JOURNALS TRANSITIONAL/READ AND PUBLISH LICENCE AGREEMENT FOR

ROCKEFELLER UNIVERSITY PRESS ‘READ & PUBLISH’ TRANSITIONAL AGREEMENT

ROCKEFELLER UNIVERSITY PRESS, a company having its registered office at The Rockefeller University, 1230 York Avenue, New York, NY 10065, USA (“Publisher”)

OFFERS to you, (the “Participating Institution”), permission to access the Licensed Material and use such material only on the terms and conditions as set out in this Licence.

Acceptance of this Licence will be by receipt of the Order Confirmation Email (as defined below) by the Publisher as part of the Jisc Collections Online Ordering Service (as defined below). Acceptance shall be acceptance of all terms and conditions of this Licence and no variation or counter offer will be accepted by the Publisher. In the event that no or partial compliance is made as to the manner or form described for acceptance, no licence will be granted and this offer is deemed withdrawn.

BACKGROUND

A. Rockefeller University Press Journals consist of three hybrid journals. (“Rockefeller University Press Journals”).

B. Rockefeller University Press Journals and all intellectual property rights therein are owned by or duly licensed to the Publisher.

C. The Publisher has agreed with Jisc Collections (as defined below) to offer in accordance with the Offer (in Licence Annex 1) to provide access to and permit use of parts of Rockefeller University Press Journals selected and ordered by the Participating Institution in accordance with this Licence.

D. This Licence is based on the PA/Jisc model licence for journals. It offers the rights to access and use the Licensed Material, (Schedule 2A) along with rights to publish Version of Record (as defined below) articles, immediately open access under CC BY terms in the Publisher’s journals (Schedule 2B)

E. Jisc Collections (as defined below) has developed an online ordering service, the ‘Jisc Collections Online Ordering Service’, by which nominated persons can place, order, and manage subscriptions online on behalf of their institution, which will be used in connection with this Licence.

F. The Publisher has agreed with Jisc Collections in the Rockefeller University Press Journals Agreement between Jisc Collections and the Publisher to use this Licence as the model for any
agreement between the Publisher and a Participating Institution, as defined in Rockefeller University Press Journals Agreement in relation to the Offer.

IT IS AGREED AS FOLLOWS

1 DEFINITIONS

1.1 In this Licence, the following terms shall have the following meanings:

“Authentication Information” means passwords, user names and any other information necessary to access Licensed Material by means of the Secure Authentication.

“Authorised User” means an individual who is authorised by the Participating Institution to have access to its information services (whether on-site or off-site) via Secure Authentication and who is:

- a current student registered with the Participating Institution (including undergraduates and postgraduates);
- an alumnus of the Participating Institution;
- a contractor of the Participating Institution; or
- a member of staff of the Participating Institution (whether permanent or temporary, including retired members of staff and any teacher who teaches students registered with the Participating Institution); or
- without prejudice to Clause 4.2, a Walk-In User

“Calendar Year” means each year running from 1 January to 31 December.

“Commercial Use” means use for the purpose of earning monetary reward or generating profit (whether by or for the Participating Institution or an Authorised User) by means of the sale, resale, loan, transfer, licence, hire or other form of exploitation of the Licensed Material, but, for the avoidance of doubt, excluding:

- use for which the Participating Institution is entitled only to be reimbursed its costs (which may include overhead costs); and
- use of the Licensed Material in the course of research funded by a commercial or for-profit organisation.
“Confirmation Notice” means, in relation to a notice sent through the Jisc Ordering Platform, the email generated by the platform confirming receipt of the notice and sent to each of the Publisher and the Participating Institution.

“Continuing Access Rights” means the access and licence rights set out in Clause 2.1.2 (in respect of Continuing Licensed Material).

“Continuing Licensed Content” means the Licensed Content in respect of which the Participating Institution shall have Continuing Access Rights, as identified as such in Clause 13.

“Continuing Licensed Material” means the Continuing Licensed Content and all Metadata relating to Continuing Licensed Content.

“Continuing Use Period” means the indefinite period immediately following the expiry of the relevant Participation Period (including following the Term of this Licence) during which the Participating Institution and Authorised Users are permitted to access and use the Continuing Licensed Material.

“Corresponding Authors” means authors who are Authorised Users other than Walk-In Users who are also the corresponding author of an article published in a Licensed Title.

“Current Access Rights” means the access and use rights applicable during the Participation Period, in respect of any Licensed Content, set out in Clause 2.1.1.

“Data Protection Laws” means the Data Protection Act 1998, the General Data Protection Regulation 2018, the Data Protection Act 2018 and any other law applicable to the UK relating to the protection of personal data and the privacy of individuals, including where applicable guidance and codes of practice issued by the Information Commissioner.

“Educational Purposes” means education, teaching, tuition, training, instruction, learning, private study and/or research, including distance learning and teaching.

“Eligible Author” means a Corresponding Author from the Participating Institution of an article accepted in a Licensed Title.
<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>“Eligible Body”</td>
<td>means higher education institutions and research councils and institutes in the UK as listed at <a href="http://www.jisc-collections.ac.uk/Help-and-information/Jisc-Banding">http://www.jisc-collections.ac.uk/Help-and-information/Jisc-Banding</a> from time to time.</td>
</tr>
<tr>
<td>“Jisc Collections”</td>
<td>means Jisc Services Limited (operating as Jisc Collections) (Company Number 2881024), a company limited by guarantee incorporated in England and Wales whose registered office is at 4 Portwall Lane, Bristol BS1 6NB.</td>
</tr>
<tr>
<td>“Jisc Collections Online Ordering Service”</td>
<td>means the online subscription ordering service developed by Jisc Collections (the Jisc Collections Online Ordering Service can be found at <a href="http://www.jisc-collections.ac.uk">www.jisc-collections.ac.uk</a> or any such service as may replace the Jisc Collections Online Ordering Service.</td>
</tr>
<tr>
<td>“Jisc Ordering Platform”</td>
<td>means the platform providing the Jisc Collections Online Ordering Service.</td>
</tr>
<tr>
<td>“Licence Fee”</td>
<td>means the fee payable for access to and use of the Licensed Material, and the rights to publish in the Licensed Titles, as set out in this Licence and in the Quote.</td>
</tr>
<tr>
<td>“Licensed Content”</td>
<td>means those articles or other parts of a Licensed Title which form part of the content licensed in accordance with the Order (including all content published during the Participation Period or other period specified in the Order to which access and use rights are granted under this Licence, and including all Previously Subscribed Material).</td>
</tr>
<tr>
<td>“Licensed Material”</td>
<td>means the Licensed Content (eg published articles) forming part of the content of the Licensed Titles and all Metadata relating to Licensed Titles and Licensed Content.</td>
</tr>
<tr>
<td>“Licensed Titles”</td>
<td>means the titles listed in Licence Schedule 2, for which the Participating Institution has placed an Order which has been accepted as confirmed by an Order Confirmation.</td>
</tr>
<tr>
<td>“Metadata”</td>
<td>means textual and other data associated with the Licensed Titles and/or Licensed Content that describes the creation, content, and context of each part of the Licensed Titles or Licensed Content, such as the name of the Publisher, the name of the copyright owner, subject matter, the date of publication, the location of the digital file, and in relation to Licensed Content, additionally the name of the contributing author (or authors) and other authors.</td>
</tr>
</tbody>
</table>
“Mount” means to copy to or install on a computer, computer network or system.

“Open Access Article” means an article or other published content by an Eligible Author that is accessible or submitted on the basis that it will be accessible immediately, on an open access basis under CC BY terms.

“Order” means an order placed by the Participating Institution in relation to Licensed Titles by means of completing the Subscription Order and Acceptance Form and submitting the same on the Jisc Ordering Platform.

“Order Confirmation” means the generation of the Order Confirmation Email to each of the Participating Institution, Jisc Collections and Publisher.

“Order Confirmation Email” means, in the case of Orders placed on the Jisc Ordering Platform, the emails to each of the Participating Institution, Jisc Collections and the Publisher automatically generated by the Jisc Ordering Platform after the Participating Institution has placed an Order, confirming that the Institution has placed the relevant order, the start and end date of the Participation Period and that the Participating Institution has agreed to the terms and conditions of this Licence.

“Participating Institution” means an Institution that has completed the Subscription Order and Acceptance Form and has accepted the terms and conditions of the Licence, for the Term of the relevant Licence.

“Participation Period” means the period from the Start Date until the expiry date stated in an Order.

“Participation Year” means the period from the Start Date until the expiry of the first Calendar Year, and each subsequent Calendar Year thereafter during the Participation Period.

“Permitted Use” means use in accordance with Clause 3 subject to the restrictions in Clause 4.

“Personal Data” means personal data as defined in the Data Protection Laws.

“Previously Subscribed Material” means the journal titles subscribed to by the Participating Institution under any previous or predecessor licence for Microbiology Society Journals, in particular the Previously Subscribed Material listed in the Quote.
"Prohibited Act" means, directly or indirectly (a) to offer, promise or give any person working for or engaged by any party to the Licence a financial or other advantage to: (i) induce that person to perform improperly a relevant function or activity; or (ii) reward that person for improper performance of a relevant function or activity; (b) to directly or indirectly request, agree to receive or accept any financial or other advantage as an inducement or a reward for improper performance of a relevant function or activity in connection with this Licence; (c) committing any offence: (i) under the Bribery Act 2010 (or any legislation repealed or revoked by such Act); (ii) under legislation or common law concerning fraudulent acts; (iii) defrauding, attempting to defraud or conspiring to defraud; (d) any activity, practice or conduct which would constitute one of the offences listed under (c) above if such activity, practice or conduct had been carried out in the UK.

"Publisher Platform" means the computing platform operated by or on behalf of the Publisher, including a cloud or virtual platform, on which the Licensed Material is hosted and can be accessed.

"Quote" means the fee quotation specified in the Order Confirmation.

"Secure Authentication" means access by UK Access Management Federation compliant technology, Internet Protocol ("IP") ranges or by username and password provided by the Participating Institution or by other authentication means reasonably agreed between the Publisher and the Participating Institution.

"Secure Network" means a network or virtual network which or the relevant functionality of which is only accessible to Authorised Users by Secure Authentication.

"Start Date" means the start date as specified in the Order.

"Subscription Order and Acceptance Form" means the form used for Orders placed on the Jisc Collections Online Ordering Service. A sample copy of the form is attached hereto in Licence Annex 2 to this Licence and may be modified as necessary. Once the completed form has been submitted by the Participating Institution, the Jisc Ordering Platform automatically generates the Order Confirmation Emails.

"Term" means the term of this Licence in accordance with Clause 15.
“Transaction Management Charge” means the fee payable to Jisc Collections in connection with arranging and managing this licence as set out in Licence Schedule 1.

“Version of Record” means the final typeset and edited version of the article published in a journal.

“Walk-In Users” means individuals, who are not otherwise Authorised Users, who are allowed by the Participating Institution to access its information services from computer terminals or by other means (including wirelessly), from within the physical premises of the Participating Institution.

“Working Day” means a day other than a Saturday, Sunday or public holiday in England when banks in London are not open for business.

1.2 Clause, Schedule and Annex headings shall not affect the interpretation of this Licence.

1.3 The Schedules and Annexes form part of this Licence and shall have effect as if set out in full in the body of this Licence. Any reference to this Licence includes the Licence Schedules and Licence Annexes.

1.4 Unless the context otherwise requires, words in the singular shall include the plural and vice versa.

1.5 A reference to a statute or statutory provision is a reference to it as amended, extended or re-enacted from time to time.

1.6 A reference to writing or written includes email and any written submission made on the Jisc Ordering Platform.

1.7 Any words following the terms “including”, “include”, “in particular”, “for example” or any similar expression shall be construed as illustrative and shall not limit the sense of the words term preceding those terms.

1.8 References to web addresses in this Licence refer to the current web address, and any updated or replacement content/address.

PART 1: LICENCE TERMS FOR ACCESS AND USE OF THE LICENSED MATERIAL

2 LICENCE GRANT

2.1 The Publisher hereby grants to the Participating Institution:
2.1.1 a non-exclusive, non-transferable right and licence for the Participation Period:

(i) to access and make Permitted Use of the Licensed Material; and

(ii) to permit Authorised Users to access and make Permitted Use of the Licensed Material; and

2.1.2 in respect of Continuing Licensed Material (if any), a perpetual, irrevocable, non-exclusive rights and licence:

(i) to access and make Permitted Use of the Continuing Licensed Material; and

(ii) to permit Authorised Users to access and make Permitted Use of the Continuing Licensed Material.

2.2 Except as expressly provided in this Licence, such access shall be on the Publisher Platform through Secure Authentication.

3 PERMITTED USES

3.1 The Participating Institution shall be entitled, for Educational Purposes only:

3.1.1 to Mount and use Metadata in bespoke or commercially available library information systems to manage library operations, including combining such Metadata with metadata from other sources and/or relating to other materials, and downloading, printing, communicating, displaying, supplying for use by others, and providing public access to the same;

3.1.2 to communicate, perform, display, download and print parts of, or extracts from, Licensed Content,

3.1.3 to provide Authorised Users with access to the Licensed Content for Educational Purposes via a Secure Network for the purposes set out in Clause 3.2;

3.1.4 to display, download and print the whole of, or parts of, or extracts from, Licensed Content for the purpose of promoting or testing, and training in the use of the Licensed Material;

3.1.5 to convert or adapt Licensed Material into Braille or other formats or forms suitable for providing access to, and use by, Authorised Users with impaired mental and/or physical abilities and to provide access to such converted or adapted form for the purposes of this Clause 3;
3.1.6 to supply to another library in the United Kingdom (whether by post, fax or, provided the electronic file is deleted immediately after printing, secure electronic transmission), a single copy of the whole of, or parts of or extracts from, Licensed Content, and to download such Licensed Content for such purpose;

3.1.7 to provide single printed or electronic copies of individual articles or other parts of Licensed Content to individual Authorised Users, at their request, for Educational Purposes;

3.1.8 to make and distribute copies of training, teaching or course material reproducing parts of Licensed Content, as may be required by the Participating Institution for the purpose of using the Licensed Material in accordance with Clause 3.2; and

3.1.9 to provide access to and permit use, in accordance with this Licence of, any archived copies of the Licensed Material made in accordance with Licence Schedule 3 (1(b)) and/or 3 (1(c)), if and for so long as the Publisher so fails to provide such access; and if no such archived copies are maintained, to make and supply to a reasonably agreed recognised secure repository a copy of the Licensed Material in electronic form, for the sole purpose of the repository retaining the same for use by the Participating Institution and its Authorised Users (without prejudice to any other purpose for which the repository may be permitted by the Publisher to retain the same).

3.2 The Participating Institution shall be entitled to permit Authorised Users, for Educational Purposes only:

3.2.1 to access the Licensed Material by Secure Authentication in order to search, retrieve, display and view the Licensed Material;

3.2.2 to copy and paste, download, print and save electronic or print copies of parts of or extracts from Licensed Material, for individual use or for use in tutorials or study groups;

3.2.3 to copy and paste, download, print, save, convert or adapt copies or parts of or extracts from Licensed Material for the purposes of criticism, review, caricature, parody or pastiche. Authorised Users must specify the source, listing title and author of the extract, title and author of the work, copyright notice, and each publisher of the Licensed Material used in such ways unless this would not be possible for reasons of practicality or otherwise;

3.2.4 to mark-up or comment (electronically or otherwise) parts of Licensed Material (including by tagging, highlighting paragraphs and sentences, bookmarking,
inserting hyperlinks, exporting references, and writing personal commentary, and saving the same);

3.2.5 to convert or adapt Licensed Material into formats or forms suitable for providing access to, and use by, Authorised Users with impaired mental and/or physical abilities and to make copies of such converted or adapted Licensed Material for use in accordance with this Clause 3.2;

3.2.6 to incorporate parts of or extracts from the Licensed Content in printed or electronic form in assignments, portfolios, theses, dissertations and other submissions ("Academic Works"), and to make reproductions of the Academic Works for personal use, library deposit and/or to provide to sponsors of the Academic Works. Authorised Users must specify the source, listing title and author of the extract, title and author of the work, copyright notice, and each publisher of the Licensed Content used in the Academic Works;

3.2.7 to incorporate parts of or extracts from the Licensed Material in electronic or printed course packs or management systems to be used in the course of instruction and/or virtual learning and/or research environments hosted on a Secure Network. Authorised Users must specify the title and copyright owner of the Licensed Material used in the course packs;

3.2.8 to display publicly, communicate to the public or perform in public parts of the Licensed Material as part of a presentation at a seminar, conference, or workshop, or other similar event. Authorised Users must specify the source, listing title and author of the extract, title and author of the work, copyright notice, and each publisher of the Licensed Material used in such ways;

3.2.9 to save and/or deposit in perpetuity parts of the Licensed Material in electronic repositories on a Secure Network operated by the Participating Institution, access to and use of which is limited to Authorised Users;

3.2.10 to download and make copies of the whole or any parts of the Licensed Material for the purposes of, and to perform and engage in computational analysis (including text and data mining) using the Licensed Material for the purpose of research and other Educational Purposes but not for Commercial Use, and to permit Authorised Users to distribute and display and otherwise use (publicly or otherwise), other than for Commercial Use, the results, provided that such results do not reproduce the whole or a substantial part of any Licensed Content. Copies of Licensed Content made under this Clause 3.2.10 shall be deleted promptly after the computational analysis has been completed;
3.2.11 to download Licensed Material in whole or in part for the Authorised User’s personal Educational Purposes onto personal computing devices including tablets, e-book readers and laptops, and stand-alone computers, without any limit in number. The Publisher makes no warranty as to the suitability of any Licensed Material for use on such devices; and

3.2.12 to provide access to, communicate to, and share material resulting from any use under this Clause 3.2 with other Authorised Users for their use in accordance with this Licence.

3.3 The provisions of this Licence are without limitation to the rights of the Participating Institution or Authorised Users to do any act permitted under the Copyright, Design and Patents Act 1988, including Chapter III (Acts Permitted in relation to Copyright Works) or permitted under any CC-BY or other open access licence applicable to the Licensed Material or otherwise which, apart from the rights granted under this Licence, would not infringe the intellectual property rights in the Licensed Material and, notwithstanding any provision of this Licence, the Participating Institution and Authorised Users shall remain entitled to do any such acts.

3.4 Unless expressly set out in this Clause 3, or in relation to specific Licensed Content or specific Permitted Uses in the Offer, there shall be no limit on the number of Authorised Users to which this Licence (including Clause 3.1 and Clause 3.2) applies.

4 RESTRICTIONS

4.1 Except where this Licence provides otherwise, the Participating Institution shall not, and shall not grant an Authorised User the right to:

4.1.1 sell, resell, or sub-license the Licensed Material, in whole or in part, unless the Publisher has given permission in writing to do so;

4.1.2 remove, obscure or alter copyright notices, acknowledgements or other means of identification, or disclaimers, other than Metadata;

4.1.3 alter or adapt the Licensed Material (other than Metadata), including any alteration of the words of Licensed Content or their order, except to the extent necessary to make it perceptible on a computer screen;

4.1.4 display or distribute any part of the Licensed Material (other than Metadata) on any electronic network, including the internet, other than on a Secure Network;

4.1.5 make any Commercial Use of the Licensed Material (in whole or in part);

4.1.6 use the Licensed Materials (in whole or in part) other than for Educational Purposes;
4.1.7 provide access to and/or permit use of the Licensed Content by anyone, or transmit any part of the Licensed Material (other than Metadata) by any means to anyone, other than an Authorised User.

4.2 The Participating Institution shall not provide access to Walk-In Users to the Licensed Content at a location other than the Participating Institution’s premises (but, for the avoidance of doubt, may provide access on such premises by wireless means).

4.3 The restrictions in this Clause 4 are subject to Clause 3.3 (Acts permitted by legislation or other rights in relation to copyright works).

5 RESPONSIBILITIES OF THE PUBLISHER

5.1 The Publisher shall:

5.1.1 during the Participation Period make the Licensed Material; and

5.1.2 during the Continuing Use Period, subject to Clauses 13.2 and 13.5, make the Continuing Licensed Material available through the Publisher Platform to the Participating Institution and Authorised Users for access, download and Permitted Use.

5.2 During the Participation Period and, subject to Clause 13, during the Continuing Use Period, the Publisher shall at all times:

5.2.1 use all reasonable efforts to ensure that the Publisher Platform or relevant server or servers have adequate capacity and bandwidth to support the usage of the Participating Institution; and

5.2.2 use all reasonable efforts to make the Licensed Material available to the Participating Institution and Authorised Users 24 hours a day (except when routine maintenance is carried out), and to restore access to the Licensed Material as soon as possible after any interruption or suspension of the service;

5.3 During the Participation Period, the Publisher, in respect of the Licensed Material made available under Clause 5.1:

5.3.1 shall not, without the agreement of the Participating Institution, such agreement not to be unreasonably withheld, implement any digital rights management technologies or access management technologies which have a material adverse impact on the performance or usability of the Licensed Material in accordance with this Licence or on the exercise by the Participating Institution of its rights under this Licence, for example by repeatedly requiring an Authorised User to provide active
confirmation in relation to their use of or access to the Licensed Material, which impair the usability of DOIs or other links, or which require the downloading of software onto any platform used for accessing or using the Licensed Material;

5.3.2 shall use reasonable efforts to provide support to Authorised Users by e-mail or by a telephone help desk, and assist Authorised Users with general enquiries in connection with the Licensed Material, including relating to access, use, functionality and content of the Licensed Material, and shall use reasonable endeavours to answer any such query within 24 hours of such query being made;

5.3.3 shall provide to the Participating Institution electronic product documentation relating to the Licensed Material which is reasonably sufficient to enable Authorised Users to access and make use of the Licensed Material, which the Participating Institution shall be entitled to copy and distribute, provided such documents are copied in full and such copies include an acknowledgement of the Publisher as the licensor of the Licensed Material;

5.3.4 shall notify the Participating Institution of any Licensed Material that is Open Access Material.

5.4 During the Continuing Use Period, the Publisher in respect of the Continuing Licensed Material made available under Clause 5.1.2 shall not implement any digital rights management technologies.

Withdrawal of publications

5.5 The Publisher reserves the right at any time to withdraw from the Licensed Material any Licensed Material (including any Licensed Title or Licensed Content or part of Licensed Content) (“Withdrawn Material”):

5.5.1 which the Publisher is no longer entitled to publish; or

5.5.2 which the Publisher has reasonable grounds to believe infringes copyright or is unlawful.

5.6 The Publisher shall promptly give written notice of such withdrawal to the Participating Institution.

5.7 Subject to Clause 5.6, if the Withdrawn Material represents more than five per cent (5%) of the Licensed Material then the Publisher shall, at the Participating Institution’s option:

5.7.1 reimburse (via Jisc Collections) such part of the Licence Fee attributable to the Withdrawn Material in respect of the period up to the date of withdrawal as is reasonable in the circumstances having regard to the use made of that material
compared with other Licensed Material the subject of this Licence; and reduce the Licence Fee attributable to the period following the date of such withdrawal by such amount as is reasonably attributable to the Withdrawn Material in respect of such remaining period; or

5.7.2 if possible, provide a substitute for the Withdrawn Material acceptable to the Participating Institution.

5.8 If, in the Participating Institution’s reasonable opinion, the withdrawal of the Withdrawn Material results in all Licensed Material which is the subject of this Licence, or any collection of Licensed Materials which are licensed as a collection under this Licence, or any Licensed Title no longer being useful to the Participating Institution or the Authorised Users, the Participating Institution may, by notice to the Publisher, terminate this Licence to all the Licensed Material, or its application to such collection, or Licensed Title as the case may be, with immediate effect. In such case the Publisher shall, within sixty (60) days after the date of such notice, reimburse to the Participating Institution (via Jisc Collections) such part of the Licence Fee as is reasonably attributable to the Licensed Material for period following such withdrawal, or in the case of a collection or Licensed Title, reasonably attributable to the collection or Licensed Title for such period following such withdrawal.

6 RESPONSIBILITIES OF THE PUBLISHER: AUTHORISED USERS

6.1 The Publisher shall not require Authorised Users to enter into an end user licence agreement or other terms and conditions of use in connection with their access to or use of the Licensed Material under this Licence or otherwise impose any restrictions on an Authorised User’s use of the Licensed Material other than provided in this Licence. No such end user licence agreement or terms or conditions or restrictions sought to be imposed shall be of any effect; provided that, where the licence the Publisher has in relation to specific Licensed Content has more restricted rights than Permitted Use, it shall make that clear in the Offer and in the Metadata for the Licensed Title or Licensed Content and notify the Authorised User on access to the Licensed Content.

6.2 The Publisher shall not, and shall not seek to, collect Personal Data in relation to any Authorised User other than as is reasonably and properly required for the administration of this Licence, and shall fully comply with its obligations under the applicable Data Protection Laws in relation to the collection, use and retention, and any other processing of any such Personal Data.

7 RESPONSIBILITIES OF THE PUBLISHER: INFORMATION AND LIBRARY MANAGEMENT STANDARDS

7.1 During the Participation Period, the Publisher shall use reasonable efforts to implement the standards and other provisions of Error! Reference source not found.3.
8 RESPONSIBILITIES OF PARTICIPATING INSTITUTION

8.1 The Participating Institution shall:

8.1.1 provide passwords and other confidential Authentication Information only to Authorised Users and take reasonable steps to prevent Authorised Users from providing such Authentication Information to anyone else;

8.1.2 provide to the Publisher lists of valid IP addresses for the purpose of managing access to the Licensed Material and update those lists regularly as agreed by the parties from time to time;

8.1.3 use reasonable efforts to ensure that only Authorised Users are permitted access to the Licensed Material;

8.1.4 inform the Authorised Users about the conditions of use of the Licensed Material provided for in this Licence and to the extent that such terms apply to them, use reasonable efforts to ensure that all Authorised Users are made aware of and undertake to abide by the terms of this Licence; and

8.1.5 configure the computer system through which the Licensed Material used by the Participating Institution and Authorised Users, and put in place procedures, in accordance with reasonably appropriate accepted standards, for the purpose of preventing access to the Licensed Material by any person other than an Authorised User.

8.2 The Participating Institution shall use reasonable efforts to monitor compliance with the terms of this Licence and shall promptly notify the Publisher, providing full particulars (to the extent that it is not prohibited by law or contractual obligation from doing so), on becoming aware of any of the following:

8.2.1 any unauthorised access to or use of the Licensed Material or unauthorised use of Authentication Information; or

8.2.2 any act by an Authorised User which gives rise to a breach of this Licence.

8.3 As soon as the Participating Institution is aware of any breach of the terms of this Licence, the Participating Institution shall:

8.3.1 take reasonable steps to investigate such breach for the purpose of ensuring that the relevant activity ceases and preventing any recurrence; and
8.3.2 if the Participating Institution considers this appropriate, take steps against the individual concerned in accordance with the Participating Institution's disciplinary procedure

but the Participating Institution shall not have any other liability for any breach relating to the security of the Secure Network or use by Authorised Users of any Licensed Material.

PART 2 : RIGHTS TO PUBLISH OPEN ACCESS MATERIAL

9 OPEN ACCESS PUBLISHING

9.1 In consideration for the Publisher agreeing to permit Eligible Authors to publish accepted articles in the Licensed Titles on the basis of the terms of this Licence, the Participating Institution agrees to pay the Publishing Fee.

10 RESPONSIBILITIES OF THE PUBLISHER

10.1 The Publisher agrees to publish Open Access Articles, under the following conditions:

10.1.1 all Open Access Articles shall be:

    (i) made immediately Open Access, as the Version of Record in a Licensed Title on the Publisher website with no embargo period;

    (ii) published under the terms of the CC-BY licence;

    (iii) deposited by the Publisher on publication in PubMed Central.

10.2 The Publisher will provide the Participating Institution (either directly or via Jisc Collections) with a report every six months detailing the Open Access Articles published, containing the following information:

    (i) Journal Title

    (ii) Article Title

    (iii) Corresponding Author

    (iv) Institution Name

    (v) DOI
RESPONSIBILITIES OF THE PARTICIPATING INSTITUTION

11.1 The Institution agrees to inform Eligible Authors that this Licence is in place and that their articles can be made Open Access Articles on acceptance in the Licensed Titles.

11.2 The Institution shall ensure that Eligible Authors shall identify themselves as being eligible by using an appropriate institutional email address throughout the submission process.

11.3 The Institution shall use all reasonable efforts to make its authors aware that to become Eligible Authors and for the Institution therefore to benefit most from the Agreement, they should be prepared to take on the responsibilities of Corresponding Author.

EDITORIAL INDEPENDENCE

12.1 All parties acknowledge that while the Participating Institution has financial obligations toward the Publisher, that the Participating Institution is in no way involved with the editorial process.

12.2 Nothing herein contained shall oblige the Publisher to publish any article submitted to the Publisher by an Eligible Author. The Participating Institution acknowledges that the selection of material to be published on the Publisher Platform is entirely at the discretion of the Publisher. The Participating Institution waives any claim it may have against the Publisher in the event that the Publisher refuses or declines to publish any material (or part thereof) submitted by an Eligible Author.

PART 3: GENERAL TERMS CONTINUING LICENSED MATERIAL

13.1 The Participating Institution shall have Continuing Access Rights in respect of:

13.1.1 all Licensed Content published in any Licensed Title during the Participation Period;

13.1.2 all other Licensed Content published in any Licensed Title to which archival or continuing access rights apply as identified in the Order; and

13.1.3 all Previously Subscribed Material.

13.2 No later than the end of the Participation Period or other termination or expiry of this Licence, the Publisher shall make the Continuing Licensed Material (including Continuing Licensed Content) available for access and Permitted Use by the Participating Institution and its Authorised Users without charge, at the Participating Institution’s option by:

13.2.1 by means of the Publisher Platform; or

13.2.2 on a third party archive platform in accordance with paragraph 1(c) of Licence Schedule 3, reasonably agreed with the Participating Institution, full details
(including sufficient authority and information to access the same) of which the Publisher shall have provided to the Participating Institution; or

13.2.3 otherwise within five Working Days after the date of such notice at any time, by providing to the Participating Institution the electronic copies in reasonably agreed industry standard format of the Continuing Licensed Material.

The Participating Institution may give notice to the Publisher from time to time which option it elects at that time, and, subject to Clause 13.5, the Publisher will promptly give effect to that election.

13.3 Continuing Licensed Content made available under Clauses 13.2.2 or 13.2.3 may omit additional online features not provided with the print versions of such content.

13.4 On receipt by the Participating Institution of copies of the Continuing Licensed Material under Clause 13.2.3, the Institution shall be entitled, for the Continuing Use Period, to:

13.4.1 Mount the Continuing Licensed Material on a Secure Network operated by or on behalf of the Participating Institution for the purposes set out in Clause 2.1.2; and

13.4.2 make such copies of, and/or re-format, the Continuing Licensed Material to ensure that access and Permitted Use of the Continuing Licensed Material can continue uninterrupted throughout the Continuing Use Period.

13.5 If the Publisher gives written notice that it will no longer provide access on the Publisher Platform in accordance with Clause 13.2.1, or on an alternative archive platform in accordance with 13.2.2, the Publisher shall continue to make the Continuing Licensed Material available by means of the Publisher Platform until the earlier of (a) the expiry of 30 Working Days after the date of any notice or (b) written notice by the Participating Institution that it no longer requires the Publisher to make the Continuing Licensed Material available by means of the Publisher Platform.

13.6 At the start of the Continuing Use Period the Publisher shall provide the Participating Institution with a list confirming all Continuing Licensed Content and all Continuing Licensed Material.

14 FEES AND PAYMENT

14.1 The Participating Institution shall pay to the Publisher via Jisc Collections the Licence Fee in the amounts set out in Licence Schedule 1. The Participating Institution shall pay to Jisc Collections the Transaction Management Charge in accordance with Schedule 1.

14.2 Upon receipt of the Order Confirmation and on each other date (if any) set out in the Order Confirmation, Jisc Collections shall issue an invoice to the Participating Institution for the relevant Licence Fee or applicable part of the Licence Fee.
14.3 The Participating Institution shall pay the Licence Fee within 45 days on receipt by the Participating Institution of Jisc Collections’ invoice.

14.4 All sums specified under this Licence, unless otherwise stated, are exclusive of VAT and any other similar or equivalent taxes or duties, where applicable, and any applicable VAT will be payable in addition.

15 **TERM AND TERMINATION**

15.1 Subject to Clauses Error! Reference source not found. to 15.45, this Licence shall commence upon the Start Date of the Order, and shall continue, unless terminated earlier in accordance with this Clause 15, until the expiry of the Participation Period.

15.2 Without affecting any other right or remedy available to it, either party may terminate this Licence with immediate effect by giving written notice to the other party if:

15.2.1 the other party becomes insolvent, admits insolvency or a general inability to pay its debts as they become due, has appointed a receiver or administrative receiver over it or over any part of its undertaking or assets, passes a resolution for winding up other than a bona fide plan of solvent amalgamation or reconstruction, files a petition for protection under any applicable bankruptcy code, or has filed against it or becomes subject to an insolvency petition in bankruptcy or an order to that effect;

15.2.2 the other party commits a material or persistent breach of any term of this Licence which breach is irremediable or, if such breach is remediable, fails to remedy that breach within a period of sixty (60) days after being notified in writing to do so.

15.3 Without affecting any other right or remedy available to it, the Participating Institution may terminate this Licence with immediate effect by giving written notice to the Publisher if the Publisher:

15.3.1 has committed a breach of Clause 5 and fails remedy that breach within a period of sixty (60) days after being notified in writing to do so; or

15.3.2 is no longer entitled to make the Licensed Material available for access and Permitted Use by the Participating Institution and Authorised Users.

15.4 Without affecting any other right or remedy available to it, the Publisher may terminate this Licence with immediate effect by giving written notice to the Participating Institution if the Participating Institution:

15.4.1 fails to pay any undisputed amount due under this Licence on the due date for payment and remains in default for not less than sixty (60) days after being notified in writing to make such payment;
15.4.2 wilfully and repeatedly infringes, or wilfully permits Authorised Users repeatedly to infringe, the copyright in the Licensed Material; or

15.4.3 has committed a breach of Clause 4 (Restrictions) or Clause 8.1 (Responsibility of Participating Institution) and fails remedy that breach within a period of sixty (60) days after being notified in writing to do so.

15.5 For the avoidance of doubt the Participating Institution shall not be deemed to be in breach of this Licence on the grounds that an act of an Authorised User, if carried out by the Participating Institution, would have been a breach of this Licence, without prejudice to any express obligations applicable to the Participating Institution under this Licence.

16 CONSEQUENCES OF TERMINATION

16.1 On expiry or termination of this Licence for any reason and subject to any express provisions set out elsewhere in this Licence (including Clauses 2.1.2 (Licence Grant/Continuing Licensed Material) and 13 (Continuing Licensed Material)):

16.1.1 all rights and licences granted pursuant to this Licence shall cease and the Participating Institution shall cease to access and use, and permit access to and use of, the Licensed Material; and

16.1.2 the Publisher shall cease to make available Licensed Material for access and use by the Participating Institution and Authorised Users provided that the Participating Institution may retain and use, and permit the use of, Metadata, and that copies of parts of the Licensed Material made by the Participating Institution or Authorised Users in accordance with this Licence may be retained, subject to the terms of Clauses 3 and 4 to the extent that these are applicable.

16.2 On any termination by the Participating Institution under Clause 15.23 or Clause 15.34 the Publisher shall reimburse such part of the Licence Fee which has been paid by the Participating Institution and is in respect of any remaining part of the Participation Period.

16.3 Any provision of this Licence that expressly or by implication is intended to come into or continue in force on or after termination or expiry of this Licence (including Clauses 2.1.2, 2.2, 4, 5.1.2, 5.2, 5.4 to 5.8, 6, 8, 13, and 166 to 266) shall continue in force.

16.4 Termination or expiry of this Licence shall not affect any rights, remedies, obligations or liabilities of the parties that have accrued up to the date of termination or expiry, including the right to claim damages in respect of any breach of this Licence which existed at or before the date of termination or expiry.
**ACKNOWLEDGEMENT AND PROTECTION OF INTELLECTUAL PROPERTY RIGHTS**

17.1 Subject to Clause 17.2, the Participating Institution acknowledges that all copyright in the Licensed Material are the exclusive property of the Publisher or its licensors and that this Licence does not assign or transfer to the Participating Institution any right, title or interest in such copyright except for the right to access and use the Licensed Material in accordance with the terms and conditions of this Licence.

17.2 The Publisher hereby acknowledges that any copyright and database rights arising from any computational analysis (including any text mining/data mining) of the Licensed Material referred to in Clause 3.2.910 shall, as between the Participating Institution and Authorised User on the one hand, and the Publisher (and any licensor of the Publisher or other rights holder in the Licensed Materials), on the other, be the property of the relevant Authorised Users or the Participating Institution, as the case may be.

17.3 For the avoidance of doubt, the Publisher hereby acknowledges that any database rights created by the Participating Institution as a result of exercising any rights in relation to Metadata under Clause 3.1.1 or Mounting the Licensed Material as referred to in Clause 13.4 shall be the property of the Participating Institution.

**REPRESENTATION, WARRANTIES AND INDEMNITIES**

18.1 The Publisher warrants to the Participating Institution that:

18.1.1 all intellectual property rights in the Licensed Material are owned by or validly licensed to the Publisher and that the Permitted Use of the Licensed Material will not infringe any intellectual property of any person; and

18.1.2 the content of the Licensed Material is not unlawful.

18.2 The Publisher shall indemnify the Participating Institution (for itself and for the benefit of any Authorised Users) against all liabilities, costs, expenses, damages and losses (including any direct, indirect or consequential losses, loss of profit, loss of reputation and all interest, penalties and reasonable legal costs (calculated on a full indemnity basis) and all other reasonable professional costs and expenses) suffered or incurred by the Participating Institution or Authorised Users arising out of or in connection with any claim by or action brought by any third party that the access and Permitted Use by the Participating Institution or by any Authorised User in accordance with this Licence infringes the intellectual property rights of that third party.

18.3 In relation to any claim made or action brought to which Clause 18.2 applies, the Participating Institution shall:

18.3.1 promptly give the Publisher written notice;
18.3.2 give the Publisher immediate and complete control of the defence and settlement of such claim provided that the Publisher gives the Participating Institution reasonable security in respect of any liability the Participating Institution may have in respect of such claim or action and any indemnity to which the Participating Institution may be entitled under Clause 18.2; and

18.3.3 give the Publisher all reasonable assistance with the defence and settlement of such claim.

18.4 The indemnity in Clause 18.2 will not apply to the extent that the relevant claim arises as a result of any change, alteration or amendment in any way to any Licensed Material by the Participating Institution or any Authorised User.

18.5 While the Publisher has no reason to believe that there are any inaccuracies or defects in the information contained in the Licensed Material the Publisher makes no representation and gives no warranty, express or implied, with regard to the information contained in or in any part of the Licensed Material including the fitness of such information or part for any purposes whatsoever and, subject to Clauses 18.2 the Publisher accepts no liability for loss suffered or incurred by the Participating Institution or Authorised Users as a result of their reliance on the Licensed Material.

18.6 In relation to any claim or action referred to in Clause 18.2, or any other claim by a third party of which the Participating Institution becomes aware, that the access to or use of any Licensed Material infringes any copyright, the Publisher may at its option and expense, and on written notice to the Participating Institution (and without prejudice to the Participating Institution’s rights under Clause 5.5 (Withdrawing Material) or Clause 18.2 (Infringement Indemnity), remove such Licensed Material from the Licensed Material or obtain for the Participating Institution the right to continue accessing and using such Licensed Material in accordance with this Licence.

18.7 Nothing in this Licence shall make the Participating Institution liable for any act by any Authorised User which gives rise to a breach of the terms of this Licence, provided that the Participating Institution did not cause or knowingly assist or condone the continuation of such breach after becoming aware of an actual breach having occurred.

18.8 Except as provided for in Clause 18.1 or 18.2, neither the Participating Institution nor any Authorised User nor the Publisher will be liable to the other in contract or negligence or otherwise for:

18.8.1 any special, indirect, incidental, punitive or consequential damages; or

18.8.2 loss of direct or indirect profits, business, contracts, revenue or anticipated savings; or
18.8.3 for any increased costs or expenses.

18.9 No party excludes or limits its liability under this Licence for:

18.9.1 death or personal injury to the extent it results from its negligence, or that of its employees or agents in the course of their engagement; or

18.9.2 its own fraud or that of its employees or agents in the course of their engagement.

19 **FORCE MAJEURE**

19.1 Without prejudice to Clause 18.2, neither party shall have any liability under or be deemed to be in breach of this Licence for any failure to perform any term or condition of this Licence which result from circumstances beyond the reasonable control of such party, including war, strikes, flood, governmental restrictions, power, telecommunications or Internet failures or damage to or destruction of any network facilities not arising from an act or omission of such party or its employees or contractors (“Force Majeure Event”).

19.2 Each party shall promptly notify the other party in writing of any Force Majeure Event which is causing delay or failure in performance of such party’s obligations under this Licence, or will or is likely to do so, including the date on which it started, its likely or potential duration, and the effect of the Force Majeure Event on its ability to perform any of its obligations under this Licence, and use all reasonable endeavours to mitigate the effect of the Force Majeure Event on the performance of its obligations.

19.3 Provided it has complied with Clause 19.2, if a party is prevented, hindered or delayed in or from performing any of its obligations under this Licence by a Force Majeure Event (“Affected Party”), the Affected Party shall not be in breach of this Licence or otherwise liable for any such failure or delay in the performance of such obligations. The time for performance of such obligations shall be extended accordingly.

19.4 If a Force Majeure Event prevents, hinders or delays the Affected Party’s performance of its obligations for a continuous period of more than 60 (sixty) days, the party not affected by the Force Majeure Event may terminate this Licence by giving 14 days’ written notice to the Affected Party.

20 **ASSIGNMENT**

20.1 Subject to Clauses 20.2 and 20.3, this Licence is personal to the parties and neither party shall assign, transfer, mortgage, charge, subcontract, declare a trust over or deal in any other manner with any of its rights and obligations under this Licence, without the prior written consent of the other party, such consent shall not be unreasonably withheld or delayed.
20.2 If the Participating Institution merges with any other Eligible Body or transfers the whole or part of its activities as an Eligible Body to another Eligible Body, the Participating Institution or successor Participating Institution (as the case may be), and the Authorised Users who were Authorised Users through the Participating Institution, shall be entitled to receive the benefit of this Licence, subject to remaining bound by the obligations under this Licence:

20.2.1 in respect of the Licensed Material, for the remainder of the current Participation Period; and

20.2.2 in respect of the Continuing Licensed Material, in perpetuity.

20.3 If the Publisher is subject to any merger or acquisition, or if the Publisher or any licensor or other owner of any rights in any Licensed Material relevant to the licences or rights granted under this Licence transfers or grants any rights inconsistent with the Participating Institution’s rights under this Licence, this Licence shall continue in effect, and the Publisher shall procure that any such transfer or grant of rights is subject to the Participating Institution’s rights under this Licence or that the Participating Institution is compensated in such amount as may be fair and reasonable in the circumstances in respect of the loss of any such rights which cannot be preserved for the Participating Institution.

20.4 In any assignment to which the other party has given consent under Clause 20.1, the assigning party shall procure and ensure that the assignee shall assume all rights and obligations of the assigning party under this Licence and agrees to be bound to all the terms of this Licence.

21 GOVERNING LAW AND JURISDICTION

21.1 This Licence and any dispute or claim (including non-contractual disputes or claims) arising out of or in connection with it or its subject matter or formation shall be governed by and construed in accordance with the law of England and Wales.

21.2 The parties irrevocably agree that any dispute arising out of or in connection with this Licence will be subject to and within the jurisdiction of the courts of England and Wales.

22 DISPUTE RESOLUTION

22.1 If any dispute arises out of or in connection with this Licence or the performance, validity or enforceability of it (“Dispute”), the parties shall attempt to settle it by negotiation. To this end they shall use their respective reasonable endeavours to consult or negotiate with each other in good faith, and recognising their mutual interests, attempt to reach a just and equitable settlement satisfactory to both parties. Negotiations shall be conducted between the Managing Director (or equivalent position) of the Publisher, or its nominated representative, and the current Vice Chancellor (or equivalent post) of the Participating Institution, or their nominated representative.
22.2 If the dispute cannot be resolved by the parties within one month of being escalated as referred to in Clause 22.1, the dispute may by agreement between the parties be referred to a neutral adviser or mediator (the “Mediator”) chosen by agreement between the parties. All negotiations connected with the dispute shall be conducted in confidence and without prejudice to the rights of the parties in any further proceedings.

22.3 Where the parties agree that a Dispute would best be resolved by the decision of an independent expert, they will use reasonable efforts to agree upon the nature of the expert required, on the appointment of the expert and, with the expert, the terms of his appointment.

22.4 Any person to whom a reference is made under Clause 22.3 shall act as expert and not as an arbitrator and his decision (which shall be given by the expert in writing and shall state the reasons for the decision) shall be final and binding on the parties except in the case of manifest error or fraud.

22.5 Each party shall provide such expert with such information and documentation as the expert may reasonably require for the purposes of forming his or her decision.

22.6 The costs of the expert shall be borne by the parties in such proportions as the expert may determine to be fair and reasonable in all circumstances or, if no determination is made by the expert, by the parties in equal proportions.

22.7 Subject to Clause 22.1, except where urgent interim measures are sought, and 22.4, nothing in this Clause 22 shall prevent either party commencing or continuing court proceedings in relation to the Dispute under Clause 21.

23 NOTICES

23.1 Any notice given to a party under or in connection with this Licence shall be in writing and shall be delivered by hand or email, or by pre-paid first-class post or other next Working Day delivery service at its address set out below:

23.1.1 if to the Publisher: Office of General Counsel
The Rockefeller University
1230 York Avenue
New York, NY 10065
USA

23.1.2 if to the Participating Institution: as stated in the Subscription Order and Acceptance Form

23.2 Any notice or communication shall be deemed to have been received:

23.2.1 if delivered by hand, on signature of a delivery receipt; or
23.2.2 if sent by pre-paid first-class post or other next Working Day delivery service, at 9.00 am on the second Working Day after posting or at the time recorded by the delivery service; or

23.2.3 if sent by email, on delivery of the email (as evidenced by a delivery receipt) if delivered during working hours on a Working Day, and otherwise on the first Working Day following delivery; or

23.2.4 if sent via the Jisc Ordering Platform (if any), on delivery of the Confirmation Notice.

23.3 This clause does not apply to the service of any proceedings or other documents in any legal action or, where applicable, any arbitration or other method of dispute resolution.

24 PREVENTION OF FRAUD AND CORRUPTION

24.1 Each party represents and warrants that neither it, nor to the best of its knowledge any of its employees, agents or contractors have at any time prior to the Start Date:

24.1.1 committed a Prohibited Act or been formally notified that it is subject to an investigation or prosecution which relates to an alleged Prohibited Act; and/or

24.1.2 been listed by any government department or agency as being debarred, suspended, proposed for suspension or debarment, or otherwise ineligible for participation in government procurement programmes or contracts on the grounds of a Prohibited Act.

24.2 Neither party during the term of this Licence shall offer, give, or agree to give anything, to any person an inducement or reward for doing, refraining from doing, or for having done or refrained from doing any act in relation to the obtaining or execution of this Licence or for showing or refraining from showing favour or disfavour to any person in relation to this Licence.

24.3 Each party shall take all reasonable steps in accordance with good industry practice to prevent fraud by its employees, and the party (including its shareholders, members and directors), in connection with this Licence and shall notify the other party in writing immediately if it has reason to suspect that any fraud is occurring or is likely to occur.

24.4 If a party or its staff engages in conduct prohibited by Clause 24.1.1 or commits fraud in relation to this Licence, the other shall be entitled to:

24.4.1 terminate this Licence and recover from the first party the amount of any loss suffered resulting from the termination, including the cost reasonably incurred by making other arrangements for the provision of access to the Licensed Material and any additional expenditure incurred by the other party throughout the remainder of this Licence; and
24.4.2 recover in full from the first party any other loss sustained in consequence of any breach of this clause.

25 THIRD PARTY RIGHTS

25.1 Except as expressly provided elsewhere in this Licence, a person who is not a party to this Licence is not intended to have any rights to, and shall not have any rights under the Contracts (Rights of Third Parties) Act 1999 to enforce any term of this Licence.

25.2 The rights of the parties to terminate, rescind or agree any variation, waiver or settlement under this Licence are not subject to the consent of any other person, and a person who is not a party to this Licence shall not be entitled to require its consent to any amendment.

26 GENERAL

26.1 This Licence and its Schedules and Annexes constitute the entire agreement between the parties and supersede all prior communications, promises, assurances, warranties, representations and understandings and agreements (whether written or oral) relating to its subject matter, but without prejudice to any continuing rights and obligations arising under any prior formal licence agreements between the Participating Institution and the Publisher.

26.2 This Licence may not be amended or modified except by agreement of both parties in writing.

26.3 Nothing in this Licence shall be construed to create any relationship of partnership, agency or employment between any of the parties.

26.4 If any provision or part-provision of this Licence is or becomes invalid, illegal or unenforceable, it shall be deemed modified to the minimum extent necessary to make it valid, legal and enforceable. If such modification is not possible, the relevant provision or part-provision shall be deemed deleted. Any modification to or deletion of a provision or part-provision under this clause shall not affect the validity and enforceability of the rest of this Licence.

26.5 The rights of the parties arising under this Licence shall not be waived except in writing. Any waiver of any of a party’s rights under this Licence or of any breach of this Licence by the other party shall not be construed as a waiver of any other rights or of any other or further breach. Failure by either party to exercise or enforce any rights conferred upon it by this Licence shall not be deemed to be a waiver of any such rights or operate so as to bar the exercise or enforcement thereof at any subsequent time or times.
LICENCE SCHEDULE 1

LICENCE FEES

Licence Fee:

The Licence Fee will be as set out in the Quote.

Transaction Management Charge:

<table>
<thead>
<tr>
<th>Licence Fee payable by Institution (p/a) exc VAT</th>
<th>Transaction Management Charge (p/a) exc VAT</th>
</tr>
</thead>
<tbody>
<tr>
<td>&lt;£1,000</td>
<td>£100</td>
</tr>
<tr>
<td>£1,001 to £10,000</td>
<td>£150</td>
</tr>
<tr>
<td>&gt;£10,001</td>
<td>£200</td>
</tr>
</tbody>
</table>
LICENCE SCHEDULE 2

LICENSED TITLES FOR OPEN ACCESS PUBLISHING

The Licensed Titles consist of the following hybrid journals:

- Journal of Cell Biology Online ISSN 1540-8140
- Journal of Experimental Medicine Online ISSN 1540-9538
- Journal of General Physiology Online ISSN 1540-7748
LICENCE SCHEDULE 3

INDUSTRY STANDARDS AND RELATED OBLIGATIONS

1 The Publisher agrees to use all reasonable efforts to implement the following industry standards to enhance access and use of the Licensed Material and shall:

(a) provide the Participating Institution with usage statistics by either:

   (i) participating in the Journal Usage Statistics Portal (JUSP), if the publisher is COUNTER compliant; or

   (ii) providing usage statistics in a spreadsheet format, organised by month; if the Publisher is not COUNTER compliant; and working towards compliance with the most recent release of the COUNTER Code of Practice (www.projectcounter.org);

(b) archive the Licensed Material to ensure that it is preserved for future scholarship in an archiving solution(such as Portico, Clockss or Lockss), and inform the Participating Institution in which of the archiving solutions the Licensed Material may be found;

(c) subject to paragraph 1(b), provide the means for the Participating Institution to continue to access the Licensed Material via an archiving service for use only in the event that the Publisher ceases trading or any of the provisions of Clauses 15.2 or 15.3 apply to the Publisher, and inform the Participating Institution where the Licensed Material has been archived, and provide the Participating Institution with sufficient authority and information to enable the Participating Institution to access such Licensed Material for the purposes of Clause 3.1.9 (Access where Publisher fails to provide it);

(d) use all reasonable efforts to meet the W3C standards (www.w3.org/WAI/Resources/#in) to ensure that the Licensed Material is accessible to all Authorised Users;

(e) use all reasonable efforts to meet the Open URL Standard (https://www.niso.org/publications/z3988-2004-r2010) to ensure that Authorised Users can search for and find the Licensed Titles and Licensed Content;

(f) use all reasonable efforts to keep to the Code of Practice of Project Transfer (www.projecttransfer.org) to ensure that journal content remains easily accessible by the Participating Institution and its Authorised Users when there is a transfer of material between parties, and to ensure that the transfer process occurs with minimum disruption;
(g) use all reasonable efforts to provide link-resolver vendors and other library systems suppliers quarterly with full details of the Licensed Material in accordance with the most current KBART standard ([http://www.uksg.org/kbart/s5/guidelines](http://www.uksg.org/kbart/s5/guidelines)); and also with related data of (i) the first and final year, volume, and issue and (ii) the algorithm or syntax for constructing an article-level link from an article’s metadata within the Licensed Material;

(h) use all reasonable efforts to provide relevant information to third party discovery tools (such as Scopus, Summon), in accordance with NISO recommendations ([https://groups.niso.org/apps/group_public/download.php/14820/rp-19-2014_ODI.pdf](https://groups.niso.org/apps/group_public/download.php/14820/rp-19-2014_ODI.pdf)); and

* urls and web addresses are for guidance and may change
# LICENCE ANNEX 1 – OFFER

## Rockefeller University Press Jisc
Transitional Agreement 2022-2023

<table>
<thead>
<tr>
<th>Target group</th>
<th>HE, Research Councils, Research organisations</th>
</tr>
</thead>
</table>

### Publisher:
Full legal name and registered address
The Rockefeller University
1230 York Avenue
New York, NY 10065

### Product Name:
Rockefeller University Press 2 year Transitional Agreement 2022-2023

### Agreement Name:
Rockefeller University Press Jisc Transitional Agreement 2022-2023

### Product Description:
An unlimited ‘Read & Publish’ transitional Agreement covering the three Rockefeller University Press’ hybrid journals

## 1. Commercial Information

### Term:
2 year

### Start and End date:
01 January 2022 to 31 December 2023

### Eligible Institutions
Higher Education / Research Councils / Research Organisations

### Compliance with UKRI and Wellcome Trust policies:
Transitional Agreement. This agreement is designed to ensure unlimited OA output for UK HE sector.

### Green Open Access Policy:
The final published versions (versions of record or “VOR”) of all articles are made freely available six (6) months after issue close. The VOR are deposited on PubMed Central automatically by Rockefeller University Press. Euro PMC, in turn, receives the VOR from PubMed Central. Articles are published under a CC-BY-NC-SA licence. For complete terms of use, please see [https://rupress.org/pages/terms-of-use](https://rupress.org/pages/terms-of-use).

### Transitional OA Agreement:
100% UK HE OA from 1st January 2022 through the duration of the Jisc agreement

1. **Licence Fees:** Rockefeller University Press’ Read and Publish Transitional Agreement is an all-inclusive product. For a set, annual up-front fee participating
institutions receive unlimited access to all paywalled content, plus unlimited, immediate open access publishing of the Version of Record for all corresponding authors at participating institutions under CC-BY licence terms in the Press’ three hybrid journals.

**Pricing Calculation:** Pricing is by quotation by institution

Access is to all titles including titles not currently subscribed to by your institution.

There is no limit on the number of articles that may be published open access during the agreement, all publishing fees are included in the fixed price.

**HE Jisc Bands used for this agreement:** Not used for this agreement

**Quotation:** Provided by Jisc Collections website

**Downgrades / Cancellations / Substitutions / New and transfer titles:** 2-year agreement. No transfer titles are expected within the term of the agreement.

**Currency:** Sterling

**Invoicing:** via Jisc Collections only

**Will VAT be included on the invoice to Jisc Collections:** yes

**If yes, VAT number:** N/A

### 2. Licensed Material on offer

**Licensed Material consists of:**

all content published in

- Journal of Cell Biology Online ISSN 1540-8140
- Journal of Experimental Medicine Online ISSN 1540-9538
- Journal of General Physiology Online ISSN 1540-7748

Back files / back issues included in the Offer: All content from Volume 1, Issue 1 of each journal

### 3. Business model

**Licence duration periods**

1/1/2022 – 31/2/2023

**Access**
Via Publisher platform:

Rockefeller University Press homepage: https://rupress.org
Journal of Cell Biology homepage: https://rupress.org/jcb
Journal of Experimental Medicine homepage: https://rupress.org/jem
Journal of General Physiology homepage: https://rupress.org/jgp

**Journals post-termination access**

If an institution does not renew this agreement, access to all content subscribed to during the term of the agreement will be accessible perpetually. That is, institutions will have access to all content from Volume 1, Issue 1 through and including 31 December 2023 in perpetuity.

**Post-termination access fees**

**No fees**
**Free via Rockefeller University Press’s websites**

**Dark Archive:** Via Portico and LOCKSS archives

**Licence Fees:**

By quotation: Yes
Jisc Band structure: No

**Payment process:**

Contract + Licence - Single payment through Jisc Collections to the Publisher:

**Acceptance of the Licence:**

Via Jisc Online Ordering System: Yes
LICENCE ANNEX 2 – SUBSCRIPTION ORDER AND ACCEPTANCE FORM (EXAMPLE)