Guidelines and Supplementary Instructions

Infrastructures for Scholarly Publishing

Disclaimer: The English translation of this document is provided for informational purposes. In the event of a discrepancy between the English and the German versions, the German text takes precedence.

DFG

I Programme Information

1 Objectives and Scope of Funding

As part of its Scientific Library Services and Information Systems Programme, the DFG funds projects at research institutions and other research service and information centres in Germany. The aim is to set up nationwide efficient research information systems.

1.1 Background

Scholarly publishing is developing at an increasingly quick pace and more profoundly due to the digital turn. Research findings today can be published in such a way that machine-readable texts, audiovisual media or other research data can be combined in a variety of ways. Additionally, research findings can be disseminated worldwide via the internet and made freely available without legal, technical or financial barriers for subsequent use by third parties (open access). Many researchers use these options not only to be able to disseminate findings more efficiently, but also to be able to better contextualise, understand or reproduce them. However, a number of barriers remain in place when it comes to fully implementing open access to scientific findings. The DFG seeks to address these technical, financial, social, legal and organisational barriers and to contribute to a transition to open access in line with the interests of the academic research community.

1.2 Objectives

The funding programme "Infrastructures for Scholarly Publishing" aims to support the transition to open access through the establishment and development of suitable information infrastructures and the (further) development of structural conditions. The following items in particular are eligible for funding in three thematic focus areas (listed in parentheses):

- Developing models and standardising agreements and funding flows (Structures for Transitioning to Open Access)
- Establishing and developing open publishing platforms (Open Access Infrastructures)
- Developing and implementing techniques and procedures for scholarly publishing (Digital Publishing).

1.3   Scope

In the first focus area, **Structures for Transitioning to Open Access**, funding is aimed at establishing processes and procedures that enable and support the transition to open access. The development and design of procedures to implement and/or evaluate new types of business and funding models for open access publications (also for monographs) that are conducive to academic research can be funded. Projects that contribute towards developing models and standardising and/or implementing open access transformative agreements through the coordination and networking of the stakeholders involved are also eligible. For existing or newly negotiated transformative agreements or in cases where an open access transformation project is envisaged for the acquisition of ongoing content, applicants may also submit proposals focusing solely on acquiring archival content (content backfiles of digital journals and e-book packages), taking into account the subject-related relevance to the community.[1] This focus area also includes projects aimed at developing nationwide consulting services, as well as the national and international networking of open access experts.

In the second focus area, **Open Access Infrastructures**, funding focuses on establishing and developing quality-assured, nationally relevant publication platforms. These publication platforms should be used to publish research findings in various formats via open access (in particular articles from journals and anthologies, monographs, preprints, blog articles, etc). Proposals can also be submitted to expand existing publication platforms such as open access repositories or preprint servers to include initial publication of research findings if there is a proven nationwide demand. Projects are also eligible in which tools and procedures are developed, for example for the legal harvesting of open access publications and their transfer to central publication platforms, which are of relevance to one or many subject areas. Projects promoting the digital long-term availability of open access publications are likewise eligible for funding. Proposals may also be submitted to develop repositories into nationwide current research information systems in order to

---

[1] Funding the acquisition of licences for current content – including open access transformation projects – is excluded within the framework of this programme. The acquisition of licences exclusively for subject-specific content that cannot be provided under an open access license is eligible for funding within the framework of the Specialised Information Services programme. Therefore, funding for ongoing open access content cannot be requested under the Specialised Information Services programme. Such funding may solely be acquired from and used by institutions via the Open Access Publication Funding programme. Under the Infrastructures for Scholarly Publishing programme, funding can be requested for transformation projects aiming at transitioning individual journals to open access.

systematically record and aggregate key figures on the number of publications or cost developments.

In the third focus area, **Digital Publishing**, projects are eligible which develop and test techniques and procedures for the publication, exchange and assessment of research findings in an academic research community (e.g. infrastructure to create enhanced publications or micropublications). Proposals can also be submitted in which, for example, tools or software are developed for collaborative writing (provided the focus of the project is on disseminating research findings), or in which systems are being developed for annotating or commenting on scholarly publications. Projects are also eligible which test new forms and quality assurance procedures for digital publications (e.g. community peer review, open peer review) or which deal with infrastructure for the (more comprehensive) assessment of research achievements.

In conjunction with the programme, proposals may also be submitted for projects that aim to launch or further develop an **individual open access journal** or to transition an individual journal to open access.

In order to reflect the continuing dynamic nature of infrastructures for scholarly publishing, funding can also be granted for experimental projects in all three focus areas if they serve the purpose of developing or testing innovative concepts. These kinds of projects should help to explore the potential of new types of subject-specific, organisational, technical or funding approaches that can support the development of scholarly publishing.

In addition to the topics exemplified above, as a general rule all proposals whose purpose reflects those of the programme or one of the focus areas can be submitted. Applicants may also request funding to design and implement projects that combine aspects from different focus areas. Studies that investigate the social, technical, functional or economic effects of the transition to open access or open science are also eligible, provided that the research interest and study design are clearly aimed at identifying desiderata in the development of information infrastructures.

2   Proposals

2.1   Eligibility

Members of non-profit research information infrastructure facilities such as libraries, archives, museums, research collections, research data centres or computing and information centres are eligible to submit proposals. Researchers in Germany or those working at a German research institution abroad who have completed their academic training (generally by obtaining a doctorate) are also eligible to apply.

As a rule you are not eligible to submit a proposal if you work at an institution that is not non-profit or one that does not allow immediate publication of research findings in a generally accessible form.

Funding provided in the area of scientific library services and information systems is intended to achieve improvements to nationwide information infrastructures, and its results benefit research as a whole. Therefore, institutes and member organisations of the Max Planck Society, the Fraunhofer-Gesellschaft, the Helmholtz Association, the Leibniz Association, and publicly funded research institutions associated with these organisations, and German sites of international information infrastructure institutions are also eligible to apply.

2.2   Funding conditions

Proposals in all three focus areas
- When the aim of DFG project funding is to set up a longer-term national information infrastructure or service, the sustainability of the project findings should be ensured by a publicly funded institution; it is recommended that the proposal be submitted by or in conjunction with members of a publicly funded institution. Only for projects with a strong experimental orientation, where the prospects of long-term establishment and widespread use of the innovation cannot be fully assessed until the project is completed, can sustainability measures initially be considered as a lower priority.

- Projects in all three focus areas can be carried out either independently of a publisher or in collaboration with publishers or other commercial entities. These entities are not eligible to submit a proposal. Funds for services carried out as part of a DFG-funded project can be requested under "Other funds" where necessary. Two alternative offers must generally be included with the proposal.

- All publications and findings resulting from the projects must be open access and remain accessible. Licences that are as open as possible (e.g. CC-BY or CC0) must be granted, which indicate clearly to what extent the reusability of publications or parts thereof is guaranteed.[2]

- All project findings must be disseminated to the relevant community and made available for reuse free of charge, also to third parties. Disclosure of any source code produced is mandatory; in general, project results must be made available in open source in a suitable location with clear licensing. This includes comprehensive documentation according to common standards.

- All content available online that is created using DFG funding must be edited, indexed and/or disseminated in a manner that guarantees maximum findability. The corresponding metadata must meet relevant standards for it to be integrated into international subject-specific or other cataloguing systems.

- The tools, methods, organisational forms and business models developed during the course of the project must be potentially transferable to other academic research contexts, unless the project is of a highly experimental nature.

Proposals in the focus area "Structures for Transitioning to Open Access"

- In order to be able to implement the findings of the project as widely as possible, these proposals should generally be submitted as collaborative projects or network projects. Not all partners represented in the network need to be included among the applicants. However, the proposal should make it clear how the collaboration between the various individuals involved contributes towards implementing the objectives of the project.

- A proposal to acquire archives (content backfiles) presupposes that a research community has a need for its contents. Only archives that follow on directly from

---

[2] Please also see the German-language statement *Appell zur Nutzung offener Lizenzen in der Wissenschaft* by the Alliance of German Science Organisations at https://gfzpublic.gfz-potsdam.de/pubman/faces/ViewItemOverviewPage.jsp?itemId=item_2875895

an existing or newly negotiated open access transformative agreement are eligible. As a general rule, all archival content should be accessible to all authorised research institutions in Germany or should be made accessible to them after a period of time. The information contained in DFG form 12.183 must be observed.

www.dfg.de/formulare/12_183

Proposals in the focus area "Open Access Infrastructures"

▪ If funding is requested for specific measures aimed at contributing to the development of an internationally operated (publication) infrastructure that is of relevance to researchers in Germany, these funds may only be used at the institution at which the applicant is employed. Requests for funding for membership fees to national or international organisations may also only be submitted if the organisation being financed by these membership fees is relevant to the work of researchers in Germany. If services included in a membership are considered among the basic tasks of a research institution, funding cannot be provided by the DFG.

2.3   Format

Proposals must be structured in accordance with the Proposal Preparation Instructions under the Scientific Library Services and Information Systems Programme.

www.dfg.de/formulare/12_01

Please base your proposal on the structure in this template. Specific explanatory comments regarding this programme can be found in the supplementary guidelines under V.

2.4   Deadline

Proposals can be submitted to the DFG at any time.

Please note that under the funding programme, additional funding opportunities may be announced in the form of special time-limited calls for proposals aimed at particular topics. Note that funding proposals involving the same topic as a special funding call cannot be submitted until the call is closed and funding decisions have been made.

3   Duration

Initial funding can be granted for up to three years. The total funding period should not exceed six years.

II   Proposal Modules

Under this funding programme, you may submit one or more of the following modules. For more details, please see the respective guidelines for each module.

1   Basic Module

Use the basic module to request funding for direct project costs, project-specific staff, and instrumentation necessary to carry out the project. It is also possible to request funding to pay for services provided by publishers in collaborative projects under the heading "Other".

www.dfg.de/formulare/52_01

2   Module Acquisition Funding

Applicants may only request this module for projects involving the acquisition of archival content (content backfiles).

www.dfg.de/formulare/52_16

Proposals to acquire archival content may only be submitted if an open access transformative agreement for current content is being negotiated or has already been signed. The licensing costs for current content must be paid by the institutions participating in the contract.

3   Module Project-Specific Workshops

If you would like to conduct workshops as part of your project, you may request funding to help you do so. Please note that this module cannot be submitted separately but only in conjunction with the proposed project.

www.dfg.de/formulare/52_06

The hosting of roundtable talks may also be funded for the purpose of strategic planning, nationwide collaborations in the sense of self-organisation processes and networking measures for communities, as well as the further development of funding measures.

Please address any questions you may have to the responsible DFG programme contact.

III   Obligations

In submitting a proposal to the DFG, you

1.   agree to adhere to the **principles of good scientific practice**.[3]

The principles of good research practice include, among others: maintaining professional standards, maintaining strict honesty with regard to one's own contributions and those of third parties, documenting results and rigorously questioning all findings.

2.   recognise the DFG's **Rules of Procedure for Dealing with Scientific Misconduct** (Verfahrensordnung zum Umgang mit wissenschaftlichem Fehlverhalten - VerfOwF)[4] as legally binding.

Scientific misconduct is defined as the intentional and grossly negligent statement of falsehoods in a scientific context, the violation of intellectual property rights or impeding another person's research work. The circumstances of each case will be considered on an individual basis. In cases where scientific misconduct has been established, the DFG may impose one or more of the following sanctions in accordance with its Rules of Procedure, depending on the nature and severity of the scientific misconduct:

▪   issuing a written reprimand to those involved;

▪   exclusion from the right to apply for DFG funds for a period of one to eight years, depending on the severity of the scientific misconduct;

▪   revoking funding decisions (full or partial termination of the grant contract, demanding repayment of funds spent);

---

[3]   The principles of good research practice are set out in detail in the DFG Code of Conduct - Guidelines for Safeguarding Good Research Practice and in the Funding Guidelines: General Terms and Conditions of DFG Grants (DFG form 2.00).

[4]   DFG Rules of Procedure for Dealing with Scientific Misconduct, DFG form 80.01

DFG

- demanding that those concerned either retract the discredited publications or correct the falsified data (in particular by publishing an erratum), or appropriately indicate the DFG's retraction of funding in the discredited publications;

- exclusion from serving as a reviewer for a period of one to eight years, depending on the severity of the scientific misconduct;

- exclusion from membership in DFG bodies and committees for a period of one to eight years, depending on the severity of the scientific misconduct;

- denying voting rights and eligibility in elections for DFG bodies and committees for a period of one to eight years, depending on the severity of the scientific misconduct.

By accepting funding, the recipient agrees to:

3.   use the grant exclusively and in a targeted manner to realise the funded project. The use and accounting of funds must conform to the relevant regulations of the DFG.

4.   submit progress reports on the research according to the dates specified in the award letter and to present financial accounts to the DFG detailing the use of funds.

The DFG expects that the findings of the projects it funds be made available to the public.

IV   Data Protection

Please note the DFG's Data Protection Notice for Research Funding, which you can access at www.dfg.de/privacy_policy. Where appropriate, please also forward this information to those persons whose data will be processed by the DFG because of their involvement in your project.

www.dfg.de/privacy_policy

V   Supplementary Instructions

Please base your proposal on the Proposal Preparation Instructions for Project Proposals in the Area of Scientific Library Services and Information Systems (LIS)

<div align="center">

www.dfg.de/formulare/12_01

</div>

In addition, refer to the information in these supplementary instructions on submitting proposals for infrastructures for scholarly publishing. The section titles below are based on the titles in the proposal preparation instructions. Proposals must be submitted via elan.

<div align="center">

elan.dfg.de

</div>

Part B Project Description:

B 1. State of the art and preliminary work

Proposals in all focus areas

- Give a brief summary of the state of the art and how you have obtained an overview of national and international developments (e.g. model agreements for the transition to open access, persistent identifiers, Creative Commons licences, metadata standards for long-term archiving, the certification of publication platforms, technical interfaces and software frameworks), and to what extent you have taken these as well as other relevant standards into consideration in your planning.
- Please describe the specific requirements of a research community addressed by your project, and where relevant provide qualitative and quantitative information to explain why it is required. Please also refer to how the community is actively involved in developing the infrastructure.
- Briefly outline how the planned infrastructure, models, services or tools differ or stand out from existing solutions and in what way the project provides added value. Where applicable, explain why existing market solutions cannot be used.

Proposals in the focus area "Structures for Transitioning to Open Access"

- For proposals to develop business models, contractual models or organisational models, please explain why additional funds from the DFG are necessary to develop these models and why this cannot be achieved in the course of standard activities of e.g. regional consortia.

Proposals in the focus area "Digital Publishing"

- If you are submitting a proposal to fund a new open access journal, please describe in detail how it will be different from existing journals in the relevant subject area (analysis of competition) and which supply gaps the journal will close.

B 2.2 Objectives

Proposals in the focus area "Structures for Transitioning to Open Access"

- Explain how the intended results contribute towards implementing a transition to open access that is in line with the interests of the academic research community.

Proposals in the focus area "Open Access Infrastructures"

- Please explain how the intended results contribute towards implementing a transition to open access that is in line with the interests of the academic research community.
- Please explain, providing the intention is to develop repositories into a current research information system, to what extent the proposed project is of nationwide significance and could in principle subsequently be reused by other institutions.
- If you are proposing a project that is highly experimental in nature, explain in what respect the project should be considered innovative.

Proposals in the focus area "Digital Publishing"

- Please explain how the launch of a new publication platform, the further development of an existing journal or its transition to open access will enhance scholarly communication in the community concerned and describe how the new infrastructure will add value to a subject area or a community.

B 2.3 Work programme and proposed research methods

- Describe how the proposed project will feed back into the relevant communities or the major infrastructural entities (including where appropriate the relevant learned societies) in order to establish the infrastructure or service on a broad scale.
- For proposals to fund a publication platform or an individual scientific journal, please describe what tasks will be carried out once as part of the project, what tasks will be undertaken and financed in the medium and long term, beyond the funding period, and what organisational measures will be taken for this purpose.
- If your proposal is highly experimental in nature, please explain what risks can be expected in the realisation of the project and what measures are planned to minimise

these risks. Please also state what criteria can be used to evaluate the success of the project, on or after its completion, whether this solution should be widely adopted and implemented, and possibly what measures would be suitable to accomplish this. Please describe how (partial) results can be substantiated if the project does not have the desired success.

B 4.3 Measures to meet funding requirements and handle project results

- Please describe in detail the specific measures that will be taken to ensure the reliable and sustainable continuation of infrastructures developed with DFG funding. For proposals to fund publication platforms or journals, please describe how the editorial tasks will be funded in the long term.
- If you are applying for a project to purchase archival content (content backfiles), please also state the extent to which the guidelines and information contained in DFG form 12.183 are observed.

www.dfg.de/formulare/12_183

B 4.4 Formal assurances

- Please confirm by stating the following phrase in the proposal that "publications resulting from the project and any relevant documentation will be available via open access, making them widely accessible for use by third parties" and that "the source code for the software developed under the project is documented in accordance with the principles of open source and made available for use by third parties".

B 5.9 Financial contributions

Applicants are expected to make a reasonable financial contribution to the project, e.g. in the form of staff and direct project costs. For projects that specifically aim to create longer-term infrastructure, applicants are expected to make a more significant contribution than for projects that are more experimental in nature.

Part C Appendices:

<u>Additional information and data sheets</u>

- Please attach the data sheets for new and renewal proposals under the "Infrastructures for Scholarly Publishing" programme to your proposal:

    www.dfg.de/formulare/12_171

- If the proposal is submitted by members of a research information infrastructure facility, the applicant must enclose a declaration from the facility's director stating that:
    - the long-term accessibility of content published via open access platforms is ensured;
    - the financial contribution required within the scope of the programme will be made;
    - the results of the project will be supported once DFG funding has expired.

    www.dfg.de/formulare/12_141

- If you would like to obtain funding for concluding service contracts with third parties as part of a DFG-funded project, at least two alternative offers must be enclosed with the proposal.
- If the proposal is for funding to launch a new or further develop an existing publication platform or individual scientific journal, you must submit a calculation showing income and expenditure that justifies the need for funding from the DFG; if the publication platform or the journal is produced in collaboration with a publisher, then its calculation must also be taken into account. If the communication or publication platform developed within the scope of the project is to be released or produced in collaboration with a publisher or service provider, please include the relevant sections of the agreement with this partner.

DFG

VI   Information

For further information, please contact

- Formal and organisational queries

   Lisa Mücklich (e-mail: Lisa.Muecklich@dfg.de, phone: +49 228/885-3093)

- Queries on proposal submission

   Michael Geuenich (e-mail: Michael.Geuenich@dfg.de; phone: +49 228 885-2009)

   A detailed overview of contact details, responsibilities and funding opportunities in the DFG's Scientific Library Services and Information Systems Programme is available on the DFG website at

   www.dfg.de/lis