

Guidelines

Open Access Publishing



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 funds the publication of research findings in open access journals, which enable access to the articles as soon as they have appeared. The funding frequently takes the form of publication fees ("author fees" or "article processing charges"). The programme enables higher education institutions to obtain funding from the DFG which they can use to finance the publication fees charged by open access journals. The proposal can only be used to apply for publication funding. The applying institution can then use the funding to cover the fees that its members have to pay to publish via open access.

The overall objective of the funding programme is to assist higher education institutions in establishing permanent and reliable structures for financing open access publications. As this is only possible through institutions at which researchers are also authors, the funding programme is directed at institutions to which the DFG can make additional publication funding available for a transitional period. In this way, the programme offers incentives to build up a regular budget with which to finance publication fees.

From the DFG's perspective, the established mechanisms should be seen as a service to an institution's authors to facilitate open access publishing and the administration of fee payment should remain simple. The service should relieve authors who want to publish their research results in an open access journal of the financial and administrative obstacles.

2 Proposals

2.1 Eligibility

Only higher education institutions, represented by their administrative heads or authorised representatives thereof, are eligible to apply.

2.2 Proposal requirements and funding conditions

2.2.1 Project requirements

Fees for articles in open access journals can be covered, provided the following general conditions are met:

- The articles to be published appear in journals that make all articles available over the internet to users free of charge as soon as they appear (pure, gold open access journals) and that they apply recognised and strict quality assurance procedures.
- Publication fees of up to €2,000 (including value-added tax) per article may be financed through the funds provided by the DFG. Please note, however, that DFG funding cannot be used to co-finance publication fees exceeding the aforementioned amount.
- Only articles in which a member of the applying institution is responsible as the "submitting author" or the "corresponding author" for payment of the publication fees can be funded.
- Funding cannot be provided for open access publication of articles in subscription-based journals according to the hybrid model ("open choice").

2.2.2 Project results

Funds provided by the DFG are intended as start-up funding to set up an open access publication fund. The participating institutions are required to maintain this fund and to put further measures in place to ensure that open access publishing is supported in the long term. The proposal must be accompanied by relevant plans and strategies.

The DFG assumes that the applying institution will not review the quality of the content of each article; the article will already have been accepted for publication in a journal that publishes following a generally accepted review process and quality assurance mechanisms.

2.2.3 Financial contributions

A proposal can only be approved if the applying institution contributes a set percentage of its own budget to finance articles in open access journals. These set percentages, which are based on the amount of publication funding calculated for the given proposal year, are: 20% for the first and second year; 40% for the third and fourth year, and 60% for the fifth and sixth year.

Transitional programme arrangements:

This rule applies to higher education institutions that have received more than two funding awards under this programme prior to 1 January 2015: The institutional contribution is set at 25% through the sixth year of funding. Should these institutions apply for a seventh and eighth year of funding, which only these institutions are eligible to do, then the percentage of the institutional contribution increases to 60% for each of these years.

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 items:

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

- Substantive information about the number of articles published by the applying institution, particularly those in open access journals, must be included with the proposal. Justify the anticipated number of articles to be published via open access during the proposed funding period.
- Describe the number of articles published by your institution in detail and explain how you have arrived at the data given on the statistics sheet (DFG form 53.41)
www.dfg.de/formulare/53_41_elan
- State whether your institution helps authors to finance the costs of publication. If so, in what amount? Does it have institutional memberships to open access publishers or similar arrangements that result in more favourable pricing? If so, to which publishers? Show the institution's total expenditure on licenses for electronic journals.
- Determination of publication data: Please explain briefly how you determined the number of articles published by your institution. If you were only able to calculate the funding required or the expected number of open access articles on the basis of random samples and projections (as no relevant data has yet been collected at your institution), you should also explain how you expect to obtain the required

information about the publication activity of researchers at your institution in the future.

Item 2.3 of the project description (Work programme and proposed research methods):

- Explain how the funds provided by the DFG will be used to finance the existing costs of open access publication for the authors. Please also show which complementary measures the applying institution will put in place to offer the authors a true publication service.
- Please use this section to provide details about the method (business and funding model) to be set up at the institution to process and account for the publication fees for your authors.
- The business and funding model for the publication fund should be continuously optimised to meet the requirements of the authors at your institution. Please state how you expect this aspect will be dealt with in the long term.
- Please also state how it will be ensured that the conditions defined by the DFG concerning payment of the publication fees will be met. How will it be ensured that publications only appear in journals that practice strict, approved quality assurance and review procedures?¹ Should the budget for publication fees be largely exhausted, please explain how the grant funds will be distributed.

Item 2.4 of the project description (Measures to meet funding requirements and handle project results):

Please address the following points to show the measures with which the institution will ensure that open access publishing is continued:

- Complementary support: Please describe the organisational, technical and/or legal measures currently in place to support open access publishing by your institution's authors or how you plan to support them in the future.
- Sustainability: Please show how the applying institution will reallocate parts of its own budget for publication fees. Explain what measures your institution will take to allow researchers at your institution to publish in open access journals (a) in the event that the publication budget is exceeded during the course of the financial year and (b) after the DFG funding has expired.

¹ Relevant journals are listed in the "Directory of Open Access Journals" at www.doaj.org. This overview of current, quality-assured journals is structured by subject matter, but is by no means complete.

- **Maintenance:** State whether your institution already supports an open access policy or any measures planned to introduce a policy of this kind in the short to medium term. Is there an open access representative at your institution, or are there plans to set up a position of this kind?
- Please also describe other measures and/or plans that will help establish open access publishing permanently at your institution.

2.3.2 Additional information and data sheets

Please enclose the "Open Access Publishing" data sheet with your proposal. It should summarise the key information about the number of articles published and the calculation of the costs involved. The data sheet can be downloaded at:

www.dfg.de/formulare/53_41_elan

2.3.3 Submission deadline

The annual proposal deadline is 1 May.

3 Duration

Proposals can be submitted for a period of 12 or 24 months. Renewal proposals can be submitted accordingly up to the maximum funding duration of 6 years.

The proposal period is always the budget year (or years, when a 24-month period is given) following submission of the proposal.

Transitional programme arrangements:

Only higher education institutions that have received more than two funding awards under this programme prior to 1 January 2015 are eligible to submit proposals for a seventh and eighth year of funding.

II Funding

Under this programme only publication funding can be requested to finance the fees for publication in true open access journals.

Please state the anticipated cost of financing articles in open access journals over the proposal period. The likely proportion of open access articles and the anticipated amount of funding

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required for the proposed period should be calculated on the basis of the number of articles published over the previous year.

Instructions on calculating the publication funding requested from the DFG and the institution's contribution:

Number of articles expected to be financed via publication fees (only those where an author is the "submitting" or "corresponding" author) multiplied by the average article fee = total expected costs.

The applying institution may request 80% of this total from the DFG for the first and second proposal year, 60% for the third and fourth year, and 40% for the fifth and sixth year. The remaining amounts (20%, 40% and 60% of the totals, respectively) must be contributed to the project by the applying institution.

Transitional programme arrangements:

Higher education institutions that have received more than two funding awards under this programme prior to 1 January 2015 can submit funding requests – up to and including the sixth proposal year – of 75% of the total to the DFG and must contribute the remaining 25% themselves. For a potential seventh and eighth funding year, only 40% of the total may be requested from the DFG.

III Obligations

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

1. adhere to the **rules of good scientific practice**.²

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

² 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).

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 grant proposal will be stored and processed electronically by the DFG. If a grant is awarded, your work address (e.g. telephone, fax, e-mail, internet website), as well as information on the content of your research project (e.g. topic, summary, keywords, international cooperation), will be published in the DFG's project database GEPRI

and - in excerpts (grant holder's name, institution and location) - in the "Programmes and Projects" section of the DFG's electronic annual report. If you do not wish this information to be published electronically, please notify us in writing no later than four weeks after receipt of your award letter.

gepris.dfg.de/en

www.dfg.de/annual_report

V Information

For further information, please contact Dr. Angela Holzer (e-mail: 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