

arXiv Member Advisory Board Annual Meeting

September 2013

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Cornell University
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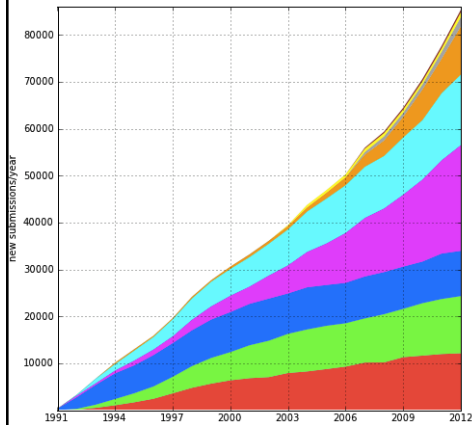
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Goals: Morning

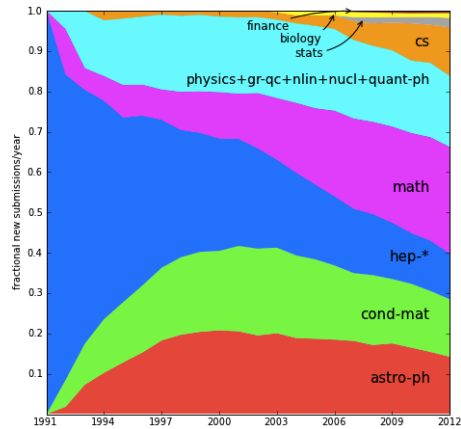
- introductions & arXiv overview
 - arXiv program
 - Moderation/user support
 - IT infrastructure
 - SAB
- business overview
 - CY13 budget
 - reserve fund policy proposal
 - CY14 and new staff lines
 - fund raising strategies
 - outreach to members/potential members
- arXiv user study

2

arXiv Growth (1991-2012)




arXiv Annual Submissions



arXiv New Submission Rate

5



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[Help Table of Contents](#) |

arXiv Sustainability Initiative

In January 2010, Cornell University Library (CUL) undertook a three-year planning effort to establish a long-term sustainable support model for arXiv, one that reduced arXiv's financial burden and dependence on a single institution and transitioned it to a collaboratively governed, community-supported resource. This new model is based on voluntary institutional pledges and contributions from libraries and research laboratories worldwide that represent arXiv's heaviest institutional users. arXiv's new long-term business and management plan will take effect in January 2013. Please see the resources below for more information about this plan.

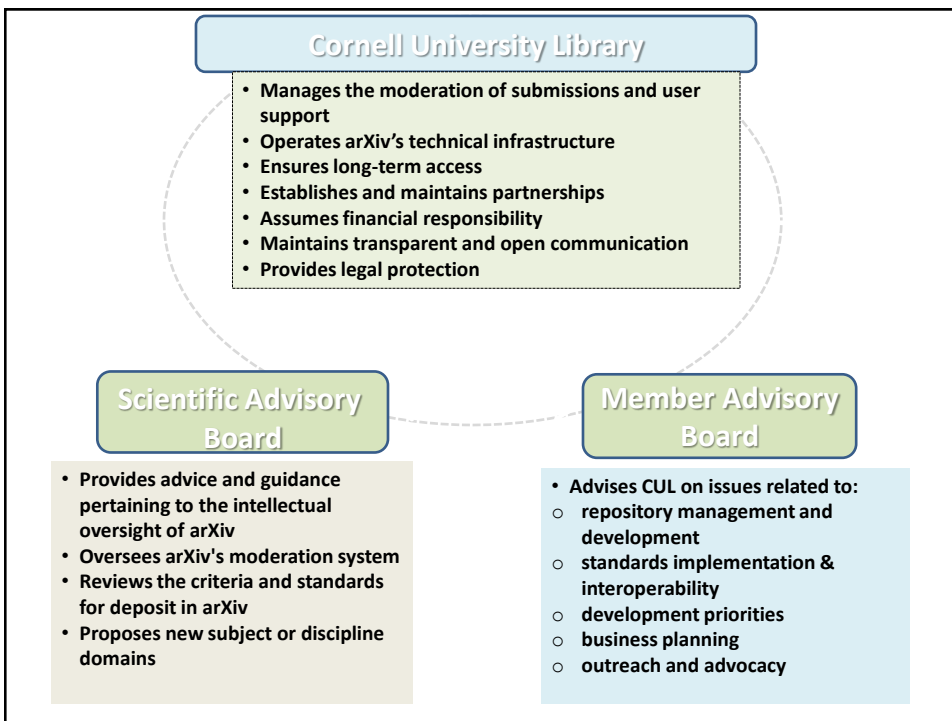
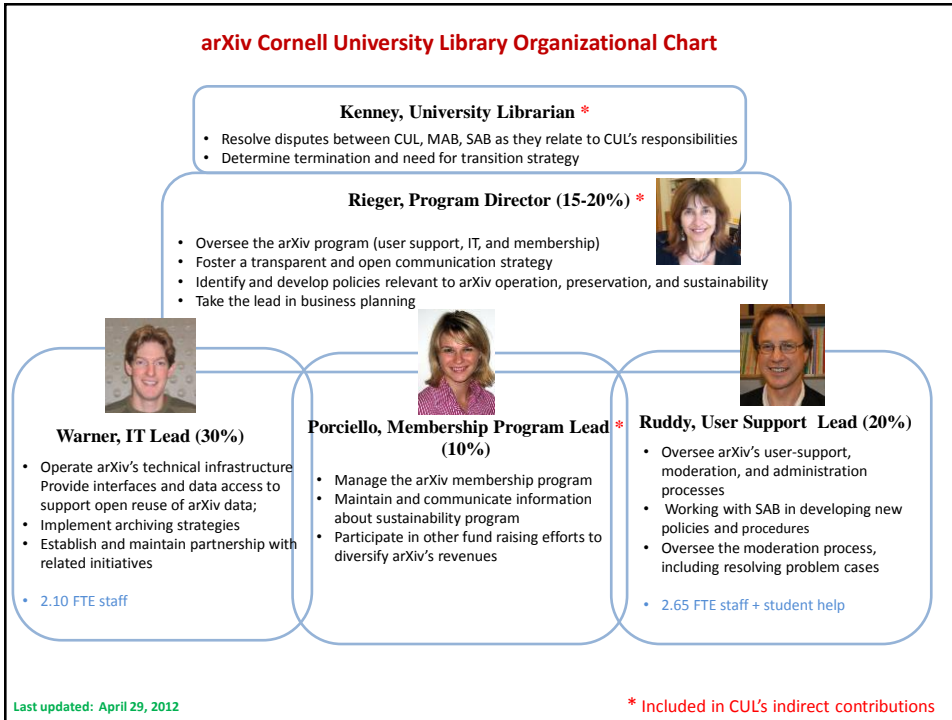
- [arXiv Membership Program - FAQ](#)
- [Principles](#)
- [Business Model](#)
- [Scientific Advisory Board](#)
- [Member Advisory Board](#)
- [Member Advisory Board Bylaws](#)
- [Organizational Structure](#)
- [Initial Five-Year Support Pledges](#)
- [Additional Information](#)

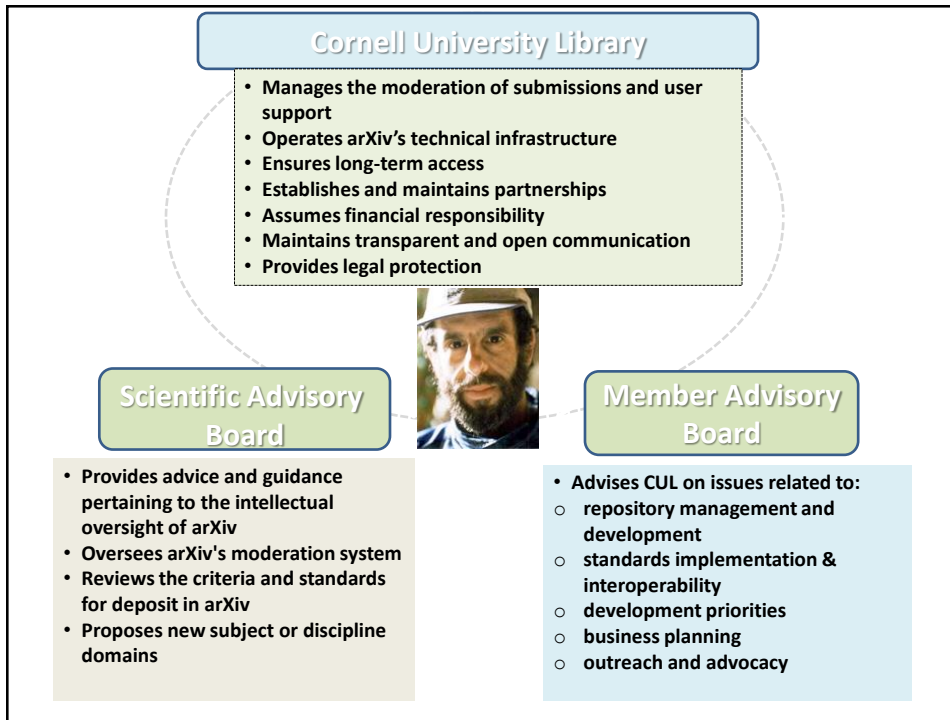
Sustainability Initiative Background Information (2010-2013)

- [arXiv Supporters: 2010, 2011, 2012](#)
- [arXiv Institutional Usage Statistics: 2009, 2010, 2011, 2012](#)
- [arXiv Budgets: CY 2010 Budget, CY 2011 Budget, CY 2012 Budget, CY 2013 Budget](#)
- [Additional Information](#)

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arXiv Cornell University Library Organizational Chart

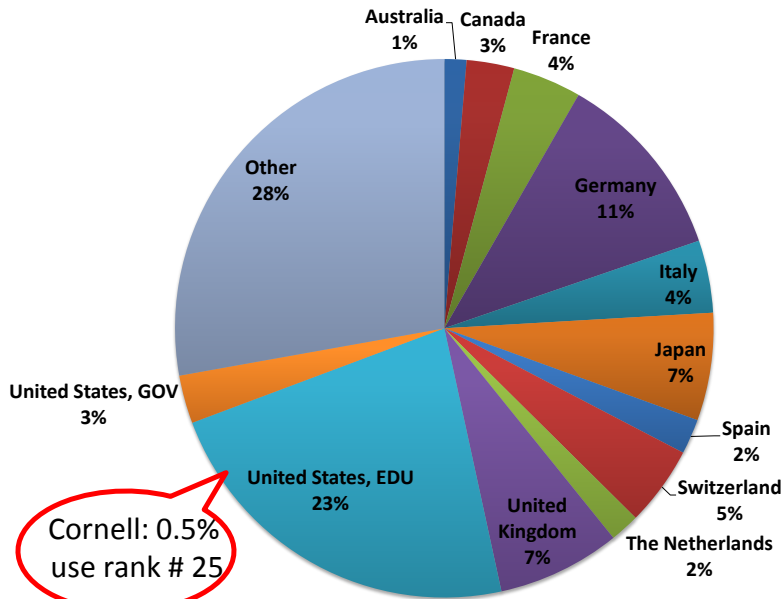




Business Model, 2013-2017

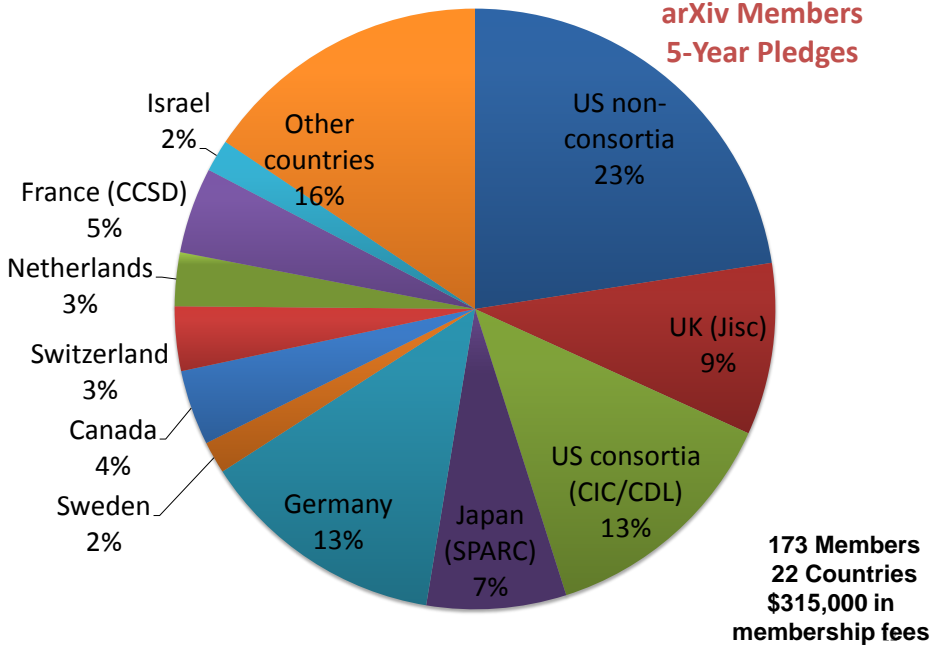
- Cornell University Library
 - \$75,000 per year in support of operational costs
 - in-kind contribution of all indirect costs (37%)
- Simons Foundation
 - \$50,000 per year
 - \$300,000 per year matching grant
- Member Institution
 - annual fees within \$1,500-3,000 range (based on usage ranking)

2012 Institutional Use Distribution




11

2013 Distribution of arXiv Members 5-Year Pledges



BUSINESS REVIEW

13



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Projected Expenses (2013-2017)

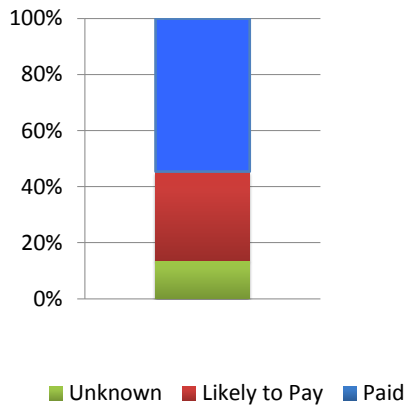
Expense ²	Description	2013	2014	2015	2016	2017
Staff						
	User support (staff)	228,405	236,400 ▲	244,680	295,453	305,795
	User support (student)	8,581 ▲	8,500	9,192	9,514	9,847
	Programming & system maintenance	238,669	164,685	170,453	176,415	182,588
	Management & administration	61,835	64,000	66,240	68,558	70,958
	<i>Subtotal Staff Costs</i>	537,490	473,585	490,565	549,939	569,187
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	-	-	-	-	-
	Staff travel	8,280	8,570	8,870	9,180	9,500
	Advisory group travel support	20,700	21,425	22,175	22,950	23,755
	Consulting for business/governance					
	<i>Subtotal Other Direct Costs</i>	74,095	76,690	79,375	82,155 ▲	84,970
	<i>Total Direct Costs</i>	611,585	550,275	569,940	632,094 ▲	654,157
Indirect Costs						
	Facilities ⁴	67,274	60,530	62,693	69,530	71,957
	Department administration & staff support ⁵	159,012	143,072	148,184	164,344	170,081
	<i>Subtotal Indirect Costs</i>	226,286	203,602	210,878	233,875 ▲	242,038
	Total Expenses	837,871	753,877 ▲	780,817	865,969	896,195

arXiv CY2013 MIDYEAR BUDGET

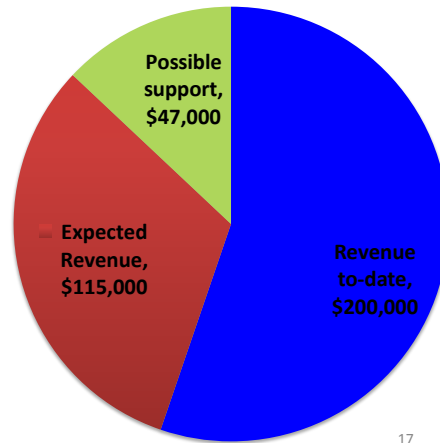
	Projected Budget	Midpoint (July 2013)
REVENUE		
Member contributions	300,000	
Simons Foundation Annual Commitment	50,000	
Simons Foundation Matching Fund	300,000	
Cornell University Library (Direct)	75,000	
TOTAL REVENUE	\$725,000	\$725,000
EXPENSES		
Personnel (including benefits)		
User support	2.65 FTE + 0.36 student	
Programming and system maintenance	2.1 FTE	
Management	0.50 FTE	
<i>Subtotal Personnel</i>	\$486,332	\$448,332 ¹
Non-Personnel		
Servers (physical & virtual), hardware maintenance, storage and backup	44,250	
Network bandwidth and communication	11,942	
Staff computers, software, supplies and misc. expenses	2,700	
Staff conference/meeting attendance and Advisory Board meetings	30,500	
<i>Subtotal Non-Personnel</i>	\$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 support (26% of direct costs) ³	149,688	
Facilities (11% of direct costs) ⁴	63,330	
arXiv moderation (130+ moderators, varying time commitments)	not tracked	
<i>Subtotal Indirect Costs</i>	\$213,018	\$201,177.88
TOTAL EXPENSES (direct + indirect)	\$788,742	\$744,902
2010-2012 OPERATING RESERVES⁵		\$109,267

Contributions and projected revenue

2013 contribution process, based on pledged institutions



2013 revenue projection



17

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

18

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					

19

