

In line with its Funding Guidelines of 21 February 2006 (in the currently valid version), the FWF has issued the following

# **Application guidelines (including checklists) for the Stand-Alone Publications Funding Programme**

## **1. PROGRAMME OBJECTIVES**

In order to promote the publication of non-profit-oriented scholarly research, the FWF makes lump-sum grants available under the Stand-Alone Publications programme; these grants are intended to cover production costs, the costs of simultaneous open access publication as well as editing, foreign-language editing, or translation. The grants are exclusively project-based.

The sole standard applied in funding decisions is the state of the art in research at the international level. Only excellent scientific publications that meet the current scientific standards of the respective subject area in terms of content and form and which can be expected to broaden scientific/scholarly knowledge significantly or to advance research in the field in question can be funded.

The objectives of this programme are to underscore the importance of science and research for society by publishing solutions to relevant social, economic, cultural and scientific issues, to highlight the position of Austrian research in the international scientific information process, and to strengthen international cooperation.

### **1.1. Purpose of funding for open access**

By funding open access publications, the FWF aims to provide sustainable support for free access to scholarly publications on the Internet in line with its [Open Access Policy](#). The mandatory storage of an open access version in the [FWF-E-Book-Library](#) is intended to enhance the visibility and dissemination of each publication.

## **1.2. Purpose of funding for editing and foreign-language editing**

Funding is provided for editing or foreign-language editing in order to enhance publication quality, to increase the visibility of publications, to enhance the dissemination of research results by improving their readability, to support the internationalisation of research, and to ensure that Austrian research output is also disseminated outside of German-speaking countries and regions.

## **1.3. Purpose of funding for translations**

Funding is provided for translations in order to enable the dissemination of Austrian research results to the international scientific community.

For each publication, the FWF will provide funding for translation into one language only. The target language can be chosen by the author(s) but must be relevant to the field of research in question.

Translations from English into any other language are not eligible for funding.

## **1.4. Purpose of funding for innovative publication formats**

In addition to conventional publication forms, the FWF also supports new formats such as apps, wiki-based publications, annotated scientific databases, web-based publications enriched with various media (e.g. audio, video, animation), etc. New publication formats have certain advantages over conventional books or texts in PDF format. They are easier to search, offer linking options and additional information, and can be expanded and updated at any time to reflect the current state of research.

In order to ensure broad international dissemination, these planned publications are also to be published in **English** (the costs of foreign-language editing or translations are included in the grant amount).

Submission only in German or in a language other than English is possible only in exceptional cases. Such exceptions can be made only for proposals from the fields of linguistics and/or literature which concern only texts in German or in languages other than English. In such cases, it is first necessary to contact the project officers administering the application in the FWF Secretariat and then to submit an abstract (no longer than 1 A4 page) for the application and a written justification for submission in a language other than English (in electronic form). The FWF's Executive Board will decide whether submission in a language other than English is to be permitted.

## 2. APPLICATIONS

### 2.1. Eligibility for funding

In accordance with the objectives of this programme, funding is available for stand-alone publications in any academic discipline.

In the Stand-Alone Publications programme, applications may only be submitted by individual natural persons, meaning that institutes and institutions (and companies) are not eligible to apply. Funding is provided for stand-alone publications written by persons who conduct their research activities mainly in Austria or under the auspices of an Austrian research institution abroad. Publications submitted by authors (editors) who work outside of Austria are only funded if the work arises from an FWF-funded research project. In all cases, the author himself/herself is required to submit the application.

In the case of anthologies/collections, the editor shall act as the applicant. In such cases, either the editor must be eligible to apply for FWF funding or more than 50% of the contributions must be written by researchers who predominantly conduct their scholarly work in Austria or under the auspices of an Austrian research institution.

The FWF provides funding for the publication of revised doctoral dissertations and for postdoctoral *venia* dissertations (*Habilitationen*) by researchers abroad up to three years after completion of the work in question; these grants are only provided for works prepared and accepted under the auspices of an Austrian research institution. In this context, it is irrelevant whether or not the author is an Austrian citizen or actually works in Austria. Researchers who hold professorships abroad are not eligible to apply for these FWF grants.

**Since January 1, 2016, applicants have been required to use an ORCID *persistent digital identifier* (<http://orcid.org/>).**

Applications are submitted independently of other FWF programmes (e.g. Stand-Alone Projects, fellowships, etc.). Works arising from FWF-funded projects do not justify the assertion of any claims to funding.

The FWF approves grants for stand-alone publications only in cases where it would not be possible to publish the work in high quality without additional financial support.

Authors (editors) are free to choose the form in which their work is published. In general, authors (editors) are also required to consider new forms of publishing. Authors are to choose the form which is best suited for the dissemination of the research findings. Applications may be rejected if the review procedure reveals that a different form of publication would be more suitable.

The choice of publisher should ensure a maximum level of quality and international visibility for the given publication. Applicants should choose a renowned academic publisher which specialises in the relevant subject area. For the sake of enhancing the international

orientation of Austrian research, the FWF welcomes the selection of renowned publishers outside of Austria (which fulfil the appropriate criteria) as well as publications in English. This decision is left up to the author (editor). In this context, the FWF would like to point out that applications may be rejected if the publisher chosen does not ensure high quality or international visibility.

Self-publishing is only permitted in cases where the author (editor) can demonstrate that suitable promotional and distribution activities will be undertaken.

## **2.2. Funding with peer reviews by certified publishers**

From January 2014 to December 2017, as part of the support programme for stand-alone publications, publishers could be certified by the FWF. In order to do so, the publisher must already have an established and transparent peer review system in place for the selection of all scholarly publications. In addition, the publisher is also required to arrange for copy editing or foreign-language copy editing for each publication.

The certification was carried out by the FWF Board.

The FWF discontinued the possibility of certifying publishers as of 1 January 2018. Applications with publishers already certified by the FWF can be submitted until further notice. Existing certifications remain valid for the duration of the agreed term (five years from certification).

### **2.2.1. Requirements applicable to peer reviews of certified publisher**

Peer reviews must be meaningful (see 4.1 The FWF application and decision process) and comply with the FWF's guidelines (see: [http://www.fwf.ac.at/fileadmin/files/Dokumente/Antragstellung/Selbstaendige\\_Publicationen/pub\\_reviewer-profile-and-bias.pdf](http://www.fwf.ac.at/fileadmin/files/Dokumente/Antragstellung/Selbstaendige_Publicationen/pub_reviewer-profile-and-bias.pdf)).

In particular, it must be taken into account that:

- The publisher must ensure that the entire manuscript is reviewed. Reviews based on an outline or summary alone are not sufficient.
- The review must include a clear academic assessment of the content of the manuscript in question. It is not sufficient to submit statements about marketing of the planned publication or other extraneous topics.
- Reviewers must be specialists in the subject.
- Reviews must be obtained from researchers who are not based in Austria.
- In cases where reviewers have worked in Austria in the past, they are not to be contacted for reviews until they have been based outside the country for at least five consecutive years.
- The publisher is also required to take into account any potential bias or conflicts of interest on the part of the reviewers.
- Reviews from series editors or members of the editorial board are not recognised.

The following do not count as reviews:

- reviews of a publication already published in another language;
- expert opinions from series editors and members of the editorial board;
- anonymised expert opinions.

## 2.3. Types of funding

Funding can be requested for conventional publications as well as innovative publication formats.

### 2.3.1. Innovative publication formats

The FWF provides a **lump-sum grant** of up to **EUR 50,000.00** as a subsidy for production costs **for innovative publication formats** including foreign-language editing or translation and **open access** publication which would not be feasible without additional financial support.

This grant amount will be available for innovative publication formats until the end of 2019. After this time, the FWF will decide whether to continue funding new publication formats in this way.

### 2.3.2. Conventional publication formats

Conventional publication formats such as monographs and anthologies need to be applied for in modules.

Modul\_1 always needs to be applied for.

- **Modul\_1: Basis:** The FWF provides a lump-sum grant of up to **EUR 10,000.00** for production costs, for simultaneous open access publication (an identical electronic copy of the stand-alone publication made freely available on the Internet at no cost; format: at least PDF/A) and for the editing in the mother tongue of the author of stand-alone publications which could not be published without such financial support.

Modul\_2 und Modul\_3 can be applied for if needed.

- **Modul\_2: Fremdsprachenlektorat\_Übersetzung:** instead of the editing in the mother tongue the FWF provides a lump-sum grant of up to **EUR 8,000.00** for foreign-language editing or of up to **EUR 4,000.00** for translation.
- **Modul\_3: Zusatzkosten:** the FWF provides a lump-sum grant of up to **EUR 4,000.00** for additional costs due to, e.g., a higher number of pages or an increase in expenses for layout and image rights. Surcharges have to be proven by a cost calculation.

The FWF will simultaneously archive the open access version of the publication in its FWF-E-Book-Library. The author (editor) and the publisher are each required to issue their consent to archiving by the FWF.

For the archived version, the following model of creative commons licences must be used: Attribution (BY) ([CC BY 4.0](https://creativecommons.org/licenses/by/4.0/)). In this context, the FWF adheres to the requirements of the [Open Access Scholarly Publishers Association \(OASPA\)](http://oaspa.org/information-resources/frequently-asked-questions/).

For specific information, please refer to <https://creativecommons.org/licenses/by/4.0/>  
<http://oaspa.org/information-resources/frequently-asked-questions/>

Please note that the licence required for archiving in the FWF's E-Book-Library must be in line with the rights required from the publisher for this purpose.

The author (editor) must ensure that the rights to stand-alone publications are not assigned to the publisher in their entirety. In addition, the author (editor) must agree upon terms and conditions with the publisher as well as any other persons involved in the publication (e.g. co-authors, editors, etc.) which enable simultaneous open access publication and archiving on the Internet. Authors are required to allow open access publication in the FWF's E-Book-Library. This is mandatory for the FWF-E-Book-Library, and publications may also be made available on the publisher's website or on online portals devoted to the specific discipline, in university research databases or on research project websites. (Further information on open access initiatives can be found on the FWF's website at <http://www.fwf.ac.at/en/research-funding/open-access-policy/>)

In exceptional cases, it may be possible to waive the requirement of an identical electronic copy for open access publication. This applies to publications which involve very high image copyright costs. In such cases, a text-only version (with an indication of image sources) is to be archived in the FWF-E-Book-Library. In such exceptional cases, the applicant must provide evidence of those copyright costs.

In the case of innovative publication formats, please note that the publication must be made available to users free of charge and without access restrictions (i.e. without registration). Creative Commons licence models must also be used here: CC-BY or CC-0. For further information, please refer to the following websites:  
<http://oaspa.org/information-resources/frequently-asked-questions/>  
<http://creativecommons.org/about/cc0>

The editing, foreign-language editing or translation of stand-alone publications is to be carried out by external editors/revisers, foreign-language editors or translators. Authors (editors) are not permitted to carry out these activities themselves. The name of the copy editor must be communicated to the FWF.

Under the following conditions, the FWF will fund editing (foreign-language editing) carried out prior to the submission of the application:

The reviews must not call for any further editing (foreign-language editing). The publisher or the applicant is required to provide the FWF with a record of the changes made in order to enable verification of the (foreign-language) editing work (see 4.2. After the decision of applications for publications with editing or foreign language editing). In other words, the FWF must be able to verify that (foreign-language) editing was carried out prior to the submission of the manuscript.

Grants approved by or requested from other funding sources must be disclosed in all cases (see application forms). Double funding is strictly prohibited.

## 2.4. How to submit an application

Application forms are available on the FWF website at

<http://www.fwf.ac.at/en/research-funding/application/stand-alone-publications/>

The application form consists of a formal section (forms) which must be submitted in **writing (one original)** and on a **data medium**. All required forms must be completed in their entirety. A full list of the forms to be submitted and documents regarding the content as well as file naming requirements can be found in the relevant checklists. These checklists form an integral part of the application guidelines and are therefore binding on the applicant.

- [Checklist for publications with editing or foreign language editing](#)
- [Checklist for publications with translation](#)
- [Checklist for innovative publication-formats](#)
- [Checklist for publications involving FWF-certified publishers](#)

The submission of documents in electronic form facilitates and accelerates application processing. No signatures are required in the electronic versions of application documents. The files are to be named as indicated in the checklists, and file sizes are to be kept to a minimum. The size of all files submitted on the data medium must not exceed 5 MB. Manuscript files may exceed this limit.

Please note that applicants confirm with their signatures on the application forms that the electronic and hard-copy versions of the application are identical.

## 2.5. Revision of rejected applications

- In cases where the application submitted is a revision of a previously rejected application, the applicant is to point out these circumstances in a separate accompanying text. This text must contain an overview of all revisions made in the resubmitted application.

- As new reviewers may be called in to appraise a revised application, it may be advisable to ensure that the overview includes the key changes made in response to explicit suggestions from the reviewers.
- In addition, the applicant must write a brief statement in the language of the review **in a separate document** for each review; these statements should address the recommendations and criticism voiced in each review, as well as the changes made on that basis. Such responses are not necessary in the case of reviews written by persons who are to be excluded from the review process for the resubmitted application. However, these exclusions must be justified appropriately and will also be counted toward the negative list for the resubmission.

**In cases where no substantial changes are made in a resubmitted application, the application may be rejected by the FWF Executive Board without review.**

### **3. INELIGIBLE CONTENT, FORMS OF PUBLICATION, AND COSTS**

#### **3.1. Content**

- Books honouring a specific person, organisation or event (Festschriften);
- Proceedings of conferences and congresses without a specific focus;
- Collections of works without a specific focus;
- Editions without substantial indexing and systematisation or scientific commentary;
- Academic journals or Scientific journals, except for journals or special issues of journals which are equivalent to anthologies/collections with a special focus in terms of content;
- Articles in specialist periodicals or journals;
- Study aids and textbooks;
- New editions, unless they are reviewed and revised editions which largely convey new scholarly insights;
- Reprints of articles which have already been published elsewhere;
- Bibliographies;
- Exhibition catalogues, guides to collections;
- Works of exclusively local interest, chronicles of municipalities or towns/cities;
- Activity reports;
- Picture books, facsimile editions;
- Popular science publications;
- Qualification papers below dissertation level (such as diploma, master or bachelor theses);
- Dissertations where the applicant has not yet completed the doctoral qualification procedure and where the dissertation has not yet been revised.

### 3.2. Publication forms

- Publications which are already in production (typesetting, printing, etc.);
- Publications which have already appeared.

### 3.3. Costs

- Fees for authors;
- Purchase of equipment;
- Infrastructure costs to the publisher (general publishing overheads, fees for publishing employees [excluding editors, foreign-language editors and translators]).
- Costs of translations from English into any other language.

## 4. APPLICATION PROCESSING

### 4.1. The FWF application and decision process

The FWF Office first conducts a formal review of each application. Applications which fail to meet the formal requirements of the funding programme will be rejected without review by the FWF Executive Board. Applicants are then asked to provide supplementary information to complete their applications or remedy errors in their applications within a reasonable period of time. Otherwise, the application will be eliminated by the FWF Executive Board without a review and the author (editor) will be informed of the rejection in writing.

Should the FWF handle the peer review process, the FWF Executive Board then dispatches all applications which meet the FWF's formal requirements to certain reviewers (outside of Austria) on the basis of the recommendations submitted by the FWF's Reporters and/or Alternates, and the stand-alone publication is subjected to an international peer review. Once the review procedure has begun, it is not possible to make changes to applications.

In such cases, the enclosures may also include a list (hard copy and electronic version in Word format) of reviewers who should not be asked to review the application due to possible biases or conflicts of interest ("negative list").

**Negative list:** Applicants may exclude **up to three** potential reviewers from the review procedure if they feel that competition or fundamental differences in ideology would make it difficult for these persons to judge the applications objectively. If the grounds for exclusion can be verified, the Executive Board will generally fulfil such requests. The negative list must include a brief justification for excluding the persons in question.

Reviewers are considered to have a potential conflict of interest if:

- they stand to gain professionally, financially or personally from the approval or rejection of the application;
- they have published, cooperated, served on professional boards or other bodies involving frequent or regular meetings, or worked at the same research institution with the applicant or any co-applicants (including project employees) in the last five years (see also below);
- they have fundamental differences of scientific opinion with the applicant or any co-applicants (including project employees);
- any other close professional or personal ties exist between the reviewers and applicants/co-applicants (including project employees) which may give rise to suspicions of bias or of conflicts of interest in the eyes of uninvolved third parties.

Please note that lists of recommended reviewers sent by applicants to the FWF Executive Board are not desired and will generally be disregarded.

At least one meaningful review and the expert report by the FWF reporter are required for a decision.

The **validity of the expert opinions** is judged according to whether the following criteria are dealt with in sufficient detail:

- suitable presentation of the state of research;
- degree of innovation;
- fulfilment of current scientific standards;
- choice of the appropriate form of publication.

On average, the peer review process takes four to six months. Once this process has been completed, the FWF Board decides whether to approve or reject the application on the basis of the results of the peer review.

The decision-making process for applications submitted with certified publishers takes an average of two months. Only applications submitted six weeks before the respective board meeting can be dealt with at the following board meeting. The FWF board decides on the eligibility of the application on the basis of the expert opinions provided by the certified publisher. The FWF will reject applications involving certified publishers in cases where (1) the reviews do not meet the FWF's quality criteria for the peer-review procedure, (2) the quality of the work does not warrant funding or (3) the FWF's financial resources do not permit funding.

The applicant will be informed in writing of the FWF's decision.

**Proposal bans:** Applications that are rejected for reason "C5" will be barred from resubmission for at least 12 months from the date of the decision and cannot be resubmitted during that period.

Applications that have been submitted three times and rejected under grounds for rejection C3 or C4 (= original application and revision of rejected applications (see point 2.5.)), are also blocked for 12 months (from the decision date); this does not affect applications rejected under C1 or C2.

The FWF has the right to provide formal information on the procedure at the publisher's request. However, information on peer reviews conducted by the FWF is only passed on to the applicant.

#### **4.2. After the decision of applications for publications with editing or foreign language editing**

All applications approved by the FWF Board are subject to certain conditions. The FWF issues a grant agreement for each grant approval. The publisher is required to arrange for editing, foreign-language editing or translation. The publisher may request EUR 2,000.00 for editing, EUR 6,000.00 for foreign-language editing or EUR 4,000.00 for translation once the grant agreement has been signed and the arrangements for editing, foreign-language editing or translation have been made. The author is required to submit the revised/translated manuscript after editing, foreign-language editing or translation (possibly also in accordance with suggestions and criticism passed on from the peer reviewer) to the FWF once again. The author is to submit the copy-edited manuscript in which the changes made in the course of (foreign-language) copy editing are clearly indicated. The name of the copy editor and/or translator must be communicated to the FWF.

The FWF expects copy editing work and foreign language editing work to be carried out according to the following criteria:

- Spelling
- Punctuation
- Grammar
- Typography
- Writing style / clarity
- Logic of content
- Structural rigour and cogency
- Structure of arguments
- Scholarly rigour
- Accuracy of wording
- Correction of inconsistencies
- Uniform spelling
- Citations and references
- Uniformity of abbreviations/wording.

Any additional substantial changes, corrections which involve content changes, expansions or abridging of content are not permitted.

The remaining approved funds can only be released by the FWF after a positive final assessment of the publication.

The remaining approved funds will be paid out to the publisher upon delivery of the specimen copies, the identical electronic copy for open access archiving (PDF/A), and the meta-data form.

For all applications approved by the FWF Board which involve FWF-certified publishers, the editing, foreign-language editing or translation work is not subjected to an evaluation. The approved funds are released immediately after conclusion of the grant agreement. The remaining approved funds will be paid out to the publisher upon delivery of the specimen copies, the identical electronic copy for open access archiving, and the meta-data form.

#### **4.3. After the decision of applications for innovative publication-formats**

The FWF prepares a grant agreement for each application approved by the FWF Board.

The funds will be paid out in three instalments: Half of the approved funding amount can be requested in writing after the conclusion (signing) of the agreement, one fourth of the amount can be requested upon delivery of a beta version, and the remainder can be requested once the digital publication has been completed.

Any suggestions or criticism from the reviewer must be (verifiably) taken into account in the preparation of the publication.

## **5. GENERAL REMARKS**

The FWF would like to point out that the German and English PR abstracts as well as the amount of funding approved will be published on the FWF website.

The [Guidelines for Good Scientific Practice](#) published by the Austrian Agency for Research Integrity (OeAWI) must be observed in any case.

Where a breach of these standards is suspected, the case will be investigated by the ombudsperson of the research institution responsible or by the Austrian Agency for Research Integrity. The FWF reserves the right to suspend any procedures related to applications or ongoing projects partly or entirely until such investigations have been concluded.

## **Appendix 1: Questions for peer reviewers in the Stand-Alone Publications funding programme<sup>1</sup> - Conventional publication formats**

It is the FWF's duty to ensure the best possible use of public-sector funds in the field of basic research.

In the [Stand-Alone Publications](#) programme, the FWF provides funding for the publication of outstanding scholarly works with a lump-sum grant of max. EUR 22,000.00. This sum includes production costs, the costs of simultaneous open access publication and editing or possibly foreign-language editing or translation costs.

By funding open access publications, the FWF aims to provide sustainable support for free access to scientific publications on the Internet in line with its [Open Access Policy](#).

The FWF only provides funding for applications which already exhibit outstanding quality and comply with the highest international standards for scholarly research in terms of content and form at the time of application. In order to enhance quality, to increase the visibility of the publication and to ensure the broader dissemination of research results thanks to enhanced readability, a grant for editing or for foreign-language editing is made available to the author once the application has been approved. Authors may also request grants for the costs of translation instead of editing or foreign-language editing. Funding is provided for translations in order to enable the dissemination of Austrian research results to the international scientific community.

For the sake of internationalising Austrian research, authors are encouraged to make use of publishers abroad with specific publishing and distribution profiles.

### **Section 1 (to be anonymously transmitted to the applicant in its entirety)**

- 1) Scientific/scholarly quality of the planned publication** (suitable description of the state of research, degree of innovation, fulfilment of current scientific standards) **with special attention to strengths and weaknesses**
- 2) Formal and content-related completeness of the manuscript** (e.g. introduction, abstract, index, references, illustrations, etc.) **with special attention to strengths and weaknesses**
- 3) Suitability of the chosen form of publication with special attention to strengths and weaknesses** (The selection of an unsuitable publication form may lead to rejection of the application.)
- 4) Does the applicant's choice of publisher ensure a maximum of quality and international visibility? Would a different publisher be more suitable? (The selection of an unsuitable publisher may lead to rejection of the application.)**
- 5) Which parts of the publication should be given special consideration in the editing /foreign language editing?** [*only for applications which include a request for editing or foreign language editing*]
- 5) Would the translation ensure broader dissemination of Austrian research in the scientific community or would the translation be relevant for Austrian research?** [*only for applications which include a request for translation*]
- 6) Ethical issues**
- 7) Overall evaluation with regard to key strengths and weaknesses and final funding recommendation**

### **Section 2 (confidential remarks to the FWF):**

- 1) Any other comments to the FWF**

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<sup>1</sup> For further information on the application guidelines for stand-alone publications, please refer to the FWF's website (<http://www.fwf.ac.at/en/research-funding/fwf-programme/stand-alone-publications/>).

## **Appendix 2: Questions for peer reviewers in the Stand-Alone Publications funding programme<sup>1</sup> – innovative publication-formats**

It is the FWF's duty to ensure the best possible use of public-sector funds in the field of basic research.

In the [Stand-Alone Publications](#) programme, the FWF provides funding for the publication of outstanding scholarly works in innovative publication formats with a lump-sum grant of up to EUR 50,000.00. This sum includes production costs and the costs of foreign-language editing or translation of the digital publication.

All FWF-funded publications must be made freely available in accordance with the FWF's [Open Access Policy](#).

### **Section 1 (to be anonymously transmitted to the applicant in its entirety):**

- 1) Scientific/scholarly quality of content (data, planned texts and annotations, etc. ) with special attention to strengths and weaknesses**
- 2) Quality of planned technical realisation with special attention to strengths and weaknesses (please be sure to address the following topics in your review: usability, citability, sustained archiving and updating, links to similar existing databases, etc.)**
- 3) Suitability of the chosen form of publication with special attention to strengths and weaknesses (The selection of an unsuitable publication form may lead to rejection of the application.)**
- 4) Scientific/scholarly qualifications of the applicant(s) – relative to their academic age – with special attention to strengths and weaknesses**
- 5) Appropriateness of budgeted costs**
- 6) Ethical issues**
- 7) Overall evaluation with regard to key strengths and weaknesses and final funding recommendation**

### **Section 2 (confidential remarks to the FWF):**

- 1) Any other comments to the FWF**

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<sup>1</sup> For further information on the application guidelines for stand-alone publications, please refer to the FWF's website (<http://www.fwf.ac.at/en/research-funding/fwf-programme/stand-alone-publications/>).