Agreement: MDPI Institutional Open Access Program (IOAP)

Parties

Consortium of Swiss Academic Libraries, c/o SLSP AG, Werdstrasse 2, 8004 Zurich, Switzerland (on behalf of the participating institutions) and MDPI, St. Alban-Anlage 66, 4052 Basel, Switzerland (MDPI)

Definitions

IOAP

Institutional Open Access Program. A scheme operated by MDPI for the purpose of sharing information with participating institutions.

Manuscript

A piece of research with identified authors submitted to an MDPI journal with the aim of publication as a research paper. All submitted manuscripts containing original research undergo a rigorous peer review process following the norms for research journals.

APC

Article processing charge. A per-article fee that covers the cost of administration of peer review, professional production (including copy-editing, language editing, and preparation of final published versions in PDF, XML, and other formats), journal management (including communication with the editorial board, development of editorial strategy, dissemination of published research), and other tasks necessary to maintain an academic publishing house.

Central payment

A process whereby invoices for APCs are sent to a single recipient based at the institution for payment rather than individual authors. Invoices related to central payment may be collated and issued on a regular basis (e.g., monthly or quarterly) rather than for each individual manuscript.

Prepayment

Transfer of funds from the Institution to MDPI in order to cover APCs in advance of an invoice being issued. The funds are used to pay for invoices as they are raised, and used only with the approval of the Institution.

Susy

MDPI's online submission system, used to manage the editorial process for manuscripts and handle administration of APCs.

Affiliated authors

Any author of a manuscript who is an employee of or holds a research position at the Institution. This includes university staff, undergraduate and postgraduate students, those on temporary or permanent research contracts, lecturers, and full professors. Those granted an emeritus title are also included. Those with a temporary status (e.g., visiting researchers) qualify as affiliated authors if the research in the

manuscript was partially or wholly conducted at the Institution. Affiliated authors must include the Institution address in their affiliation listed on the manuscript and be authorized to do so by the Institution.

Purpose and Duration

This document sets out arrangements for how the IOAP operates. The Institution may leave the IOAP at any time by informing MDPI in writing or by email; in order to facilitate a smooth transition, a cancellation notice period of one month is recommended.

MDPI reserves the right to change administration of the scheme at any time or cancel it completely in writing or by email. MDPI will give adequate notice of changes and Institutions will have the option to leave the scheme before any changes are introduced.

This agreement comes into effect on 1 January 2021 and shall end on 31 December 2021. Thereafter it can be renewed for further one-year periods ending on an anniversary of the end of the initial term.

Participating Institutions

The list of participating institutions and APC payment model selected can be found in Appendix I.

Program Description

Participation in the IOAP is free for the participating Institutions.

MDPI will grant the participating Institutions access to a dedicated account on Susy where they will be able to view manuscripts and associated metadata. In the case of central payment, APCs, eligible authors, and invoices will also be accessible.

The institution is not obligated to submit any number of manuscripts to MDPI journals as part of the IOAP, however MDPI reserves the right to remove Institutions from which few manuscripts are received.

There are no costs from MDPI other than the APC for eligible articles. Articles rejected for publication by MDPI do not incur any fees or costs to the consortium. Articles rejected for central funding by the participating institutions will not incur any fees or costs to the Institution.

IOAP member institutions are listed at http://www.mdpi.com/about/ioap. For clarity and consistency of communication, the Institution is encouraged to make a public announcement about its participation.

APC Payment Models

By default, IOAP accounts are set up under a non-central payment model, where authors will be invoiced directly for any APCs applied to the accepted manuscript.

Institutions can opt into central payment, in which case they will receive invoices for submissions that Institutions identify as 'Central Payment' in their own dedicated dashboard. MDPI does not set the criteria for central payment eligibility but can automatically enroll authors for central payment based on their location (IP address) or email address, and whether or not they identified as a corresponding author.

APC payment models selected by the institutions can be found in Appendix I. Regardless the model selected upon signature of this agreement, MDPI will allow participating institutions to switch to a different APC payment model without requesting to sign an additional agreement or addendum.

Participating institutions willing to switch to a different APC payment model will inform MDPI accordingly at the beginning of the month, in order to ensure a smooth transition between models.

The Institution can refuse to pay invoices it receives and is solely responsible for deciding whether to pay an APC. In the case that the Institution declines to pay, a new invoice will be issued to the authors by MDPI.

In any case, the responsibility for receiving payment prior to publication remains with MDPI. Issuing of an invoice via central payment does not constitute a contract between MDPI and the Institution or give the Institution an obligation to pay.

Three different standard central payment options are available for participating institutions:

- *Individual Invoicing*: participating institutions receive one specific invoice per each article marked as central payment in their dashboard.

- *Monthly/Quarterly Invoicing*: participating institutions receive monthly/quarterly a collective invoice that would include the APCs of all those articles that were marked as central payment in their dashboard.

- *Prepayment Account*: Under this option institutions can in advance add a certain amount of funds of their choosing in their dashboard and, for each articled marked as central payment, its APC would be automatically deducted from that deposited amount.

Archiving

The Institution can choose to enable auto-archiving. In this case, all manuscripts published in MDPI journals by authors affiliated with the Institution will be deposited to the Institution's internal repository on the issue release date of the journal using the SWORD 1.3 protocol, or an alternative mechanism at the discretion of MDPI.

MDPI automatically submits its content to various third-party repositories. To some repositories all peer-reviewed content is submitted; for example, the full text of all articles is submitted to CLOCKSS for long term archiving and preservation. Abstracts and metadata of all MDPI journals are deposited in the DOAJ. The repositories in which this content is deposited are dynamic, and no repository gives any guarantee that it will maintain its relationship with any publisher, but MDPI strives to ensure that all its journals, including new journals, are referenced in all major repositories, and in particular the DOAJ.

If any journal is removed from, or not included in, the DOAJ, any participating institution may, for itself, remove that journal from the scope of this arrangement.

Depending on the journal, where relevant, content is also submitted to (or is indexed by) other repositories, such as PubMed Central, EuropePubMed Central, Google Scholar (all journals, crawled by Google), CAS, OpenAIRE, Web of Science, Scopus, Embase, Ei Compendex, Semantic Scholar, PsycINFO, Ulrich's Periodicals Directory, etc.

All content is submitted to CrossRef and published with a DOI, which creates a durable link to the content.

The publication's full text, the metadata, the supplementary data (whenever published), the citations and the status of the publication as Open Access must be made available in a machine-readable form via open standards. Moreover, publishers must notify authors in a transparent way of any changes in the description of the structure of the data.

APC Discounts

For any manuscript where at least one author is an affiliated author, MDPI will grant a 20% reduction on the published APC for the journal.

Only one discount through an IOAP scheme is permitted per paper, and the discount cannot be combined with other available discounts (e.g., discount vouchers, or society membership discounts).

Authors from participating Institutions will be able to select the IOAP affiliation when submitting their manuscript. MDPI will automatically detect the email domain of affiliated authors upon submission to ensure the correct identification of affiliated authors. The discount will be confirmed by MDPI upon submission and the Institution may disavow an author at any time before invoice payment.

In the eventuality of MDPI failing to apply the IOAP discount to eligible articles MDPI will remedy such situation by either applying the IOAP discount on a later stage of the submission process, or – if the APC was invoiced and paid without the discount being applied – by providing a refund to the payer for the amount that should have been discounted. This clause will not be applicable in cases where the submitting author fails to select the IOAP affiliation upon submission and has not provided an institutional email account upon submission.

MDPI reserves the right to ask the Institution for evidence of affiliated author status before granting a discount.

A list of current APC charges is available at http://www.mdpi.com/about/apc.

Affiliated authors also receive a 10% discount on charges associated with open access book publishing with MDPI (i.e., book processing charges; BPCs).

Severability

In the event that any one or more of the provisions contained herein shall, for any reason, be held to be invalid, illegal, or unenforceable in any respect, such invalidity, illegality, or unenforceability shall not affect any other provision of this agreement, but, to the extent permitted by law, this agreement shall be construed as if such invalid, illegal, or unenforceable provision had never been contained herein.

Waivers

No modification, amendment or waiver of any provisions shall be valid unless in writing. Any waiver in one or more instances by either of the parties of any breach by the other of any terms or provisions contained in this Agreement shall not be considered a waiver of any succeeding or preceding breach.

Confidentiality

The terms of this document are not confidential. The Institution must treat with strict confidence any manuscripts and associated metadata provided by MDPI, and any details shared about the editorial process.

Governing Law

This agreement shall be construed and interpreted pursuant to Swiss law, in particular those in the Basel-Stadt canton. Either party may terminate this arrangement if the other party commits a material breach of this Agreement and fails to remedy that breach following written notice by the terminating party, specifying the breach and requiring that it be remedied.

For MDPI   On behalf of the participating institutions

MDPI AG
St. Alban-Anlage 66,
4052 Basel

Appendix I

Name of Institution	APC Payment Model	Central Payment Invoicing type
University and University Hospital of Basel	Non-central	N/A
University of Bern	Non-central	N/A
University and University Hospital of Zurich	Central	Monthly Invoicing
University of Applied Sciences and Arts Northwestern Switzerland FHNW	Non-central	N/A
ETH Zurich	Central	Monthly Invoicing
École Polytechnique Fédérale de Lausanne (EPFL)	Non-central	N/A
CERN	Central	Monthly Invoicing
Zurich University of Applied Sciences (ZHAW)	Central	Monthly Invoicing
University of St.Gallen	Non-central	N/A
LIB4RI	Non-central	N/A
University of Applied Sciences of Western Switzerland (HES-SO)	Non-central	N/A
University of Applied Sciences of Southern Switzerland (SUPSI)	Non-central	N/A
Université de Fribourg	Non-central	N/A
Université de Genève and University Hospital Genève (HUG)	Non-central	N/A
Università della Svizzera Italiana	Central	Quarterly Invoicing
Université de Lausanne	Non-central	N/A
Luzern University	Non-central	N/A
University of Neuchâtel	Non-central	N/A
Berner Fachhochschule	Non-central	N/A
Lucerne University of Applied Sciences (HSLU)	Non-central	N/A