



Western Regional Storage Trust

Future of WEST

Report for WEST members

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How to use this report

This report is being distributed in advance of the 2023 WEST Summer Member Meeting and describes the process of strategic planning, as well as the near-term recommendations and longer-term investigations. The Member Meeting is an opportunity to learn more, ask clarifying questions, and engage in discussion. A survey to WEST voting contacts will be distributed following the Member Meeting to gather feedback. The WEST Executive Committee and Operations and Collections Council will review survey results, finalize decisions and next steps, and report back to members in the fall and winter of 2023. Near-term recommendations that are approved will be put in place before the beginning of FY24-25 (July 1, 2024). Next steps will be defined for longer-term investigations.

This report is structured so that readers can target their review according to their interests and the time they have. The Executive Summary gives readers the basic overview of near-term recommendations, long-term investigations, anticipated impacts, and the kind of member input WEST is seeking before making final decisions. For readers with a little more time or interest in a particular recommendation or area of investigation, more detailed background sections are linked in the Executive Summary. To give even more shape to each section, select appendices of supplementary material are included at the end of the report.

Executive Summary

WEST engages in regular strategic planning to set the direction for and shape program priorities. Past strategic planning took place in 2009, 2014, 2016, and 2019, representing four distinct phases of WEST's development as a program. In the fall of 2022, the WEST Executive Committee initiated a new phase of strategic planning to map the continued evolution of WEST (for more details, please see [Background](#)).

The Executive Committee has identified six interlocking areas of investigation, some with near-term operational impacts for WEST and member institutions and others with longer-term strategic implications that seek to move shared print to the next stage in its evolution by leveraging the power of existing and emerging national and international collaborations to create capacity at the regional and local levels.

1. AGUA systems development capacity

Recommendations

- Reduce AGUA systems development capacity for coding and building of new functionalities and tools by approximately half. Target remaining capacity to support necessary AGUA systems changes and new, high-priority needs.

Key impacts

- Control costs; realign operating costs with revenue
- Shift some focus from regional development of standalone, custom tools
- Fewer new features and tools will be developed for AGUA
- Less flexibility to experiment and innovate in AGUA
- No change to biennial collections analysis, annual disclosure, or any other existing activity, feature, or report in AGUA

Requested feedback from members

- How changes to AGUA systems development capacity will impact WEST's value proposition and possible alternatives to those changes

Detailed Background: [AGUA Systems Development Capacity](#)

2. Membership and fee model

Recommendations

- Consolidate historical Full and Supporting memberships into one standard individual membership model
- Continue to support and expand consortial and system memberships
- Define static data points from which to calculate all WEST member fees, with pathways for periodic review and adjustment
- Establish an updated and refined version of the existing tiered fee model based on Total Library Expenditures
- Define a membership fee track for public libraries

Key impacts

- Codify equal benefits for all members
- Simplify models for members
- Updating member data and refining tier levels results in some changes in member cost-share distribution
- Streamline program administration

Requested feedback from members

- Member approval of recommendations

Detailed Background: [Membership and Fee Model](#)

3. Collections analysis and archiving models

Recommendations

- Analysis process
 - Limit iterative OCC analysis and decision making process
 - Do not recruit new Builders for Cycles 14 & 15 to replace those that are coming to the end of their medium- and high-risk collections
 - Repeat the high risk/no Builder (Title Category 2) analysis in Cycles 14 & 15
 - Update the Title Nominations Policy to reduce program mediation of voluntary archiving decision making
- Archive creation
 - Align validation requirements for Title Categories 3, 4, and 5
 - Eliminate use of “Archive Types” as a shorthand for WEST risk and WEST archiving

Key impacts

- Analysis process
 - Limit OCC and Project Team time spent conducting the analysis to create capacity for other priorities
 - Limit archive creation costs in the short term
 - Leverage the full strength of WEST member collections and distribute responsibility for archiving higher-risk materials
 - Reduce administrative overhead for voluntary archiving and empower members to make curatorial contributions to the WEST archives
- Archive creation
 - Realign validation cost and effort for maximum value to WEST
 - Simplify WEST archiving model and disclosure requirements

Requested feedback from members

- Potential impacts of changed validation requirements
- Potential impacts of eliminating Archive Type terminology

Detailed Background: [Collections analysis and archiving models](#)

4. Digitization

Recommendations

- No proposal at this time; update on existing, approved recommendations

Key impacts

- Increase the assurance of digital preservation and access
- Strengthen the rationale for responsible deduplication (space reclamation)
- Provide innovative leadership in the shared print community
- Capacity shift in program and member staff time to support pilot projects

Requested feedback from members

- Ongoing value and impact of prioritizing digitization and digital access as part of print preservation efforts
- Nominations for a limited duration implementation task force

Detailed Background: [Digitization](#)

5. Enhanced WEST ILL Partnership

Recommendations

- No proposal at this time; ongoing investigation

Key impacts

- n/a (no proposal at this time)

Requested feedback from members

- Scope of collections included in an enhanced WEST resource sharing partnership
- Importance of various policy components
- Anticipated cost and value of an enhanced resource sharing partnership

Detailed Background: [Enhanced WEST ILL Partnership](#)

6. Expanding and Enhancing National Collaborative Activities

Recommendations

- No proposal at this time; ongoing investigation

Key impacts

- n/a (no proposal at this time)

Requested feedback from members

- Value of shared print at the national level
- What work is best situated at the national versus regional levels
- Any concerns about expanding at the national level and potential impacts to WEST

Detailed Background: [Expanding and enhancing national collaborative activities](#)

Background

Beginnings (2009-2018)

Planning for the Western Regional Storage Trust (WEST) began in 2009. The Andrew W. Mellon Foundation supplied grant funding that supported the initial one-year planning phase for WEST (2009-2010) and subsidized two subsequent three-year phases (Phase 1 2011-2013 and Phase 2 2014-2016) that helped our program build a robust foundation of partners, workflows, and policies. After Phase 2, WEST transitioned away from grant subsidization to become a fully member-sustained, ongoing and iterative program. The transition period lasted from 2016 to 2018, during which time WEST also built connections with peer programs across the country and co-founded the first national federation of shared print programs, the Rosemont Shared Print Alliance. Since completing the transition to sustainability in 2018, WEST has worked to refine its models, enhance its operations, and evolve to meet member libraries' needs.

Evolution of WEST (2019-2023)

In 2019, WEST engaged in [program assessment](#) and [strategic planning that laid out 10 recommendations](#) to guide the program's efforts for the period of 2020-2023. By taking collaborative action over the last three to four years through membership-wide participation, specially convened working groups, and governance groups we have collectively:

- Refined our [vision](#) and [value proposition](#)
- Enhanced our [policies and workflows](#)
- Balanced the shared responsibility of print preservation¹
- Created new opportunities for [discovery](#) and [access](#)
- Aligned guidelines for print preservation with [existing library workflows](#)
- Outlined potential [new areas of service](#) that complement WEST's long-standing areas of excellence

These accomplishments have taken WEST further down a path to release the value of the collective collection, while refining operations and methods to ease the work for individual member libraries.

Future of WEST Strategic Planning (2024 and beyond)

In recent years, libraries have grappled with static and shrinking budgets, which has forced difficult choices about what services and programs they can continue to support. Resources are stretched and membership organizations like WEST have to evolve their value propositions and models to meet this moment while also ensuring long-term program sustainability. When resources are stretched is exactly the time that collaborative solutions like WEST can help libraries meet ongoing access needs and cultural heritage mandates, and this is demonstrated by the continued investment and engagement of the majority of WEST's membership, as well as by new, incoming member libraries.

However, in 2021 and 2022, WEST experienced an increase in membership cancellations, seeing a total of ten cancellations in two years. Engagement with canceling members highlighted that the current cost and resource investment of participating in WEST can be a challenge. This challenge emerges from budget trends in academic libraries and shifting landscapes for library resources, but is also intertwined with the structure of WEST's membership model, the services WEST provides, and how the value proposition of shared print dovetails with and complements other institutional priorities.

¹ See in particular the discussions of the High risk / No Builders project (pg 10) and the changing priorities for duplication levels (pg 17) in the Cycles 12 & 13 Archiving Proposals Report: <https://cdlib.org/wp-content/uploads/2022/09/Cycles-12-13-Collections-Analysis-Report.pdf>

Ensuring that WEST is responsive and adaptive in these areas is one driver of the 2023 Future of WEST strategic planning. From a very practical standpoint, the cumulative impacts of membership cancellations combined with increased operational and infrastructure costs are leading to a structural budget deficit for WEST that has to be addressed. This is an opportunity for WEST to grow, refine, and meet evolving member needs. For all of these reasons, the WEST Executive Committee initiated a new phase of strategic planning to map the continued evolution of WEST.

Overall Strategic Scenario

The WEST Executive Committee has created a multifaceted strategic scenario to refine existing practices and expand opportunities to leverage the WEST trust network. The strategic scenario revolves around three major priorities for WEST's future state, as well as a fourth priority that is characterized as a "north star."

1. **Expand and enhance access.** As libraries grapple with changing budgets and new demands on their spaces, the Executive Committee sees a strategic need to reconceive the value of the WEST collaboration as not only a tool for long-term preservation but also a vehicle for maintaining the ready availability of collections that can no longer be maintained on campus.
2. **Expand and enhance the national effort.** The WEST program is grounded in creating value through collaboration, both at the regional and national levels. WEST is a founding member of the Rosemont Shared Print Alliance, a federation of shared print journal programs, and feels strongly that shared investment in this and other network-level collaborations has the potential to increase the efficiency and impact of shared print operations at all levels.
3. **Diversify the collective collection (i.e. surface, preserve, and make available unique collections).** In its first decade, WEST focused on creating 'quick wins' for members seeking to reclaim space by securing retention commitments for widely held titles. In its second decade, WEST has shifted its focus to seeking out scarcely held titles to ensure they are preserved in the long term. Additional work is needed to continue diversifying the collective collection and ensure that the universe of what's preserved in the long term reflects the diversity of scholarship and is able to fill the diverse research needs of the community.
4. **North Star: Collaborative collection development (i.e. prospective shared print).** Longer term, shared print will need to shift from being a largely retrospective activity to offering more opportunities for prospective collaborative collection development in order to fully leverage collective power for local benefit. While WEST is not pursuing this as an immediate goal, it is the north star toward which all of this work moves us.

To meet these priorities, the Executive Committee has identified six interlocking areas of investigation, some with near-term operational impacts for WEST and member institutions and others with longer-term strategic implications.

Approved near-term recommendations will be put in place before the beginning of FY24-25 (July 1, 2024). Next steps will be defined for longer-term investigations over the coming year.

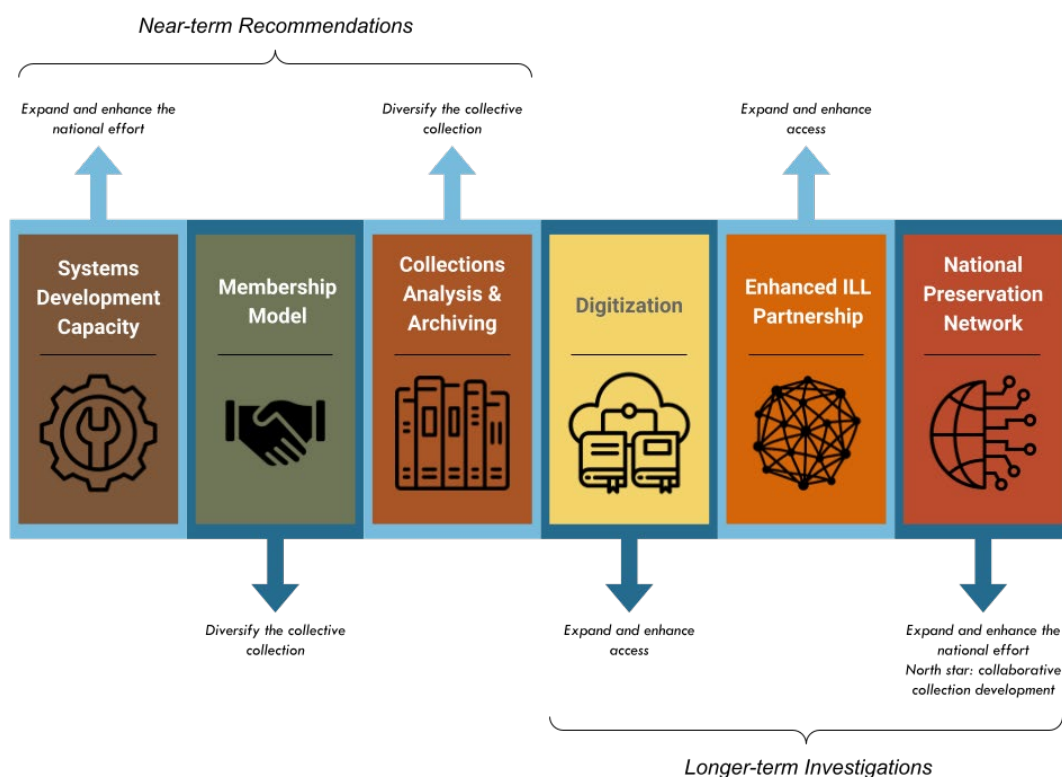


Figure 1. Summary of near-term recommendations and longer-term investigations, with strategic priority connections

- **AGUA systems development capacity.** WEST invests a considerable amount of its time and budget to develop new features and enhancements for the AGUA collections analysis and decision support system. While this work has allowed WEST to create robust tools to support regional group collections analysis as well as local collection management work, scaling back on this work will allow WEST to control costs in the short term without losing support for other critical program activities. Even if cost management were not a concern for WEST at this time, the evolution of collaboration at the national level gives WEST a new lens through which to consider strategic investment in shared technical infrastructure. *(Strategic priority connection - expand and enhance the national effort)*
- **Membership and fee model.** As library funding models change and new priorities for shared print emerge, it is essential for WEST to identify new models that support participation in the program, align with WEST's guiding principles, and ensure the long-term financial stability of the program. *(Strategic priority connection - diversify the collective collection)*
- **Collections analysis and archiving models.** WEST's approaches to group collections analysis and archiving are highly nuanced and highly intensive. As WEST looks back on its first decade of work, there are a number of lessons that can be learned to streamline and simplify the analysis, and to realign the cost and value of the archive creation work that members undertake as they retain materials for WEST. *(Strategic priority connection - diversify the collective collection)*
- **Digitization.** While WEST's primary focus has been on retaining print materials to ensure ongoing access to the print record, digitization of print-only materials is a key pathway to ensuring accessibility without compromising the security of the print copy. WEST's collection model leverages electronic availability as a key criterion for

decision-making about what to retain, information that can be used to identify and fill holes in the digitized print record. *(Strategic priority connection - expand and enhance access)*

- **Enhanced ILL partnership.** WEST has historically taken a hands-off approach to resource sharing between members, setting basic requirements for making WEST-archived materials available to members and otherwise relying on individual institutions to set their own terms for lending. As the once-distant future of relying on distributed collections for access becomes our present reality, WEST has an opportunity to rethink and expand our theory of the trust network to facilitate and support the increasing access needs that more and more member institutions are grappling with. *(Strategic priority connection - expand and enhance access)*
- **Expanding national collaborative activities.** WEST has benefitted from its collaboration with other regional shared print programs via the Rosemont Shared Print Alliance and sees opportunities for additional collaborations and alignment across the US and Canada. As a founding member of the Rosemont Alliance, WEST can play a strategic role in developing the next phase of national collaboration to streamline the work traditionally held at the regional level and free up capacity for new initiatives. *(Strategic priority connection - expand and enhance the national effort; north star: collaborative collection development)*

Once the Executive Committee affirmed these areas of investigation, the WEST Project Team began work researching, developing, and refining each area, and held discussions with relevant groups, including:

- WEST Operations and Collections Council
- WEST Executive Subcommittee for Membership
- WEST Advisory Task Force for Membership and Fee Model Review
- WEST Archive Builders Forum
- Rosemont Alliance Operations Committee
- AGUA Development Team
- California Digital Library / University of California Office of the President (WEST administrative host)

This period of investigation culminated in a joint meeting of the WEST Executive Committee and the Operations and Collections Council (OCC), during which the governance groups refined recommendations and areas of future investigation for membership-wide engagement.

Near-term Recommendations



1. AGUA Systems Development Capacity

Near-term recommendations

To meet immediate budgetary needs, WEST recommends reducing AGUA systems development capacity for coding and building of new functionalities and tools by approximately half.² AGUA is a custom-built, in-house, web-based suite of tools that enables the biennial group collections analysis as well as local collection management and decision support. Ongoing development of the AGUA system has value to WEST, but it also represents a significant investment that can be adjusted to realign operating costs with revenue, while maintaining targeted capacity³ to make technical improvements

² WEST member fees pay for a certain amount of staff FTE (Full Time Equivalent) that is dedicated to programming and launching new tools and systems improvements in AGUA. Currently, WEST staff time dedicated to AGUA overall accounts for close to 40% of the operating budget projected for FY24-25. A reduction in systems development capacity means a reduction in staff FTE dedicated to the WEST AGUA tool. A reduction in staff FTE supporting AGUA systems development does not put any jobs at risk; that FTE would be reallocated to other California Digital Library priorities.

³ Capacity in this context means California Digital Library staff time dedicated to AGUA systems development.

in AGUA and meet new, high-priority technical needs. Reconsidering the amount WEST invests in new systems development is the clearest and most immediate path toward financial sustainability in the short term without asking members for further investment. Beyond strictly financial considerations, changes in the broader landscape of shared print workflows and collaboration make it strategic to think carefully about WEST's ongoing investment in custom, program-specific tools.

What is under consideration

The recommendation is exclusive to WEST AGUA systems development (i.e. coding for new or improved features and reports), which occurs every other year when WEST is not engaged in collections analysis.

What is NOT under consideration

The recommendation does not propose changes to biennial collections analysis, annual disclosure of archived titles, or the availability and regular maintenance of the existing AGUA features and tools. This is not a proposal to stop regular collections analysis or cease offering comparison reports and tools to members. This is not a proposal to alter any WEST activities and services beyond the coding and development of new AGUA functionalities and tools. A reduction in staff FTE supporting AGUA systems development does not put any jobs at risk; that FTE would be reallocated to other California Digital Library priorities.

WEST member input

WEST seeks member input on how proposed changes to AGUA systems development capacity will or will not impact WEST's value proposition and whether the membership recommends WEST consider alternatives to reducing systems development capacity.

The final decision for whether to change AGUA systems development capacity and by how much will be made by the Executive Committee taking into account multiple threads of services and available budget.

The recommendation represents a permanent decision to change capacity in the area of new AGUA technical systems development. If approved and implemented, it will be important to evaluate the impacts of this change during the next WEST program assessment.

Questions related to this recommendation are included in the post-Member Meeting survey.

The recommendation

Reduce AGUA systems development capacity for coding and building of new functionalities and tools by approximately half. Target remaining capacity to support necessary AGUA systems changes and new, high-priority needs.

Overall Impacts

What we gain

- Control costs; realign operating costs with revenue
- *Potentially* - Shift some focus from regional development of standalone, custom tools to (1) cross-program efforts; and (2) functions that can be embedded in or integrated with core library systems and technical infrastructure (i.e. integrated library systems and resource sharing systems)

What we give up

- About half of WEST's capacity to undertake enhancements, systems improvements, and new features⁴

⁴ See [Appendix 1](#) for thought experiments for what reducing capacity by half could look like.

- *Potentially* - Flexibility to experiment and innovate - in the face of less capacity our bias is toward immediate benefit and impact

What we continue (will not change as a result of the recommendation)

- Customized, WEST-controlled collections analysis and decision support tools, e.g., file ingest and validation, regular data refreshes, yearly collection comparison reports, and the MARC file for local discovery
- *Some* systems development capacity to enhance the system and build new features

The alternatives

- Raise member fees
- Reduce costs in another area of the WEST budget - the most readily available would be the archive creation budget

Background

History & Current Structure of Systems Development in WEST

In Phase 1 of the program, WEST worked with the Center for Research Libraries to develop the Print Archives Preservation Registry (PAPR). During Phase 2, WEST struck out on its own to build a collections analysis and decision support dashboard on top of the PAPR code. This dashboard and set of capabilities was branded as AGUA and continues to facilitate core WEST services. The ongoing, biennial systems development of AGUA (i.e. improving the technical systems and building new technical features) became a part of WEST's regular program activities after the program's transition to being member-sustained in 2015 and 2016. Since then, WEST has alternated on a yearly basis leveraging technical resources for collections analysis and systems development.

In a given phase, WEST completes between eight and ten enhancements or new features that vary considerably in size and content. Some small features are as simple as adding data fields to an existing report. Larger features involve defining entirely new reports, improving data matching processes, and creating new interfaces and functionalities for member needs.

Systems development planning and execution is highly consultative, takes approximately a year and a half, and overlaps with WEST collections analysis work.

Investment in Systems Development

WEST staff time dedicated to AGUA accounts for close to 40% of the operating budget projected for FY24-25.

Table 1. Project FY24-25 FTE, Budget, and Recommended Reduction

Budget Category	Projected FY24-25 budget	Recommended FY24-25 reduction	Estimated Savings (salaries and benefits)
Program Management and Collections Staff	\$ 259,823 Staff FTE: 1.52	\$ 235,576 Staff FTE: 1.37*	\$ 24,247 Staff FTE: .15
Systems Development and Support Staff	\$ 335,340 Staff FTE: 1.9	\$ 252,474 Staff FTE: 1.4**	\$ 82,866 Staff FTE: .5
Systems Support Infrastructure	\$ 37,585	\$ 37,585	\$ 0
Archive Creation	\$ 159,250	\$ 159,250	\$ 0
Facilities and Administrative Charges	\$ 56,550	\$ 56,550	\$ 0
Total	\$ 848,548	\$ 741,435	\$ 107,113

* Reduces Collections Analyst FTE from 0.75 to 0.60

** Reduces Programmer FTE from 1.20 to 0.80 and Metadata Analyst FTE from 0.50 to 0.40

Based on estimates available in summer 2023, WEST is projecting an approximate \$146,000 deficit for FY24-25. Reducing AGUA systems development capacity by approximately half will reduce operating costs beginning in FY24-25 by approximately \$107,000, which will address 74% of WEST's projected budget deficit.⁵

AGUA systems development occupies a considerable portion of dedicated AGUA staff time in alternating years, with yearly systems maintenance and support for disclosure of archived titles also taking place. In years when systems development is not taking place, AGUA staff time is dedicated to data ingest and systems preparation for collections analysis (and again to yearly maintenance and disclosure work).

In addition to expert technical team staff time devoted specifically to systems development on a biennial basis, the WEST Analyst contributes significant time in managing the development process. The Operations and Collections Council (OCC) also devotes time to overseeing and providing input throughout development.

Generally speaking, supporting regular in-house development means that WEST's operating costs are higher than peer programs (e.g., EAST and SCLC) who contract out collections analysis technical support and are not regularly developing and improving their own tools.⁶ But, WEST's approach offers unique value to members and the overall program.

Value of Systems Development

WEST's capacity to build, maintain, and expand upon its own in-house, custom analysis and decision support tools is fairly unique in the landscape of shared print programs and delivers special value for members. Peer programs generally depend on external service providers to support their collection analysis and new tools or functionalities for members, and as such have limited influence over development priorities.

⁵ Please note that the budget deficit is based on projections that may change based on multiple factors, including changes in projected salaries, benefits or administrative host facilities and administrative charges, membership expansion, membership contraction, or other unforeseen circumstances. These changes may result in increases or decreases to the projected deficit for FY24-25 and beyond.

⁶ It is challenging to compare precisely the relative expense and value of developing custom, in-house tools versus working with an external service provider. The costs of the latter can be comparable to WEST's costs of developing and improving its own tool, but those costs are generally bounded or one-time, rather than yearly.

Direct Response to Member Needs

With systems development capacity, WEST can respond directly to the technical needs of member libraries. Examples of this include the ongoing enhancement and expansion of the On Demand Collection Comparison report, which gives member libraries extensive comparison capabilities for local collections decision-making, and the MARC file that is available for members to make the WEST collection discoverable in their local catalogs. Systems development capacity also supports executing new programmatic strategic directions. Examples of this include the creation of the “high-risk, no Builder” reports and incorporation of Rosemont Alliance and OCLC data, which all made it possible for WEST to shift into identifying and proposing unique and scarce content (the focus of the Cycles 12 & 13 collections analysis). Over the course of WEST’s existence, the program has produced a significant suite of collections analysis and decision support functionalities.

Use and Implications for Value

Use of enhancements varies widely. Functionalities and tools associated with WEST’s regular work cycles are used at set intervals. Enhancements that improve unarchived data ingest and collections analysis are mainly leveraged during a set period on a biennial basis by members who submit data and consider proposals (around 50 libraries in the last analysis). Enhancements that support disclosure of WEST commitments are used during annual disclosure periods by WEST Archivers (over 40 libraries). Enhancements that support the Archive Builders are used more frequently, but by a small group of users (users from the six libraries who serve as Archive Builders). Collection comparison reports (annually generated or On Demand) and institution rosters are used by members as needed. Please see [Appendix 2](#) for a list of the features and enhancements that WEST has completed during the last three phases of systems development and brief commentary on their general use.

Impact Beyond WEST

In addition to the value that systems development capacity adds for WEST members and the program, this capacity has impacted the broader shared print and library community. In 2020 – with WEST’s blessing – the CDL, CRL, and HathiTrust Collaboration adapted the on-the-fly reporting capability that underlies the On Demand Collection Comparison report to support comparison directly against the PAPR database for *any user*.⁷ AGUA has served as inspiration for other tool development in the shared print universe and WEST’s technical staff have contributed considerably to cross-program work to improve shared print data analysis and tools through Rosemont Alliance and Partnership for Shared Book Collections working groups and task forces. The expertise that development capacity has cultivated amongst WEST staff is of considerable, ongoing value.

Shifting Landscapes

Cross-program Collaboration

WEST co-founded the Rosemont Shared Print Alliance in 2017, in part to gain further efficiencies and economies of scale by working across regional and consortial shared print programs. Focusing regionally on the development of tools customized to WEST might actually inhibit collaboration in the larger network. There is an opportunity (not yet realized) for more systems development to be invested in and carried out at the level of the larger, collaborative network, so that it is more sustainable, harmonized, and aligned across programs who wish to work together. This proposal does not suggest that WEST will automatically shift development capacity to the national level, but that this is an area where additional community-level investment is needed.

⁷ Please see the acknowledgement at the bottom of the [CCH Comparison Tool landing page](#).

Of the six Rosemont Alliance programs, WEST undertakes the most systems and tool development. Several of the other Rosemont programs (EAST, WRCL) have staff with development expertise that can be deployed on ad hoc projects, but no dedicated, consistent programmer time. The University of Florida (home to the Florida Academic Repository, or FLARE) hosts the Journal Retention and Needs Listing (JRNL) tool, which supports gap-filling between the Rosemont programs. Five of the six Rosemont programs co-invest in the maintenance and ongoing development of JRNL, which includes dedicated programmer time. There have been a few, small-medium maintenance and improvement development projects for JRNL over the last 2-3 years, but no major enhancement projects. University of Florida has communicated flexibility regarding the future of JRNL and the possibility of folding its functionality into other nationally available systems or tools to consolidate and streamline processes for users.

Integrating Shared Print into Local Workflows and Systems

Another consideration for the ongoing deployment of systems development capacity is the desire to simplify and streamline shared print workflows for libraries. In WEST, this is manifest in our efforts to integrate shared print workflows with existing local workflows and systems as much as possible - for example, by [accounting for workflow-based validation](#), offering support to make [local discovery of the WEST collections](#) possible, and advocating with service providers to make shared print retention commitments visible and actionable in common library systems. WEST systems development will continue to be an important component of the program, but in the future may involve less building out of customized, standalone tools and more integration with core library systems and platforms.



2. Membership and Fee Model

Near-term Recommendations

WEST is resourced by a financial cost-share in the form of tiered member fees, along with in-kind contributions of member library staff time and resources. As a near-term component of the Future of WEST investigations, WEST reviewed and is recommending modifications to realign the membership model and fees with the evolution of library participation and program priorities.

What is under consideration

- Criteria and data that determine a member's fee level
- Frequency and process for updating member data that is used to determine fee levels
- Number and structure of fee tiers
- Membership types
- Services per membership type

What is NOT under consideration

- Accounting for future services
- Developing a model targeted to Tribal Libraries or Minority-Serving Institutions (this is a priority, but WEST has more information-gathering to do before developing a model)

WEST member input

According to the WEST Member Agreement, WEST's cost share formula is developed by the Executive Committee and approved by members. Therefore, voting contacts will be asked to vote on the following recommendations via the survey that will be distributed after the summer 2023 Member Meeting. *If the recommendations are not approved by at least 51% of member institutions and consortia, current models will continue for FY24-25.*

Questions related to these areas are included in the post-Member Meeting survey.

The recommendations

A total of five recommendations are presented to address needs in three areas: membership types, frequency & process for calculating member fees, and fee model.

The recommendations are made within the context of certain key assumptions, including:

- Continuance of a 3% annual increase in member fees to account for inflation
- The primary source for member data points is the [Integrated Postsecondary Education Data System \(IPEDS\)](#)
- Recommendations do not account for new services or future changes to services
 - Projected revenue for FY24-25 serves as an initial, approximate revenue target
 - Final costs for FY24-25 may go up or down depending on Future of WEST decision-making taking place later in the 2023 calendar year - the fee model's fundamental components will not change, fees will simply go up or down proportionally

Membership Types

Recommendation #1: Consolidate historical Full and Supporting memberships into one standard individual membership model

Rationale:

- Equal benefits to all members
- Aligned with WEST's strategic aim to preserve and provide access to a diverse collection by enabling any member library to participate in analysis and archiving
- Easy for members to understand and for program to administer

Recommendation #2: Continue to support and expand consortial and system memberships

Conduct further investigation and testing to determine whether it is possible to offer consortial and system membership discounts linked to explicit administrative savings

Rationale:

- Streamlines administration of membership agreements and invoicing, both for WEST and for member libraries
- Offers consortia and systems flexibility to allocate cost of WEST membership as they prefer (e.g., pass-through charge to individual libraries, redistribution of cost among member libraries, centralized payment)
- Builds connections between WEST and consortial and system leaders
- *Considered, but not recommended:* Consortial fee discounts - further study is needed to determine whether it is possible to actually recoup costs through consolidated invoicing and whether it is possible for members to generate and for WEST to accept and process consolidated data sets

Frequency & Process for Calculating Member Fees

Recommendation #3: Define static data points from which to calculate all WEST member fees

- *Use the same static data points for all new incoming members*
- *Approach is reviewed every five (5) years⁸*
- *Executive Committee may choose to undertake an ad hoc review at the Committee's discretion*

Rationale:

- Predictable for members
- Predictable for program budgeting
- Low effort for program
- *Considered, but not recommended:* Biennial and Triennial Updates - reasons against:
 - High effort for the program and governance
 - In a tiered model, it is not anticipated that using a frequently updated expenditure figure will result in tier changes that affect fees significantly within these timeframes
 - Creates more uncertainty for members and the program (even if significant changes are not anticipated)

Fee Model

Recommendation #4: Establish an updated and refined version of the existing tiered fee model based on Total Library Expenditures

Average of 2019, 2020, and 2021 IPEDS Total Library Expenditures⁹

Rationale:

- Updated data and refined tiers improve the equity of the cost-share and may be adjusted based on future budget needs
- Leveraging the same data variable (IPEDs Total Library Expenditures) and basic tier structure as are used in the current fee model ensures a lower degree of change for most members
- Total Library Expenditures gives a general frame for libraries' relative resourcing
- Low changeability in averaged data over time (i.e. assessed to require lower frequency updates)
- Reasonable effort for the program to maintain
- *Considered, but not recommended:* Four alternative models with varying data points and structures - reasons against:
 - Narrower data points, including Total Library Materials and Services Expenditures or staff to student FTE ratio, shift the distribution of the cost share in significant ways (near term volatility for members) and reflect a less complete picture of relative library resourcing
 - Some data points and structures are anticipated to require more frequent updates to the member data; these options are less sustainable for the program and less predictable for members
 - Some structures (i.e. incorporation of FTE ratio) are generally more complex, less sustainable for the program, and are anticipated to be harder to explain to members
- *Considered, but not recommended:* The Membership Subcommittee and Task Force considered incorporating additional discounts for some library types based on Carnegie Classification, as a strategy to help achieve WEST's goals of incentivizing participation by more types of libraries. It was not clear whether such a discount could be high enough or targeted enough to make the additional layer of complexity meaningful.

⁸ As part of that review, the Executive Committee will consider updating the IPEDS data used in the model.

⁹ Per Recommendation #3, this average will be reviewed after five years. Or, the Executive Committee can initiate an ad hoc review before that time.

Table 2. Updated and Refined Tiers

Current Tier	Current Threshold Total 2012 & 2014 average Total Library Expenditures greater than	Recommended Tier	Recommended Threshold Total 2019, 2020, & 2021 average Total Library Expenditures greater than
Tier 1a	\$ 1	Tier 1	\$ 1
Tier 1b	\$ 500,000	Tier 2	\$ 500,000
Tier 2	\$ 1,000,000	Tier 3	\$ 1,000,000
Tier 3	\$ 2,500,000	Tier 4	\$ 2,500,000
Tier 4	\$ 5,000,000	Tier 5	\$ 5,000,000
Tier 5	\$ 10,000,000	Tier 6	\$ 10,000,000
Tier 6	\$ 15,000,000	Tier 7	\$ 15,000,000
Tier 7	\$ 20,000,000	Tier 8	\$ 20,000,000
		Tier 9	\$ 25,000,000
Tier 8	\$ 30,000,000	Tier 10	\$ 30,000,000
		Tier 11	\$ 60,000,000

In the recommended model, upper tiers have been added to reflect the current range of expenditures. While it is not shown in Table 2, another tier refinement that took place was normalizing the percentage increase for the fees from tier to tier. In the current model, the percentage increase from tier to tier inexplicably balloons across the middle tiers. In the recommended model, the increases from tier to tier are normalized to better approximate an inverse relationship between dollar amount and percentage increase.

Please see [Appendix 3](#) for a complete matrix of the models considered, their ranking, key characteristics, rationales, benefits, and considerations.

Please see [Appendix 4](#) for the per member impact of the proposed model.

Recommendation #5: Define a membership fee track for public libraries

Calculate fees on the basis of print expenditures only¹⁰; offer full benefits

Rationale:

- Opportunity to expand and diversify WEST membership and the retained collection
- Recognizes the unique resourcing of public libraries and their likely ability to contribute financially to a collaboration like WEST

¹⁰ Data source for public library print collection expenditures data: <https://www.ims.gov/search-compare>.

- Creates a starting point for WEST to offer membership tracks for other types of libraries, for example, HBCU or Tribal libraries

Overall Impacts

The final recommendations are meant to address the evolution of library participation and program priorities, outdated member data that is used to inform the current model, consortial pricing and services, and a shifting WEST budget.

Most importantly, the recommendations aim to prioritize long-term equity in WEST's cost-share model while accounting for near-term change and impact to members.

Background

For the first six years of the program (2011-2016), funding from the Andrew W. Mellon Foundation supported approximately half of WEST's operating budget. Member fees supported the other half of the operating budget. Originally, fees were calculated on the basis of collection size (volumes held) and whether or not the library served as an archiver, in which case a discount was applied.

In 2015, WEST began the transition from grant subsidization and defined a new membership and fee model to support the next phase of program development, fully sustained by a membership cost-share. The 2015 model continues as the foundation of WEST's current membership and fee model and is characterized by:

- Fixed fees, organized into tiers
- Tier thresholds defined by an average of Total Library Expenditures¹¹
 - Since 2017, an average of 2012 and 2014 Total Library Expenditures
- Full and Supporting membership types defined by a threshold of Total Library Expenditures (\$5 million)
 - The primary difference in services between the Full and Supporting categories is the opportunity to participate in collections analysis and serve as an archiver
- Consortial member fees assessed at the individual library level within the same tiered model
- Discontinuation of archiver discounts

For FY23-24 member fees, the Executive Committee approved a small and immediate adjustment to WEST's fee model, which, while having minimal impact on current membership, was intended to support WEST's goals of expanding and diversifying membership. Tier 1 in WEST's fee model is now split into two tiers to better align with the capacity of libraries with total expenditures below \$1 million and below \$500,000. The recommended model carries forward that split, but formalizes Tier 1b as Tier 2.

¹¹ Data are collected from the Integrated Postsecondary Education Data System (IPEDS) as compiled by the National Center for Educational Statistics (NCES): <https://nces.ed.gov/ipeds/use-the-data>. Total expenditures (salaries/wages, benefits, materials/services, and operations/maintenance) is described further as "the sum of salaries and wages; fringe benefits; materials/services expenditures; and operations and maintenance expenditures."

2023 Review Process & Decision-Making

In 2023, The WEST Executive Committee charged its Membership Subcommittee to oversee review and revision of the membership and fee model.¹² The Membership Subcommittee convened an Advisory Task Force of at-large WEST member representatives to review and provide input on models and options development by the Subcommittee.¹³

The Membership Subcommittee completed a landscape review of peer organizations and developed models and options for in-scope areas including:

- Criteria and data that determine a member's fee level
- Frequency and process for updating member data that is used to determine fee levels
- Number and structure of fee tiers
- Membership types
- Services per membership type

Together, the Membership Subcommittee and Advisory Task Force crafted membership and fee model recommendations. The recommendations were reviewed and approved by the Executive Committee, and the membership will vote on the recommendations in the post-Member Meeting survey.



3. Collections Analysis and Archiving Models

Near-term Recommendations

The group collections analysis and the archiving that flows from it are at the core of the WEST program. These are major activities that require significant investment of time and resources from the Project Team, governance groups, and members. Investigations in this area focused on identifying opportunities for streamlining and simplifying work during different steps in the analysis and archiving process.

What is under consideration

- The length and complexity of the collections analysis process
- Investment in archive creation

What is NOT under consideration

- Frequency of the analysis
- Program mediation of the analysis
- The WEST risk model

WEST member input

The final decisions on these recommendations sit with the OCC and WEST Executive Committee, taking into account member feedback on potential impacts of these changes in the following areas:

- Perceptions of WEST archives and archiving standards
- Member ability to conduct local analysis against the WEST archives and make collection management decisions

¹² Additionally, in January, the Executive Committee approved a small adjustment to WEST's current fee model, which, while having minimal impact on current membership, is intended to support WEST's goals of expanding and diversifying membership and the collection we are able to preserve for the future: Tier 1 in WEST's fee model is now split into two tiers to better align with the capacity of libraries with total expenditures below \$1 million and below \$500,000. This change was communicated to WEST members (Director and Primary Contacts) via the February 2023 Fee Advisory.

¹³ For more information, please see the [Task Force charge and membership](#).

- Archiver workflows

Questions related to these areas are included in the post-Member Meeting survey.

The recommendations

Table 3. Recommended modifications to the WEST collections analysis and archiving models

What	How	Anticipated impacts
Limit iterative analysis and streamline decision making process	Set strict selection criteria for Cycles 14 & 15 archiving proposals before or early in the analysis process	Reduces the number of decision points for the OCC. Increases Project Team and OCC capacity while still providing a valuable service to members by identifying scarcely held and other priority materials for archiving. Continues WEST's commitment to data-informed decision making while reducing the number of iterative analyses.
Decrease overall traditional archive creation capacity in Cycles 14 & 15	Do not recruit new Builders for Cycles 14 & 15 to replace those that are coming to the end of their medium- and high-risk collections	Creates savings in the medium-term (starting in FY25) by contracting the archive creation budget while still reserving the option to increase capacity in the future by adding new Builders (no impact on continuing Builder capacity). - Reduces program reliance on a small group of members to archive higher risk materials and expands opportunities for low-effort archiving of higher risk materials to non-Builders (via the "high risk/no Builders" Title Category 2 analysis). - Reduces the overall number of analyses required of the Project Team and OCC, freeing up capacity to devote to other priorities.
Continue prioritizing low-effort archiving of higher-risk collections not held by Builders	Repeat the high risk/no Builder (Title Category 2) analysis in Cycles 14 & 15	Ensures continued progress securing higher risk materials by leveraging the archiving capacity of the full WEST membership. Demonstrates a clear commitment to identifying and securing retention commitments for scarcely held higher risk materials. Requires some development time to prepare the analysis report, and requires some Project Team and OCC capacity to analyze results. Rebalances archiving capacity across the WEST membership to more fully leverage non-Builder collections and capacity.
Encourage voluntary archiving	Replace the Title Nominations Policy and process with voluntary archiving guidelines	Simplifies the process for archiving materials outside of the regular collections analysis process. Reduces administrative overhead for the program and for the Archiver by eliminating review and acceptance workflows. Supplements the data-driven collections analysis by encouraging members to leverage local priorities for group benefit to diversify the WEST collections through curatorial decision making.
Simplify and streamline validation requirements	Codify current Builder practice to validate all TC3/4/5 materials at the issue level for completeness. Reduce or remove condition validation requirements, relying instead on Builders' local condition checks to	Adjusts archiving requirements to realign validation costs and benefits and updates WEST's definition of "good enough" effort while still maintaining valuable archiving activities to provide key protections to higher risk materials. Focuses Builder efforts on identifying and correcting completeness problems.

	identify materials that should be rejected from the WEST archives. Adjust and align the per-volume archiving subsidy for both Archive Types in acknowledgement of the changes (final amount to be determined prior to implementation).	Leverages existing workflows at Builder institutions to identify and correct major condition problems and reduces the need for additional reviews of lower-priority condition problems. Right-sizes the validation requirements for higher-risk materials to balance Builder effort with the value provided back to WEST. Adjusted per-volume subsidy amount acknowledges the changed validation requirements and demonstrates continued support for Builders.
Eliminate “Archive Types” terminology	Rely on Title Categories to identify requirements for archiving and validation actions. Cease disclosing Archive Type in retention commitment and validation notes, rely instead on plain-language disclosure of archiving actions.	Lays the foundation for simplifying the WEST collections and archiving models as currently applied. Focuses disclosure work on explicitly recording archiving activities and validation outcomes. Simplifies interpretation of disclosure notes by end users.

Overall impacts

Items 1-3 are considered uncontroversial changes that are within the OCC’s charge to “oversee the process to review and prioritize journal titles and title nominations for inclusion in the WEST Archive,”¹⁴ and are decisions that the OCC can make for a single collections analysis while still retaining significant control over these tactics and how WEST deploys them in the future. The OCC will be asked to review specific implementation options for these items at a later date.

Similarly, Item 4 is considered an uncontroversial realignment of WEST policy with reasonable effort on the part of the program and member libraries. WEST members make curatorial decisions about their collections, and this expertise, in conjunction with WEST program tools that can help members identify scarcely held titles, should be leveraged for the good of the group.

Items 5 and 6 represent more consequential changes to WEST’s archiving model. Because of the potential impacts of these recommendations, these items are less flexible than the others; WEST should consider any changes in these areas as a long-term shift in the program’s overall approach to archiving rather than a short-term adjustment to meet immediate needs. For more background and discussion about these two recommendations, please see [Appendix 5](#).

Overall, these proposals help rebalance the effort invested in and value created by WEST’s analysis and archiving work.

What we gain

- *Efficiency.* Streamlining and scoping the OCC and WEST Analyst’s work on the collections analysis will create capacity for new and emerging priorities and initiatives. Updating Builder archiving requirements rescopes their work to better balance effort and value, and leverages external workflows for WEST benefit.
- *Distributed effort and responsibility.* Leveraging the potential within the full WEST membership to participate in low-effort archiving of higher-risk materials distributes the effort and responsibility for these collections. Reducing the administrative process for voluntary archiving empowers members to make curatorial decisions to benefit the group, enhancing the regular biennial collections analysis and diversifying the WEST archives.

¹⁴ See the WEST Governance document, OCC Charge (pg 4, #4): <https://cdlib.org/wp-content/uploads/2021/05/WEST-Governance.pdf>

- *Increased clarity.* Eliminating coded terminology and reemphasizing the importance of disclosing real-world validation activities increases the comprehensibility of WEST archiving information, supporting easier cross-program comparison.
- *Cost savings.* Pausing recruitment of new Archive Builders for Cycles 14 & 15 provides significant savings for the program during those budget years without impacting WEST's ability to expand this activity in the future.

What we give up

- Some nuance in analysis and decision-making for what to propose for archiving
- Some Archive Builder capacity to archive higher-risk materials with physical validation
- Some physical validation requirements
- Convenient shorthands for describing the WEST archives in internal and external communications

What we continue

- Leveraging a centralized biennial collections analysis to identify group archiving priorities
- Utilizing the risk model outlined in the WEST collections model to determine archiving requirements based on electronic availability

Background

Current state

WEST's current approaches to both the group collections analysis and archiving are highly complex. The group collections analysis (offered annually from 2011 through 2015, then biennially starting in 2016) is an iterative and time-intensive process. Member institutions prepare files of their journal records and submit them to WEST for ingest into AGUA. The WEST Analyst prepares an initial analysis of the overall data for the OCC, which identifies the collection characteristics that should be prioritized for identifying archiving proposals. The Analyst applies these initial criteria and reports back to the OCC on the outcomes, at which point the OCC either accepts the final selections or makes additional recommendations to refine the final proposals. For proposals to the Archive Builders, additional individualized analyses are required to refine the final proposals of higher risk material to fit the anticipated capacity at each Builder. Altogether, a typical biennial collections analysis requires at least eight separate analyses, and can include many more.¹⁵

Title Category is a representation of the calculated risk profile for the journals and Archive Type is a description of the requirements for archiving materials in those Title Categories. During the collections analysis journals are reviewed for electronic availability and sorted into Title Categories that describe the level of risk they face for loss of content: journals that have full electronic availability in trusted digital repositories¹⁶ are considered to be at lowest risk for loss and journals with no electronic presence are considered to be at the highest risk for loss. Each Title Category is assigned to an Archive Type that defines the archiving requirements that are intended to mitigate the risk posed to the journals in the given Title Category, with few requirements for journals deemed to be at low risk and more intensive requirements for those deemed to be at higher risk of loss.¹⁷

¹⁵ The analysis for Cycles 12 & 13 required 11 separate analyses: an initial 'overall' analysis of eligible journals, an analysis of Bronze-eligible journals to identify selection criteria, an analysis of journals that are high risk but not held by any Builders (pilot) to identify selection criteria, an initial analysis of Silver- and Gold-eligible journals to investigate selection criteria, individual analyses for each of the 6 Archive Builders' Silver- and Gold-eligible journals to finalize criteria, and an analysis of ASU's legacy Silver and Gold archived holdings for a pilot project investigating the viability of dedicated retrospective gap filling.

¹⁶ The trusted digital repositories currently leveraged by WEST are Portico, CLOCKSS, JSTOR, and the HathiTrust Digital Library (HTDL) serials and journals collection.

¹⁷ Archive Builders are the only members asked to perform the more intensive archiving activities, work that is financially subsidized by WEST member fees.

However, over the years these have been conflated so that the Archive Type designation has come to serve as shorthand for both the ‘snapshot in time’ risk profile taken during the collection analysis and the validation actions performed during archiving. Using the current Archive Type terminology obscures both functions and is redundant of information already recorded in validation disclosure notes: a journal’s risk profile may change at any time as titles are digitized and added to trusted digital repositories (meaning the Archive Type as snapshot of risk is unreliable after the moment of analysis), and archiving actions are recorded in plain language notes during disclosure (meaning the Archive Type is redundant with other information available in the records).

Investigation and refinement process

To begin the investigation into how the analysis and archiving models could be updated to create more capacity and efficiencies for the program and member institutions, the OCC weighed the risks and benefits of potential modifications, identifying two areas for further exploration: the length & complexity of the analysis process, and the investment in archive creation. The OCC discussed but ultimately recommended against pursuing changes related to the frequency of the analysis, determining that decreasing the frequency of the analysis would correspondingly decrease familiarity with the process at member institutions and increase the overall challenge of participation in the process. Similarly, the OCC recommended against decreasing the current level of program mediation of the analysis (performed by the WEST Analyst) and archiving proposal process (led by the OCC): decreasing program mediation and decentralizing the analysis process would push more work to members who may not be able to supply staff resources or time to engage in that work effectively.

Based on OCC discussion, the Project Team developed an initial set of recommendations to modify both the collections analysis process and WEST’s approach to archiving medium- and high-risk materials. To better understand potential impacts of the recommendations, the Project Team held an in-depth discussion with Archive Builders and sought feedback from national partners in the Rosemont Shared Print Alliance to better understand the potential impacts of these recommendations both regionally and nationally.¹⁸

Outstanding questions and next steps

In addition to member feedback on the potential impacts of these recommendations, there are a number of outstanding questions related to the implementation of the changes to archiving requirements and the elimination of Archive Type terminology. The Project Team also recognizes that members leverage Archive Type terminology when discussing the value of WEST and the WEST archives with stakeholders, and will work to provide additional communications support to help members incorporate this pivot into their internal communications strategies. Depending on the final decisions on these proposals, these questions will be taken up by the OCC, Project Team, and key stakeholder groups in the coming months.

Longer-term Investigations



4. Digitization

Longer-term investigation

The Executive Committee identified “expanded and enhanced access” as one of three major priorities during strategic visioning in the fall of 2022. Digitization is one area of focus falling within that major strategic priority, which WEST has already investigated and in which our program has defined a path forward. Leveraging WEST data, existing AGUA

¹⁸ A summary of the discussion with Archive Builders can be found in [Appendix 5](#).

systems, and the collective collection of the WEST trust network, WEST can test a range of activities to facilitate digitization that helps to ensure preservation of and ongoing access to the print record. WEST has committed to piloting a partnership with the Internet Archive (IA), as recommended by the Non-Journal Formats Working Group in their final report.¹⁹ This pilot will serve as a learning opportunity for WEST, shaping WEST’s approach to a longer-term partnership (with IA or another organization) in the future.

WEST member input

As the explorations continue, WEST seeks ongoing member input on the value and impact of prioritizing digitization and digital access as part of print preservation efforts.

To advance the Internet Archive Pilot, WEST is seeking individuals to serve on a limited duration implementation task force that will:

- Put in place necessary guidelines and workflows to implement the Internet Archive Pilot
- Identify and recommend areas for future refinement (i.e. the pilot may embrace a “minimum viable product” approach while recommending areas for enhancement).

In particular, the implementation task force is seeking members with experience and expertise in:

- Reviewing and committing to WEST archiving proposals
- Standards for metadata and discoverability for digitized print serials
- Digitization and deposit workflows of Internet Archive and/or HathiTrust
- Collections strategy
- Communicating about and launching new library or collaborative initiatives

Please see [Appendix 6](#) for the full Internet Archive Pilot Implementation Task Force Charge.

Questions related to these areas are included in the post-Member Meeting survey.

Current State

The WEST collections model is built around the digital availability of print serials and journals. WEST analyzes library holdings data and categorizes titles as:

- Preserved in a trusted digital repository (JSTOR, Portico, CLOCKSS, or HathiTrust Digital Library)
- Selected full-text access through select aggregator databases
- Electronic abstracting and indexing through select aggregator databases without full-text access
- Not available digitally (no match to comparator lists)

WEST does not coordinate digital gap-filling or any kind of digitization for those titles with limited or no digital availability at the time of analysis.

Initial Investigations

In 2019, WEST conducted a major program assessment, culminating in a strategic planning session that resulted in a number of recommendations for WEST action during 2020-2022. One of these recommendations was to “Convene a working group to take up the question of expanding WEST’s scope to include non-journal formats (analog or digital)

¹⁹ <https://cdlib.org/wp-content/uploads/2023/04/WEST-Non-journal-Formats-Working-Group-Final-Report-and-Recommendations.pdf>

and/or to collaborate with non-journal shared print programs.”²⁰ The Executive Committee charged the Non-journal Formats (NjF) Working Group to investigate these areas and make recommendations for action.

The NjF Working Group completed their charge in 2022 and issued a prioritized list of pilot projects through which WEST could test expanding its scope, including by turning attention to digital surrogates of print serials and journals print journal format. The top priority identified in the report is a pilot project to coordinate the donation of duplicate copies to the Internet Archive for digitization. In 2023, a limited duration task force will be charged to lead the implementation of this pilot project.

Opportunities

Introducing a digitization component through the pilot to complement WEST’s print preservation work presents a number of opportunities, including:

- More access points to WEST-archived materials (via Internet Archive and RapidILL)
- More assured, complementary digital preservation
 - Additional digital backups for scarcely held titles (where digital surrogates already exist)
 - Creation of digital surrogates of print-only content (especially scarcely-held titles)
 - Completion of digital backfiles for partially-digitized titles (especially scarcely held titles)
- Strengthening the rationale for responsible deduplication (space reclamation)
- Providing innovative leadership in the shared print community

The pilot is a strategic entry point to exploring digitization with less burden on local and program resources.

Please see [Appendix 7](#) for digitization proposal excerpts from the *Non-journal Formats Working Group Final Report and Recommendations*. These excerpts describe the top priority Internet Archive Pilot Project and a second proposed pilot that tests WEST’s ability to build digitization capacity within the program itself and among its members.



5. Enhanced WEST ILL Partnership

Longer-term Investigations

WEST’s identity has historically been as a relatively narrowly-scoped preservation trust network. Preservation and the long-term retention of print materials is the primary goal of the program, and supporting this goal is the primary purpose of membership.²¹ Access has been a component of this, but has been characterized almost entirely as a ‘just in case’ backstop against loss in support of future need.

As library budgets and resources are increasingly constrained, this perceived future need is swiftly becoming a more urgent immediate need. WEST’s vision statement, adopted in 2021, underscores this shift by making explicit that the end goal of lasting preservation activities is to “ensure ready availability of the print scholarly record.”²² Anecdotally WEST has heard from several member institutions that their collections budgets are flat or shrinking and that library spaces are being reallocated from collections to other priorities. Institutions must make judicious decisions about what to maintain locally and what to rely on shared print and resource sharing partners to provide as needed. The once-far

²⁰ See the WEST Strategic Planning 2019: Outcomes and Recommendations report for full details: <https://cdlib.org/wp-content/uploads/2020/01/FINAL-2019-WEST-Strategic-Planning-Outcomes.pdf>

²¹ See the 2019 WEST Assessment Report, Value of WEST (pg 8): <https://cdlib.org/wp-content/uploads/2020/01/FINAL-2019-WEST-Assessment-Report.pdf>

²² See the WEST Vision, Mission, and Guiding Principles: <https://cdlib.org/wp-content/uploads/2021/12/WEST-Vision-Statement-Mission-and-Guiding-Principles.pdf>

distant future of access over ownership is now the current reality for an increasing number of libraries. To meet this reality, WEST is considering a change to its Access Policy to create more immediate, tangible benefits to member institutions.

WEST member input

Before forming a recommendation on how to proceed, WEST seeks additional input from members in the following areas to better understand local needs, concerns, and potential impacts of changes to WEST's Access Policy:

- Scope of collections covered by an updated policy
- Importance of various policy components
- Cost and value to local institutions

Questions related to these areas are included in the post-Member Meeting survey.

Current state

WEST's preservation activities are undertaken to ensure ongoing access to print journal content by current and future scholars and researchers. To support this, the WEST Program Statement stipulates that Archive Holders provide WEST members with scans, photocopies, or access to the physical materials as needed "in accordance with the applicable Interlibrary Loan policies and procedures of the Archive Holder." Since it was first developed, the WEST Access Policy has defined only minimal requirements beyond making the materials available via interlibrary loan, instead relying on existing relationships, agreements, and local policies to govern how individual requests are fulfilled.

In the early days of WEST the decision to set minimal expectations for resource sharing relationships between members helped moderate concerns about the unknown level of demand for the titles selected for archiving. Archiver Holders and Builders retained local control over the terms of access, including fees and loan periods, while gathering statistics on how and by whom their WEST archived materials were being used to help inform future policy and operational changes.²³ Member-supplied statistics demonstrate the consistently low demand WEST Archivers see for their WEST-archived collections.

Even though resource sharing requests for WEST-archived materials is low, the topic of creating an ILL partnership as a benefit of WEST membership has been raised several times over the years, including in the 2019 program assessment member survey. Some members have noted that this would significantly increase the value of membership for their institution as a tangible and immediate benefit, while others have expressed reservations about implementing a preferred ILL partnership, believing that it could create substantial increases in their local costs.

Initial investigations

To better understand community norms around ILL lending policies in shared print programs as well as current resource sharing activity among members, the WEST Project Team conducted initial research in two major areas: a landscape review of peer programs' access and lending policies, and an analysis of WEST resource sharing activity in OCLC and RapidILL in FY2022 (the most recent full year available when the research was conducted).

The landscape review revealed that WEST is not in alignment with the rest of the Rosemont Alliance programs' resource sharing and access policies. WEST has created some tools to help connect members, including an OCLC Profiled Group and a RapidILL pod, as well as an OCLC Statistical Group to support gathering group resource sharing statistics, but does

²³ The WEST Access Policy was updated in April 2022, but preserves this overarching approach to resource sharing in WEST. See the WEST Access Policy for details: <https://cdlib.org/wp-content/uploads/2022/04/WEST-Access-Policy.pdf>

not create additional benefits for members by requiring or encouraging cost-free or reciprocal lending for in-group requests.

The analysis of FY22 resource sharing among WEST members shows that lending between members accounts for roughly one-third of all completed transactions in the available data. It is clear that WEST archived titles are in low demand, and the vast majority of requests for these titles are filled by members other than the Archive holder. Overall, membership is nearly evenly split between net lenders and net borrowers, but adding Carnegie Classification highlights that R1 and, to a smaller degree, R2 institutions are both heavy lenders and heavy borrowers, while Baccalaureate Colleges lend much more than they borrow.

The full landscape review and analysis of FY22 resource sharing statistics can be found in [Appendix 8](#).

The OCC reviewed the findings from these research projects and discussed potential implications for forming a preferred ILL partnership as a benefit of membership to release the value of the trust network in an immediate and tangible way.

Opportunities

Assessing WEST's current state against the findings in the initial investigations surfaces a number of opportunities that would be made possible through an enhanced ILL partnership:

- **Creating a preferred ILL partnership would preserve equitable access to deaccessioned materials.** One of WEST's main stated goals is to provide opportunities for local space reclamation, and WEST members have been deselecting against the WEST archives for over a decade. But, when members deselect and rely on ILL for access, there is a decent chance that they have to pay to access a title that they used to have on their shelf. This may be worth it (they do not have to pay to house and maintain those materials anymore), but their ability to maintain access to these materials would be enhanced and better supported with a privileged ILL partnership where they might reach out to their WEST partners before others.
- **Including collections beyond WEST archives would ease operational requirements.** An enhanced lending network focused on only the holdings that have been archived for WEST creates significant operational challenges and imbalances in responsibility and benefits. As noted above, discovery systems and resource sharing technologies do not have robust mechanisms for identifying shared print copies, and solutions that have been attempted in the past have created more complexity for both Archivers and potential borrowers than actual solutions. Removing this distinction would streamline local resource sharing operations for both lenders and borrowers.
- **Including collections beyond WEST archives would distribute responsibility across all members.** Not all members archive for WEST, but all members have collections that could be brought to an enhanced ILL partnership. Focusing WEST resource sharing only on WEST archives puts the burden on a subset of members, but taking a more expansive view spreads that responsibility more broadly and ensures that all members have the chance to give and to take (rather than setting up a system where there are givers and there are takers).
 - The archived copies do have a distinct role to play though. These titles are assured to be available into the future, and that assurance sets WEST apart from other resource sharing networks that don't have this shared print component.
- **Expanding WEST ILL partnership can benefit all members.** WEST is composed of a large, varied group of libraries, and there's a real opportunity here to take advantage of this unique trust network that includes large research institutions and smaller specialized libraries that would otherwise maybe not prioritize seeking each other out for their resource sharing needs. WEST has historically thought of itself strictly as a preservation network, but expanding how we think about those relationships could help make the case for joining and remaining in that network. This could have a big impact on lenders, if they're asked to provide these requests

free of charge, but as shown in the FY22 resource sharing analysis, most of the largest lenders are also the largest borrowers and so would also benefit from this potential change.

- **Creating a preferred lending network would bring WEST into alignment with national peers.** WEST's partners in the Rosemont Shared Print Alliance all either require or strongly encourage reciprocal lending between their members for both shared print and general collections, or do not charge their members for loans where materials are housed in central storage facilities. A preferred lending network would align WEST's overall benefits to members more closely with community norms and expectations for how members leverage the trust network for both preservation and access. This change could also position WEST for potential enhanced collaboration with peer programs in this area.



6. Expanding National Collaborative Activities

Longer-term Investigations

In the Executive Committee's 2022 strategic planning sessions, several ideas emerged that envisioned greater integration at the national or bi-national (US and Canada) level. Initial Executive visioning in this area spanned a spectrum of ideas, from shifting discrete areas of work or administration to the national level to combining with peer programs to create a single journal repository program that operates at the national level. Across that spectrum are opportunities to gain new efficiencies, allow regional programs to specialize in new areas (like prospective shared print), simplify preservation for libraries, and provide support to individual libraries (or affiliated groups) through a unified national strategy for print preservation and access.

WEST member input

This area of work is a long-term investigation: significantly expanding and enhancing the national or bi-national preservation network will take years to implement. However, there are actions WEST can take now to set the stage.

At this stage, WEST seeks high-level member feedback on:

- Value of shared print at the national level
- What work is best situated at the national versus regional levels
- Any concerns about expanding at the national level and potential impacts to WEST

Questions related to these areas are included in the post-Member Meeting survey.

Current state

The WEST program is grounded in creating value and efficiency through collaboration. WEST has demonstrated commitment to this principle not only by bringing together a large number of academic and research libraries across the western region of the US, but also by partnering with external organizations and peer programs.

In 2015, WEST initiated conversations with several other regional shared print journal programs in the US to create the Rosemont Shared Print Alliance,²⁴ the first national federation bringing together regional shared print journal programs to share information and expertise to find opportunities to coordinate work and reduce duplication of effort. The Rosemont Alliance has since expanded to include more programs, and has served as a model for the Partnership for Shared Book Collections,²⁵ a bi-national federation of US and Canadian shared print monograph programs, which formed in 2019 and 2020.

²⁴ Rosemont Shared Print Alliance: <https://rosemontsharedprintalliance.org/>

²⁵ The Partnership for Shared Book Collections: <https://sharedprint.org/>

Over time, the Rosemont Alliance and the Partnership for Shared Book Collections found areas of strong intersection in their respective formats and overlap in the program and library leaders contributing to in-kind efforts. The federations have established several joint working groups and task forces, including the Communications and Advocacy Working Group, the Shared Print Metadata Group, and the Multi-part Monographs Task Force.

Initial Investigations

In the second half of 2022, the Rosemont Alliance and the Partnership for Shared Book collections charged a joint task force to evaluate and make a recommendation regarding the potential merger of the two federations. In April 2023, the Task Force recommended, and the respective Executive Committees endorsed, the recommendation that

Rosemont and the Partnership should come together to create a single, merged alliance of shared print programs and their participating libraries. This alliance should be focused on meeting the organizational, structural, and cultural challenges of shared print programs including:

- *reducing redundancy of effort and workload on individuals,*
- *expanding opportunities for participation, and*
- *providing a clear and unified voice for shared print advocacy across the library community in the U.S.-Canada.*

Subsequent conversations have proposed that the new organization's scope should include coordinating and aligning collection decision-making across multiple regional programs, community building, establishing shared policies and standards, and advancing the development of shared, community-owned technical solutions. The scope of this new organization is still under discussion and will be finalized in the coming months.

Opportunities

WEST sees this merger as the logical next step for shared print. As programs move into the 'long tail' of what's left to archive from within their original scopes, more focus is being directed toward new initiatives that will expand shared print beyond its current scope, such as digitization and prospective shared print. Additional coordination and alignment of existing work at the national level will create capacity at the regional and local level to focus on new and emerging priorities, and will create consistency across programs to better facilitate cross-regional analysis and decision making.

Appendix 1. Approximating Half-Capacity

What would it look like to reduce our systems development capacity by approximately half? There are two ways we can reimagine the current phase (Phase 6) to approximate the impact of working at half capacity.

1. If we stopped development at the chronological halfway point (approximately the end of March 2023), our developments outputs would look like this:
 - a. **Complete**
 - i. Enhancements to proposed/committed journal reports (member-facing)
 - ii. Enhancements to collection comparison reports (member-facing)
 - iii. Enhancement allowing WEST program staff to add new institutions (back-end)
 - iv. Enhancements to On Demand Collection Comparison report (member-facing)
 - v. Research on creating WEST journal families (back-end)
 - vi. Research on creating AGUA-generated visualizations dashboard (member-facing)
 - b. **Partially complete**
 - i. Enhancements to Request Holdings Interface for Archive Builders (member-facing)
 - ii. Migrate OCLC APIs (back-end)
 - c. **Not started**
 - i. Add new report of unarchived holdings matches to On Demand Collection Comparison report (member-facing)
 - ii. Add scoping interface (filters) for On Demand Collection Comparison output reports (member-facing)
 - iii. Add member reports portal to AGUA (member-facing)
 - iv. Add metadata validation reports to AGUA (member-facing)
2. However, it's possible that, had we known we would have half our capacity, we would have prioritized and arranged our development schedule quite differently. An alternative approach to conceiving of the impact of operating at half capacity for systems development is to look at the list of enhancements for [Phase 6](#) and prioritize six (about half). This is an imperfect, but reasonable means of approximating what we would not have been able to do in Phase 6 if we were operating at half-capacity.

Appendix 2. List of Enhancements from Phases 4-6 and Commentary on Usage

Commentary on usage is focused on member use. Where there is no direct member use of an enhancement, notes are made on how the enhancement supports the work of the overall program.

Phase 4

1. New interface for members to submit unarchived holdings files in AGUA
 - a. *Use by members*: used by all members that submit unarchived holdings files to participate in the collections analysis on a biennial basis; used by all Archiver members to submit disclosure files on an annual basis
2. New interface for location exclusions/storage flags in AGUA
 - a. *Use by members*: used by all members that participate in the collections analysis on a biennial basis
3. Enhanced ability to cluster journal families
 - a. *Use by members*: no direct use, improves overall data accuracy
4. eISSN as alternative data point to match titles to title categories
 - a. *Use by members*: no direct use, improves overall data accuracy
5. Deriving and adding missing ISSNs for archived titles
 - a. *Use by members*: no direct use, improves overall data accuracy
6. Local holdings record call numbers included in member AGUA reports
 - a. *Use by members*: unclear the extent to which members use these reports, but this field would be available to all who do
7. Downloadable member institutional roster in AGUA
 - a. *Use by members*: ad hoc use by members to support gap-filling activities
8. Automatic totals in Archiver journal commitment interface
 - a. *Use by members*: available to all Archivists during commitment review and selection (biennially), but unclear how Archivists incorporate this into their decision making (if at all)

([Source](#))

Phase 5

1. “High-risk, no builder” analysis and report to address a blind spot in WEST analysis
 - a. *Use by members*: no direct use, helps ensure comprehensive group analysis and supports distributed archiving effort
2. Expanded metadata validation processes and reports for members
 - a. *Use by members*: provided to all members that submit files to AGUA (validation performed on unarchived holdings and on disclosure records); anecdotally the Project Team has received feedback from a handful of members that they have developed cleanup projects leveraging these reports
3. Back-end enhancement for data-matching and storage
 - a. *Use by members*: no direct use, but did position WEST to add new data fields to existing reports that were not previously available (e.g., Count of US OCLC Institutions)
4. Create and add measure of completeness (local holdings to published holdings) added to collections analysis and member comparison reports
 - a. *Use by members*: unclear; anecdotally Builders have indicated that this information is or could be useful to them in their calls for holdings work, and could support prioritizing which holdings to work on first and which contributors could be likely to contribute volumes to fill gaps
5. Live calculation of total subsidy for Builders (part of the commitment interface)

- a. *Use by members*: used by all Builders during commitment selection to gauge how much of their Archive Creation budgets have been encumbered
- 6. MARC file of WEST titles to enable members in making the WEST collection discoverable in local systems
 - a. *Use by members*: one member has alerted the Project Team that they are leveraging this file to make the WEST collection locally discoverable; it is unclear if any other members have leveraged this file (download logs are not set up for this function)
- 7. Unarchived holdings added to On Demand Collection Comparison report query (specifically, if no archived holdings exist, return findings for unarchived holdings)
 - a. *Use by members*: ad hoc use by members to support local collection review activities
- 8. Create a Builders interface to manage requests of holdings from other WEST members
 - a. *Use by members*: this was an extra-large project that was requested by the Archive Builders, but to date only one Builder is known to have used it

([Source](#))

Phase 6

- 1. Add measure of completeness (local holdings to published holdings) and count OCLC institutions to member proposed/committed reports
 - a. *Use by members*: not yet used by members; added after these reports were generated for Cycles 12 & 13 - will be available in Cycles 14 & 15
- 2. Add percent complete (submitted holdings to archived holdings), count of OCLC institutions, and validation levels/actions to member comparison reports
 - a. *Use by members*: not yet used by members; added after Cycle 11 reports were generated, will be first available to members in the 2023/Cycle 12 collection comparison reports
- 3. Research creating WEST journal family IDs (to supplement or replace Ulrich's journal family IDs)
 - a. *Use by members*: no direct use, opportunity to improve matching and reduce dependency on Ulrich's (Phase 6 project focused on research, not implementation)
- 4. Interface for WEST staff to add new member institutions to AGUA
 - a. *Use by members*: no direct use, efficiency gains for WEST staff
- 5. Research adding visualization to the AGUA dashboard (specifically which visualization tool)
 - a. *Use by members*: no direct use (Phase 6 project focused on research, not implementation)
- 6. Enhance On Demand Collection Comparison report to include more input data columns, add validation levels/action, and update one header
 - a. *Use by members*: ad hoc use by members to support local collection review activities
- 7. Enhance the Builders interface to manage requests for holdings (new features and data points)
 - a. *Use by members*: this tool has a small user base due to WEST's archiving model; where the original Phase 5 project produced a minimum viable product, the Phase 6 enhancements make it a minimum *usable* product; still only one user to date
- 8. Backend enhancement to migrate from one OCLC API to another
 - a. *Use by members*: no direct use, but supports data in many backend processes and member-facing reports
- 9. Add another report to the On Demand Collection Comparison report that returns all unarchived holdings data for archived titles
 - a. *Use by members*: ad hoc use by members to support local collection review activities
- 10. Reports portal to improve member user experience
 - a. *Use by members*: recently released, no information on use yet

11. *In progress* - Add an interface to the On Demand Collection Comparison report that allows members to scope output reports
 - a. *Use by members*: currently in development, not available to users
 12. *In progress* - Add member metadata validation reports to AGUA
 - a. *Use by members*: currently in development, not available to users
- ([Source](#))

Appendix 3. All fee models considered and rationales

Table 4. Summary of all fee model options considered by the Advisory Group

Ranking	Model Name	Key Characteristics	Overall Rationale	Benefits	Considerations
1	Recommended Model: Refined Status Quo	Data: Total Library Expenditures Structure: Tiered, fixed fees Other: Refined tiers and fee steps	This model offers the most stability for members while still making meaningful data updates and refinements to the tiers and fee steps.	-Familiar data and structure for members -Low impact for the majority of members -Low effort for the program to maintain -Likely low degree of changeability in the data point	-Some members will move around in the tiers because the data has been updated, but carrying forward the basic model is still the most stable option
2	Not Recommended: Tiered Total Library Materials and Services Expenditures	Data: Total Library Materials and Services Expenditures Structure: Tiered, fixed fees Other: Refined tiers and fee steps	This model offers an alternative data point based on past member feedback. Because the model is a tiered structure, it still offers stability, but has disruptive impacts that make it less optimal than the recommended model.	-Familiar structure for members -Low effort for the program to maintain -Interest from members in library materials expenditures defining fees (see p.12, 2019 assessment report)	-Penalizes those with large collections budgets, but overall lower resources -Generally more movement amongst tiers due to the changed data point
3	Not Recommended: % of Total Library Expenditures	Data: Total Library Expenditures Structure: Fees as a percentage of expenditures Other: Fee caps for highest expenditures	In principle, the percentage of expenditures is a simple and clean approach to calculating fees, but shifting to this kind of structure would represent a significant change for most members to negotiate. It is also likely to require more frequent maintenance.	-Familiar data for members -Links fee amounts directly to library data (more customized per library)	-Significant change in how WEST assesses fees -Assessing a percentage means that changes to the data point will have more impact over time (members may wish to see this updated more frequently to match their reality)
4	Not Recommended: % of Total Library Materials and Services Expenditures	Data: Total Library Materials and Services Expenditures Structure: Fees as a percentage of expenditures Other: Fee caps for highest expenditures	In principle, the percentage of expenditures is a simple and clean approach to calculating fees, but shifting to this kind of structure would represent a significant change for most members to negotiate. It is also likely to require more frequent maintenance.	-Links fee amounts directly to library data (more customized per library) -Interest from members in library materials expenditures defining fees (see p.12, 2019 assessment report)	-Significant change in how WEST assesses fees -The additional change in the data point causes a lot of movement in how much members contribute in fees -Assessing a percentage means that changes to the data point will have more impact over time (members may wish to see this updated more frequently to match their reality)

					frequently to match their reality)
5	Not Recommended: Total Library Materials Expenditures & FTE Ratio	Data: Total Library Materials and Services Expenditures, Student to Staff FTE Ratio Structure: Three bands of tiered, fixed fees depending on FTE ratio	Fundamentally, layering an FTE ratio into the fee structure creates a lot of complexity for the program to maintain and for members to understand. It is less stable and predictable and does not seem worth the drastic changes it could cause.	-Recognizes institutions who have fewer staff resources to support students.	-Very complicated calculation and structure -Staff is going to change frequently -The additional change in the data points causes a lot of movement in how much members contribute in fees

Appendix 4: Per Library Membership Model Fee

How to use this appendix

- **Please keep in mind** that projected member revenue for FY24-25 was leveraged as a starting revenue target for defining new fee models. Table 6 outlines the estimated FY24-25 fees per member in the recommended model, but those fees may go up or down depending on Future of WEST decisions, membership changes, or other reasons. The fee model, if approved, will not change; fees per tier level increase or decrease proportionally. Table 6 is meant to illustrate how members' positions in the cost share distribution change as a result of the recommended model. Support for individual members facing higher-impact fee changes will be discussed by the Executive Committee at a later date when the fee per tier is finalized.
- **Important note about tiers:** Because the recommended model formalizes Tier 1b as Tier 2, most members will see their Tier change. A member who jumps one tier (i.e. goes from Tier 2 to Tier 3) is essentially staying in the same tier in terms of their position in the cost share. A member who jumps two tiers is truly moving up in terms of their position in the cost share and will see a fee increase (pending the final changes per FY24-25 Future of WEST decisions). There is one member who jumps three tiers (Baylor University) per the recommended model, which will be the most significant change. Six other members appear to jump three tiers, but this is due to adding tiers to the upper half of the model and does not represent the same kind of change in their position in the cost-share model as the case of Baylor University.
- **Explanation of per library impact measures:**
 - **Dollar Amount Change:** Compares the current model's estimated FY24-25 fee (with typical 3% increase) to the recommended model estimated fee in straight dollar increases or decreases.
 - **Dollar Amount Change as % of AVG Total Ex.:** Represents the estimated dollar amount increase or decrease as a percentage of the library's averaged total library expenditures.
 - **Percent Change in Member Fee:** Calculates the percentage change between the estimated current model's FY24-25 fee (with typical 3% increase) and the estimated recommended model's FY24-25 fee.

Table 5. FY24-25 Recommended Fee Table

Tier	If total library expenditures is greater than:	FY24-25 Estimated Fee <i>*Subject to proportional change per final FY24-25 budget.</i>	% Increase Between FY25 Tiers
Tier 1 (formerly Tier 1a)	\$ 1	\$ 675	--
Tier 2 (formerly Tier 1b)	\$ 500,000	\$ 1,380	104.44%
Tier 3	\$ 1,000,000	\$ 2,734	98.13%
Tier 4	\$ 2,500,000	\$ 4,283	56.63%
Tier 5	\$ 5,000,000	\$ 6,641	55.07%
Tier 6	\$ 10,000,000	\$ 9,864	48.53%
Tier 7	\$ 15,000,000	\$ 14,883	50.88%
Tier 8	\$ 20,000,000	\$ 19,591	31.63%
Tier 9	\$ 25,000,000	\$ 22,780	16.28%
Tier 10	\$ 30,000,000	\$ 25,058	10.00%
Tier 11	\$ 60,000,000	\$ 27,564	10.00%

Table 6. Changes by Member Library (FY24-25 fees are estimations and subject to change per final Future of WEST decisions)

IPEDS ID	Institution Name	Current Model AVG '12 and '14 Total Library Expenditures	Current Model Tier	Current Model FY24-25 Fee (3% increase)	Recommended Model AVG '19, '20, '21 Total Library Expenditures	Recomm- ended Model Tier	Recommen- ded Model FY24-25 Fee	Dollar Amount Change	Dollar Amount Change as % of AVG Total Ex.	Percent Change in Member Fee
222983	Austin College	\$ 1,076,278	Tier 2	\$ 3,129	\$ 946,939	Tier 2	\$ 1,380	\$ (1,749)	-0.18%	-55.90%
110361	California Baptist University	\$ 1,082,082	Tier 2	\$ 3,129	\$ 1,794,348	Tier 3	\$ 2,734	\$ (395)	-0.02%	-12.62%
121691	University of Redlands	\$ 1,870,401	Tier 2	\$ 3,129	\$ 1,965,898	Tier 3	\$ 2,734	\$ (395)	-0.02%	-12.62%
127556	Colorado Mesa University	\$ 1,747,924	Tier 2	\$ 3,129	\$ 2,051,306	Tier 3	\$ 2,734	\$ (395)	-0.02%	-12.62%
NONE	Denver Public Library*	N/A	N/A	-N/A	\$ 2,103,773	Tier 3	\$ 2,734	N/A	N/A	N/A
119173	Mount Saint Mary's University	\$ 1,722,178	Tier 2	\$ 3,129	\$ 2,228,915	Tier 3	\$ 2,734	\$ (395)	-0.02%	-12.62%
236577	Seattle Pacific University	\$ 2,156,603	Tier 2	\$ 3,129	\$ 2,371,030	Tier 3	\$ 2,734	\$ (395)	-0.02%	-12.62%
120254	Occidental College	\$ 2,329,017	Tier 2	\$ 3,129	\$ 2,586,711	Tier 4	\$ 4,283	\$ 1,154	0.04%	36.86%
115214	Graduate Theological Union	\$ 2,881,074	Tier 3	\$ 4,693	\$ 3,228,249	Tier 4	\$ 4,283	\$ (410)	-0.01%	-8.74%
123554	Saint Mary's College of California	\$ 2,460,189	Tier 2	\$ 3,129	\$ 3,502,542	Tier 4	\$ 4,283	\$ 1,154	0.03%	36.86%
445188	University of California-Merced	\$ 2,830,175	Tier 3	\$ 4,693	\$ 4,402,152	Tier 4	\$ 4,283	\$ (410)	-0.01%	-8.74%
209922	Reed College	\$ 4,292,008	Tier 3	\$ 4,693	\$ 4,644,705	Tier 4	\$ 4,283	\$ (410)	-0.01%	-8.74%
110574	California State University-East Bay	\$ 3,568,114	Tier 3	\$ 4,693	\$ 4,810,950	Tier 4	\$ 4,283	\$ (410)	-0.01%	-8.74%
121150	Pepperdine University	\$ 4,980,551	Tier 3	\$ 4,693	\$ 5,121,722	Tier 5	\$ 6,641	\$ 1,949	0.04%	41.52%
142285	University of Idaho	\$ 6,277,450	Tier 4	\$ 8,342	\$ 5,621,380	Tier 5	\$ 6,641	\$ (1,701)	-0.03%	-20.39%
110592	California State University-Los Angeles	\$ 4,561,014	Tier 3	\$ 4,693	\$ 5,965,147	Tier 5	\$ 6,641	\$ 1,949	0.03%	41.52%
110565	California State University-Fullerton	\$ 6,538,415	Tier 4	\$ 8,342	\$ 6,786,695	Tier 5	\$ 6,641	\$ (1,701)	-0.03%	-20.39%
122436	University of San Diego	\$ 6,155,369	Tier 3	\$ 4,693	\$ 9,090,934	Tier 5	\$ 6,641	\$ 1,949	0.02%	41.52%
122612	University of San Francisco	\$ 9,902,892	Tier 4	\$ 8,342	\$ 9,900,993	Tier 5	\$ 6,641	\$ (1,701)	-0.02%	-20.39%

110608	California State University-Northridge	\$ 9,230,491	Tier 4	\$ 8,342	\$ 9,906,016	Tier 5	\$ 6,641	\$ (1,701)	-0.02%	-20.39%
122755	San Jose State University	\$ 9,405,114	Tier 4	\$ 8,342	\$ 9,945,426	Tier 5	\$ 6,641	\$ (1,701)	-0.02%	-20.39%
117946	Loyola Marymount University	\$ 7,203,881	Tier 4	\$ 8,342	\$ 10,717,493	Tier 6	\$ 9,864	\$ 1,522	0.01%	18.25%
209807	Portland State University	\$ 9,236,645	Tier 4	\$ 8,342	\$ 10,865,869	Tier 6	\$ 9,864	\$ 1,522	0.01%	18.25%
110699	University of California-San Francisco	\$ 7,747,011	Tier 4	\$ 8,342	\$ 11,152,325	Tier 6	\$ 9,864	\$ 1,522	0.01%	18.25%
230728	Utah State University	\$ 8,523,332	Tier 4	\$ 8,342	\$ 11,337,531	Tier 6	\$ 9,864	\$ 1,522	0.01%	18.25%
112251	Claremont Graduate University	\$ 11,534,922	Tier 4	\$ 8,342	\$ 11,744,252	Tier 6	\$ 9,864	\$ 1,522	0.01%	18.25%
110714	University of California-Santa Cruz	\$ 10,611,850	Tier 5	\$ 13,730	\$ 11,985,433	Tier 6	\$ 9,864	\$ (3,866)	-0.03%	-28.16%
127060	University of Denver	\$ 9,282,670	Tier 4	\$ 8,342	\$ 12,078,575	Tier 6	\$ 9,864	\$ 1,522	0.01%	18.25%
155399	Kansas State University	\$ 14,542,386	Tier 5	\$ 13,730	\$ 12,800,994	Tier 6	\$ 9,864	\$ (3,866)	-0.03%	-28.16%
122409	San Diego State University	\$ 11,010,516	Tier 5	\$ 13,730	\$ 14,623,474	Tier 6	\$ 9,864	\$ (3,866)	-0.03%	-28.16%
240727	University of Wyoming	\$ 11,287,186	Tier 5	\$ 13,730	\$ 14,668,952	Tier 6	\$ 9,864	\$ (3,866)	-0.03%	-28.16%
236939	Washington State University	\$ 13,659,341	Tier 5	\$ 13,730	\$ 15,099,164	Tier 7	\$ 14,883	\$ 1,153	0.01%	8.40%
209542	Oregon State University	\$ 11,747,699	Tier 5	\$ 13,730	\$ 15,547,250	Tier 7	\$ 14,883	\$ 1,153	0.01%	8.40%
110671	University of California-Riverside	\$ 14,924,659	Tier 5	\$ 13,730	\$ 15,868,431	Tier 7	\$ 14,883	\$ 1,153	0.01%	8.40%
126818	Colorado State University-Fort Collins	\$ 15,168,837	Tier 6	\$ 17,033	\$ 16,500,773	Tier 7	\$ 14,883	\$ (2,150)	-0.01%	-12.62%
126562	<i>University of Colorado Denver/Anschutz Medical Campus**</i>	\$ 6,175,908	Tier 3	\$ 4,693	\$ 16,704,533	Tier 4	\$ 4,283	\$ (410)	0.00%	-8.74%
207500	University of Oklahoma-Norman Campus	\$ 16,559,735	Tier 6	\$ 17,033	\$ 17,477,550	Tier 7	\$ 14,883	\$ (2,150)	-0.01%	-12.62%
207388	Oklahoma State University-Main Campus	\$ 13,897,725	Tier 5	\$ 13,730	\$ 18,399,046	Tier 7	\$ 14,883	\$ 1,153	0.01%	8.40%
110705	University of California-Santa Barbara	\$ 18,942,383	Tier 6	\$ 17,033	\$ 19,146,535	Tier 7	\$ 14,883	\$ (2,150)	-0.01%	-12.62%
178396	University of Missouri-Columbia	\$ 17,934,212	Tier 6	\$ 17,033	\$ 20,036,351	Tier 8	\$ 19,591	\$ 2,558	0.01%	15.02%

227757	Rice University	\$ 16,950,072	Tier 6	\$ 17,033	\$ 21,890,550	Tier 8	\$ 19,591	\$ 2,558	0.01%	15.02%
153603	Iowa State University	\$ 20,716,102	Tier 7	\$ 22,421	\$ 22,811,494	Tier 8	\$ 19,591	\$ (2,830)	-0.01%	-12.62%
182281	University of Nevada-Las Vegas	\$ 19,671,263	Tier 6	\$ 17,033	\$ 22,892,093	Tier 8	\$ 19,591	\$ 2,558	0.01%	15.02%
155317	University of Kansas	\$ 20,897,503	Tier 7	\$ 22,421	\$ 24,369,930	Tier 8	\$ 19,591	\$ (2,830)	-0.01%	-12.62%
223232	Baylor University	\$ 17,064,548	Tier 6	\$ 17,033	\$ 25,422,665	Tier 9	\$ 22,780	\$ 5,747	0.02%	33.74%
110644	University of California-Davis	\$ 21,001,842	Tier 7	\$ 22,421	\$ 28,437,051	Tier 9	\$ 22,780	\$ 359	0.00%	1.60%
126614	University of Colorado, Boulder	\$ 24,410,224	Tier 7	\$ 22,421	\$ 28,494,017	Tier 9	\$ 22,780	\$ 359	0.00%	1.60%
110653	University of California-Irvine	\$ 21,451,742	Tier 7	\$ 22,421	\$ 29,819,692	Tier 9	\$ 22,780	\$ 359	0.00%	1.60%
104179	University of Arizona	\$ 25,964,213	Tier 7	\$ 22,421	\$ 33,185,504	Tier 10	\$ 25,058	\$ 2,637	0.01%	11.76%
104151	Arizona State University-Tempe	\$ 23,885,861	Tier 7	\$ 22,421	\$ 33,377,419	Tier 10	\$ 25,058	\$ 2,637	0.01%	11.76%
110680	University of California-San Diego	\$ 27,838,866	Tier 7	\$ 22,421	\$ 37,741,263	Tier 10	\$ 25,058	\$ 2,637	0.01%	11.76%
179867	Washington University in St Louis	\$ 36,587,848	Tier 8	\$ 26,070	\$ 41,985,875	Tier 10	\$ 25,058	\$ (1,012)	0.00%	-3.88%
236948	University of Washington-Seattle Campus	\$ 39,711,560	Tier 8	\$ 26,070	\$ 50,990,226	Tier 10	\$ 25,058	\$ (1,012)	0.00%	-3.88%
110635	University of California-Berkeley	\$ 56,456,025	Tier 8	\$ 26,070	\$ 68,759,829	Tier 11	\$ 27,564	\$ 1,493	0.00%	5.73%
110662	University of California-Los Angeles	\$ 56,785,209	Tier 8	\$ 26,070	\$ 70,384,294	Tier 11	\$ 27,564	\$ 1,493	0.00%	5.73%
243744	Stanford University	\$ 93,836,822	Tier 8	\$ 26,070	\$ 106,434,939	Tier 11	\$ 27,564	\$ 1,493	0.00%	5.73%
NONE	Getty Research Institute**	\$ 5,000,001	Tier 4	\$ 8,342	#N/A	Tier 5	\$ 6,641	\$ (1,701)	#N/A	-20.39%
NONE	Huntington Library**	\$ 1	Tier 1b	\$ 1,545	#N/A	Tier 2	\$ 1,380	\$ (165)	#N/A	-10.68%
	Current Model FY24-25 Total			\$ 703,014	Proposed Model FY24-25 Total		\$ 702,303			

Appendix 5: Investigating WEST Validation Requirements and Archive Type Terminology

Modifying Validation Requirements

WEST's validation standards were originally developed in 2010-2011, during the initial planning and implementation phases of the WEST program. These standards outlined tiered requirements for archiving based on the journal's risk level, as calculated during the group collections analysis. As one of the earliest shared print archiving programs, the WEST founders were forging a new path to leverage group action for collective benefit: as such, the requirements attempt to balance Archiver effort with risk mitigation needs.

Since that time, Archive Builders have accumulated significant experience both validating holdings and acting on the outcomes of these activities. The Project Team held in-depth discussions with the Builders to explore each component of the WEST validation standards to assess both the effort expended and the value returned to the program and members.

Builder perceptions of validation effort and value

Overall, Builders reported low levels of confidence in volume-level validation for completeness, and noted that issue-level validation is both more consistent and better aligned with local priorities. Nearly all Builders reported that they validate all medium- and high-risk materials at the issue level, including materials that are only required to be validated at the volume level.

Builders also noted that WEST's condition validation standards generate additional work but appear to have little impact supporting WEST's preservation goals. All Builders have other workflows external to WEST that serve to identify major condition problems (which then turn into completeness problems); the condition validation Builders then perform to meet WEST's archiving requirements serve to identify potential barriers to access, but have not triggered any replacement decisions. While identifying barriers to access is a clear benefit, the effort required to conduct this work specifically for WEST is considered high.

The Builders also discussed, in general terms, their work actively seeking out replacement copies of missing materials (calls for holdings). While the Builders have consistently reported that this activity is particularly high effort, both for Builders and for Contributors, additional research is needed to better quantify both the effort expended and the value returned to the program. The Project Team is gathering information on calls for holdings as part of the pilot project at Arizona State University to conduct retrospective gap filling and will be seeking additional information from the other current Builders as well in the coming months.

Eliminating archive type terminology

WEST Collections Model - Risk and Effort

WEST's collections model is founded on strong risk management principles. During the group collections analysis, AGUA sorts journals into Title Categories depending on the risk level for each journal family. The risk level is calculated by comparing members' holdings data against a number of external sources, including digital repository title lists and abstracting and indexing (A&I) databases. In this model, "risk" is based on how sufficiently the electronic availability of the titles could support ongoing access needs if the print were lost,²⁶ which in turn informs what validation activities are required during archiving to mitigate the risk of loss: journals with stable and reliable electronic surrogates in trusted digital repositories²⁷ are considered at low risk for loss and so are not required to be validated, while journals that are

²⁶ This risk calculation is a snapshot of the journals' electronic availability at the moment the analysis is performed, and does not attempt to predict future electronic availability.

²⁷ As of 2023, the trusted digital repositories used in WEST's collections analysis as Portico, CLOCKSS, JSTOR, and the HathiTrust Digital Library (HTDL) journals and serials collection.

only accessible through abstracting and indexing databases or that have no identified electronic access points are at higher risk for loss and so go through various physical validation routines to affirm the completeness and condition of the archived holdings.

Challenges with Archive Type Terminology

The WEST collections model states that “Each title category is assigned an Archive Type that reflects the level of validation (i.e. completeness and condition check) considered appropriate for titles in that risk category...The relationship between Title Category-Archive Type provides transparency and predictability about the level of effort that will be placed on a title with certain characteristics and keeps decision-making overhead low. It would allow the libraries to calibrate the level of effort placed on certain types of titles; more effort on higher risk titles, less effort on lower risk titles.”²⁸ In practice, the Archive Type has evolved to serve as a shorthand description of both the validation activities as well as the snapshot of risk calculated during the collections analysis. However, the use of Archive Type terminology in the WEST model fails to serve members, partners, and other libraries in critical ways:

- As a shorthand for validation activities, use of Archive Types in disclosure notes is both redundant with and less clear than validation disclosure notes, requiring prior knowledge to decode what actions have been taken during archiving.
- As a snapshot of risk, use of Archive Types in disclosure notes is potentially misleading, as the risk category can change at any time depending on other organizations’ digitization priorities.

Additionally, the use of Archive Types appears to be a limiter on disclosing actual, real-world archiving activities. The Project Team has learned over the years that some Archivers are validating their WEST materials at higher levels than are required as a matter of local policy, such as validation for completeness as part of the accessioning workflow when transferring materials to storage. This voluntary work is an enormous benefit to WEST and the wider shared print community; however, most Archivers do not disclose information above what is required in the WEST Disclosure Policy.²⁹ This suggests that the WEST requirements have historically been interpreted as the ceiling of what may be disclosed for each Archive Type, rather than the floor for what actions should be taken to sufficiently mitigate risk, an interpretation reinforced by WEST’s policy to limit ‘official’ validation work to a limited number of Archivers, which subtly discourages Archivers outside of that group from claiming the validation work that they are performing.

Potential Risks and Opportunities in Eliminating Archive Type Terminology

Archive Types have long been a defining feature of WEST archiving. The value implied in the Archive Type terms (Bronze, Silver, and Gold) creates an easily digestible, if potentially misunderstood, tiered grouping of archived materials.

The risks associated with this change are considered low. The proposed change affects the *terminology* used in WEST disclosure and communication, and does not impact WEST’s risk model for identifying archiving priorities and determining what actions need to be taken during archiving. While a convenient shorthand for sorting the WEST collections would be eliminated, detailed validation information will continue to be available in key reports that WEST makes available to members.

The opportunities associated with this change are considered highly valuable to WEST and the wider shared print community. While the Archive Type terminology offers a quick shorthand for understanding the WEST archives, shifting

²⁸ [WEST Collections Model](#), Selection Criteria, Title Categories and Archive Types section (pg. 4)

²⁹ This may be changing. In 2022, WEST finalized and released [Guidelines for Voluntary Validation of WEST Bronze Archives & Best Practices for Disclosure](#) to encourage members to disclose real-world archiving activities above and beyond the minimum requirements for those materials. In the subsequent disclosure period (Cycle 12, spring 2023), at least three Archivers disclosed these activities for some of their materials.

focus to the actual actions that are taken during archiving, as recorded in disclosure notes, will create a clearer understanding of the amount and level of review the materials have been subjected to. This change also gives WEST new flexibility to modify archiving requirements based on learned experience: after more than a decade of archive creation, WEST has gained a deep understanding of the effort required to perform each archiving activity and the value that each provides to the program.

Appendix 6: Internet Archive Implementation Task Force Charge

Name

Internet Archive Pilot Implementation Task Force

Reporting line

WEST Operations and Collections Council

Background

In 2020, the WEST Executive Committee charged the Non-journal Formats (NjF) Working Group to explore areas of expansion for WEST.

The Working Group conducted a landscape review and impact/readiness assessment of potential areas of expansion. Based on outcomes of those investigations, input from OCC, and guidance from the Executive Committee, the Working Group crafted five pilot proposals. The Working Group sought member feedback through a series of town halls, focus groups, and a survey. The Working Group submitted a final report including the five pilot proposals and recommendations for prioritization and implementation, which were approved by the Executive Committee.

The recommended first priority pilot aims to set up workflows to coordinate the donation of duplicate copies of WEST archived titles to the Internet Archive to expand digitization and access for print serials. This is a low-barrier entry point for WEST to build out workflows associated with digitization (e.g. identification, prioritization, submission, checking for access, potential deposit to HathiTrust).

Background documents

- [Non-journal Formats Working Group Final Report and Recommendations](#)
 - A. Please see detailed Internet Archive Pilot Proposal (pages 15-18) for guidance on collection model, business model, workflows, and other considerations.

Purpose, Scope of Work and Responsibilities

Purpose:

- To put in place necessary guidelines and workflows to implement the Internet Archive Pilot
- To identify and recommend areas for future refinement (i.e. the pilot may embrace a “minimum viable product” approach while recommending areas for enhancement)

Scope of Work:

- **Collections model:** Define and document a collections model and prioritization framework (potential criteria include risk level, completeness of holdings, rarity, geographic proximity to IA, membership in HathiTrust)
- **Technology support:** Select what level of technology support will be leveraged for the pilot (initial options provided in the NjF report)
- **Workflow lifecycle:** Design and test (as possible) implementation workflows including -
 - Analysis to identify and prioritize candidate titles
 - Selection (by holding members) of candidate titles
 - Recording commitments to donate for digitization
 - Tracking the status of donation (member), digitization (IA), and return of digital files to members (members & IA)
 - Exploratory*: Facilitate the deposit of digital files to HathiTrust
- **Business model:** Affirm and document the business model (in kind contributions)

- **Partnership model:** Engage with Internet Archive to review and optimize pilot workflows and potential outcomes; engage with HathiTrust to explore and document workflows to support deposit of newly digitized copies in the HathiTrust Digital Library*
- **Communication plan:** Design a communication plan to launch the pilot with members and encourage participation

** An aspiration of this pilot is to understand and document the possibilities of incorporating deposits to HathiTrust as part of the standard workflow to better ensure digital preservation. However, it is likely not feasible to implement a workflow to ensure deposit to HathiTrust during the initial pilot. The Implementation Task Force is asked to consider this workflow and begin exploring what the necessary steps and changes are needed to advance that part of the workflow.*

Tasks and deliverables

- Documentation describing the collection model, workflow lifecycle, business model, and any best practices or policies that emerge from engagement with the Internet Archive
- Brief report to OCC recommending areas for refinement or expansion (likely includes potential future HathiTrust workflows)
- Communication plan

Membership

Functional considerations

Individuals with the following experience and interests are sought for the Task Force:

- Reviewing and committing to WEST proposals
- Standards for metadata and discoverability in digitizing print
- Digitizing and deposit workflows of Internet Archive and HathiTrust
- Collections strategy
- Communicating about and launching new library or collaborative initiatives

Members

- WEST staff member
- Internet Archive liaison*
- ...
- ...

** To help ensure that implementation plans, workflows, and guidelines are well-aligned, WEST should seek an Internet Archive liaison for the Task Force.*

Anticipated Time Commitment

Duration

- The Task Force will serve through December 2023 with the option of extension, if necessary.

Frequency

- Twice-monthly, one-hour Zoom meetings
- Email as needed

Communication technology

- Email
- Google Shared Drive
- Zoom

Appendix 7: Excerpts from the *Non-journal Formats Working Group Final Report and Recommendations*³⁰

Coordinate the Donation of Duplicate Copies to Internet Archive

Brief Description

WEST identifies and coordinates the donation of duplicate print materials to Internet Archive for digitization and aspirational deposit in HathiTrust to complement the WEST archived collections.

- WEST will leverage its technology and member data to surface print copies that duplicate the retained WEST holdings.
- WEST will facilitate the optional donation of duplicate copies to the Internet Archive for long term physical storage and digitization.
- WEST will coordinate the deposit of newly created digital copies with HathiTrust.

Background

The Internet Archive has shown an interest in digitizing materials that are donated by libraries (e.g., books, microforms, scores, etc.) and making them available publicly through controlled digital lending and/or Interlibrary Loan. They already receive deaccessioned monographs from a number of libraries, paying to have them shipped to their digitization center in the Philippines. In return for these donations, Internet Archive has agreed to provide donor libraries with a digital copy of the works they digitize, and there have been some preliminary discussions on setting up automated deposit of the digital files in HathiTrust.

Were WEST to leverage their significant data on member holdings to coordinate voluntary deaccessioning and donation of a full run of the physical Gold, Silver, and Bronze serial titles held across WEST libraries, that full corpus of content could be digitized at limited cost to the membership and WEST would receive digital surrogates that could be deposited in HathiTrust, ensuring they are digitally preserved and providing access for the print-disabled and possibly as well as for text and data mining. The Internet Archive would also make these materials available publicly through controlled digital lending and/or ILL (as a Rapid member).

To be clear, donated materials would be surplus copies of materials retained by WEST Archive Holders and Builders. The archived copies retained by Archive Holders and Builders would not be donated. WEST would facilitate the donation of additional copies found across the membership.

Collections Model

The focus will be on print content already retained in WEST that is not yet available in a digital format. In order of priority, targeting titles at a *to be defined* level of completeness:

- Gold journals will be the highest priority as WEST has confirmed they are not in JSTOR, Portico, or CLOCKSS.
- Silver journals, where partial full text is available commercially, will also be a high priority to offer alternative access points.
- Bronze journals, which are available in JSTOR, Portico, CLOCKSS, or HathiTrust may be a priority despite their presence in trusted digital repositories for the sake of providing more immediate access options for members.

³⁰ See the Non-journal Formats Working Group: Final Report and Recommendations for a full overview of each prioritized pilot project: <https://cdlib.org/wp-content/uploads/2023/04/WEST-Non-journal-Formats-Working-Group-Final-Report-and-Recommendations.pdf>

Operations Model

Potential partners:

- Internet Archive
- HathiTrust

Implementation steps:

1. The WEST Project Team and OCC will create a framework for prioritizing candidates for digitization (e.g. risk level, completeness of holdings, rarity, geographic proximity to IA, membership in HathiTrust)
2. Technology support:
 - a. Option 1: WEST will leverage the Builder calls for holdings interface in AGUA to identify additional copies for prioritized WEST archived titles
 - b. Option 2: WEST will enhance the On Demand Collection Comparison report to return unarchived holdings data for WEST archived titles to identify additional copies of prioritized WEST archived titles
3. WEST will create a workflow and system to track and report on “commitments” to donate, shipping status, and the provision of the digital copy back to members
4. WEST will distribute proposals to members to donate prioritized title runs to Internet Archive*
5. WEST members will ship content to Internet Archive
6. Internet Archive will provide the digital file back to members
7. WEST will define a workflow for routing the digital file to HathiTrust
 - a. Currently, workflows for submitting Internet Archive-digitized content to HathiTrust are limited to content that remains in the control of the library (not donations) and is not in-copyright. WEST will need to work with both organizations to explore new principles and associated workflows.

*In tandem or alternatively, WEST can also create instructions to support members engaged in defined deselection projects to incorporate Internet Archive donations into their workflows based on WEST retentions.

Digitization of High Risk Titles

Brief Description

Archived titles available as “print-only” are at high risk of loss and should be prioritized for preservation in a digital format with the longer-term goal of providing digital access and discovery to WEST members. To address this need, WEST proposes a digitization pilot for Gold titles with WEST partner libraries.

- The pilot will prioritize digital preservation, with discovery and access mechanisms to follow.
- Archive Builders will be optimal partners for an internal pilot for digitization given their existing retention of print-only titles, but participation will be entirely voluntary.
- The pilot will aim to harmonize pilot parameters with local Builder digitization infrastructure, workflows, and existing projects (i.e. building on existing infrastructure; avoid conflict with existing projects).
- Engaging in a pilot project will allow WEST and its members to assess the ongoing viability and value of the work before expansion.
- If the pilot proves successful, WEST will partner with external organizations possessing the expertise and infrastructure needed to support expanded digitization, hosting, and access to content.

Background

Shared print programs are natural partners in the field of digitization. WEST in particular, as it actively identifies titles believed to be “print-only” and therefore at higher risk of loss, is well-positioned to develop workflows by which dual

print and digital preservation is achieved. WEST has the opportunity to leverage its collective power and existing collaborative infrastructure to form a pipeline for digitization.

The resources required to support preservation digitization include capacity to digitize, host, and supply metadata. WEST will partner with member libraries to provide these services as proof of concept for a preservation collection. The preservation model allows WEST to proceed while developing a copyright model, and while considering options for providing open access at a later time. If WEST then decides to expand the project and to provide access and discovery for digitized content, it may decide to explore a partnership with a non-profit organization with expertise in hosting for access. Potential partners include JSTOR, HathiTrust, or Internet Archive.

Digitization has the potential of high impact for WEST members across the board from more assured preservation, to expanded access, to strengthening the rationale for responsible deduplication (space reclamation), to providing innovative leadership in the community, where no shared print program has yet to launch a parallel digitization effort. These impacts and long-term positive benefits for member libraries could outweigh the costs to accomplish this project. In order to succeed, the pilot program will need to address questions of identifying and prioritizing titles, funding, storage, and standards.

Expanding WEST preservation efforts to include digitization is a major undertaking. WEST's internal readiness is low, but there is some capacity within WEST member institutions.

Collections Model

The focus will be on print content already included in WEST that is not yet available in a digital format. For both the internal pilot project and any potential partnerships, WEST will consider the following priorities:

- Gold journals are the highest priority as WEST has confirmed they are not in JSTOR, Portico, or CLOCKSS.
- A collection review is needed to determine how many Gold titles have been included in a digital archive since last reviewed.
- Consultation with existing digital archives will be important. Before beginning digitization, WEST should ascertain what journals JSTOR, Portico, et al plan to add to their archives in the near term. WEST should prioritize journals that are not already on the current roadmap for digital archiving by another trusted organization.

Operations Model

Potential partners:

- WEST Archive Builders
- JSTOR
- HathiTrust
- Internet Archive

Implementation steps:

1. An internal pilot program will provide proof of concept. Digitization is for preservation at this point. Discovery and access are not mandatory components of the pilot program. WEST will:
 - a. Seek willing WEST partner library/libraries with digitization capabilities to digitize a sample set.
 - i. Alternatively, WEST will contract with, or support the library partner's contract with, an external vendor to perform a tightly-scoped set of digitization tasks. In this case, WEST partner libraries will still play a necessary role in metadata management, workflow management, and possibly data storage.

- b. Determine who is digitizing or preparing to digitize similar or overlapping collections (Portico, CLOCKSS, JSTOR, Rosemont, other shared print consortia).
 - c. Identify minimum specifications for metadata and digitization for quality control and integration into other possible collections.³¹
 - d. Identify temporary digital storage locations and funding.³²
2. Once the pilot is complete, WEST will solicit feedback from member libraries on the workflow and the sample set. This could include surveys for digitization partners related to costs associated with the project, and surveys to other WEST members related to the value of the project. Success will be measured by membership interest in and support for the project and readiness to continue digitization.
3. If the pilot is deemed successful, WEST will determine next steps:
- a. Either continue ongoing preservation digitization internally or offer access via a long-term partner for hosting and discovery.
 - i. Potential external partners - JSTOR, HathiTrust, Internet Archive.
 - b. Determine preferred access/lending model (e.g. open access, controlled digital lending, issue level or article level access).
 - c. Develop a clear strategy for obtaining copyright clearance or user authentication where needed.
 - d. Determine any publisher incentives for particular titles or collections.
 - e. Determine the scope of titles for long-term digitization efforts.
 - f. Obtain estimates from prospective partners for cost of scanning, hosting, describing, and preserving WEST resources.
 - g. Work with archive builders to provide content for scanning.

³¹ There are existing specifications and standards that WEST can draw upon to define its own requirements. Examples include: the [Federal Agencies Digital Guidelines Initiative \(FADGI\)](#), the HathiTrust [Digital Object Specifications](#) and [Technical Requirements for Digitized Page Images Submitted to HathiTrust](#), as well as the Library of Congress [Preservation Guidelines for Digitizing Library Materials](#) and [Technical Standards](#).

³² This might involve WEST expanding its existing Amazon Web Services storage that supports other WEST data projects, or it might be possible to identify local storage at participating institutions.

Appendix 8: Enhanced ILL Partnership Landscape Review and Resource Sharing Analysis

Landscape review - peer program lending practices

The Project Team conducted a brief landscape review of the six Rosemont Alliance partner programs as well as five other comparable shared print programs in the US and Canada to better understand community standards for in-group access to members' collections. To conduct this review, the Project Team analyzed publicly available MOUs and operating policies for the following programs:

Table 7. Shared print programs included in the landscape review

<i>Rosemont Alliance member programs</i>	<i>Non-Rosemont Alliance programs³³</i>
ASERL (Scholars Trust)	Colorado Alliance
BTAA SPR	COPPUL SPAN
CRL	HathiTrust
EAST	Maine Shared Collections
FLARE	SCELC (shared print)
WRLC (Scholars Trust)	

Overall, the landscape review exposed that WEST is out of step with the rest of the Rosemont Alliance programs' resource sharing and access policies. While WEST has created some tools to help connect members, including an OCLC Profiled Group and a RapidILL pod, as well as an OCLC Statistical Group to support gathering group resource sharing statistics, WEST does not create additional benefits for members by requiring or encouraging cost-free or reciprocal lending for in-group requests.

³³ Keep@Downsview and ReCAP were initially included in the list of non-Rosemont Alliance programs to review, but were dropped due to limited publicly available information related to resource sharing.

Table 8. Overall summary findings

Characteristic	yes	no
Rosemont Alliance member	6	5
Policy includes non-shared print collections	6	5
Distributed archiving model	9	2
Reciprocity / no fees (in group)	7	4
Reciprocity / no fees (out group)	1 ³⁴	10
RapidILL pod	5 ³⁵	6
OCLC Profiled Group	8	3
Other resource sharing solution ³⁶	3	8

Detailed findings:

- Five of the six Rosemont Alliance member programs (ASERL, BTAA SPR, CRL, FLARE, and WRLC) require reciprocal lending between group members or do not charge fees for requests from member institutions. The sixth Rosemont Alliance program (EAST) strongly encourages members to extend reciprocal lending to group members, and notes that members that do not offer reciprocal lending may in turn be charged for materials borrowed from other EAST members.
- One of the five non-Rosemont programs (SCELC) strongly encourages shared print group members to extend reciprocal lending to group members; the other four note that resource sharing between members is governed by the retention library's local policies.
- Four programs' access policies include general collections in addition to shared print collections; all of these programs either require (3) or strongly encourage (1) reciprocal lending among members.
- Programs with decentralized archiving models are less likely to require or encourage reciprocal or no-charge lending between group members (3 of 7 require or encourage). All programs with centralized archiving models require or encourage reciprocal or no-charge lending.
- The three programs with distributed archiving models that also require/encourage reciprocal lending among members have established RapidILL pods.

³⁴ FLARE notes in internal Rosemont Alliance documentation that they currently do not charge fees for requests from non-members, but plan to in the future.

³⁵ If the shared print program is part of a larger consortium, the RapidILL pods are open to the full group, not just the shared print program participants.

³⁶ One consortium uses a networked Alma environment to manage the majority of in-group resource sharing; two consortia have developed independent solutions to meet group needs.

³⁷ CRL and FLARE both have policies that cover the materials housed within their own facilities; these policies do not include members' collections.

WEST member resource sharing analysis

The second part of the initial research was an analysis of resource sharing among WEST members in OCLC and RapidILL during FY22 (the most recent complete year for which statistics were available at the time of the study).

WEST has attempted several approaches to monitoring lending activity: from 2011 through 2020 Archivists were asked to disclose their retained materials on a separate OCLC symbol (the “second symbol” reserved for shared print holdings), which was intended to isolate resource sharing statistics for these materials from those for general collections; Archivists were asked to track lending locally and report on a variety of metrics each year; and WEST established resource sharing groups in various ILL tools, such as a Group Access Capability (GAC) and Profiled Group in OCLC and, more recently, a RapidILL pod to help connect members to each other and the WEST archives. Lending statistics have been notoriously difficult to track and report at every level; however, the establishment of the OCLC Profiled Group and the RapidILL pod created new opportunities for the WEST Project Team to access group-level reports of all lending activity between members, which could be cross-referenced with the WEST archived title list.

The WEST Project Team undertook a brief analysis of the group-level resource sharing activity during FY22 (July 2021-June 2022). The data for this analysis was provided by OCLC (all lending transactions by OCLC symbols in the WEST Profiled Group, including transactions to WEST members and non-members) and from RapidILL (limited to activity between members of the WEST pod).³⁸ The data was available at the transaction level, and included information about the lender, borrower, title, and method of delivery. In total the two reports include data on 255,577 resource sharing transactions by WEST members. The analysis is limited to only requests marked as “supplied.”

Tableau workbook with detailed analysis:

<https://public.tableau.com/views/Cycle11ResourceSharingAnalysis/Overview-WESTCycle11FY22ResourceSharing>

Overall, one third of WEST member lending transactions filled requests from other WEST members (86,271 transactions). Resource sharing between WEST members is evenly split between OCLC (51%) and RapidILL (49%). Of the OCLC resource sharing transactions, 44% were requests for copies and 56% were loans (returnables). 100% of RapidILL transactions are copies. RapidILL transactions are, per RapidILL policy, reciprocal, meaning that WEST members are already not charging each other or any other institution for requests supplied via this service. The OCLC data does not include information on how many OCLC transactions between WEST members were subject to reciprocal lending agreements.

³⁸ The data from both services should be assumed to be incomplete (not all WEST members participate in OCLC resource sharing, and an even smaller number participate in RapidILL), but significant insights can still be gleaned from the analysis.

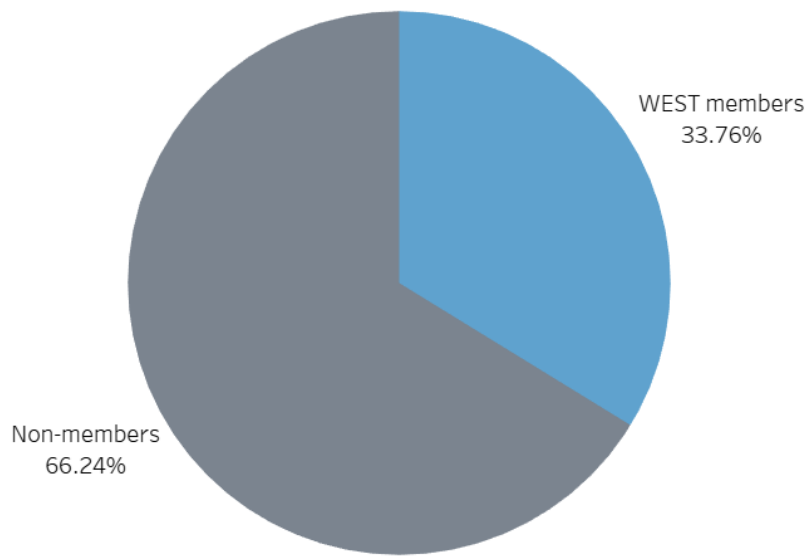


Figure 2. Breakdown of WEST lending by borrower WEST membership status

Supplied requests overview (copy vs loan)

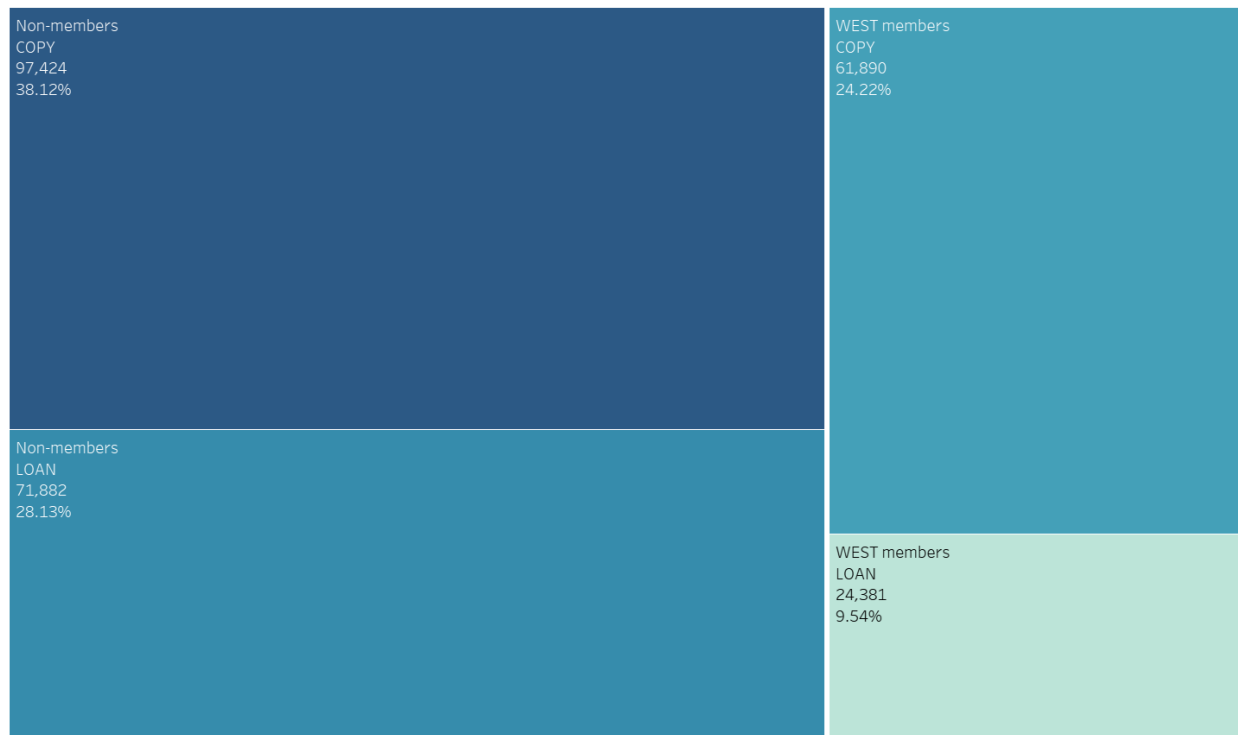


Figure 3. Breakdown of WEST lending by requested format and borrower WEST membership status

Of requests for titles found in the WEST archives (52,538 total requests), the WEST Archiver served as the lending institution for only 1,971 total transactions (3.8% of transactions where the title is archived for WEST by any member, or 0.77% of all transactions). In transactions where the WEST Archiver was the lender, 73% were for titles archived as WEST

Bronze.³⁹ In only 753 transactions (1.4% of transactions where the title is archived for WEST by any member, or 0.23% of all transactions) did the WEST Archiver lend a WEST archived title to a WEST member.

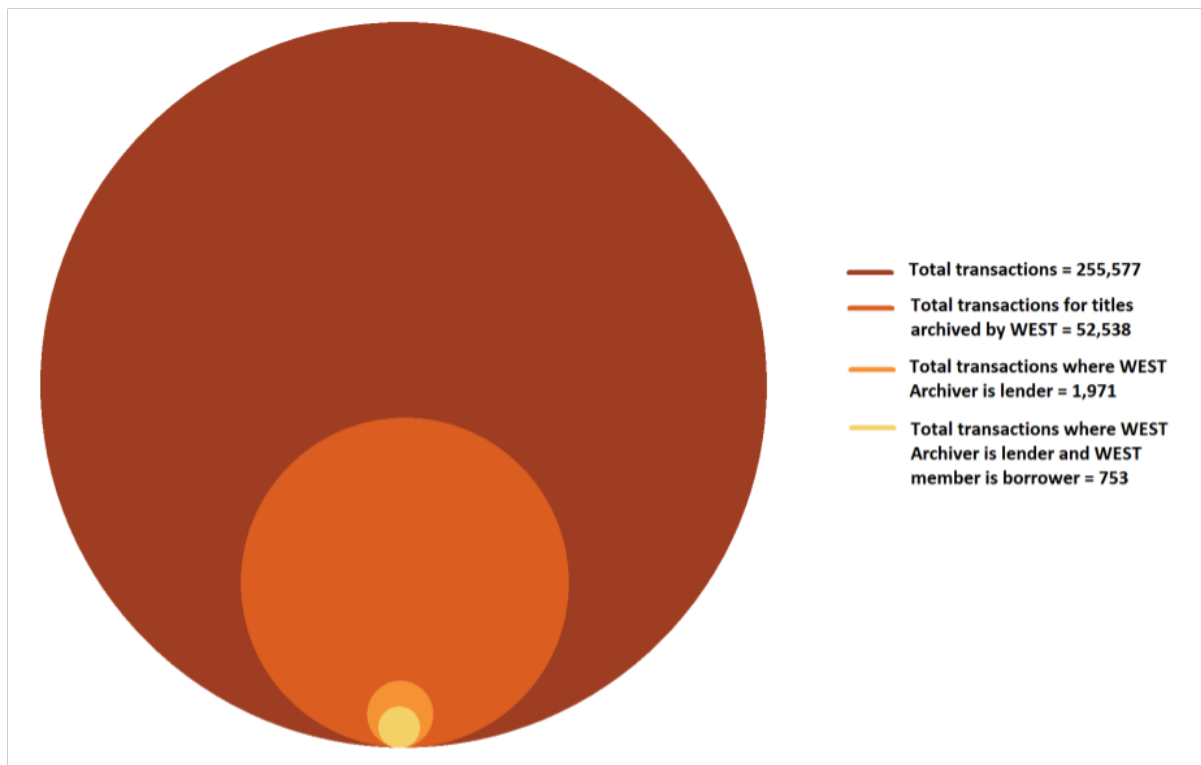


Figure 4. Proportional representation of lending by WEST Archivers, lending of titles archived by WEST, and total in-group resource sharing transactions.

For in-group transactions, most WEST members are net borrowers, though a small number appear in the data solely as lenders (they do not appear as borrowers). WEST Archivers are more likely to be net borrowers, while Non-archivers are slightly more likely to be net lenders.

³⁹ It is impossible to tell from the data how many resource sharing transactions for WEST archived materials were filled with copies/scans of the print object versus digital surrogates.

Table 10. Summary of lender/borrower status

Measure	OCLC + RapidILL	OCLC only
total WEST member OCLC symbols	76	76
average lending/borrowing ratio	137%	127%
max lending/borrowing ratio	867%	985%
min lending/borrowing ratio	15%	15%
net lenders	36	38
only lenders	9 ⁴⁰	12
net borrowers	40⁴¹	38
only borrowers	0	0
WEST Archivers	47	47
WEST Archiver net lenders	19	23
WEST Archiver net borrowers	28	24
WEST Non-Archivers	29	29
Non-archiver net lenders	17	15
Non-archiver net borrowers	12	14

On average, WEST Archivers borrow roughly a third more than they lend, while Non-Archivers are, on average, closer to parity in their lending and borrowing activity with other WEST members.

Table 11. Average lending and borrowing by WEST Archiver status (OCLC + RapidILL)

WEST Archiver Status	Average Lending Requests Supplied to WEST members	Average Borrowing Requests Received from WEST members	Lending to borrowing ratio
WEST Archivers	1,226	1,615	75.9%
WEST Non-Archivers	987	1,008	97.9%

When analyzed by member Carnegie Classification, R1 institutions are far and away the largest lenders as well as the largest borrowers. Baccalaureate colleges have the highest lending to borrowing ratio (on average, they are net lenders).

⁴⁰ The nine WEST members that lent to but did not borrow from other WEST members include four Non-Archive Holders, three Archive Holders (one past member), and two Archive Builders.

⁴¹ Net borrowers include 13 Non-Archive Holders, 26 Archive Holders (three past members), and three Archive Builders.

Table 12. Lending to Borrowing ratio by Carnegie Classification (OCLC + RapidILL)

Carnegie classification	Count of Institutions	Total Lending	Total Borrowing	Avg. lending to borrowing ratio
Baccalaureate College	4	2,075	928	242%
Doctoral Universities: High Research Activity (R2)	12	13,691	15,241	161%
Doctoral Universities: Very High Research Activity (R1)	36	55,283	54,022	129%
Doctoral/Professional Universities (D/PU)	5	3,395	3,680	131%
Master's Colleges & Universities: Larger Programs (M1)	11	9,695	7,610	147%
Special Focus Four-Year	3	256	242	25%
Special Focus Library ⁴²	5	1,876	4,548	37%
Grand Total	76	86,271	86,271	137%

⁴² The UC RLFs are categorized as “Special Focus Libraries” in internal WEST documentation to facilitate comparison across the membership. These two institutions will only ever serve as lenders, as they do not have borrowers for which they request materials from other institutions.