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UC WEST Coordinating Committee Final Report

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# UC WEST Coordinating Committee

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FINAL REPORT  
January 17, 2014

## Introduction

The UC WEST Coordinating Committee was appointed by SOPAG and charged on November 2, 2012. Members came together for their initial meeting on December 10, 2012, and communicated via conference calls (usually two per month), the UC-WCC listserv, and the UC-WCC wiki (<https://wiki.library.ucsf.edu/pages/viewpage.action?title=UC+WEST+Coordinating+Committee+Info&spaceKey=UCWEST>).

## Membership

Ivy Anderson, CDL Collections (UC Shared Print, WEST Administrative Host)  
Colleen Carlton, Convener (UCLA & SRLF)  
Catherine Friedman, HOPS (UCSD)  
Patricia Martin, CDL Discovery & Delivery (PAPR, MAG, Request)  
Scott Miller, RSC (UCB & NRLF) - until 6/3/13  
John Riemer, HOTS (UCLA)  
Charlotte Rubens, RSC (UCB & NRLF) - since 6/3/13  
Brian Schottlaender, CoUL (UCSD)  
Kerry Scott, CDC (UCSC)  
Emily Stambaugh, CDL Shared Print (WEST Program Manager)  
Gail Yokote, SOPAG (UCD, CDC)

Over the course of the past twelve months UC-WCC has made significant progress on its Charge, and has identified and documented processes that ensure consistency and efficiencies across the UC Libraries in WEST archive-building efforts. This Final Report provides a summary of WCC actions and appendices that provide details on the UC-WCC Charge, WCC priority issues, and reports issued by WCC. Those appendices include the following:

Appendix 1	UC-WCC Charge
Appendix 2	Priority Issues for UC WEST Coordinating Committee
Appendix 3	Coordinating UC Commitments to WEST Bronze Archives
Appendix 4	RSC Subcommittee on the UC Implementation of WEST Access Guidelines - Report on the Alignment of UC ILL policies with WEST Access Guidelines / Prepared for the UC WEST Coordinating Committee
Appendix 5	UC ILL Instructions for WEST Borrowing/Lending

This report also identifies several WEST coordinating issues that should be transitioned to new teams that have been named under the UCLAS.

## Accomplishments

### 1. Shared print symbols -- additive vs. substitutive approach for UC WEST Archive Holders

Between January and March 2013, the UC WCC discussed pros and cons of the substitutive approach to symbol usage for disclosing holdings in OCLC. UCLA and the SRLF were using the additive approach; all other UCL archive holders were following the substitutive approach as specified by WEST. Archive-building efforts and disclosure processes at UC campuses and at the RLFs were reviewed and workloads compared under substitutive and additive approaches. After thorough reviews of the UCL archive-building processes and the impact of the substitutive approach to holdings disclosure on OCLC functionality (including WorldCat and Melvyl displays), UC WCC reached agreement that all UCL WEST archive holders and builders will use the substitutive approach beginning with WEST Cycle 3.

With this agreement, all UC libraries that are WEST archive holders and builders are in compliance with WEST disclosure guidelines. Implementation of the substitutive approach at the SRLF and UCLA begins with WEST Cycle 3 titles. Removal of the SRLF or UCLA Library main OCLC symbol for WEST titles previously disclosed in Cycles 1 and 2 was retroactively completed in late 2013, after local extract programming changes were made in UCLA's Voyager system.

UC WCC acknowledges that the substitutive approach for shared print symbols in OCLC is not ideal for resource sharing efforts and collection analysis. However, until such time as OCLC develops new improved programming for holdings displays, UC-WCC supports the consistent use of this approach across all UC libraries. Moving forward, UC-WCC recommends that the new Shared Print Strategy Team monitor the impact of the substitutive approach on archive-building workloads, on UC resource sharing activities, and on the effectiveness of collection analysis tools relative to institutions' multiple OCLC symbols.

### 2. Co-ordination of WEST Bronze Archive Holder proposals and commitments

In April and May, NRLF and SRLF archive-building staff completed an analysis of the WEST Cycle 3 Bronze journal families that were initially proposed for UC Libraries. The intent of this analysis was to determine how many of the proposed titles could reasonably be archived at the RLFs (based on existing RLF holdings). The results of that analysis were shared with WCC, and

from these results WCC produced the document “**Coordinating UC Commitments to WEST Bronze Archives**” published in August 2013 (Appendix 3). The document identifies UC goals for supporting WEST Bronze archives and for coordinating commitments from the RLFs and from the UC campus libraries. Those goals include:

- ensure timely response from UC to WEST for archiving commitments
- determine the archiving location where a Bronze title will reside at the point of commitment
- make the coordinating work as efficient as possible systemwide

To achieve these goals, a coordinated process will be undertaken. The SRLF Director will be responsible for receiving the list of UC proposed Bronze titles from WEST. From this list, SRLF staff will analyze the UC holdings for these journals and determine which location (RLF or campus) has the deepest backfile of holdings. SRLF will also identify any problematic titles (such as non-print holdings or post-2005 publication dates) and remove these from consideration. The SRLF Director will then distribute the lists of proposed Bronze titles to the appropriate RLF or campus and collect commitment decisions from each Bronze archive holder. Those commitment decisions then will be returned to WEST for formal acceptance within the specified WEST deadline.

The new coordination process was tested successfully during the WEST Cycle 3 commitment process, and will be followed for future Bronze archiving cycles.

### 3. UC implementation of WEST Access Guidelines

In February, WCC charged a subcommittee of RSC to “produce for review and approval a set of policies and procedures that will enable UC ILL units to successfully identify and process WEST items via UC’s existing ILL systems. These policies and procedures should be consistent with existing WEST guidelines, including those currently being developed by the WEST Access and Delivery Working Group.” RSC Subcommittee members included WCC members Colleen Carlton and Scott Miller, along with Judea D’Arnaud (UCSD), Jenny Lee (UCLA), Vince Novoa (UCR), Charlotte Rubens (UCB), and Leslie Wolf (CDL). This subcommittee surveyed the UC ILL units to determine where UC ILL policies and practices align with the WEST Access Guidelines and the proposed WEST borrowing and lending instructions. The subcommittee also consulted with OCLC representatives to identify ILL system set-up requirements that would work best with UC’s VDX system.

In April the Subcommittee submitted their report to WCC (Appendix 4). The report identified several issues related to WEST lending requirements, wherein UC circulation and lending practices conflict with the proposed WEST access guidelines. After further review and VDX testing at CDL, WCC issued the final “**UC ILL Instructions for WEST Access and Delivery**” (Appendix 5). This document was distributed to the UC ILL community via the UCVDX-L listerv in September.

#### **4. How to capture and report statistics for contribution and withdrawals (UCOP annual statistics; ARL statistics)**

UC-WCC reviewed the current UCOP and ARL statistics requirements and determined that no actions were needed from WCC at this time. Neither UCOP nor ARL include specific statistical data requests for shared print collections. For fiscal year 2012/13 the campuses submitted annual statistics following established practice.

In September, WEST distributed draft templates for the collection of archive building, de-selection, and lending statistics for review by the WEST Operations and Collections Council (OCC). UC-WCC reviewed these templates, as did the RLF archive-building teams, to determine if the UC archive holders and builders could provide the data requested by WEST. In October WCC also distributed the archive-building and de-selection templates to SAG3, along with a UC-specific questionnaire, for their feedback. The UC responses were compiled and provided to WEST OCC at their November meeting. Based on the responses from UC and other WEST member libraries, the WEST templates will be further revised and then distributed to OCC for approval later this month.

#### **5. Communications – related to progress on priority issues**

In completing its Charge, UC-WCC consulted with various UC advisory groups, with archive holders and builders across the UC Libraries, and with operations staff in the UC ILL centers on a wide-ranging list of issues. Information was gathered via survey forms distributed by email, during advisory group meetings, and in one-on-one interviews with WEST coordinators in the UC Libraries. Throughout the process, individuals across the organization have been generous with their time and actively engaged in the WEST coordinating efforts.

As progress was made, UC-WCC communicated its decisions and shared documentation with SOPAG and now with the UCLAS Coordinating Committee for wide distribution. Through CDL and the UC-VDX listserv, UC ILL implementation of the WEST Access and Delivery Guidelines was communicated and has been accomplished. Appendices at the end of this report reflect the efforts and outcomes of WCC's work during these past twelve months.

## **Transition to new advisory teams and project teams**

### **1. Relationship and/or coordination between WEST and MedPrint**

A number of UC Libraries are participating, or will participate, in the MedPrint archive program. It is expected that a number of MedPrint titles will duplicate titles that have been committed to WEST. It is desirable to coordinate the commitment decisions, retention periods, and access policies of WEST and MedPrint programs for titles that appear in both archives.

The WEST Operations and Collections Council is expected to take up a review and discussion of the WEST and MedPrint programs, but as of December 2013 that review has not yet begun. UC-WCC recommends that the new Shared Print Strategy Team follow the progress of this WEST/MedPrint review and be prepared to recommend and coordinate consistent treatment of these archives throughout the UC Libraries.

## 2. RLF Policies and SP/WEST impacts

*i. WEST Bronze holdings – identify issues and requirements for locating bronze archives at a campus vs. an RLF, including the optimal location for initial archive commitments and issues surrounding subsequent transfers of campus Bronze titles to an RLF (e.g., impact on non-duplication policy and persistence policy).*

This has largely been completed and documented in “**Coordinating UC Commitments to WEST Bronze Archives**” (appendix 3), but de-duplication of subsequent transfers of campus Bronze titles to an RLF will need more detailed review. UC WCC recommends that the new Shared Print Operations Team direct this effort before the RLF 2014/15 “call for deposits”. The Shared Print Operations Team will need to coordinate procedures for de-duplication with the Persistence Policy Review document that is expected in May 2014.

*ii. De-duplication of RLF holdings based on WEST Archives held elsewhere – determine how RLF persistence policy should be modified.*

UC WCC recommends that the Persistence Policy Review Team address this question and provide guidance to the RLFs.

*iii. Shared Print contributions from campuses – define how these impact campus allocations.*

UC WCC recommends that the Shared Print Strategy Team address this question in consultation with the RLF Directors, and present their findings to the Shared Library Facilities Board.

*iv. Shared Print deposits to the RLFs – is fee structure & support needed for the RLFs?*

UC WCC recommends that the Shared Print Strategy Team address this question in consultation with the RLF Directors, and present their findings to the Shared Library Facilities Board.

### 3. Ongoing Communication and Coordination

Areas of the UC-WCC charge involving ongoing coordination and communication of WEST activities within UC will require attention by other groups when the UC-WCC disbands. For example, a mechanism will be needed to organize and coordinate UC participation in WEST committees and working groups as these continue to evolve. Similarly, maintaining awareness of WEST activities and goals across UCL will require ongoing attention. UC-WCC recommends that these roles and responsibilities, and/or the decisions about how best to fulfill them on an ongoing basis, should be taken up by the new Shared Print Operations Team being established to manage these activities for other shared print projects.

### 4. Additional RLF Policies Review

The UC-WCC also identified a list of broader issues that are outside the scope of this committee but are related to shared collection building at the RLFs. These issues will be brought to the Shared Library Facilities Board by WCC's CoUL liaison for review. The issues include:

- a. Should the RLF mission statement be revised to focus on high-risk rather than low-use material?
- b. Should the RLFs house higher use or medium use materials, where collection management and access services can be provided with more agility and cost effectiveness?
- c. To what extent should the following be considered in determining storage at the RLFs:
  - i. Use
  - ii. Duplication
  - iii. Year of publication
  - iv. Country of publication
  - v. Language
  - vi. Subject

## Conclusion

This Final Report and appendices will be forwarded to the UCLAS Coordinating Committee for distribution to the appropriate UCLAS groups, including to the new Shared Print Strategy Team, the Shared Print Operations Team, and to the Persistence Policy Revision Task Force. With this Final Report, UC-WCC hands over the documentation that will assist the new teams in completing their work.

## *UC-WCC Final Report: Appendix 1*

### **University of California Libraries UC-WEST Coordinating Committee (Ad Hoc)**

*Last updated: November 2, 2012*

#### **Name:**

UC-WEST Coordinating Committee (Ad Hoc)

#### **Reporting Line:**

Charged by SOPAG; reports to SOPAG via designated SOPAG liaison

#### **Background:**

The Western Regional Storage Trust (WEST) is a distributed retrospective print journal repository program serving research libraries, college and university libraries, and library consortia. Under the WEST program, participating libraries consolidate and validate print journal back files at major library storage facilities and at selected campus locations.

The UC-WEST Coordinating Committee is an ad hoc group charged by SOPAG to develop coordinated operational policies and procedures to support and facilitate UC's participation in WEST. Areas of specific concern to the UC Libraries (UCL) include:

- Development of UCL systemwide policies
- Coordination and consistency in policy and practice among UC campuses
- Operational and policy guidance on UC-WEST implementation
- Implications for UCL Regional Library Facilities policies, procedures and workload
- Implications for Technical Services policies, procedures and workload
- Implications for other ongoing activities not directly related to WEST, such as community-wide interlibrary loan

#### **Charge:**

- Organize and coordinate UC participation in WEST committees and working groups.
- Develop and make decisions about operational policies and procedures for UC-WEST implementation. Areas to address include but are not limited to: (1) disclosure policies and standards, (2) access and resource sharing policies, and (3) archive holder, builder, and contributor roles and responsibilities.
- Raise awareness of WEST activities and goals across UCL and facilitate UCL's full participation in these activities.
- Communicate decisions and recommendations to UC stakeholders.
- Consult with campuses, ACGs and other stakeholders as needed.



**Communication:**

The UC-WEST Coordinating Committee will: (1) provide a brief report of activities and decisions to SOPAG on an annual basis, (2) post meeting minutes to the UCSF wiki or other designated space, (3) announce major decisions and actions to the broader UC Libraries community via CDLINFO, and (4) post public reports and decisions to the UC Libraries web site: <http://libraries.universityofcalifornia.edu/>

The SOPAG liaison will provide verbal reports on the group's activities to SOPAG on a regular basis, as determined by the SOPAG meeting agenda.

**Authority and Decision-making:**

The UC-WEST Coordinating Committee is empowered to develop and make decisions about operational policies and procedures in support of UC Libraries goals relative to its participation in WEST. Issues requiring collection policy or financial decisions should be referred to the appropriate group, e.g., CoUL, CDC, or RLF Board, for consultation and decision-making. The Committee may charge ad hoc task groups as needed; in such instances, SOPAG should be made aware of the decision to do so.

**Duration:**

In December 2010, the Mellon Foundation awarded a three year grant to the University of California Libraries to support the implementation of WEST. The grant is currently scheduled to expire at the end of 2013, with the possibility of a two year extension.

The Committee is ad hoc and commences on October 1, 2012. The charge will expire in January 2014 and may be extended beyond that time if, after consultation between the Committee and SOPAG, it is decided that to do so holds continued benefit to the effective management of WEST.

**Committee Composition:**

Representation will be drawn from CDC, HOPS, HOTS, RSC, CDL, RLF, CoUL, and SOPAG. Members are selected for the expertise that they bring rather than as representative of a particular campus.

**Membership:**

Initial membership, including the Committee convener, will be appointed by SOPAG. Members are appointed until January 2014; if the committee's charge is extended, membership will be either extended or reconsidered at that time.

Convener	Colleen Carlton (UCLA, SRLF)
SOPAG Liaison	Gail Yokote (UCD, CDC) Vicki Grahame (UCI, HOTS)
CDC	Kerry Scott (UCSC)
HOPS	Catherine Friedman (UCSD)
HOTS	John Riemer (UCLA)
RSC	Scott Miller (UCB, NRLF)
NRLF Operations Manager	Scott Miller (UCB, NRLF)
SRLF Director	Colleen Carlton (UCLA, SRLF)
CDL Discovery & Delivery	Patricia Martin (PAPR, MAG, Request)
CDL Collections	Ivy Anderson (Shared Print, WEST Administrative Host)
CoUL Liaison	Brian Schottlaender (UCSD)

## *UC-WCC Final Report: Appendix 2*

### **Priority Issues for UC WEST Coordinating Committee – Revised 01/25/13; 03/05/13; 03/20/13**

#### **1. Shared print symbols -- additive vs. substitutive approach for UC WEST Archive Holders**

- a. Examine impact on technical services workloads at campuses and at the RLFs (increased workload; unfunded salary expenditures; potential new OCLC costs for RLFs)
- b. Examine the impact the multiple symbols have on resource sharing (workflow issues; potential revenue loss)
  - i. There may also be questions re: WEST Access & Delivery working group (example: new statistical reporting requirement)
  - ii. ILL ops team has also raised the issue of handling ILL fee management accounts (IFM) for symbols – this is not exclusive to WEST
- c. In WEST Cycle 2 there are more campuses coming on board as WEST archive holders and not just contributors. These campuses will benefit from recommended best practices for disclosing policy and retention commitments.
- d. Shared print symbol wrinkle: for WEST and other shared print journal archives, OCLC disclosure through LHRs is fine, but if idea is to use LHR exposure and to expand that to monographs the LHR does not work well, especially for resource sharing.
  - i. Question: is this outside scope of WCC, or should this group keep it in mind as we discuss symbols?
  - ii. Does this issue also apply to UC Shared Print programs that will include monographs in future?
  - iii. Should we strive to recommend consistency of symbol use and LHRs across all UC shared print programs?
- e. If we don't do additive holding symbols, we can end up with a split display for users
  - i. Based on coverage/commitment end dates (e.g., post 2005 holdings remain in campus collection)
  - ii. When other copies remain on campus

#### **2. UC implementation of WEST Access Guidelines**

- a. Charge RSC to produce a set of policies and procedures that will enable UC ILL units to identify and process WEST items via UC's existing ILL systems:
  - i. Align UC lending policies with WEST lending policies;
  - ii. Document UC ILL system setup, ensuring systems are uniform where necessary;
  - iii. Provide instructions on how UC shall participate in a WEST Group Access Catalog;
  - iv. Develop procedures for both lending and borrowing WEST items;
  - v. Document common workflow;
  - vi. Provide guidelines to track resource sharing statistics;
  - vii. Publish ILL policies, procedures, and training materials related to WEST Access
- b. RSC will submit report by April 24, 2013.

- c. Where UC policies or procedures differ from WEST Access guidelines, WCC will determine solution, which might include option to recommend changes in UC policies or procedures.

**3. Relationship and/or coordination between WEST and MedPrint**

- a. Overlap of titles – are the retention and access policies consistent or in conflict? If conflicted, recommend policies and procedures for UC participating libraries.
- b. Where will the MedPrint titles be held (campus, RLF, or both)? If both, does this complicate coordination between WEST and MedPrint? Recommend policies and procedures for UC participating libraries and RLFs.
- c. Determine status of the MedPrint program: have campuses begun building/processing the MedPrint titles?
- d. Investigate WEST efforts to coordinate archive disclosures with MedPrint: what’s happening there?

**4. RLF Policies and SP/WEST impacts**

- a. WEST Bronze holdings –identify issues and requirements for locating bronze archives at a campus vs. an RLF, including the optimal location for initial archive commitments and issues surrounding subsequent transfers of campus Bronze titles to an RLF (such as impact on non-duplication policy and persistence policy).
- b. De-duplication of RLF holdings based on WEST Archives held elsewhere – determine how RLF persistence policy should be modified.
- c. Shared Print contributions from campuses – define how these impact campus allocations.
- d. Shared Print deposits to the RLFs – is fee structure & support needed for the RLFs?

**5. How to capture and report statistics for contribution and withdrawals (UCOP annual statistics; ARL statistics). Statistics are due at end of each fiscal year.**

- a. Survey campuses and RLFs to determine capabilities for capturing and reporting WEST/SP statistics.
  - i. Holdings data/collection analysis
  - ii. Resource sharing
- b. Identify what reports campuses need from the RLFs

**6. Communications – related to progress on issues 1-5 above**

- a. Report WEST activities and updates to campus libraries
- b. Coordinate UC vetting and input to WEST committees and working groups

## *UC-WCC Final Report: Appendix 3*

### **UC WEST Coordinating Committee**

#### **Coordinating UC Commitments to WEST Bronze Archives**

**August 28, 2013**

The following describes the goals, policies and process for coordinating commitments to WEST Bronze Archives within UC.

Each year, WEST proposes lists of low risk (Bronze) titles for archiving at the RLFs and selected campuses. For Bronze titles, WEST proposes the UC campus or the RLF that contains the deepest backfile (for an ISSN.)

Most low risk (Bronze) titles are held in full-service libraries across the region. Relatively few titles have been stored. WEST recommends that Archive Holders consider keeping these backfiles in place to reserve storage space for higher risk titles. This is a recommendation, not a requirement from WEST.

#### **POLICY**

UC Goals for Bronze Archives are to:

- commit to as many proposed Bronze titles as possible in support of WEST's distributed archiving model
- ensure financial support for processing commitments to WEST Bronze archiving at the RLFs

To accomplish these goals,

1. the RLFs will make commitments to Bronze titles that are held in storage;
2. campuses are encouraged to make commitments to Bronze titles and retain them as Shared Print in Place;
3. campuses that commit to Bronze titles may not move them to an RLF within the initial 18-month archiving cycle;
4. if a campus wishes to move some of its Bronze titles to an RLF later, the campus can work with the RLF to arrange for depositing the Bronze holdings; moving WEST holdings to an RLF requires mutual agreement due to the additional processing workload involved in modifying and updating retention commitments in PAPER and OCLC;
5. in general, if a campus is unable to make a reasonably long commitment to retain at title in place, the campus should not commit to retain at all;
6. SRLF will coordinate UC systemwide responses to WEST, non-responses or difficult to interpret responses will be interpreted as no commitment;

7. Exhibits that are not signed within a reasonable time will be escalated from the UC project team to the University Librarian for the campus or RLF. If a signed exhibit is not secured in the first six months of the Archive Cycle, the team will report no commitment back to WEST;
8. campuses and RLFs split the Archive Holder discounts to WEST member fees in recognition of the RLFs role as a holding location;
9. archive holder credits offered by WEST for creating batch processes to load records into OCLC are directed to the campuses that manage metadata for the RLFs (i.e. UCB and UCLA.)

## PROCESS

UC goals for coordinating WEST Bronze commitments are to:

- ensure timely response from UC to WEST for archiving commitments
- determine the archiving location where a Bronze title will reside at the point of commitment
- make the coordinating work as efficient as possible systemwide

### Steps

1. RLFs receive all proposed WEST Bronze lists (all campus and RLF lists)
2. SRLF analyzes all lists to
  - a. determine whether one or both of the RLFs can serve as the Archive Holder. For titles held at one or both of the RLFs, SRLF edits the lists; SRLF records the RLF location as archive holder for the full backfile and strikes through the journal family on the campus list.
  - b. determine whether a backfile needs to be split between the RLFs and a campus. In this case, SRLF duplicates the journal family entry on all lists (RLF and retaining campus lists) to indicate all holdings at those locations should be retained for the journal family.
  - c. indicate “no” commitment for problematic titles (e.g. not print titles, no holdings, published after 2005.)
3. SRLF Director sends campus lists to the Collection Development AULs and requests commitments by a deadline. Campuses are asked to indicate willingness to commit to a title in place.
  - a. When lists are returned with complex responses, SRLF will interpret the responses as best as possible or indicate “no” commitment.
  - b. When lists are not returned by a deadline and after follow-up, SRLF will interpret that as no commitment.
4. SRLF interprets responses, prepares and returns lists to WEST: one list for each RLF and one list for each Archive Holding campus, with commitments at the journal family level.
5. WEST Admin Host prepares Exhibits for each RLF and each Archive Holding campus and sends them to the AUL for Collections/RLF Director, cc Library Director and Chair of the project team that manages communications with WEST.
6. Campuses and RLFs sign and return their exhibits to the WEST Administrative Host in the first six months of the Archive Cycle.
7. Redacted, countersigned copies are returned to Archive Holders.
8. RLFs and campuses disclose Bronze Archives in March.

9. WEST establishes deadlines for archives disclosure such that collection comparison reports can be run for all WEST members. UC Bronze disclosures not received by WEST's deadline (or extensions granted and not met) are referred to the WEST governance committees.

## *UC-WCC Final Report: Appendix 4*

### **RSC Subcommittee on the UC Implementation of WEST Access Guidelines** **Report on the Alignment of UC ILL policies with WEST Access Guidelines** **Prepared for the UC WEST Coordinating Committee** **April 23, 2013**

**Charge:** Produce for review and approval by the UC-WCC a set of policies and procedures that will enable UC ILL units to successfully identify and process WEST items via UC's existing ILL systems. These policies and procedures should be consistent with existing WEST guidelines, including those currently being developed by the WEST Access and Delivery Working Group. Note: Any differences or conflicts between WEST guidelines and existing UC policies and procedures should be brought to the attention of the UCWCC, with suggestions for how these differences might be resolved or at least mitigated.

**#1:** Align UC lending policies with WEST lending policies.

The RSC Subcommittee on WEST Access Guidelines conducted a survey of all UC ILL centers and the RLFs to determine if local ILL policies align with the WEST Access Guidelines. The survey was completed by ILL and access services staff, with the help of campus collection management staff who are involved in WEST archive building activities. Survey forms were completed between March 23 and April 8. The table below lists each WEST Access Guideline and the UC alignment for that guideline, expressed as Y (yes) or N (no). The table also includes comments that provide detailed information about UC policies or practices that diverge from the WEST access guidelines.

**Survey Results:** In general, UC ILL policies align with the WEST Access Guidelines. Among the UC WEST Bronze archive holders, there are three campuses that expressed the need to allow WEST Bronze materials to circulate to local users (in accordance with existing local policy for journals). The WEST Access Guidelines allow for this exception with WEST Bronze titles and the Subcommittee believes that UC local policies are not in conflict with the Access Guidelines.

The survey reveals that there are differences among UC libraries on question #12: recall loaned materials requested by another user and deliver according to the WEST delivery methods. UC Libraries typically do not recall materials that are checked out. In VDX, if an item is checked out or otherwise unavailable, the ILL request will be forwarded to the next library in the lending string that holds the material. This is a well-established routine within UC libraries, and exceptions for recalling WEST materials would be difficult to accommodate. When another



copy is available at other libraries, the ILL request can be fulfilled much more quickly by forwarding the request to another lender. The RSC Subcommittee recommends that requests for WEST materials be handled in this manner (forward the request on to another lender within UC or outside of UC). In the event that there are no other copies available, the archive holder will attempt to recall the WEST item.

In the section on WEST Annual Statistics (questions 17-22), survey results indicate that UC Libraries are able to supply some but not all of the statistics that are described in the WEST Access Guidelines. In general, UC Libraries annual statistics are derived from data contained in the local ILS, and in VDX and OCLC. Using the existing ILL systems, where data is available UC libraries can provide limited WEST Access annual statistics.

The survey results reveal that the following information can be provided in the annual statistics:

1. Number of WEST items loaned, by Archive Type
2. Number of WEST items recalled, by Archive Type
3. Number of WEST items lost, by Archive Type
4. Number of WEST items lost and replaced
5. Number of WEST items damaged, by Archive Type
6. Number of WEST items damaged and replaced

The survey results reveal that the following information cannot be provided in the annual statistics:

1. Total number of WEST items for which requests are fulfilled
2. Number of WEST items provided by document delivery or photocopy
3. WEST title category
4. WEST member borrower status
5. Non-WEST member borrower status
6. Title-specific report of requests fulfilled

The UC limitations in providing annual statistics are not uncommon in the ILL community, and the Subcommittee has learned that other WEST archive holders have similar limitations. The Subcommittee recommends that UC-WCC endorse the limited statistical reporting as described in this survey.

### Detailed Survey Results:

	Access Guidelines	UC Alignment	Comments
1.	WEST Archive Holders will provide access to WEST archived materials to library users affiliated with any other WEST member.	Y	

2.	Library users may access WEST Archives in person, by document delivery services, or by Interlibrary Loan.	Y	Some UC WEST Archive Holders do not loan journal volumes outside of UC, but all campuses and the RLFs will fill requests by document delivery service.
3.	For Bronze titles only, Archive Holders may choose to circulate physical volumes to the Archive Holder's own authorized borrowers for use outside the library. <i>(The standard policy is to apply Building Use Only at all library locations.)</i>	Y	UCR, UCSB and UCSD may use the exception and allow Bronze volumes to circulate to local authorized borrowers.
4.	WEST Archives are accessible to organizations subscribing to the Interlibrary Loan Code of the United States or the IFLA Guidelines for Best Practices in Interlibrary Loan and Document Delivery.	Y	
5.	Physical copies of WEST archived materials should not be placed on course reserves.	Y	
6.	Archive Holders may make WEST archived materials available to commercial and non-profit organizations with which they are collaboratively or contractually engaged (e.g., reformatting/digitization agents.)	Y	
7.	WEST members are encouraged to license electronic journal backfiles or use e-journals held in digital repositories, when possible and available, to relieve access demands on physical archives.	Y	
8.	WEST Archive Holders are encouraged to digitize and digitally preserve print archives in the Gold Archive Type, when feasible, to provide additional electronic access.	Y	UC campuses support the digital preservation of Gold Archive Type, but the decision to digitize and preserve is not made by resource sharing staff who participated in this survey.
	<b>Delivery Guidelines</b>	<b>UC Alignment</b>	<b>Comments</b>

9.	Archive Holders should be cooperative in making materials available to library users.	Y	
10.	A uniform approach to delivery is recommended for all Archive Types until such time as evidence suggests a differentiated approach should be taken.	Y	
11.	In response to a request, the following delivery methods are preferred and recommended for all Archive Types, in order of precedence: (a) Provide electronic document delivery (including color scans when appropriate); (b) Provide photocopies; (c) Loan the physical issue or volume to the borrowing institution for <i>building use only</i> .	Y	See comments in #2 above.
12.	The Archive Holder should recall loaned materials requested by another user and deliver according to the above delivery methods.	Y and N	Among the UC libraries, campuses indicated that they do not recall items from their users. ILL requests for loaned items are forwarded on to the next lender in the VDX/OCLC lender string. The subcommittee recommends that UC campuses follow their local recall policies for WEST materials.
13.	Lending library loan periods apply.	Y	
	<b>Liability for Damage or Loss - Guidelines</b>	<b>UC Alignment</b>	<b>Comments</b>
14.	In keeping with the WEST collections model and validation standards, Silver and Gold holdings that are physically loaned will be re-validated by the Archive Holder upon return to ensure their completeness and condition.	Y	
15.	The safety of the borrowed material is the responsibility of the requesting institution from the time the material leaves an Archive Holder until it is received back by the Archive Holder. If damage or loss occurs, the requesting institution must meet all costs of repair or replacement in	Y	The RLFs are responsible for re-validation of Silver and Gold materials. Bronze materials are not physically validated and will not require re-validation. RLF costs for re-validation are minimal and will not be charged to the requesting institution.

	accordance with the preferences of the Archive Holder (including re-validation costs).		
16.	Archive Holders are encouraged to use the existing mechanisms to “calling for holdings” within WEST to identify potential sources for replacement. Similar communication mechanisms may be developed for or exist in other regional archiving initiatives, and could be used, if needed.	Y	ILL/resource sharing staff will need to forward lost item reports to the archive builder staff. The “call for holdings” should be initiated by staffs that have archive building responsibilities.  UC will need a mechanism for reporting lost WEST items to the Archive Builder staff.
	<b>Annual Statistics - Guidelines</b>	<b>UC Alignment</b>	<b>Comments</b>
17.	Requests fulfilled by Title Category and Archive Type with subtotals (a) by delivery method – scan, photocopy, physical loan (including number of titles and volumes loaned; for physical loans, it may be useful to track additional details about specific titles); (b) by member and by non-members organization.	N	UC lenders can provide annual statistics on requests fulfilled by Archive Type that are fulfilled by physical loan. UC can report transactions by item (volume) loaned, but not by specific title.  UC is not able to track requests fulfilled by scan or photocopy; UC is not able to track by Title Category (this information is not recorded in the local record); UC is not able to track by member and non-member organization (this identification is not available in the ILL request).
18.	Recalls of WEST materials from member and non-member institutions to satisfy a second request. It may be useful to document qualitative information about recalls to describe how the content was ultimately supplied to the user, in what timeframe and what alternatives were considered.	N	As noted in #12 above, many UC campuses do not recall items to satisfy an ILL request. For those UC campuses and RLFs that will recall, statistics can be provided on number of items (volumes) recalled. UC is unable to document qualitative information.
19.	Volumes lost and replaced as a result of loans to member and non-member institutions.	N	UC lenders can provide statistics on number of items lost. Number of items replaced can be reported separately by UC archive builder staff. UC is not able to track by member and non-member organization (this identification is not available in the ILL request).
20.	Volumes lost and not replaced as a result of loans to member and non-member institutions.	N	UC lenders can provide statistics on number of items lost. Number of items NOT replaced can be reported separately by UC archive builder staff. UC is not

			able to track by member and non-member organization (this identification is not available in the ILL request).
21.	Volumes damaged and repaired/replaced as a result of loans to member and non-member institutions.	N	Number of items damaged and repaired/replaced can be reported by UC archive builder staff. UC is not able to track by member and non-member organization (this identification is not available in the ILL request).
22.	Volumes damaged and not repaired/replaced as a result of loans to member and non-member institutions.	N	Number of items damaged and NOT repaired/replaced can be reported by UC archive builder staff. UC is not able to track by member and non-member organization (this identification is not available in the ILL request).

Submitted by Subcommittee members: Colleen Carlton (SRLF, Chair), Judea D’Arnaud (UCSD), Jennifer Lee (UCLA), Scott Miller (NRLF), Vincent Novoa (UCR), Charlotte Rubens (UCB), Leslie Wolf (CDL)

## UC-WCC Final Report: Appendix 5

### UC ILL – Implementation of WEST Access and Delivery Guidelines Instructions for System Setup and Lending/Borrowing WEST Items

#### Instructions for Identifying WEST Member Status

WEST Lending libraries are the WEST archive holders and builders. Within UC, WEST lending libraries include UCLA, UCR, UCSD, UCSB, NRLF, and SRLF. Borrowing libraries within UC include all of the ten UC campuses.

In order to facilitate lending and borrowing of WEST materials, UC ILL centers need to do the following:

Process	Lenders: UC WEST Archive Holders & Builders	UC Borrowing Libraries
Modify constant data in OCLC ILL profile	N/A	Enter “WEST” in Affiliation field
Modify the country field in VDX address details	N/A	Enter “WEST” in VDX Country field
Add WEST archive holders SP symbol to custom holdings	Not applicable for the RLFs	Add all WEST archive holders shared print symbols
Update ILL Profile in OCLC Policies Directory	Use “Supplier” for Shared Print symbols	N/A

By adding “WEST” identification to all UC borrowing requests, lending libraries can more easily see that UC borrowers are eligible for loans and recalls of the physical volumes, as well as document delivery for articles.

By adding all the OCLC Shared Print symbols for WEST Archive Holders & Builders to custom holdings, we cast a wider net for unmediated ILL requests that might include WEST holdings. Since WEST archive holders may elect to supply materials under the OCLC shared print symbol **OR** under the OCLC main symbol, UC libraries are encouraged to enter both symbols for all WEST Archive holders and builders in the custom holdings.

**List of WEST Archive Holders & Builders (Cycles 1, 2, 3):**

<b>Institution</b>	<b>OCLC Main Symbol</b>	<b>OCLC SP Symbol</b>
UNIV OF ARIZONA Health Sciences Library	AZA	AZASP
UNIV OF ARIZONA College of Law Library	AZL	AZLSP
Arizona State University	AZS	AZSSP and AZFSP
UNIV OF ARIZONA	AZU	AZUSP
Brigham Young University	UBY	UBYSP
California Institute of Technology	CIT	CITSP
University of California-Los Angeles	CLU	CLUSP
University of California-Riverside	CRU	CRUSP
University of California-San Diego	CUS	CUSSP
University of California-Santa Barbara	CUT	CUTSP
University of Hawaii at Manoa	HUH	HUHSP
Huntington Library	HUV	HUVSP
Iowa State University	IWA	IWASP
Kansas State University	KKS	KKSSP
University of Kansas	KKU	KKUSP
Loyola Marymount University	LML	LMLSP
University of Oklahoma Norman Campus	OKU	OKUSP
Oregon State University	ORE	ORESP
University of Oregon	ORU	ORUSP
Rice University	RCE	RCESP, RCFSP

<b>Institution</b>	<b>OCLC Main Symbol</b>	<b>OCLC SP Symbol</b>
Stanford University Graduate School of Business	S7Z	S7ZSP
Stanford University Law Library	RCJ	RCJSP, SL3SP
Stanford University	STF	STFSP, SL3SP, CASSP
University of Washington-Seattle Campus	WAU	WAUSP, WASSP
Washington State University, Vancouver	WS2	WS2SP
Washington State University, Spokane	WS7	WS7SP
Washington University in St Louis	WTU	WTUSP
University of Wyoming	WYU	WYUSP
UC Northern Regional Library Facility	ZAP	ZAPSP
UC Southern Regional Library Facility	ZAS	ZASSP

## **A. Lending WEST Items:**

UC Archive holders and builders will be lending from the Shared Print symbol. These instructions apply to UCLA, UCR, UCSB, UCSD, NRLF & SRLF only.

B1. Set up OCLC Policies Directory entries for the XXXSP symbol.

B1a. Get the authorization code for access to the XXXSP symbol from UC's OCLC contact: Bill Carney ([bill\\_carney@oclc.org](mailto:bill_carney@oclc.org)).

B1b. Define entries in the OCLC Policies Directory (can be copied from the existing OCLC symbol policies).

B1c. Update supplier status to indicate "supplier" (check "OCLC Supplier").

B1d. For "Copy" policy, enter policies related to delivery of physical or digital copies. Enter "building use only" restriction on all loans of WEST materials.

B1e. For "Loan" policy:

- If you provide loans of these volumes in general, enter the usual loan policies.
- If you will loan WEST volumes only to WEST members, create a deflection rule for Loans with a "deflection exception" to include WEST Group Access Capability (GAC).



- Include in the Note Field (under Loans): “Default is to fill requests as digital copies. When filling as loan, “building use only” restriction will apply to WEST materials.
- B2. Set up to receive XXXSP symbol requests via VDX.
- B2a. Submit a VDX trouble ticket requesting the XXXSP symbol to be added as a lending symbol in VDX.
- B2b. Process incoming requests using existing procedures.
- B3. UC Institutions not using VDX for OCLC Lending:
- B3a. Log in each day to the shared print symbol/ILL and check for any incoming request for WEST materials.
- B3b. Process incoming requests using existing procedures

## **B. Borrowing WEST Items:**

Borrowing requests will be made from the campus’s main OCLC symbol, not the WEST shared print symbol.

C1. OCLC Constant Data: add “WEST” to the Affiliation list so that “WEST” will automatically display on borrowing requests.

C2. OCLC Custom Holdings: add the WEST archive holders and builders shared print symbols to the custom holdings lists.

C3. When appropriate, include an explicit note to indicate that the physical volume is needed (the default action from lenders is to provide document delivery).

## C. Instructions for Providing Annual Resource Sharing Statistics (lending libraries only)

D1. WEST will work with OCLC to define a Group Access Capability (GAC), a grouping of all WEST member libraries' shared print symbols. All WEST members will be able to view each other's bibliographic, local holdings, and summary holdings records through FirstSearch using GAC, and the group (GAC) may be used to control lending in OCLC Resource-Sharing.

D2. The GAC will provide statistical reports that identify requests by WEST-member libraries, requests fulfilled for WEST members, and items loaned to WEST member libraries.

D3. Archive holders and builders will be required to report the following statistics:

D3a. Requests fulfilled by Archive Type with subtotals (Bronze, Silver, Gold subtotals provided by the RLFs; Bronze only from UCLA, UCR, UCSB, and UCSD).

D3b. Requests fulfilled by delivery method: scan, photocopy, physical loan (including number of titles and volumes loaned).

D3c. Requests fulfilled by borrower status of member and non-member organization

D3d. Recalls of WEST materials from member and non-member institutions, needed to satisfy a second request **from a WEST member**.

D3e. Statistics for D3a-d will need to be gathered from the local ILS.