

# Guidelines

## Licences for Digital Content



## 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.

Under this programme, the DFG helps scientific information facilities provide researchers with broad-based, permanent, and full access to electronic resources on economically favourable terms.

Eligible for funding are primarily specific nationwide licensing deals, so-called Alliance licences, for journals, databases and e-books. In addition, projects independent of any specific licensing deals may also be funded, such as approaches to bundle licensing activities in the acquisition of electronic media or the testing of new elements in the context of licensing.

**Alliance licences** are characterised by their compliance with the *Guidelines for the Purchase of Licences funded by the DFG*. These guidelines set high standards for licensing. The standards aim to improve broad-based provision (open-access components, moving-wall components and archive purchases), to secure permanent access to licensed content (archive and hosting rights), and to enable not only reading access, but also data and text mining. In addition, Alliance licences provide a framework for developing, testing and implementing innovative business models. This applies especially to holdings-independent, e-only based pricing models.

Alliance licences are negotiated for access by all interested research institutions in Germany (opt-in model). An Alliance licence is financed by participation fees from the participating institutions (75%) and a DFG grant (25%).

An additional grant option, called “gap filling”, addresses a problem that exists with products for which a national licence has already been acquired and for which funding of an Alliance licence is now requested. This may entail time and content gaps between the content accessible through a national licence and the archives created through the Alliance licence using a moving wall. To overcome this situation, which is unsatisfactory for

users, 100% of the costs for gap-filling archive components may be requested from the DFG. A proposal for gap filling can only be submitted in connection with a request for funding of a current journal or database.

Funding for Alliance licences is intended specifically for products that are in high demand, not least because of the desired structural effect. This distinguishes Alliance licences from licences for electronic resources that serve highly specialised needs. Such licences may be acquired, under defined conditions, as part of DFG-funded specialised information services.

Agreements dealing with open access article processing charges and subscription costs for hybrid journals (packages) cannot be considered in this programme. Such agreements can only be considered in the Open Access Transition Agreements call, see

[www.dfg.de/download/pdf/foerderung/programme/lis/ausschreibung\\_oa\\_transformationsvertraege\\_en.pdf](http://www.dfg.de/download/pdf/foerderung/programme/lis/ausschreibung_oa_transformationsvertraege_en.pdf).

The aim is to make the terms of Alliance licences a reference standard for licensing in Germany by adopting them in as many licensing agreements as possible. The requesting institutions are encouraged to promote the adoption of the guidelines for Alliance licences in other licensing contexts, using suitable measures such as workshops and presentations. Such measures are also eligible for funding.

In line with the overriding funding goal, the requesting institutions are also encouraged to negotiate, as part of the Alliance licensing agreements, options which are not necessarily co-financed from the grant, but which are also able to facilitate access to relevant scientific publications. Examples include special discounts for the publisher's other journal packages, databases or e-book packages, discounts regarding the author processing charges for the publisher's open-access gold journals, or discounts for the publisher's print editions.

## 2 Proposals

### 2.1 Eligibility

Only members of non-profit research information facilities, particularly libraries, are eligible to apply for funding for the acquisition of licences.

The following applies to projects aimed at developing licensing model concepts, but for which no actual licensing agreements are envisaged:

In general, 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-Gesellschaft, 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

For Alliance licences:

The facilities submitting the proposal must have solid, documented experience in negotiating high-volume acquisitions of literature in the digital realm as well as in storing this literature and making it accessible. Furthermore, they must be capable of transferring the documents they purchase through a DFG-funded nationwide licence to appropriate usage and storage systems. They are expected to consult and collaborate with other licence-holding institutions.

For other projects:

Applicants are expected to gain a comprehensive overview of international developments and incorporate them into their plans. Relevant national and international standards must be taken into account. Comprehensive research of existing methods, procedures or tools that may be suitable for reuse is an essential prerequisite for funding.

## 2.2.2 Project results

For Alliance licences:

The service consists of granting a non-exclusive and non-transferable licence for the use of products sold by the licensor by the institution submitting the proposal. Non-profit research institutions can opt into the concluded licence agreements.

Products considered for purchase as a nationwide licence under this funding programme must meet the requirements specified in the "Guidelines for the Purchase of Licences funded by the DFG":

[www.dfg.de/formulare/12\\_181](http://www.dfg.de/formulare/12_181)

In order to ensure a long-term effect of the grant – in terms of the funded products and of imitation effects in other licensing contexts (e.g. regional consortia) – applicants are expected to discuss in their negotiations which elements of Alliance licence support can be maintained in terms of the relevant product for subsequent consortia after DFG funding expires.

For all projects:

All project results must be announced to the scientific community and made available for reuse free of charge, also to third parties.

## 2.2.3 Financial contributions

Applicants are expected to make an appropriate contribution, such as providing staff to conduct negotiations.

## 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](http://www.dfg.de/formulare/12_01)

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

*If you are requesting funds for the purchase of an Alliance licence*

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

#### **Description of the product:**

Please provide information on the following points:

- Why is the product suitable for licensing under an Alliance licence? What selection criteria were used?
- How high is the demand for this product? How widely spread is the proposed product?
- Is there overlap with existing national or Alliance licences?
- For e-books or if applicable: If funding is requested for a new or the first part of a series, provide information on the overall concept of the series or grant. (How many parts are planned as part of the series? Of these, how many parts are expected to be proposed for funding? What is the publisher's pricing calculation for the series? Etc.)

Item 2.2 of the project description (Objectives):

Description of the licensing model and the offer

Please provide information on

- the status quo at the beginning of the negotiations;
- the licensing model underlying the publisher's offer (if it is a holding-based pricing model, please explain why this model was given preference over an e-only-based pricing model; include a comparative calculation if appropriate);
- the licensing options for the participating institutions (e.g. were selection options negotiated for the participating institutions?);
- the extent to which the chosen licensing model is innovative;
- the extent to which the chosen licensing model can be reused in other licensing contexts.

For renewal proposals: Please explain

- to what extent the renewal proposal entails an advancement of the licensing model or terms;
- what aspects of the licensing model may be suitable for reuse in other contexts outside of DFG funding.

Item 4.1 of the project description (Proposal modules/funding)

**Pricing:**

- Please explain the pricing of the product and the parameters on which the pricing model is based.
- If applicable, please explain how existing licences will be considered with regard to pricing.
- Please enter comparative information to better evaluate the pricing (for example, how does pricing under Alliance licences compare to pricing in other contexts (such as consortium licences).
- Explain the basis for moving wall pricing.
- For proposals submitted following a rejection due to the pricing level: Price reductions obtained in renegotiations must be presented in a detailed and comprehensible manner. The data underlying the old and new price must be comparable; modified parameters (e.g. reduced scope) must be identified and included in the calculation.

Item 5.4 of the project description (Formal assurances):

Please add the following declaration: "This proposal and the associated offers from publishers comply with the current guidelines for the purchase of licences funded by the DFG. This includes, but is not limited to, the regulations set out in the guidelines pertaining to hosting, moving walls, open access, local indexing and local archiving."

### 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](http://www.dfg.de/formulare/12_141)

When requesting funds to purchase an Alliance licence, please include the original offers from the publishers for each product and any other documents, such as lists of titles.

You must also include the *Alliance Licence Data Sheet* with your proposal.

The data sheet can be downloaded at:

[www.dfg.de/formulare/53\\_40\\_elan](http://www.dfg.de/formulare/53_40_elan)

### 2.3.3 Submission deadline

Proposals for Alliance licences are accepted until **5 May** of each year. If you are planning to apply for Alliance licences, you are asked to submit by 1 April an informal statement of intent mentioning the products (name and subject area) for which you plan to request funding. This statement of intent will not be reviewed; it will be used exclusively to prepare the review of subsequent proposals.

## 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. Please note that staff funding for negotiators is not available under this programme as this is part of the applicant's expected contribution to the project.

[www.dfg.de/formulare/52\\_01](http://www.dfg.de/formulare/52_01)

### 2 Acquisition funding

This module is used to finance the licensing of scientific publications:

[www.dfg.de/formulare/52\\_16](http://www.dfg.de/formulare/52_16)

The conditions for applying for acquisition funding under this programme are set out in the "Guidelines for the Purchase of Licences funded by the DFG":

[http://www.dfg.de/formulare/12\\_181](http://www.dfg.de/formulare/12_181)

### 3 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](http://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**.

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.

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<sup>1</sup> 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).

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](mailto: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

For further information, please contact Dr. Angela Holzer (e-mail: [Angela.Holzer@dfg.de](mailto:Angela.Holzer@dfg.de); Tel. +49 228/885-2568). 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/en](http://www.dfg.de/lis/en)