Guidelines and Supplementary Instructions

FIDplus: Extension of project funding for Discipline-Specific Information Services with longer funding periods and the option of continued proposal submissions

Disclaimer: The English translation of this document is provided for informational purposes. In the event of a discrepancy between the English and the German versions, the German text takes precedence.

DFG

I   Programme Information

1   Objectives and scope of funding

1.1   Background

The programme "Discipline-Specific Information Services" (*Fachinformationsdienste für die Wissenschaft*, FID) has been in place since 2013. Under the FID programme, the DFG funds the development and consolidation of services that provide research communities with discipline-specific information, independent of their location. Discipline-specific information services are directly aligned with the needs of the addressed communities and clearly go beyond the basic provision of libraries and other information infrastructure facilities. Funded projects also actively contribute to shaping the overall FID structure.[1]

The programme FIDplus is a supplement to project funding for discipline-specific information services. It enables discipline-specific information services to submit further proposals following a 12-year funding period. Only those discipline-specific information services that have demonstrably established indispensable services for research and developed promising strategies for the future are eligible for FIDplus funding.

1.2   Objectives

While regular FID funding supports the development and consolidation of discipline-specific information services, the funding line FIDplus aims to support the continued operation and further development of services that are demonstrably subject to intense use. The aim of FIDplus projects is to continue to provide the research community with in-demand information and tailored services following a successful 12-year FID funding period. In addition to funding individual discipline-specific information services, the programme line also pursues the objective of further developing and consolidating the overarching and networked overall FID structure as part of the information infrastructure landscape in Germany and beyond.

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[1] For detailed information on the programme, see the relevant guidelines: www.dfg.de/formulare/12_10

1.3   Scope of funding

The tasks derived from the above objectives must comply with the established funding principles of the regular FID programme line: 1) orientation towards the needs of research; 2) added value beyond basic provision; 3) contribution to the overall FID structure. Tasks for which FIDplus funding is requested must be derived from a FID's existing services. Extensions to the existing service portfolio may also be funded on condition that convincing needs and environmental analyses are presented.

The work programme must address four dimensions; these are explained in detail in the FIDplus indicator framework (DFG form 12.232): A) integration in the subject-specific research communities; B) infrastructural networking; C) subject-specific information orientation; D) technological orientation

www.dfg.de/formulare/12_232

Funding may in particular be provided for the following tasks:

- Exchange and systematic feedback with the research communities

- Operation and further development of user-friendly cataloguing and search environments

- Nationwide provision of subject-specific information (including information that is available in open access, where this is available and relevant to research)

- Further subject-specific and user-oriented information services such as research services, technology-based services and specific software developments, services in the field of open access publishing, support in research data management and nationwide consultancy services relating to these tasks

- Measures to promote open and interoperable technologies and to further develop relevant standards

- Implementation of coordinated measures within the overall FID structure, taking into account other relevant information infrastructures in Germany and beyond

2   Proposal submission

2.1   Eligibility

Proposal submission under the FIDplus programme line is only possible after completion of a 12-year funding period under the regular FID programme line.

Members of non-profit research information infrastructure facilities such as libraries, archives, museums, research collections, research data centres or computing and information centres are eligible to submit proposals.

For joint projects, the following applies for potential cooperation partners: Researchers in Germany, or those working at a German research institution abroad, who have completed their academic training (generally by obtaining a doctorate) are eligible to apply.

Since the funding provided is intended to result in improvements to nationwide information infrastructures, and its results benefit research as a whole, researchers working at the institutes and member organisations of the Max Planck Society, the Fraunhofer-Gesellschaft, the Helmholtz Association and the Leibniz Association are also eligible to apply. This also applies to members of publicly funded research institutions associated with these organisations, as well as members of German sections of international information infrastructure facilities.

2.2   Funding conditions

- A proposal must be convincing across all four dimensions of the FIDplus indicator framework.
- An excellent evaluation in Dimension A (integration in the subject-specific research communities) is a prerequisite for any funding decision. Beyond this, there is no weighting of the individual dimensions in the evaluation.
- Proposals are only considered for facilities whose institutional stability, continuity and efficiency is guaranteed by the financing from the respective institution's own funding sources. The essential requirements are an adequate and safeguarded budget which is made available on an ongoing basis and adequate personnel resources and information technology infrastructure.
- It is assumed that the long-term accessibility and usability of the project results will be consistently ensured by the applicant institution(s) even after the project expires. Established processes for long-term archiving must be applied in order to ensure the long-term verifiability and availability of publications, discipline-specific information and services. The proposal must specify which long-term archiving processes and standards are used.
- The tasks to be funded must go beyond the regular basic tasks of an academic library.

- Tasks and services that can stand alone and for which there are separate DFG funding opportunities – e.g. the establishment of publication platforms, innovative technological projects and the funding of fees for open access publications – are to be applied for separately under the respective LIS programmes. This is possible irrespective of the funding periods of the discipline-specific information service. Should there be work packages for which separate programmes cannot be meaningfully delimited and their funding is therefore applied for under the FID programme, uniform funding conditions will be ensured by evaluating and funding these special services based on the same principles as under the respective LIS funding programme.

- The requirements for the acquisition and licensing of publications are set out in the "Guidelines for the Purchase of Publications in DFG-Funded Discipline-Specific Information Services":

     www.dfg.de/formulare/12_101

     Licences for digital resources should be purchased in the context of ensuring the widest possible access, whereby the national licence model should be applied as a standard licence wherever this is possible or reasonable. The granting of archive and hosting rights is defined as standard and deviations from this are subject to justification. It is strongly recommended to make use of the Competence Centre for Licensing (Kompetenzzentrum für Lizenzierung, KfL), and a justification must be given for any decision not to do so.

- The digital form of a publication – if it is available – should always be preferred within the meaning of an e-preferred policy. As part of an open access-preferred policy, content is expected to be made available in open access wherever possible.

- DFG-funded information resources, both in print and digital form, must be made accessible to all interested research users via suitable delivery mechanisms as far as possible and must be archived on a permanent basis. Content must be made available in a manner that guarantees the maximum potential for retrieval. The publications and information acquired are expected to be made available in accordance with the relevant respective standards, and the metadata is expected to be integrated into the relevant nationwide cataloguing systems. Metadata must meet relevant standards for it to be integrated into international subject-specific or other cataloguing systems. The archiving of print media must be indicated in nationwide databases.

- If open access publications are produced within the framework of FID (e.g. via publication infrastructures), they must be made available to the general public free of charge for permanent reuse in a legally secure manner. In cases where copyrights or related rights apply, the authors are required to grant appropriate open licences. The DFG recommends using a CC-BY license for articles and a CC-BY-SA license for monographs (in exceptional cases

CC-BY-ND). Where possible, publications should be assigned a DOI and be linked to an author's ORCID profile. Metadata from open access publications is expected to be integrated into international subject-specific or other cataloguing systems.

- By accepting the grant, the FID facilities commit to working together through a process of self-organisation to ensure that their services are interoperable and are designed in a way that makes them suitable for use by researchers. In particular, in the context of joint developments and consolidations to form openly accessible systems, FID facilities agree to strive to achieve standardisation of data export, develop interoperable data models and enable the multidisciplinary and interdisciplinary use of resources.

- By accepting the grant, FID facilities undertake to actively participate, through self-organisation, in the further development and consolidation of the overall FID structure. This includes the implementation of measures agreed within the framework of the overall FID structure and participation in the overarching FID governance structure. Likewise, they commit to collecting data which is relevant for the purpose of evaluating the development of the overall structure. This also includes providing FID data to the relevant institutions and services, for example to an office which coordinates the mapping of FID offerings and technical infrastructures, or to the KfL, which combines the procurement of commercially available digital resources and the handling of related technical processes as well as the associated reporting.

2.3 Proposal structure

Proposals for projects in the Scientific Library Services and Information Systems area must be structured in accordance with the relevant proposal preparation instructions.

www.dfg.de/formulare/12_01

Please refer to the supplementary guidelines set out in Section **V** below for details of the specific features of the proposal submission process under the FIDplus programme line.

2.4 Submission deadline

The proposal must be submitted by **1 March** of the year preceding the commencement of funding. Submission of a binding letter of intent by **1 October** is a prerequisite for submitting a proposal the following year. The letter of intent should specify for which discipline-specific information service FIDplus funding is to be applied for, which cooperation partners are to be involved and which additional representatives of the research community are to be conceptually involved in the project. In addition, the letter of intent must include information on the staffing plan of the applicant institution(s) (stating the number of full-time equivalents, excluding

third-party funding). Please also indicate whether there are third-party institutions with IT-related responsibilities, for example university computing centres, that will provide partial support for the FIDplus operation. Letters of intent must be submitted via elan under the section "Letter of Intent / Declaration of Interest".

3   Duration

Funding can be approved for up to five years. Renewal proposals can be submitted.

II   Proposal Modules

Under this funding programme, you may submit one or more of the following modules. For details, please see the module descriptions.

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.

<div align="center">www.dfg.de/formulare/52_01</div>

2   Module Acquisition Funding

This module provides funding to support the acquisition of special research literature[2] – whether the costs of purchasing a book from a normal supplier, licence fees or other costs associated with a purchase:

<div align="center">www.dfg.de/formulare/52_16</div>

The conditions governing the use of funding for acquisitions are set out in the "Guidelines for the Purchase of Publications in DFG-Funded Discipline-Specific Information Services":

<div align="center">www.dfg.de/formulare/12_101</div>

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[2] The special needs of a subject area are very heterogeneous due to the respective characteristics of this subject area. It can for instance be served differently by a regional information service than by one aligned towards a specific research discipline. Special needs can only be defined in concrete terms in relation to the subject area and by taking account of the already existing discipline-specific information services, infrastructures and research practice within the academic community, as well as with regard to the individual discipline-specific information service itself. A broad definition is therefore inadequate. Special needs can relate both to the content provided as well as the services offered.

In addition to product-related funding requests, as set out in the Guidelines for the Purchase of Publications in DFG-Funded Discipline-Specific Information Services, the FIDplus programme line allows applicants to request a flexible funding component of up to a maximum of 15% of the costs of the negotiated electronic products for the licensing of electronic media. The necessity of the flexible funding component must be demonstrated based on the acquisition concept and the content-related and strategic orientation of the FIDplus.

3 Module 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.

<div align="center">www.dfg.de/formulare/52_06</div>

The hosting of round-table talks may also be funded for the purpose of strategic planning, nationwide collaborations in the sense of self-organisation processes and networking measures for communities and infrastructure facilities, as well as the further development of funding arrangements. Please contact the responsible DFG programme contact if you have any questions.

III Obligations

In submitting a proposal to the DFG, you

1.   agree to adhere to the **principles of good research practice**.[3]

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.

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[3] 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).

2.   recognise the **Rules of Procedure for Dealing with Scientific Misconduct**
(Verfahrensordnung zum Umgang mit wissenschaftlichem Fehlverhalten – VerfOwF)[4] as
legally binding.

Scientific misconduct is defined as the intentional and grossly negligent statement of false-
hoods 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, demand-
ing repayment of funds spent);
- demanding that those concerned either retract the discredited publications or cor-
rect the falsified data (in particular by publishing an erratum), or appropriately indi-
cate 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 miscon-
duct.

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.

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[4] DFG Rules of Procedure for Dealing with Scientific Misconduct, DFG form 80.01

IV   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. If appropriate, please share this information with individuals whose data is processed by the DFG due to the fact that they are involved in your project.

www.dfg.de/privacy_policy

V   Supplementary Instructions

Please base your proposal on the Proposal Preparation Instructions for Project Proposals in the Area of Scientific Library Services and Information Systems (LIS).

www.dfg.de/formulare/12_01

Please also note the following additional information. The section titles below are based on the titles in the proposal preparation instructions (DFG form 12.01). Proposals must be submitted via elan:

elan.dfg.de

By way of a deviation from the provisions on the length of proposal as set out in the proposal preparation instructions, a maximum of 35 pages is available for sections 1 to 6 of the proposal. Where there is more than one applicant, an additional five pages are available for each additional applicant; these may be allocated across the sections as required.

Part B Project Description:

1. State of the art and preliminary work

When describing the state of the art and preliminary work already undertaken by the applicants themselves, it is mandatory to set out the information infrastructure landscape at your institution and specify which third-party institutions with IT-related responsibilities are involved in the FIDplus operation, for example university computing centres.

Please structure the further description of the state of the art and your own preliminary work according to the four dimensions of the FIDplus indicator framework:

- A: Integration in the research communities
- B: Infrastructural networking
- C: Subject-specific information orientation
- D: Technological orientation

The description of the state of the art and your own preliminary work must enable the reviewers to answer all retrospectively oriented guiding questions relating to the indicator framework. In your assessment and subject-specific contextualisation of the retrospectively oriented indicators, please refer to the information provided in the data sheet and the status report.

2.2 Objectives

- When describing the objectives, please in particular take into account the final question in each of the four dimensions of the FIDplus indicator framework (strategies and concepts for the further FIDplus development).
- Please list the objectives in terms of both the strategic overall FIDplus development as well as the (further) development of specific services and their use.

2.3 Work programme and proposed methods

- Please assign each work package to one or more dimensions of the FIDplus indicator framework.
- Please list the specific results desired for each respective work package and explain the respective criteria for success.
- Please also provide detailed and systematic information on the activities for which funding is required, clearly differentiating between the funds requested and the applicants' own financial contributions.
- Please indicate which services require in-house development from the ground up and which services can build upon services established or offered in cooperation with other FID and FIDplus projects or infrastructure facilities..
- Where applicable, please explain which overarching tasks for which the proposed FIDplus will assume a coordinating role within the overall FID structure.
- If your institution is responsible for several FID and/or FIDplus projects, please explain the synergies within the organisation and implementation and explain how double funding is avoided.

4.4 Formal assurances

Please make a formal declaration that the requirements for the funding exist and the financial contributions required will be made. We confirm that

- the print and digital resources purchased will be archived on a permanent basis;
- the project results will be funded in the long term and made available to the public once DFG funding has expired;
- the source code for the software developed under the project will be documented in accordance with the principles of open source and made available for reuse by third parties;
- we will actively contribute to the (further) development and consolidation of the overall FID structure. This includes the implementation of measures agreed within the overall FID structure and our participation in the overarching FID governance structure.

5.9 Financial contributions

The following applicant financial contributions are mandatory[5] in connection with FIDplus funding:

- Institutions whose regular staff budget (excluding third-party funding) comprises up to 200 full-time equivalents (FTEs) are expected to provide a total financial contribution of at least one third of the project-specific total costs.
- Institutions whose regular staff budget comprises more than 200 FTEs or which have a national service mandate in relation to the subject area of the proposed FID must provide a total financial contribution of at least 50 per cent of the project-specific total costs.

The defined financial contribution quotas for licences and other acquisitions form part of these total contributions:

- The institutions contribute at least 15% to the costs of licensing electronic media, which is made available in digital form nationwide.
- A financial contribution of 30% applies to the purchase of all other media.

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[5] The threshold of 200 full-time equivalents (FTEs) for assignment to one of the two categories of the applicant's own financial contributions is to be understood as a guideline. In order to have the applicable category verified, please contact the DFG Head Office after submission of the letter of intent and well in advance of proposal submission. In addition to the FTEs at the applicant institution, consideration is also given to the information infrastructure landscape at your institution and which third-party IT-related institutions are involved in operating the FIDplus (e.g. university computing centres).

The following tasks are to be understood as general tasks. They may not be stated as an object of funding, nor may they be counted as an applicant's own financial contributions:

- Personnel expenses for activities related to inventory build-up which correspond to the regular course of business of academic libraries;
- Formal cataloguing and subject indexing services as well as catalogue enrichment;
- Activities that relate to ensuring the ongoing operation to provide information, including, but not limited to, maintaining a suitable technical infrastructure;
- Interlibrary loan services, document delivery services and Subito delivery services;
- Implementation of the long-term archiving of publications, discipline-specific information and services.

6.1 Requested modules/funds

- If you are applying for acquisition funding, please also state the extent to which the "Guidelines for the Purchase of Publications in DFG-Funded Discipline-Specific Information Services" (DFG form 12.101) are observed. Please divide the acquisition funding applied for into meaningful categories, among other things also whether the licences are for new acquisitions or continuations, and give a justification for the subject-related relevance, the differences to basic provision and the allocation of funding. You must also explicitly state the financial contributions you will make as part of the purchase. Please attach a statement from the KfL when applying for a licence.
  If you apply for a flexible funding component of up to 15% of the costs for the negotiated products, please explain the necessity of this with reference to the acquisition strategy and the content-related and strategic orientation of the FIDplus project. In renewal proposals under the FIDplus programme line, flexible funding components may only be applied for and approved if corresponding needs from the previous funding period are demonstrated and can also be expected to arise in the future.
- When applying for funding for (new) technical developments, please explain which environmental analyses form the basis for this and why existing technologies cannot be reused or adapted. Please also set out how reuse within the overall FID structure, and where applicable beyond it, is envisaged.
- All requested funds must be presented in the Excel spreadsheet "Funding Allocation – Discipline-Specific Information Services and FIDplus" (DFG form 12.111, only available in German) and submitted together with the proposal.

Part C Attachments:

Additional information and data sheets

- If your library belongs to a higher-level academic institution (e.g. a university), please enclose with your proposal a statement issued by this higher-level institution confirming its support for the proposal and indicating that, in the event of approval, it will contribute to a cooperatively supported information infrastructure landscape for research.

- The data sheet "Discipline-Specific Information Services and FIDplus" must be attached to your proposal:

  www.dfg.de/formulare/12_231

Please send the data sheet <u>by e-mail</u> in Excel format to the responsible persons named in Section VI, "Formal and organisational queries".

- The spreadsheet "Funding Allocation – Discipline-Specific Information Services and FIDplus" must be attached to your proposal:

  www.dfg.de/formulare/12_111

Please send the "Funding Allocation" <u>by e-mail</u> in Excel format to the responsible persons named in <u>Section VI, "Formal and organisational queries"</u>.

- A status report on the current funding period must be enclosed with every FIDplus proposal. When drafting the report, please follow the guidance provided in the Template for Final and Interim Reports under Infrastructure Funding: Programmes for Scientific Library Services and Information Systems (LIS) (DFG form 12.02). The status report must be structured according to the four dimensions of the indicator framework. Please note that the use of any flexible funding component that is approved must be documented in detail in the status report. In addition to the maximum length for reports specified in DFG form 12.02, each additional applicant is entitled to two additional pages.

- If the proposal is submitted by members of a research information infrastructure facility, the applicant must include a formal assurance from the director of the institution with the proposal.

  www.dfg.de/formulare/12_141

- Further proposals may be submitted in line with the Proposal Preparation Instructions. If you wish to submit supporting letters as an attachment, bundle them together into a single document along with a table of contents with the title "Anlage_LOIs". Please choose the

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name "Anlage_Stellungnahme_KfL" for the statement from the Competence Centre for Licensing on the products to be licensed.

VI   Information

For further information, please contact:

- Formal and organisational queries
  Katharina Mizerski (e-mail: Katharina.Mizerski@dfg.de, Tel: +49 228 885-2481)
  Alicia Neu (e-mail: Alicia.Neu@dfg.de, Tel.: +49 228 885-3384)

- Queries on proposal submission
  Michael Kassube (e-mail: Michael.Kassube@dfg.deTel.: +49 228 885-2699)
  Dr. Franziska Limbach (e-mail: Franziska.Limbach@dfg.de, Tel: +49 228 885-2094)

A detailed listing of contact details, responsibilities and funding opportunities in the programme area of Scientific Library Services and Information Systems can be found on the DFG website at

www.dfg.de/lis/en