

The Weizenbaum Institute's Open Access Publication Fund: Reference guide to the application process and funding criteria

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General information about the Open Access Publication Fund

The central Open Access (OA) Publication Fund primarily finances publications by institute members that meet the following funding criteria and whose costs cannot be met at research group level. Deviations from the following awarding criteria are possible in justified cases.

We recommend taking advantage of our [advisory services](#) before applying for funding through the central fund. For a successful application, you should at least read the key relevant sections on the following topics: [General funding criteria](#), [Funding criteria for journal articles](#), [Funding criteria for books](#). Further information can be found in the sections on [Funding context, basic principles and aims](#); [Steps to funding](#); [Principles for awarding funds](#); [Predatory publishing](#); [FAQs](#); [Further reading and information](#). All the information is available in this reference guide for download as a PDF document that can be consulted offline.

General funding criteria for all publication formats

In line with industry-wide standards,¹ the following criteria are applied when financing publications through the WI OA Fund:

- \ OA publications can be funded provided they have passed through a professionally recognised quality control process and have been accepted by the publisher for publication. Besides established peer review processes by expert reviewers and/or series editors, quality assurance may include community peer review, open peer review, post-publication peer review, reviewed preprints, and other forms.
- \ Funding should primarily be awarded for OA publications from publishers who communicate their services and costs for OA publication fees to the authors/editors in a transparent manner.²
- \ Funded OA publications should be published under a free licence, i.e. Creative Commons Attribution (CC BY).
- \ The authors/editors grant the publisher only non-exclusive rights.
- \ Applicants are advised to register with ORCID ([more information](#)).
- \ The publication is given a persistent identifier (PID) – preferably a DOI.
- \ The authors’/editors’ affiliation to the Weizenbaum Institute is acknowledged in the publication. WI affiliation is defined in the WI statutes and rules of procedure and the cooperation agreement between the WI and its network partners (see below for affiliation requirements for specific publication forms).

¹ See, in particular, the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities [2003], the funding programmes of the German Research Foundation [DFG] and the initiatives [OA2020](#) and [cOAlition S](#).

² For an indication of the range of services and fees, especially for articles in academic journals, see the data from OpenAPC (<https://treemaps.intact-project.org/apcdata/openapc/> and <https://treemaps.openapc.net/apcdata/bpc/>) and the Journal Comparison Service provided by cOAlition S (<https://www.coalition-s.org/journal-comparison-service/>; access only via registered libraries of the network partners).

- \ The publications contain a reference to the funding from the Weizenbaum Institute publication fund – preferably in the following form, depending on the publication language (without the editorial comments in square brackets):
 - *German* – “Die Veröffentlichungsgebühr für diesen Aufsatz [for journal articles, ed. note]/für dieses Buch [for books, edited volumes, conference proceedings] wurde durch das Bundesministerium für Bildung und Forschung (BMBF), Förderkennzeichen 16DII131, und den Open-Access-Publikationsfonds des Weizenbaum-Instituts für die vernetzte Gesellschaft, Berlin (ko-) finanziert.”
 - *English* – “The article processing charge [for journal articles, ed. note]/book processing charge [for books, edited volumes, conference proceedings] was (co-)funded by the Federal Ministry of Education and Research (BMBF), grant no. 16DII131, and the Open Access Publication Fund of the Weizenbaum Institute for the Networked Society, Berlin.”
 - *Others* – For publications in other languages, please make use of our advisory services to clarify the wording.
- \ In cases where funding sources are combined, the funding criteria of the various funding providers should be observed alongside the WI criteria.
- \ As soon as the publication is released, it is freely and permanently available to readers worldwide in digital form.
- \ The OA version is published at the same time as, or prior to, any parallel print version.
- \ The publication is clearly identified as an OA publication on the publisher’s website and in the imprint of the publication. This applies equally to digital versions and any print versions. An appropriate notice will mention cost-free access and the free licence.
- \ If a print version is offered, the OA version is provided and promoted by the publisher to at least the same extent and is not treated less favourably or given less importance. In particular, publishers must not hide the OA version, position the notice about the OA version in a hidden or inconspicuous place, or promote a parallel print version exclusively, without mentioning the OA version.
- \ Additional costs for fast-track reviews, excess length and the like will **not** be covered.
- \ The applicants confirm that the publication costs **cannot** be covered by other publication funds, especially through DFG, BMBF or EU projects.
- \ Funding can be provided for up to **two** journal articles and **one** monograph, textbook, edited volume or set of conference proceedings per person per year.
- \ As a rule, the order in which funding is approved follows the date of application. The **funding confirmation is valid for 6 months for journal articles and 12 months for monographs, textbooks, edited volumes, and conference proceedings**. If the work has not been published by the end of this period, a new application for funding must be submitted.
- \ All funded publications are also archived in the Weizenbaum Library (OA repository of the WI) and made accessible online. For this purpose, please send the published version of your work to openaccess@weizenbaum-institut.de.
- \ It is preferable if your publication is linked to other resources – such as research data, which should also be made available in line with the OA principles, particularly the FAIR and CARE principles.

The applicants, i.e., the authors or editors of the publication, are responsible for ensuring the requirements relating to the publication and the publisher are met, and for clarifying these requirements with the publisher. For this reason, please notify your contact person at the publishing house in good time about implementation of these requirements.

Funding criteria for journal articles

Besides the general funding criteria mentioned above, the following criteria apply to the funding of journal articles (including replication studies, null results papers, registered reports, and papers based on data reuse or with citizen participation):

- \ At the time of application, applicants are members of the WI and/or of WI subprojects run by network partners and are the submitting author or corresponding author.
- \ The maximum cost of **€2,000 net** (excluding VAT) per article must not be exceeded.
- \ The selected journal publishes all articles via open access routes immediately they appear.
- \ The journal should be listed in the Directory of Open Access Journals ([DOAJ](#)).
- \ Open access options for individual articles in subscription-based journals (known as hybrid open access) outside of transformation contracts, and articles in mirror/sister journals (open access versions of subscription-based journals) are **not** normally eligible for funding.³

Funding criteria for books

Besides the general funding criteria mentioned above, the following criteria apply to the funding of monographs, textbooks, edited volumes, and conference proceedings:

Basic principles

- \ Applications are open to members of the WI and/or of WI subprojects run by network partners, and to former members of the WI if the research work underpinning the publication was primarily carried out while they were a member of the WI (e.g., doctoral dissertations).
- \ The maximum cost of **€4,200 net** (excluding VAT) for previously unpublished open access monographs, textbooks, edited volumes, and conference proceedings (first publications) must not be exceeded.
- \ Funding can be provided for OA production costs for the digital version of the publication. Costs for graphics, illustrations, traditional printing costs and associated costs (e.g. additional costs for colour illustrations) are **not** eligible for funding.

³ See also the following definition of mirror journals by the DOAJ: “A mirror journal is a fully open access version of an existing subscription journal, with the same aims and scope, peer review processes and policies and an editorial board with at least 50% of the same members. The journal may have a similar name as the subscription title, but it must have a different ISSN.” (from: <https://doaj.org/apply/guide/>, s.v. “Additional criteria for some journal types” [last accessed: 9 Dec. 22] and, for further details, Barbers et al. 2022)

- \ Individual chapters in collective works that do not appear in open access in their entirety are **not** eligible for funding.
- \ Dissertations by WI members can be funded if they are graded *summa cum laude* or *magna cum laude*.
- \ An application for support for publication costs should be submitted no later than the start of contract negotiations with a publisher.

Requirements relating to the publication and the publisher

- \ Rights associated with images and other third-party material have been clarified by the applicants.
- \ Long-term archiving is guaranteed (e.g., via the German National Library (DNB)).
- \ The publisher must be listed as an open access publisher, for instance in the Directory of Open Access Books (DOAB) or as a member of the Open Access Scholarly Publishers Association (OASPA).
- \ Standardised, complete and machine-readable metadata (including persistent identifiers [PIDs]) should be confirmed in databases such as DOAB, OAPEN and other relevant specialist databases.

In addition, as a basic principle, the quality standards applied by the German Research Foundation (DFG) to open access books must be met (see AG UV 2022).

Apply

- Link: <https://survey.lamapoll.de/Antragsformular-WI-OA-Fonds/en/>

Transparency: Weizenbaum Library and Open APC

Following publication, publications that have received funding from the Publication Fund can also be found in the Weizenbaum Library, the WI's OA repository.

After the end of the year, the funding costs incurred are documented for each article or book on the Open APC platform, where universities and non-university research institutes share their expenditure data for OA publication fees openly and in visual formats. This enables the scientific community and society to participate in the public discussion about the transition in scholarly publishing in the context of OA transformation, which means the platform fulfils one of our institute's core objectives.

Funding context, basic principles and aims

INSTITUTIONAL CONTEXT

“The Weizenbaum Institute stands for open, transparent research.” One of the ways the WI will fulfil this claim in the initial establishment phase (2022-25) is through systematic support for OA publications. Besides providing advisory services and information events on relevant OA aspects, such as selecting relevant and suitable journals, open licences and identification mechanisms, and transformative consortium agreements, the OA Publication Fund aims to help WI researchers make their publications available openly and without barriers. Through OA publications, WI researchers can both increase their visibility and accelerate the exploitation of their findings in academia and adjacent systems.

BASIC PRINCIPLES, FUNDING INSTRUMENTS AND FUNDED FORMATS

From spring 2023 onwards, two funding instruments are available: a central OA Publication Fund for all researchers at the WI, and decentralised OA publication funds in the budgets of the individual WI research groups. Both funding paths provide funds to cover publication fees for journal articles (including replication studies, null results papers, registered reports, and papers based on data reuse or with citizen participation) and for previously unpublished OA monographs, textbooks, edited volumes and conference proceedings (article or book processing charges, APCs/BPCs). Funding for other open formats and research results, such as research software, is possible in principle. The criteria and practices of WI publication funding are based on the current standards of key research funding organisations at national and European level (especially the DFG, the European Commission, cOAlition S) and successful procedures and processes employed by existing OA funding programmes in the scientific community. There are plans to expand the WI OA funding portfolio and add additional measures, in line with demand, in the second establishment phase.

The central OA Publication Fund primarily finances publications by WI members that meet the above funding criteria and whose costs cannot be met at research group level. Deviations from the awarding criteria are possible in justified cases. When OA publications are funded by WI research groups or other WI research units, it is advisable to observe these funding criteria. In the interest of tracking the institute-wide information budget and in line with the recommendations of the German Science and Humanities Council (WR) and the DFG, when funding is provided through this decentralised route, openaccess@weizenbaum-institut.de should be notified of the publication fees for each funded OA publication (for further information see Pinfield et al. 2016; Pampel 2019; DFG 2022a: 5f.; WR 2022; Mittermaier 2022).

AIMS OF OA PUBLICATION FUNDING AT THE WI

These measures make WI OA publication funding an effective instrument for (1) strengthening academic publishing in “its primary function of communicating findings and enabling scholarly discourse” (DFG 2022b: 40). Moreover, WI OA publication funding corrects (2) wrong incentives provided by a one-sided, cost-intensive focus of research assessment based on quantitative metrics (especially the journal impact factor [JIF]), thereby making (3) an important contribution to sustainably shaping the OA transformation of the scholarly publishing system in the long term (see also DORA [2013]; OA 2020 [2016]; cOAlition S 2019; ISC 2021; WR 2022). Finally, the WI’s OA publication funding enables it to (4) play an active role in implementing local and national strategy goals (Senat von Berlin 2015: 5–8; BMBF 2016: 6).

Advisory services at the WI

Researchers can find information about the funding criteria and application process on the website and, where needed, can obtain further personal advice via openaccess@weizenbaum-institut.de.

Steps to funding

Your work has been submitted to the publisher and has been accepted for publication.

- \ Please check whether your publication meets the funding criteria mentioned above. You are also welcome to seek advice in advance on OA publication questions.
- \ If your publication meets the funding conditions, please complete the online form to apply for funding of publication costs (see “Apply”) and submit the publisher’s acceptance and price quotation as a PDF document with the form.
- \ If the total costs for your publication exceed the funding limit, it may be worth enquiring about a discount with the publisher. We will be happy to provide a confirmation letter for this purpose on request.
- \ You will usually hear within a few weeks of submitting your application whether the fund can finance your article.
- \ Once you have received a confirmation of funding from us, you can publish the article with the planned publisher, acknowledging your institute affiliation and the funding (see also “General funding criteria for all publication formats”).
- \ You will be notified once the invoice has been paid by the WI administrative team.

INVOICING REQUIREMENTS

If funding has been approved, the WI OA Fund will pay your APC or BPC invoice in full or in part, directly to the publisher. The invoice must therefore contain the following information:

Rechnungsadresse / Billing address: **Weizenbaum Institut e.V., Hardenbergstr. 32, 10623 Berlin**

If the publisher insists on the name of a contact person and telephone number, please use: Julian Vuorimäki, Tel.:+49 30 700 141 012

Principles for awarding funds, administrative procedures and budgeting, other funding options within the network

PRINCIPLES FOR AWARDING FUNDS

- \ Provided the OA Fund is not yet exhausted, all applications will receive funding provided they fulfil all the general and format-specific funding criteria.
- \ If applications do not meet all the general and format-specific funding criteria, a consultation should take place with the applicant and/or experts from the Open Research working group before a final funding decision is taken.
- \ In the interests of the Weizenbaum Institute's active promotion of doctoral and postdoctoral researchers, once 75% of the fund budget has been exhausted, preference will be given to OA publications by doctoral and postdoctoral researchers.
- \ Additional, optional criteria for ensuring a fair distribution of funds include paying attention to a balance of funding between all disciplines at the WI and, as far as possible, a balance in terms of gender equality and diversity aspects among the funded researchers.

ADMINISTRATIVE PROCEDURES AND BUDGETING

The central OA Publication Fund is administered by the Research Management Department within the WI's science support services. Information about the awarded funds is to be delivered to the Open Research working group every three to six months, and included in annual reports and delivered to the Institute Council so that the funding criteria and practice can be reflected on and evaluated on an ongoing basis. The experts of the Open Research working group act as an expert advisory committee for the Publication Fund. The funding criteria are reviewed and, where necessary, updated regularly – and in good time, particularly in the early phase of the fund's operation – with a particular focus on research policy conditions for publication funding, institution-specific requirements and the efficiency of the awarding practice. A comprehensive review will take place no later than the end of the initial establishment phase.

In principle, applications will be processed and approved in the order in which they arrive until the funds for the funding year/part-year in question are exhausted (for further details see also "[Principles for awarding funds](#)"). It is anticipated that the central OA Publication Fund will be able to invest up to €30,000 per year to fund OA publications (or a proportion of this for shorter funding periods, in particular 2025).

OTHER FUNDING OPTIONS WITHIN THE NETWORK

Similar OA publication funds and transformative agreements (especially the DEAL project) run by network partners may offer alternative funding options for OA publications. An overview of these can be found at the end of this document (for more details see “[Overview of OA funding options from network partners](#)”). For these options, you will need to contact the relevant network partners directly for advice and to submit an application.

In order to achieve the aim of a transparent, comprehensive information budget at the WI, we ask our researchers to send basic publication data (incl. funding amount and total APC/BPC costs) for successful external OA publication funding applications that relate to the WI’s research subjects to openaccess@weizenbaum-institut.de.⁴

Predatory publishing

We expressly warn researchers against predatory, primarily profit-oriented publishing, i.e. publishers, journals, books, conference series and conference proceedings with business models based on APC and BPC that do not employ quality assurance measures in line with good research practice, specifically expert reviews of publications (for further details on the following see especially Leibniz 2018; COPE 2019; IAP 2022). Other widespread indicators of predatory publishing are the following:

- \ Little or no cost transparency
- \ Absence of any review process for quality assurance
- \ Short processing times and fast publication, contrary to the usual time frames and durations of review processes
- \ Misleading or incorrect indicators (esp. the journal impact factor)
- \ Random inclusion of researchers on the editorial board, possibly even without their knowledge
- \ Aggressive, technically vague direct marketing to researchers
- \ Imitation of names and/or websites of established journals

As an author, there are a number of checks you can carry out – as well as obtaining [advice](#) – to protect yourself from these kinds of publishers:

- \ Use Think – Check – Submit - <https://thinkchecksubmit.org/> - and Think – Check – Attend - <https://thinkcheckattend.org/>
- \ Follow the COPE Principles of Transparency and Best Practice in Scholarly Publishing - <https://publicationethics.org/resources/guidelines/principles-transparency-and-best-practice-scholarly-publishing>

⁴ The basic publication data can be based on the information contained in the application process, and the Open Access team can be notified by forwarding this information to the above email address to minimise the work involved.

- \ Check the OASPA membership criteria - <https://oaspa.org/membership/membership-criteria/>
- \ Read the quality requirements of the DOAJ - <https://doaj.org/apply/guide/#basic-criteria-for-inclusion>
- \ Use Quality Open Access Market (QOAM) - <https://www.qoam.eu>
- \ Check the Transparency and Openness Promotion Guidelines (TOP) or use the TOP Factor - <https://www.cos.io/initiatives/top-guidelines>
- \ Check journal titles, ISSN and URL information

Further reading and information

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