arXiv MAB Annual Meeting

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arXiv.org



- 1. arXiv is the single most important research tool for my work
- I sincerely wish academic journals could try to emulate the cleanness, convenience, and user-friendly nature of the arxiv.
- 3. arXiv is an amazing service which does a huge good and whose utility is underappreciated. Thank you for your good work!
- 4. I love arXiv. You're doing a hell of a service to many people!
- 5. I appreciate the quality control the arXiv moderators and realize that they do this "for free"
- 6. Arxiv is a great tool for disseminating research to the community. Thanks for all your work!
- 7. Thanks for the hard work of many people over the years. My work life would be very different without your efforts.
- 8. arXiv is so important in its current function, I don't want additional functionality to compromise the efficiency, stability, and financial security of the current model.
- 9. I think the arxiv is a wonderful service and the most important thing is that its current form is maintained.
- 10.The ArXiv is a valuable scientific resource, particularly for those without institutional subscriptions to the vast number of journals.
- 11.arXiv provides a unique service which is incredibly valuable. The focus should remain on quickly and freely disseminating information
- 12.I'm very glad arXiv exists. Thank you!!
- 13. arXiv is an incredible resource! Do not ruin it by making unnecessary changes.
- 14.I appreciate very much and thank for the invaluable services of arXiv.
- 15.1 wouldn't be where I am without you guys. I am indebted to you all!
- 16. The arXiv is the obvious answer to "what is the best-preserved store of our most-certain knowledge?"
- 17. You folks provide an important service to those of us that do not have institutionally deep pockets, and I thank you.
- 18.I am very happy with the current form of the arXiv webpage, including its policies.
- 19. Thank you very much for your excellent service.
- 20.1 appreciate the good work that keeps this vital resource available to the community.
- 21. This is a great service. Thank you and keep up the excellent work!
- 22. The arXiv was a revolution, and still is ...
- 23. Thanks and congratulations for an outstanding contribution to the scientific process!
- 24.I am not very satisfied, rather extremely satisfied. Do you remember before Google? It's sort of like that with the arxiv: so hard to get papers before publication.
- 25.Just want to say thanks for all your efforts. I'm an amateur physicist and use your site very frequently.

quotes from 2016 arXiv user survey

MAB Meeting Goals

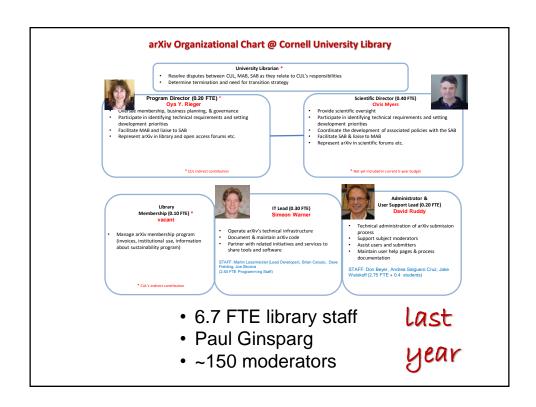
- Introductions and arXiv Overview
- Beyond 2013-2017 Business Plan: Planning for Next Business Cycle
- Working lunch Next-Gen arXiv
- MAB Executive Session
- Conclusions

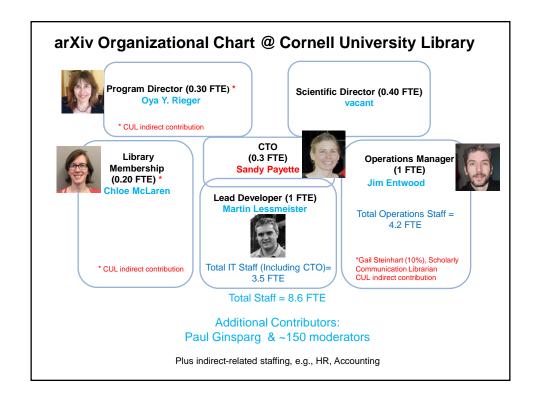
open access to 1.2 million e-prints in Physics, Mathematics, Computer Science, Quantitative Biology, Quantitative Finance and Statistics



- 2012
 - 84,000 new submissions
 - 64 million downloads
- 2013
 - 92,500 new submissions
 - 67 million downloads
- 2014
 - 97,000 new submissions
 - 90 million downloads*
- 2015
 - 105,000 new submissions
 - 139 million downloads*
- * The numbers are sensitive to robot downloads and it is hard to remove all from our numbers so potential significant over- 5 counting we put less effort in cleaning up this data 2014 on.

Organizational g Business Model





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)

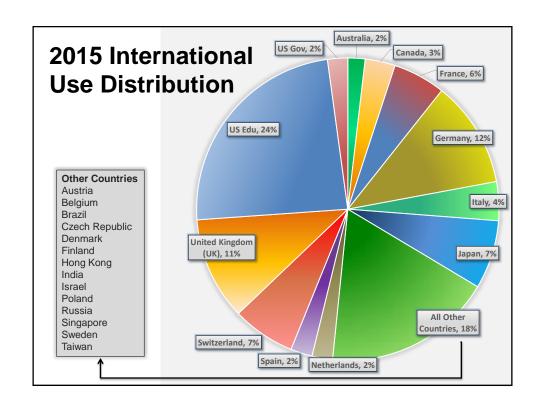
- Provides advice and guidance pertaining to the intellectual oversight of arXiv
- · Oversees arXiv's moderation system
- Reviews the criteria and standards for deposit in arXiv
- Proposes new subject or discipline domains

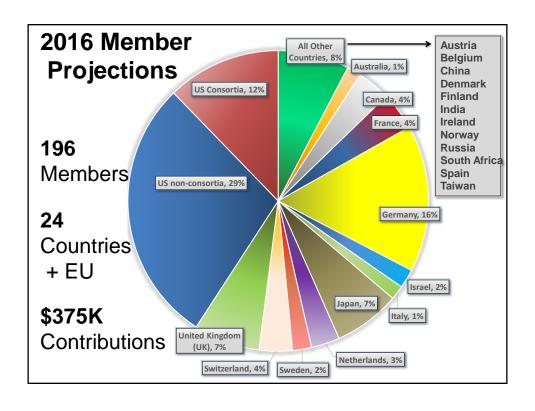
Member Advisory Board (MAB)

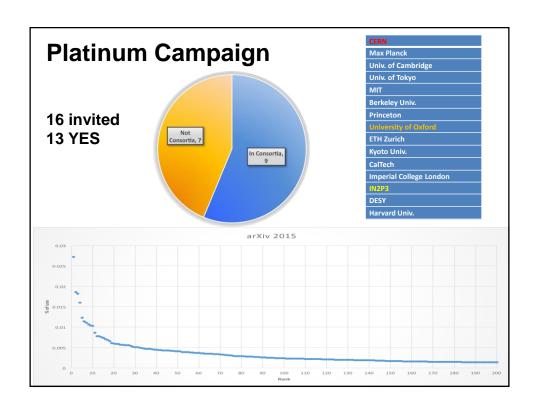
- Advises CUL on issues related to:
- repository management and development
- standards implementation & interoperability
- o development priorities
- business planning
- o outreach and advocacy

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 (increased to \$100,000 per year in 2016)
 - \$300,000 per year matching grant
- Member Institution
 - annual fees within \$1,500-3,000 range (based on usage ranking)

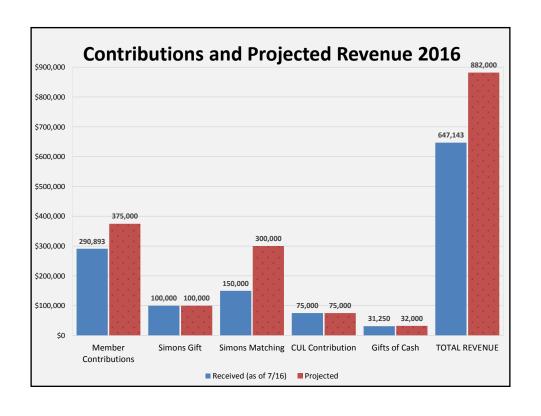








Results of the Online Giving Campaign 480 donors gave \$30,675 Amount Gift Amount # Gifts Raised \$0.83 \$0.83 \$225.00 \$5.00 45 \$7.00 \$7.00 \$1,140.00 \$10.00 114 \$15.00 11 \$165.00 Day \$20.00 82 \$1,640.00 Date # Donors Amount Raised \$24.00 \$24.00 Monday 27 June 67 \$6,415.00 \$25.00 \$725.00 Tuesday 28 June 99 \$6,035.00 \$30.00 \$600.00 \$35.00 Wednesday 29 June 73 \$2,957.00 \$70.00 \$40.00 \$160.00 Thursday 50 \$6,890.00 \$50.00 \$3,950.00 79 50 \$1,580.00 \$60.00 \$60.00 Saturday 27 \$965.00 \$75.00 \$150.00 2 \$100.00 \$7,400.00 39 \$1,733.83 \$101.00 \$101.00 4 July \$2,529.00 Monday \$108.00 \$108.00 \$1,571.00 \$200.00 \$1,000.00 \$250.00 \$250.00 \$30,675.83 Total \$400.00 \$400.00 \$500.00 \$500.00 \$1,000.00 \$3,000.00 \$4,000.00 \$4,000,00 \$5,000.00 \$5,000,00 481* \$30,675.83 *1 individual gave twice

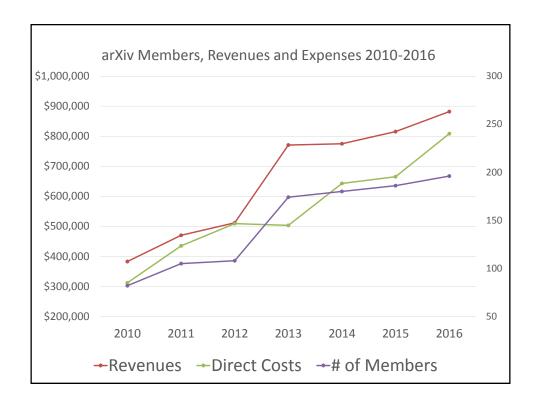


	Description	2013	2014	2015	2016	2017
xpense ²						
Staff			_			
	User support (staff)	228,405	236,400	244,680	295,453	305,795
	User support (student)	8,581	8,500	9,192	9,514	9,847
	Programming & system maintenance	238,669	164,685	170,453	176,415	182,588
	Management & administration	61,835	64,000	66,240	68,558	70,958
	Subtotal Staff Costs	537,490	473,585	490,565	549,939	569,187
Other Di	rect Costs					
Other Bu	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	170,08
	Subtotal Indirect Costs	226,286	203,602	210,878	233,875	242,038
	Total Expenses	837,871	753,877	780,817	865,969	896,195

	016 MIDYEAR BUDGET				Projected Budget	Midpoint (August)
EVENUE						
	Member contributions				\$350,000	\$375,0
	Simons Foundation Annu	ual Commitment			\$100,000	\$100,0
	Simons Foundation Mate	ching Fund			\$300,000	\$300,0
	Cornell University Library	y (Direct)			\$75,000	\$75,0
	Gifts of Cash					\$32,0
	TOTAL REVENUE				\$825,000	\$882,0
XPENSES						
	Personnel (including ben					
		Program Director & Membership Coordinator	0.4 FTE	Considered Indirect Expense		
		Operations Manager	1 FTE			
		User support	2.5 FTE + 0.60FTE student			
		IT Lead, Programming, Systems, UX Specialist	2.3 FTE + Contract			
		Programming and Systems	1 FTE			
		Scientific Director	.4 FTE			
		Gen-ph moderator	Contract			
		User study & fundraising support	Contract			
				Subtotal Personnel	\$716,000	\$720,9
			Fund	ded by Development Reserves	\$230,000	\$193,3
	Non-Personnel					
		Servers (physical & virtual), hardware maintenance, st	orage and backup		\$44,000	\$41,3
		Network bandwidth and communication			\$1,000	\$1,0
		Staff computers, software, supplies and misc. expense		\$3,000	\$3,	
		Meetings (SAB and MAB), Workshops, Conferences an	d staff conference travel		\$40,000	\$41,5
				Subtotal Non-Personnel	\$88,000	\$87,3
	TOTAL DIRECT EXPENSES	S			\$804,000	\$808,2
	Indirect and Volunteer C					
		College and department administration, staff support	(26% of direct costs) ²		\$209,040	\$210,
		Facilities (11% of direct costs) ³			\$88,440	\$88,9
		arXiv moderation (130+ moderators, varying time com	mitments)		not tracked	not trac
				Subtotal Indirect Costs	\$297,480	\$299,0
	TOTAL EXPENSES (direct	t + indirect)			\$1,101,480	\$1,107,3
ESERVES	4				CY15 Final	CY16 Projected
	Operating Reserves	·			\$200,000	\$250,0
	Development Reserves				\$456,400	\$480,0

REVENUE			
Member contri	butions		\$375,000
Simons Founda	tion Annual Commitment		\$100,000
Simons Founda	tion Matching Fund		\$300,000
Cornell University Library (Direct)			\$75,000
Gifts			\$50,000
TOTAL REVENU	IE		\$900,000
EXPENSES	Ī		,,
Personnel (incl	uding benefits) ¹		Salary/Benefits
r ersonner (mer	Program Director, Membership.	0.3FTE Rieger, 0.2FTE McLaren, 0.1FTE Steinhart,	\$94.000
	Finance, Policy	0.15FTE Bolduc	Considered CUL Indirect
	Scientific Director	0.4FTF	considered coe manee
1		1FTE Entwood, 1FTE Weiskoff, 1FTE Salguero,	
	Operations Manager & User Support	0.5FTEGoldweber, 0.6FTE students	
	operations manager at oser support	0.51 TEGOIGWEDEL, 0.01 TE STUGENTS	
	CIO, IT Lead, Programming, Systems,	0.3FTE Payette, 1FTE Lessmeister, 1FTE Caruso,	
	UX	0.5FTE Fielding, 0.5FTE Perez, 0.20FTE Baker (CIC)	
	Gen-ph moderator	olor re ricially, olor re refer, oleor re baker (ele)	
	Gen-pir moderator		
	arXiv-NG & Fund Raising Support		
	arxiv ito a rana nasing support	Subtotal Personnel	\$805,794
		Subtotal Personnel w/Indirect	\$900.164
Non-Personnel		Subtoturi Ersenner Wynnumeet	\$300,25
	Servers (physical & virtual), hardware		
	maintenance, storage and backup		\$44.000
	7 9		
	Staff computers, software, supplies,		
	network, and misc, expenses		\$4,000
			* -,
	Meetings, workshops, training		\$40,000
	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	Subtotal Non-Personnel	\$88,000
	1		,,
TOTAL DIRECT E	KPENSES		\$893,794
Indirect and Volu	inteer Costs		
	College and department administration,		
	staff support (26% of direct costs) ²		\$232,386
	Facilities (11% of direct costs) ³		\$98,317
	,	Subtotal Indirect Costs	\$330,704
	(direct + indirect)		\$1,224,498

Budget in a Nutshell								
Description	2010	2011	2012	2013	2014	2015	2016	2017
Projected Costs	\$312,000	\$435,000	\$509,000	\$503,000	\$505,000	\$507,500	\$614,900	\$639,000
	-	-	-	-	\$138,028	\$157,500	\$193,400	\$255,000
Total Direct Costs	\$312,000	\$435,000	\$509,000	\$503,000	\$643,000	\$665,000	\$808,300	\$894,000
Revenue	\$383,000	\$470,000	\$511,000	\$770,000	\$775,000	\$815,500	\$882,000	\$900,000
Operating Reserves				\$100,000	\$150,000	\$200,000	\$250,000	\$256,000
Development Reserves				\$277,000	\$360,000	\$456,300	\$480,000	\$480,000



Reserves - 2010-2016

1. Operating Reserves

- support the service's transition to another institution
- provide a safety net when there is a revenue short-fall
- estimated total = \$250,000

2. Development Reserves

- support special projects & unforeseen expenses (e.g., Scientific Director position)
- estimated total = \$480,000

MAB Subgroups: With Appreciation

Fundraising for System Revamp

Subgroup Members: Tracy (chair), Steve, Carol, Jenny

Charge: Identification of new revenues through the consideration of funding

sources

Deliverable: Annotated listing of various fund raising sources

Fundraising Strategies for CY2016

Subgroup Members: Philip (chair), Esther, Karen, Tim, Molly

Charge: Develop fundraising Strategies for CY2016 as Cornell starts the next

membership drive in January'16.

Deliverable: Platinum Membership Drive

Technological Infrastructure & User Experience Review

Subgroup Members: Lucie (chair), Tommy, Eva

Charge: Assessment of arXiv's technological infrastructure, interfaces, resources,

and workflows.

Deliverable: Selection of IT experts to be invited for the workshop

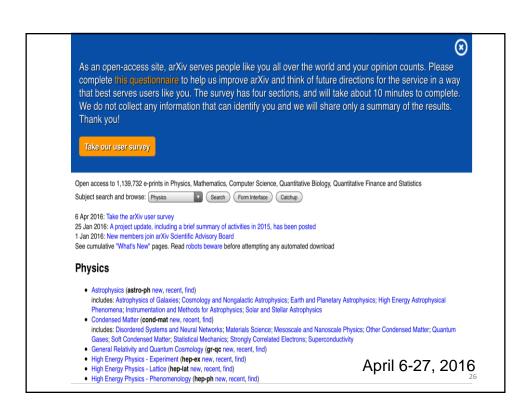
23



MAB/SAB Survey:

arXiv is struggling to keep up with the core mission and it is therefore essential to keep focused on maintaining and improving fundamental systems, functionality, moderation support, and user interaction before any new major initiatives are undertaken.

25



Cornell University Library, 2015

Key Conclusions of the IT Workshop

USERS: arXiv is a production service, not a technology experiment.

CODE BASE: No single system can replace everything that arXiv does. The code base is 20+ years old - infrastructure is at risk.

ARCHITECTURE: Broad agreement that about pursuing a modular approach that builds on either an open-source stack or framework.

PROCESS MATTERS: Managing the transition and putting in place a sound project oversight is as critical as making the right technological choices.

STAKEHOLDERS: There needs to be a careful stakeholder analysis to understand use cases.

27

Key Conclusions of User Survey

- Keep to the core mission & urge vigilance in making changes
- Improve the search function
- QC matters!
- Provide more information about moderation
- Link scholarly content
- Enable partners to build new services & innovate on top

Going Well

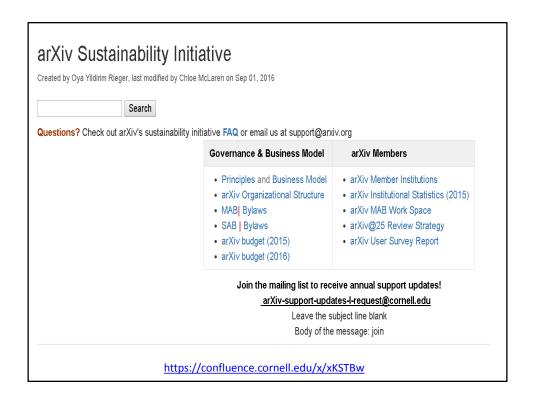
- arXiv continues to be heavily used and praised as a reliable service
- Membership model works for covering base operating costs
- Governance model fosters transparency & accountability
- Team model is getting stronger
- arXiv@25 planning generated valuable information
- Registered some progress on fund raising:
 - Increase in annual revenue & plans for expanding membership
 - Simons Foundation grant continues (\$450K)
 - Funding proposal to Sloan Foundation for next-gen arXiv
 - Initial contact with the Moore Foundation interest in funding
 - In-the-works: \$400K request from an IT think-tank
 - Interest in exploring Library-CIS collaboration
 - Several ongoing conversations for <u>partnerships</u>

29

Needs Improvement

- Team building and communication
 - Setting & managing expectations
 - Vacant Scientific Director position
- Authority further clarification of Paul G.'s embedded role
- Supporting maintenance & simultaneous development
 - scaling to new demands and modern tools
- Ramp up fund raising efforts
- arXiv@25: implementation plans





Cornell University Library, 2015

Executive Session

- What are the strengths of the current arXiv governance and membership model? What is working well?
- What are the areas for improvement? How should the Cornell team strengthen the operation from technical, policy, user support, fund raising, and communication perspectives?
- Do you find your role as an MAB member fulfilling? Has Cornell set the right expectations? What are the other ways MAB could be involved in advising the Cornell team?
- Any other input/suggestions you may want to relay to us.