arXiv Member Advisory Board Annual Meeting

September 2013

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arXiv.org

Goals: Morning

- introductions & arXiv overview
 - arXiv program
 - Moderation/user support
 - IT infrastructure
 - SAB
- business overview
 - CY13 budget
 - reserve fund policy proposal
 - CY14 and new staff lines
 - fund raising strategies
 - outreach to members/potential members
- arXiv user study

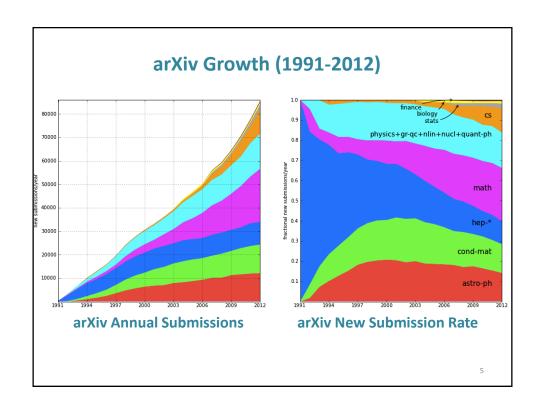
Goals: Afternoon

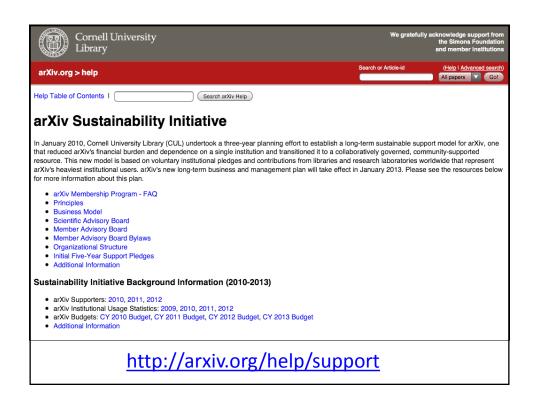
- arXiv & scholarly communication
- publishers & societies
- conclusions & next steps
 - assessment of meeting outcomes
 - MAB's role in arXiv's governance
 - future work/meetings

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- established in 1991 by Paul Ginsparg
- has been hosted at Cornell since 2001
- includes 872,000 e-prints (9/13)
- 2012
 - 84,000 new submissions
 - 64 million downloads





arXiv Cornell University Library Organizational Chart Kenney, University Librarian * · Resolve disputes between CUL, MAB, SAB as they relate to CUL's responsibilities · Determine termination and need for transition strategy Rieger, Program Director (15-20%) · Oversee the arXiv program (user support, IT, and membership) Foster a transparent and open communication strategy Identify and develop policies relevant to arXiv operation, preservation, and sustainability Take the lead in business planning Ruddy, User Support Lead (20%) Porciello, Membership Program Lead * Warner, IT Lead (30%) (10%) Oversee arXiv's user-support. Operate arXiv's technical infrastructure moderation, and administration Manage the arXiv membership program Provide interfaces and data access to processes Maintain and communicate information support open reuse of arXiv data; Working with SAB in developing new about sustainability program Implement archiving strategies policies and procedures Participate in other fund raising efforts to Establish and maintain partnership with Oversee the moderation process, diversify arXiv's revenues related initiatives including resolving problem cases 2.10 FTE staff • 2.65 FTE staff + student help * Included in CUL's indirect contributions Last updated: April 29, 2012

Cornell University Library · Manages the moderation of submissions and user support · Operates arXiv's technical infrastructure Ensures long-term access · Establishes and maintains partnerships · Assumes financial responsibility Maintains transparent and open communication **Provides legal protection** Scientific Advisory Member Advisory Board **Board** · Provides advice and guidance • Advises CUL on issues related to: pertaining to the intellectual o repository management and oversight of arXiv development Oversees arXiv's moderation system o standards implementation & Reviews the criteria and standards interoperability for deposit in arXiv development priorities Proposes new subject or discipline business planning domains outreach and advocacy

Cornell University Library

- Manages the moderation of submissions and user support
- Operates arXiv's technical infrastructure
- · Ensures long-term access
- · Establishes and maintains partnerships
- · Assumes financial responsibility
- · Maintains transparent and open communication
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- Provides advice and guidance pertaining to the intellectual oversight of arXiv
- · Oversees arXiv's moderation system
- Reviews the criteria and standards for deposit in arXiv
- Proposes new subject or discipline domains

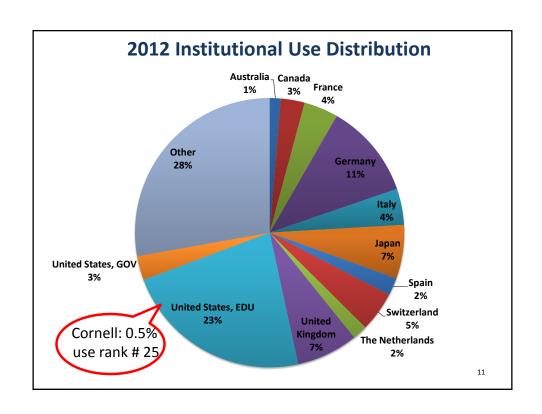


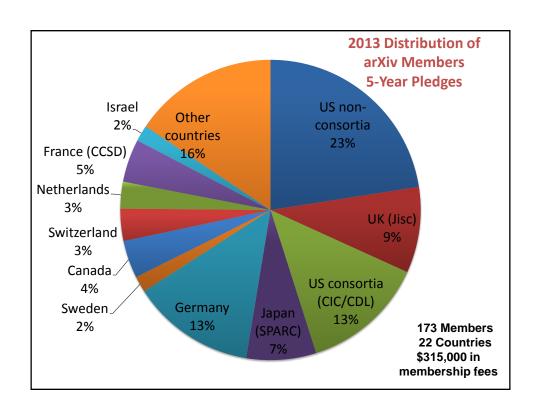
Member Advisory Board

- Advises CUL on issues related to:
- repository management and development
- standards implementation & interoperability
- o development priorities
- o business planning
- o outreach and advocacy

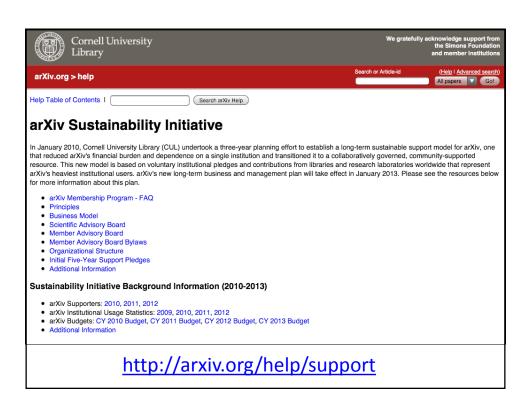
Business Model, 2013-2017

- Cornell University Library
 - \$75,000 per year in support of operational costs
 - in-kind contribution of all indirect costs (37%)
- Simons Foundation
 - \$50,000 per year
 - \$300,000 per year matching grant
- Member Institution
 - annual fees within \$1,500-3,000 range (based on usage ranking)



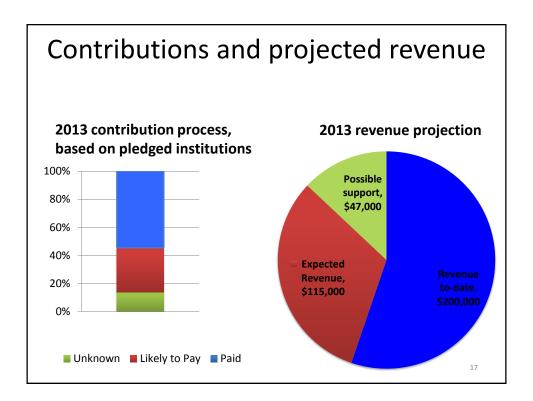






Description			2014	2015	2016	2017
Expense ²						
Staff		220 405	226 400	244 (00	205 452	205 50
User support (staff)	228,405	236,400	244,680	295,453	305,795	
User support (student)	8,581	8,500	9,192	9,514	9,847	
Programming & system mainter	238,669	164,685	170,453	176,415	182,588	
Management & administration		61,835	64,000	66,240	68,558	70,958
	Subtotal Staff Costs	537,490	473,585	490,565	549,939	569,18
Other Direct Costs						
Server costs ³	41,700	43,160	44,670	46,235	47,855	
Network bandwidth & telephony		1,550	1,605	1,660	1,720	1,720
Staff computers, software & supplies		1,865	1,930	2,000	2,070	2,140
Preservation services	r	-	-,			_,
Staff travel		8,280	8,570	8,870	9,180	9,500
Advisory group travel support	Advisory group travel support		21,425	22,175	22,950	23,75
Consulting for business/governa	ince	20,700		,	,	
	tal Other Direct Costs	74,095	76,690	79,375	82,155	84,97
	Total Direct Costs	611,585	550,275	569,940	632,094	654,15
Indirect Costs						
Facilities ⁴		67,274	60,530	62,693	69,530	71,95
Department administration & st	aff support ⁵	159,012	143,072	148,184	164,344	170,08
	Subtotal Indirect Costs	226,286	203,602	210,878	233,875	242,038
	Total Expenses	837,871	753,877	780,817	865,969	896,19

arXiv CY2013 MIDYEAR BUDGET				Midpoint (July2013)	
REVENUE			Budget		
Member contributions			300,000		
Simons Foundation Annual Commitment			50,000		
Simons Foundation Matching Fund			300,000		
Cornell University Library (Direct)			75,000 \$725,000	\$73E 000	
TOTAL REVENUE			\$725,000	\$725,000	
EXPENSES					
Personnel (including benefits)					
User support	2.65 FTE + 0.36 stu	dent			
Programming and system maintenance	2.1 FTE 0.50 FTE				
Management	0.50 FTE	Subtotal Personnel	\$486,332	\$448,332 1	
Non-Personnel			44,250		
Servers (physical & virtual), hardware maintenan Network bandwidth and communication	Servers (physical & virtual), hardware maintenance, storage and backup				
Staff computers, software, supplies and misc. exp		11,942 2,700			
Staff conference/meeting attendance and Advisor			30,500		
		Subtotal Non-Personnel	\$89,392	\$95,392 ²	
TOTAL DIRECT EXPENSES			\$575,724	\$543,724	
ANNUAL OPERATING RESERVES			\$149,276		
Indirect and Volunteer Costs					
College and department administration, staff sup	port (26% of direct costs)	5	149,688		
Facilities (11% of direct costs)4			63,330		
arXiv moderation (130+ moderators, varying time	e commitments)		not tracked		
		Subtotal Indirect Costs	\$213,018	\$201,177.88	
TOTAL EXPENSES (direct + indirect)			\$788,742	\$744,902	
2010-2012 OPERATING RESERVES ⁵					\$109,267



Reserve Funds

1. Operating Funds

- support the service's transition to another institution
- provide a safety net when there is a revenue short-fall
- utilize in the case of an emergency

2. Development Funds

- support special projects

Description	2010	2011	2012	2013	2014	2015	2016	2017
Total Operating Costs (Direct Costs)	\$312,000	\$435,000	\$509,000	\$611,504	\$550,275	\$569,248	\$631,080	\$653,170
Annual Reserve Funds	\$70,985	\$35,611	\$2,671	\$113,495	\$174,725	\$155,750	\$93,920	\$73,330
Cumulative Reserve Funds	\$70,985	\$106,596	\$109,267					

arXiv Organizational Chart: Draft, August 24, 2013

University Librarian *

- · Resolve disputes between CUL, MAB, SAB as they relate to CUL's responsibilities
- · Determine termination and need for transition strategy

Program Director (20%) *

- · Oversee membership, business planning, & governance and coordinate the development of associated policies
- Participate in identifying technical requirements and setting development priorities
- Facilitate MAB and liaise to SAB
- Represent arXiv in library and open access

forums etc. * CUL indirect contribution

Scientific Director (50%)

to be filled · Provide scientific oversight

- Participate in identifying technical requirements and setting development priorities
- · Coordinate the development of associated policies collaboration with the SAB
 - Facilitate SAB & liaise to MAB
 - · Represent arXiv in scientific forums etc.

* Not included in current 5-year budget

org chart reflects main responsibility areas for the key team members, not reporting relationships supervisory relationships to be determined during the interim period

specify

areas

Library Membership*

Manage arXiv membership program (invoices, institutional use, information about sustainability program)

CY13 & CY14 Staffing: 0.10 FTE

* CUL's indirect contribution

Library IT Lead (30%)

- Operate arXiv's technical infrastructure
- Document & maintain arXiv code
- · Partner with related initiatives and services to share tools and software

CY13 Staffing: 0.30 Manager + 2.25 FTE **Programming Staff**

- CY14 is set at @ 1.5 FTE (potential proposal to increase it to 2.5 FTE)
- Cornell IT governance require programmers to report to an IT director

Administrator & User Support Lead

- Technical administration of arXiv
- submission process
- Support subject moderators Assist users and submitters
- Maintain user help pages & process documentation

CY13 & CY14 Staffing: 0.20 Manager + 2.75 FTE Mod/Admin + 0.36 students

Oversight of routine mod/admin task to be discussed