WEST Title Nominations Collections Policy

Addendum to the WEST Collections Model

Endorsed by WEST Executive Committee, April 23, 2014

The Western Regional Storage Trust identifies titles to archive each year through a semi-automated regional collection analysis which proposes Archive Holders based on the deepest backfile. To supplement this approach and beginning in Fall 2014, WEST will also accept nominations of titles from WEST member libraries for inclusion in WEST's archives.

Title nominations are an important additional avenue by which WEST archives can be developed to include:

- Deep journal backfiles for titles that do not fit neatly into WEST's annual regional collection analyses but represent important publications and existing holdings in the region.
- Recommendations from selectors and bibliographers across the region for backfiles that have been developed over time, individually or in collaboration.

Benefits to WEST

WEST benefits from title nominations by

- Expanding the breadth and depth of WEST's archives
- Ensuring retention of good, deep backfiles that might not otherwise be retained or considered
- Securing institutional participation by providing an avenue for research libraries with deep, rich collections to participate more fully in archive retention and collection management services
- Creating an avenue for depositing relationships within WEST (members may negotiate with other members to transfer holdings to a storage facility).
- Providing WEST Archive Builders an avenue for aligning local preservation initiatives with regional needs.

Title nominations that are accepted as WEST archives are envisioned as additional copies in the region. They are not studied in depth to determine a risk (for loss of access, content or stewardship) within the region. Consequently, they are not intended to substitute for titles that are identified through the annual regional analysis, nor are they intended to substitute for filling gaps in existing WEST archives.

Anticipated Use Cases

Some examples of existing or anticipated use cases for WEST Title Nominations include:

1. Title Nominations to Hold In Place

   • Existing deep backfiles held by a member library that are of substantial historic importance and value to the institution (e.g. religion journals held by Brigham Young University Library; art and architecture journals held by the Getty Research Institute Library, medical and other professional schools' journals)

   • Bibliographer groups' last copy lists

2. Archive Builder's Candidates for Archiving in Storage

   • Archive Builder's planned deposits to storage (e.g. Stanford University and UC Berkeley lists provided for WEST's consideration.)

   • Existing deep backfiles that a member library wishes to deposit with a WEST Archive Builder and a Builder agrees to accept. The nominating library must seek acceptance from an Archive Builder before submitting a nomination to WEST for consideration.

Responsibilities of a Nominating Institution

Archive Holders for a nominated backfile are subject to the same roles and responsibilities as any other WEST Archive Holder. A full description of those responsibilities is described in the WEST Archive Holder Builder Roles Responsibilities document on the WEST website (http://www.cdlib.org/services/west/collections/archiveHolder_builderresponsibilities.doc).

They include, for example:

   • Retention until 2035
   • Formalization of title lists in an Exhibit and Addendum to the institution's WEST member agreement
   • Validation of holdings at the volume level and casual gap filling (not archive creation) according to WEST's standards for issue and volume level validation (http://www.cdlib.org/services/west/docs/WESTStandards_Issue_VolumeLevelValidation.docx)
   • Disclosure of holdings, gaps and retention commitments in OCLC and PAPR according to WEST's disclosure guidelines (http://www.cdlib.org/services/west/docs/WESTDisclosurePolicyFinalRev.pdf)
   • Access to archived holdings according to WEST's access guidelines (http://www.cdlib.org/services/west/docs/access_guides.pdf)

Validation

Nominating libraries are expected to validate holdings at the volume level according to WEST's standards for issue and volume level validation. This includes verification of completeness based on a review of physical holdings and explicit disclosure of gaps (and holdings). (http://www.cdlib.org/services/west/docs/WESTStandards_Issue_VolumeLevelValidation.docx)

Consistent with the validation standards, nominating libraries are *not* expected to verify *condition* of holdings.

Exception – Archive creation activities are not required

Nominating libraries are *not* expected to fill gaps in archived holdings *within a one-year time period by actively calling for holdings from member libraries*. Nominating libraries are encouraged to use the Needs and Offers tool to expose gaps and accept offers over time.

Compensation

Nominating libraries are not compensated for their validation work.

Validation and Compensation for Archive Builder's candidates for archiving in storage

Builders are compensated for title nominations that also fit WEST's group criteria. Builders are not compensated for nominations that do not fit WEST's group criteria.

Nominations that are received from Archive Builders in time for WEST's annual collection analysis are put through the analysis and triaged into WEST's title categories. Builders are compensated for titles identified as Silver and Gold.

Any titles that do not fit WEST's Bronze, Silver or Gold categories are accepted under the new title category (Category 7 Unknown risk) and archive type (Sequoia) and must be validated as described above (no calls for holdings are required). Builders are not compensated for those titles.

A New Title Category and Archive Type (Sequoias)

Title nominations are received under a new and separate risk category (Title Category 7 Undetermined risk) to indicate that the print overlap, digital availability in the marketplace, digital preservation status and other WEST criteria have not been fully studied. To describe the level of effort that is placed on verifying holdings and to distinguish these titles from those whose risk category *is* known, a new and separate Archive Type is used for Title Nominations: *Sequoia**.

Table 1: WEST Title Categories and Archive Types

	Title Category	Print Risk Level	Archive Type	Validation	Active Archive Creation?**	Location
1	Print and Electronic plus Digital Preservation	Low	Bronze	None	No	Storage Facility and/or Library (preferred)
2	Print and Electronic, no Digital Preservation, publisher e-journal packages	Low	Bronze	None	No	Storage Facility and/or Library (preferred)
3	Print only with selected full-text access through aggregator databases	Moderate	Silver	Volume, completeness	Yes	Storage Facility and/or Library
4	Print only with electronic abstracting and indexing	High	Gold	Issue, completeness, condition	Yes	Storage Facility
5	Print only, no electronic access points	High	Gold	Issue, completeness, condition	Yes	Storage Facility
6	JSTOR Access Archive (Arts & Sciences 3+)	Low	Bronze	None	No	Storage Facility and/or Library
7	**Title Nominations**	**Unknown**	**Sequoia***	**Volume, completeness**	**No**	**Library or Storage facility**

** Archive Creation services involve actively building an archive through an annual call for holdings sent out to multiple libraries

Sequoias and Bronze Contrasted

Title nominations are not studied in depth to determine a risk (for loss of access, content or stewardship) within the region. Title nominations are received under a new title category (Category 7 undetermined risk) to reflect that the risk characteristics of the nominated title are unknown (i.e., print duplication level, digital availability, digital preservation status) and some of WEST's annual selection criteria are not applied (subjects, publication types, etc.).

WEST assigns an Archive Type to each title category to describe the level of effort to be placed on any title in a category. In the case of title nominations, the Sequoia Archive Type is applied to indicate a level of effort to be applied to the archives that is somewhere between Bronze and Silver. Nominating libraries are expected to validate at the volume level but not actively build the archive in a one year time period from other libraries' holdings (i.e. conduct the "call for holdings".) The above table contrasts Sequoia, Bronze, Silver and Gold and the title categories to which they are applied.

Selection Criteria: Pre-Nomination Title Research

WEST wishes to balance its desire for inclusion of quality titles in the WEST archive with reasonable expectations about the amount of information that can be gathered for each title, when nominated.

Nominating libraries are expected to do some minimal research to ensure each nominated journal fits WEST's general criteria, represents the complete title history and the library holds a deep backfile.

Criteria

- journal backfiles, not government documents or other publication types such as monographs
- all parts of the journal family held by the library are nominated, including all previous titles, ISSNs and supplements
- the library holds a deep backfile based on a review of holdings (i.e., at least 80% of the publication history, not partial backfiles.)
- review print overlap in the region to identify titles that have a minimum of 5 copies held in WEST based on a search of WEST library holdings in OCLC Firstsearch.[1] At least one title or ISSN in the journal family history should be held by a minimum of 5 WEST libraries; some titles or ISSNs in the journal family may have fewer (or more) WEST holdings.

Nominating libraries are not expected to

- Review digital preservation status in Portico, CLOCKSS, LOCKSS, HathiTrust
- Review physical holdings for condition

Template for Nominations

A template for title nominations outlines the data that must be collected for each title prior to submission to WEST for consideration.

Review and Approval

Title nominations are submitted to the Operations and Collections Council for review and approval.

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[1] WEST library holdings can be identified in OCLC Firstsearch by querrying a title and entering the name of the WEST Group Access Capability "WEST" in "group holdings."