

Call for Proposals

DFG Scientific Library Services and Information
Systems/Electronic Publications

Scientific Monographs and Monograph Series in
Open Access



I. Programme Information

1. Objective

By providing this funding, the Deutsche Forschungsgemeinschaft (DFG, German Research Foundation) aims to establish workable business models for the publication of academic and scientific Open Access monographs and series of monographs (individual works, collections and dissertations). Funding these formats in particular will help to ensure the more effective introduction of Open Access publication in those subject areas that tend to publish important research results in book form.

The speed with which Open Access is gaining ground depends on the publication traditions that are customary in the individual research disciplines. In the area of book publishing, there are currently only limited possibilities for making scientific works available in Open Access immediately upon publication (a process referred to as the Golden Road). This is because there are very few workable business models in existence for the publication of monographs by means of the Golden Road to Open Access.

Nevertheless, this form of publishing offers researchers major advantages both as authors and as recipients: it increases the visibility of the publication and enables research results to be distributed more widely in international and interdisciplinary contexts. Because the integral text is made available publicly in electronic form, this also provides additional benefits, such as the possibility of detailed indexing and also makes it possible to introduce innovative enhancements to traditional formats, including, for example, informal communication and collaboration, links to other sources and the integration of multimedia content. A variety of hybrid models are also possible, including electronic publication in Open Access with additional electronic features and the option of purchasing a printed version.

This funding is targeted at institutions within the information infrastructure and academics and scientists who, possibly in alliance with academic publishers or similar organisations, are piloting the development and application of workable and reusable business models for the publication of monographs in Open Access.

2. Proposals

2.1 Eligibility

Institutions that specialise in scientific or academic information, such as libraries, archives, museums, data centres and media centres, are eligible to apply, provided that they are not run for profit. They will be represented by their management. Researchers in Germany or at German research institutions abroad who publish academic monograph series and who have completed their studies (generally by obtaining a doctorate) are also eligible to apply.

If you work in an institution that is run for profit or if you are not permitted to publish research results in an accessible form immediately, you will generally not be eligible to

apply. Publishers are not eligible to apply. It may be possible for publishers to obtain funding towards the contributions to be made as part of collaborative projects by applying to the DFG, possibly by means of a third-party application.

Since the funding provided for “Scientific Library Services and Information Systems” is intended to achieve a transregional improvement to information infrastructures, and its results serve science as a whole, staff from the institutes and member organisations of the Max Planck Society, the Fraunhofer Gesellschaft, the Helmholtz Association or the Leibniz Association and members of research institutions associated with these organisations, in receipt of basic funding from public resources, and members of the German sections of international information infrastructure institutions are also eligible to apply.

2.2 Conditions for application and funding conditions

a) Conditions for project implementation

The funding is intended for projects designed to develop, pilot and document in detail reusable and workable business models for the publication of Open Access monographs by individual researchers or groups of researchers.

Proposals must include an outline of the concrete collaboration between information institutions (libraries, data centres, media centres, etc.), authors and possibly also publishers or similar organisations. This should involve the development of workable and efficient concepts for the publication of Open Access monographs or monograph series, documented for reuse by others and immediately applied for the purposes of publication.

The concept and documentation must above all provide details of the individual phases in the publication workflow that enable the conditions for Open Access publication through effective collaboration between the various actors and must also outline the principles for costing and pricing that will help ensure that the individual contributions to the workflow are organised transparently. The knowledge and models developed in the funded projects must be published in such a way that they may be reapplied freely by third parties. The application must also show how the possibility of the Open Access publication of academic monographs will be actively made available to the academic/scientific community.

b) Requirements for project results

The following framework conditions apply to the Open Access monographs and monograph series that result from funded projects:

- in the event of a hybrid publication, the publication of the Open Access monograph may coincide with, but must under no circumstances postdate that of the printed version;
- the quality assurance of the publication must be guaranteed in accordance with the applicable standards for the specialist discipline or based on new

high-quality methods to be developed within the framework of the programme;

- the production workflow must enable prompt publication of the book and incorporate the effective inclusion of both the metadata and the publication in international discipline-specific and information verification systems (e.g. OAPEN Library, DOAB);
- the publication must be compiled, indexed and promoted in a way that guarantees maximum findability on the internet. The publication metadata must meet library standards;
- the development of innovative electronic formats and additional functionalities desired by researchers and academics is possible;
- it must be possible for authors easily and clearly to verify requests for and the use of the publication and to measure this by means of a standardised method, for example one that corresponds to the current COUNTER Code of Practice for E-Resources;
- the legal status of the publication and individual parts of it must have been cleared and the type of licensing must enable maximum reuse by the scientific and academic community, for example by means of CC-BY or CC-BY-NC licensing;
- the long-term availability of individual titles must have been accounted for and guaranteed organisationally.

The processes and business models developed in the project must be transparent and documented in a way that may be used by third parties. The detailed description of the results will include at least the following aspects:

- a description of the workflow and the distribution of tasks, possibly also including information on the contribution made by a publisher or similar organisation;
- information on a transparent cost model, for example in the form of a checklist for services and their prices, including a transparent description of how these costs were derived and details of the discount and refund models that would apply to any retrospective recalculation. For hybrid models, this will also include the calculation for printed versions offered in parallel with the Open Access publication;
- information on quantities and the specific profile of the monographs, as well as sales and usage figures;
- ideas on transforming existing printed series into an Open Access model;

- strategies for branding, marketing and incorporating the publication in web-based specialist information services and for maximising internet findability;
- strategies for advising academics and scientists on licensing their work and documentation on types of licensing used;
- information on the distribution of tasks for long-term archiving.

c) Financial contribution

Applicants will be expected to make an appropriate financial contribution of their own.

2.3 Format and deadline

a) Proposal format

Proposals should follow the instructions and guidelines for applications within the DFG programme "Scientific Library Services and Information Systems". In drafting your proposal, please apply the structure indicated in these guidelines on p. 17 et seq.:

www.dfg.de/formulare/12_01/12_01.pdf

The proposal should not exceed 20 pages in length.

b) Additional information and data sheets

Where appropriate, please provide details of the activities in the area of Open Access already undertaken by a publisher or similar organisation with whom you will cooperate on the project.

c) Submission deadline

Proposals, including all necessary documentation, must be submitted at the latest by **1 March 2013** to the DFG Head Office, Scientific Library Services and Information Systems Division.

3. Duration

As a rule, the project duration should be two years.

II. Funding

The DFG can approve the funding of personnel and equipment required for the implementation of the project if these are not part of the core support. When applying for funding, please refer to the types of costing described on p. 4 et seq. in the guidelines for research funding within the Scientific Library Services and Information Systems Programme:

www.dfg.de/formulare/12_01/12_01.pdf

III. Obligations

In submitting a proposal for funding to the DFG as part of the Scientific Library Services and Information Systems Programme, you agree to:

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

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);

¹ The rules of good scientific practice are presented in detail in the white paper *Proposals for Safeguarding Good Scientific Practice* (published by Wiley-VCH) and in the usage guidelines for research grants (DFG forms 2.01 and 2.02) (cf. <http://www.dfg.de> Research Funding / Legal Framework Conditions).

- 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;
- denying voting rights and eligibility in elections for DFG statutory bodies and committees.

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 GEPRIS 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.

www.dfg.de/gepris

www.dfg.de/jahresbericht

V. DFG Programme Contact

The DFG contact person is:

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http://www.dfg.de/en/research_funding/programmes/infrastructure/lis/contact