DUKE UNIVERSITY LIBRARIES

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CC: Deborah Jakubs
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SUBJECT: Collections Budget Request (1540220) for FY2021

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Request Summary

To ensure that the Duke University Libraries continue to collect and provide access to an appropriate range of high-quality resources in support of the mission of Duke University, **we request that you increase the library collections budget (1540220) for FY2021 by 2.9% ($468,849)**.

As described below, our request reflects aggressive cost controls, assumes minimal growth in spending on existing subscriptions, and limits book acquisitions. This request also accommodates very modest growth in line with increasing demand for new formats in support of the evolution of Duke's programs, research, and pedagogy.

I. Request by Major Area

			FY21 Budget Request	
Expenditure Area (G/Ls)	**FY19 Actuals**	**FY20 Allocated**	**Total**	**(+/-)**
Subscriptions and Continuing Resources (666100)	$9,401,086	$9,752,019	$10,103,092	$351,073
Books and Other One-Time Purchases (666300)	$3,695,921	$3,890,050	$3,987,301	$97,251
Standing Orders, Sets and Series (666600)	$792,368	$821,016	$841,541	$20,525
Rubenstein Library (666800)	$783,353	$630,000	$630,000	$0
Tools and Services (697300)	$589,522	$565,000	$565,000	$0
Memberships, Hosting and Storage (690600 and 692100)	$138,869	$150,000	$150,000	$0
Other Areas (binding, replacements, open access article processing charge support, DU Press exchange, postage)	$157,816	$159,000	$159,000	$0
TOTAL	$15,558,935	$15,967,085	**$16,435,934**	**$468,849**

TABLE 1. FY2021 Collections Budget Request by G/L

We undertake the budget projections reflected in Table 1 in the context of anticipated price inflation, expanding programmatic needs at Duke, and continued active management of our collection activities to ensure cost containment (see Section III below).

CONTINUING RESOURCES (G/L 666100, +3.6% = $351,073)

We believe that our 5-year rolling average of spending (See Table 2) for subscriptions provides the best predictor of our need to accommodate price inflation for current subscriptions. Increased faculty demand for streaming video has strained this budget in recent years. With this increase, we will be able to alleviate some of that pressure by adding a subscription to a high-quality video database that includes the Criterion Collection, a scholarly collection of many of the most important and critically acclaimed contemporary and classic films. Additional needs relating to continued growth in the use of engineering standards in support of Duke's academic and operational needs also require additional funding beyond simple price inflation. Standards use is driven substantially by general growth in Pratt's undergraduate program and ABET's evolving accreditation requirements. In both cases, these new resource needs directly connect to additive requirements for new formats that do not replace older formats, and for needs not adequately met by current collections spending. This G/L also houses a significant piece of our increasing support for open access and other forms of transformative publishing.

Fiscal Year	666100 Actual	Change from previous FY		Rolling Mean % Change, 5 Most Recent Years
		$	%	
2015	$8,695,990	$327,346	3.91%	3.84%
2016	$8,883,096	$187,106	2.15%	4.59%
2017	$9,311,374	$428,278	4.82%	4.29%
2018	$9,141,474	($169,900)	-1.82%	4.13%
2019	$9,401,086	$259,612	2.84%	2.55%
For FY2021 Request				**2.60%**

TABLE 2. Actual Spending and Rolling Mean Year-on-Year Change for Continuing Resources

MONOGRAPHS AND OTHER ONE-TIME PURCHASES (G/L 666300 AND G/L 666600, +2.5% = $117,776)

Our major book supplier provides an annual estimate of price and title inflation. We have found the estimates to be a reliable predictor for book pricing. According to that estimate, overall prices for books will increase between 1% and 4%, and the number of published titles will decrease slightly. While a strict application of the estimate would lead us to roughly 3% inflation given our buying profile, we are committed to controlling spending in this area. Beyond individual print and electronic books, this G/L also reflects support for one-time purchases of full-text electronic resources and open access subventions.

SPECIAL COLLECTIONS/RUBENSTEIN LIBRARY (G/L 666800, NO CHANGE)

We have made significant increases to our expenditure of university-allocated funds in support of special collections over the past 5 years. We believe this investment is an important factor in the steady growth in utilization of special collections materials by Duke faculty and students, including an over 80% rise in classroom use. We do not anticipate a further increase in university-allocated funding for special collections in FY2021. The Libraries will apply a substantial proportion of the FY2021 allocations reflected in this request toward the outstanding balance of the Baskin Collection.

SERVICES, MEMBERSHIPS AND UTILITIES (G/LS 697300, 692100; NO CHANGE)

These lines provide systems and other supplemental support for resource onboarding, archiving and access. We believe that with careful management of our expenditures in these areas, we can maintain our services with no budget increase.

OTHER AREAS (VARIOUS G/LS, NO CHANGE)

This includes binding, support for researchers' open access article processing charges (APCs), and customary payments to Duke University Press. We believe that we can maintain spending in these areas at levels similar to our FY2020 budgeted amounts for FY2021.

II. Beyond Price Inflation

The universe of information to which Duke researchers need access continues to expand, particularly with Duke's institutional aspirations to provide a transformative educational experience and to address complex global challenges. The capacity of DUL's collections to meet those needs is constantly under threat if we solely rely on cost containment and basic coverage of price inflation for existing purchasing patterns. We therefore have incorporated a modest increase to base in this year's request so we might expand our ability to broaden the inventory of available resources in a way that inflationary increases alone cannot.

More particularly, beyond ordinary inflation we face upward spending pressure related to three major factors. First, program growth related to new degrees, development of new areas of academic concentration, new courses, and new faculty interests create demand for resources that the library did not previously acquire or license. We also see a proliferation of new full-text primary sources, such as historical newspapers – increasingly critical resources for our faculty and students in the humanities and qualitative social sciences. Finally, demand for new formats such as electronic books and streaming video is rising, and they are both more expensive than the formats that preceded them, and do not fully replace the need for the older formats, *e.g.*, printed and electronic books meet different needs.

Expanding Duke's Resource Base and Impacts

As the examples below illustrate, areas of needed additional capacity span multiple areas of interest and application at Duke. The library began subscriptions or purchased the resources in these examples in whole or in part with collections funds beyond nominal subject allocations.

We continue to experiment with alternative models and explore expansions to Duke's licenses to provide *engineering standards* online. Use is increasing among undergraduates, especially in supporting upper-level student design projects, partially in response to changes related to ABET's recommendations for accredited programs. The Libraries also see substantial use of our present collection and we fulfill numerous requests for additional standards from labs and administrative units such as the Gall Lab (Pratt/MEMS), Lad Lab (SOM/ Neurosurgery), Dr. David Ward (Pratt/BME), and the SOM Office of Regulatory Affairs. Most recently, we are working to add access to a set of standards in support of Duke's Laboratory Safety unit (O&ES).

Simon Partner uses the English-language *Manchuria Daily News (1908-1940)* online to facilitate discussions of colonialism on the ground and of political events unfolding in real time.

البريطانية */ Early Arabic Printed Books Online* from the British Library contains a substantial proportion of the titles for the Mustafa Salamah al-Najjari's Book Collection project led by Duke's Adam Mestyan (History) and UMass-Amherst's Kathryn Schwarz.

In Aimee Kwon's Archiving and Visualizing Asia course (AMES 476S), students are using The *HistoryMakers Digital Archive* to view African Americans' accounts of serving in the US military in Japan, Korea, and Vietnam during the wars and occupations in those countries. These video oral histories

complement the Rubenstein Library's photograph albums created by African American soldiers stationed in these countries.

Two new journal subscriptions, *Journal of World Popular Music* and *Songlines* will support the growing Ph.D. program in Ethnomusicology and new Ethnomusicology faculty Yun Emily Wang, who will begin her appointment to the Music Department Faculty in July 2020.

RILM Abstracts of Music Literature with Full Text, *RIPM Preservation Series: European & North American Music Periodicals* and the *Hindemith-Jahrbuch* are core research resources, all of which will support the Ph.D. programs in Musicology, Composition, and Ethnomusicology, as well as undergraduate music classes.

The Telegraph (UK) Historical Archive is essential for music reception history and criticism and is used by Professor Philip Rupprecht, who is a scholar of British music of the 20th and 21st centuries, and the graduate students he advises.

Professors in Art, Art History and Visual Studies have been making productive use of recent acquisitions in Rubenstein Library. Gennifer Weisenfeld is using the *Locus Science Fiction* collection's pulp magazines, such as *Amazing Stories* for her current book project. The Library acquired and digitized the *Ughi Map of Venice* map to support Kristin Huffman and her students in the Wired! Lab. The map facilitated a variety of student projects, culminating in the current Venice exhibition and its related interactive digital tools. Fiene Leunissen has been using the Charles Booth London poverty maps acquired in 2019 to support her work related to the history of data visualization. She has spoken about the project at Visualization Friday Forum and AAHVS's intermezzo.

The Libraries have acquired several collections within the *Drama Online* platform, which includes playscripts, videos, audio, and contextualizing secondary sources. Theater Studies faculty member Darren Gobert recently used *The Duchess of Malfi* in a Theater 190 special topics seminar that combined close reading and analysis of performances. At Professor Gobert's request, we recently added the *National Theater Collection* to Duke's collections to support course use. Patrick Timmis, a graduate student in English studying Shakespeare, used *Globe on Screen* to prepare for his preliminary exams as part of the dissertation process. The Libraries' Low Maintenance Book Club recently read the play version of *Fleabag*, and the members of the group could simultaneously access the playscript on Drama Online.

English faculty Jarvis McInnis is using *Kingston (Jamaica) Newspaper Archive (1834-2018)* extensively in his research. Some of the graduate students and undergraduates involved with his "Black Mobilities and the Archive" stream in the Representing Migration Humanities Lab used the newspapers in their work for this project.

The Vogue Archive is used extensively in the THE261 Costume Design course as a primary source for historical context and image inspiration.

Our acquisition of the historical *Moderne Bauformen*, a rare architectural journal describing architectural construction, will be used spring 2020 for the Bauhaus graduate seminar 721S.

Jasper Johns: catalogue raisonné of painting and sculpture and *Jasper Johns: catalogue raisonné of drawings* support Kristine Stiles's ARH 381, Global Art Since 1945.

III. Cost Containment and Stewardship

While the Duke University Libraries collections budget continues to face upward pricing pressures for subscriptions, books, special collections, and databases that we purchase and license, we use a variety of strategies to control costs. We believe that good stewardship and smart rightsizing of collections activities can slow the overall growth of our spending without compromising our scholars' experiences. All of these strategies combined allow us to limit the size of this and other year-to-year budget requests.

Subscription review:

Each year we review selected individual subscriptions as well as one or more vendors' title packages with an eye to reducing our expenditures on less-used titles. For example, a recent review of our subscriptions to DeGruyter journals identified titles that were little used, and we cancelled paywalled access to those titles in order to more efficiently and effectively deploy our collections dollars and curation resources.

Book profiles:

The Libraries have automated a major portion of our print and electronic book purchasing through profiles with major book suppliers. We regularly review these automatic purchase profiles in the context of usage and changes to the publishing environment and adjust to focus our acquisitions on the most valuable publisher outputs. During FY2020, we will be eliminating some publishers, and it is likely we will lower the price limit for some automatic purchases in FY2021.

Shared purchasing plans and negotiation at-scale:

Research libraries face a major challenge related to high-priced contracts and monopolistic vendor practices. We mitigate these effects by working with other libraries to negotiate deals, leveraging our collective market power to improve business terms, increase access, and secure more favorable pricing. For example, a new UNC+Duke package looks to lower Duke's costs and increase TRLN's coverage of e-books provided from a wide range of university presses supplied through Oxford's University Press Scholarship Online (UPSO).

Increasingly, we are working with our partners across library collaboration networks to increase the diversity of our purchases while ensuring an increased level of completeness across institutional collections. For printed books, our cooperation with UNC and Ivy Plus allows us to efficiently meet local needs by multiplying the effect of our dollars. Through these and other cooperative agreements, we buy a different book than we might because the ones we do not purchase are typically available to us from a partner institution's collection.

Like many of our peers, DUL is engaging with the local community around the value proposition related to our biggest deals, such as those we have with Elsevier and Springer/Nature. We believe we can continue to align Duke's collections spend with local needs while transitioning to a more efficient, impactful, and sustainable future for scholarly publishing.

Endowment support:

Through more aggressive use of spendable endowment income and previously accumulated endowment balances we have been able to extend our support for general and special collections. Endowments are playing an increasingly key role in major e-resource purchases such as digital newspaper archives and other historical materials.