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In accordance with its funding guidelines of February 21, 2006 (in the currently valid version) the FWF hereby issues the following

Application guidelines for the Stand-Alone Publication Funding Programme

1 PROGRAMME OBJECTIVES

In order to enable 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 for production costs, the costs of simultaneous open access publication as well as funding for editing, foreign-language editing, or translation. These grants are exclusively project-based.

The sole standard applied in funding decisions is the state of the art in research at the international level. Funding can only be provided for publications of outstanding quality which can be expected to broaden scientific/scholarly knowledge significantly or to further develop research in the field in question.

The purpose of this programme is 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.

Grants for stand-alone publications in a form to be chosen freely by the author (editor) are intended to enable publication in an appropriate form for all disciplines.

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

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 readability, to support the internationalisation of research, and to ensure that Austrian research results are also disseminated beyond German-speaking countries and regions.

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

The objective is to support the translation of scientific publications into a language which has not yet established itself in the given discipline in Austria to the extent one would already expect scientists to publish in that language.

Translations from English into German are not eligible for funding.

The programme enables the publication of stand-alone scholarly publications in an appropriate yet economical form at a realistic price under the given market conditions. In this way, works are to be made available to a broader audience. In general, the most cost-effective technical methods are to be used, with due attention to publication types specific to the relevant discipline.

The stand-alone publication must be published by a renowned academic publisher which specializes in the relevant academic discipline.

2 APPLICATIONS

2.1 Eligibility for funding

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

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

Applications are submitted independently of other FWF programmes (e.g. Stand-Alone Projects, fellowships, etc.). At the same time, 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 the publication would not be possible without additional financial support.

Authors (editors) are free to choose the form in which their work is published. In principle, authors (editors) are also required to consider new forms of publishing (e.g. books on demand [bod]; e-books; wiki models, etc.).

The choice of publisher should ensure a maximum of quality and international visibility for the given publication. In the interest of internationalising Austrian research, the FWF encourages authors to choose renowned publishers abroad with the appropriate publishing profile. This decision is left up to the author (editor).

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

It is necessary to ensure that the rights to stand-alone publications are not assigned in their entirety to the publisher. 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 the websites of the research projects of researchers. (Further information on open access initiatives can be found on the FWF's web site at http://www.fwf.ac.at/en/public_relations/oai/index.html)

The FWF does not define any minimum or maximum limits on the number of copies printed. Authors and publishers are expected to realistically estimate and calculate the expected number of copies which will be sold. This applies in particular to stand-alone publications which target a very narrow audience. In such cases, the advantages of alternative publication methods must be examined in any case.

2.2 Funding with peer review by the publisher

In the FWF's Stand-Alone Publications funding programme, the publisher itself may also handle the peer review process for the publication. In such cases, the publisher must use an international peer review procedure for the selection of publications, and the FWF's requirements must be fulfilled (see sections 2.2.1 and 2.2.2).

2.2.1 Requirements applicable to the publisher's peer review system

Publishers chosen under the Stand-Alone Publications programme must employ an international peer review procedure for the selection of publications. The publisher must make two non-anonymised peer reviews available to the FWF. The review process must be described in a transparent manner on the web site of the publishing organisation or publisher.

2.2.2 Requirements applicable to peer reviews

Reviews must not be carried out by persons who may have (or may be suspected to have) some form of bias against or conflict of interest with regard to the authors, editors or other persons involved in the publication. Reviewers are considered to be biased or have a conflict of interest, where they might benefit personally or financially from the approval or rejection of the application. Reviewers are likewise considered biased or having a conflict of interest in cases where they have published, cooperated or worked at the same research institution with the applicant or another person involved in the publication in the last five years, or where the reviewers have fundamental differences of scholarly opinion or close professional and/or personal relationships with the applicant or another person involved in the publication. Moreover, a bias or conflict of interest is considered to exist in cases where close professional or personal ties exist, which may raise suspicions of bias or conflict of interest in the eyes of third parties. Normal contact between scholars in the scientific community – for example at conferences, workshops, etc. – does not constitute grounds for bias or a conflict of interest. Scholars who work in Austria must not be called in as reviewers.

In order to ensure that the reviews obtained by the publisher and the FWF are comparable (which is a requirement for a funding decision), the publisher's peer review process must meet the FWF's standards (see Appendix: Questions for peer reviewers in the Stand-Alone Publications funding programme).

Peer reviews must be meaningful and comply with the FWF's guidelines. Anonymised reviews cannot be accepted.

Published reviews of publications which have already appeared in another language can only be accepted as peer reviews in applications for the funding of translation costs if comparability is ensured between the reviews and those obtained by the FWF, and if the reviews meet all of the FWF's other peer review requirements.

2.3 How to submit an application

Application forms are available on the FWF web site:

http://www.fwf.ac.at/de/applications/pub-selbststaendige_publicationen.html

The application form consists of a formal section (forms) which must be submitted in **written form (one original)** and on a **data medium** as well as a version of the text suitable for editing (or the text in the original language). In cases where the publisher itself handles the peer review, it is also necessary to submit at least two peer reviews which meet the FWF's requirements and a list of all reviewers contacted for the publication in question. Applicants are to use the checklist in order to ensure that their applications are complete. All application forms must be filled out in their entirety.

The following documents are to be submitted **in written form**:

- **Application forms**, including the "Application form" and "Programme-specific data" form. With his/her signature, the author (editor) confirms that all information provided in the application is accurate.
- An **abstract** in **German** and in **English (approximately one full page in an 11-point font)**. For manuscripts submitted in languages other than German or English, the FWF reserves the right to request a more comprehensive summary of the publication in German and in English.
- **Publisher's declaration of commitment**. The publisher's declaration of commitment is a legally binding document, which serves as the basis for the grant agreement if the application is approved. In the case of self-publishing, applicants are to submit a guarantee of appropriate promotional and distribution activities. The FWF reserves the right to make the final choice of a publisher in agreement with the author (editor), until the conclusion of the grant agreement.
- **For publications which serve as a basis for academic qualifications** (e.g. revised doctoral dissertations, postdoctoral dissertations), applicants are required to submit a copy of all assessments.
- In the case of applications for the **funding of translation costs**, applicants are required to submit a **brief justification** in German and English (**maximum length: one full page in an 11-point font**) which indicates the reasons why the publication should be translated into the target language as well as the scientific added value to be created by such a translation.
- **A version of the text suitable for editing (or the text in the original language)** of the stand-alone publication for which funding is requested. The FWF reserves the right to request an additional copy if necessary.
- **Enclosures** (see section 2.4 Revision of rejected applications).

In cases where the publisher itself handles the peer review process:

- At least **two non-anonymised peer reviews** which meet the FWF's requirements.
- A **list of all reviewers contacted** for the publication.

The following documents are to be submitted on a **data medium**:

- **Completed application forms** (8 pages; consisting of the "Application form" and the "Programme-specific data" form). File format: PDF; font: Times New Roman or Arial; no special characters.
- One file each for the **German and English abstract** summarising the publication.
- Completed **declaration of commitment from the publisher** (3 pages). File format: PDF; font: Times New Roman or Arial; no special characters.
- **Table of contents and bibliography** from the stand-alone publication.
- A brief **justification** of the choice of language and the scientific value-added to be created (required only in applications for funding of translation costs).
- **Enclosures**.

In cases where the publisher itself handles the peer review process:

- One file for each **peer review**.
- **List of all reviewers** contacted for the publication.

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 below, 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.

File name requirements

Required files

- **Forms.pdf** (= completed application forms, consisting of the "Application form" and the "Programme-specific data" form)
- **Abstract_deu.doc and Abstract_eng.doc** (= abstracts in German and English, each in a separate file)
- **Declaration of commitment.pdf** (= publisher's declaration of commitment)
- **Content_Biblio.doc/.pdf** (= table of contents and bibliography)
- **Justification.doc/.pdf** (= choice of language and scientific added value to be created; required only in applications for funding of translation costs)

In cases where the publisher itself handles the peer review process:

- **Review_1.doc; Review_2.doc** etc. (= peer reviews meeting the FWF's requirements)
- **Reviewers.pdf** (= list of all reviewers contacted for the publication)

Enclosures (where required)

- **Annex_Overview_Revision.pdf** (= overview text accompanying revised applications; see Section 2.4)
- **Annex_Revision.doc/.pdf** (= responses to reviews in the case of revisions; responses to **each** review excerpt in a **separate** file; Annex_Revision_A.doc/.pdf, Annex_Revision_B.doc/.pdf, etc.)
- **Annex_Reviewers.doc** (= negative list, if recommended)

2.4 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 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 a review.

Please note that no additional enclosures will be considered, and that in signing the application forms, the applicants confirm that the printed and electronic versions of the application are identical.

2.5 Types of funding

1. The FWF provides a lump-sum grant in the amount of EUR 14,000.00 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) and for editing of stand-alone publications which could not be published without such financial support.
2. The FWF provides a lump-sum grant in the amount of EUR 18,000.00 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) and for foreign-language editing or translation of stand-alone publications which could not be published without such financial support.
3. The FWF provides a lump-sum grant of EUR 2,000.00 in cases where the publisher itself handles the peer review process for the publication in accordance with the requirements specified in Sections 2.2.1 and 2.2.2. The FWF would like to point out, that there should be no financial compensation for reviews.

The FWF will simultaneously archive the open access version of the publication in its 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, one of the following four models of creative commons licences must be used: Attribution (BY); Attribution Non-Commercial (BY-NC); Attribution-No Derivatives (BY-ND) or Attribution-Non Commercial-No Derivatives (BY-NC-ND).

For specific information, please refer to

<http://creativecommons.org/licenses/by/3.0/at/>
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<http://creativecommons.org/licenses/by-nc-nd/3.0/at/>.

Please note that the licences required for archiving in the FWF's E-book library must be in line with the rights required from the publisher for this purpose.

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's E-book library. In such exceptional cases, the applicant must provide evidence of the image copyright costs.

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

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 special focus;
- Collections of works without a special focus;
- Scientific journals;
- 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;
- Diploma theses or revised diploma 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;
- 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 German.

4 APPLICATION PROCESSING

4.1 The FWF application and decision process

The FWF Secretariat first conducts a formal review of each application. 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 is eliminated by the FWF Executive Board, and the author (editor) is informed in writing without initiation of a review.

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), and the stand-alone publication is subjected to an international peer review.

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 name a **maximum of three** potential reviewers who are believed to have possible biases or conflicts of interest and should be excluded from the review process. If the grounds for exclusion can be verified by an expert review, the FWF Executive Board will generally comply with these instructions. A brief justification must be provided for the exclusion of each reviewer on this list.

Reviewers are considered to have conflicts of interest if:

- they could benefit professionally, financially or personally from the approval or rejection of the application;
- the applicant (including project employees and/or cooperation partners) has published or cooperated with the reviewer or worked at the same research institution with the reviewer in the last five years;
- there are fundamental scientific differences of opinion between the applicant (including project employees and/or cooperation partners) and the reviewer (e.g. disputes between schools of thought, methodology, etc.);
- any other close professional or personal ties exist which may raise suspicions of bias or of conflicts of interest in the eyes of 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.

A meaningful review and the expert report of the FWF reporter are required for a decision.

On average, the peer review process lasts approximately four to six months. Once the peer review 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.

In cases where the publisher itself handles the peer review process, at least two peer reviews meeting the requirements of the FWF and the expert report of the FWF reporter are required for a decision. In such cases, the decision process takes an average of approximately two months. The FWF Board makes its decision to approve or reject the application on the basis of the peer reviews obtained by the publisher.

The author (editor) is then informed in writing of the FWF's decision.

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

All applications approved by the FWF Board are bound by a certain conditions. The FWF issues a grant agreement for each application approved. The publisher is required to arrange for editing, foreign-language editing or translation. EUR 2,000.00 for editing or EUR 4,000.00 for foreign-language editing or translation can be requested 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 remaining approved funds can only be released by the FWF after a positive final assessment of the publication.

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

The grant agreement and the "General terms and conditions for authors (editors) on the use of FWF funds for stand-alone publications" (which form an integral part of the grant agreement) are legally binding on all parties.

Upon signing the grant agreement, the publisher enters into a contractual relationship with the FWF. The publisher is liable to the FWF for the proper publication of the work in question and for adherence to the "General terms and conditions for publishers on the use of FWF funds for stand-alone publications" (which are likewise an integral part of the grant agreement).

Appendix: Questions for peer reviewers in the Stand-Alone Publications funding programme¹

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 EUR 14,000.00 or EUR 18,000.00. This sum includes production costs, the costs of simultaneous open access publication and editing (EUR 14,000.00) or foreign-language editing or translation (EUR 18,000.00).

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 due to higher readability, a grant for editing or for foreign-language editing is made available to the author once the application has been approved. Instead of editing or foreign-language editing, authors may request grants for translation costs. 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 transmitted to the applicant in its entirety):

1. Quality aspects

- importance to the international scientific community in the field(s) concerned
- extent to which the project could break new ground scientifically (innovative aspects)

2. Content-related and formal aspects

- Completeness of content of publication submitted (e.g. introduction, summary, indices, bibliography, illustrations, etc.)
- Will the choice of publisher ensure a maximum of quality and international visibility? Would another publisher be more suitable for this purpose?

3. Suggestions

- What could (should) be done to increase the publication's chance of success?

4. *Editing/foreign-language editing* (only for editing or foreign-language editing)

- Which parts of the publication would require editing/foreign-language editing?

4. *Translation* (only for translation costs)

- Will the translation ensure a broader dissemination of research conducted in Austria to the scientific community, or is the translation relevant for Austrian research?

Section 2 (confidential remarks to the FWF):

Concluding recommendation on funding or rejection of the stand-alone publication; and any other comments

The FWF only provides funding for applications which already comply with the highest standards of scholarship in terms of content and form at the time of application.

¹ For further information on the application guidelines for stand-alone publications, please refer to the FWF's web site (http://www.fwf.ac.at/de/applications/pub-selbststaendige_publicationen.html).