Cornell University Library
arXiv Operating Principles

March 28, 2012

1.*General & Editorial Principles*

1.1.arXiv provides an open-access repository of scientific research to authors and researchers worldwide.

1.2.arXiv is a scholarly communication forum informed and guided by scientists and the scientific cultures being served.

1.3.Access to arXiv content via arXiv.org is free to individual end users.

1.4.Individual researchers can deposit their own content in arXiv for free.

1.5.Criteria and standards for depositing content in arXiv are maintained by the Scientific Advisory Board, and deposit is governed by transparent and publicly posted policies and procedures.

1.6.arXiv serves the needs of researchers in physics, mathematics, computer science, quantitative biology, quantitative finance, and statistics. Any expansion into other subjects or disciplines must include scholarly community support, satisfy arXiv's quality standards, and take into consideration its operational capacity and financial requirements.

1.7.Whenever possible, arXiv adopts open-source software and relevant standards and best practices.

2.*Governance Principles*

Role of Cornell University Library

2.1.CUL holds the overall responsibility for arXiv's operation and development, with strategic and operational guidance from its Member Advisory Board (MAB) and its Scientific Advisory Board (SAB).

2.2.Cornell University Library:

2.2.a.Manages the moderation of submissions and user support, including the development and implementation of policies and procedures;

2.2.b.Operates arXiv's technical infrastructure, including system maintenance, standards implementation, and development initiatives for incorporating new features and services.

2.2.c.Coordinates and facilitates the meetings and deliberations of Member and Scientific Advisory boards.

2.2.d.Provides interfaces and data access to support open reuse of arXiv data.

2.2.e. Assumes responsibility for archiving to ensure long-term access and maintains arXiv mirror sites.

2.2.f. Establishes and maintains collaborations with related initiatives to improve services for the scientific community through interoperability and through sharing tools and software.

2.2.g. Administers the arXiv membership program and assumes ultimate financial responsibility for running arXiv.

2.2.h. Maintains a transparent and open communication strategy to engage and inform arXiv's key stakeholders.

2.2.i. Bears responsibility for developing a succession plan in the event it can no longer host the service.

3. Role of the Member Advisory Board

3.1. A Member Advisory Board is elected from arXiv's membership and serves as a consultative body.

3.2. The board represents participating institutions' interests and advises CUL on issues related to repository management and development, standards implementation, interoperability, development priorities, business planning, and outreach and advocacy.

3.3. Membership in arXiv and representation on the MAB is reserved for libraries, research institutions, laboratories, and foundations that contribute to the financial support of the service.

3.4. Voting for representatives to the MAB is open to all eligible member institutions, each of which shall have one vote. Member institutions may delegate their representation to a consortium or other proxy,[1] with the voting representation of such proxies being equal to the number of members represented.

3.5. The MAB is chaired by the arXiv Program Director from CUL and includes two members of the Scientific Advisory Board as non-voting *ex officio* members. The CUL IT and user-support leads attend meetings as non-voting members to participate in discussions and provide background information.

3.6. The MAB reviews and comments on arXiv budgets proposed by CUL.

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[1] Funders may make their payment of membership fees for individual institutions conditional on those institutions designating the funder their proxy. However, monitoring such requirements would be beyond arXiv's purview.

4.Role of the Scientific Advisory Board

4.1.The Scientific Advisory Board is composed of scientists and researchers in areas covered by arXiv. Chairs of subject Advisory Committees serve as *ex officio* members of the board. The selection process for the remaining members will be delineated in arXiv board bylaws.

4.2.The SAB selects a Chair from among its members. The Chair works with the arXiv director of user support to coordinate SAB activities. The roles of the Chair and the arXiv director of user support, with respect to the SAB, will be specified in arXiv board bylaws.

4.3.The SAB:

    4.3.a.   Provides advice and guidance pertaining to the intellectual oversight of arXiv, with particular focus on the policies and operation of arXiv's moderation system.

    4.3.b.   Reviews the criteria and standards for deposit in arXiv and proposes revisions to those criteria and standards as it deems warranted.

    4.3.c.   Proposes new subject or discipline domains to be covered by arXiv and/or reviews proposals for such domains.

    4.3.d.   Provides scientist feedback on arXiv development projects proposed by the MAB.

    4.3.e.   Makes recommendations regarding development projects — in particular, suggestions about improvements to the systems that support submission and moderation processing.

4.4.Two members of the MAB serve as non-voting *ex officio* members of the SAB.

4.5.The CUL IT and user support leads attend SAB meetings as non-voting members to participate in discussions and provide background information.

5.General Governance Principles

5.1.To ensure transparency and accountability, arXiv provides annual operational and financial reports to member institutions.

5.2.The SAB and the MAB operate in parallel, complementing each other and providing essential input for CUL.[2] To this end, the SAB appoints two members to serve as non-voting *ex officio* members of the MAB; the MAB appoints two members to serve as non-voting *ex officio* members of the SAB.

5.3.Members acknowledge that the host institution's legal obligations and fiduciary responsibilities place practical constraints on the formal governance structure and terms.

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[2] Specifics of the composition, terms, selection, and goals of the Scientific Advisory Board and the Member Advisory Board will be articulated in the groups' bylaws (to be developed).

Within these constraints, arXiv is committed to adhering to the stated governance principles, and to review periodically these principles.

6.Economic Principles

6.1.arXiv is supported financially by Cornell University Library and a global collective of institutional members, potentially supplemented by foundation grants.

6.2.CUL has committed to contribute a cash subsidy of $75,000 per year in support of arXiv's operational costs and an in-kind contribution of all indirect costs, which currently represents 37% of total arXiv operating costs.[3]

6.3.Each member institution pledges a five-year initial funding commitment to support arXiv.[4] Membership fees may be adjusted annually to ensure that arXiv is sustained at an acceptable level of service, as determined by Cornell University in consultation with the MAB and the SAB.

6.4.Membership fees are equitable and based on an explicit fee structure.

6.5.Board proposals to CUL for service upgrades or development projects that require supplemental funding (that is, costs additional to the costs incurred for operating and maintaining the service) must identify the source of such funding prior to the upgrade being implemented.

6.6.Any fees for value-added services will be set at a level sufficient to recover the cost of providing the service and to contribute to arXiv operating costs. Supplemental services need to be provided on transparent and non-discriminatory terms, avoiding exclusive partnerships.

6.7.After a successful initial membership offering, if members' financial support falls below the level Cornell deems adequate to maintain arXiv at an acceptable level of quality, reserve funds will be used for two years to allow time for Cornell to secure sufficient funding support. Failure to do so may result in the development of an exit strategy, including the transition of arXiv to another institution.

Revisions:

minor reformatting on July 10, 2012, oyr

deleted a footnote on October 1, 2012, oyr

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[3] CUL's indirect costs include library and departmental administration; staff support (finance/budget, human resources, facility staff, and staff IT); and maintenance, custodial, utility, and other facility related costs for the building.

[4] See the arXiv Membership Program section about the specifics of the five-year commitment.