



WEST Strategic Planning Meeting
June 3rd, 2014 Meeting Outcomes
Final Report

Report Issued: July 30, 2014

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By:

WEST Executive Committee

Representing Non-Archive Holders

- Rick Clement (Utah State University, now University of New Mexico)
- Marilyn Moody (Portland State University)
- Mark Stover (California State University, Northridge)

Representing Archive Holders

- Kristine Brancolini (Loyola Marymount University)
- Betsy Wilson (University of Washington)

Representing Archive Builders

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Principal Investigators

- Laine Farley (CDL)
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WEST Operations and Collections Council

- Dawn Aveline (UCLA)
- Zachary Baker (Stanford University)
- Steve Bosch (University of Arizona)
- Jim Bunnelle (Lewis & Clark College)
- Colleen Carlton (UC Southern Regional Library Facility)
- Lea Currie (University of Kansas)
- Linda DiBiase (University of Washington)
- Martha Hruska (UC San Diego)
- Jeanne Richardson (Arizona State University)
- Patricia Martin (California Digital Library, ex-officio)

WEST Project Team

- Emily Stambaugh
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Planning for WEST beyond 2016

On June 3rd, the WEST Executive Committee and Operations Council convened in person in Oakland, California to review the findings from the WEST Phase 1 assessment and consider some initial recommendations for change. The purpose of the strategic planning meeting was to engage WEST's governance groups on a variety of high level changes to the program. Changes were recommended based on member feedback or to ensure the vitality and financial viability of the Trust as it transitions to a fully member-supported program in 2016.

The in-person strategic planning meeting represents the beginning of a fuller planning process that will be undertaken throughout the Fall of 2014. An initial set of recommendations for change was considered and will be further refined in the upcoming months by the governance groups and presented to WEST members in the Fall for comment and confirmation. Final recommendations will be implemented in 2015/2016.

Background

Since 2011, the Western Regional Storage Trust has progressed from planning to implementation with the support of two three-year grants from the Andrew W. Mellon Foundation. During this time, WEST has established the core components of its distributed print journal archiving service, including an operations model and an initial business model to support shared services. To date, WEST has completed or planned for five archiving cycles, which will carry the program through September 2016. The Phase 2 implementation grant includes support for strategic planning in 2014 to position the Trust for success as it becomes fully member-supported in 2016.

Review of Archiving Accomplishments, Budget and Future Archiving Potential

The WEST Executive and Operations and Collections Council reviewed WEST's archiving accomplishments to date and planning for Archive Cycles 4 and 5. The governance groups also reviewed the budget history for the Trust since its inception, including support from member fees and the Andrew W. Mellon Foundation. The groups also reviewed the findings from the Archive Cycle 4 regional collections analysis performed by the Collections Working group; that analysis included a study of potential future archiving for journal backfiles to better understand the scope of *unarchived* titles in the region that may be candidates for the future.

Synopsis

In its initial 3 years, WEST has made significant archiving progress. Additional archiving is planned through September 2016. By the end of Phase 2, WEST will have archived an estimated 473,000 volumes, and WEST will have accomplished this with a total six year budget of approximately \$3.3 million dollars (\$6.96/volume.)

Table 1: Archiving Accomplishments

	Estimated Volumes	
Archived	213,000	Bronze
	140,000	Silver and Gold
Planned	TBD	Bronze
	120,000	Silver and Gold
Total	473,000	

To plan for the future, the groups considered how much archiving remains to be done. The greatest potential for future archiving is in print only titles. Theoretically, if WEST continued at the same pace of archiving, with the same criteria and archive creation budget, WEST could continue archiving for three to four years, through 2017. Changes to the criteria or a reduction in archive creation budget would extend the potential number of years beyond 2017. Table 4 shows how expanding the criteria might identify more titles for archiving.

Table 3: Archiving Potential. Summary *Unarchived* Journals using Existing Criteria

Category	Archive Type	Journal Families	Estimated Volumes
1. Print and electronic with digital preservation	Bronze	4,973	198,920
2. Print and electronic, without digital preservation	Bronze	N/A	N/A
3. Print only with selected full text in A&I databases	Silver	1,349	53,960
4. Print only with abstracting and indexing only (9-50 duplicates)	Gold	2,533	101,320
5. Print only (9-34 duplicates)	Gold	1,022	40,880
6. JSTOR	Bronze	666	26,640
Total		10,543	421,720

Table 4: Potential Archiving for Gold if the Criteria Expanded to Include Medium-Low and Very High Duplication

Title Category	Overlap/Duplication Range	Journal Families	Estimated Volumes
4	5+ duplicates	4,168	166,720
5	5+ duplicates	2,629	105,160
Total Gold Remaining		6,797	271,880

Initial Recommendations for Change

Initial recommendations were considered in three thematic areas. Various scenarios were considered, and the following recommendations were identified for further planning and exploration in 2014:

1) Recommendations for change to the existing program (journals).

a) Support for Archive Creation

- i) Establish an Archive Creation Budget of \$250,000. This represents a \$50,000 reduction in the current annual archive creation budget (which is \$300,000.)
- ii) To implement the new archive creation budget
 - (1) Refine the print only title categories to be more selective about titles that qualify for Gold archiving (consider print only titles with lower duplication levels or deprecating print only with abstracting and indexing to Silver)
 - (2) Reduce the number of volumes archived per year (from 60K volumes to approximately 37,750 volumes)
 - (3) Do not adjust the per volume compensation to Builders
- iii) Engage Directors of Archive Builders as a group to discuss WEST sustainability and the proposed changes, once refined

b) Collection Analysis Adjustments

- i) Reduce the frequency of ingest to every two years
- ii) Propose 2 year lists for archiving
- iii) Explore options for reducing cost of ingest

c) Collections Model Adjustments

- i) Continue to archive print for as long as overlap exists with an emphasis over the next few years on lower-to-medium overlap print only titles (e.g. 5-8 copies); do not focus on highest overlap print only titles (50+ copies). Revisit these criteria in a few years.
- ii) To balance archiving responsibilities amongst Builders, distribute print only (Silver/Gold) archiving proposals among them by seeking the next deepest backfile

d) Business Model Adjustments

- i) Establish a baseline annual budget of approximately \$653,000 to support the existing archiving program, fully supported by member fees. Raise fees steadily in 2015-2017 to arrive at the baseline budget. Budget assumptions:
 - (1) No expansion of the journal archiving program to new journal-related services
 - (2) Records ingest for collections analysis reduced to every 2 years
 - (3) Archive creation reduced from \$300K to \$250K
 - (4) Some additional systems development
 - (5) Strategic planning and assessment every 3 years
 - (6) Annual staff increases 3%

- ii) Adjust the cost-sharing model. Determine member fees based on a tiers that are simple, transparent, and independent of roles and responsibilities. Define a table of fixed fees based on library expenditures.
- 2) Possible new services for the journal archiving program.** (Program expansions; these recommendations require a separate planning and implementation phase and may include external funding.)
- a) **Add a digitization and publisher outreach service to WEST for print only titles.**
 - b) **Add a quality assurance service to WEST.** Consider also pursuing this in a cross-print archive effort.
 - c) **Build partnerships and coordinate with other print archives and organizations** such as OCLC, DPLA, HathiTrust and CRL. Define the degree and nature of coordination WEST desires in relation to other organizations. Define when/whether WEST should initiate this coordination. Consider whether external funding is needed to convene print archives and other organizations to advance the desired areas of coordination.
- 3) Possible new services beyond journals.**
- a) **Keep the program focused on journals**
 - b) **Do not pursue a shared print monographs program in WEST**
 - c) **Do not pursue a shared print federal documents program in WEST**