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## PREPARATION

- Derive key insights based on data
- Engage stakeholders and plan communications
- Understand your negotiation counterparts and the current environment
- Defining your approach to transformative agreement negotiations
- Define your negotiation goals

## NEGOTIATION

- How transformative is it?
- Finding common ground and mutual gain
- Information and data exchange

## IMPLEMENTATION

- Workflows
- Monitoring and assessment
- Agreement terms
- Monitoring and assessment
Whether starting to develop your own open access strategy or assessing a publisher “read and publish” offer for the first time, adapting to the changes underway in the scholarly publishing landscape can be daunting. Luckily, clear signposts have emerged and, thanks to the excellent resources shared by the community, you do not have to re-invent the wheel.

The ESAC Reference Guide is the narrative manifestation of a mapping exercise conducted in Spring 2021 by members of the international ESAC community that have accumulated deep, first-hand knowledge and expertise in the negotiation and implementation of transformative agreements with scholarly publishers. Threading together and contextualizing the many guidelines, recommendations, toolkits, templates and data openly available, the reference guide serves as an authoritative and essential orientation for librarians and consortium staff just beginning to approach or looking to update their transformative agreement strategies based on the latest benchmarks.

The ESAC Reference Guide develops through the phases of preparation, negotiation and formalizing an agreement, but libraries and library consortia each have their own unique starting points, and the steps they take in adopting transformative agreements will have local flavors. As transformative agreements advance in driving the transition of scholarly publishing from the subscription paradigm to open access, the guide will be updated to reflect new benchmarks and practice.

Contact ESAC if you would like to suggest an addition or adjustment to the reference guide based on your own experiences.
In this section, we introduce the core elements involved in preparing for transformative agreement negotiations and share some strategic considerations for institutions and consortia.

Derive key insights based on data

In order to prepare and conduct negotiations that result in agreements that effectively and successfully fulfill their transformative potential, you will need to have a clear picture of your current position and the capacity to model potential outcomes—in terms of both projected costs and open access publishing services secured. To achieve these, there are key data points that you can collect and analyze and from which you can derive key insights to inform your approach.

Gather your publication data

For a fully informed approach, you should collect data on the articles published by your authors (institutional output) in order to quantify the annual total of articles published, along with the share of these in which your author is the corresponding author. You should also calculate the article growth rates over time, to help in modeling the entity of open access publishing services that will be needed by your authors over the course of the agreement and, potentially, in the longer term, so as to contextualize the trends that you observe. It is also useful to collect and analyze data related to citations, i.e. the articles cited in articles published by your authors, as this helps to get an even more complete understanding of the relevance of a publisher’s journal portfolio to their research. Collecting this data retrospectively and systematically, on an ongoing basis, is something that every library and consortium should begin to do, in order to prepare for an open access paradigm in scholarly communication.

Earlier this year, the ESAC Data Analytics Working Group produced a guide on how to Uncover the publishing profile of your institution, which illustrates a variety of ways to collect and analyze institutional publishing data to prepare for negotiations. The guide has been utilized by various libraries and consortia since then; for a more recent example of how you can build upon it, see the Informing the Elsevier negotiations: Dominic Dixon on the work of the Data Analysis Working Group post at the Unlocking Research blog of Cambridge University Library.

Following the publication of the above-mentioned ESAC guide, a working group at SPARC also produced a collection of Data sources for analyzing open access offers from publishers and a more hands-on guide on Open Access Agreements: Factors to Consider, which overlaps with many aspects covered in the ESAC guide. The Negotiating with scholarly journal publishers: A toolkit from the University of California (UC Toolkit) contains a very useful section on the importance of data analysis for informing negotiations, as well as a case study on UC's approach. Many of the community of practice calls organized by the OA2020 US Working Group discussed the topic of data analysis, most importantly the July 10, 2020 Meeting: How to gather, analyze and use publication data for negotiating open access agreements.

Gather your expenditure data

In order to assess the total expenditure on scholarly publishing at your institution over time, you will need to track fees paid to publishers by both libraries and by authors. Libraries may already be
collecting data on the entity of their subscription fees over time, and observing the trend of annual fee increases. Institutions should also establish processes to document all fees related to open access publishing, i.e. Article Processing Charges (APCs), which until now were most often paid by authors.

If your institution is not yet handling or tracking APC payments centrally, you can estimate open access publishing expenditure by combining figures on your institutional output (described above) with industry data on APC prices gathered, for example, from the Open Access Data & Analytics Tool by Delta Think, from OpenAPC, or from data collections such as Publisher OA Portfolios 2.0.

**Extract key insights from the data**

For librarians, in addition to specific insights relevant to negotiations, there are a couple basic insights that can immediately be derived from publication and expenditure data. The first is an understanding of the growth and relevance of open access publishing for your researchers, which can prompt considerations on how their needs are changing and how libraries can position themselves to address those needs. The second is an understanding of the cost developments that accompany the dynamic growth of open access publishing. In the case of “hybrid” open access publishing, the costs are additive with respect to subscription fees, i.e. “double dipping”, but whether for publishing in “hybrid” or fully open access journals, outside of central, institutional open access publishing agreements or transformative agreements, these costs are unmonitored and unchecked. This, again, prompts considerations on the current and future role of libraries in managing their institution's financial relationship with scholarly publishers in order to secure the best possible conditions at the lowest possible price.

**Insights to identify and prioritize publishers for transformative agreement negotiations**

Until now, librarians have focused their attention primarily on the relevance of scholarly journals to their researchers as readers through usage data and assessing value with metrics such as cost per download. Now, as scholarly publishing shifts to open access, you will also need to gain an understanding of the value that researchers as authors place on journals, as illustrated by where they choose to publish their articles and the journals most cited in their publications. Many negotiating teams use pie chart data visualizations, such as this poster by the Max Planck Digital Library, for a high-level view of the publisher journal portfolios most relevant to their authors.

If you then compare the publishing data you have collected with expenditure data, you will be able to make strategic considerations about the cost/benefit of your current publisher relationships and define objectives for your transformative agreement strategy. For example, you might identify those publishers with whom central negotiations would have the greatest impact for your authors, i.e. where they most frequently publish. The data might also highlight fully open access publishing platforms that are particularly valued by your researchers, which you might consider supporting by re-purposing expenditure that was previously locked up in subscription fees. A rapid comparison of how your subscription investments are apportioned across publishers with how your institution's outputs are apportioned across the same publishers might also prompt considerations on where investments might be shifted to more equitably support the needs of all authors and foster greater diversity in research published openly.

If your data analysis covers a reasonable time interval, you can also project output volume over time and model the relative costs according to different scenarios. For example, you might assess and compare the impacts of continuing with the status quo, canceling a “big deal” in favor of individual subscriptions, or negotiating a transformative agreement with a given publisher. For concrete examples, take a look at the Pay it forward study by the University of California, or the DEAL Cost Modeling Tool and its companion Discussion paper by DEAL Operations.
Insights to build an exit strategy in case negotiations fail

Combining article output and citations with usage data can also provide you with important insight into how readers are interacting with content, especially when the data encompasses longer periods and can show emerging trends. For example, this kind of analysis can inform scenario planning for your BATNA (best alternative to a negotiated agreement), possible exit strategies (arranging post-cancellation access, or providing information on alternative routes to scholarly articles), and fallback strategies (breaking up the big deal) when no agreement can be reached by selecting relevant (and deselected irrelevant) journals for your readers. For such purposes, tools like Unsub are used broadly in the community.

Insights to shape the next cycle of agreement negotiations

If you have already negotiated a transformative agreement, your data gathering and analytics work should continue in order to prepare you for the next cycle of agreement negotiations. In addition to monitoring publishing and costs, you can enrich your analysis by assessing existing processes and workflows, such as author opt-out rates, rates with which eligible articles are accurately identified, quality of reporting, or metadata delivery, and identify areas that need to be addressed and improved upon in your next agreement.

Key references

- Negotiating with scholarly journal publishers: A toolkit from the University of California
- ESAC: Uncover the publishing profile of your institution
- SPARC: Data sources for analyzing open access offers from publishers
- OA2020 US Working Group: How to gather, analyze and use publication data for negotiating open access agreements
- Open APC initiative
- Pay it forward: Investigating a Sustainable Model of Open Access Article Processing Charges for Large North American Research Institutions
- DEAL Cost Modeling Tool
- University of California: Priorities for publisher negotiations
Engage stakeholders and plan communications

Just as transformative agreements bring together the two sides of scholarly publishing (reading and publishing), they are also an opportunity for libraries to bring together and align the different stakeholders involved: faculty and university leadership. Sharing the insights gained in the publication and expenditure data analysis with people from outside the library or consortium offices can help in building strong coalitions within with your communities and garnering support for your negotiation strategy. After all, the open access publishing rights secured through your transformative or open access agreements help your institution fulfill its mission, increasing the visibility and impact of the research of your scholars and scientists.

By working together with a broad set of stakeholders in the early stages of developing your approach, it is easier to arrive at a framework for negotiations that is embraced across the institution, and it empowers you with greater leverage, knowing that you represent your entire community in your negotiations.

Build coalitions and alignment

The Negotiating with scholarly journal publishers Toolkit from the University of California is a rich resource with both universal recommendations and UC-specific case studies on articulating goals, defining strategies, and managing communications around publisher negotiations. Jisc also produced a useful resource on Working with transitional agreements, and the Communicating with senior stakeholders section of the guide is a particularly useful manual on the background, benefits, and financial implications of transformative agreements.

You can also find useful information on the Take Action section on the OA2020 website and many of the OA2020 US Working Group’s community of practice calls, especially the recording of the September 30, 2020 Meeting: Stakeholder alignment in preparation for negotiating open access agreements.

Engage stakeholders in negotiations

It can also be extremely effective to involve stakeholders from outside the library or consortium in the negotiation process. For example, it can be effective to seek out and involve influential members of your community in your negotiations team, taking care to clearly define negotiation roles and responsibilities, in order to conduct the negotiations in a straightforward way.

As an example of an approach one might take for involving stakeholders, we recommend the recently published article Negotiating Open Access Journal Agreements: An Academic Library Case Study by Mihoko Hosoi, which presents a useful case study on how roles and responsibilities were defined for publisher negotiations at the Pennsylvania State University. The study illustrates that in order to conduct successful negotiations, institutions have to take an approach that involves a variety of actors and careful planning. For specific publishers, you might also consider engaging researchers from your community who serve on editorial boards to increase your negotiation power or simply to learn more about the practices of the publisher, from their perspective. The Open Editors database can be a useful resource to help you identify faculty whom you might engage.
Plan for communications

As you proceed in your strategy, a good communications plan is essential in order to keep stakeholders informed and aligned, and to build trust within your communities. Here is an excellent example of how you might communicate about your strategy and an example of how to keep stakeholders informed of the progress of individual negotiations. For another great example of a transparent communications campaign, see the running blog post series by the Cambridge University library, such as Dr. Jessica Gardner on the ongoing negotiation between Cambridge and Elsevier or Michael Williams on the Elsevier negotiations: What’s our ‘Plan B’?

Key references

- OA2020: Take Action
- Negotiating with scholarly journal publishers: A toolkit from the University of California
- Jisc: Working with transitional agreements
- Jisc: Communicating with senior stakeholders
- Negotiating Open Access Journal Agreements: An Academic Library Case Study
- Practical Idealism: UC’s Approach to Open Access
Understand your negotiation counterparts and the current environment

Gathering, analyzing and discussing data relative to your institution with stakeholders will form the basis of your strategy, but there is another side to the coin in terms of preparing for negotiations. Meeting the publishers at eye-level means familiarizing yourself with the scholarly communication environment and their position in it. In this way, you can anticipate the position of your counterparts, of what they might want to obtain from the negotiations, and it will help you to better position yourself at the negotiating table.

Understand the scholarly publishing market in transition

The ESAC Market Watch was developed with this precise goal in mind: to provide the community with an overview of the changing scholarly communications landscape, with a special focus on the market impact of transformative agreements. Naturally, there are other instruments for assessing global market size, publishing trends, and the uptake of OA over time, out of which the Open Access Data & Analytics Tool by Delta Think is particularly useful, as are their newsletters and webinar series. In addition, for evaluating the subscription business of larger publishers, the EUA Big Deal surveys can provide you with valuable information in terms of reference points and benchmarking of traditional subscription agreements.

You can also follow the publishers’ own public statements on the open access transition; there is a rich collection of such statements in this compilation of responses to the public Request for Information issued by the U.S. Office of Science and Technology Policy (OSTP) on Public Access to Peer Reviewed Scholarly Publications, Data, and Code Resulting from Federally-Funded Research.

Gain strategic insight on the publisher’s market position

You can also apply many of the data gathering and analysis exercises used in the context of understanding your own institution’s publishing trends and expenditure to analyze the market position of publishers. For example, you might want to look at their overall publishing output, the APC price points of their journals and how these have developed over time, and look at the transformative agreements they already have in place, to form an idea of their current position in the market.

We once again refer to the Community of Practice for Negotiating and Implementing OA and Transformative Agreements by the OA2020 US Working Group, and highly recommend Keith Webster’s talk on the July 10, 2020 Meeting: How to gather, analyze and use publication data for negotiating open access agreements (starting at 25:00). This talk provides great insight on assessing publishers in market terms, and you can learn more on how to find and understand their annual reports, financial statements, and investor presentations, for example.

It is also worth looking at the overall composition of journal portfolios, as well as how they change over time: are publishers launching subscription-based or fully open access journals? At what rate? Did important journals flip to OA recently? All of these factors can give insight into how the publishers are positioning themselves and how they see the market developing in the future; such insights will have an influence on whether or not and under what conditions your authors will be able to publish their articles openly.
Apart from the composition and evolution of the publisher’s current journal portfolio, you should also keep an eye on journal transfers and takeovers, as these could have an influence on the structure of your agreement, as well as a significant impact on the results of your cost modeling exercises. Finally, mergers and acquisitions of other companies or journal portfolios can be a clear signal of how publishers are positioning themselves in the shifting scholarly communications landscape; see, for example, the acquisition of Knowledge Unlatched and Hindawi by Wiley, or F1000 by Taylor & Francis.

APC price transparency frameworks promoted by cOAlition S and the FOAA can also be useful tools for gaining insight and exerting critical market pressure on APC price points in negotiations, and many publishers have already begun to adopt them; see for example The Company of Biologists or Copernicus Publications.

Quality metrics, such as impact factors and other journal-level metrics, may also provide information relevant to understanding the publisher’s position in the ecosystem; after all, one of the intended applications of citation analyses was to provide a basis for the calculation of cost-benefit ratios in order to better manage library budgets. Similarly, indexing in various databases, such as the Directory of Open Access Journals can be used as a metric for assessing quality of journals for consideration in your modeling. You can also consider whether publishers are delivering key metadata elements (such as license URLs) to Crossref by looking at members’ pages in the Crossref Participation Reports, or check whether they participate in initiatives as I4OC or I4OA.

Learn from the experience and benchmarks of your peers

The ESAC Registry of Transformative Agreements was created to help the library community share key information and benchmarks in their transformative agreement negotiations, and Registry entries can be a starting point to compare and consider specific clauses, business models, and further information on transformative agreements between specific publishers and institutions. In addition to ESAC’s practitioner community, you can find information, experience and support through international networks such as OA2020, with their periodic Summits of Chief Negotiators, and, for member consortia, ICOLC.

Key references

- ESAC Registry of Transformative Agreements
- ESAC Market Watch
- OA2020 US Working Group Community of Practice for Negotiating and Implementing OA and Transformative Agreements
- Delta Think Open Access Data & Analytics Tool
- Crossref Participation Reports
- Practical Idealism: UC’s Approach to Open Access
Defining your approach to transformative agreement negotiations

Ideally, your approach to transformative agreement negotiations will synthesize the lessons learned by analyzing your own data, gathering an understanding of the scholarly communications landscape, and collecting perspectives from stakeholders. Your current level of subscription spending, the relative volume of the publications of your researchers, and your institution’s core values and commitment to open access to research will all contribute to formulating your negotiation approach, establishing criteria for evaluating proposals, and, essentially, defining what you consider to be a successful outcome in terms of both service and cost.

Some may opt for a consolidated approach, seeking transformative agreements with all relevant publishers as each subscription agreement comes up for renewal and, potentially, taking advantage of variance in their spending/publishing with different publishers to balance their overall strategy. Others may begin by piloting negotiations with just one or two publishers, in order to gain experience and build up capacity for the open access transition. Ultimately, transformative agreements are not just an instrument to drive publishers to transition their journals to open access. They are, equally, a framework for libraries, institutions and national research communities to reorganize their subscription-based processes and financial investments, so that the money currently locked-up in pre-paid subscription agreements is disaggregated and can follow authors where they wish to openly disseminate their papers.

Defining your negotiation principles

The ESAC community defined the nature and purpose of transformative agreements and their general guidelines. Additionally, as part of this reference guide, ESAC has produced the spectrum How Transformative Is It to help institutions develop their own negotiation principles and assess publisher proposals. Transposing these to their own contexts, libraries and consortia have created their own local open access transformation roadmaps complete with principles, requirements, roadmaps, checklists, and recommendations to guide their own negotiations and implementation strategies; many of these are featured in the 15th Berlin Open Access Conference posters and ESAC’s listing of Negotiation principles internationally to provide inspiration for others. Some particularly thorough resources, such as Requirements for transitional open access agreements by Jisc or Priorities for publisher negotiations by the University of California, can be very helpful in mapping out your approach to negotiations.

Modeling costs for the open access transition

Transformative agreements are grounded in the understanding that the large-scale transition of subscription journals to open access is possible within the current global subscription spend. Based on this principle, many institutions and consortia find that aiming for cost-neutrality with respect to former subscription expenditures—greatly reducing or even fully omitting author expenditure on APCs—is a fair and reasonable financial objective for their negotiations, as affirmed in the Final Conference Statement of the 14th Berlin Open Access Conference.

The principle of a global cost-neutral transition in which the current subscription expenditure with a given publisher is re-purposed to cover open access publishing of the institution or consortium’s authors’ articles (as well as providing reading access to content still behind the paywall) has been
proven many times over at the institution and consortium level, as well.

Nevertheless, upon analyzing your publication and expenditure data you will surely note cases in which your current subscription fees—largely based on historic print spend—do not easily translate into expenditure for open access publishing services, due to the proportions of one or the other. For example, you might have a significant subscription expenditure with a publisher in whose journals your authors publish very little, and there might be publishers in whose journals your authors publish a high number of articles, but your subscription expenditure is very low or even non-existent. As you prepare for negotiations, you will have to model the financial impact of your future agreements and consider possible adjustments to how you budget for open access publishing, as opposed to subscriptions.

An easy way to model and compare costs would be to calculate theoretical transformative agreement fees or Investment per article (IPA) by dividing the total fees you are currently paying by the number of articles your authors are publishing in the relevant journals. It is common to calculate such values for evaluation purposes, and it can be really eye opening if you compare your institution or consortium’s IPA with different publishers. This exercise can also be useful in considering what divestments can be made in favor of other services.

As you review library subscription expenditure and author expenditure on open access publishing together with your institution’s publishing trends, an important follow-up question to consider is: Can you afford not to invest in open access? All current observations strongly suggest that the OA publishing market is growing rapidly, at a rate greater than the underlying scholarly journals market. Considering this, you can anticipate that without a transformative agreement, the OA output of your institution will continue to grow, and your authors will be expected to pay more and more for OA publishing in a decentralized fashion outside of the oversight of the library, even as the library continues to pay subscription fees. Modeling and comparing costs under different scenarios—including the “do nothing” scenario—can help you to uncover potential cost-avoidance through transformative agreements.

Planning for the reorganization of financial streams

At the institutional level, it is important to share the results of your cost modeling exercises with other stakeholders at your institution, i.e. faculty governance and administration, as there is, often, little knowledge outside the library of the actual total costs of scholarly publishing, i.e. subscription expenditure and APC expenditure. Conversations about such costs can be extremely helpful in developing an institutional perspective on fair pricing for scholarly publishing services, how budgets might need to be reshaped to fully support open access publishing of your institution’s output, and, potentially, how library subscription funds and grant funds might be integrated to make the open access transition sustainable on the immediate term. This introductory guide to the UC model transformative agreement provide an excellent basis for such considerations.

On a consortium level you will also need to consider new models for cost-distribution, as the former distribution of costs among members (based on reading access) might not be a fair and reasonable distribution of costs based fully or, at least, mainly on the open access publishing services delivered to each institution (i.e. articles published by their authors). Everyone gains when research is openly disseminated, but reorganizing budgets to support the open access publishing services used by authors can be challenging—especially for research-intensive institutions. Many library consortia are therefore developing cost-distribution models that enable a gradual re-distribution of costs over time. Take a look at the Report on internal cost reallocation models within the Bibsam consortium, the Reduce and restructure costs section of the DEAL Operations website, and the recent article on the lessons learned from the Austrian Transition to Open Access project.
Key references

- ESAC: Negotiation principles internationally
- Jisc: Requirements for transitional open access agreements
- UC: Priorities for publisher negotiations
- Disrupting the subscription journals’ business model for the necessary large-scale transformation to open access
- Report on internal cost reallocation models within the Bibsam consortium
- Austrian Transition to Open Access: a collaborative approach
- 15th Berlin Open Access Conference posters
In the recent past, library and consortium negotiations with scholarly publishers were often limited to requesting and, with varying degrees of success, obtaining a certain level of cost containment in their annual subscription fees. In the context of the open access transition, the scope of negotiations has expanded significantly, requiring a greater level of understanding and expertise in the art of negotiation. There are, of course, many sources on negotiation theory, which you can study to improve your negotiation skills; some consortia have even hired professional negotiators to support their work.

This section addresses a few key considerations around transformative agreement negotiations and identifies important elements of information and data exchange that are part of the negotiation process. Communicate your progress, seek input from your community when needed, and avoid the trap of making decisions in the negotiation room. You can also get the upper hand by not waiting for publishers to come up with proposals themselves, but taking the initiative and formulating your own proposals based on your objectives. Overall, it is best to be prepared to encounter situations that you have not experienced previously, and, as in any negotiation, seek to be practical and constructive.

Define your negotiation goals

Having grounded your approach with overarching principles and made data-based cost/service assessments to inform your strategy, you are ready to define some specific negotiation goals. As is the true nature of negotiation, not all of your stated goals will be met fully all of the time, and it is important to stay flexible and pragmatic. While setting a high bar can increase your negotiation power, being too rigid can limit your freedom in making decisions. Without disclosing too much information about your position, your goals should encompass a range of positive outcomes even if adjustments and prioritizations need to be made in the course of negotiations. In the end, you are negotiating the terms of your future agreement.

Key resources

For further inspiration on defining negotiation principles and goals, look at the Requirements for transitional open access agreements and Assessing transitional agreement proposals by Jisc, or the Guidelines for Evaluating Transformative Open Access Agreements and Priorities for publisher negotiations of the University of California.
How transformative is it?

To evaluate publisher proposals during the negotiation process, to assess the progress of your current TAs, and to map out your next negotiation objectives, ESAC has produced the How Transformative Is It spectrum of open access transformation drivers that characterize TAs.

Recognizing that libraries and library consortia will all have unique starting points and priorities, the spectrum maps out how successive transformative agreement iterations depart from the limitations of the subscription paradigm and lead, progressively and concretely, to an open and diverse scholarly communication environment.

Inspired by the “How Open Is It” guide for authors created by SPARC in conjunction with PLOS and OASPA, the ESAC spectrum reflects the range of mechanisms advancing the open access transition through the over 350 agreements documented in the ESAC Registry or that are under discussion in current negotiations.

For each transformation driver, the spectrum starts (at the left) with the overarching negotiation objective, contrasted by a description of conditions under the subscription paradigm. The spectrum then progresses through different agreement iterations toward the envisioned characteristics of an open scholarly publishing paradigm.

Explore the “How transformative is it?” spectrum in the next page.

Direct link to standalone spectrum PDF [here](#).
This spectrum illustrates the array of transformation drivers that characterize transformative agreements. It helps to bring traditions and publisher proposals during the negotiations process, presents the progress of their current TAs, and maps out their next negotiation objectives. Recognizing that drivers and driver intensity can have their unique outlining points and priorities, the spectrum maps out how transformative agreement drivers deviate from the limitations of the subscription paradigm and lead to ‘new’ and previously unknown contractual environments. It reflects the scope of mechanisms advanced to open access transition through the use of OA agreements documented in the ESAC ‘How Open Is It’ guide for authors. This spectrum stresses the need for these agreements, essentially, to be a step away from continuation of the former paradigm. The spectrum shows progress through different agreement iterations toward the envisioned characteristics of an open scholarly publishing paradigm.

**Transformation Drivers**

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<th>transformation drivers</th>
<th>subscription agreements</th>
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| Reining in costs and re-engineering subscription processes | Under the subscription paradigm, libraries pay a pre-determined annual fee (subscription fee) for access to all articles in the journal. While negotiations of the subscription agreements are performed under complete confidentiality, it is not the case that these agreements are locked in journal fees for reading access and publication fees (APCs) for publishing. Post-paid or partially post-paid arrangements are also common. The centrally negotiated subscription prices are often higher and subject to annual increases.

In the former case, this could result in additional costs to the negotiating institution/consortium to cover 100% of articles or, potentially, leave the library with no access to the subscription paywall. Without coordinated processes around open access (OA), subscription agreements perpetuate the subscription paradigm. For this reason, the slight, individual, lump sum fees for open access publishing, but the overall reduction in subscription fees for reading access may not be enough to compensate for changes in the publishing landscape, including the shift to OA.

In many transformative agreements, despite the agreement not covering all publishing rights, libraries and consortia remain the subscribers. The library continues to subscribe in open access and the overall publishing market is further influenced by these agreements.

**Spectrum of Transformation**

**How Transformative is it?**

The spectrum is a companion to the paradigm. The spectrum progresses through different agreement iterations toward the envisioned characteristics of an open scholarly publishing paradigm. Each transformation driver, the spectrum starts (at the left) with the overarching negotiation objective, contrasted by a description of conditions under the subscription paradigm and lead, progressively and concretely, to an open and diverse scholarly communication environment. It reflects the range of mechanisms the negotiation process, assess the progress of their current TAs, and map out their next negotiation objectives. Recognizing that libraries and library consortia will have their own unique outlining points and priorities, the spectrum maps out how transformative agreement drivers deviate from the limitations of the subscription paradigm and lead to ‘new’ and previously unknown contractual environments. It reflects the scope of mechanisms advanced to open access transition through the use of OA agreements documented in the ESAC ‘How Open Is It’ guide for authors. This spectrum stresses the need for these agreements, essentially, to be a step away from continuation of the former paradigm. The spectrum shows progress through different agreement iterations toward the envisioned characteristics of an open scholarly publishing paradigm.

**References**

1. ESAC Transformation Agreements [https://www.esac-publishers.org/about-esac/transformations]
2. OAI Conventions [https://www.oai.net/]
4. OAIC Open [https://oaic.org.uk/about-open-access]
5. Open Access Scholarly Publishing Agreements [https://www.sherpa.ac.uk/open-access/oa-agreements/]
7. Scholarly Open Access [https://scholarlyopenaccess.org/]

The spectrum is a companion to the ESAC Reference Guide to Transformative Agreements, where you can find out more on the specifics of how to prepare for, negotiate and transform agreements. Inspired by the "How Open Is It" guide for authors of OA agreements at COAR, this spectrum is based on ideas contributed by the German working group "OA 4.0," and further developed and adopted by the ESAC community.
Finding common ground and mutual gain

In your interactions with publishers, you will most likely encounter a variety of approaches and, over time, you will be able to anticipate what the other party is trying to achieve with the negotiations. You might invest some time reflecting on what you think are the publisher’s primary interests and goals and consider how you could use these to your advantage.

The most obvious goal of your counterpart will be to increase their revenue by selling OA publishing rights on top of existing subscriptions, but scholarly publishing is a complex ecosystem and, in their views, transformative agreements might also help them to:

- Align with researcher communities around the principle of open access as essential for progress in science and society
- Make OA publishing in their journals more attractive for your authors by removing financial and administrative barriers of the OA publishing process
- Make sure that authors can continue to publish in their journals by providing publishing routes that comply with funder mandates
- Increase institutional participation in a consortium agreement by making the terms and conditions more attractive, i.e. by providing additional services, such as OA publishing elements
- Save operational costs by simplifying the administration of OA publishing, as well as streamlining the invoicing processes
- Increase their visibility and reputation—this is particularly relevant for new entrants to the market with innovative business models

Some of the publisher’s objectives might even overlap with your own, and by working together, you can secure agreements that help you in fulfilling your mission, keep your budget controlled, and leave all parties satisfied with the outcome of the process. Additionally, you should not discount the value that your authors bring to publishers in the form of their peer-review, service on editorial boards, publications and citations. You can leverage the value your institution brings to the table to strengthen your position in the negotiations.

Transformative agreements are iterative by nature, and you should keep this in mind during the negotiations – some publishers will be more risk-averse, and take more time to come to an agreement that will satisfy all your goals. This is particularly important in enabling smaller independent publishers to participate in Open Access transformative arrangements, who might need opportunities to build up their operational capacity for transformative agreements, in particular around the financial processes and workflows, or who are seeking feedback from the community on new models to take the next step in their OA transition. Therefore, you might find it worthwhile to support them at the beginning of their transition phase, especially if they are highly relevant to your community, or if they show alignment with your values.

Getting clarity on the technical aspects of the agreement is also a key part of the negotiation process. You should discuss the OA Workflows of your future contract, ideally at a very early stage your negotiations. Even if your objectives are not fully met, you can establish frameworks for desired improvements and a roadmap for their implementation and revisit them over the term of your agreement. For this, you should establish contact with people who are typically outside the regular sales- and management teams of publishers, including those involved in journal production, workflows, metadata, and so on. For example, you might ask for screenshots of the author journey or the sample text that your authors will receive from the publisher informing them about their OA publishing option,
so that you can propose and negotiate improvements as needed.

Finally, negotiations on price should not be separated from negotiations of the terms of your agreement. You should always have the potential agreement terms in mind as you negotiate, as these can heavily influence the performance of the agreement you eventually reach. A checklist of agreement terms is provided in this resource guide to help clarify their rationale and significance in negotiations.
Information and data exchange

Negotiation rounds are essentially sequences of exchanging information, be it data, proposals and counter-proposals, or learning more about the standpoint of the other party. In this section, our special focus will be on essential data elements that publishers should generally be able to supply, and which form an essential part of the negotiations.

Article-level publication data

While it is always crucial to conduct your own publication analysis, publishers should carry out the same exercise, and the two of you should compare notes with an article-level overlap analysis of the corresponding authored papers of your institution or consortium published in the journals of the publisher. This analysis serves to give both parties a common understanding of the entity of open access publishing services to be covered by your agreement and will enable you to uncover any blind spots or discrepancies in your respective counting methodologies, in order to arrive at the most accurate picture. The comparison will also give you an inside view into how the publishers’ systems are set up, what data they are capable of capturing, and whether they will be able to deliver the services necessary for a seamless OA publishing experience for your authors.

An overlap analysis can also be used to compare financial information, such as APC spending. Such an exchange can help you understand whether the APCs actually paid by your authors match the figures derived in your cost modeling exercises, and shed light on the type and volume of APC discounts the publisher might be granting your authors. Publisher-generated APC data might even be more accurate than your own estimations, especially if your institution does not currently track APC payments.

Some publishers even indicate the invoicing channel in the articles’ metadata, i.e. specifying whether the open access publishing of an article was invoiced directly to the authors, was billed to an institution (i.e. covered by a central transformative or open access publishing agreement), or paid by other means. This is not yet a common practice, but the community would welcome standardization in this area, in order to help all players in the ecosystem to better track and understand the financial flows around open access publishing.

Journal title lists

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Core elements of data exchange

Ideally, publishers should be able to provide the data elements below for both title lists and publications, in order to arrive at the best possible model and a successful implementation of transformative and open access agreements. Must-have data points are marked with an *.

<table>
<thead>
<tr>
<th>Journal title lists</th>
<th>Publications</th>
</tr>
</thead>
<tbody>
<tr>
<td>■ Publisher name*</td>
<td>■ DOI*</td>
</tr>
<tr>
<td>■ Imprint* (where relevant)</td>
<td>■ Article title*</td>
</tr>
<tr>
<td>■ Owner* (society, etc.)</td>
<td>■ Article Open Access type (e.g. gold, closed)*</td>
</tr>
<tr>
<td>■ Customer name (when relevant)</td>
<td>■ Article License (where relevant, e.g. CC-BY)*</td>
</tr>
<tr>
<td>■ Journal title*</td>
<td>■ Article type (e.g. original paper, review article, etc.)*</td>
</tr>
<tr>
<td>■ Journal ID (publisher-specific)*</td>
<td>■ Article type relevant to contract (yes/no, i.e. peer reviewed article)*</td>
</tr>
<tr>
<td>■ Print ISSN*</td>
<td>■ Publication date (first/online)*</td>
</tr>
<tr>
<td>■ Online ISSN*</td>
<td>■ Relevant date for agreement (date of submission/acceptance/publication)</td>
</tr>
<tr>
<td>■ Journal URL*</td>
<td>■ Discipline (e.g. HSS/STEM)</td>
</tr>
<tr>
<td>■ Journal discipline (e.g. STEM/HSS)</td>
<td>■ Publisher name*</td>
</tr>
<tr>
<td>■ Journal publishing model (e.g. hybrid, fully OA, subscription)*</td>
<td>■ Journal title*</td>
</tr>
<tr>
<td>■ if fully OA, DOAJ yes/no</td>
<td>■ Journal ID (publisher-specific)*</td>
</tr>
<tr>
<td>■ Reading rights: yes/no*</td>
<td>■ Print ISSN*</td>
</tr>
<tr>
<td>■ Publishing rights: yes/no*</td>
<td>■ Online ISSN*</td>
</tr>
<tr>
<td>■ APC list price (where relevant)*</td>
<td>■ Journal business model (e.g. hybrid, fully OA, subscription)*</td>
</tr>
<tr>
<td>■ APC currency*</td>
<td>■ APC list price (where relevant)*</td>
</tr>
<tr>
<td>■ Other charges yes/no</td>
<td>■ Invoice amount (where relevant)*</td>
</tr>
<tr>
<td>■ if yes, type</td>
<td>■ Invoicing channel (i.e. author, funder, agreement)</td>
</tr>
<tr>
<td>■ Waivers offered yes/no</td>
<td>■ Currency (where relevant)*</td>
</tr>
<tr>
<td>■ Current agreement APC discount</td>
<td>■ Discount/surcharge category</td>
</tr>
<tr>
<td>■ Other discount types and groups</td>
<td>■ Discount/surcharge amount</td>
</tr>
<tr>
<td>■ Licenses offered* (where relevant, e.g. CC-BY)</td>
<td>■ Corresponding author name* (or eligible author that counts under the agreement, i.e. submitting) (if multiple, list all)</td>
</tr>
<tr>
<td>■ Publisher’s Standard / non-standard OA workflow* (where relevant)</td>
<td>■ Corresponding author email*</td>
</tr>
<tr>
<td>■ Subscription list price (where relevant)</td>
<td>■ Corresponding author ORCID</td>
</tr>
<tr>
<td>■ Open archive and embargoed OA (where relevant, i.e. articles are free to read after x months)</td>
<td>■ Corresponding institution name* (affiliation as on the VoR) (if multiple, list all)</td>
</tr>
<tr>
<td>■ Copyright policies (i.e. copyright retention by authors)</td>
<td>■ Corresponding institution ID (e.g. ROR, Ringgold)</td>
</tr>
<tr>
<td>■ Date active from</td>
<td>■ Funder ID (where relevant)</td>
</tr>
<tr>
<td>■ Date added to the agreement*</td>
<td>■ Funder name (where relevant)</td>
</tr>
<tr>
<td>■ Date updated</td>
<td>■ Grant ID (where relevant)</td>
</tr>
<tr>
<td>■ Changes made*</td>
<td>■ Funding acknowledgement from the article (if available)</td>
</tr>
<tr>
<td>■ Journal-specific notes (where relevant, i.e. special article types, varying APCs, transfers, takeovers, etc.)</td>
<td>■ Notes and comments</td>
</tr>
</tbody>
</table>
Downloads

- Excel template for article data
- Excel template for title lists
After successfully conducting the negotiations, and settling on the terms of an agreement, you will have to ratify the outcomes in a written contract, put into practice new workflows and processes—both internally and with the publisher, and establish mechanisms for ongoing monitoring and assessment of the agreement.

Your experience with these elements will also serve to inform the next negotiation cycle or phase in your transition strategy, building on the outcomes you—and others—have achieved and acknowledging shifts in the landscape that have occurred as transformative agreements proliferate and the proportion of articles published openly in hybrid journals increases.

**Agreement terms**

Your negotiation principles and goals will most certainly influence the nature of your agreement, which can be more or less restrictive or generous. Nevertheless, how you define terms such as eligible authors, article types, and relevant dates (date of article submission, date of article acceptance, date of publication) is of paramount importance, as they have enormous impact on the efficiency of the workflows which will bring the conditions and services negotiated to fruition.

Transitional by nature, transformative agreements expand the scope of former subscription contracts to include open access publishing, so the terms of traditional subscription licenses must likewise be expanded. The following list explains some core terms that transformative agreements should include, in addition to access-related terms (authentication, perpetual access terms, KBART standard title lists relevant for your reading access entitlements, COUNTER compliant usage reports, Text and Data Mining, data protection, etc.).

This list of open access publishing terms builds largely on the ESAC Workflow Recommendations for Transformative Agreements and Sample agreement terms, the Checklist for Open Access terms in Publisher Agreements with Nordic Consortia, Managing OA publishing in transitional agreements by Jisc, and the SPA-OPS – Transformative Agreement Toolkit by Information Power.

**Purpose of the agreement**

It is useful to start with a clause or statement that clearly sets out the purpose and intent of the agreement, most narrowly: to provide eligible authors with the means and opportunity to publish their articles Open Access during the agreement term and in the journals that are covered by the agreement. Sometimes formulated as a preamble, the statement can also express shared principles such as a formal commitment to the open access transition and practices of diversity, equity and inclusion.

**Eligible authors**

Usually limited to corresponding authors (authors who take the administrative role in the publication workflow), who are affiliated with the institution (or, in the case of consortia, eligible institutions). It is now common practice in open access publishing that the costs for open access publishing of an article are attributed to a single institution, generally identified through the affiliation of the corresponding author; to this end, the corresponding author’s affiliation must always appear on the final published
version of the article.

Typically, corresponding authors are identified on the published version of the article with an asterisk or other icons. Limiting eligibility to corresponding authors serves the purpose of assigning one article to exactly one paying institution, and avoiding discrepancies around multiple affiliations. In specific cases, this can also be done by using the submitting author (as papers might have multiple corresponding authors), or using the affiliation senior/last/first authors in certain fields, where these are appropriate.

Keep in mind that affiliation can have different meanings: usually it is the institution where the research was conducted, but when authors move around, they can also list their current institution in the list of affiliations. Therefore, the most important factor for determining eligibility should be that the research leading to the publication was conducted at the eligible institution.

Article types

Article types are usually limited to broad categories like peer-reviewed articles, primary research articles and review papers, in order to exclude content like editorials, interviews, or obituaries. In cases of uncapped agreements, the list of article types are usually more liberal and can include all types of content. Keep in mind that different journals can operate with different article types and adopt different nomenclatures for describing article types, meaning that you could end up with dozens of article types across a journal portfolio.

Some agreements can also cover conference proceedings, in which case you should take into account the topical and unpredictable nature of when and how many proceedings papers could potentially be published by your authors. You should reflect on this factor when analyzing and modeling your publishing output, for example by using annual averages over several years, to flatten out such fluctuations.

Relevant dates for eligibility

Different agreements can use different dates for determining eligibility—and you will most likely have a mix of these across your various agreements. The most important objective, in any case, is clarity, and the relevant date for eligibility is usually one of these three options:

- **Submission**: the date when authors submit their paper to the journal
- **Acceptance**: the date when the authors are informed by the editorial team that their paper has been accepted for publication
- **Publication**: the date when the paper first appears in the journal or on the platform

All of these options have their pros and cons:

- **Submission**: while it is a straightforward and independent variable, and provides ample time to inform authors about the possibility of OA publishing, the length of the peer review process can cause that articles are published several months (if not years) after the eligibility check took place, creating a messy situation around reporting the (annual) outcomes of the agreement. Moreover, during the publishing process, important metadata fields used for determining eligibility can (and most likely, will) change, making it necessary to institute multiple checks following the original determination of eligibility. The article itself can also be rejected or referred to other journals (within or outside the portfolio of the publisher), causing further complications.
- **Acceptance**: as article acceptance is an editorial decision, the article metadata can be practically be considered final (although it is not always the case), which makes it easier to avoid errors in checking the eligibility. As the authors are already in contact with the editors of the journals...
regarding the decision on the paper, it is also easy to communicate the availability of the OA publishing option. However, there is still a lag between the editorial decision and the publishing date, which can, once again, cause issues in reporting and create problems if important metadata elements change during this time.

Publication: as the article is published in its final form, the metadata used to verify eligibility can be considered final. However, if the verification process is too close to the publishing date of the article, there will be less room to correct possible errors, especially if your agreement does not provide default OA publishing to your authors.

Publishers might operate with additional relevant dates depending on their specific article verification infrastructure (i.e. editorial decision date, approval date, referral date, allocation date, received into production date, etc.) It is important to clarify if these dates are already covered by the ones listed here (submission, acceptance, and publication), or if the publisher is seeking to establish an additional date as a criterion for the article eligibility. Such cases will have to be considered carefully.

**Journals eligible for OA publishing**

Just as with entitlements under subscription agreements, you will need to specify the journals that are included in the OA publishing component of your agreement. This can be integrated as a title list within the agreement, or exchanged via other channels.

As noted in the core elements of data exchange, the metadata elements of open access publishing title lists will most likely have fields that differ from the KBART standard, and they might be different from the title list relative to the reading component of the agreement.

**Changes to the journal portfolio**

Just as in the case of subscriptions, open access publishing title lists can change. This is an important point to consider during the negotiations, and your agreement should regulate whether journals can move in and out of your agreements.

For example, agreements should define rules on what happens to your publishing rights in the case of journals that change publishing models, such as flipping to fully OA while under agreements that only cover open access publishing in hybrid journals. Agreements should also address the case of journals that are transferred to other publishers (or acquired by the publisher) during the term.

**Open access publishing entitlements**

Transformative or open access agreements can take many different forms, and we are currently in a phase where new models are still emerging. Therefore, it is of utmost importance to state the entity of open access publishing covered in the agreement e.g. if the agreement allows a certain (limited) number of articles to be published OA, or if there are no article caps and it provides unlimited OA publishing for authors. Caps can take different forms, such as simply stating the number of articles to be covered, having a publishing-fee allowance from which a per-article fee will be deducted over time, or dividing total fees by a fixed per-article amount to come up with a number of tokens or vouchers.

Apart from the generalities, you should also double check that the articulation of open access publishing entitlements applied in the agreement corresponds to what was agreed in the course of negotiations (and presumably used in your model calculations). Libraries and consortia have reported cases in which they had modeled an average APC for the publisher’s entire portfolio in order to
define their open access publishing entitlements in the course of negotiations, but later found the
final agreement calculated publishing entitlements modeled with journal-specific APCs; this caused
unexpected hurdles, namely running out of their publishing allowance earlier than expected.

Fee structure and payment schedule

Closely related to the open access publishing entitlements, a section in the agreement should describe
how fees are articulated and charged. Fees can be articulated in bulk or on a per-article basis. Fees
can be charged as pre-payments, post-payments (i.e. after articles are published), or as a combination
of the two (i.e. a certain amount is paid in advance, with the balance post-paid based on the actual
number of published articles).

In the case that your fee structure is articulated on a per-article basis and post-paid, the terms should
define if you will get an invoice separately for every single article or if cumulative invoices will be
issued with a specific frequency (i.e. monthly, quarterly, annually).

The invoicing location should also be specified in the agreement, i.e. if payment will be made centrally
(by the consortium or some other central unit), by the library, by the authors (in case of APC discounts),
or if the invoices are split in some way between various players (for example, as in the University of
California multi-payer model).

You should define specific metadata fields to use in invoices in order to be able to efficiently process
and approve payments. See the ESAC Workflow Recommendations for the specific fields.

Per-article fees and APCs

If the fee structure of your agreement is articulated with per-article fees or includes APCs, you will have
to clearly specify the amounts in the agreement. This makes it easy for your agreement administrators
to verify not only the eligibility of articles, but also whether the prices marked in invoices are correct.
Depending on your fee structure, you can define the amounts in a variety of ways, for example
setting a uniform per-article fee for all articles covered in the agreement or all articles in certain journal
categories (e.g. setting uniform fees for hybrid journals), or indicating the journal level APCs. If the
agreement provides discounts or caps on APCs, or allows authors to use discounts via other channels,
this should also be specified in the agreement. Finally, you should also indicate whether the fees are
subject to change over the term of the agreement, i.e. if, how and when fee increases can be applied
or whether they are to remain stable for the entire term.

Mechanisms to ensure sustainability and mitigate potential financial risks

Although your modeling exercises can help predict the number of articles that might be published in
each year of the term of the agreement with a good level of certainty, the publishing output of your
authors is influenced by many factors beyond your control and you might encounter unanticipated
changes in your publishing trends. For example, an unexpected increase in publishing output might
cause you to run out of your open access publishing allowance before the end of the calendar
year. One way to handle this case would be to simply pause the OA publishing component of your
agreement, but this might cause confusion and frustration for your authors. Another way to handle
this case would be to top up your payment to cover all articles that are published over the article cap,
but this would put significant financial pressure on only one contracting party in the negotiations,
specifically the library (or consortium).
Many agreements therefore have provisions that aim to provide stability for both parties, even in the case that the actual publishing output deviates from the expected publishing output. Such provisions can include setting upper and lower thresholds or corridors that allow articles to deviate by a certain percentage rate without affecting the agreed publishing fees; a threshold can also be set to specify a maximum amount in extra payments/refunds in case the expected articles amounts are exceeded or not reached. Other agreements include provisions to roll over unused publishing allowances from one year to the next (or, for multi-year agreements, calculate a total number of articles for the entire term instead of annual caps).

You can define even more sophisticated mechanisms, for example defining ranges on article growth and connecting those with future price increases in such a way that the future costs can be adjusted based on the uptake or performance of the agreement.

Successful agreements are those in which the terms are sustainable for both parties and the financial risks that might stem from unexpected fluctuation in publishing output are shared fairly.

### Discounts and waivers applied outside of the agreement

Some journals provide special discounts or waivers to authors as part of their membership to a learned or professional society, if they serve on editorial boards, conduct peer review for the journals, and so on. The agreement should clearly define whether these discounts and waivers will still be applicable for articles published under the agreement, and how these will be applied and calculated.

Such discounts and discounts groups (when applicable) should be indicated on the open access publishing title lists of the agreement and in OA publishing reports.

### Refunding APCs paid outside of the agreement

The contract should clearly state that in cases in which articles from eligible authors are published OA outside of the central agreement due to workflow inefficiencies or other errors, and a fee was unduly incurred by the author, the fees paid for such articles will be refunded.

### Additional fees and services

It’s important to ensure that no extra “print-based” charges, such as page charges, color charges, etc. will be charged to the authors. The inclusion or exclusion of journals that operate with additional fees for any “value added services” should be clearly indicated.

### Author identification parameters

An extremely important factor contributing to the successful fruition of the agreement is the publisher’s timely and accurate identification of eligible authors. This will ensure that authors are provided with cues to signal their entitlement to publish open access. Author identification is usually achieved by one or a combination of the following parameters:

- Affiliation as stated on the final, published paper
- ROR, RingGold, or other organizational identifiers extracted from submission systems
- Email domains used during the submission process
- Authors selecting their institution from a list at submission
- IP addresses
OA publishing options (default OA)

It is essential to define whether the option to publish their articles open access will be presented to eligible authors as the default choice, or if they will have to actively choose the OA option from a selection of choices offered in the publishing process. In the case of default OA publishing, it is also important to specify in the agreement whether authors will be given the possibility to opt-out from OA publishing or not. Naturally, these clauses will heavily influence the OA uptake of your authors, and consequently, the overall performance of your agreement implementation.

You can define even more sophisticated mechanisms, for example defining ranges on article growth and connecting those with future price increases in such a way that the future costs can be adjusted based on the uptake or performance of the agreement.

Successful agreements are those in which the terms are sustainable for both parties and the financial risks that might stem from unexpected fluctuation in publishing output are shared fairly.

Open licenses choices for articles

Just as in the case of OA publishing options, your agreement will have to specify under which open licenses articles may be published. Most agreements operate with the Creative Commons license CC-BY as the default and sometimes, the only option. Others may offer variations (such as CC-BY-SA and other variants), and some even have publisher-specific licenses.

Changing licenses of published articles

As it is possible that eligible articles are published behind the paywall, or under a restrictive license, because of workflow inefficiencies or other errors, the agreement should allow these articles to be converted retrospectively to an open access license and it should generally be possible to change restrictive article licenses to more liberal license.

Notifications and verification

Some agreements operate with automatic workflows for which institutional checks to validate the eligibility of articles is not required. In cases where such verification is needed, the agreement should stipulate that institutions should be notified when an article is accepted or submitted (see relevant dates) in order to verify the eligibility of the authors, the article type, the article license (if the agreement limits these to certain types), and other fields, in a timely fashion. When the verification procedure is defined in the agreement, it can also specify a time interval (number of days) by which the verification process should be completed.

Publisher reporting

A section on reporting should define metadata fields used in the reports and their frequency (monthly, quarterly, annual, etc.) For a detailed list of data fields, see the ESAC Workflow Recommendations.
Customer tool/Dashboard/Account

Some publishers use dedicated tools (either in-house or commercial solutions or an independent intermediary) for a variety of workflow purposes (e.g. article verification process and/or monitoring of an agreed article contingent and/or monitoring a prepayment amount and/or reporting). It needs to be clearly defined in the agreement which services can be accessed via the tool and which services will depend on manual or ad hoc provision by the publisher.

Metadata delivery to relevant third parties

The agreement should mention that the publisher will make article metadata openly available and deliver metadata (including Open Access license information) to Crossref and other relevant third parties. To learn more, see the Negotiate metadata in contracts page of Metadata 20/20.

Article delivery (i.e. repositories)

More and more transformative agreements have clauses around delivering the version of record either directly to the institution, or automatically depositing the VoR in the relevant institutional repository, for example via the SWORD protocol.

Open Access funding acknowledgement

Providing a funding acknowledgement to indicate the entity that funded the research leading to the publication is now common practice. Similarly, in order to publicly display that an article has been published OA thanks to a specific transformative agreement, the published articles shall be labeled accordingly; for example, the footnote of the OA Article in the version of record shall state that “Open access funding provided by [the Institution].”

Transparency, no non-disclosure

Transparency around OA agreements is crucial, especially in the transition phase and, generally, no non-disclosure clauses should be in place between the parties.

In order to foster a transparent scholarly publishing market, enable community benchmarking of the costs and service conditions offered by commercial publishers, and support authors through third party systems such as the cOAlition S Journal Checker Tool, the contract can formally state that the agreement details will be shared via the ESAC Transformative Agreement Registry. Register your transformative agreements here!

Responsibilities of the publisher

The agreement should also state the responsibilities of the publishers, including, but not limited to:

- Will clearly communicate the existence of the agreement on its platform and its communications with the authors
- Will be responsible for the identification of Eligible Authors
- Will provide Eligible Authors with the OA publishing option as the default
- Shall not directly charge Eligible Authors for APC payments (unless agreed otherwise)
Responsibilities of the institution

Similarly, the agreement should also state the responsibilities of the institution, including, but not limited to:

■ Will clearly communicate the existence of the agreement on its website, to consortium member institutions, and to researchers
■ Will supply the information necessary for author identification, such as email domains or institutional identifiers like ROR, just as with IP addresses in the case of traditional licenses
■ Will share the agreement details in the ESAC Transformative Agreement Registry

For a more comprehensive list, see the 2021 Enhancement to the ESAC Workflow Recommendations!

Communication

For an optimal implementation, the contract can also specify dedicated contact persons for agreement-related issues, technical personnel, and staff dedicated to workflow related issues. It can also reference regular progress updates or “health checks” on the performance of the OA workflows, and set a commitment to implement (improved) workflows and other, specific service elements, which may not yet be but are necessary for a smooth process and are on roadmaps for the future.

Level of service

Just as with provisions around downtime and the availability of content in traditional contracts, transformative agreements can have similar conditions for the accuracy of the workflows, in order to foster improvements over time.

Availability of content

The agreement should include provisions for archiving and warranties of availability of published OA articles.
Workflows

For thorough guidance on workflows, check out the ESAC Workflow Recommendations and the 2021 Enhancements, produced by the agreement implementation subgroup, for more information on the operational aspects of managing your agreement.

The international ESAC library and consortium community, together with other partners in the scholarly communication ecosystem, continues to share experiences and promote good practice around the key workflow touch points that determine the success of a transformative or central open access publishing agreement: author identification, eligibility, verification, reporting, payment, monitoring and quality control.

Contact ESAC if you would like to get involved and to share your questions and suggestions.

Monitoring and assessment

The key drivers of transformation presented in the How Transformative Is It framework can help shape your approach to monitoring and assessment of your agreement; and, naturally, how you measure the progress and outcomes of your agreement will depend on the specific principles and objectives you define for your negotiations. Here are just a few aspects you might consider when developing metrics or KPIs to assess your agreements and their impact:

- Author take-up of the open access publishing opportunity secured through the agreement
- Proportion of the institution or consortium’s output with the publisher that is published openly
- Comparison of agreement costs with previous expenditure to determine the entity of cost avoidance of APCs in the wild
- Usage and altmetrics
- Administrative efforts

You may take inspiration from a variety of reports and updates publicly shared by many libraries and library consortia, and appropriately formatted for the relevant stakeholder audience. For example, here is a brief executive summary assessment by the German Rectors’ Conference of the first year of the DEAL-Wiley agreement. A series of annual reports from the Bibsam Consortium in Sweden and from Jisc in the UK provide an assessment of their first “offset” agreement with Springer Nature. Here are examples of some highly-visual, web-based national-level open access monitoring reports in the Netherlands and Finland. This Science Europe Briefing Paper on Open Access Monitoring provides some insightful recommendations on the key questions that research organizations should answer in order to develop a plan and criteria for monitoring their progress in the open access transition, generally.

Again, contact ESAC if you would like to get involved and to share your questions and suggestions.
As noted in the introduction, the ESAC Reference Guide is the narrative manifestation of an informal mapping of guidelines, good practice and insights conducted in Spring 2021 by a dedicated task group of experts from the international ESAC community, acknowledged below. By no means exhaustive in its references and examples, the guide covers the practical elements to preparing, negotiating and formalizing a transformative agreement.

While this ESAC Reference Guide focuses primarily on the negotiation of transformative agreements, further community resources related to communications, agreement implementation, agreement characteristics, monitoring and assessment are in the works.

As transformative agreements are, by nature, transitional, the guide will be updated to reflect new benchmarks and practice as scholarly publishing makes a definitive shift to open access.

Contact ESAC if you would like to suggest an addition or adjustment to the reference guide based on your own negotiation experiences.
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ABOUT ESAC

The ESAC community includes library practitioners who collaborate to produce open resources and who exchange experiences and insights via mentorship, dedicated working groups and other activities focusing on open access author and library workflows, data gathering and analytics, agreement terms, and stakeholder engagement.

If you would like to be matched with a mentor or would be interested in participating in any of ESAC’s working groups and activities, contact us with your area of interest.