver) and high-risk (previously Gold) titles. As of Cycles 14 & 15, Builders will follow one standard for all higher-risk content. In alignment with this unified standard, the WEST Executive Committee approved a single per-volume subsidy rate of \$7/volume.
 - ii. *What actions archivers need to take* - Archive Holders need take no action. Archive Builders should follow the amended disclosure policy and validation standards, as well as be aware that the single subsidy rate may affect the number of volumes covered by their budget.

The WEST OCC and Project Team are confident that these changes will simplify and streamline workflows for WEST members and staff moving into the future, but also recognize that change raises questions and can cause confusion. WEST aims to provide clear documentation and resources to support these changes and invites members to reach out to WEST staff at any time with questions.

C. Cycles 14 & 15 collections analysis priorities and scope

The WEST OCC sets priorities for and oversees each WEST collections analysis. In consultation with the OCC, the collections analyst applies collections criteria in the AGUA Decision Support System to redistribute backfiles, identify journal families with desired characteristics, and further winnow down title lists through prioritized criteria.

- a. Overarching priorities:
 - i. National collaboration - what is retained in shared print collections across the U.S. and Canada
 - ii. Diversify and broaden the WEST shared print collection
- b. Areas of focus include serials and journals that are:
 - i. relatively scarcely held in WEST and the U.S.
 - ii. not widely retained in the Print Archives Preservation Registry (PAPR)⁵
 - iii. relatively complete at the proposed archiving location

⁴ Those fields include the 583\$a (e.g. ‘completeness reviewed’), the 583\$i (e.g. ‘issue-level’), and the 583 \$l and \$z pairs, which report whether issues were identified and which items in the holdings were affected. You can read more about WEST’s standards for shared print actions and how they are disclosed in the metadata in the [WEST Disclosure Policy](#) and [WEST Validation Standards & Procedures](#).

⁵ [PAPR](#) is the most comprehensive database of serial and journal holdings archived by print archiving and shared print programs in North America.

- iv. published in the Global South and/or characterized by an underrepresented publication language
- c. Gap-filling pilot project:

WEST Archive Builders proactively work to fill gaps in their local holdings as part of the archive creation process. However, the fact remains that there continue to be many incomplete backfiles in WEST's higher-risk (previously Silver and Gold) archived collections. Therefore, in 2022 the WEST governance committees endorsed a proposal for Arizona State University to pilot a project filling gaps in their legacy higher-risk collections. The pilot has been extended to run through Cycle 14, at which point an assessment of pilot outcomes will take place.⁶
- d. Pre-analysis Exclusions

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

 - i. Journals in holdings location codes excluded by WEST library
 - ii. Government documents (as cataloged in the source record or in Ulrich's)
 - iii. LC classifications K (as assigned in Ulrich's)⁷
 - iv. Grandfathered UC (IEEE)
 - v. Title keywords
 - vi. Library holdings matching "micro"
 - vii. Library holdings matching "online"
 - viii. Titles already archived by WEST
 - ix. In-progress WEST archiving commitments (from Cycles 12 & 13)

⁶ To read more about the gap-filling pilot project undertaken by Arizona State University, please see Appendix 2 in the [Cycles 12 & 13 Collections Analysis Report](#).

⁷ 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.

2. Cycles 14 & 15 Archiving Proposals

A. Archive Holder Proposals

Any WEST member may serve as an Archive Holder. Archive Holders are not required to perform any physical validation or transfer archived titles to storage facilities. However, if a Holder chooses to voluntarily validate titles they archive, WEST encourages those actions to be recorded in the disclosure record.⁸

a. Prioritized Criteria for Archive Holder Proposals

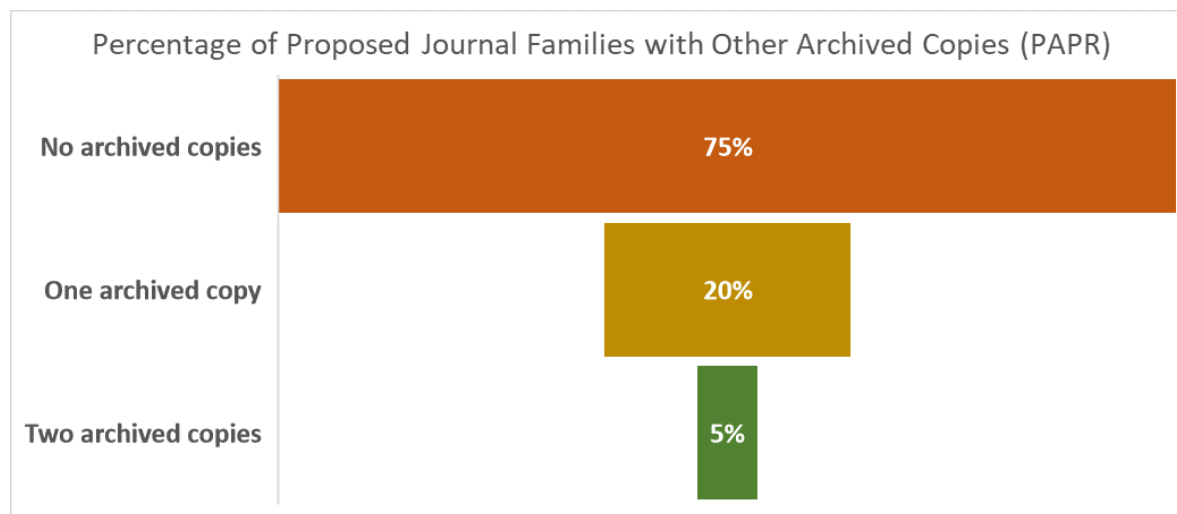
During the Cycles 14 & 15 collections analysis, the OCC prioritized the following criteria for Archive Holder proposals:

- i. *National collaboration* - prioritize content with 0-2 archived copies disclosed by other shared print programs through the Print Archives Preservation Registry (PAPR)⁹
- ii. *Scarcity* - prioritize content with 10 or fewer WEST holdings and 35 or fewer OCLC US holdings
- iii. *Expand the breadth of the archived collection* - prioritize titles with less commonly represented languages (first publication language is NOT English) and publication countries (Global South)¹⁰
- iv. *Completeness* - when not in conflict with expanding the breadth of archived content and protecting high-risk content, prioritize titles for which archivers have relatively complete holdings (75% or greater)¹¹

b. Characteristics of Final Archive Holder Proposals

The majority of Archive Holder proposals have not been archived by other shared print programs that disclose their commitments in PAPR. Archive Holders will be contributing to broadening the national collection of retained content.

Figure 1. Percentage of Proposed Journal Families with other Archived Copies (n = 4,472)



⁸ Please see [Voluntary Validation Guidelines for WEST Low Risk Materials](#).

⁹ JSTOR content (Title Category 6) is a common target for journal review and strategic deselection. Based on that and the relatively small number of JSTOR titles left to archive in the WEST universe of content, the OCC opted to exclude only JSTOR titles with 3 or more archived copies in PAPR.

¹⁰ Source: http://www.fc-ssc.org/en/partnership_program/south_south_countries. Note that for higher-risk, more scarce content—specifically Title Category 2—WEST lifted language and country parameters.

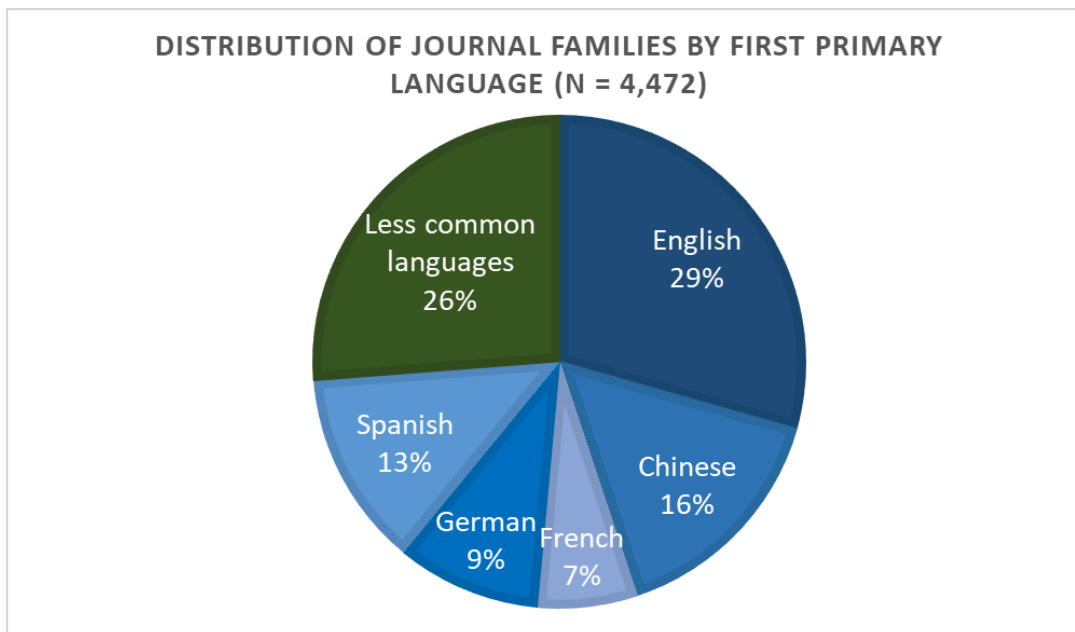
¹¹ For journal families with less than 75% of published volumes, propose all those with a publication country in the Global South and 3+ estimated volumes, as well as all those in Title Category 2 (high-risk/no builder) with 3+ estimated volumes due to that Title Category's higher risk level and higher scarcity as a whole.

Actively prioritizing less common languages and publication countries located in the Global South appears to make a significant impact on the diversity of WEST’s proposals when compared to Cycles 12 & 13, where these criteria were not leveraged to expand the breadth of the collection. Cycles 14 & 15 proposals are characterized by 5% more titles where the first language of a journal family is in a less common language.¹² From another perspective, there are 26% fewer journal families proposed with the first primary language of English (by comparison with Cycles 12 & 13).¹³

In Cycles 12 & 13, 19% of journal families proposed to Archive Holders had a publication country located in the Global South. WEST was able to almost double that to 36% in Cycles 14 & 15 by prioritizing journal families with publication countries in the Global South.

Overall, Archive Holders have the opportunity to broaden the WEST collection by targeting less common languages and publication countries in the Global South.

Figure 2. Distribution of Journal Families by First Primary Language (n = 4,472)



The Cycles 14 & 15 proposals to Archive Holders also differ from the previous cycles in that WEST is proposing almost twice as many journal families. Archive Holders are not required to physically validate content or move it into storage. The required metadata updates should be possible in batch. No Archive Holder is required to commit to all their proposals or any specific number or percentage. WEST will extend the review period for proposals given the increased volume of proposals to Archive Holders and WEST staff are available to assist as needed.

¹² In Cycles 12 & 13, 19% (341 out of 1,777) of journal families proposed to Archive Holders had a less common first primary language.

¹³ In Cycles 12 & 13, 55% (985 out of 1,777) of journal families proposed to Archive Holders had a first primary language of English.

Table 1. Final Count of Archive Holder Proposals

Final Count of Archive Holder Proposals	
Category	Proposed Journal Families
HTDL, Portico, CLOCKSS (TC1)	2,817
High-risk, No-builder (TC2)	1,629
JSTOR (TC6)	26
Grand Total	4,472

See [Appendix 1](#) for proposals per Archive Holder.¹⁴

B. Archive Builder Proposals

During Cycles 14 & 15, four WEST institutions continue as Archive Builders. Archive Builders undertake more intensive archiving work for higher risk content. Builders physically validate and transfer committed content to storage facilities that meet WEST’s environmental standards, and proactively call for holdings in order to fill gaps in the archived titles.

a. Cycles 14 & 15 Archive Building Budget Allocations

Setting the budget for archive cycles involves consultation with the OCC and Project Team on projected volume of content, consultation with Builders to understand their capacity for the following two years, and final decision-making by the WEST Executive Committee considering those consultations and the available funds. The WEST Executive Committee endorsed an archive creation budget not to exceed \$242,750 for Cycles 14 & 15.¹⁵

Table 2. Cycles 14 & 15 Archive Building Budget

Cycles 14 & 15 Archive Building Budget			
Archive Builder	FY 24-25 (Cycle 14)	FY 25-26 (Cycle 15)	Total Budget
MU	\$11,000	\$11,000	\$22,000
UC NRLF	\$50,000	\$50,000	\$100,000
UC SRLF	\$44,000	\$44,000	\$88,000
ASU (gap-filling pilot)	\$32,750	\$0	\$32,750
Total	\$137,750	\$105,000	\$242,750

¹⁴ In the last three analyses, WEST has proposed anywhere between 1,200 and 1,777 journal families and anywhere from 1 to 572 journal families to any one library.

¹⁵ The Archiving Building budget supports a per volume subsidy of \$7 per volume to support the Builders work in transferring the holdings into storage, physically validating the holdings, and calling for volumes to fill gaps.

b. Prioritized Criteria for Archive Builder Proposals

During the Cycles 14 & 15 collections analysis, the OCC prioritized the following criteria for Archive Builder proposals:

- i. *National collaboration* - prioritize content with 0-2 archived copies disclosed by other national shared print program through the Print Archives Preservation Registry (PAPR)
- ii. *Builder-specific criteria* - for the University of California Regional Library Facilities (RLFs), prioritize journal families where the RLFs have local holdings.

c. Other priority criteria not applied for Archive Builder Proposals

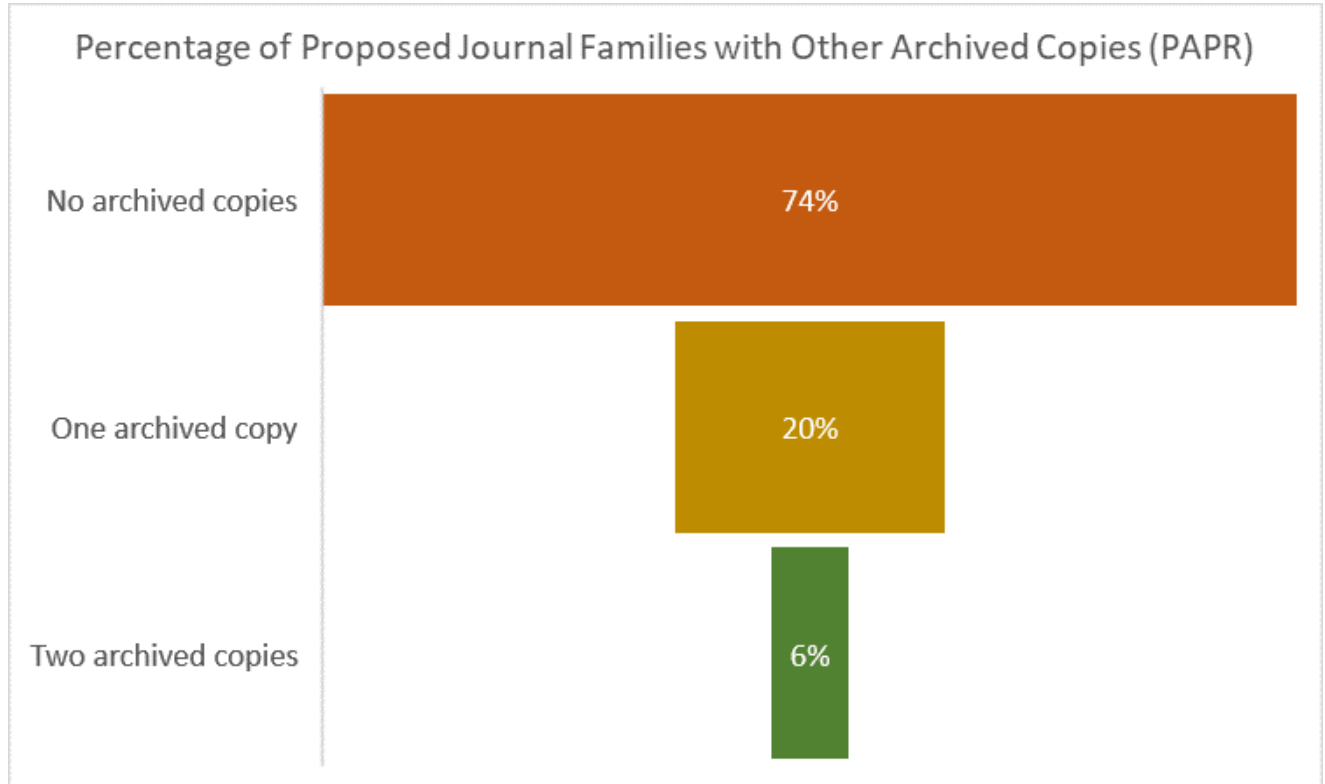
The priority of archiving content that lacks other archived copies met the available capacity of the Builders, with flexibility for the Builders to decline a moderate proportion of proposals. Therefore, the following criteria were not applied:

- i. *Scarcity* - prioritize content with 10 or fewer WEST holdings and 35 or fewer OCLC US holdings
- ii. *Expand the breadth of the archived collection* - prioritize titles with less commonly represented languages and publication countries
- iii. *Completeness* - when not in conflict with expanding the breadth of archived content, prioritize titles for which archivers have relatively complete holdings (75% or greater)

d. Characteristics of Final Archive Builder Proposals

The majority of Archive Builder proposals have not been archived by other shared print programs that disclose their commitments in PAPR. Like Archive Holders, Archive Builders will be contributing to broadening the national collection of retained content.

Figure 3. Percentage of Proposed Journal Families with other Archived Copies (n = 2,154)



The Archive Builder proposals align strongly with the priority to center national collaboration in WEST’s archiving strategy. While the Archive Builder proposals were not shaped to prioritize less common languages and specific countries of publication, they are generally less common titles. The average number of WEST holdings for the Builder proposals is three and the average number of OCLC US holdings is 32.

Table 3. Final Count of Archive Builder Proposals

Final Count of Archive Builder Proposals								
	Select full-text in commercial databases (TC3)		Electronic abstracting & indexing (TC4)		No electronic access points (TC5)		Total est. volumes	Total Journal Families
	Est. Volumes	Journal Families	Est. Volumes	Journal Families	Est. Volumes	Journal Families		
ASU	<i>Gap-filling pilot</i>							
MU	1,592	58	1,565	49	1,844	102	5,001	209
UC NRLF	4,369	196	6,346	215	7,463	463	18,178	874
UC SRLF	3,870	161	4,924	240	7,231	670	16,025	1,071
Grand Total	9,831	415	12,835	504	16,538	1235	39,204	2,154

Appendix 1: Summary of Cycles 14 & 15 Proposals to Archive Holders

Archiver OCLC Symbol	Number of Journal Families	Estimated Volumes
CUY - UC Berkeley	894	32456
WAU - University of Washington	719	15476
ZAP - UC NRLF	460	15877
CLU- UCLA	367	15979
JPG - Getty Research Institute	278	10929
KKU - University of Kansas	181	4545
AZU - Arizona State University	177	2799
IYU - Baylor University	96	1458
CUS - UC San Diego	94	2469
OKS - Oklahoma State University	87	1249
KKS - Kansas State University	84	1358
NTE - Washington State University, Pullman	81	1333
IWA - Iowa State University	79	2086
NTD - University of Idaho	73	1045
WYU - University of Wyoming	70	2866
RCE - Rice University	61	1389
GTX - Graduate Theological Union	58	3548
CUV - UC Davis	57	2603
ISB - Southern Methodist University	57	1234
OKU - University of Oklahoma	55	1045
ORZ - Portland State University	53	789
CNO - CSU Northridge	47	458
COD - University of Colorado, Boulder	41	1796
MUU - University of Missouri	39	3281
ORE - Oregon State University	36	681
CUT - UC Santa Barbara	30	726
HDC - Claremont College	27	749
WTU - Washington University in St. Louis	26	414
CSJ - San Jose State University	20	216
AZS - University of Arizona	18	711
IUF - Southern Methodist University	17	274
UUS - Utah State University	14	222
ISM - Southern Methodist University	11	188
CFI - CSU Fullerton	8	84
CRU - UC Riverside	8	219
CUI - UC Irvine	8	164
COU - University of Denver, Strauss Health Sciences Library	7	104
CDU - University of San Diego	6	88

CMM - Mount St. Mary's University	6	111
OXF - Seattle Pacific University	6	90
CUZ - UC Santa Cruz	5	91
WS2 - Washington State University, Vancouver	3	18
CUF - University of San Francisco	2	61
GH0 - St. Mary's College of California	2	38
WS7 - Washington State University, Spokane	2	10
DVP - University of Denver	1	5
ORC - Reed College	1	29
Grand Total	4472	133361