MAB/SAB Annual Meeting
Financial & Organizational Overview

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arXiv Program Director

October 2018

Outline

• arXiv Business Model
• CY18 projections
  – Budget
  – Membership
• CY19 projections
  – Budget
  – Org model
Business Model, 2018-2022

- Cornell University
  - $170,000 per year in support of operational costs
  - in-kind contribution of all indirect costs (37%)

- Simons Foundation
  - $100,000 per year
  - $300,000 per year matching grant

- Member Institution
  - annual fees within $1,000-4,400 range (based on usage ranking)

- Other fund raising efforts
  - Grant funds from foundations and agencies to assist with special projects such as the arXiv-NG
  - Online giving campaigns
  - Gifts from companies (unconditional)

Business Model FAQ: [https://tinyurl.com/yb2yt8ee](https://tinyurl.com/yb2yt8ee)
## 2018 Budget: Footnotes

1. During CY18, the arXiv team anticipates drawing some funds from the development reserves, which were earmarked for supporting new initiatives such as Next Generation arXiv development efforts. The amount needed is estimated to be about $51,000.

2. Staff costs include both Classic and Next Generation arXiv (arXiv-NG). There is a separate revenue stream for funding the arXiv-NG initiative (e.g., Sloan Foundation), which are noted in blue.

3. Indirect cost percentages are derived from the University negotiated indirect cost rates. These indirect costs include those for Administration (Library and Departmental) and Staff Support (Finance/Budget, Human Resources, Facility staff, and Staff IT). The salaries of the Finance and Membership Support staff are considered as Cornell's indirect contributions and are not included in the staff salary total.

4. Indirect cost percentages are derived from the University negotiated indirect cost rates. These indirect costs include maintenance, custodial, utility and other facility related costs for the building.

5. Indirect costs above are based on expenses paid by Cornell University Library, and do not include the program support provided by Heising-Simons Foundation and Sloan Foundation. The grants from Heising-Simons Foundation and Sloan-Foundation include accommodation for indirect costs as a percentage of their program support. CUL keeps these funds (not transferred to arXiv).
Reserves

1. Operating Reserves
   – support the service’s transition to another institution
   – provide a safety net when there is a revenue short-fall
   – estimated total = $300,000

2. Development Reserves
   – support special projects (e.g., arXiv-NG) & unforeseen expenses
   – estimated total = $856,000

arXiv Budgets and Reserve Policy:
https://confluence.cornell.edu/display/arxivpub/arXiv+Budgets+and+Reserve+Fund+Policy
Online Fundraising:
• Generated $35K during CY2018
• This activity was put on the backburner due to the decreased level of support for Program Director and need to focus on more pressing priorities associated with the stewardship assessment process
2017 International Use Distribution

- Australia, 2%
- Canada, 2%
- France, 5%
- Germany, 11%
- Italy, 3%
- Japan, 7%
- Netherlands, 4%
- Spain, 2%
- Switzerland, 4%
- Taiwan, 2%
- United Kingdom, 10%
- US Educational Inst, 32%
- All other countries, 17%
- All Other Countries*:
  - Austria
  - Belgium
  - Brazil
  - Czech Republic
  - Denmark
  - Finland
  - Hong Kong
  - India
  - Israel
  - Poland
  - Russia
  - Sweden
  - U.S. Government

2018 Member Projections

- 26 Countries + EU
- 227 Members
- $504K Contributions

- US Consortia, 21%
- US Non-Consortia, 21%
- All Other Places,
- Germany, 13%
- Japan, 7%
- Netherlands, 4%
- Sweden, 2%
- Switzerland, 3%
- UK, 8%
- Austria
- Belgium
- China
- Denmark
- EU
- Finland
- Hungary
- India
- Ireland
- Israel
- Italy
- New Zealand
- Norway
- Russia
- South Africa
- Spain
- Taiwan
## CY2019 Financial Projections

### REVENUE
- Non-Project Revenue (projected) $450,000
- Revenue from Annual Commitments $100,000
- Revenue from Non-Project Funding $350,000
- Core Expenditures (Direct & Indirect) $10,000
- Base Salary Fund $400,000
- Contingency Fund ($25,000)
- TOTAL REVENUE $1,300,000

### EXPENSES

<table>
<thead>
<tr>
<th>Category</th>
<th>Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program Director, Scientific Director</td>
<td>$60,000</td>
</tr>
<tr>
<td>Operations Manager, User Support/Facilitation</td>
<td>$220,000</td>
</tr>
<tr>
<td>Facilities Manager, Programming Support</td>
<td>$3,000</td>
</tr>
<tr>
<td>Community Engagement Coordinator</td>
<td>$25,000</td>
</tr>
<tr>
<td>Total Non-Personnel</td>
<td>$825,000</td>
</tr>
<tr>
<td>TOTAL DIRECT EXPENSES</td>
<td>$1,355,000</td>
</tr>
<tr>
<td>Indirect and Voluntary Costs</td>
<td></td>
</tr>
<tr>
<td>Facilities (Staff &amp; Direct costs)</td>
<td>$85,000</td>
</tr>
<tr>
<td>Subtotal (Direct + Indirect)</td>
<td>$1,440,000</td>
</tr>
<tr>
<td>TOTAL EXPENSES (Direct + Indirect)</td>
<td>$1,440,000</td>
</tr>
</tbody>
</table>

### ANNUAL OPERATING SURPLUS
- Operating Surplus (CY2019 starting balance) $0
- Total Operating Surplus $150,000
CY2019 Organizational Model

2019 arXiv Organizational Model - Cornell University

EXECUTIVE TEAM

Oya Rieger, Program Director
Steinn Sigurdsson, Scientific Director

MANAGEMENT TEAM

IT DEVELOPMENT

Martin Lessmeister IT Lead
Erick Peirson Lead Architect

arXiv developers
4.5 FTE + 1 FTE DevOp (open line)

OPERATIONS

Jim Entwood, Operations Manager

arXiv administrators & students
3.1 FTE

COMMUNITY ENGAGEMENT & DEVELOPMENT

TBD
(0.5-1FTE)

August 2018, draft
arXiv: Roles and Responsibilities

Computing & Information Science Dean, Greg Morrisett
- Hold overall responsibility for arXiv’s stewardship by Cornell

Lead System Architect
- Erick Peirson
- Responsible for high-level technical decisions, strategy, and prioritization of arXiv IT projects including arXiv-NG
- Participate in identifying technical requirements and setting development priorities
- Facilitate MAB and liaise to SAB

Scientific Director
- Steinn Sigurdsson
- 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

Program Director
- Oya Y. Rieger
- Plan and execute governance structure
- Lead arXiv project management
- Participate in identifying technical requirements and setting development priorities
- Partner with related initiatives and services to share tools and software

arXiv: Roles & Responsibilities

IT Lead
- Martin Lessmeister
- Provide managerial oversight for arXiv IT projects, staff, and resources
- Oversee day-to-day technical operation of arXiv services
- Collaborate with Lead System Architect on technical direction and decision-making

STAFF: Brian Caruso, Dave Fielding (.5 FTE), Liz Woods, Jaimie Murdock, Liz Woods, Jaimie Murdock, Contract Work (.5 FTE), 1FTE DevOps tbd

Lead System Architect
- Erick Peirson
- Responsible for high-level technical decisions, strategy, and prioritization of arXiv IT projects including arXiv-NG
- Partner with related initiatives and services to share tools and software
- Collaborate with IT Lead on technical direction and decision-making

STAFF: Jake Weiskoff, Rebecca Goldweber (0.5 FTE), Amanda Barley, student assistants

arXiv Operations Manager
- Jim Entwood
- Tech administration of submission process
- Support subject moderators
- Assist users and submitters
- Maintain help pages and document

STAFF: Jake Weiskoff, Rebecca Goldweber (0.5 FTE), Amanda Barley, student assistants

Community Engagement & Development
- tbd
- Implement fundraising strategies to increase arXiv’s revenues
- Design and implement strategies to engage and inform users and member libraries about arXiv
- Facilitate internal communication and project management among the arXiv staff

arXiv: Roles & Responsibilities

Scientific Advisory Board (SAB):
- Provides advice and guidance for the intellectual oversight of arXiv, pertaining to arXiv moderation
- Proposes & reviews proposals for new subject domains

Member Advisory Board (MAB):
- Represents members’ interests
- Advises CUL on development, business planning, outreach and advocacy.

Cornell Administration:
- Assumes overall responsibility for arXiv’s obligations
- Provides institutional support and resources for arXiv (HR, business services, legal, etc.)
- Final arbiter for arXiv decisions
Additional Information

For additional information please see arXiv Public Wiki & Blog:
https://confluence.cornell.edu/display/arxivpub/
2018 arXiv Roadmap

The 2018 arXiv Roadmap document contains a overview of the goals and initiatives planned for the arXiv platform in 2018. It includes the following key points:

- **ArXiv NG Phase I: Sloan Grant Wrap-Up**: August 2, 2018
- **A new category for arXiv**: July 24, 2018
- **Two New Categories in Economics**: July 23, 2018
- **arXiv NG: In-Person Testing for Submission UI**: July 20, 2018
- **Search v0.4: bug-fixes, date-related searches**: July 18, 2018
- **arXiv NG: incremental decoupling and search**: June 13, 2018
- **arXiv hits 12k in May**: May 31, 2018

For more information, visit the [arXiv.org blog](https://blogs.cornell.edu/arxiv/2018/05/) or the [arXiv.org](https://confluence.cornell.edu/display/arxivpub/2018+arXiv+Roadmap) page.