Detailed background for Agenda Brief on Enhancements to ESA's IFWA service

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History of ESA's sales of free access

In 1999, the Governing Board voted to allow unlimited downloads of PDF reprints and set the price of such reprints as 75% of the price of 100 paper reprints. By doing this, ESA pioneered the idea that journal publishers could benefit by allowing authors to buy the right for everyone to have immediate free Web access (IFWA) to their articles. In 2000, 25% of ESA's authors bought IFWA (in the form of PDF reprints), producing a gross income of $18,391. In 2001, 51% bought it, producing a gross income of $31,259. The gross for the two years totaled $49,650, and the per-page income from IFWA articles was $12.94. The net income from IFWA has not been tallied, but the incremental costs of PDF reprints should be low, because ESA must produce PDF files of all articles whether it sells IFWA or not. The effect of IFWA sales on ESA's gross revenues from its principal journals can be seen when the gross income from IFWA is added to the gross income from institutional subscriptions (Fig. 1).
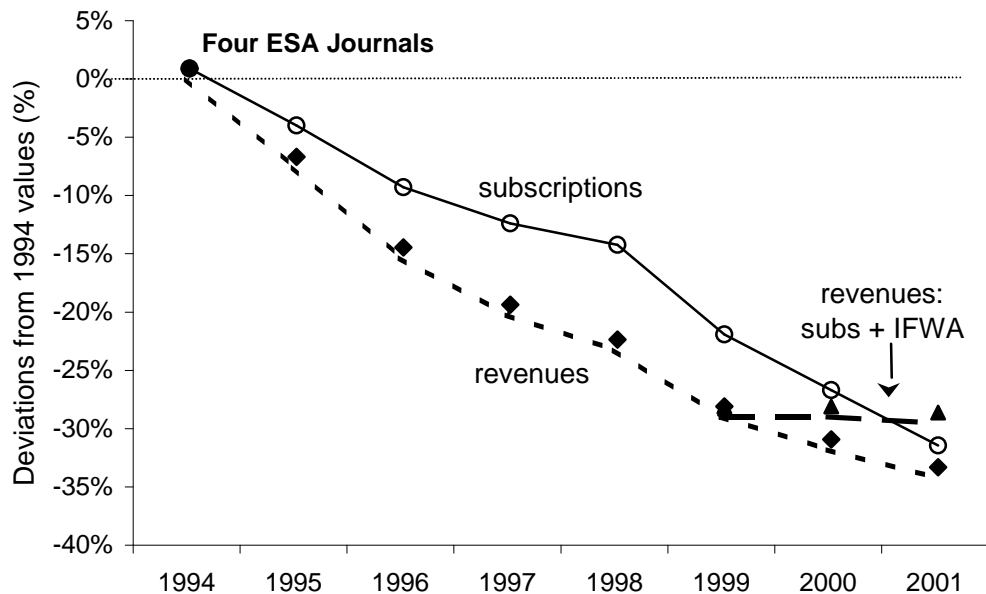

Fig. 1. Numbers of institutional subscriptions and inflation-adjusted gross revenues from those subscriptions, ESA's four principal journals, 1994-2001. For 2000 and 2001, the effect of adding gross revenues from IFWA sales is shown.

Beginning in 1999, subscription prices were raised each year, ending the divergence of the revenues and subscription lines. Anomalous data for 2000 required that the numbers of subscriptions for that year be estimated by interpolation.

Why ESA should improve its IFWA service

The acceptance of ESA's version of IFWA increased rapidly during the first two years, but that is no longer the case. For Jul-Dec 2001, 55% of authors purchased PDF reprints; for Jan-Apr 2002, 53% did so. More would buy the service if it were improved and the improvements were advertised. Furthermore, an improved service would justify a higher price, should the Governing Board judge an increase to be necessary.

Though not now a major concern, by improving its IFWA service ESA will reduce the incentives that authors have to use other means to provide unrestricted IFWA to the final versions of their articles.

How ESA should improve its IFWA service

(1) *It should allow authors to post the PDF files of their articles on any Web server.*

ESA should not restrict what authors do to promote free Web access to their IFWA articles. It should encourage authors of IFWA articles to post their articles on their home pages as a means to increase the likelihood that the electronic versions of their articles will be found and accessed.

Note: Authors can already do the equivalent of posting their articles on their home pages by linking entries in their personal bibliographies to the PDF files of their IFWA articles on ESA's server. Allowing local posting of PDF files reduces the traffic on ESA's server and gives authors the signal that ESA wants to help them increase the convenience of access to their articles.

(2) *It should post IFWA articles on a server that complies with the Open Archives Initiative.*

In addition to allowing authors to take steps to make their IFWA articles more likely to be found and more conveniently accessed, ESA should itself promote access to IFWA articles. One important way of accomplishing this would be to make sure that IFWA articles are posted on a server that complies with the Open Archives Initiative [OAI] (http://www.openarchives.org/). This could be accomplished in a variety of ways. For example, one or more universities might be pleased to host ESA IFWA articles on their OAI-compliant servers. Or BioOne may do it to better serve the needs of its participating societies.

Note: In conversation and e-mail, Heather Joseph, BioOne's Chief Operating Officer, has indicated that BioOne intends to provide free access to full text where that is the wish of the publisher. In e-mail of 7 May 2002, she wrote that BioOne would soon be implementing a module in which open access to full text would be provided, and she stated, "we are working hard to make sure that what BioOne implements conforms with the most critical industry standards, and OAI compliance is high on our list." Recommendations (3) and (4) are also compatible with BioOne's principles, but I have not asked Heather what BioOne plans in regards to their implementation.

Note: In a nutshell, the Open Archives Initiative develops and promotes standards that allow institutions to put content on the Internet in a manner that makes the individual repositories "interoperable." The recent Budapest Open Access Initiative (http://www.soros.org/openaccess/) gives impetus to OAI because one of the two strategies it recommends to promote free access to scholarly journal literature is for authors to deposit their articles in OAI-compliant archives. Most research institutions now have or soon will have OAI-compliant servers for posting content that they want freely available and easily located through searches that automatically include all OAI-compliant servers.

(3) *It should encourage literature-indexing services to make hotlinks to the full text of IFWA articles.*

When an article is found using an online indexing service, the odds that the finder will read or browse the full text of the article are greatly increased if a mouse click will access the full text. Literature-indexing services are beginning to establish hotlinks to full text that is freely available. For example, Institute of Scientific Information (ISI) has a system for automatically establishing such links in its *Current Contents* and *Web of Science* databases and is currently implementing the system to connect with the free content of Highwire Press (http://highwire.stanford.edu/). It has promised that *Florida Entomologist* is next in line.

(4) *It should ensure that IFWA articles are accessible to the robots of Web search services such as* Google.

Search services are sometimes effective means of finding scientific content on the Web. When an article is indexed by a search service such as *Google*, it becomes findable by any word or phrase (or Boolean combination thereof) in the article. Beginning in 1996 *Florida Entomologist* articles have been so indexed.

(5) *It should place no restraints on the copying of IFWA articles for noncommercial purposes.*

ESA should be able to advertise that its IFWA service allows unlimited reprints to be made of articles by almost anyone, anywhere, anytime.

In regard to copying articles, ESA's Copyright and Permission Policies (http://www.entsoc.org/Pubs/PUBLISH/esa_publish.htm) states:

Individuals may make one copy for personal use without permission and without charge. This consent does not extend to other kinds of copying, such as that for general distribution….

No exceptions are made for authors who buy PDF reprints or for those who access PDF reprints on ESA's Web site.

(6) *It should remove the dictate that authors posting "electronic reprints" add an augmented copyright statement.*

Among ESA's Copyright and Permission Policies is that authors posting electronic reprints must include on the electronic reprint the following statement:

This article is the copyright property of the Entomological Society of America and may not be used for any commercial or other private purpose without specific written permission of the Entomological Society of America.

There is no easy way to add this statement to a PDF file, and the hardcopy of every PDF file of an ESA article already has this copyright notice:

© [year] Entomological Society of America.

If this copyright notice is insufficient, it should be corrected at the source, not by requiring authors to do something that seems unnecessary and that most lack the software to accomplish.

(7) *If ESA improves its IFWA service, it should seek a better name for it.*

The name "PDF reprints" sounds like an alternative to paper reprints. It does not signal that ESA is committed to making its IFWA articles immediately, conveniently, and freely accessible by every practical means, thereby enhancing their Internet impact.

(8) *It should consider applying for funds to support publication of articles by authors from developing and transitions countries.*

Heather Joseph, of BioOne, sent the attached announcement from the Information Program of the Open Society Institute and suggested that ESA might be eligible for funding. It is not clear to me that ESA would qualify, but authors who pay page charges plus IFWA charges are in essence paying for open access to their articles. If the Governing Board believes that getting these charges paid for authors from the 67 named countries is desirable, it should ask staff to investigate.

Even more information

Most of these recommendations were formulated as I was preparing a talk for a seminar sponsored by the Association of Learned and Professional Society Publishers. The talk, and a paper developed from it for the journal *Learned Publishing*, can be accessed at http://csssrvr.entnem.ufl.edu/~walker/epub/ALPSP.htm.

Grants for Open Access Journals:
A pilot fund to support publication of research by authors from developing and transition countries

The Information Program of the Open Society Institute (OSI) is pleased to announce a pilot project inspired by the principles of the Budapest Open Access Initiative (http://www.soros.org/openaccess/). To support open access to international research and scholarship, OSI will provide $100,000 in funding to support the publication in open access peer-reviewed online journals of articles by authors residing and working in countries where the Soros foundations network is active (please see the attached list of 67 countries).

Guidelines for funding:

1. Journals that have adopted an open access up-front payment business model will be eligible for funding (please see http://www.earlham.edu/~peters/fos/boaifaq.htm#journals for more information about open access funding models). Open access is defined as free and unrestricted online availability of current content. Funding will be provided directly to the journal to subsidize the up-front fees.

2. Funding will cover the fees for processing of articles that are accepted for publication in 2002. A maximum of two articles per author per year will be eligible for 100% funding of the processing fee, while an additional two articles will be eligible for funding at 50% of the processing fee, with the additional 50% coming from the institution supporting the research, the author's affiliated institution, a government agency, etc.

3. As this program is targeting international scholarship, journals published in the following languages will be supported: English, French, Portuguese, Russian, and Spanish.

4. Funding will only apply to peer-reviewed scientific and scholarly online journals; other forms of online material, such as databases, newspapers etc. will not be eligible for funding under this pilot project.

5. The authors must be residing and working at institutions in one of the 67 countries in which the Soros foundations network is active. If an article has multiple authors, the majority of authors must meet this condition.

6. Scholarly journals from all academic disciplines are eligible for funding.

Publishers of journals interested in applying for a grant should submit the following information to Melissa Hagemann (mhagemann@sorosny.org):

* URL of journal

* brief description of the journal's open access business model

* contact name at journal

* list of articles with names of authors and their affiliated institution

* amount of funding being requested

Selection process:

Decisions on funding will be made according to the following schedule: Applications due June 14, 2002; Awards announced June 28, 2002

Applications due September 9, 2002; Awards announced September 23, 2002

Countries where the Soros foundations network is active

Afghanistan	Cote d'Ivoire	Lesotho	Romania
Albania	Croatia	Liberia	Russia
Angola	Czech Republic	Lithuania	Senegal
Armenia	Estonia	Laos	Sierra Leone
Azerbaijan	Gambia	Macedonia	Slovakia
Belarus	Georgia	Malawi	South Africa
Benin	Ghana	Mali	Swaziland
Bosnia and	Guatemala	Mauritania	Tajikistan
Herzegovina	Guinea	Moldova	Thailand
Botswana	Guinea-Bissau	Mongolia	Togo
Bulgaria	Haiti	Montenegro	Turkey
Burma	Hungary	Mozambique	Ukraine
Burkina Faso	Indonesia	Namibia	Uzbekistan
Cambodia	Kazakhstan	Niger	Vietnam
Cameroon	Kosovo	Nigeria	Yugoslavia
Cape Verde	Kyrgyzstan	Peru	Zambia
Chad	Latvia	Poland	Zimbabwe