arXiv Member Advisory Board Annual Meeting

October 2014

Cornell University Library

arXiv.org

Goals: Morning

- introductions & arXiv overview
  - membership program
  - moderation/user support
  - SAB
- business overview
  - CY14/15 budgets
  - 'give button' pilot
  - research councils
  - beyond 5-year plan
- arXiv users' perspectives

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Goals: Afternoon

- arXiv & scholarly communication
- future strategies & directions
- MAB 2-year member terms
- conclusions & next steps
  - assessment of meeting outcomes
  - MAB's role in arXiv's governance
  - future work/meetings

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The warm gas atmosphere of the HD 100546 disk seen by Herschel*

Evidence of a gas-rich, carbon-poor atmosphere?

arXiv:1201.4860v1 [astro-ph.SR] 23 Jan 2012

- **includes 975,000 e-prints (10/14)**
- **2012**
  - **84,000 new submissions**
  - **64 million downloads**
- **2013**
  - **92,500 new submissions**
  - **67 million downloads**

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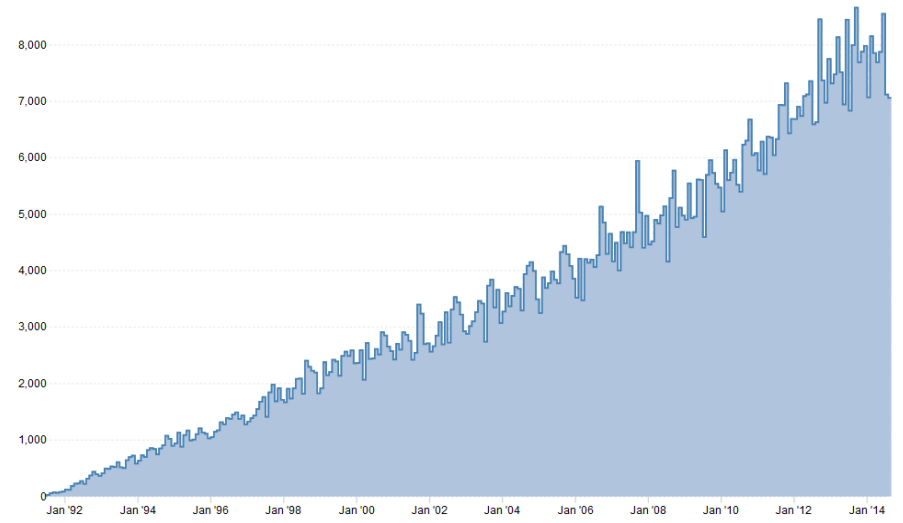
arXiv monthly submission rates [CSV]



http://arxiv.org/help/stats

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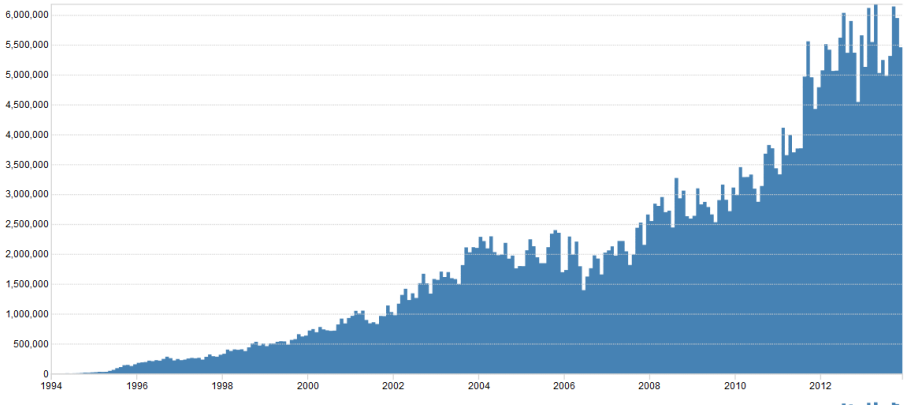
arXiv monthly download rates [CSV]



http://arxiv.org/help/stats

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Governance Model

Cornell University Library (CUL)

- 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 Board (SAB)

- 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 (MAB)

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

arXiv Organizational Chart @ Cornell University Library

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

Program Director (0.20 FTE) *
Oya Y. Rieger
- Oversee membership, business planning, & governance
- 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 (0.40 FTE)
Chris Myers
- Provide scientific oversight
- Participate in identifying technical requirements and setting development priorities
- Coordinate the development of associated policies with the SAB
- Facilitate SAB & liaise to MAB
- Represent arXiv in scientific forums etc.

* Not yet included in current 5-year budget

Library Membership (0.10 FTE) *
Jaron Porciello
- Manage arXiv membership program (invoices, institutional use, information about sustainability program)

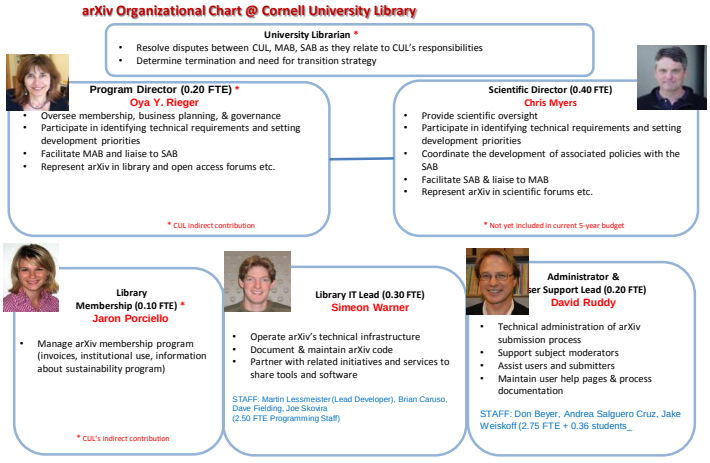
* CUL's indirect contribution

Library IT Lead (0.30 FTE)
Simeon Warner
- Operate arXiv's technical infrastructure
- Document & maintain arXiv code
- Partner with related initiatives and services to share tools and software

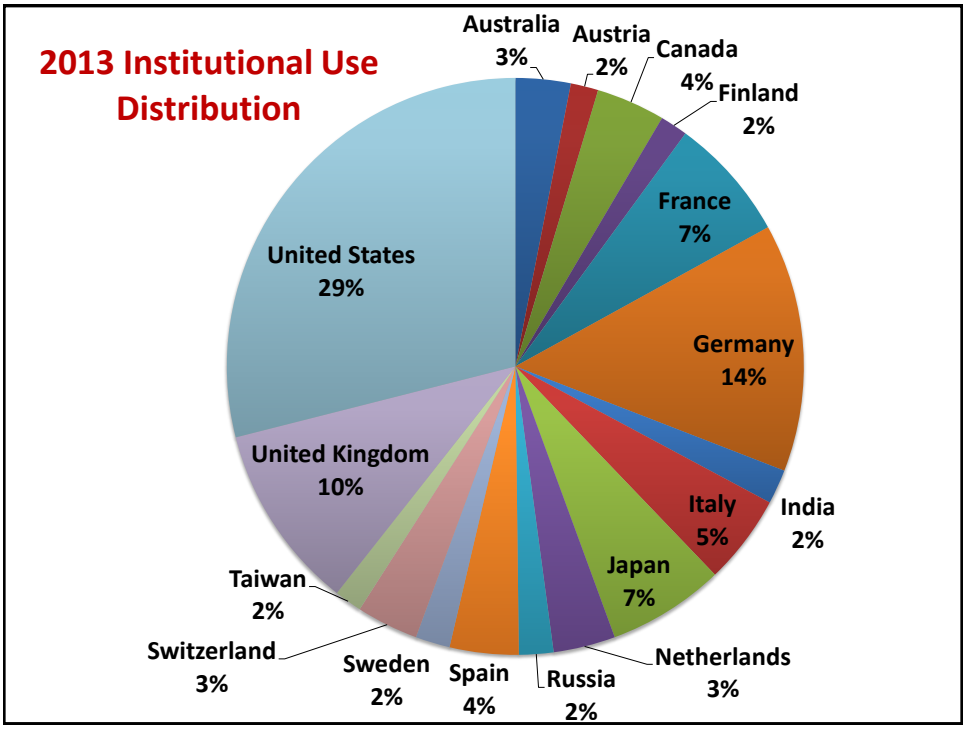
STAFF: Martin Lessmeister (Lead Developer), Brian Caruso, Dave Fielding, Joe Skovira (2.50 FTE Programming Staff)

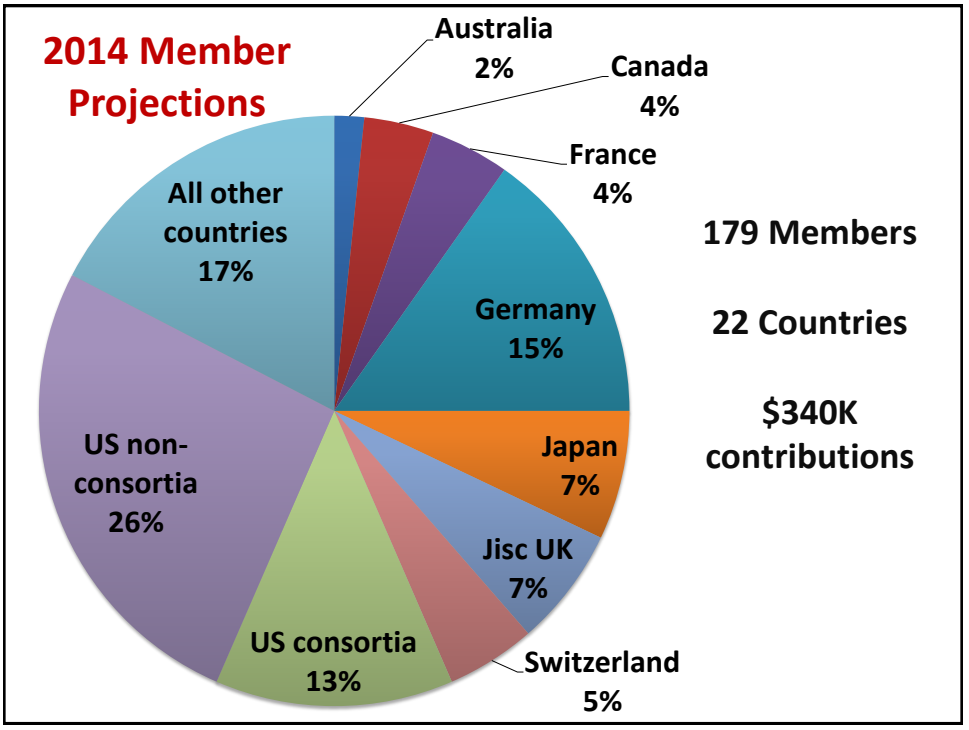
Administrator & Support Lead (0.20 FTE)
David Ruddy
- Technical administration of arXiv submission process
- Support subject moderators
- Assist users and submitters
- Maintain user help pages & process documentation

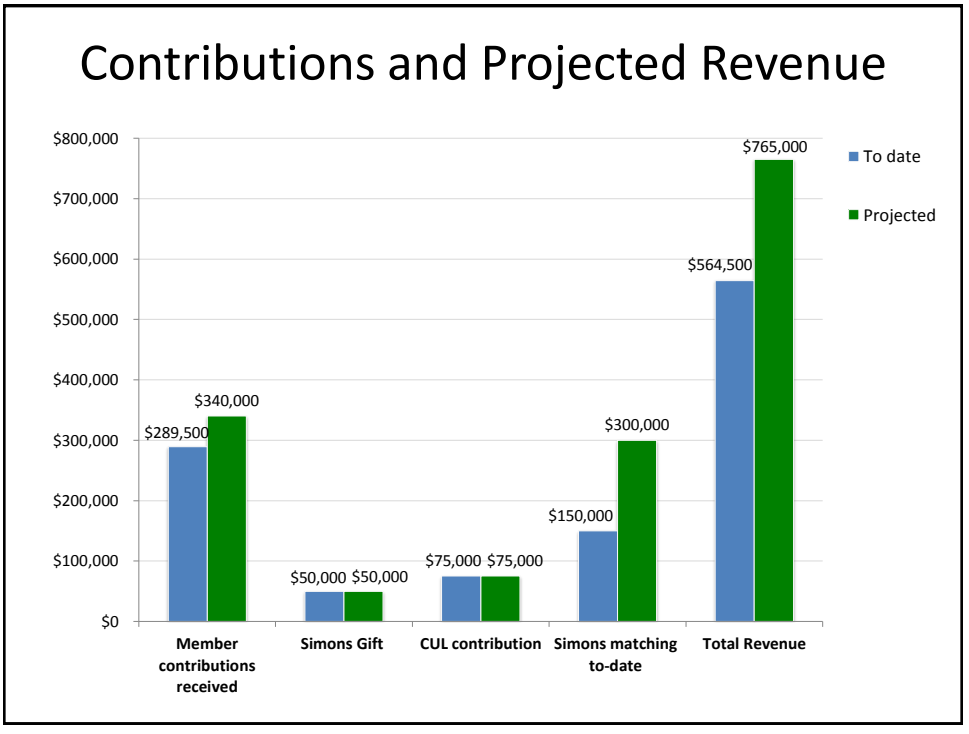
STAFF: Don Beyer, Andrea Salguero Cruz, Jake Weiskoff (2.75 FTE + 0.36 students



- Paul Ginsparg
- 150 moderators




2014 Member Projections
Australia 2%
Canada 4%
France 4%
Germany 15%
Japan 7%
Jisc UK 7%
Switzerland 5%
US consortia 13%
US non-consortia 26%
All other countries 17%
179 Members
22 Countries
$340K contributions


Contributions and Projected Revenue
$800,000
$700,000
$600,000
$500,000
$400,000
$300,000
$200,000
$100,000
$0
$289,500
$340,000
$50,000
$50,000
$75,000
$75,000
$150,000
$300,000
$564,500
$765,000
To date
Projected
Member contributions received
Simons Gift
CUL contribution
Simons matching to-date
Total Revenue

2013 Annual Meeting

- Scientific Director
- Reserve policy
- 2013 and 2014 budgets
- Roadmap – prioritization (SAB engaged)
- MAB Subgroups:
  - Fund raising policies & strategies
  - Tier model and membership structure
- Sustainability vs Innovation

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Scientific Director (0.40 FTE)

Chris Myers

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

10am-11:15 am

business model overview

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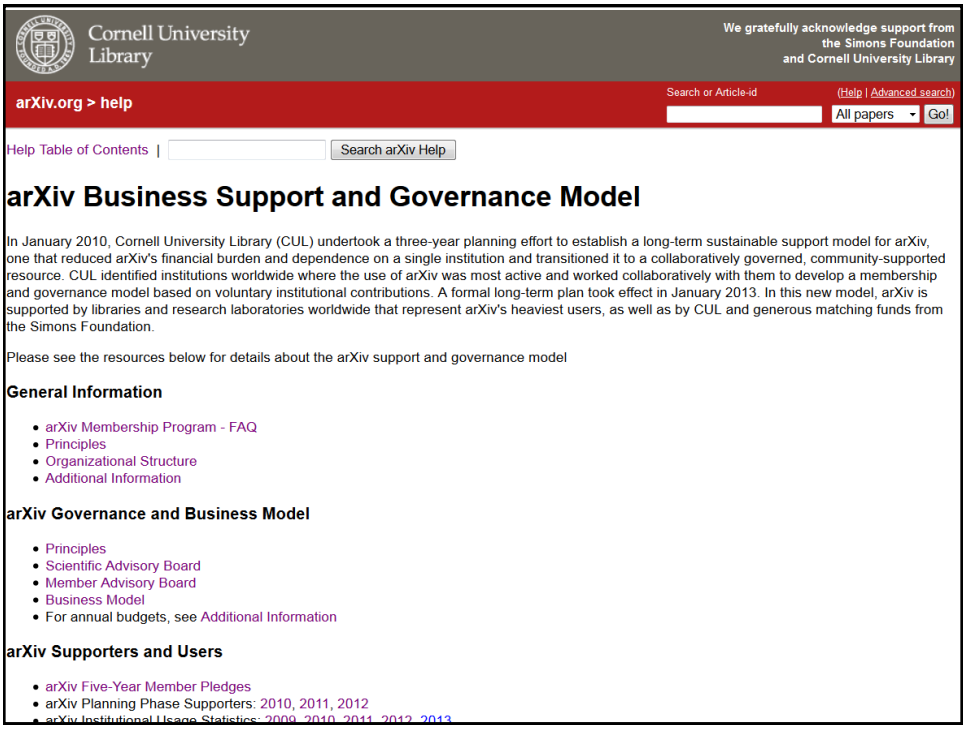

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arXiv.org > help

Search or Article-id (Help | Advanced search) All papers Go!

Help Table of Contents | Search arXiv Help

arXiv Business Support and Governance Model

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. CUL identified institutions worldwide where the use of arXiv was most active and worked collaboratively with them to develop a membership and governance model based on voluntary institutional contributions. A formal long-term plan took effect in January 2013. In this new model, arXiv is supported by libraries and research laboratories worldwide that represent arXiv's heaviest users, as well as by CUL and generous matching funds from the Simons Foundation.

Please see the resources below for details about the arXiv support and governance model

General Information

- arXiv Membership Program - FAQ
- Principles
- Organizational Structure
- Additional Information

arXiv Governance and Business Model

- Principles
- Scientific Advisory Board
- Member Advisory Board
- Business Model
- For annual budgets, see Additional Information

arXiv Supporters and Users

- arXiv Five-Year Member Pledges
- arXiv Planning Phase Supporters: 2010, 2011, 2012
- arXiv Institutional Usage Statistics: 2009, 2010, 2011, 2012, 2013

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)

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Projected Expenses (2013-2017)

Description	2013	2014	2015	2016	2017
Expense[2]					
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
Subtotal Staff Costs	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					
Subtotal Other Direct Costs	74,095	76,690	79,375	82,155	84,970
Total Direct Costs	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
Subtotal Indirect Costs	226,286	203,602	210,878	233,875	242,038
Total Expenses	**837,871**	**753,877**	**780,817**	**865,969**	**896,195**

arXiv CY2014 MIDYEAR BUDGET			Projected Budget	Midpoint (July 2014)
REVENUE				
	Member contributions		$330,000	$340,000
	Simons Foundation Annual Commitment		$50,000	$50,000
	Simons Foundation Matching Fund		$300,000	$300,000
	Cornell University Library (Direct)		$75,000	$75,000
	TOTAL REVENUE		**$755,000**	$765,000
EXPENSES				
	Personnel (including benefits) [1]			
	User support	2.65 FTE + 0.36 student		
	Programming and system maintenance	2.5 FTE		
	Scientific Director	.25-.40 FTE		
	Management	0.52 FTE		
	General Physics moderator	Contract, 5hr/wk		
		Subtotal Personnel	**$549,000**	$576,000
	Non-Personnel			
	Servers (physical & virtual), hardware maintenance, storage and backup		$36,000	$36,000
	Network bandwidth and communication		$8,706	$8,706
	Staff computers, software, supplies and misc. expenses		$3,000	$3,000
	Advisory Board meetings (SAB and MAB) and staff conference travel		$50,000	$40,000
		Subtotal Non-Personnel	**$97,706**	**$87,706**
	TOTAL DIRECT EXPENSES		**$646,706**	$663,706
	Indirect and Volunteer Costs			
	College and department administration, staff support (26% of direct costs)[2]		$168,144	$172,564
	Facilities (11% of direct costs)[3]		$71,138	$73,008
	arXiv moderation (130+ moderators, varying time commitments)		*not tracked*	
		Subtotal Indirect Costs	**$239,281**	$245,571
	TOTAL EXPENSES (direct + indirect)		**$885,987**	$909,277

includes $144,500 for SD and 1 FTE additional programmer

arXiv CY2015 PROPOSED BUDGET				Projected Budget
REVENUE				
	Member contributions			$340,000
	Simons Foundation Annual Commitment			$50,000
	Simons Foundation Matching Fund			$300,000
	Cornell University Library (Direct)			$75,000
	TOTAL REVENUE			$765,000
EXPENSES				
	Personnel (including benefits)			
		User support	2.5 FTE + 0.36 student	
		Programming and system maintenance	2.5 FTE	
		Scientific Director	.40 FTE	
		Management	0.52 FTE	
		Gen-ph moderator	Contract, 5hr/wk	
			Subtotal Personnel[1]	$653,000
	Non-Personnel			
		Servers (physical & virtual), hardware maintenance, storage and backup		$36,000
		Network bandwidth and communication		$8,706
		Staff computers, software, supplies and misc. expenses		$3,000
		Advisory Board meetings (SAB and MAB) and staff conference travel		$50,000
			Subtotal Non-Personnel	$97,706
	TOTAL DIRECT EXPENSES			**$750,706**
	Indirect and Volunteer Costs			
		College and department administration, staff support (26% of direct costs)[2]		$195,184
		Facilities (11% of direct costs)[3]		$82,578
		arXiv moderation (130+ moderators, varying time commitments)		not tracked
			Subtotal Indirect Costs	$277,761
	TOTAL EXPENSES (direct + indirect)			$1,028,467

includes 0.4 FTE SD + 1 FTE programmer (to be paid from Development Reserves)

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Projected arXiv Staff FTE, 2013 – 2017

Actual Staffing & Planned Changes

Position Description	2013	2014	2015	2016	2017
User support (staff) + 0.36 student assistant	3.0 2.65	3.0 2.75	3.0 2.5	3.5 2.5	3.5 2.5
Programming & system maintenance	2.25 2.1	1.5 2.5	1.5 2.5	1.5 2.5	1.5 2.5
Management & administration	0.5	0.5	0.5	0.5	0.5
Scientific director	--	0.4 (partial year)	0.4	0.4	0.4

* CY2015-2017 staffing configuration to be reviewed

Reserves

2010-2017=$1,063,000

1. Operating Reserves

- support the service's transition to another institution
- provide a safety net when there is a revenue short-fall
- accumulate $300,000 by the end of 5-year plan (2017)

2. Development Reserves

- support special projects
- Scientific Director + I FTE programmer
  - CY14-17 Costs=$744,000

$1,063,000 – ($300,000 + $744,000) = $19,000

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	ACTUAL					PROJECTED		
Description	2010	2011	2012	2013	2014	2015	2016	2017
Operating Costs (Direct Costs)	$312,000	$435,000	$509,000	$503,000	$520,000 + $144,500	$569,000 +$200,000	$631,000 +$200,000	$653,000 +$200,000
Revenue	$383,000	$470,000	$511,000	$770,000	$765,000	$765,000	$765,000	$765,000

0.4 SD and 1 FTE additional programmer costs

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MAB Tier Model & Membership Structure Subgroup

- **Group Members:**Tim Klassen, Tommy Ohlsson, Esther Tobschall, Jaron Porciello, Oya Rieger (coordinator)
- **Subgroup Goal:** Assess and revise our tier model to consider other classes of member categories such as scientific societies
- **Outcomes**: (to be implemented during the next 5-year plan)
  - Don't add a 5th tier (for users 200 and below)
  - Add research councils to our campaign

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MAB Fund Raising Policies and Strategies Subgroup

- **Group Members:** Catriona Cannon, Eva Isaksson, Philip Kent, Jaron Porciello, Oya Rieger (coordinator)
- **Subgroup Goal:** Discuss strategies to bring in additional income including collaborations with publishers and societies, adding a Give button to arXiv, and other possible revenue sources.
- **Outcomes:**
  - Proposal top run a Give pilot to test the concept

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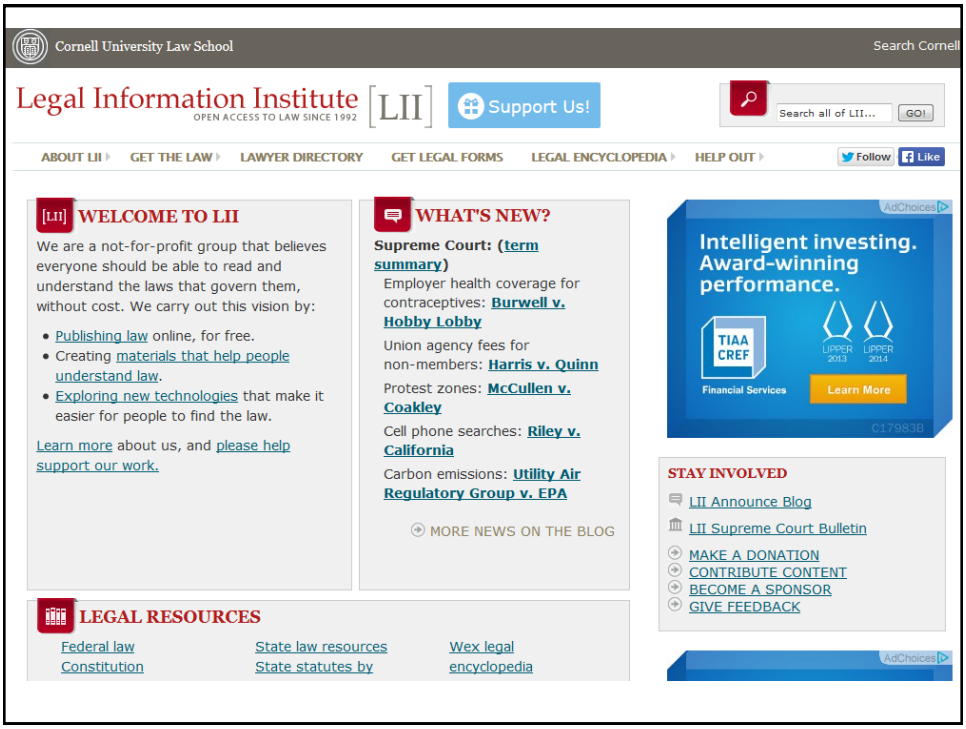

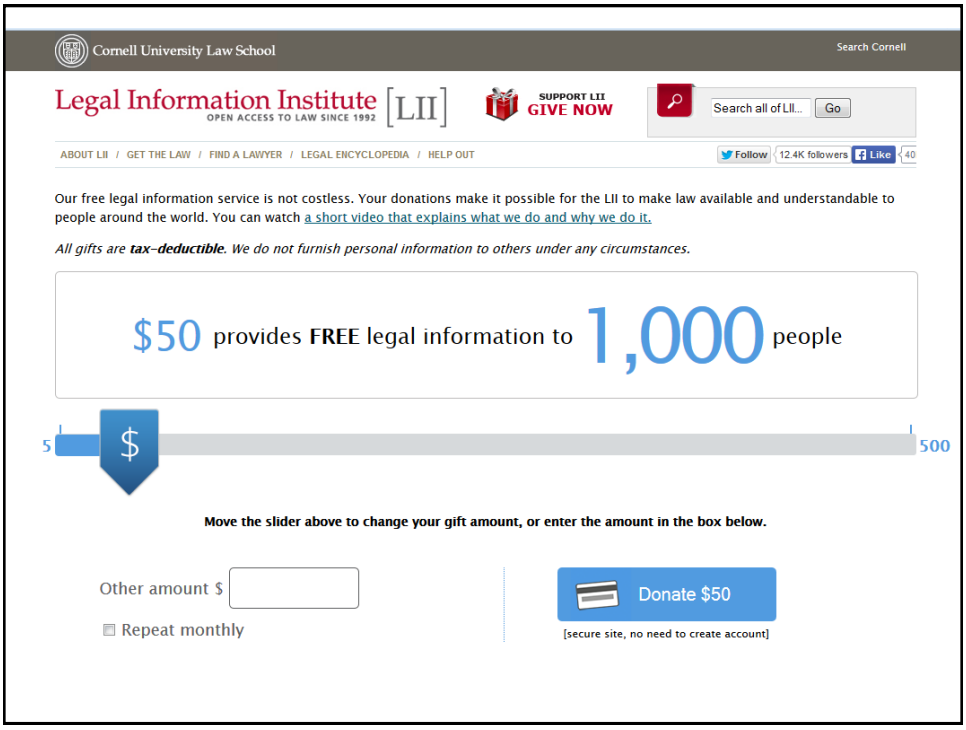
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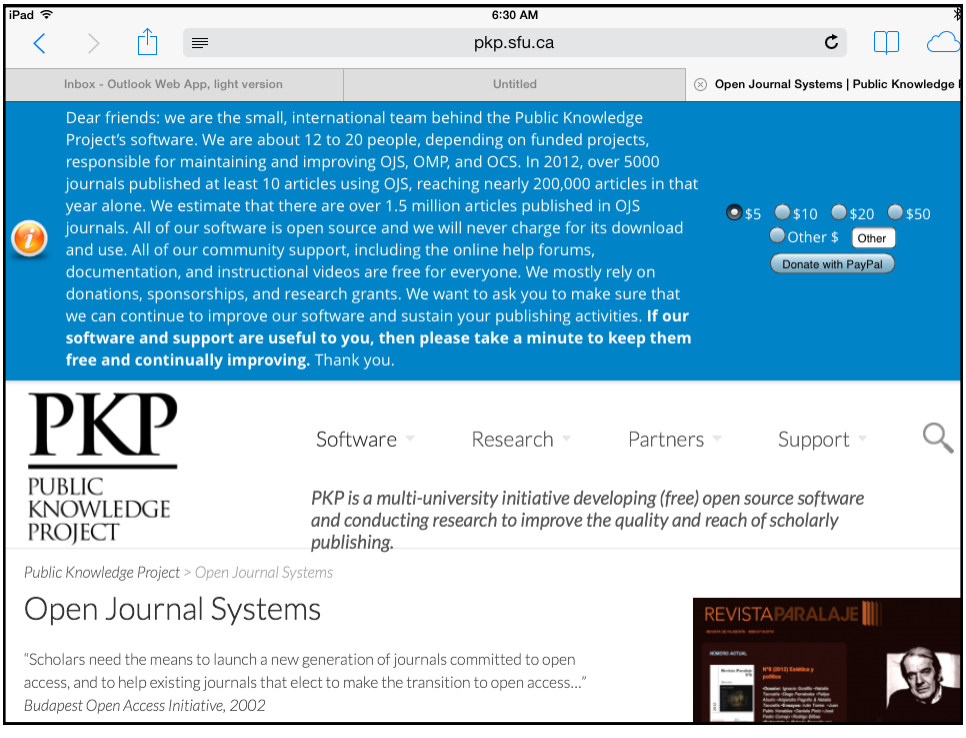
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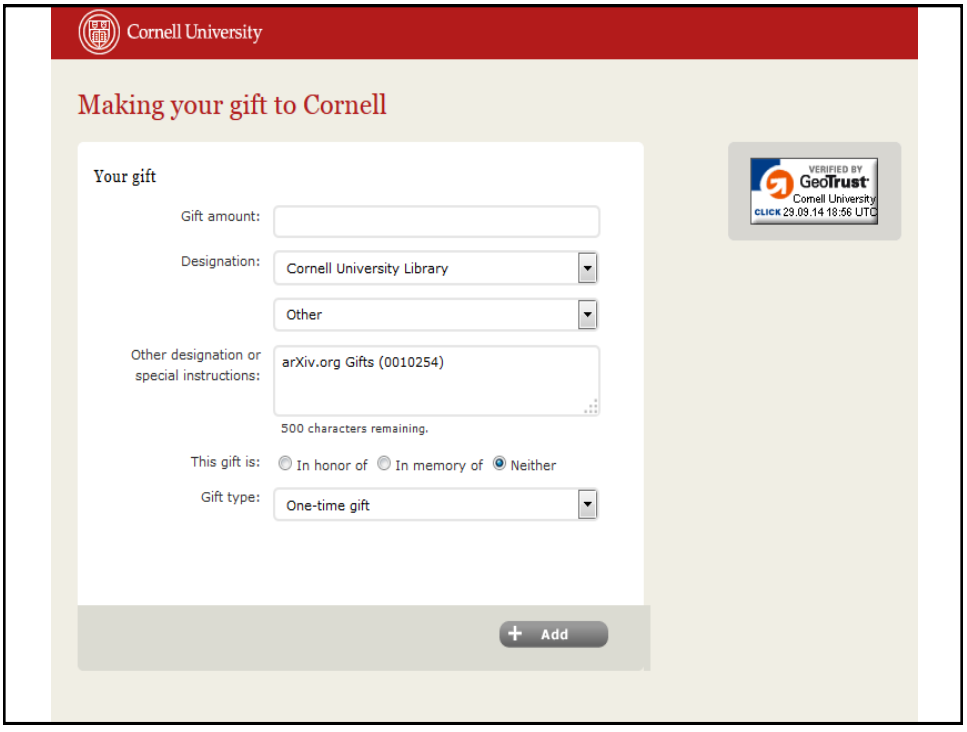

arXiv – user perspectives

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- Is arXiv meeting scientists' needs as readers and submitters?
- Any features that arXiv is not providing and needed by scientists?
- Are there any other online databases or repositories that scientists prefer to arXiv?
- What do you see as graduate students' up-and-coming needs?
- Opinions on arXiv's quality parameters

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