The San Jose State University Library is experiencing increased difficulty in meeting faculty and student library support and resource needs. A significant number of book, journal, and media requests from faculty and students cannot be filled. Limited library open hours and insufficient librarian and staff support are all patron concerns. The University Library Board in consultation with the Library Dean and Associate Dean has been studying these issues and called for in-depth analysis of the current situation.

In response, the Library staff has compared the SJSU Library budget with data from the following groups of universities with particular emphasis on staffing, material expenditures, and overall budget:

- A Research Intensive group of nine national benchmark universities, which are similar to SJSU (See Table I.);
- Fourteen national public universities, which the California Post Secondary Education Commission (CPEC) uses for comparing salaries and student fees (See Table I.); and
- Six California State University (CSU) schools, which have the largest enrollments. (See Table I.)

The comparison data are from 1999/2000, the latest years for which complete national library statistics and analysis are available.

Significant problems with the SJSU Library budget which emerged are:

- Severe under staffing and funding for library personnel; and
- A continual decrease in the annual acquisition of library materials.

The following report discusses and compares staffing, library materials, and overall budget. In addition, factors contributing to poor library support are examined and University Library Board recommendations are presented.
<table>
<thead>
<tr>
<th>Research Intensive Group</th>
<th>California Post Secondary Education Commission (CPEC) Group</th>
<th>California State University Large Campus Group</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. University of Central Florida</td>
<td>1. Arizona State University, Tempe</td>
<td>1. CSU, Fullerton</td>
</tr>
<tr>
<td>2. Indiana University-Purdue at Indianapolis</td>
<td>2. Cleveland State University, Cleveland</td>
<td>2. CSU, Long Beach</td>
</tr>
<tr>
<td>3. University of New Orleans</td>
<td>3. George Mason University (Virginia)</td>
<td>3. CSU, Northridge</td>
</tr>
<tr>
<td>5. University of Nevada, Las Vegas</td>
<td>5. Illinois State University, Normal</td>
<td>5. CSU, San Diego</td>
</tr>
<tr>
<td>7. Portland State University</td>
<td>7. Rutgers, the State University of New Jersey, Newark</td>
<td></td>
</tr>
<tr>
<td>8. Middle Tennessee State University</td>
<td>8. State University of New York, Albany</td>
<td></td>
</tr>
<tr>
<td>10. University of Connecticut, Storrs</td>
<td></td>
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</tr>
<tr>
<td>11. University of Nevada, Reno</td>
<td></td>
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<tr>
<td>12. University of Texas, Arlington</td>
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<td></td>
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<tr>
<td>13. University of Wisconsin, Milwaukee</td>
<td></td>
<td></td>
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<tr>
<td>14. Wayne State University, Detroit</td>
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</tbody>
</table>

Note: See Appendix A for additional detail on each of these comparison groups.
UNDER STAFFING AND FUNDING OF LIBRARY RESOURCES

STAFFING COMPARISONS

Compared to SJSU Library faculty and staff of 34 per 10,000 FTE students:

- Research Intensive benchmark universities had an average of 60 FTE staff per 10,000 FTE students. Staffing was 43 percent lower at SJSU. Comparable staffing would have required another 54 positions or an 80 percent increase in staffing.

- CPEC Public comparison universities had an average of 82 FTE staff per 10,000 FTE students. Staffing was 59 percent lower at SJSU. Comparable staffing would have required another 103 positions or a 151 percent increase in staffing.

- CSU campuses with the largest enrollments had an average 38 FTE staff per 10,000 FTE students. Staffing was 10 percent lower at SJSU. All large CSU campuses in 1999/2000 were staffed far below comparable institutions. (See p. 8 for CSU Senate analysis of overall unacceptable library staff and funding levels.)

Figure 1

![Library Staffing Per 10,000 FTES (1999/2000)](chart)

* SJSU: 2000/2001 = 38 per 10,000 FTE students; 2001/2002 = 34 per 10,000 FTE students
* 6 Large CSU: 2000/2001 = 38 per 10,000 FTE students; 2001/2002 = 36 per 10,000 FTE students

Note: SJSU staffing for 2000/01 does not include 1.975 positions that were hired temporarily for King Library planning and will in 2004 no longer be funded. For 2001/02 SJSU staffing does not include 2.03 positions for King Library planning.
LIBRARY MATERIALS EXPENDITURE COMPARISONS

Compared to SJSU library materials expenditures of $2 million or $99 per FTE student:

- Research Intensive benchmark universities spent an average of $3.4 million or $225 per FTE student. Materials expenditures per student FTE were 56 percent lower at SJSU.

- CPEC Public comparison universities in 1999/2000 spent an average of $3.8 million or $236 per FTE student. Materials expenditures per student FTE were 58 percent lower at SJSU.

- CSU large enrollment campuses in 1999/2000 averaged $2.2 million or $100 per FTE student in library materials expenditures, which is below expenditure levels in the comparison groups. Even within the large CSU campuses, SJSU materials expenditures per student FTE were slightly lower than the average expenditure for the six campuses in 1999/2000. The gap has become greater in the last two years.

* Figure 2 *

![Graph showing library materials expenditures per FTES (1999/2000)]

CPEC Public Universities: $236
Research Intensive Similar to SJSU: $225
Six Large CSU Campuses*: $100
SJSU*: $99


Note: By 2001/2002, the gap between CSU average library materials expenditures and SJSU’s materials expenditures per FTES had widened—materials expenditures per student FTE were 12 percent lower at SJSU in 2001/2002.

In addition to the problem of under funding, the list of new resources being requested by the faculty continues to grow daily (See Appendix B). Only long-term commitments will bring the SJSU Library collections to the Research Intensive level.
TOTAL LIBRARY OPERATING BUDGET COMPARISONS

Compared to SJSU Library's total budget from State general funds of $7 million or $347 per student FTE:

- Research Intensive benchmark universities overall average budget was $7.8 million or $517 per student FTE. The overall budget per student FTE was 33 percent less at SJSU.

- CPEC public comparison universities overall average budget was $10.5 million or $646 per student FTE. The overall budget per student FTE was 46 percent less at SJSU.

- CSU large enrollment campuses overall average budget was $8 million or $357 per student FTE. At SJSU the overall average budget per student FTE was slightly less than the average of the large CSU campuses.


These figures do not include fringe benefits or expenditures for planning the King Library. In 2000/2001, 265,000 excluded in King Library expenses; in 2001/2002, 951,000 excluded in King Library expenses.
FACTORS CONTRIBUTING TO POOR LIBRARY SUPPORT

1. EXPANSION OF RESEARCH AND GRADUATE EDUCATION

Four major factors have contributed to the poor support of library information resources and services. The first is the dramatic expansion of research and graduate education at SJSU during the past 20 years. From an undergraduate state college with minimal research emphasis, SJSU has transformed itself into a university that strongly emphasizes faculty scholarship and graduate programs as important adjuncts to quality undergraduate teaching. Through University policy, library research-based learning has now become a central feature of the educational experience of all students.

The administrative emphasis on scholarship and research to enhance our teaching mission has spurred a rapid growth in graduate programs at SJSU as well. In 1980/81, SJSU granted 3,882 bachelor’s degrees and 875 master’s degrees. In 2001/2002, SJSU granted 4,072 bachelor’s degrees and 1,614 master’s degrees. Therefore, compared to 21 years ago, SJSU graduates receiving master’s degrees have increased 85%. The remarkable growth in research and graduate training is leading to a change in how we view ourselves as a university, as well as how we are viewed by others.

Nor has this expansion ended. The University is beginning to offer joint doctorates. An Ed.D. in Urban Educational Leadership with UC Berkeley, CSU Hayward, and San Francisco State University has been approved for implementation in the Fall 2003. An Ed.D. in Collaborative Leadership for Teaching and Learning with UC Santa Cruz is in the planning process. Others are under consideration for future implementation.

The growth in graduate and research programs is reflected in the large increase in funds coming into the university from federal and state agencies, foundations, corporations and private individuals. We note from Figure 4, Page 7, that over the past two decades the dollar amount of research grants received by the SJSU Foundation has increased more than fivefold. This growth has been coupled with the addition of several hundred new faculty members with wide-ranging scholarly and research interests. The combination of additional graduate programs and increased faculty research interests has created significant increases in demands for library information resources and services.
In addition, President Caret described his vision for San Jose State in his 1995 inaugural address: “We will continue to evolve as this valley’s and this city’s Metropolitan University. We will continue to be interactive and to increase our efforts in developing partnerships with business, government, and the K-18 sectors that work with us. But we will do so at a higher level, with more intensity. As the region develops and its needs change, we must be there, hand in hand, with it. We must help when asked, and we must lead when appropriate.” To accomplish this mission the University Library must also be prepared with the full range of resources necessary to support the growing number of graduate and joint doctoral programs, the rising need for research programs, and the partnerships in Silicon Valley. Seven years later, in his Fall 2002 welcome address, President Caret stated that, “We will continue to be research-directed and will expand our research funding to move into the top 150 institutions nationally.” Caret further explained, “We will develop joint-doctorates, research centers and incubators as part of that research thrust.”

2. LIMITED STATE SUPPORT

The second factor contributing to poor library support is the limited State support received by CSU schools. The CSU System provides significantly less support per student than state-supported research universities outside of California. The SJSU Library was funded at $347 per FTE student compared to the average of $517 per FTE Student for the nine non-CSU Research Intensive institutions and $646, for CPEC institutions (See Figure 3, Page 5). If the SJSU Library had received materials allocation based on $225 per FTE student, same as the average of similar Research Intensive institutions, the Library would have received an additional $2.5 million for resources in 1999/2000. If the SJSU Library had received $236 per FTE student, same as the average CPEC public institution, the increase in materials allocation for 1999/2000 would have been $2.8 million. Library materials funding has not received any permanent increases to base from
general funds in over a decade. The library has become very dependent on one time lottery fund grants in the past four years, as illustrated in Figure 5.

**Figure 5**

<table>
<thead>
<tr>
<th>Year</th>
<th>General Fund Base</th>
<th>Lottery-one time</th>
<th>Foundation-Trust</th>
</tr>
</thead>
<tbody>
<tr>
<td>97/98</td>
<td>1,572,166</td>
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<tr>
<td>98/99</td>
<td>1,883,632</td>
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<td>99/00</td>
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<tr>
<td>00/01</td>
<td>1,937,384</td>
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</tr>
<tr>
<td>01/02</td>
<td>1,979,537</td>
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</table>

This inadequate funding of all libraries in the CSU and its impact upon the quality of teaching and learning in the CSU has been acknowledged by CSU faculty, particularly over the past five years as the situation has become more severe. The Academic Senate of the California State University noted in *The California State University at the Beginning of the 21st Century* that “. . . Cuts in expenditures for library collections were greater than cuts in general fund expenditures. Expenditures for library collections began to recover later and more slowly than general fund expenditures as a whole. . .” (http://www.calstate.edu/acdsen/csu_21stcentury.pdf) Most recently, in May 2002, the Academic Senate of the CSU recommended Priorities for Strategic Budget Planning. Among the seven priorities was, "Seek funding to begin the process augmenting CSU library collections and restore library staffing. We suggest a specific budget supplement for this purpose, one designed, over time, to fully restore library staffing and to restore library budgets to at least their purchasing power of the early 1980s." (http://www.calstate.edu/acdsen/actions/2001-2002/2573.doc)

3. IMPACT OF EARLY 1990’S BUDGET CUTS

A third contributing factor is the long-lasting impact of budget cuts made in response to California’s fiscal crisis in the early 1990s. At that time the CSU abandoned its former practice of using elaborate formulae—contained in the Orange Book or Gold Book—to allocate resources, some collection of data was abandoned and allocation within the University were no longer necessarily tied to student enrollments. The SJSU budget suffered a 5% decline from 1990/91 to 1992/93. (See Figure 6, Page 9) However, from 1993/94, it began to recover and move steadily upward. By 2001/2002 the total SJSU budget was 76% higher than in 1990/91. Compare this to the Library budget over
the same time frame (See Figure 7, Page 9). In 2001/2002 the Library budget was only 7% higher than in 1990/91.

*Figure 6*

<table>
<thead>
<tr>
<th>Millions of Dollars</th>
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<tr>
<td>00/01</td>
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<td>01/02</td>
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</tbody>
</table>

* Each year fringe benefits are included.

*Figure 7*

<table>
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<th>Millions of Dollars</th>
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<td>90/91</td>
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*Solid line represents base library funding. Dashed line --- represents total funding, including supplemental funding for new library planning. Beginning 2000/01 additional earmarked funds were made available for costs related to planning for the new library. These funds are not in the library’s base funding and will not continue. Each year fringe benefits are included.

4. **HIGH INFLATION ON SCHOLARLY MATERIALS COSTS**

The seriousness of the situation caused by limited state funding and budget cuts from the 1990’s is exacerbated due to the years of inadequate funding and the high rate of inflation
of scholarly information resources. Purchasing power has experienced sharp declines in annual acquisition of journals and other library materials. (See Figure 8, below) Declines in purchasing power have been so severe that 2001/2002 dollars only purchase 42 percent of library materials purchased in 1990/1991. On the positive side, helping to compensate for these sharp declines on many individual CSU campuses, the Chancellor’s Office has initiated a central system-wide electronic acquisitions program for CSU Libraries. The present value of this system-wide program to SJSU is estimated to be $165,000 annually.

Figure 8

The pattern of relative Library under funding poses a serious threat to the quality of academic programs and to continued academic growth. According to the Office of Graduate and Research Affairs, SJSU will “allow our students to expand the base of knowledge through research and scholarship.” The movement toward a Research Intensive status has been taking place for some years, and it is most likely not reversible without harming the university. Currently the University has 87 master’s programs, specialized or certificate programs. Therefore, SJSU can anticipate that the demand for library resources and services will continue on a steep upward curve for at least the next decade.

SUMMARY OF BUDGET COMPARISONS

The key question is at what level does the Library need to support campus research and learning. The answer to this question is fundamental to the future aspirations of our campus. If, for example, we want to bring the SJSU library budget up to meet the average expenditure per FTES ($517) of the comparison group of nine non-CSU Research Intensive universities, the Library budget would have to increase from $7 million to $10.5 million, not including fringe benefits. If we want to use the CPEC public institutions as the benchmark for comparison purposes, the Library budget would
have to increase to $13.1 million, not including fringe benefits. Because the cost of living is so much higher in California than nationwide, even this increase in funding would not permit the University to obtain the average student to faculty/staff ratio of 177:1 for Research Intensive institutions or 129:1 for CPEC public comparison institutions. By way of answering this question the University Library Board is making the following recommendations for consideration by the Senate, the SJSU Administration and all faculty concerned with student learning, research, and the future of the campus.

RECOMMENDATIONS

The University Library Board realizes the serious nature of the current State budget crisis and acknowledges that little more than damage control and ensuring that the new King Library opens well in August is likely to be possible at this time. However, the University Library Board strongly recommends that both the Academic Senate and the campus administration, as well as faculty in general, acknowledge that this situation is critical and requires the development and commitment to a strategy for increasing the Library budget when the budget crisis begins to lessen. The University Library Board believes that the facts are clear and that the current quality of academic programs and also the ability to seek external funding are placed in jeopardy, not to mention campus aspirations to offer new masters’ and joint doctoral programs. Moreover, the role of the Library in supporting faculty research is not at a level appropriate for the depth of research currently being conducted and which we believe will further expand as SJSU enters into more joint doctoral programs.

Over the past several decades, SJSU has focused on establishing research and graduate programs. With the goal of changing the university’s research status within arm’s reach, we must now concentrate on strengthening Library support for such programs. Coupled with the dramatic growth of graduate programs and research institutes across campus, as well as the influx of new faculty, the campus can anticipate a future with more specialized resource needs. This is particularly relevant for growth in areas that are expensive to support such as computer science, the sciences, engineering and health-related fields. In addition, the importance of promoting student information competencies has become a central focus to a liberal arts undergraduate curricula toward the goal of creating graduates who are life long learners. This is a strong positive element in the quality of our undergraduate programs, but it also is an important factor contributing to the pressure to expand our library information resources. For all of these reasons, the University Library Board calls for the University to engage in institution-wide academic planning to ensure adequate Library support for its future as an institutional intensive university.

We regrettably conclude, however, that it is impossible to correct the omissions of past years in terms of collections building. This is true both because of the magnitude of difference in annual funding for over twelve years and the fact that many of the materials which would have been purchased are no longer available. Therefore, ULB is recommending a far more conservative approach of only moving to correcting funding shortfalls for the future.
RECOMMENDATION 1: As part of a multi-year strategy, the University Library Board recommends that the University commit to a goal to bring library funding from the state appropriations to SJSU to a level commensurate with library funding levels at comparable institutions. Because of the documented inadequacy of CSU funding for its libraries and the size and quality of SJSU research and graduate programs, ULB feels that simply reaching the average funding level of the six large CSU campuses is not sufficient. The University should establish a plan of annually increasing the Library's proportional share of the total University budget from State general funds until the agreed upon level is achieved.

*Figure 9*

![Bar Chart: Percent of State Appropriation for Universities Allocated for Library Expenditures (1999/2000)]

- Research Intensive Similar to SJSU: 7.9%
- San Diego: 6.8%
- San Francisco: 6.1%
- CPEC Public Universities: 6.0%
- Average Six Large CSU Campuses: 5.6%
- SJSU: 5.2%

* Data for 2000/2001 for the CSU is not yet available.

Note: State appropriations represent the appropriations to higher education institutions using state taxes as the revenue source.

RECOMMENDATION 2: To enhance funds for staffing, collections and technology, the University Library Board recommends that the SJSU administration look to alternative funding sources. Strategies for developing alternative sources for additional long-term library support should include:

- Lobbying the Chancellor’s Office for direct library support as a legislative priority;
- Supporting increased funding (2.7 million in 2001/02) for the central CSU electronic acquisitions program; and
- Encouraging Associated Students to emulate their counterparts at San Diego and Fresno State Universities and vote in a student fee that supports the library.
RECOMMENDATION 3: University Library Board recommends that upon completion of the new King Library capital campaign, the campus initiate a development campaign to create endowments for the Library. There really is no way to make up for lack of funding in past years, but SJSU can build endowments in order to adequately meet teaching and research needs in the future. Goals should include:

- Raising a minimum of $5,000,000 in endowment for collections.
- Raising a minimum of $2,000,000 in endowment for technology.
Research Intensive Group of Nine National Benchmark Universities Similar to SJSU
1. University of Central Florida
2. Indiana University-Purdue at Indianapolis
3. University of New Orleans
4. University of North Carolina at Greensboro
5. University of Nevada, Las Vegas
6. Cleveland State University
7. Portland State University
8. Middle Tennessee State University
9. George Mason University

Based on the similarities of the level of research, the above nine universities were grouped with SJSU. Both the President and the Provost have acknowledged that this category is basically where SJSU belongs. Data for this comparison group came from a single national database (Integrated Postsecondary Education Data System: IPEDS). They are for the 1999-2000 academic year, which is the last full year for which data is available. For inclusion in the comparison group the following criteria had to be fulfilled:
   a) Public institution assigned a Research Intensive classification by The Carnegie Foundation: http://www.carnegiefoundation.org/Classification/
   b) FTES enrollment greater than 10,000
   c) Master’s and doctoral programs: Each of these schools has a small number of doctoral programs—SJSU is just beginning joint doctoral programs.
   d) Urban university located in a metropolitan statistical area with a population of one million or more in 1999.
   e) Overall similarity with regard to rank and aspirations.

Criteria for exclusion from the comparison list included being a UC school or a university with a medical school.

California Post Secondary Education Commission (CPEC) Comparison Public Universities
1. Arizona State University, Tempe
2. Cleveland State University, Cleveland
3. George Mason University (Virginia)
4. Georgia State University
5. Illinois State University, Normal
6. North Carolina State University
7. Rutgers, the State University of New Jersey, Newark
8. State University of New York, Albany
9. University of Colorado, Denver
10. University of Connecticut, Storrs
11. University of Nevada, Reno
12. University of Texas, Arlington
13. University of Wisconsin, Milwaukee
14. Wayne State University, Detroit
15. University of Maryland, Baltimore County [Not included in the SJSU library analysis because of the medical school]

The 15 public universities with which the California State University compares itself have been used to study both faculty and executive salaries and student fees. The members of the CPEC’s Faculty Salary Advisory Committee formulated the comparison list through extensive discussion and compromises. In the more than 35 years the faculty salary survey has been conducted, each list (i.e. CSU and UC) has changed several times, most recently in 1993-94, when three institutions in the CSU comparison group were replaced. These lists are developed and revised through an extensive consultative process that involves representatives from the California State University, the University of California, the Department of Finance and the Legislative Analyst’s Office.

Although the institutions on this list are doctoral institutions, they are not among the powerful doctoral institutions that might really skew library data. Historically, the development of comparison institutions has been driven by several factors, including institutions that have missions similar to those of the CSU, institutions of sizes similar to the range of CSU campuses, and institutions that compete with the CSU for faculty. Thus, these institutions were chosen for the general breadth and scope of curricula offered through a beginning graduate level, similar preparation and career aspirations of students.

This is a reasonable comparison group for assessing need to support faculty library research needs as well. SJSU asks for considerable scholarship from its faculty, significantly increasing amounts over the past several decades and thus should have library expenditures comparable to places that do offer some doctorates. SJSU is now embarking on the joint Ed.D. and is planning to offer joint doctorates in other fields as well.

**Six California State University Large Schools**
1. CSU, Fullerton
2. CSU, Long Beach
3. CSU, Northridge
4. CSU, Sacramento
5. CSU, San Diego
6. CSU, San Francisco

The schools were selected because their annual full-time equivalent student (FTES) enrollment was 17,000 or greater over the last 5 years (1997 to 2002).
APPENDIX B

Preliminary Library Resources Needs Analysis

This list is based upon faculty and student requests as well as the librarians’ assessment. It reflects the desire to provide the resources to support current campus scholarship.

Needs that are University wide

- More money for books across all disciplines
- More periodical subscriptions, both electronic and print, across all disciplines
- Increased access to electronic journals
- Increased budget for document delivery
- Greater support for “internationalization” of curriculum and campus life
- Additional support for distance education
- Enhanced remote access to full text

Resources that serve all or multiple Colleges

- Web of Science ($58,000 current year; $95,716 for 1997-2001]
- First Search WorldCat and ArticleFirst ($17,325)
- Dissertation Abstracts [$42,620]
- Sci Finder Scholar – 2 additional “seats” [$13,600] Engin/Science
- Materials Science Collection [$8,000] Engin/Science
- Physical Education Index [$1,000] Applied Arts and Sciences/Educ
- Alexander Street Press Publications: Collections on Black Drama; Asian American Drama; North American Immigrant Letters, Diaries, and Oral Histories; and Black Thought and Culture [$60,000] Social Sciences/Humanities and Arts
- Proquest Safari ebooks [$7,500] Business/Science/Engineering

Resources that are College/Department Specific

- New York Times Database [$45,000 1851-1924; $6,500 1925-1999 annual]
- Poeisis [$1500 ] Philosophy
- Poole’s Plus [$3,489] History
- Eurotrade [$8,000] Business
- Dun and Bradstreet [$8,000] Business
- ATLA Religion Database [$2900] Humanities
- ATLAS full text journals in religion [$2000] Humanities
- ArtBibliographies Modern [$3000] Art & Design
- Design and Applied Arts Index [$700] Art & Design
- Handbook of Psychology [$1,800] Psychology
- Encyclopedia of the Human Brain [$950] Psychology
- Psyc Articles Database [$16,000] Psychology
• SBRnet [$400] Human Performance
• INSPEC [$37,150] Engineering
• English Short Title Catalogue [$1,386] English
• RLG Cultural Materials [$5,041] Foreign Languages

Note that with the exception of the Handbook of Psychology, the Encyclopedia of the Human Brain, and the Alexander Street Press Collections all of these prices are annual subscription costs that can be expected to increase about 8 percent annually.