

# Guidelines

## Publication Grants

### I Objective

Publication grants support the publication of scientific and scholarly works in print or digital form. The DFG supports open access as this form of publishing makes the results of academic research freely accessible, thereby promoting the exchange and transfer of knowledge.<sup>1</sup> It encourages funding recipients to make their results publicly available either via the gold open access route (immediate OA publication) or the green open access route (publication in OA repositories in addition to publication according to the subscription model).

### II Description

Publication grants can only be awarded as subsidies to cover production costs for

- works in which **basic material** is made available for further research (such as editions of primary texts and manuscript material) and
- works of **exceptional scientific importance**, which constitute the first publication of outstanding results. Funds for printing a dissertation/thesis can only be awarded in exceptional cases; to be eligible for funding, the thesis must have received the highest mark possible as stipulated in the respective doctoral degree regulations.

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<sup>1</sup> <http://www.dfg.de/lis/openaccess/dfg-position/en>

Festschriften and fee-based articles in scholarly journals are not eligible for funding.

A publication grant can be used to fund print publications as well as fee-based e-books and open access e-books. Funding for a combination of a print and electronic publication is possible. Publication grants are provided on the basis of cost estimates from two publishers and an explanation of the choice of publisher. The DFG expects that current technologies such as print-on-demand will be used when applying for print publications. The publishers' cost estimates to be submitted must provide the respective information.

Please note that the conclusion of a contract with a publisher prior to the DFG's decision on the publication grant is only possible in exceptional cases and with the DFG's prior approval. Please also note that the work must not go into print (or into production in case of digital publications) prior to the DFG's decision.

The decision not to publish via open access requires justification, as does the production of a print edition. Publication via a fee-based e-book might be justified, for example due to the costs of image rights, which may not be foreseeable or be disproportionately high in open access. In exceptional cases, one cost estimate is sufficient, provided that publication is intended in an established publication series that is recognised in the respective subject area. A subject-specific justification is required for this.

Funds for publishing the results of a DFG-funded project can generally only be applied for within the scope of the grant proposal (see the Basic Module, section II. 2.6 "Project-related publication expenses").

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

Please note the following exception: It is possible to apply for a separate publication grant upon completion of a project for book publications from long-term projects or projects whose main objectives are to collect and catalogue information or disseminate research results (e.g. literary editions, text volumes, illustrated volumes or excavation reports). This option will be decided upon within the first project proposal; therefore, it must be both requested and reviewed at this stage.

### III Proposal Instructions

Researchers in Germany, or those working at a German research institution abroad, who have completed their academic training (a doctorate as a rule) are eligible to apply for DFG research grants.

Applicants may submit an informal proposal including a statement that the publication was not written as part of a DFG-funded project. Please give your proposal a title in German and English (max. 300 characters each, no special characters) and briefly summarise the main objectives of your project in German and English (max. 3,000 characters each).

We also ask you to provide the following details about yourself:

- Academic degree/title
- First name:
- Last name
- Nationality:
- Gender:
- Date of birth
- German-speaking: yes/no
- E-mail address
- Telephone/mobile phone:
- Address of your institution
- Correspondence address if different from above

In addition, please explain briefly how the requirements listed in section II of these guidelines apply to you.

The following costs can be requested:

- Publishing overhead costs: these include electronic provision costs relating to the planned publication as well as costs incurred by making the publication available in open access. The DFG covers up to 80 percent of these costs.
- Copyediting/proofreading costs: Financing of a service to improve the orthography and style, and, if necessary, limited content-related editorial improvements of the text.
- Technical production costs (e.g. typesetting, printing, binding)

In the case of a purely electronic publication, please also provide information on how long-term availability is to be ensured.

The proposal must include the following items:

- your academic CV; the template provided (DFG form 53.200) must be used for this purpose

[www.dfg.de/formulare/53\\_200\\_elan](http://www.dfg.de/formulare/53_200_elan)

- the manuscript, either in finished form or for final copyediting/proofreading,
- detailed cost estimates by two publishers (in accordance with DFG form 11.05, available in German only),

[www.dfg.de/formulare/11\\_05](http://www.dfg.de/formulare/11_05)

- an explanation of the choice of publisher,
- in the case of a *Habilitationsschrift*: copies of all examiners' reports provided to the faculty.

Submit your proposal digitally to the DFG, preferably as PDF files (otherwise as RTF files), without access restrictions regarding reading, copying and printing.

## IV Obligations

In submitting a proposal to the DFG, you

1. agree to adhere to the **principles of good research practice**.<sup>2</sup>

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)<sup>3</sup> as legally binding.

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<sup>2</sup> The principles of good research practice can be found 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).

<sup>3</sup> [DFG Rules of Procedure for Dealing with Scientific Misconduct](#), DFG form 80.01

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);
- 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.

## **V Data Protection**

Please note the DFG's Data Protection Notice on research funding, which can be viewed and downloaded at [www.dfg.de/privacy\\_policy](http://www.dfg.de/privacy_policy). If necessary, please also forward this information to those individuals whose data will be processed by the DFG due to their involvement in your project.

[www.dfg.de/privacy\\_policy](http://www.dfg.de/privacy_policy)