

Guidelines

Indexing and Digitisation



I Programme Information

1 Objective

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 efficient nationwide research information systems.

The objective of the programme is to index and/or digitise handwritten or printed holdings or collections of exceptional importance, uniqueness or significance for nationwide research (such as rare or difficult to access printed works, undisclosed literary remains of significant provenance, historically important records and documents, mediaeval manuscripts, maps, etc.) and to make them accessible to nationwide and international reference and presentation systems. Funding can be provided to index/digitise both textual materials and visual materials (such as graphics).

This programme is primarily directed at research information and service facilities in Germany that house the collections¹ they wish to index/digitise. These institutions primarily include research libraries and archives; collaboration with similar institutions may be possible. To make virtual collections as complete as possible, material that is not located at the applying facility can also be included.

Indexing and digitisation can be combined. However, it is also possible to submit a proposal solely for indexing or digitisation (where metadata is available).

Material that is distinguished from the rest of a research facility's holdings by a common theme or form and therefore accorded particular significance for nationwide research is particularly suitable for **indexing**. In this respect, the question of how complete the collection is, the rarity or unusual nature of the collection as a whole or in part and its provenance must be taken into account. The proposal should therefore address all these issues explicitly. Indexing projects should make use of established, nationwide guidelines and regulations governing information services.

¹ Under this programme, the term "collection" does not refer to collections of secondary media (such as microfilms or digitised content) in which the originals are located elsewhere. Applying institutions must own the originals, even if projects include indexing or digitising microfilm.

Materials and holdings that are distinguished from the rest of a scientific information provider's holdings by constant and proven nationwide use or by a marked and documented nationwide demand are particularly suitable for **digitisation**, as are holdings that can be expected to stimulate and strengthen research in Germany once they have been digitised.

Where there is a proven demand from researchers, proposals can also be submitted for the retrodigitisation of usually complete scientific editions, dictionaries or lexica.

In addition to indexing and/or digitisation projects, those that serve to complete and network related portals or create and expand specific reference tools can also be requested. Where justified, funding to (further) develop standards for the indexing or digitisation of handwritten or printed works can also be applied for.

Digitisation can also be suitable for the retroconversion of archival finding aids.

Proposals for the digitisation of archival sources, historical newspapers and mediaeval manuscripts can be submitted within programme calls.

Instructions on indexing and/or digitising material from the 16th to the 18th centuries

The terms and conditions set forth in the Indexing and Digitisation Programme apply to nationally coordinated projects to index and/or digitise printed material published in the German-speaking area in the 16th and 17th centuries (VD 16 / VD 17). Large-scale digitisation projects for this period can no longer be supported, as a significant quantity of printed material has already been digitised. Proposals can still be submitted for the large-scale indexing and digitisation of printed material that appeared in the German-speaking area in the 18th century (VD 18) within the programme in accordance with the supplemental terms listed on our website (cf. [Guidance for projects for the digitisation and indexing of printed material published in the 18th century in the German-speaking areas \(VD 18\)](#)).

2 Proposals

2.1 Eligibility

In general, members of non-profit research information infrastructure facilities such as libraries, archives, museums, computer centres and media 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.

In general 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.

Since 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, institutes and member organisations of the Max Planck Society, the Fraunhofer Society, the Helmholtz Association, the Leibniz Association, and publicly funded research institutions associated with these organisations, and German sections of international information infrastructure institutions are also eligible to apply.

2.2 Proposal requirements and funding conditions

When the aim of DFG project funding is to set up a longer-term nationwide structure, it is expected that the proposal be submitted and supported by or in conjunction with an institution that is able to maintain the project findings and ensure their sustainability.

2.2.1 Project requirements

- The proposal should show that the holding to be indexed or digitised is permanently kept in its current structure at a publicly funded institution where it is permanently and freely accessible and usable. This also applies to holdings that are to be virtually combined.
- If you are planning to include material in your project that is not located at the applying institution, the proposal must include a legally valid declaration that this material will be made available to the institution for the purposes of indexing and digitisation as part of the project and also state how this will be achieved.

- In general, it is not possible to index and/or digitise holdings at international information facilities under the programme.²
- Proposed projects may not replace the defined responsibilities and funding arrangements of the applying facility. Projects must therefore exceed an institution's ordinary mission, be of a limited timeframe and topical scope, and focus on outstanding materials with nationwide significance. Projects that primarily serve the purposes of cultural promotion, promoting and preserving cultural assets or similar goals, and commercially oriented projects are not eligible for funding.
- Projects with the sole aim of digitisation should use existing high-quality metadata.
- Any necessary legal declarations must be obtained before the proposal is submitted.
- Retroconversion of archival finding aids can also be funded if generally no more than 10 percent of included titles are still subject to protection periods. The retroconversion of included titles that are not directly accessible via open access must be self-funded and is credited as a financial contribution by the applicant. Accessibility after the expiration of the protection periods must be described in the proposal.

2.2.2 Project results

- The results of the project must be freely and permanently available for research (open access) and be included in existing nationwide and international digital reference or access systems.
- Material-specific author, title and subject indexing standards must be applied to indexing projects.
- The "DFG Practical Guidelines on Digitisation" apply to digitisation projects:

www.dfg.de/formulare/12_151

2.2.3 Financial contributions

Applicants must contribute financially to the project (generally a third of the total project costs).³ Costs involving the storage of data within the framework of the project are considered as financial contributions. Preparatory or accompanying conservation measures

² Exceptions to this rule are holdings at public facilities in Israel, which can be indexed and/or digitised in accordance with the DFG's guidelines for funding German-Israeli collaborative projects.

³ Total cost of project = funding requested + agreed contribution. Payments made before the proposal is submitted cannot be considered as the financial contribution.

can only be recognised as applicant contributions if applicants can justify that such measures are essential to carrying out the project and do not replace basic tasks.

DFG funding is not available for these items.

2.3 Format and deadline

2.3.1 Proposal structure

Proposals for projects in the area of scientific library services and information systems must be structured in accordance with the relevant proposal preparation instructions:

www.dfg.de/formulare/12_01/

Please base your proposal on the outline in this template and also address the following item:

Item 1 of the project description (Starting point and preliminary work):

Please explain the extent to which the project can be linked to current or completed measures to index and digitise other holdings with similar or closely related material.

2.3.2 Additional information and data sheets

If the proposal is submitted by members of a research information infrastructure facility, the applicant must enclose a declaration of the facility's director stating that:

- the long-term accessibility of the texts and/or objects to be made available and/or digitalised is ensured;
- the financial contribution required within the scope of the programme has been made;
- the results of the project will be supported once DFG funding has expired.

www.dfg.de/formulare/12_141/

Please include the data sheet "Indexing and/or Digitisation" with your proposal. The data sheet can be downloaded at:

www.dfg.de/formulare/53_37_elan

2.3.3 Submission deadline

Proposals may be submitted to the DFG at any time.

3 Duration

Initial funding can be approved 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.

www.dfg.de/formulare/52_01

2 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

III Obligations

In submitting a proposal for funding under this programme, you agree to:

1. adhere to the **rules of good scientific practice**.

⁴ The rules of good scientific practice are presented in detail in the white paper entitled „Safeguarding Good Scientific Practice“ and in the [Funding Guidelines - General Terms and Conditions of DFG Grants](#) (DFG form 2.00).

The general principles of good scientific practice include, among others: maintaining professional standards, documenting results, rigorously questioning all findings, and attributing honestly any contributions by partners, competitors and predecessors.

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, 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 (complete or partial cancellation of the grant, recalling granted funds, demanding repayment of funds spent);
- 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 acting as a reviewer or from membership in DFG 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 statutory 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

2. 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.
3. 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 Publication of Data on Grant Holders and Research Projects

The data necessary for processing your proposal will be stored and processed electronically by the DFG.

By submitting a proposal you agree that, if the proposal is approved, your work address and contact details (name, institution and location, phone, fax, e-mail and website) as well as information about the content of the project (e.g. topic, summary, keywords, subject area, DFG programme, funding period, international connections) will be published in the GEPRIS information system

gepris.dfg.de/en

and may be published in other, non-commercial publications and databases created in cooperation with the DFG.

You may withdraw your consent to full/partial publication at any time, without affecting the lawfulness of any processing carried out prior to your withdrawal. If you would like to withdraw your consent, please notify the responsible DFG programme contact, preferably in electronic form.

V Information

A detailed overview of contact details, responsibilities and funding opportunities in the DFG's Scientific Library Services and Information Systems Programme is available for download from the DFG website under "Contact" at

www.dfg.de/lis/en