

Western Regional Storage Trust

WEST Phase 1 Assessment: Member Survey

Full Report

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Contents

1. Executive Summary.....	5
2. Survey Methodology and Respondent Demographics	8
2.1 Assessment Methodology	8
2.2 Respondent Demographics	9
3. The Value of WEST	11
3.1 WEST's Goals and Member Priorities	11
3.2 Rationale for Participation in WEST	12
3.3 Member Participation and WEST Activities	13
3.4 Areas of Operations Positively Affected by Participation in WEST	15
3.5 Challenges Related to Participation in WEST	17
3.6 The Deselection Process	18
3.7 Deselection decisions vs. WEST archive types	19
3.8 Participation in WEST and Other Trusted Services	21
4. The WEST Program: Potential for Change	23
4.1 The Value of Active Archive Creation: Responses by Member Role	23
4.2 Potential Changes to the WEST Financial Model: Responses by Member Role.....	24
4.3 Expanding the Number of Archive Holders	27
4.4 Support for Change to the WEST Financial Model: Archive Builders	28
4.5 Support for Change to the WEST Financial Model: Archive Holders and Non-Archive Holders	29
4.6 Compensation for Specific Services and the WEST Financial Model.....	31
4.7 Recording Archiving Commitments and the WEST Disclosure Policy	32
4.8 Collection Analysis Frequency	34
4.9 Potential for Expanding WEST Priorities Related to Journal Archiving.....	34
5. WEST Strategic Direction: Library Directors Reflect on Possible Revisions.....	37
5.1 WEST Governance.....	37
5.2 Future Activities and Services: Beyond Serials Archiving.....	39
5.3 Shared Print for Federal Documents	41
5.4 Shared Print for Monographs	43
5.5 Program Scope: Specialize or Diversify?	49
6. WEST Beyond 2016	50
7. Appendix I: Respondent Affiliation.....	53
8. Appendix II: List of Figures	55
9. Appendix III: Survey Questions	57

1. Executive Summary

The Western Regional Storage Trust (WEST) surveyed its members in March 2014 as part of a broader assessment to guide future planning for the Trust. The primary objectives of the survey were to determine:

- The value of WEST as a collection management, preservation and access strategy.
- The possibilities for change to the current WEST program.
- The possibilities for new directions and services.

The survey response rate was significant, with 96 respondents representing 60% of WEST's institutional membership. The findings highlight both WEST's role as a "trusted archive for print journals within the control of libraries rather than commercial entities" (*Library Director, Non-Archive Holder*) and that "collective approaches to managing print collections are cost effective and enable the preservation of more materials than could be done locally" (*AUL for Collections, Archive Holder*).

Findings: The Value of WEST

- Members value WEST and most (95%) indicate they are likely to continue to participate in the Trust over the next five years. Most WEST institutions currently participating in other trusted services (digital preservation or other shared print programs) also expect to continue to participate in those services over the next five years (Q24, pages 21-22).
- WEST's primary objectives align with members' institutional objectives. Members highly value WEST's role as a preservation and access service. Space reclamation is an important but more institution-specific goal; WEST's retention commitments facilitate current and/or future local space planning initiatives (Q15, pages 11-12).
- The areas of library operations most positively affected by participation in WEST include collection management and space planning (Q29, pages 15-16).
- The full benefits of WEST are not always clear to members. Improvement in communication and feedback mechanisms may be helpful to increase member engagement and perceived value. As one respondent commented:

"I think WEST has done an outstanding job so far. There is much to be proud of. I sense however that within a majority of the membership of WEST libraries, relatively little is known from the director down about what is being accomplished, WEST operations, and how member libraries might become more actively involved. Communication is always a challenge... this is an area that should receive more attention and improvement." (*AUL for Collections, Archive Holder*) (Page 25)

Findings: Archive Creation

- The majority of respondents (61%) value active archive creation as a core element of the WEST partnership (Q35d, Q36d, Q37d, pages 23-24).
- Archive Builders are generally satisfied with the current level of WEST financial support for active archive creation (Q35, pages 28-29).

- Half of the Archive Builder respondents were uncertain whether building print journal archives could continue with less direct financial support from WEST. Further analysis is needed to determine the level of financial support required by Archive Builders to provide for continued print journal archive creation beyond 2016 (Q35a, Q35b, Q36a, Q36b, Q37a, and Q37b, pages 25-26).
- When considering whether WEST should increase fees to provide for active archive creation by Archive Builders for the same number of titles as currently archived or fewer, slightly more than one third of respondents across all member types (38%) were neutral; 26% agreed with increasing fees and 36% disagreed. While there is some opportunity to increase fees to continue active archive creation, further exploration is needed to balance services provided and member tolerance for increased fees (Q35a, Q35b, Q36a, Q36b, Q37a, and Q37b, pages 25-26).

Findings: Collection Analysis

- The majority of respondents prefer collection analysis once a year (60%), with 27% indicating it could be conducted once every twenty-four months (Q43, page 34).
- It is important to note that the survey asked about collections analysis; it did not ask questions about the nuances of frequency of ingest versus reporting. Respondent comments reveal records submission (ingest) is a challenge for WEST members.

Findings: Disclosure, Discovery and Delivery

- The most valued method for recording retention commitments is disclosing retention commitments according to the WEST Disclosure Policy using separate shared print OCLC symbols, 561 and 583 fields. Recording a list of committed titles in amendments to member agreements or posting lists on a website are less valued (Q40, page 32).
- While disclosing in PAPR is valued, disclosure in OCLC is the most highly valued place to record retention commitments (Q41, page 33).
- WEST members strongly support disclosing retention commitments according to the WEST Disclosure Policy for consistency with emerging national standards and to facilitate national/ international discovery and delivery (Q41, page 33).

Findings: WEST Business Model

- Relative to the benefits accrued, the majority of respondents believe the cost of participating in WEST is “about right” (68%); an additional 8% believe member fees are somewhat or much too low. For roughly one quarter of respondents, the cost is somewhat or much too high (Q31, page 24).
- A plurality of respondents (48%) agrees that WEST activities performed by staff are proportionate to the benefits accrued to their institution; only 14% report the benefits are disproportionate. Respondent comments indicate three key challenges: 1) routinizing WEST activities at the local level; 2) data submission; and 2) responding to the call for holdings (Q17, page 14; Q30, pages 17-18).

- Although 44% of non-Archive Holders agreed that more WEST members should be engaged as Archive Holders in WEST, only 16% indicated that their institution would be able to participate as an Archive Holder. Distributed archiving is valued but there may be limits to the extent to which distribution can occur (Q37, pages 30-31).

Findings: Possible Enhancements for the Journal Archiving Program

- If WEST were to enhance the journal archiving program, the majority of respondents favor the inclusion of title nominations, digitization of Silver and Gold print journal backfiles and greater coordination with other print archives and organizations (74%, 62% and 88% respectively). Audit, verification of Bronze holdings, advocacy with scholarly societies and other activities were of less interest (Q45, pages 35-36; Q49, page 40).

Findings: Shared Print for Federal Documents

- Although the majority of Library Directors surveyed are interested in shared print archiving for federal documents (53%, n=18 of 34), there was not broad agreement around goals or a preferred program model (Q49, page 40; Q59, pages 41-42). Capturing the overall sentiment, one Library Director commented:

“Taking on federal government information would be a major initiative, and there are efforts to address this via regional depositories, individual print commitments of libraries, and HathiTrust to address the digital side. So we question what role WEST would play that wouldn't duplicate efforts but that could help glue some of these existing efforts together or complement things” (Library Director, Non-Archive Holder) (page 41).

Findings: Shared Print for Monographs

- Slightly less than half of the Library Directors surveyed (45%, n=15 of 34) are interested in coordinated action to develop archives of shared print monographs; those interested included two ARLs and thirteen non-ARLs (Q49, page 40).
- There is substantial agreement among interested Directors about what the goals of a regional collaboration should be: ensure access to print monographs for users (discovery and delivery); preserve the scholarly record, and deaccession monographs based on regional retention commitments (100%, 87%, 66% agreement respectively) (Q52, page 44).
- Of the Directors who indicated interest in pursuing monographs or federal documents, more were willing to put greater financial resources towards a shared print monographs program (between 0.005 and 2% of operations budgets) as compared to a federal documents program (Q57, pages 48-49; Q61, pages 42-43).

Findings: WEST Beyond 2016

- WEST members strongly support continuing to archive print journal backfiles. The vast majority of respondents believe WEST should continue its archiving activities beyond 2016 (Q67, pages 50-52).

2. Survey Methodology and Respondent Demographics

To date, the Western Regional Storage Trust (WEST) has received two three-year grants from the Andrew W. Mellon Foundation to support implementation of a distributed print journal archiving program in the Western Region of the United States and transition to a fully member-supported service. The second three-year grant included support for assessments to guide future planning for the Trust.

The WEST Phase 1 Assessment Survey was issued to all WEST members as part of a broader assessment program. The results of the survey provide valuable information from WEST members to assist the WEST Executive Committee and Operations and Collections Council (OCC) with strategic planning for the future of the Trust.

2.1 Assessment Methodology

In November 2013, the Executive Committee and OCC developed a set of objectives for the survey with the goal of assessing program outcomes, member perspectives and potential future directions. Three broad themes emerged:

- The value of WEST as a collection management, preservation and access strategy.
- The possibilities for change to the current WEST program, including modifications to the existing operations, business and governance models.
- The possibilities for new directions and services.

The WEST project team, assisted by a member of the California Digital Library's User Experience Team, drafted the survey instrument. The survey was built using the Qualtrics Research Suite, a web-based commercial survey tool. Respondents were asked eight demographic questions and between six and forty-two additional questions depending on their responses to specific conditional questions.¹

The survey was distributed to WEST members through a listserv created specifically for WEST assessment. The listserv included WEST library directors, primary contacts, collection development officers, and individuals on the Executive Committee, OCC, and Collections Working Group.

Given that some WEST member institutions have multiple individuals participating in a range of WEST activities, individuals who received the survey invitation were encouraged to distribute it to additional WEST stakeholders at their home institution. With the goal of receiving responses from as many individuals as possible, multiple responses from individual member institutions were allowed. For instance, responses from both a library director and a collection development officer may have been submitted by a single institution.

The survey opened March 5, 2014 and closed March 24, 2014. Responses were submitted by 96 individuals representing 65 of WEST's 109 institutional members. WEST project staff presented findings to the Executive Committee and OCC in April 2014, and prepared this final report for distribution to the wider WEST membership in May 2014.

¹ See Appendix III for survey questions.

2.2 Respondent Demographics

Respondents were asked to identify their home institution, their role within their home institution and their role(s) within WEST. For 46% of respondents, their library/institution began participating in WEST in 2011 with the launch of Phase 1; 31% joined WEST in 2009 or 2010 during the planning phase of WEST, 15% reported joining in 2012 or 2013, and 8% did not indicate.

The survey response rate was significant, with a total of 96 respondents.² The majority of respondents share responsibility for decisions about their library/institution's participation in WEST activities (67%) or reported that the responsibility was solely theirs (16%). The results were representative of numerous stakeholders who participate in WEST activities, and representative of 60% of the institutional membership. In total, 69% of direct members, 50% of the Orbis Cascade Alliance members, and 50% of the Statewide California Electronic Library Consortium (SCELC) members responded to the survey.

Respondents' Position	Count	%
Library Director	34	35%
Other (please describe)	21	22%
AUL for Collections	19	20%
Other AUL	9	9%
Technical Services staff	8	8%
Selector	2	2%
Storage Facility manager	2	2%
Access Services staff	1	1%
Total	96	100%

Figure 1: (Q7) Respondents' position at institution.

Respondents' Position for "Other"	Count
Collection Development Librarian	6
Department Head (Collections/ Access Services/ Technical Services)	6
Serials & Electronic Resources	4
Preservation	2
Dean	1
Periodicals and Reference Librarian	1
WEST Project Coordinator	1
Total	21

Figure 2: (Q7) Respondents' positions in "Other."

Respondents' Role(s) in WEST	Count
Primary Contact	61
Library Director	34
Other (please describe)	12
Archive Builder Project Coordinator	8
Collections Working Group member	8
Operations & Collections Council member	5
Executive Committee member	1
Total	129

Figure 3: (Q8/9) Role(s) in WEST for all respondents. Respondents may have more than one role.

Respondents' Role(s) in WEST for "Other"	Count
Technical Contact	5
Collections Consultant	4
Manager for WEST archiving/ activities/ facilities	2
"Not Sure"	1
Total	12

Figure 4: (Q9) WEST Role(s) for "Other."

² See Appendix I for responses by institution/library affiliation.

Within WEST, an Archive Holder is an institution (library and/or storage facility) that retains the print backfile of a journal family. An Archive Builder is an Archive Holder that proactively assembles and validates print holdings from various libraries. Once the backfile from a journal family is built, the Archive Builder continues as an Archive Holder for that family. A Non-Archive Holder is a WEST member that does not retain print backfiles of journals but instead supports the Trust through a variety of other activities, including contribution of records for group collection analysis, holdings for gap-filling, and/or data for analyzing trends in participation.

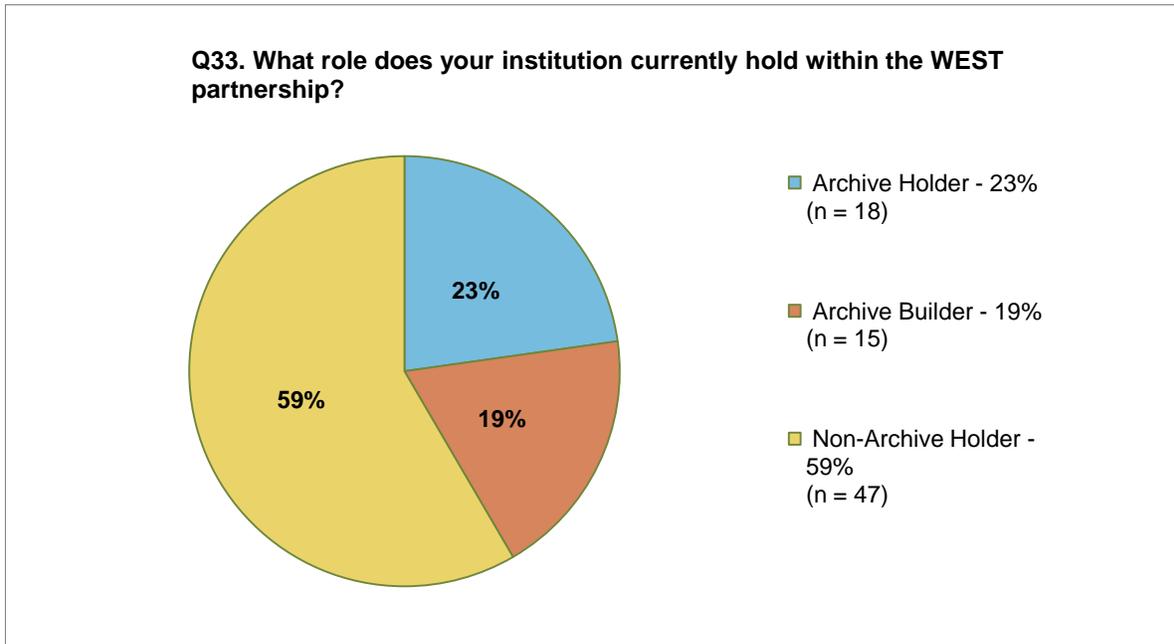


Figure 5: (Q33) Respondents' current role within the WEST partnership (n = 80).

When asked to identify the role their institution holds within WEST, 23% of the respondents answered Archive Holder, 19% answered Archive Builder, and 59% answered non-Archive Holder (Q33).³ The survey response rate from each member group was excellent; at least one representative from 5 out of 6 Archive Builders (83%), 12 out of 18 Archive Holders (67%), and 38 out of 86 Non-Archive Holders (44%) responded.

³ This question was posed to most respondents including AULs, access and technical services staff, storage facility managers and staff, and library directors who serve as the WEST primary contact. Library Directors who do not serve as primary contact were not asked this question.

3. The Value of WEST

A primary objective of the assessment survey was to determine the value of WEST to its members as a collection management, preservation and access strategy. A series of questions were designed to identify:

- The degree to which WEST's primary goals align with its members' institutional goals.
- Whether active participation in the WEST partnership is a priority to its members.
- The extent to which member libraries are incorporating WEST activities into their collection management routines.
- The current and planned rate of deselection among WEST members and the extent to which those decisions can be attributed to WEST's archiving commitments.
- The value of WEST relative to other preservation options and trusted networks or services.

These questions were posed to most respondents including AULs, access and technical services staff, storage facility managers and staff, and library directors who serve as the WEST primary contact. Library Directors who do not serve as primary contact were not asked these questions and were instead redirected to the Library Director's addendum on the future of WEST.

3.1 WEST's Goals and Member Priorities

When asked to prioritize WEST's three primary goals, the majority of the 78 respondents reported that all are high or essential priorities to their institution (Q15).

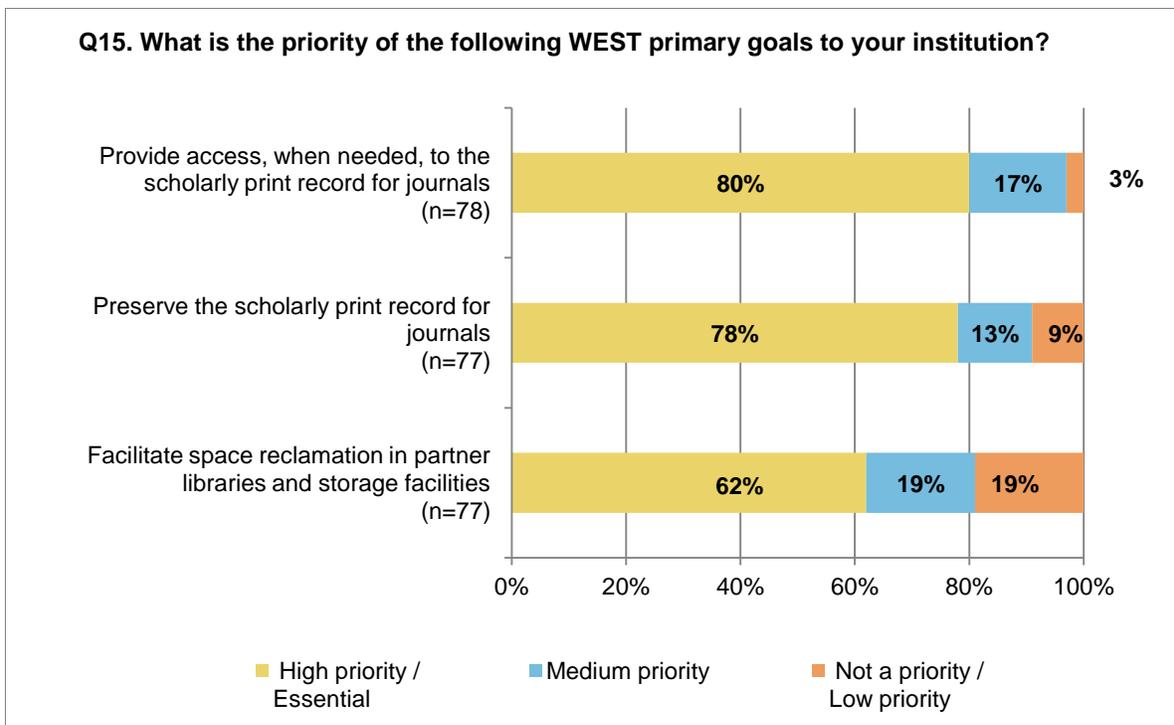


Figure 6: (Q15) Priority of WEST primary goals to member institutions.

Preservation and access to the scholarly print record are high or essential priorities to 78% and 80% of respondents respectively, and the facilitation of space reclamation in partner libraries is a high or essential priority to 62%. Although the majority of respondents regard space reclamation as an important priority, it is considered by 19% to be a medium priority and by 19% to be a low priority or not a priority at all.

This corresponds to comments provided by respondents in the survey. Although still a high priority, space reclamation is viewed as slightly less important across the membership. One respondent explained:

- “Our primary mission is to support the preservation of the print serial and manuscript record and to facilitate access to it by scholars. We contribute to this mission whenever our resources allow. We also hope that WEST's efforts will allow us to use our space more effectively by eventually deaccessioning commonly held journals.” (*Other AUL, Archive Holder*)

For many members, WEST’s preservation and access roles are their institution’s primary interests, and space reclamation provides a valuable but more institution-specific function for facilitating current, future or potential space planning initiatives.

3.2 Rationale for Participation in WEST

When asked what rationale they provide to their higher administration about participating in WEST, 48 respondents provided a total of 90 reasons (Q28). An additional 10 respondents explicitly stated that they do not provide a rationale.

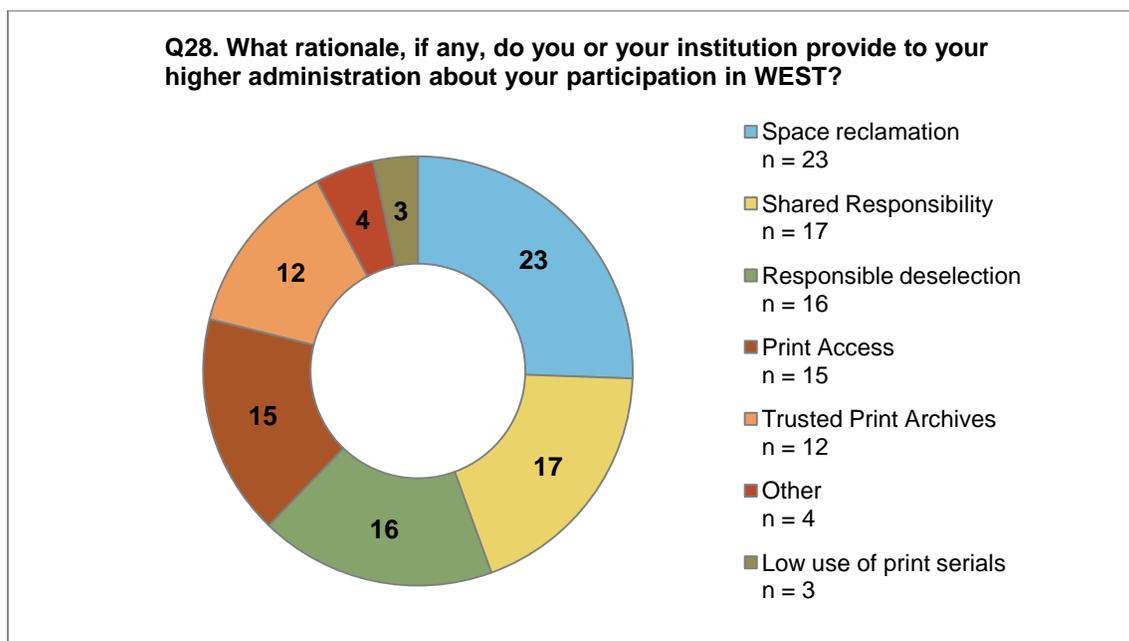


Figure 7: (Q28) Rationale provided to higher administration about participation in WEST. (Total respondents = 48; total responses = 90).

The top three reasons reported to higher administration for participation in WEST include 1) space reclamation; 2) shared responsibility; and 3) responsible deselection. While deselection is a means to reclaim space, members often cited the two separately as distinct reasons for participation in WEST. The ability to reclaim space for other uses was not always associated with the improved ability to make accountable collection management decisions around what to withdraw in print. Shared responsibility refers to the cost-savings and/or the increased ability to do more as a collective.

Interestingly, the WEST primary goal ranked the lowest in terms of institutional priorities, space reclamation, is cited the most as rationale provided to higher administration about participating in WEST. WEST's most valued primary goals, access and preservation, are ranked fourth and fifth for rationale used.

Across the rationale provided to higher administration, only three respondents listed space reclamation as the only rationale provided; typically, space reclamation was included alongside one or more rationale such as print access, preservation, low use, and/or shared responsibility. Moreover, space reclamation was used to describe both current/existing reclamation projects and the opportunity or potential for reclamation.

There may be a discrepancy between the rationale provided to administration for participation in WEST and the priorities WEST libraries place on the program's goals; this may or may not become a liability for WEST over time.

Respondents report the following rationale for participating in WEST:

- "WEST participation strategically positions us to do responsible deselection should we find it necessary to do so in the future." (*Other AUL, Archive Builder*)
- "Preserving print collections for posterity in a large consortium is valuable for us as well as other libraries." (*Acquisitions and Electronic Resources Librarian, Non-Archive Holder*)
- "Membership is one component of a program to rely on partnered or electronic access to those materials for which such access makes sense as we manage print collections down for space recovery and build collections of digitized materials." (*Library Director, Non-Archive Holder*)
- "Collective approaches to managing print collections are cost effective and enable the preservation of more materials than could be done locally." (*AUL for Collections, Archive Holder*)
- "...Use WEST as an example of multi-institutional strategies that are needed in research libraries." (*Library Director, Archive Holder*)
- "We pointed to the value of having trusted archives of print journals at partner libraries, which will allow us (at some point in the near future) to begin deselecting print journal volumes. As with other library partnerships, benefits must be earned by contributing local resources to the network." (*AUL for Collections, Archive Builder*)

3.3 Member Participation and WEST Activities

Of the members that have a formal set of institutional priorities or goals, the majority (57%) consider active participation in the WEST partnership as being an institutional priority (Q16).

Whether a member library has formal institutional priorities or not, the majority of respondents (74%) report that WEST activities support the collection management goals of their institution (Q17). A majority (64%) have also integrated WEST activities into their current collection management routines.

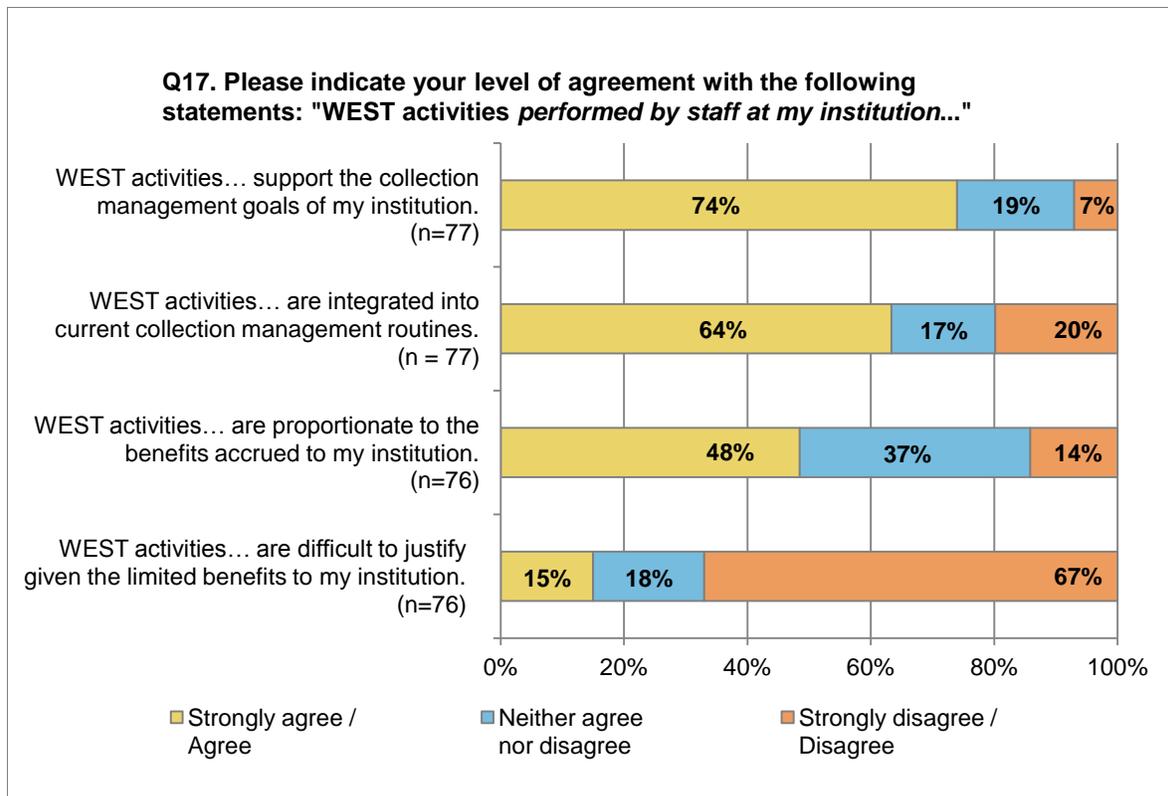


Figure 8: (Q17) Extent to which member libraries are incorporating WEST activities into their collection management routines; perception of value of staff resource expenditures.

Just under half of the respondents (48%) reported that WEST activities performed by staff are “proportionate to the benefits accrued.” Although 37% neither agree nor disagree with the statement, this might signify neutrality or uncertainty on the benefits of WEST. Only 14% of respondents reported that the activities involved are disproportionate to the benefits.

Respondent comments indicate that it can be difficult to routinize WEST activities and that sometimes the activities themselves can be challenging. This likely affects members’ cost-benefit analysis of WEST activities. When asked what aspect of participation in WEST has been the most challenging for their institution (Q30), several members reported the following:

- “Our small staff must find the time outside of their daily routine to perform WEST processing tasks, but this has not been a significant burden so far.” (*Other AUL, Archive Holder*)
- “Work flow and record maintenance. We try to answer the builders' calls for filling gaps, but because it is not part of our routine, we have identified one person to handle this on an ad hoc basis.” (*AUL for Collections, Archive Holder*)

- “Impact on our small staff to provide data. This may get easier as we incorporate thinking about WEST into our workflow or, for example, when deselection.” (*Collections Development Coordinator, Non-Archive Holder*).

Despite these challenges, many respondents report that they are able to handle WEST work on an ad hoc basis, or plan to integrate WEST activities into their current routines. Moreover, even with the reported challenges, the majority of respondents (67%) disagreed that the benefits of WEST are difficult to justify to their institution.

3.4 Areas of Operations Positively Affected by Participation in WEST

When asked what areas of their institution’s operations have been most positively affected by participating in WEST, 41 respondents provided a total of 50 positive outcomes. An additional seven respondents stated that there has been little or no impact (Q29).

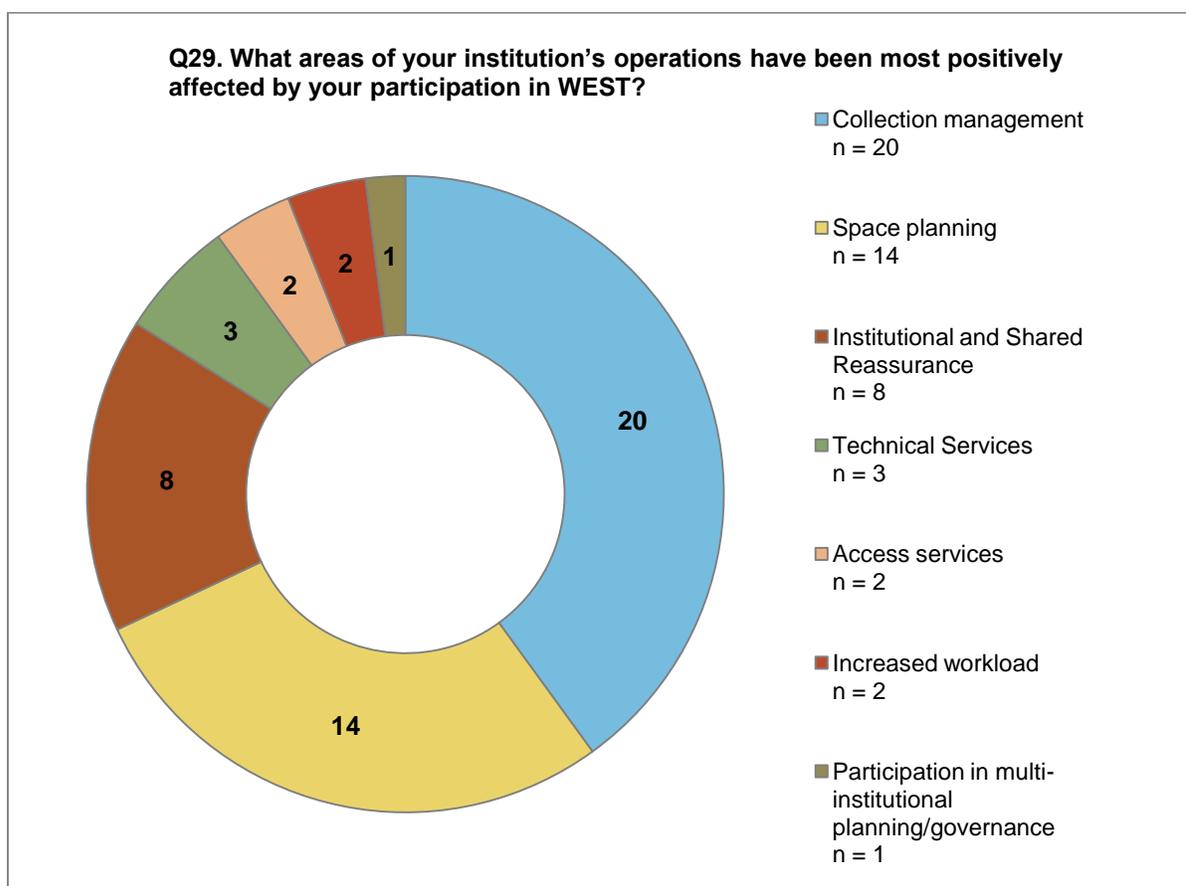


Figure 9: (Q29) Areas of operations positively affected by participation in WEST. (Total respondents = 41; total responses = 50).

The top three areas of operations most positively affected by participation in WEST include collection management, space planning, and institutional/shared reassurance. For benefits to collections management operations, WEST members listed assessment, deselection, purchasing, and stacks maintenance. For benefits to space planning, the ability to down-size collections has

allowed members to plan for more user-focused space and/or to free space on crowded shelves. Institutional and shared reassurance refers to the comfort in participating in a service that allows libraries to invest in print preservation and contribute to the greater scholarly good.

WEST members reported the following positive outcomes to participating in WEST:

- “Increased comfort level with shifts to storage and deselection of print runs.” (*AUL for Collections, Non-Archive Holder*)
- “Our physical facilities area is impacted most, just knowing we now have much greater flexibility managing library space and planning future uses of space because we know we can reduce our print journal shelving footprint if and when necessary. Collection management has also benefited from WEST membership in that journal assessments are beginning to take place on a larger scale than in pre-WEST times.” (*AUL for Collections, Archive Holder*)
- “We see it as an investment for the future and for the 'common good.'” (*Collection Development Coordinator, Non-Archive Holder*)
- “Our WEST participation has not yet had a very perceptible impact on our operations, but our staff and administration are pleased to support and participate in an important regional initiative that so closely aligns with our core mission.” (*Other AUL, Archive Holder*)
- “At this time, none. I will say that knowing that WEST is available as we move forward over the next few years to determine how our library building will be utilized, the need for space becomes ever more important to us, but hand in hand with our need to provide access to the content in those containers we call bound journals. Positively affected - yes - at this time, peace of mind.” (*Library Director, Non-Archive Holder*)
- “Potential space reclamation. We know that we could reclaim space quickly if needed by withdrawing some portion of our bronze journals. We have developed lists based on the contents of the existing archive cycles for this exact purpose for use in the future.” (*Collection Development Librarian, Non-Archive Holder*)

3.5 Challenges Related to Participation in WEST

When asked what aspects of participating in WEST have been most challenging for their institution, 48 members provided 56 responses (Q30). An additional 10 members explicitly answered that they had not experienced any challenges thus far.

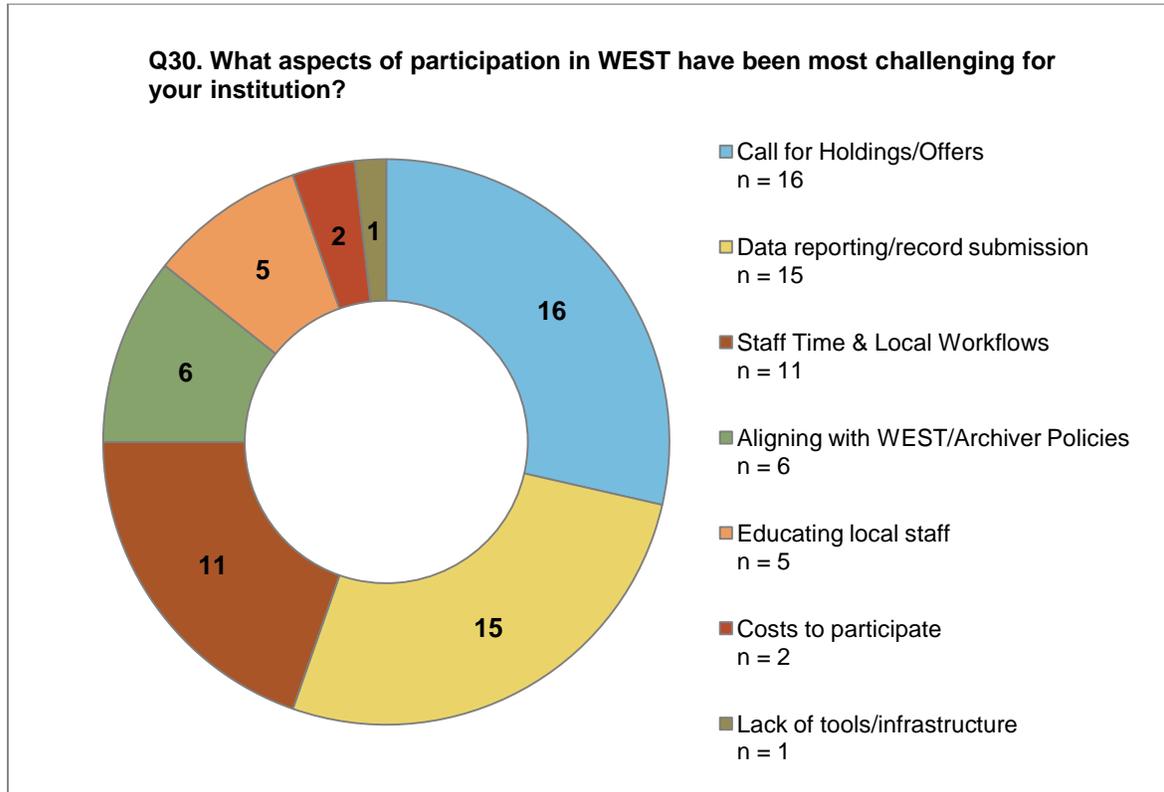


Figure 10: (Q30) Aspects of participation in WEST that have been most challenging. (Total respondents = 48; total responses = 56).

The top three challenges reported by members are: 1) the call for holdings and offering deselected titles; 2) data reporting and/or record submission; and 3) allocating staff time and incorporating WEST work into local workflows. When describing the challenges they face, WEST members offered the following:

- “Incorporating transfers to archive builders into normal workflows. Garnering staff resources to do large-scale withdrawals based on WEST commitments.” (*Head of Collections, Archive Holder*)
- “Educating...staff about WEST and the value of participating in WEST. Getting staff to understand and remember what gold, silver, and bronze categories represent is a challenge. Also getting some of our staff to appreciate and feel good about transferring journal titles to another institution has also been challenging. Another challenge has been for our university's administration to understand why we would want to give our resources to another library.” (*AUL for Collections, Archive Holder*)

- “The call for holdings process has been challenging, with state property regulations raising challenges for archive builders in states lacking large numbers of large WEST member libraries.” (*AUL for Collections, Archive Builder*)
- “I think we've been able to provide the information needed to participate, but what is a challenge is the integration of WEST's purpose into our collection management, more specifically our de-acquisition process so that through our contribution, we are helping ourselves and others in the same mission, that of providing journal content to be used by our students and faculty, both in the near future, but also over several generations of students (and faculty).” (*Library Director, Non-Archive Holder*)

Respondents identified the call for holdings as a challenging aspect of WEST participation. Although the majority of the responses were from Non-Archive Holders and Archive Holders, Archive Builders noted three main challenges from their specific perspective: state property regulations can raise challenges for filling gaps; it can sometimes be difficult to get libraries to respond to calls for holdings; and it is difficult to identify members and contacts from whom to request holdings.

Non-Archive Holders and Archive Holders noted that answering calls for holdings in a timely fashion and allocating staff resources to withdraw and ship holdings can be difficult; this is made even more complicated when state property requirements must be negotiated. Other members reported that it can be hard to evaluate a Builder's call for holdings list to determine which titles are candidates the institution would like to deselect; even when circulation/use is low, some institutions do not want to part with a title.

3.6 The Deselection Process

For the purposes of the survey, WEST defined deselection as the permanent withdrawal of a volume from the collection. Movement of materials to off-site shelving, including shared facilities, was not considered deselection. A contribution of volumes to other WEST institutions to complete archives was considered deselection.

The majority of respondents (71%) reported that their institution does not have a formal collection management policy for when or how to deselect journal backfile collections (Q19). However, when asked about their likelihood to use WEST archiving commitments in making decisions around deselection of print journals (Q20), 63% answered that they are very or extremely likely and 13% are moderately likely.

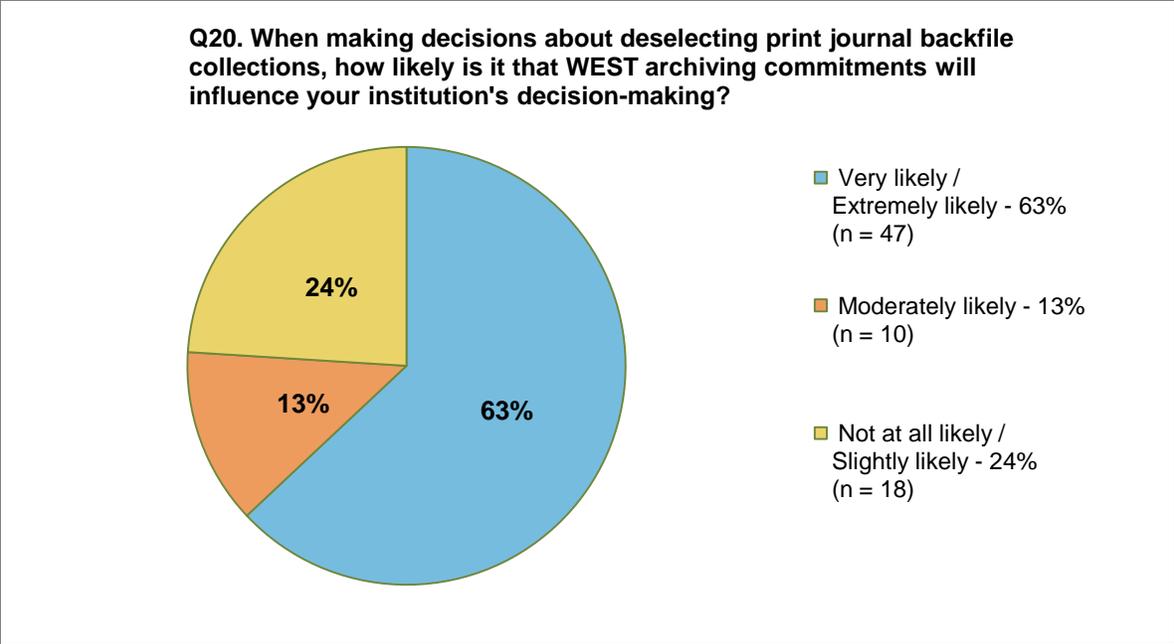


Figure 11: (Q20) Influence of WEST archiving commitments on WEST members' decision-making relative to deselection (n = 75).

Although not all WEST members participate in WEST for the potential to deselect, those that do value it a great deal. When asked what areas of their institutions operations have been most positively affected by participation in WEST (Q29), members reported the following:

- "...It has been most reassuring to know that weeding decisions can be made with a clear conscience." (*Library Director, Non-Archive Holder*)
- "Withdrawal of low-use print volumes to reclaim space, and the benefit of being able to say we participate in WEST puts a positive spin on what used to be a negative aspect of collection management." (*AUL for Collections, Non-Archive Holder*)

3.7 Deselection decisions vs. WEST archive types

WEST organizes its archiving activities in three broad categories, based on six levels of collection risk. Categories include:

Archive Type	Title Category	Title Category Description	Risk Category	Validation Level
Bronze	1	Print and electronic journals available in publisher e-journal packages and digitally preserved (e.g. Portico, CLOCKSS, etc.).	Low	No Validation
	2	Print and electronic journals available in publisher e-journal packages but not digitally preserved.		

Silver	3	Journals that are abstracted and indexed and have selected full-text available in Abstract & Indexing databases.	Medium	Volume-level Validation
	6	JSTOR titles		
Gold	4	Journals that are abstracted and indexed but do not have selected full-text available in Abstract & Indexing databases.	High	Condition and Issue-level Validation
	5	Print-only journals with no electronic access points.		

Figure 12: WEST’s three archive types and six title categories.

Over the past three years, 60% of respondents have deselected print journal backfiles (Q21a). Oftentimes, deselection institutions are unable to correlate their deselection activities specifically with WEST archiving commitments; 57% of deselection institutions reported not being able to correlate at least some of their deselection (Q21b).

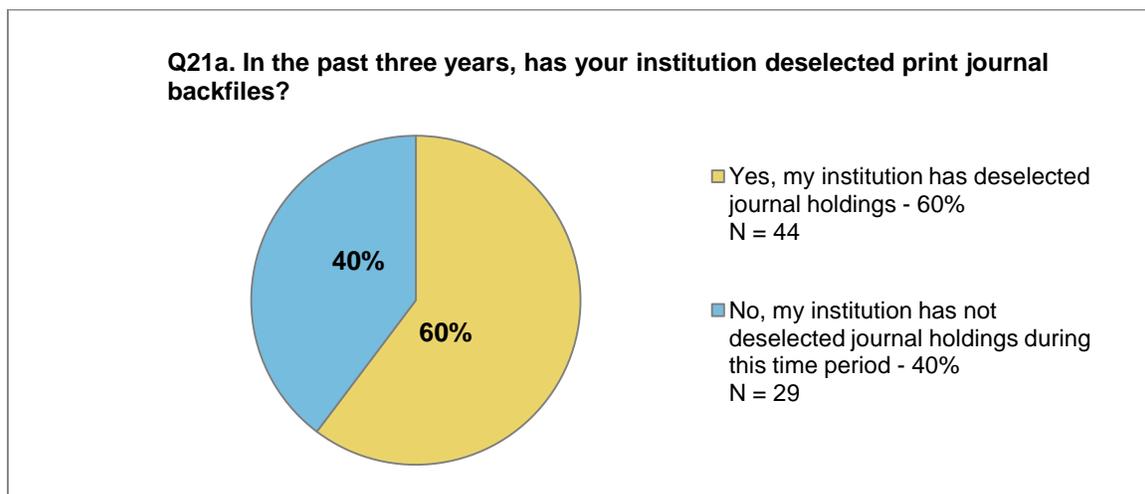


Figure 13: (Q21a) Deselection of print journal backfiles at WEST institutions (n = 73).

Of the deselection libraries, more have deselected bronze and silver titles (22% and 20% respectively) than Gold (11%). This might suggest that electronic availability is an important factor in deselection decisions, though there is a willingness to deselect print-only titles as well. It would be worthwhile to monitor such deselection activities in subsequent assessment, particularly if digitization services are incorporated into WEST.⁴

Deselection decision-making based on WEST archives is being made at the title level (Q22/27); no respondents reported making deselection decisions at the archive type or archive cycle level (i.e., where all materials from a particular archive type or cycle were deselected without title-by-title analysis).

⁴ Percentages do not equal 100% as respondents were asked to “Check all that apply”.

Q21b. If yes, has your institution deselected print journal backfiles specifically based on WEST archiving commitments? Check all that apply.		
	%	Responses N =
Yes, WEST Bronze titles	22%	10
Yes, WEST Silver titles	20%	9
Yes, WEST Gold titles	11%	5
Yes, WEST archive type unknown	18%	8
My institution has deselected journal holdings but cannot correlate specifically with WEST archiving commitments	57%	25
	Responses = 57; Respondents = 44; "Check all that apply"	

Figure 14: (Q21b) Deselection of print journal backfiles based on WEST archiving commitments. (Note: Q21 percentages do not equal 100% as respondents were asked to "Check all that apply".)

Survey respondents were also asked about deselection behaviors relative to a variety of trusted services to understand whether there are significant differences in collection management behaviors relative to the type of trusted service (i.e., digital preservation or shared print).

Deselection decisions made as a result of either a digital preservation or shared print service are uncommon in most cases, save for JSTOR titles (Q25/27). The majority of respondents (55%) reported deselecting JSTOR journals, where only a small amount reported deselection based on Portico, HathiTrust and CLOCKS (18%, 5% and 4% respectively). Deselection is primarily done at the title-level.

Interestingly, 21% of institutions deselecting JSTOR journals are making publisher/platform-level decisions (as opposed to title-by-title analysis and deselection). It would be worthwhile to monitor such deselection activities in subsequent assessment, particularly to see whether members begin to apply such decision-making to WEST archives.

3.8 Participation in WEST and Other Trusted Services

Survey respondents were asked about current participation and likelihood of participation in a variety of trusted services, including digital preservation services (Portico, CLOCKSS, HathiTrust), platforms (JSTOR) and shared print programs (CRL, WEST, Medprint) to understand the relative value of these services to WEST members.

Q24b. What is the likelihood of participation over the next five years?			
	Not at all likely/slightly likely	Moderately likely	Very likely/Extremely likely
WEST	5%	9%	86%

Figure 15: (Q24b) Future participation in WEST (n = 43).

Most WEST members expect to continue to participate in WEST over the next five years; 86% of respondents indicated that they are very or extremely likely to continue their membership, and 9% are moderately likely (Q24b).

Q24a/b. Which of these services does your library or institution participate in or offer? What is the likelihood of participation over the next five years?						
	Current Participation			Likelihood of participation over next five years		
	Currently Participate	Do not currently participate but participated in the past	Do not currently participate	Not at all likely/ slightly likely	Moderately likely	Very likely/ Extremely likely
Portico	49%	0%	51%	55%	11%	36%
CLOCKSS	30%	0%	70%	52%	28%	18%
HathiTrust	43%	1%	56%	43%	16%	40%
JSTOR digital journal archives	79%	1%	20%	26%	7%	67%
LOCKSS	32%	9%	58%	55%	29%	16%
Digital Preservation Network	23%	0%	77%	64%	8%	28%
Orbis Cascade Alliance Distributed Print Repository	27%	2%	72%	73%	4%	22%
Univ. California Libraries' Shared Print Program	16%	0%	84%	83%	6%	11%
CRL print journal archives	23%	3%	73%	78%	12%	10%
MedPrint	8%	0%	92%	81%	13%	6%

Figure 16: (Q24a/b) Participation in other trusted services (n = 74).

Most respondents that participate in a trusted service other than WEST plan to continue to participate in it (e.g. 49% currently participate in Portico and 47% are likely to participate over the next five years) (Q24a/b). JSTOR, Portico and HathiTrust all have the highest current participation rate among WEST members (79%, 49% and 43% respectively). Although some attrition might occur, most participants expect to continue to participate in such services over the next five years.

4. The WEST Program: Potential for Change

A primary objective of the assessment survey was to ascertain what, if any, actionable changes to the exiting program are desired by the WEST membership. Such changes might include modifications to the operations model, business model, and governance structures. A series of questions were constructed to identify:

- Desire to adjust institutional roles and responsibilities within the partnership.
- Desire for increased participation or to have more influence in decisions, including the governance structure.
- Interest in providing compensation for specific additional services.
- Relative importance of recording WEST archiving commitments and of WEST's current disclosure, discovery and access model.
- Preference for the frequency of collection analysis.
- Desire to expand current priorities for WEST print journal archiving.

These questions were posed to most respondents including AULs, access and technical services staff, storage facility managers and staff, and library directors who serve as the WEST primary contact. Library Directors who do not serve as a primary contact were not asked these questions, and were instead redirected to the Library Director's addendum on the future of WEST.

4.1 The Value of Active Archive Creation: Responses by Member Role

To understand the value of active archive creation within WEST, all three member groups (Archive Builders, Archive Holders and Non-Archive Holders) were asked whether the value of the Trust is dependent upon continued archive creation (Q35D, 36D, 37D).

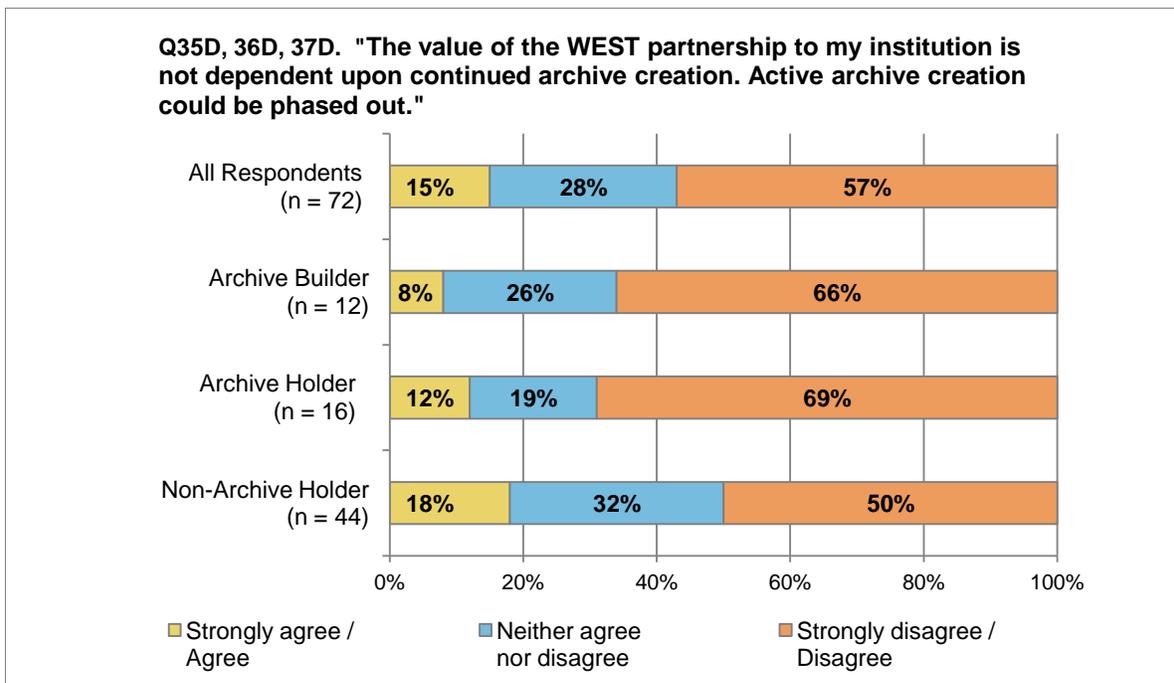


Figure 17: (Q35D, 36D, 37D) Responses to the statement: "The value of the WEST partnership to my institution is not dependent upon continued archive creation. Active archive creation could be phased out."

The majority of all respondents (57%) value active archive creation as a core mandate of the WEST partnership. For each member group, the majority of respondents disagreed or strongly disagreed that active archive creation could be phased out (66% of Archive Builders, 69% of Archive Holders and 50% of Non-Archive Holders).

Given the strong response in favor of WEST’s preservation and print access priorities earlier in the survey (Q15), it is clear that while continuing to actively create archives is important to the majority of members, so too are the individual archives and the services they offer in terms of preservation and access to the scholarly record.

4.2 Potential Changes to the WEST Financial Model: Responses by Member Role

A key objective of WEST Phase 2 is to transition to a financial model whereby grant funds from the Mellon Foundation will be gradually phased out and member fees will substantially support core operational functions, such as archive creation, collection analysis, retention commitments, disclosure and access.

To understand members’ attitudes towards member fees, respondents were asked to rate the costs of participating in WEST relative to the benefits accrued (Q31).

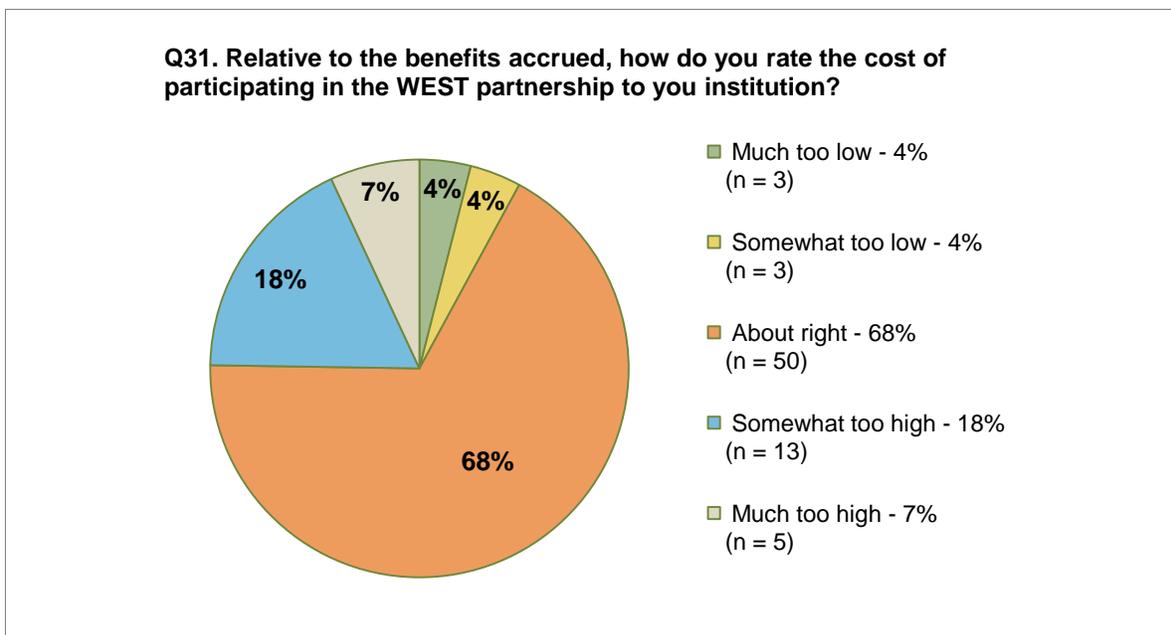


Figure 18: (Q31) Perception of the cost of participating in the WEST partnership relative to the benefits accrued (n = 74).

Relative to the benefits accrued, the majority of respondents believe the cost of participating in WEST is “about right” (68%) and an additional 8% believe member fees are somewhat or much too low. For roughly one quarter of respondents, the cost is somewhat or much too high.

Feedback from members indicates that the benefits of WEST are not always clear to members.

- “The benefits of West to our institution are not clear to me. With an increase in cost, we are likely to drop out unless benefits become more obvious. At the current level, we were willing to join just to support the effort, but won't be able to subsidize at a higher cost without corresponding benefits.” (*Library Director, Non-Archive Holder*)

However, member feedback also indicates that while WEST is doing great work, the communication of WEST benefits and achievements is lacking.

- “I think WEST has done an outstanding job so far. There is much to be proud of. I sense however that within a majority of the membership of WEST libraries, relatively little is known from the director down about what is being accomplished, WEST operations, and how member libraries might become more actively involved. Communication is always a challenge...I think this is an area that should receive more attention and improvement.” (*AUL for Collections, Archive Holder*)

To understand member preferences for continuing and supporting WEST archive creation, which represents the core of WEST's activities, survey respondents were also asked to answer a series of questions on archive creation and fees, keeping in mind that continued archive creation beyond 2016 will require an increase in WEST member fees.

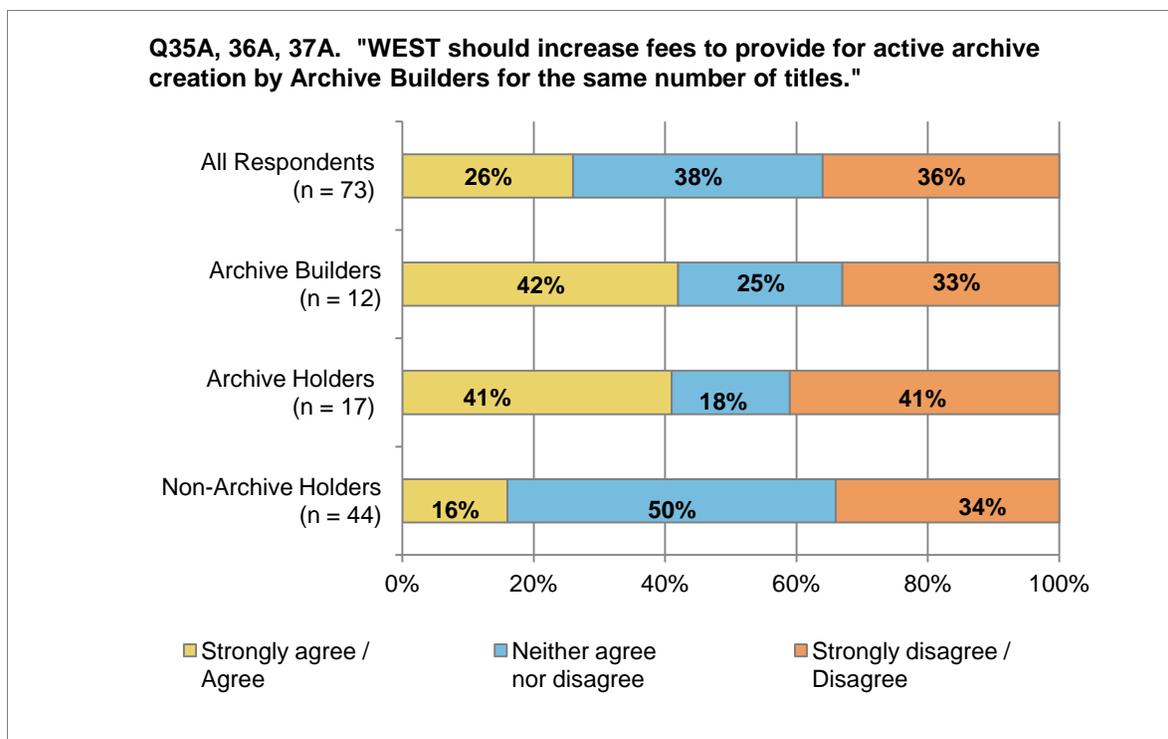


Figure 19: (Q35A, 36A, 37A) Responses to the statement: “WEST should increase fees to provide for active archive creation by Archive Builders for the same number of titles.”

When considering whether WEST should increase fees to provide for active archive creation for the same number of titles (Q35A, 36A, 37A), respondents were divided in their response. Across all respondents, 38% neither agreed nor disagreed, 36% disagreed and 26% agreed.

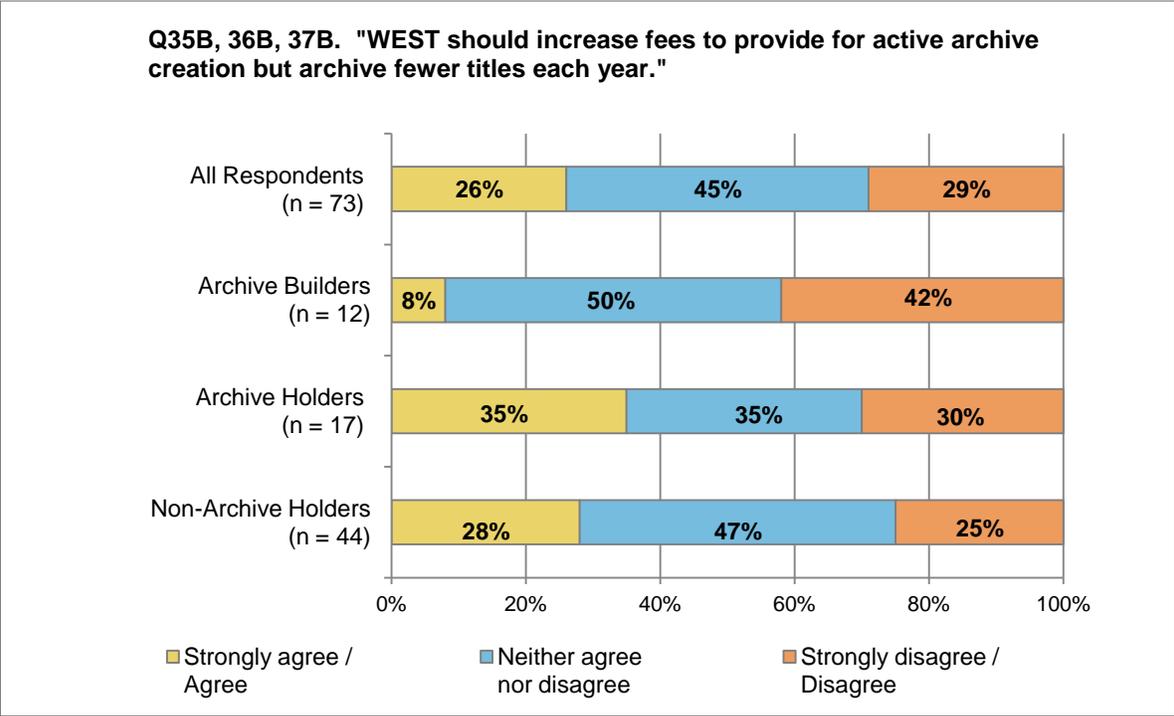


Figure 20: (Q35B, 36B, 37B) Responses to the statement: "WEST should increase fees to provide for active archive creation but archive fewer titles each year."

Respondents were also divided when asked whether WEST should increase fees to provide for active archive creation coupled with archiving fewer titles each year (Q35B, 36B, 37B). While the plurality of respondents expressed no opinion (45% neither agreed nor disagreed), more disagreed with increasing fees while archiving fewer titles than agreed (29% and 26% respectively).

The large number of respondents answering that they neither agree nor disagree with proposals to increase fees might represent uncertainty (e.g., "It depends", "I have no basis for judgment" or "I'm not willing to declare myself") or neutrality. In such instances, the WEST project team focused on the responses clustered on both sides of the midpoint.

Importantly, Archive Builders responded to the two proposed fee increase models (i.e., "increase fees to provide for active archive creation by Archive Builders for the same number of titles", as compared to "increase fees to provide for active archive creation but archive fewer titles each year") quite differently. When a fee increase for Builder archive creation was associated with archiving fewer titles, fewer Archive Builders were in favor (8% compared to 42% in favor of increasing fees and archiving the same number of titles).

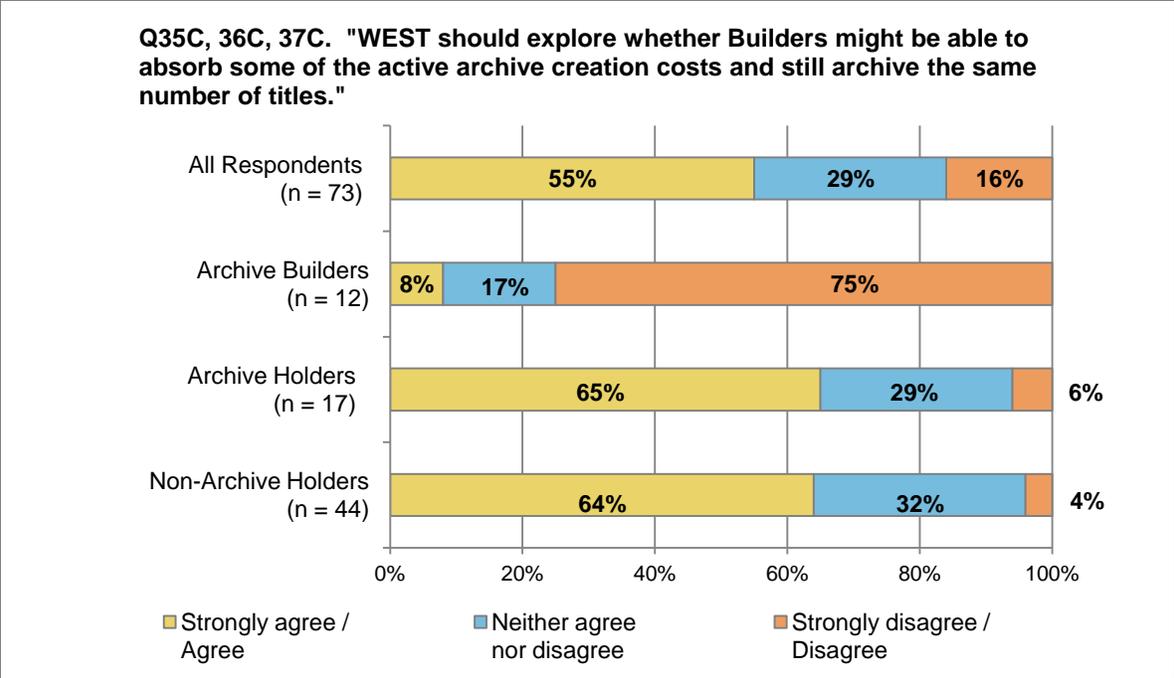


Figure 21: (Q35C, 36C, 37C) Responses to the statement: "WEST should explore whether Builders might be able to absorb some of the active archive creation costs and still archive the same number of titles."

When Builders were asked to absorb some of the active archive creation costs, of the twelve Builders that responded, nine disagreed or strongly disagreed. Only one Builder respondent agreed, and two neither agreed nor disagreed (Q35C, 36C, 37C). Unsurprisingly, the majority of Non-Archive Holders and Archive Holders agreed or strongly agreed that WEST should explore shifting more archiving costs to Builders.

4.3 Expanding the Number of Archive Holders

To understand member perspectives' around engaging more WEST libraries as Archive Holders, each member group was asked whether WEST should expand the number of institutions asked to act as Archive Holders (Q35H, 36F, 37E).

The majority of existing Archive Holders are interested in WEST engaging more members to share the responsibility of archiving bronze titles. Interestingly, current Non-Archive Holders are divided; while 44% agree that more members should be asked to serve as Archive Holders, 45% neither agree nor disagree. Such a large number of respondents answering "neither" might indicate neutrality, uncertainty, or that respondents did not want to commit on behalf of their institution.

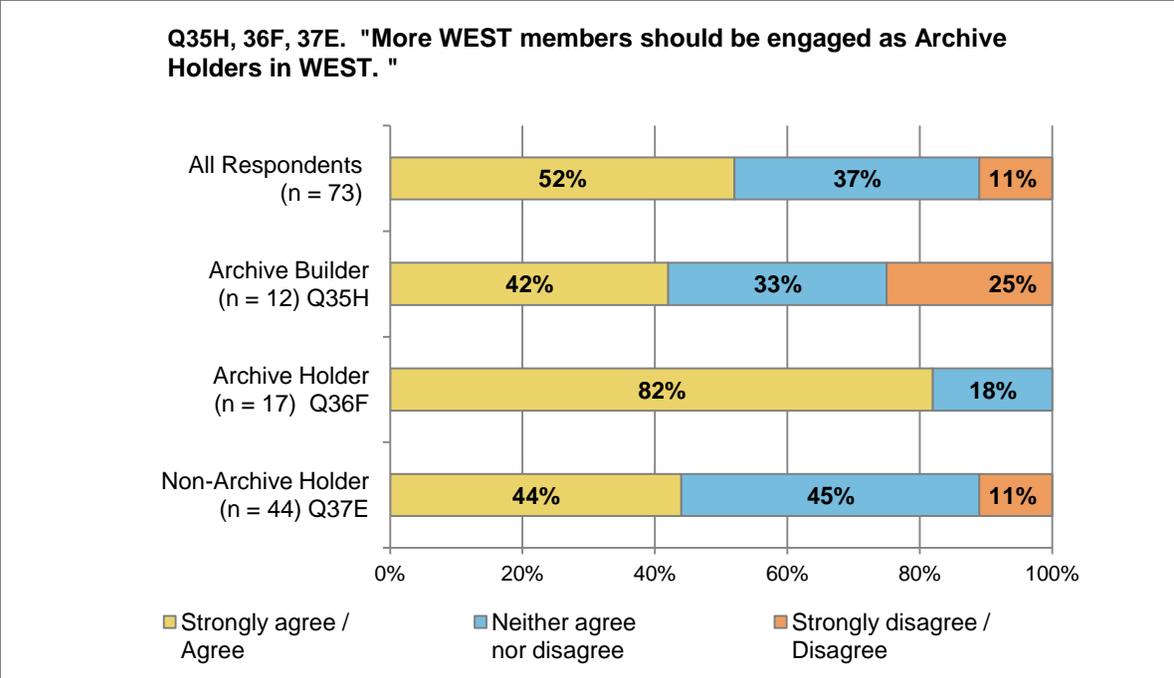


Figure 22: (Q35H, 36F, 37E) Comparison of responses to the statement: “More WEST members should be engaged as Archive Holders in WEST.”

4.4 Support for Change to the WEST Financial Model: Archive Builders

In addition to posing questions to all three member groups, each group was also asked to comment on one, two or three additional statements. These statements were crafted to better understand the interests and preferences of each member group on topics of direct interest to them.

Archive Builders were asked to respond to a series of statements on financial support and institutional priorities for building print journal archives (Q35). Representatives from five out of six Archive Builders responded.

Archive Builder respondents reported that the current level of support for archiving is adequate. At least one representative from every Archive Builder who responded agreed or strongly agreed that their institution is satisfied with the financial support received from WEST (in total, 67%, or eight out of twelve respondents).

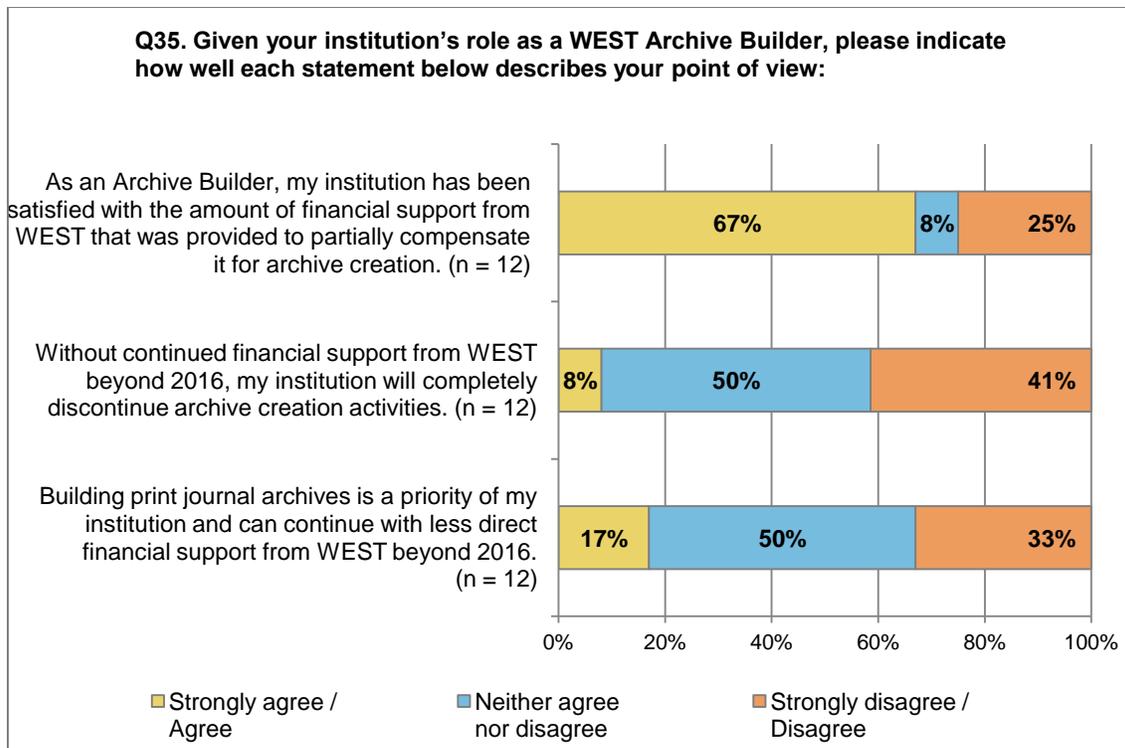


Figure 23: (Q35) WEST Archive Builder's perception of the potential to transition to a financial model whereby member fees substantially support core operational functions.

While the majority of Archive Builder institutions and respondents state they are satisfied with the current level of WEST financial support for active archive creation, regardless of the priority of archiving at their institution, few Archive Builders report they would continue to build print journal backfiles if financial support were reduced or withdrawn. Further analysis should be conducted to determine the level of financial support needed by Archive Builders to provide for continued archive creation.

4.5 Support for Change to the WEST Financial Model: Archive Holders and Non-Archive Holders

Archive Holders were also asked to respond to a statement on financial support (Q36). In total, seventeen respondents answered on behalf of Archive Holders, representing twelve of WEST's eighteen Archive Holder institutions.

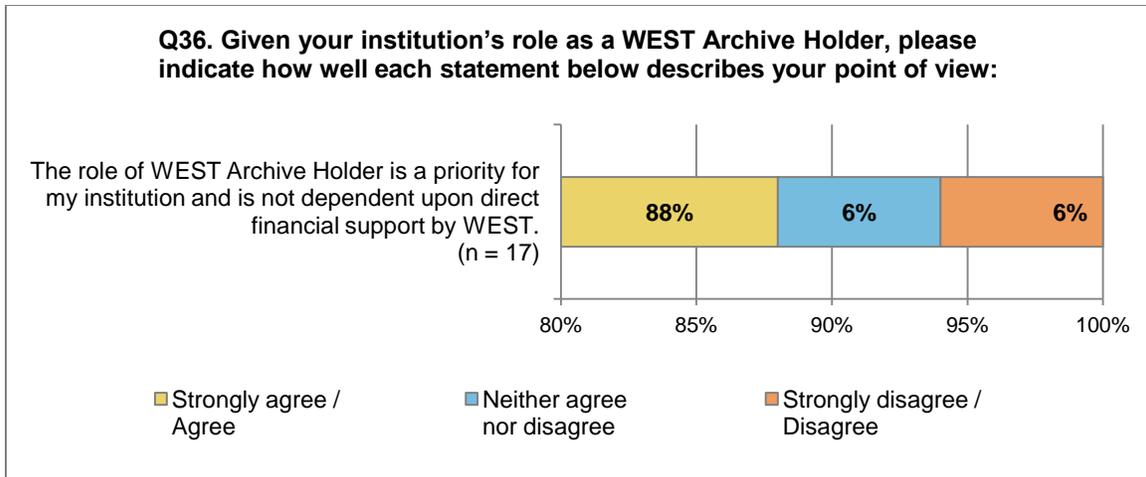


Figure 24: (Q36) WEST Archive Holder's perception of the potential to transition to a financial model whereby member fees substantially support core operational functions.

When asked if being a WEST Archive Holder is a priority for their institution and not dependent upon direct financial support by WEST, the majority of Archive Holders agreed (88%).

Non-Archive Holders were asked to respond to statements on whether they could participate in WEST as an Archive Holder. In total, 44 respondents representing 38 of WEST's 86 Non-Archive Holder institutions responded to this section of the survey.

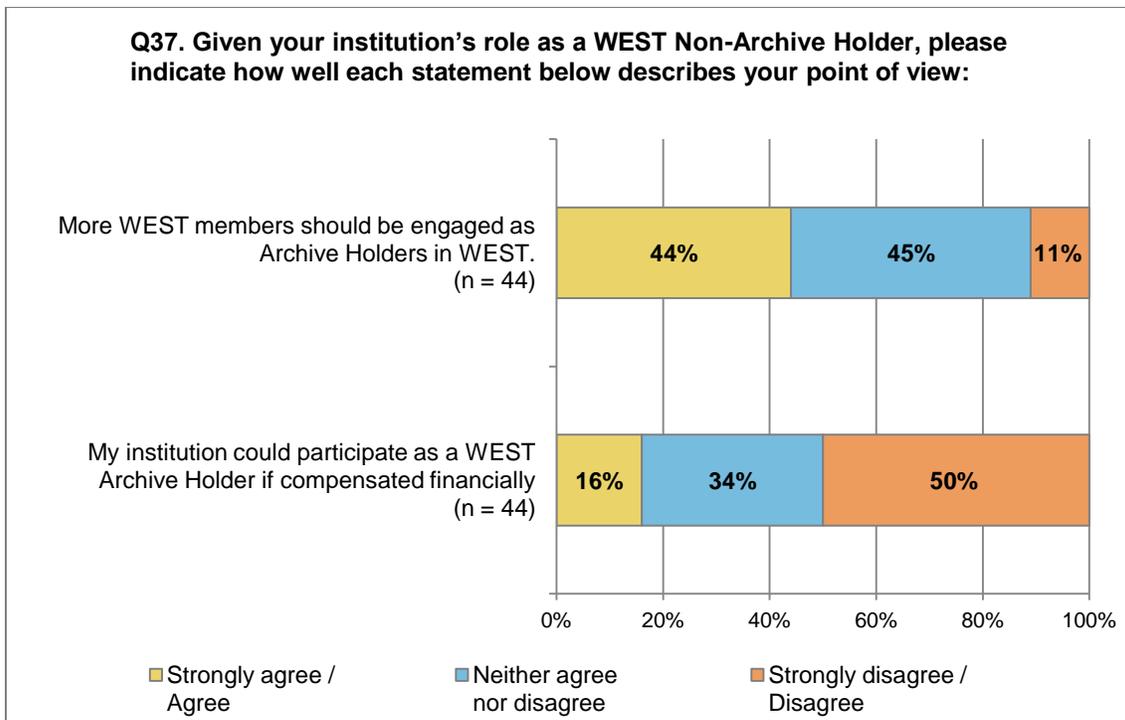


Figure 25: (Q37) WEST Non-Archive Holder's perception of the potential to transition to a financial model whereby member fees substantially support core operational functions.

It is interesting to note that although 44% of Non-Archive Holders agreed that more WEST members should be engaged as Archive Holders in WEST, only 16% indicated that their institution would be able to participate as an Archive Holder.

4.6 Compensation for Specific Services and the WEST Financial Model

Respondents were asked to consider additional services and changes to the current business model; currently, the proposed services are borne by individual members (e.g., shipping materials to Builders, carrying costs associated with retaining materials, etc.) (Q39).

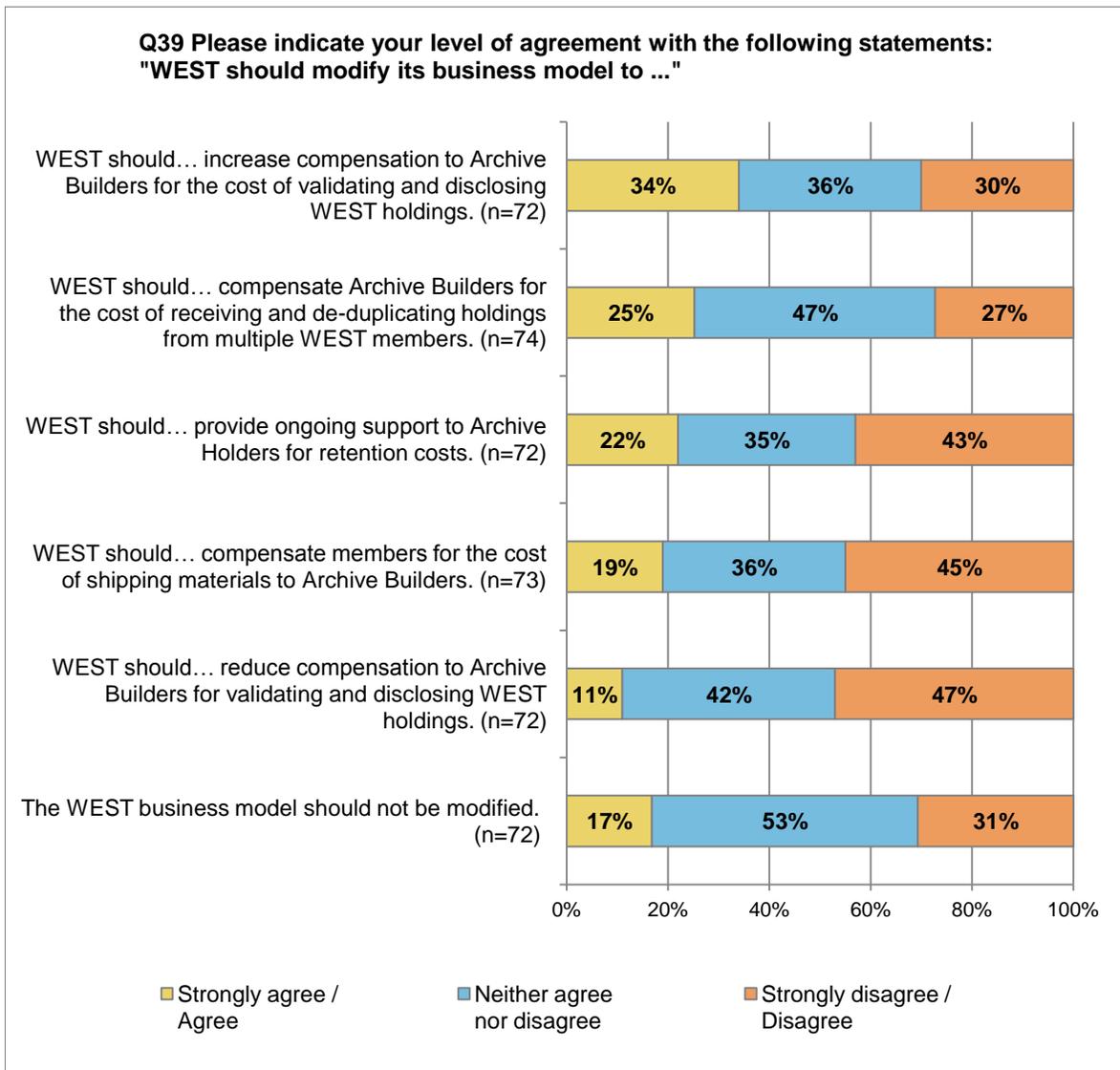


Figure 26: (Q39) Level of agreement with proposed modifications to WEST business model.

In general, respondents did not indicate a strong desire to reduce compensation to Builders for validation or begin compensating members for activities such as shipping, receiving and de-duplicating.

Although the majority of respondents neither agreed nor disagreed that the business model should remain unmodified (53%), almost one third disagreed (31%); only 17% of respondents agreed that the business model should remain unmodified.

4.7 Recording Archiving Commitments and the WEST Disclosure Policy

WEST currently employs two methods to formalize archiving commitments:

- Disclosing retention commitments according to the WEST Disclosure Policy (using separate shared print OCLC symbols, 561 and 583 fields).
- Recording the list of committed titles in an amendment to the WEST Member agreement (a permanent formal record of commitments to WEST).

Respondents were asked to indicate the importance of the two methods, as well as a third option: "Recording the list of committed titles on the WEST website or wiki" (Q40).

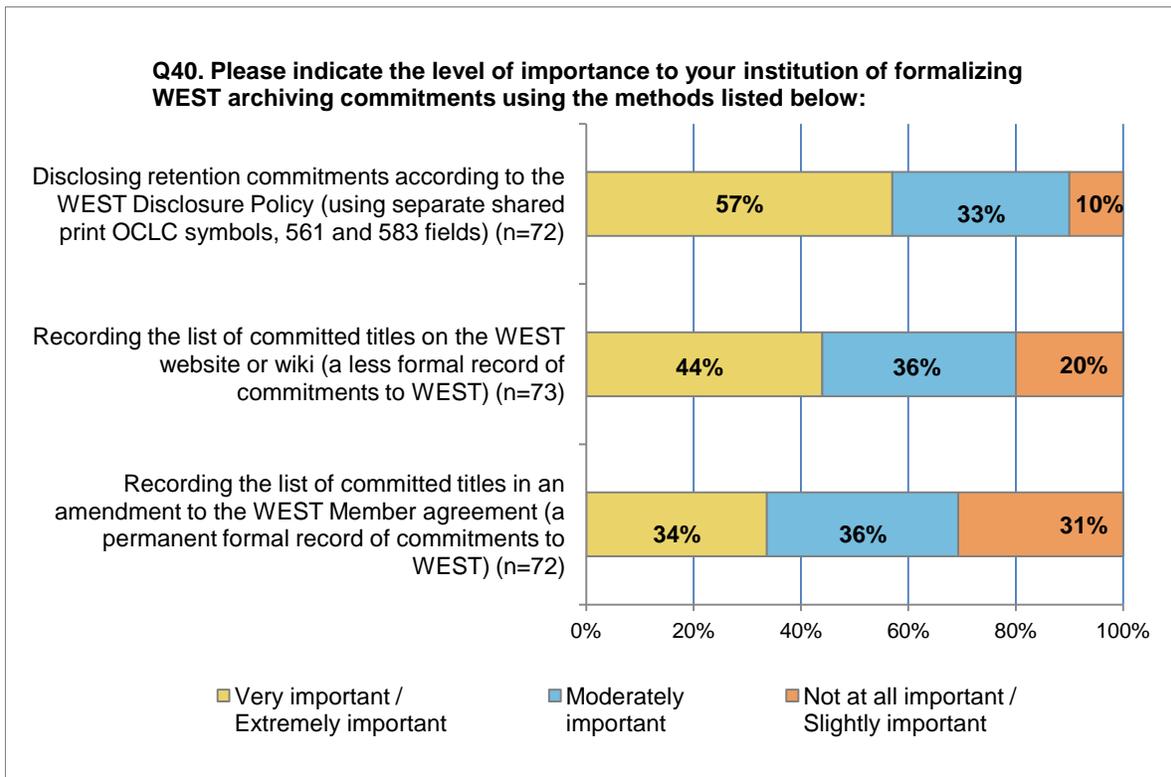


Figure 27: (Q40) Importance of formal WEST archiving commitments by indicated method.

For the majority of respondents (57%), disclosing retention commitments in holdings records according to the WEST Disclosure Policy is very or extremely important. Although a number of respondents stated that there is value in recording committed titles on the WEST website or wiki, or in an amendment to the WEST member agreement, neither method is valued as very or extremely important by the majority of respondents.

The WEST Disclosure Policy describes standards for disclosing WEST archiving commitments in OCLC WorldCat and CRL Print Archives Preservation Registry (PAPR). Metadata standards include using separate shared print OCLC symbols, local holdings records (LHRs) and 583 fields. To determine the importance of different facets of the Disclosure Policy, WEST members were asked to indicate their level of agreement with a series of statements on the topic (Q41).

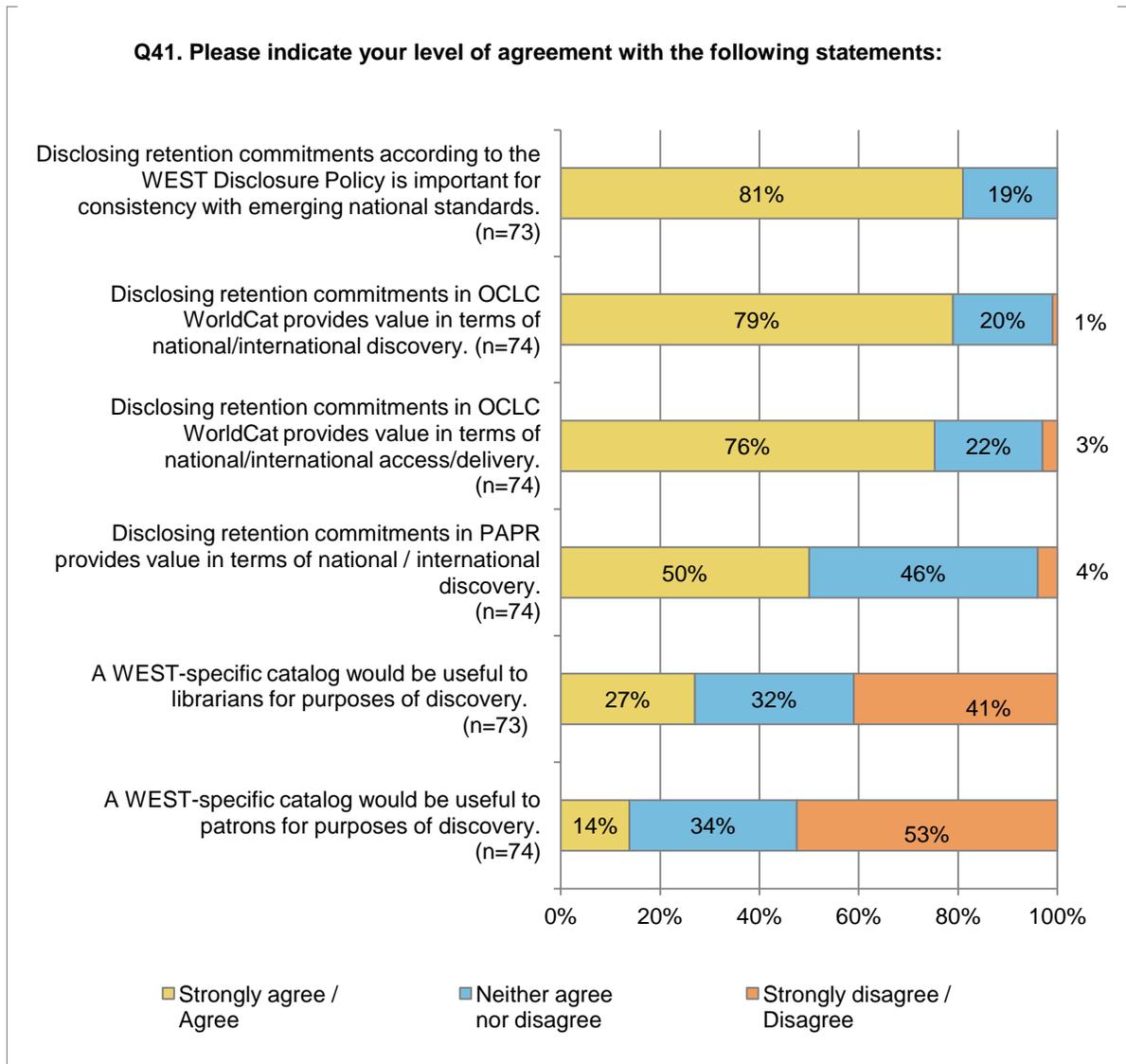


Figure 28: (Q41) Importance of WEST Disclosure Policy and disclosure retention commitments to WEST members.

The vast majority of respondents (81%) agreed or strongly agreed that disclosing retention commitments according to the WEST Disclosure Policy is important for consistency with emerging national standards. The majority of respondents also agreed that disclosing retention commitments in OCLC WorldCat provides value in terms of national/international discovery and access/delivery (79% and 76% respectively). Less widely valued but still important, half of the

respondents agreed that disclosing retention commitments in PAPER provides value in terms of national/international discovery.

Some members agreed that a WEST-specific catalog would be useful to librarians for discovery (27%). The majority of respondents did not agree that a WEST-specific catalog would be useful for patron discovery (53%).

4.8 Collection Analysis Frequency

Each year, WEST members provide their journal holdings for regional collection analysis for the purpose of supporting group and local decision-making about what to archive in the following year. Because the submission of journal holdings records requires staff resources for member libraries and ingest represents a significant percentage of WEST's systems support budget, members were asked to identify the optimal frequency if given the opportunity for more or less frequent collection analysis (Q43).

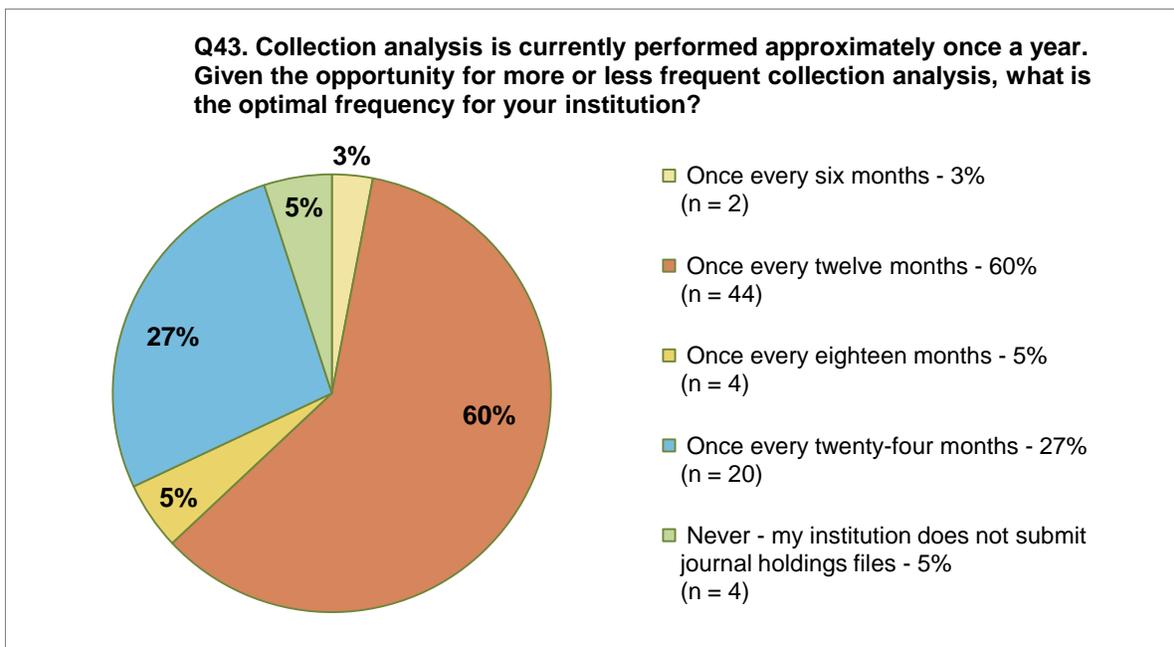


Figure 29: (Q43) Preference for frequency of collection analysis (n = 74).

The majority of respondents prefer collection analysis to continue once a year (60%), although a fair number indicated that it could be conducted once every twenty-four months (27%). The interest in supporting collection analysis every two years, at least as an optional model for some members, might be viable.

4.9 Potential for Expanding WEST Priorities Related to Journal Archiving

The WEST Executive Committee will begin medium- and long-term strategic planning in spring/summer 2014 to determine possibilities for new programmatic directions. To identify potential areas for expanding or enhancing the current print journal archiving program, WEST members were asked to indicate their institution's interest in several new activities and priorities (Q45).

**Q45. Please indicate your institution's interest in expanding WEST priorities to include the activities listed below related to journal archiving by indicating your level of agreement with the following statements:
"WEST should expand its priorities to *in***

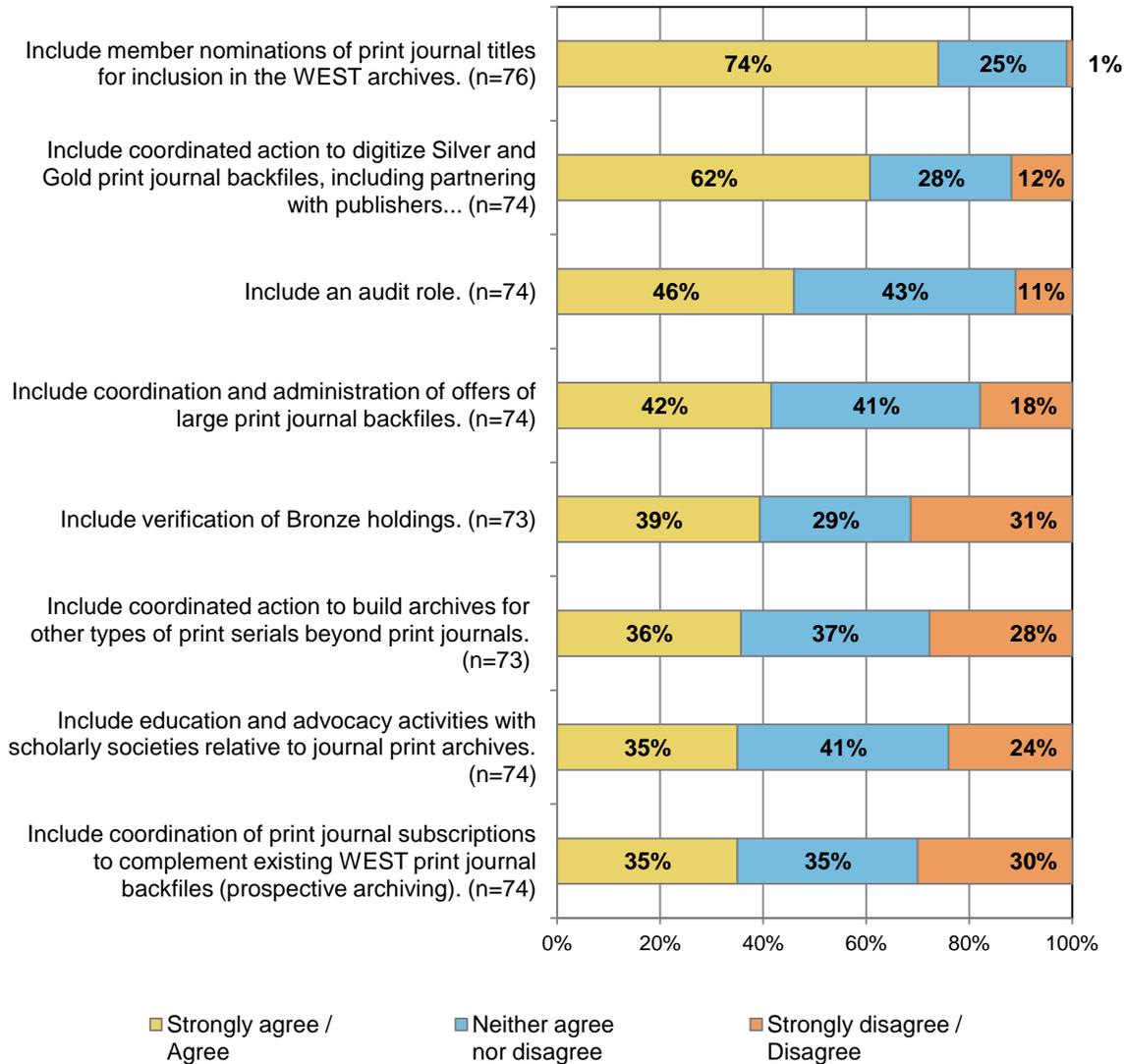


Figure 30: (Q45) Level of agreement with proposed modifications to WEST priorities related to journal archiving.

Title Nominations and Digitization of Silver and Gold of Most Interest

Of the proposed modifications to WEST priorities related to journal archiving, the inclusion of title nominations and digitization of Silver and Gold print journal backfiles were agreed upon by a significantly higher majority of respondents (74% and 62% respectively).

Other Priorities for WEST

While the inclusion of an audit of WEST archives and the coordination of print backfile offers were agreed upon by the plurality (46% and 42% respectively), an almost equal number of respondents stated that they neither agreed nor disagreed with these particular modifications (43% and 41% respectively).

Verification of Bronze holdings was agreed upon by 39% of respondents. Of the interested respondents, Non-Archive Holder institutions are most interested in verifying Bronze holdings; of the 29 respondents who agreed, only six represent Archive Holders. Perhaps unsurprisingly, the institutions that most value having reassurance about the trustworthiness of bronze archives are those relying on the holdings of others.

Several expanded priorities, such as building archives for other types of print serials beyond print journals, education and advocacy activities, and coordinating print journal subscriptions to complement existing WEST archives, were of interest to roughly one-third of respondents.

5. WEST Strategic Direction: Library Directors Reflect on Possible Revisions

In preparation for medium- and long-term strategic planning, the WEST Executive Committee requested that WEST Library Directors be given the opportunity to weigh in on potential revisions to WEST's strategic and programmatic direction. A series of questions were designed to identify potential changes to the governance structure and possible future activities that represent significantly different and new services for WEST. These questions made up the "Library Director's Addendum" and were posed to Library Directors only.

In total, 34 Library Directors, representing 31% of WEST's member libraries, responded to the WEST survey. Of the 34 Library Directors, ten represent current or former Association for Research Libraries (ARL) members.

The 18 Library Directors that also serve as WEST primary contacts were presented with both the general assessment survey and the Library Director's Addendum; the remaining Directors were presented with the addendum only.

5.1 WEST Governance

WEST has two governing bodies: an Executive Committee and an Operations and Collections Council (OCC). The Executive Committee is a representative body elected by WEST members and comprised of Archive Holders, Non-Archive Holders and Archive Builders. The OCC is appointed by the Executive Committee. The OCC can appoint ad hoc groups as needed. Council and Committee decisions and minutes are posted to the WEST wiki, announcements are distributed by email, and program updates are provided at an in-person meeting at ALA Annual and Midwinter meetings.

To determine if and how the WEST governance structure should be altered to better serve the WEST membership, Library Directors were asked to evaluate a series of statements and potential modifications (Q64). Overall, the Library Directors who responded indicated that the WEST governance structure is meeting the needs of the membership, although there are potential areas for improvement.

The majority of Library Directors (71%) agreed that the current WEST governance structure adequately represents the interests of their institution. The majority (61%) also agreed that decisions made by the WEST Executive are sufficiently transparent and effectively communicated. Library Directors were somewhat divided on whether decisions made by the WEST OCC are sufficiently transparent and effectively communicated to the WEST membership.

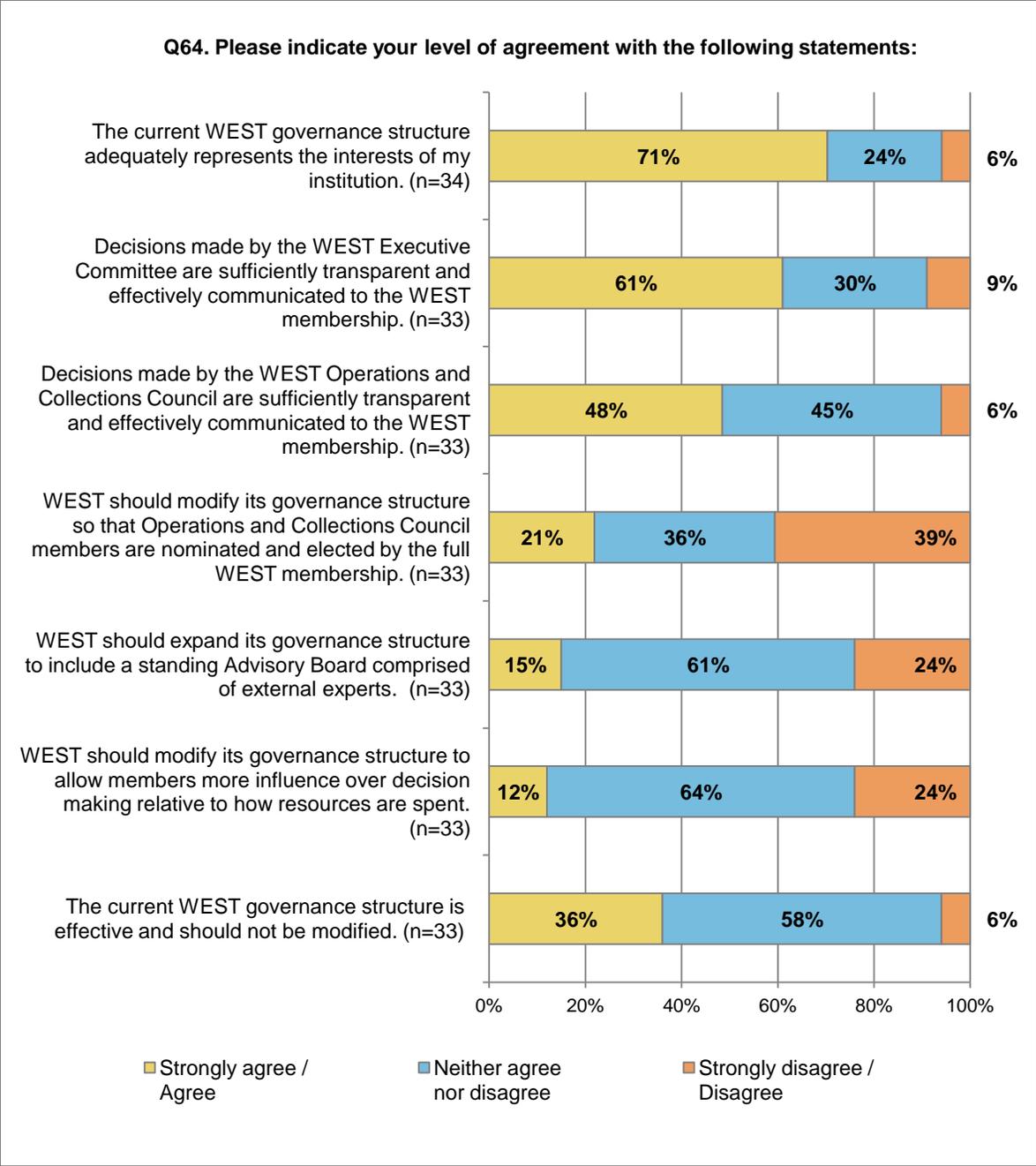


Figure 31: (Q64) Level of agreement with proposed modifications to WEST governance structure.

Additional comments provided by Library Directors indicate some disconnect between the governing groups and general membership. Respondents noted:

- “As a consortial member of WEST, we feel very far removed from WEST governance.” *(Library Director, Non-Archive Holder)*
- “It would be nice if there were better ways for consortia, such as the Orbis Cascade Alliance, to be represented in WEST governance.” *(Library Director, Non-Archive Holder)*

- “It’s difficult to know the distinctions between the Executive Committee and Collections Committee decisions. An easier feedback mechanism process from members, especially those who contribute volumes to builders, would be valuable.” (*Library Director, Non-Archive Holder*)
- “I would endorse a new approach that enables interested WEST members to provide suggestions and recommendations for change (particularly for members who are not represented on the Executive Committee or OCC). Does the WEST website provide an easy way for members to comment? Does the WEST Info list do enough to keep members up to date on Executive decisions, or to solicit member feedback?” (*Library Director, Archive Builder*)

However, Library Directors also noted the value of the current structure in that it provides for accountable and clear decision-making:

- “As long as we can elect individuals/institutions to sit at the executive level, they should be given the authority to represent us. If we don’t like what they do, we have an avenue to complain. However, having an avenue to weigh in on questions would be helpful.” (*Library Director, Non-Archive Holder*)
- “I feel that communication from WEST staff, the Executive Committee and other governance groups is working very well. I feel that too many cooks in the kitchen (as far as governance is concerned) can lead to muddy and vague processes and an overly bureaucratic decision making structure.” (*Library Director, Archive Builder*)

5.2 Future Activities and Services: Beyond Serials Archiving

In addition to soliciting feedback on potential revisions to the WEST governance structure, a primary objective of the assessment survey was to better understand what initiatives beyond serials archiving Library Directors would like WEST to pursue.

WEST Library Directors were asked to indicate their institution’s interest in expanding WEST priorities to include a variety of new shared print activities and services for WEST (Q49).

Of the 34 Library Directors that responded to the survey, a strong majority (88%) agreed that WEST priorities should be expanded to include building partnerships and coordinating with other print archives and organizations such as HathiTrust, DPLA, CRL and OCLC. General feedback from non-director respondents also supports this finding:

- “...Beyond 2016, the scope should include furthering the interoperability of other regional efforts similar to WEST. Additionally, I think WEST should pursue research questions related to the longevity of print journals, i.e., looking at Yano's paper and studying how that plays out over the commitment of WEST.” (*Preservation Librarian, Archive Holder*)
- “The continued efforts of WEST, in concert with other regional print archiving projects, is essential to ensure maintenance of the scholarly record over the next century while allowing libraries to reclaim extremely valuable, and increasingly scarce, physical space. The current remit is unlikely to be fully accomplished by a horizon of 2016.” (*Collections/Liaison Department Head, Non-Archive Holder*)

Although no other proposed modification was as strongly agreed upon, the inclusion of print federal documents for print archiving and digitization was agreed upon by 53% of Library Director respondents, and 45% agreed with developing archives for print monographs.

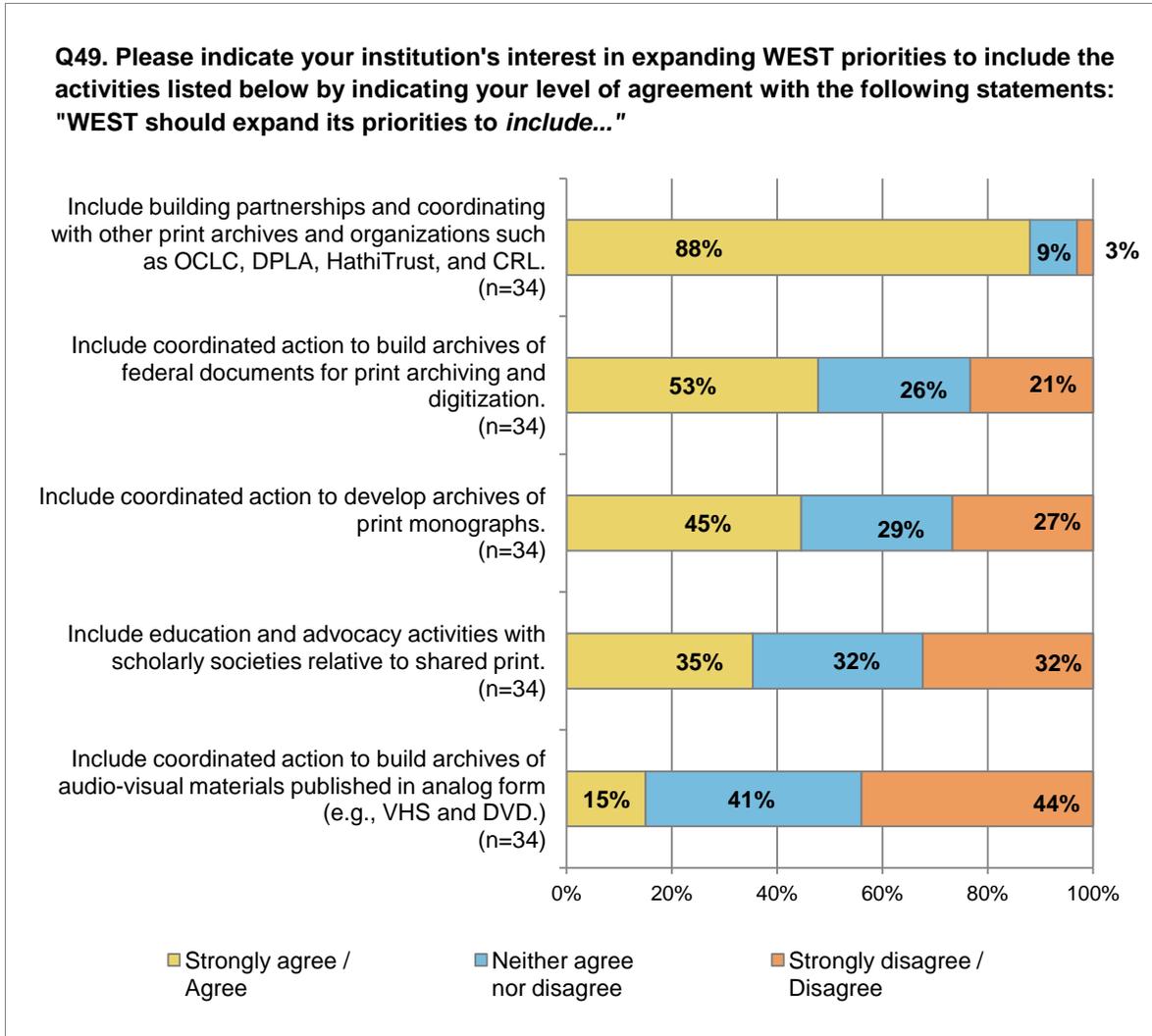


Figure 32: (Q49) Level of agreement with proposed modifications to WEST priorities related to activities not related to journal archiving.

Expanding WEST priorities to include education and advocacy activities with scholarly societies was positively received by 35% of respondents, although 32% indicated that they neither agreed nor disagreed with it being a WEST priority. This perhaps indicates that while directed education and advocacy might be a useful or good activity, working with scholarly societies in this manner is not a central priority for most WEST members.

To better understand how WEST might expand program priorities to include coordinated action to develop archives of print monographs and federal documents, Library Directors who agreed or strongly agreed with both or either proposal were asked a series of follow-up questions. These

questions were designed to identify institutional priorities, goals around deselection, funding sources, and the relative importance of developing new tools and services.

5.3 Shared Print for Federal Documents

More Library Directors were interested in shared print archiving for federal documents over print monographs. In total, 18 out of 34 Library Directors (53%) agreed that WEST should include the development of print federal documents archives as a program priority; only this subset of Library Directors were asked to answer follow-up questions on coordinating archiving for federal documents. Five respondents in favor of WEST shared print archiving for federal documents represent current or former ARL member libraries.

Although “federal documents” is a broad term that can refer to many different formats and resource types, it was purposefully left undefined in the survey.

If WEST were to create a regional collaboration focused on building archives of print federal documents, a range of activities and goals would also be developed in support of the program (Q59).

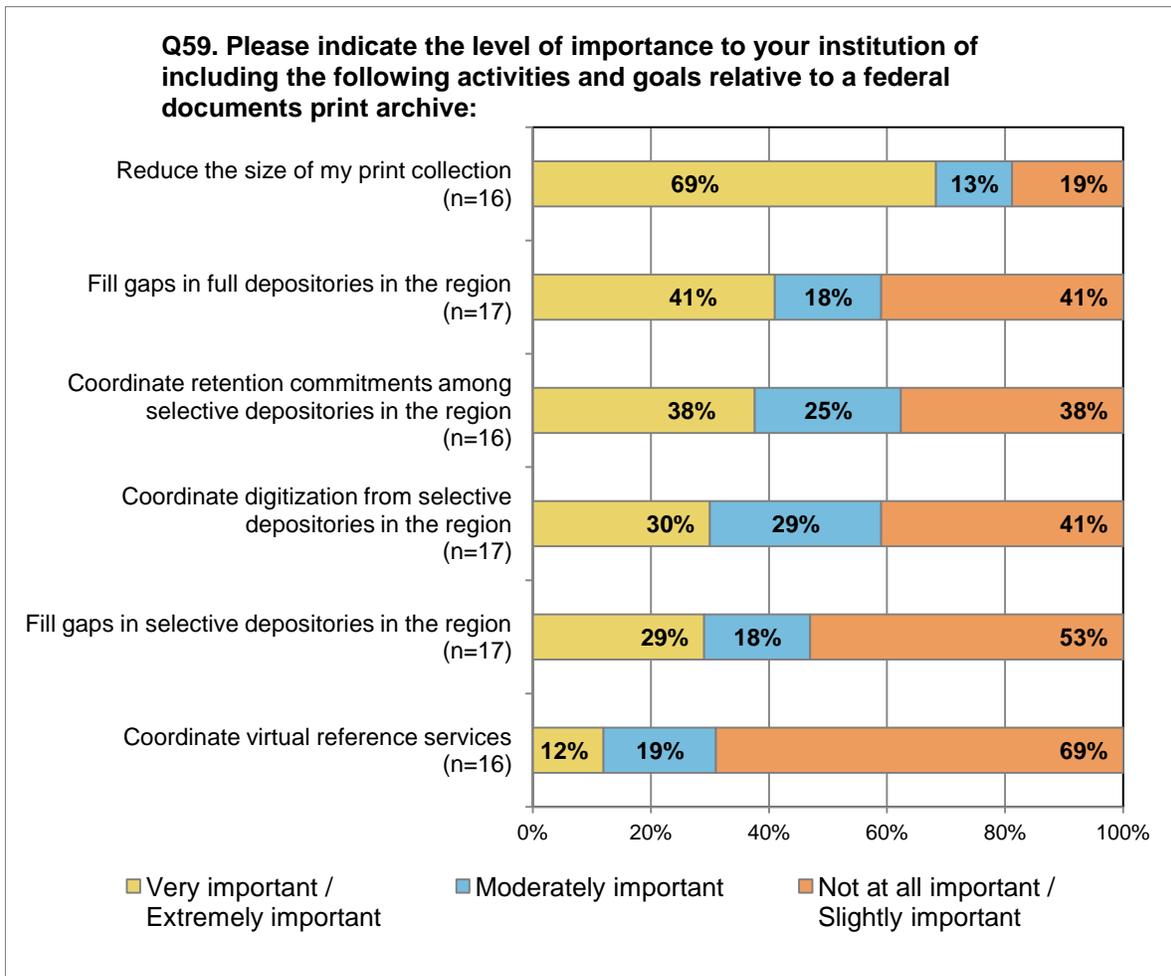


Figure 33: (Q59) Level of importance to WEST membership of specific activities and goals relative to a future print federal document archive.

The majority of interested Library Directors agreed that it would be very or extremely important for coordinated federal document print archives to allow institutions to reduce the size of their own print collections (69%). Although many interested Directors found gap-filling in full depositories in the region to be very or extremely important, an equal number thought that it was slightly or not at all important (41% and 41% respectively). Similarly, although 38% agreed that coordinated retention commitments among selective depositories was very or extremely important, another 38% of Library Directors also thought this goal was slightly or not at all important.

Filling gaps in selective depositories and coordinating virtual reference services were slightly or not at all important to the majority of interested Library Directors (53% and 69% respectively).

Although the majority of Library Directors surveyed are interested in shared print archiving for federal documents (53%), there was not a great deal of agreement around what goals and activities are important. While the survey may not have presented respondents with some of the core features they would like to see, no additional goals or activities were presented by Library Directors in the open comments section. However, two Library Directors noted the following:

- “It is critically important to coordinate any work in this area with other work underway in other parts of the country and with other organizations. Not sure if WEST is the right organization to take on this work.” (*Library Director, Archive Holder*)
- “Taking on federal government information would be a major initiative, and there are efforts to address this via regional depositories, individual print commitments of libraries, and HathiTrust to address the digital side. So we question what role WEST would play that wouldn't duplicate efforts but that could help glue some of these existing efforts together or complement things.” (*Library Director, Non-Archive Holder*)

Although archiving and preserving print federal documents is an important task, additional discussion might uncover whether further coordinated efforts should be managed by WEST.

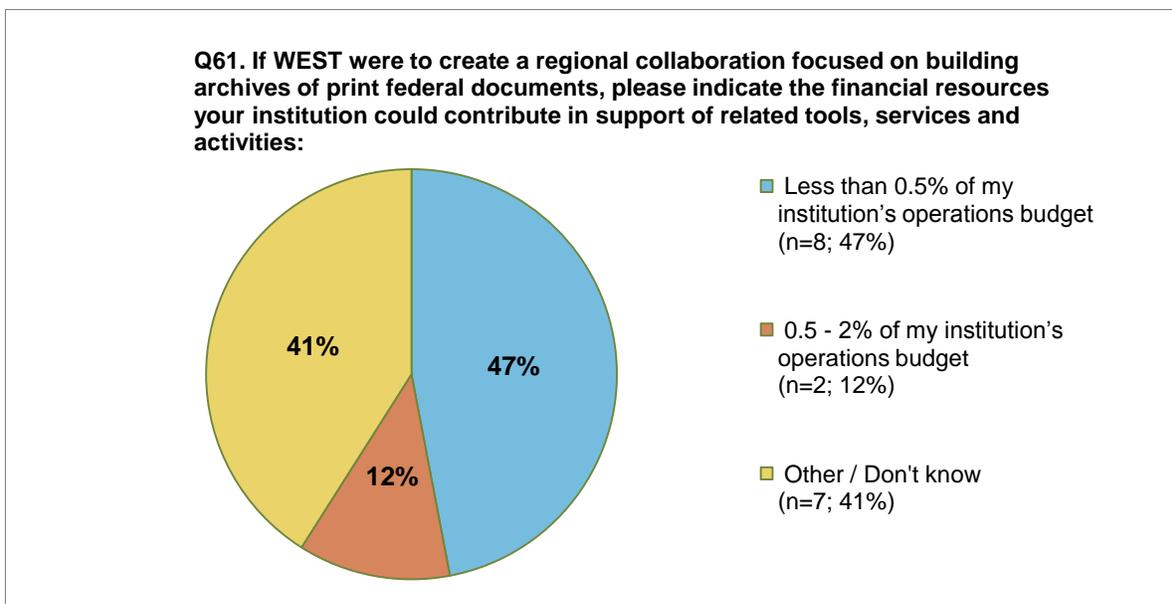


Figure 34: (Q61) Potential institutional financial support for the creation of a regional collaboration focused on building archives of print federal documents (n = 17).

If WEST were to create a regional collaboration focused on building archives of print federal documents, additional funding would be required. Almost half of the interested Library Directors indicated that they would be able to contribute less than 0.5% of their operations budget, and only two respondents stated that they may be able to give 0.5-2% in support of tools and services related to federal document archiving activities (Q61). This differs from print monograph archiving, where almost half of the interested Library Directors indicated that they may be able to commit 0.5-2% of their operations budget.

5.4 Shared Print for Monographs

In total, 15 out of 34 Library Directors (45%) agreed that WEST should include the development of print monograph archives as a program priority; only this subset of Library Directors were asked follow-up questions on coordinating archiving for monographs. Two respondents in favor of WEST shared print monograph archiving represent current or former ARL member libraries.

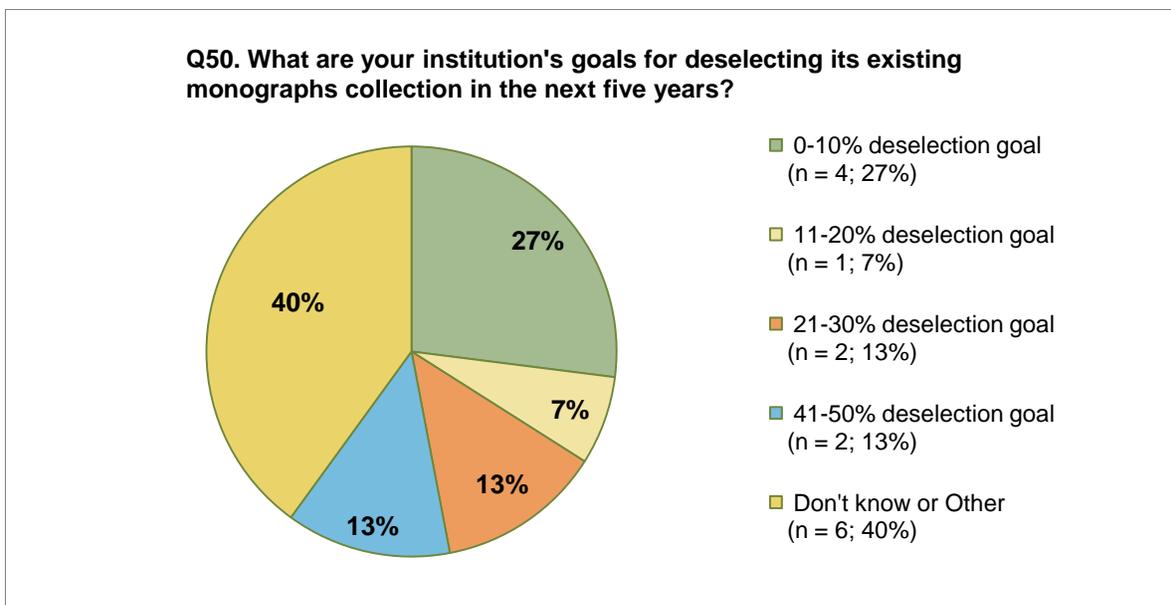


Figure 35: (Q50) Institutional goals for deselection of existing monographs in the next five years. (N=15)

Interested Library Directors reported that institutional goals for deselection of monograph collections over the next five years range from 0% to 50% (Q50). Although four reported plans to undertake more conservative deselection initiatives to remove upwards of 10% of their collections, two institutions reported a deselection goal of 21-30% and two reported a deselection goal of 41-50%.

Although many libraries currently deselection monographs set hard, quantifiable deselection goals for a variety of project-based or programmatic purposes, comments from Library Directors and non-directors confirmed this is not always the case

- “We are just beginning to weed our collection this year starting with reference materials and moving this fall to circulation materials. There isn't a % deselection goal rather the objective to have the materials to meet the teaching/research needs of the university.”
(*Library Director, Non-Archive Holder*)

- “We just finished a weeding process on moving our remote storage, and weeded approximately 10% of our monographs. We don't have any particular program to deselect monographs going forward, beyond our standard weeding as part of collection development. That said, if there was a central repository (e.g. WEST) on which we could rely, we would be interested in pursuing this activity.” (*Library Director, Non-Archive Holder*)

More so than for shared print journal archiving, there are a number of tools, services and agreements that are viewed by the majority of interested respondents to be very or extremely important for shared print monograph archiving (Q52).

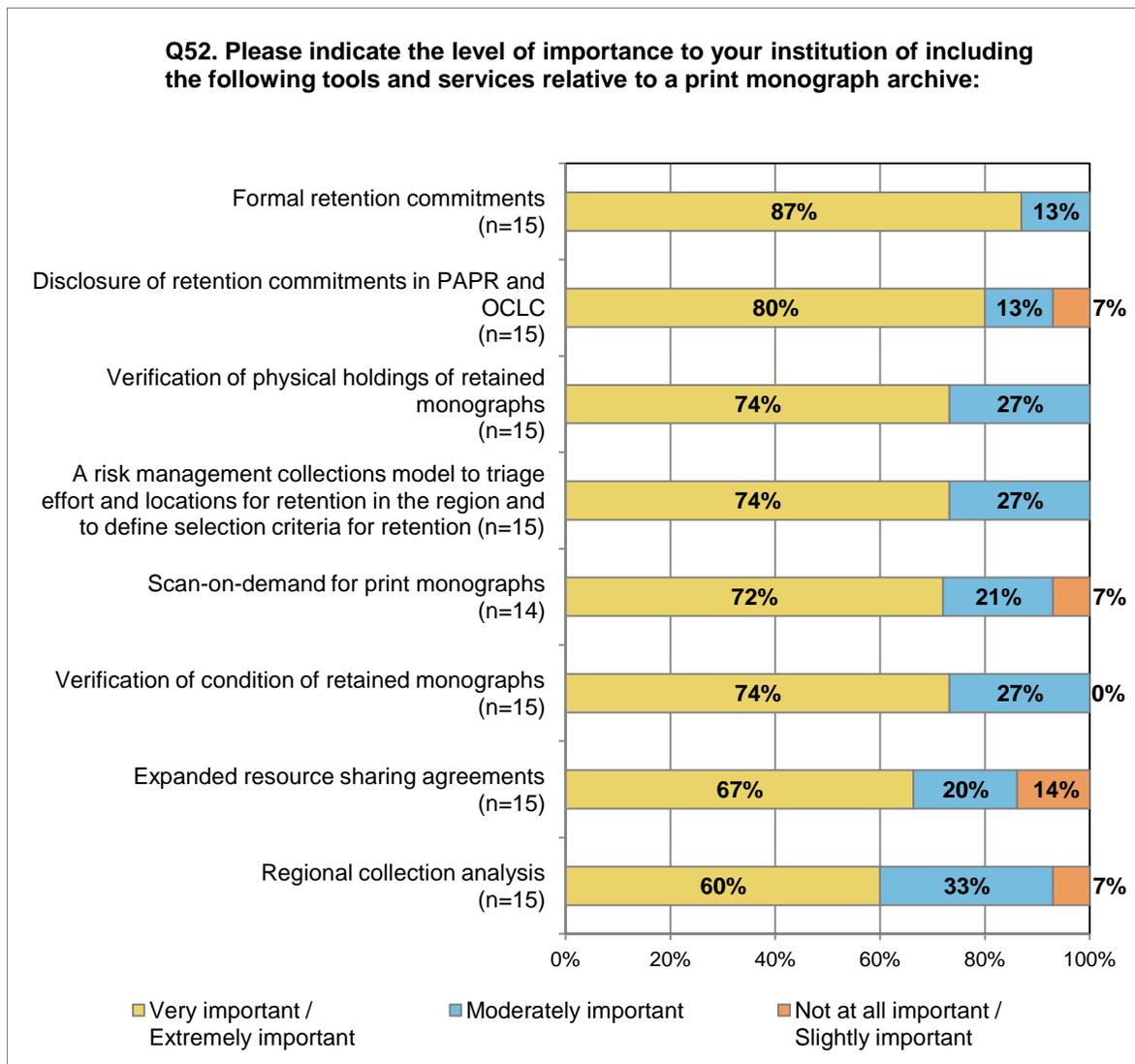


Figure 36: (Q52) Level of importance to WEST membership of including specific tools and services relative to a future print monograph archive.

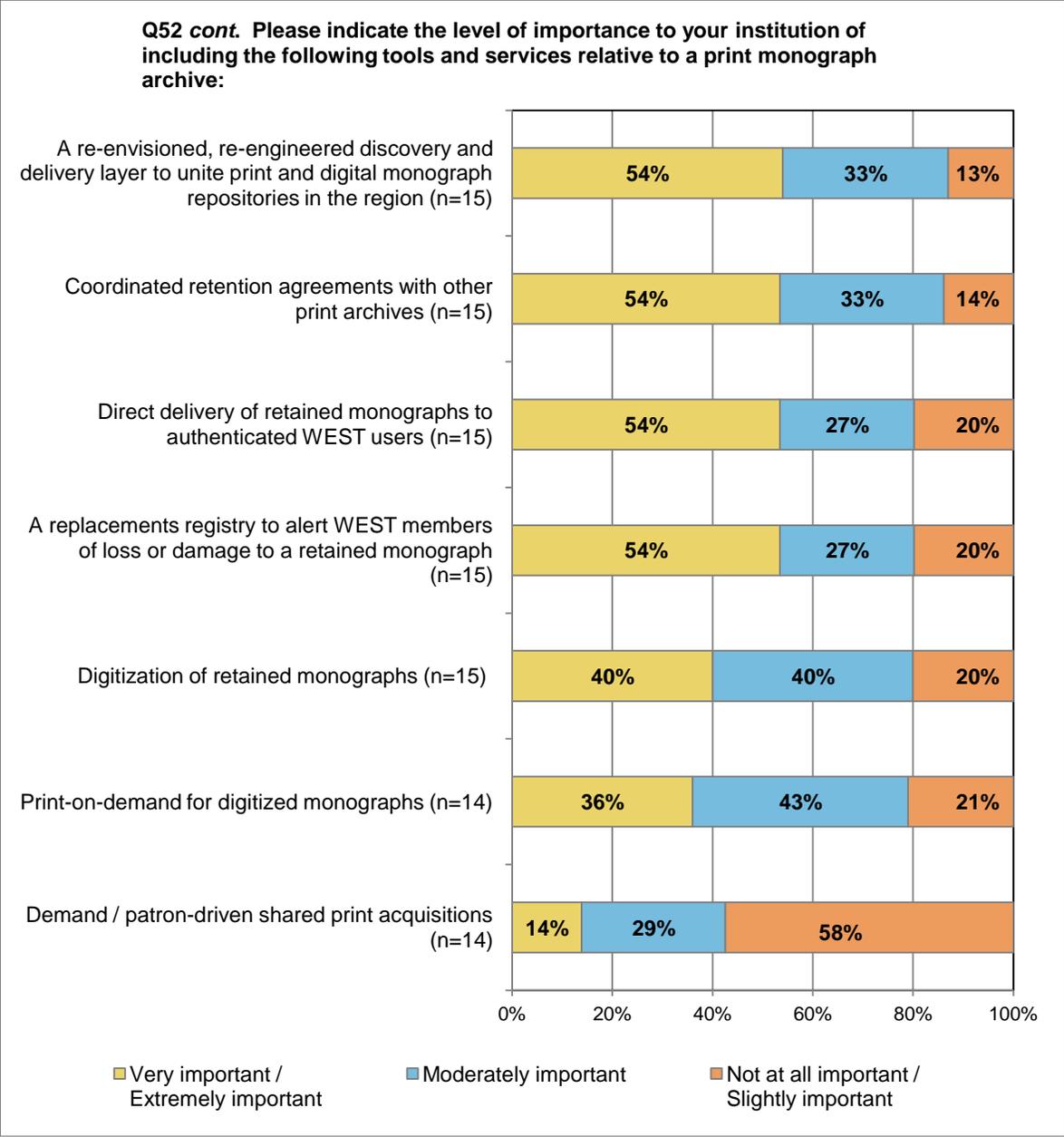


Figure 37: (Q52 cont.) Level of importance to WEST membership of including specific tools and services relative to a future print monograph archive.

The formal retention and disclosure of commitments in PAPER and OCLC were valued the highest, with 87% and 80% of the interested subset of Library Directors stating that these activities were very or extremely important. Verification of physical holdings, a risk management collections model, scan-on-demand and verification of condition were all similarly ranked by 72% to 74% of the interested Library Directors as very important or extremely important.

Expanded resource sharing agreements and regional collection analysis were very or extremely important to 67% and 60% of the interested subset of Library Directors respectively. A re-envisioned, re-engineered discovery and delivery layer to unite print and digital monograph repositories was very or extremely important to 54% of those interested, and moderately important to 33%.

The WEST Library Directors interested in shared print monographs strongly agreed that ensuring access, both in terms of discovery and delivery, would be the most important goal (100% agreement among the 15 respondents) (Q53).

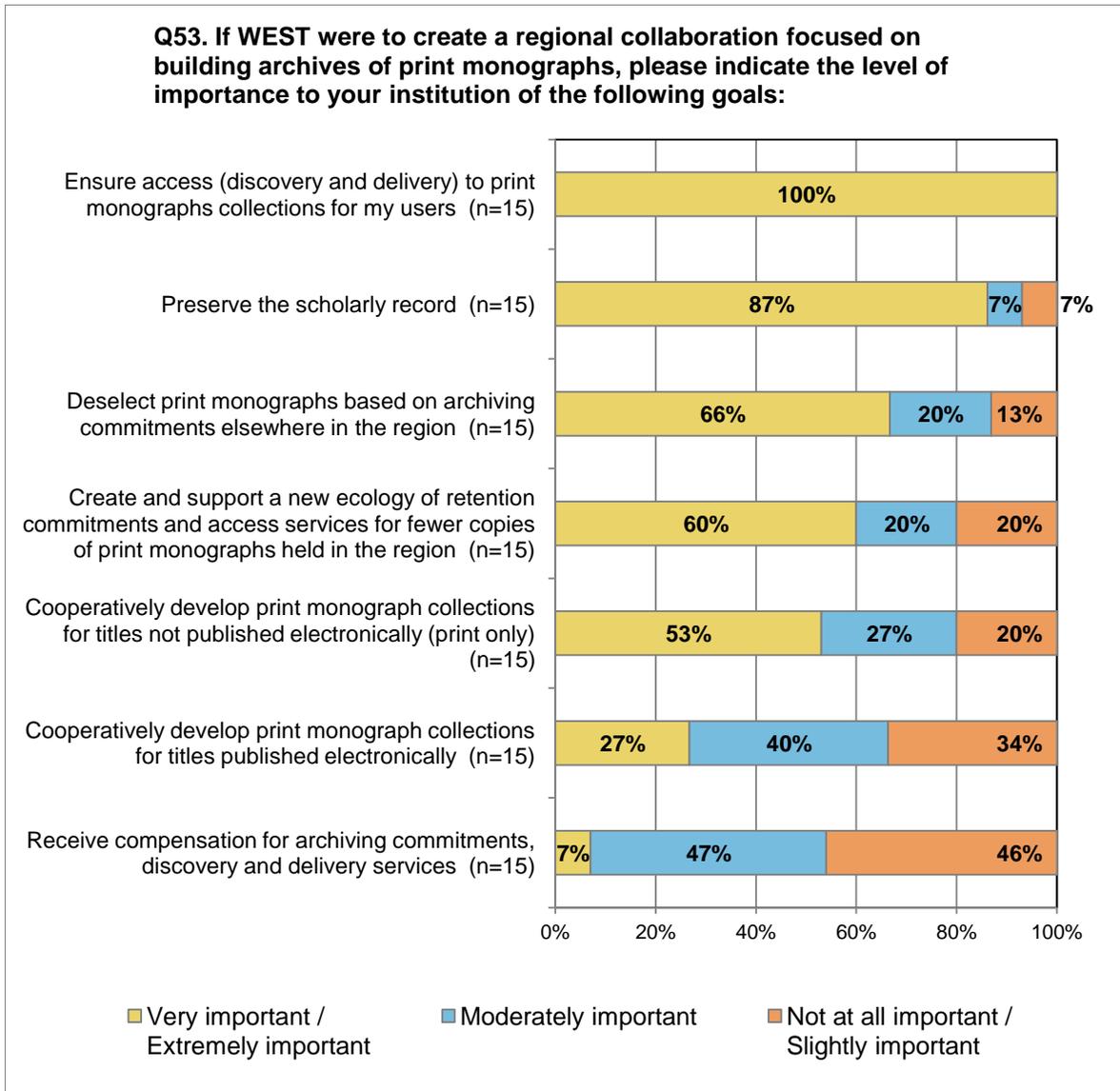


Figure 38: (Q53) Level of importance to interested Library Directors for including specific goals relative to a future print monograph archive.

Preservation of the scholarly record was a very or extremely important goal for 87% of the interested Library Directors. Although still important, the potential for deselecting print monographs based on archiving commitments was very or extremely important to a smaller majority of the interested Library Directors (66%).

The interested Library Directors' prioritization of potential goals for shared print monograph archiving is very similar to the manner in which institutional priorities currently align with the WEST primary goals for serials archiving; greater importance is placed on print access and preservation of the scholarly record, and slightly less importance is placed on space reclamation (Q15).

The majority of interested Library Directors (60%) also valued the creation of a new print monograph ecology whereby fewer copies are needed to service an entire region. Although the majority also supported developing print archives for monographs published in print only (53%), only a small portion of the interested Library Directors felt that it was very or extremely important to develop archives for monographs published electronically (27%).

If WEST were to create a regional collaboration focused on building archives of print monographs, there are two storage models that it might employ (Q55).

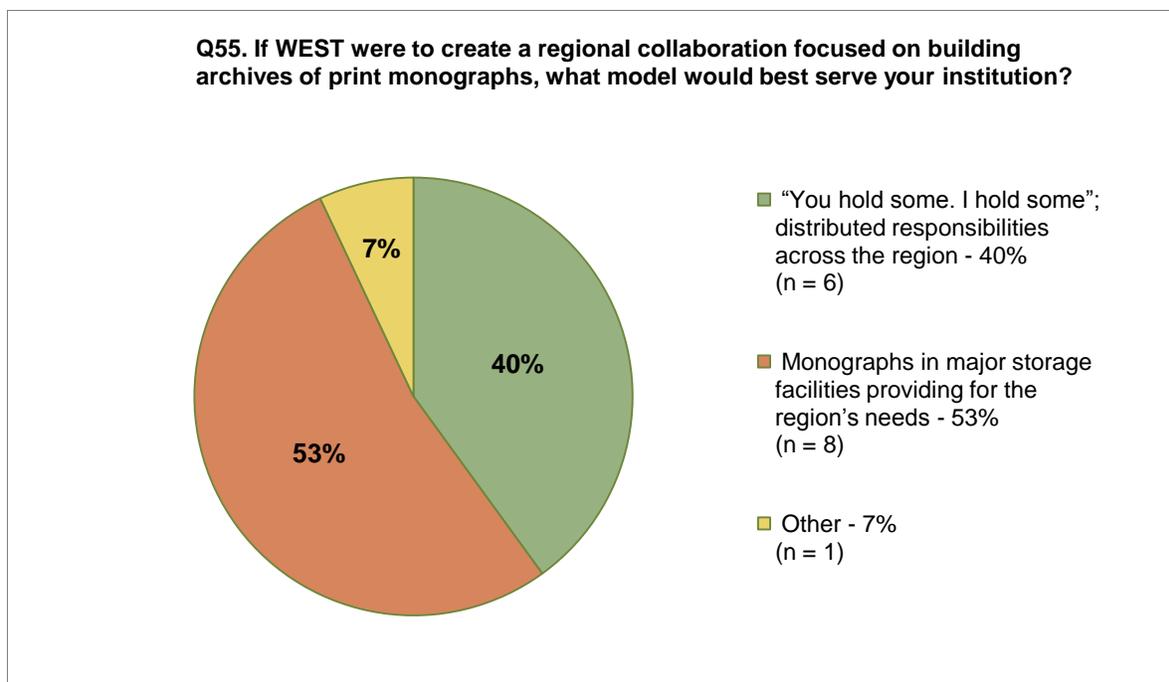


Figure 39: (Q55) Preference for model relative to a future print monograph archive collaboration (n = 15).

A slight majority of interested Library Directors preferred the more centralized model where monographs are archived in major storage facilities over the "you hold some, I hold some" distributed archive model (53% versus 40%).

As one Library Director noted, both archive models present benefits and challenges to the various participants:

- “Though 'you hold some, I hold some' is inefficient, it creates community and cooperation. Major storage facilities which are part of one institution and funded by many may work, but a lot is dependent upon services to be performed, other than remote storage - digitizing content and "emailing" or shipping the item(s) within specific time limits - and offers greater efficiency, but one could see cooperation dwindle when either members have money (and they don't need the service) or have less money (and they can't afford the service). Whichever model, the benefit in having such an archive must be demonstrated each budget cycle (for each of the member institutions)” (*Library Director, Non-Archive Holder*).

Incorporation of print monograph archiving into WEST activities will require additional funding. The plurality of the interested Library Directors (46%) indicated that their institution could contribute between 0.5 to 2% of their operations budget, and an additional 27% indicated a contribution but of less than 0.5% (Q57). One Library Director indicated that their institution could contribute between 3 to 5% of their operations budget.

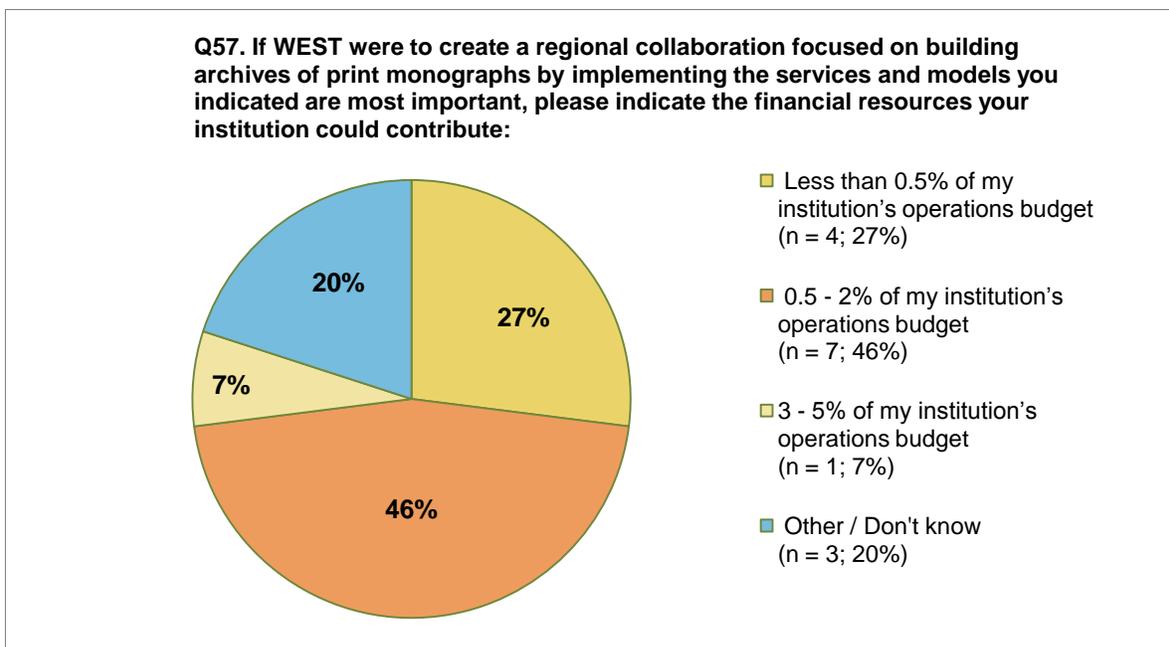


Figure 40: (Q57) Potential institutional financial support for the creation of a regional collaboration focused on building archives of print monographs (n = 15).

Feedback from Library Directors indicated that the community needs to better understand the costs of print archiving and the desired features and services that will accompany it before seriously committing funds for a shared print monograph project. Respondents noted:

- “It really depends on the level of service--if the archive provided on-demand electronic access to print titles it would be worth a great deal. If it provided assurance of a print copy in the region, but no level of delivery then it would be less valuable. Overlapping

- services with the Orbis Cascade Alliance are also a concern.” (*Library Director, Non-Archive Holder*)
- “The sixty-four thousand dollar question which every administration will want answered even before anyone really understands the costs.” (*Library Director, Non-Archive Holder*)
 - “I think this is one aspect of print monograph archiving that needs to be seriously planned and negotiated based on the archiving model. If we were to have a regional facility with efficient accessing and/or print/e-version on demand features my institution could consider a part of our operations budget to support this.” (*Library Director, Non-Archive Holder*)

5.5 Program Scope: Specialize or Diversify?

Both shared print archiving for federal documents and monographs were well received as potential future activities for WEST. Nevertheless, some Library Directors questioned whether WEST should instead continue to focus on serials archiving and improve the services currently offered. Two Library Directors noted:

- “WEST should focus on journal archives since journals occupy a lot of space in libraries and are complicated to maintain given the number of title changes, cessations, and startups.” (*Library Director, Non-Archive Holder*)
- “While I find the idea of moving into collective preservation of monographs and government documents a good idea, I think that WEST might be better advised to get more of a handle on the journal picture before expanding into other areas. Of course the timing of when to expand is always a tricky question. Maybe the time is now and I, as a bystander, do not understand the big picture.” (*Library Director, Non-Archive Holder*)

6. WEST Beyond 2016

By 2016, WEST may have completed archiving all journal titles in Portico, CLOCKSS and JSTOR, though these services continue to grow and to add titles. In terms of titles left to archive, there will still be a portion of the approximately 60,000 titles commonly included in the major Abstracting and Indexing (A&I) services to which most libraries subscribe; the full-text availability of these titles varies and WEST libraries hold many in print. Moreover, as the majority of journals held by libraries are only available in print form, it is conceivable that the work of consolidating print backfiles could continue well into the future.

To conclude the survey, all WEST respondents were asked to think about the future of print journal archiving beyond 2016 (Q67a).

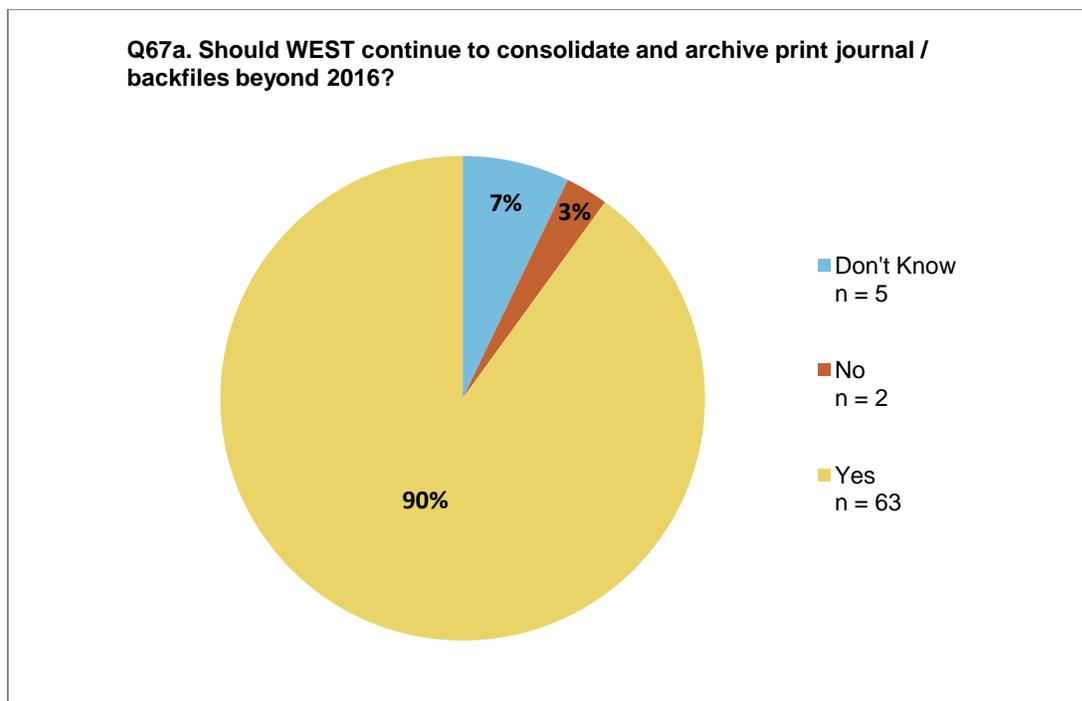


Figure 41: (Q67a) Feedback from WEST respondents as to whether WEST should continue to consolidate and archive print journal backfiles beyond 2016 (n = 70).

When asked if WEST should continue to consolidate and archive print journal backfiles, the overwhelming majority of respondents said “yes” (90%). Of the 70 members who responded, five respondents were unsure and only two respondents answered “no”.

When asked what the scope of WEST activities should be for journal archiving beyond 2016, 44 respondents provided 60 suggestions (Q67b). These suggestions were grouped into one of seven broad activities. The two most widely suggested activities for the future of WEST journal archiving was first, to maintain at least the current scope, and second, to focus on Silver and Gold, or Gold archive types. Recommendations to continue at least the current scope encouraged WEST to maintain archiving parameters and rates, and/or to focus on improvements

related to its existing core functions. Recommendations to focus on Silver and Gold highlighted the importance of ensuring print preservation of serials that are print only, or print only with limited indexed electronic access points.

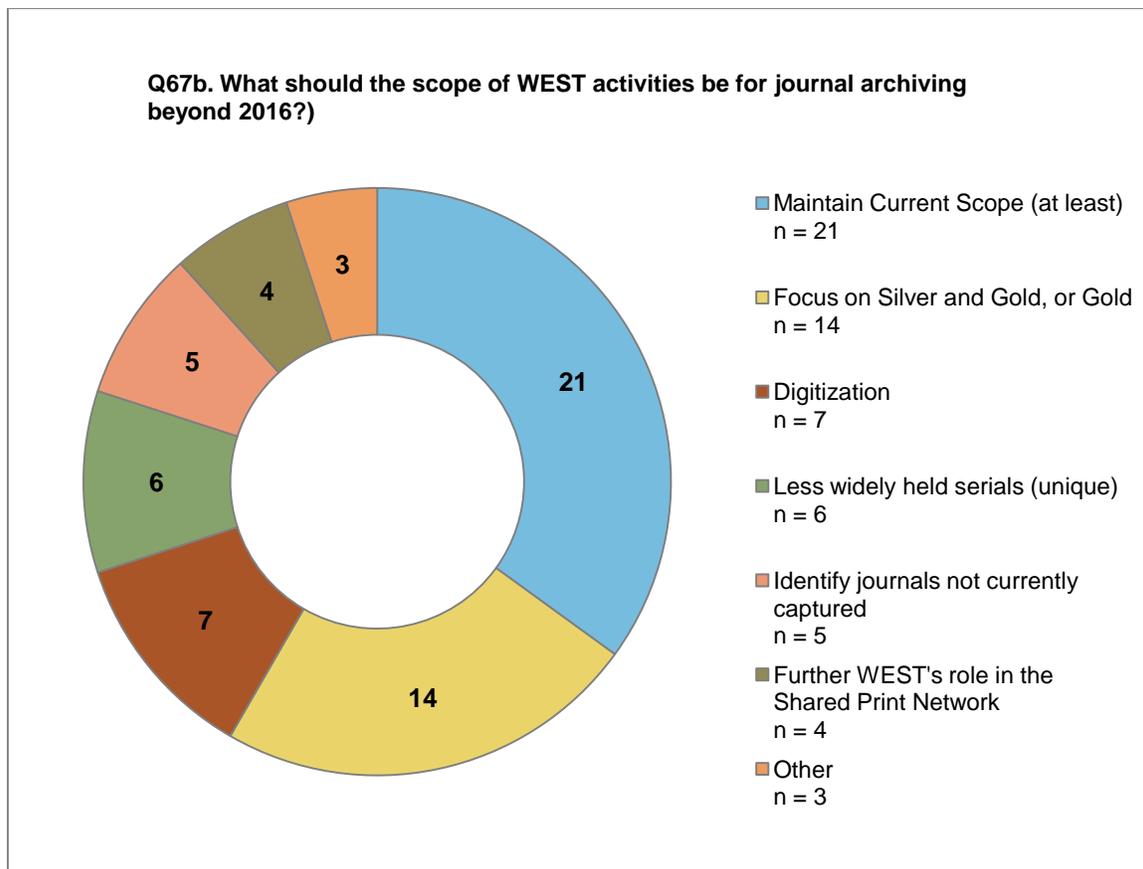


Figure 42: (Q67b) Respondent feedback on the scope of WEST activities for journal archiving beyond 2016. (Total respondents: 44; total responses: 60).

Digitization, incorporating unique and less widely held serials, identifying journals not currently captured in analysis, and furthering WEST's role in the Shared Print community were also recommended.

Incorporating unique serials and identifying journals not currently captured in WEST collections analysis are arguably still within the current WEST scope and indicate improvements on current activities. However, because they involve potential changes to the WEST Collections Policy and approach to archiving, and potentially significant metadata and systems development, they were classified as separate response groups.

WEST respondents suggested the following activities for WEST work beyond 2016:

- "Yes, WEST should continue to consolidate and archive print journal backfiles beyond 2016. The description above of activities required to address Title Categories 1-6 can be used to define the scope of activities beyond 2016. WEST should focus on

- improvements related to its existing core functions, such as developing tools to facilitate participation (needs and offers, de-duplication services, business model development, etc.) rather than trying to expand into new areas of activity. ” (*AUL for Collections, Non-Archive Holder*)
- “WEST should continue to consolidate and archive print journal backfile beyond 2016. The scope of print archiving should be determined based on existing print archiving efforts in trusted repositories. While this may lessen the scope, maintaining the print record is important. WEST should look at developing strategic partnerships and move toward implementation in existing or "in-development" software, both for discoverability and collection analysis to enable its members to maximize access and ensure sound retention decisions.” (*Library Director, Non-Archive Holder*)
 - “There are two directives for WEST: preserving rare scholarly journals, and enabling recapture of the large amounts of institutional space. Pragmatically, the latter (combined with access to archived materials) will drive the larger organizational membership, with fees assisting in supporting WEST. Archiving additional journals from categories 4 & 5, with medium-to-large ownership overlap - perhaps combined with efforts to support digitization of these titles - would enable WEST to be the most effective.” (*AUL for Collections, Archive Builder*)
 - “Yes. I would place highest priority on archiving and digitizing Title Category 5. Next in order of priority would be gathering and digitizing Title Categories 3 and 4.” (*Library Director, Non-Archive Holder*)
 - “I view WEST as an essential regional node in a national network of institutions guaranteeing the long-term viability of scholarship in print. I hope that WEST will continue as a trusted print archive of scholarship for as long as possible.” (*Library Director, Non-Archive Holder*)

7. Appendix I: Respondent Affiliation

Respondent Affiliation with WEST Member institution	Count
Arizona State University	3
Austin College (Sherman, TX)	2
Baylor University	2
Brigham Young University	1
California Baptist University	1
California Institute of Technology	1
California Polytechnic State University	1
California State University, Channel Islands	1
California State University, Northridge	1
Eastern Washington University	1
George Fox University	1
Huntington Library	1
Iowa State University	2
Kansas State University	1
La Sierra University	1
Lewis & Clark College	2
Linfield College	2
Loma Linda University	1
Mount St. Mary's College	1
New Mexico State University	1
Occidental College	1
Oregon Health & Science University	2
Oregon Institute of Technology	2
Oregon State University	2
Pacific University	1
Pepperdine University	1
Portland State University	2
Reed College	2
Rice University	4
Saint Martin's University	1
San Jose State University	1
Santa Clara University	1
Seattle Pacific University	1
Seattle University	1
Southern Oregon University	1
St. Mary's College of California	1
Stanford University	4
Texas Tech University	1
University of Arizona	1

University of Arkansas - Fayetteville	2
University of California, Berkeley	2
University of California, Davis	2
University of California, Irvine	3
University of California, Los Angeles	1
University of California, Merced	2
University of California, NRLF	2
University of California, Riverside	1
University of California, San Diego	2
University of California, SRLF	2
University of Denver	1
University of Hawaii, Manoa	1
University of Missouri	1
University of Nebraska-Lincoln	1
University of Nevada - Las Vegas	1
University of Oklahoma	1
University of Redlands	2
University of San Francisco	1
University of Utah	2
University of Washington	1
University of Wyoming	1
Utah State University	1
Walla Walla University	1
Washington State University	1
Western Washington University	1
Whitman College	1
Whittier College	1
Willamette University	1
Total	96

Figure 43: (Q1) Respondent affiliation with WEST member institution.

8. Appendix II: List of Figures

Figure 1: (Q7) Respondents' position at institution.	9
Figure 2: (Q7) Respondents' positions in "Other."	9
Figure 3: (Q8/9) Role(s) in WEST for all respondents.....	9
Figure 4: (Q9) WEST Role(s) for "Other."	9
Figure 5: (Q33) Respondents' current role within the WEST partnership (n = 80).	10
Figure 6: (Q15) Priority of WEST primary goals to member institutions.	11
Figure 7: (Q28) Rationale provided to higher administration about participation in WEST. (Total respondents = 48; total responses = 90).	12
Figure 8: (Q17) Extent to which member libraries are incorporating WEST activities into their collection management routines; perception of value of staff resource expenditures.	14
Figure 9: (Q29) Areas of operations positively affected by participation in WEST. (Total respondents = 41; total responses = 50).	15
Figure 10: (Q30) Aspects of participation in WEST that have been most challenging. (Total respondents = 48; total responses = 56).	17
Figure 11: (Q20) Influence of WEST archiving commitments on WEST members' decision-making relative to deselection (n = 75).	19
Figure 12: WEST's three archive types and six title categories.	20
Figure 13: (Q21a) Deselection of print journal backfiles at WEST institutions (n = 73).	20
Figure 14: (Q21b) Deselection of print journal backfiles based on WEST archiving commitments.	21
Figure 15: (Q24b) Future participation in WEST (n = 43).....	21
Figure 16: (Q24a/b) Participation in other trusted services (n = 74).....	22
Figure 17: (Q35D, 36D, 37D) Responses to: "The value of the WEST partnership to my institution is not dependent upon continued archive creation. Active archive creation could be phased out."	23
Figure 18: (Q31) Perception of the cost of participating in the WEST partnership relative to the benefits accrued (n = 74).....	24
Figure 19: (Q35A, 36A, 37A) Responses to: "WEST should increase fees to provide for active archive creation by Archive Builders for the same number of titles."	25
Figure 20: (Q35B, 36B, 37B) Responses to: "WEST should increase fees to provide for active archive creation but archive fewer titles each year."	26
Figure 21: (Q35C, 36C, 37C) Responses to: "WEST should explore whether Builders might be able to absorb some of the active archive creation costs and still archive the same number of titles."	27
Figure 22: (Q35H, 36F, 37E) Comparison of responses to the statement: "More WEST members should be engaged as Archive Holders in WEST."	28
Figure 23: (Q35) WEST Archive Builder's perception of the potential to transition to a financial model whereby member fees substantially support core operational functions.	29
Figure 24: (Q36) WEST Archive Holder's perception of the potential to transition to a financial model whereby member fees substantially support core operational functions.	30
Figure 25: (Q37) WEST Non-Archive Holder's perception of the potential to transition to a financial model whereby member fees substantially support core operational functions.	30
Figure 26: (Q39) Level of agreement with proposed modifications to WEST business model.	31
Figure 27: (Q40) Importance of formal WEST archiving commitments by indicated method.	32
Figure 28: (Q41) Importance of WEST Disclosure Policy and disclosure retention commitments to WEST members.	33
Figure 29: (Q43) Preference for frequency of collection analysis (n = 74).	34
Figure 30: (Q45) Level of agreement with proposed modifications to WEST priorities related to journal archiving.....	35
Figure 31: (Q64) Level of agreement with proposed modifications to WEST governance structure.	38
Figure 32: (Q49) Level of agreement with proposed modifications to WEST priorities related to activities not related to journal archiving.	40
Figure 33: (Q59) Level of importance to WEST membership of specific activities and goals relative to a future print federal document archive.....	41

Figure 34: (Q61) Potential institutional financial support for the creation of a regional collaboration focused on building archives of print federal documents (n = 17).....	42
Figure 35: (Q50) Institutional goals for deselection of existing monographs in the next five years. (N=15) ..	43
Figure 36: (Q52) Level of importance to WEST membership of including specific tools and services relative to a future print monograph archive.	44
Figure 37: (Q52 cont.) Level of importance to WEST membership of including specific tools and services relative to a future print monograph archive.....	45
Figure 38: (Q53) Level of importance to interested Library Directors for including specific goals relative to a future print monograph archive.	46
Figure 39: (Q55) Preference for model relative to a future print monograph archive collaboration (n = 15)...	47
Figure 40: (Q57) Potential institutional financial support for the creation of a regional collaboration focused on building archives of print monographs (n = 15).	48
Figure 41: (Q67a) Feedback from WEST respondents as to whether WEST should continue to consolidate and archive print journal backfiles beyond 2016 (n = 70).....	50
Figure 42: (Q67b) Respondent feedback on the scope of WEST activities for journal archiving beyond 2016. (Total respondents: 44; total responses: 60).....	51
Figure 43: (Q1) Respondent affiliation with WEST member institution.	54

9. Appendix III: Survey Questions

The WEST Phase 1 Member Survey questions are available here:

https://wiki.ucop.edu/download/attachments/86769666/WESTPhase1Assessment_SurveyQuestions_fordistribution.pdf?version=1&modificationDate=1401388931989

If you have any questions or comments, please do not hesitate to email or call Emily Stambaugh, WEST Program Manager (at Emily.Stambaugh@ucop.edu and/or 510-987-9673).