Through the framework of transformative agreements, libraries and consortia are transforming their workflows, data streams, administrative processes, organizational structures and budget lines, in order to prepare for a fully OA paradigm.

ESAC is an open community of information professionals dedicated to putting the vision of open access to research into practice.

The ESAC Community of Practice calls are opportunities for library and consortium staff—as well as publishers and other stakeholders—to exchange experiences in operationalizing OA on a large scale through transformative and other OA publishing frameworks.
Transformation drivers

HOW TRANSFORMATIVE IS IT?

A spectrum of transformation drivers leading to an open scholarly publishing paradigm

Available for download on the ESAC website:
ESAC Reference Guide to Transformative Agreements – How Transformative Is It? spectrum
Transformation drivers

OPEN ACCESS PUBLISHING

Empower authors with the means and opportunity to publish 100% of their research articles, accepted for publication in all journals of the relative publisher, open access.

GOAL

Authors retain copyright and openly license their articles.
ORGANIZE INVESTMENTS AROUND OA INSTEAD OF PAYWALLS

Rein in and re-engineer the parallel financial streams of the subscription-paradigm and orient institutional investments in scholarly publishing around open access.

GOAL

Researchers everywhere are able to read and publish without financial and administrative burden; fees for open scholarly publishing services are covered by their organizations (institutions, grant funding agencies).
Establish mechanisms to ensure sustainability and mitigate potential financial risks as the scope of agreements evolves from the static lock-in of subscriptions to the dynamic nature of (open access) publishing.

**GOAL**

Institutional budgets are reorganized to support the open dissemination of research results and scholarly communication services needed by researchers in our digital age.
**OPTIMIZE PROCESSES FOR OPEN ACCESS**

Establish accountability for continued optimization of processes around OA publishing.

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**SUBSCRIPTION AGREEMENTS**

- Early stage agreements often rely on manual, ad hoc or retrofitted processes to implement and manage the workflows associated with open access publishing, without automated processes, there is significant risk of human error and less than successful fruition of the agreement.

- Publishers commit to managing processes such as author identification, verification, and article reporting, but institutions are excluded from the process and quality standards are not met.

- For example, while publishers may provide reports on a regular basis, they may not include all relevant data elements. Without library visibility into the publishing pipeline and complete data, processes and workflows are at risk of breaking down and manual intervention will be required.

- As publishers and libraries gain more operational capacity for open access publishing, author identification, verification and payments are handled through automatic processes and shared dashboards that ensure visibility every step of the way. Regular reports complete with all relevant data fields help streamline processes.

- The community-developed ESAC Workflow Recommendations provide the foundation for setting out requirements in many transformative and open access publishing agreements.

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**SPECTRUM OF TRANSFORMATION**

- Publishers and libraries prepared for open access publishing on a large scale implement automated identification and authentication processes that require minimal manual intervention. Regular reporting based on the ESAC Workflow Recommendations streamlines processes.

- Fulfillment of the agreement objectives can be further optimized by agreeing strategies to avoid author opt-outs and to integrate retrospective conversion of closed articles to open access.

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**GOAL**

The process of open dissemination of research is supported and optimized with infrastructure and standards that streamline the work of authors, institutions, funders, publishers and other partners in the scholarly communication ecosystem.
Transformation drivers

PRICE TRANSPARENCY

Articulate the service levels, terms, conditions and pricing of the agreement openly and transparently to enable community benchmarking and cost comparisons.

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<th>SUBSCRIPTION AGREEMENTS</th>
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<td>The rationale for pricing of journal subscription agreements and “big deals” has been opaque since the start of the digital transition. Shielded from market scrutiny by non-disclosure clauses, subscription pricing has increased year after year, at rates far beyond those of standard inflation. Journal-level APC prices are listed publicly, but authors, individually, exert little market pressure to constrain or reduce them and are additionally confronted with print-based fees such as page and color charges.</td>
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<td>Agreements still closely aligned with the subscription paradigm often carry non-disclosure clauses requiring complete confidentiality and prohibiting public disclosure of the agreement. In an initial step toward transparency, some agreements are published openly, but certain terms of the contract, for example, the financial terms, are still subject to confidentiality clauses. As a service to the broader community, libraries and consortia enter key details of the transformative agreements they sign in the ESAC Registry, an open, community resource aimed at increasing transparency around publisher agreements. Even if institutions do not publicly disclose their agreements or full terms and conditions, the ESAC Registry enables the community to benchmark key TA characteristics and feeds into the data visualizations of the ESAC Market Watch, quantifying their impact. A number of libraries and consortia have already achieved full transparency in their transformative agreement negotiations, securing the right to publicly disclose their agreements (no non-disclosure clauses). This commitment to fostering a transparent scholarly publishing market is further supported by their entries in the ESAC Registry, complete with links to the agreement full texts. In the current landscape, the greatest level of transparency around transformative agreements might include public disclosure of the agreement, entry in the ESAC Registry, public reporting on contract performance (e.g., development of opt-out rates, shares of publication volume, etc.), and application of transparency price frameworks, that foster comparability in cost/service assessments.</td>
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GOAL

With transparent articulation of services/prices, scholarly publishing will finally be subject to the force of market competition, which, in turn, creates opportunity for other market players and drives innovation, allowing scholarly communication to evolve.
COMMIT TO AN OPEN PARADIGM

Garner publisher commitment to a sustainable, equitable and irreversible transition to open access.

GOAL

Open access as the default in scholarly communication.
How are transformative agreements actually transforming the subscription system and enabling an open paradigm?

with

Arja Tuuliniemi  National Library of Finland/FinELib consortium
Graham Anderson  The Royal Society
How are transformative agreements transforming the subscription system and enabling an open paradigm?

- Open access transformation drivers
- **Submission process and author engagement**
- Publishing workflow and library processing workflow
- Business models and institutional investment streams
- Price transparency and cost assessment
- Open metadata and data delivery and OA monitoring