Checklist for authors   FAU University Press

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Please visit us to view our published products produced by various printers:

Universitätsbibliothek Erlangen-Nürnberg
FAU University Press
Universitätsstr. 4
91054 Erlangen
Tel: +49 (0) 9131 85-22155

THE PUBLICATION PROCESS

Would you like us to publish your book? Visit ⊞https://www.uni versity-press.fau.de/en/publizieren/ to see our format specifications and checklist for authors. You can also make use of our Word and LaTeX templates to compile your manuscript:
⊞https://www.university-press.fau.de/en/publizieren/informationen-und-downloads-fuer-autoren/, section "Templates"

For advice on funding options for print editions, please contact the foundations, funds and sponsoring associations of FAU and the Graduate Centre:
⊞https://www.fau.eu/outreach/donations/.

Open access commitment and print option

FAU University Press supports the ⊞Open access policy of FAU. All works are accessible as e-books with an eISBN and unique URL via ⊞OPEN FAU free of charge and worldwide. In addition, books can **optionally** also be distributed in print form with a book ISBN. Per default, we use digital printing with a very good price-performance ratio.

Dissertations:

If dissertations are to be published by FAU University Press, parallel publication in print form in addition to the open access version is mandatory (see RPromO, Section 15 Paragraph 4 No. 2).

Printing costs:

FAU University Press is not a for-profit organization, thus the costs incurred cannot be covered by other sales earnings. **Printing costs must be borne by the authors themselves.** We will gladly provide you with a provisional quotation. An Excel calculator for generating non-binding printing cost estimates can be found on our download page in the section "Contract / calculation":

⊞https://www.university-press.fau.de/en/publizieren/informationen-und-downloads-fuer-autoren/.

If the work is to be produced in a very large print run or has a large number of color pages, we can also obtain offers from various printers, and the cost may be lower.

The cost of the first edition is primarily determined by the format, the number of color and black-and-white pages (with color pages being

more expensive) and the size of the print run. In addition, there is the publisher's one-off payment and the legally owed VAT. No VAT is payable if there is a non-taxable internal invoice settlement or other exemptions apply.

The number of copies of the first edition must be a multiple of four. The minimum print run is 32 copies. The publisher usually retains 22 copies of the first edition (archive, mandatory and replacement copies, as well as sales copies for the book trade[1]), while the remainder will be sent to the author.

> **Example:** If 25 copies are required for personal use, 25 + 22 = 47 (not divisible by 4) -> the minimum print run in this case must be 48.

Retail price:

The retail price is based on the unit price of the main edition, plus usually €5 surcharge, charged by the printers for reprinting smaller print runs. This ensures the availability of the publication during the contract period. In addition, the discount granted to Amazon, wholesalers, etc. (usually up to a maximum of 48%) must be taken into account:

$$\text{Retail price}$$

$$= \frac{(\text{net unit price} + \text{reprint surcharge}) * 1{,}07\,\text{VAT} * 100}{100 - \text{ maximum discount granted to retailers}}$$

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[1] If it is not possible for FAU University Press to reprint a book because the author has commissioned an external print shop, a larger number of sales copies may be required.

– Keep track of your publication –

Total duration approximately 2–3 months, depending on whether the PDF file submitted is suitable for printing:

⬡ **Chose the series:**

1. ⬒FAU Forschungen, Reihe A: Geisteswissenschaften and ⬒Reihe B: Medizin, Naturwissenschaft, Technik

FAU Forschungen is for postdoctoral theses and other dissertations awarded the grade 'summa cum laude' as well as other outstanding works; manuscripts other than postdoctoral theses or dissertations must be reviewed by the Academic Advisory Board of FAU University Press, which then decides whether to include a work in the FAU Forschungen series. The review process is initiated by the publisher itself.

2. FAU Studien

This series is divided into several ⬒categories by departments and faculties. Doctoral dissertations and Magister theses must be recommended by the supervising professor before they can be included and also require the approval of the series editors (see ⬒https://www.university-press.fau.de/en/herausgeber/) in the publication contract. If you cannot find a series suitable for your department and you would like to become a series editor, please contact us.

Please clarify the approval of the series editors yourself in advance. This includes contacting them, submitting the manuscript for review, revising it according to the review instructions, and receiving an informal "accepted" message from the series editors. The editors later formally sign the

corresponding "Declaration with regard to the publishing contract". In the case of the FAU Studien aus dem Maschinenbau, Dr.-Ing. Oliver Kreis, Managing Director of Teaching at the Department Maschinenbau, should be contacted for review.

3. FAU Individual titles outside the series

   This series covers individual titles (such as exhibition catalogs, conference volumes but also titles that are not yet covered by our series).

○ **Please be aware of the formatting requirements for the specific series:**
Formatting requirements can be found at ⌨https://www.uni versity-press.fau.de/en/publizieren/formatierung/. Further recommendations such as typesetting requirements are provided at the end of this checklist.

Please note that the formatting requirements are not optional, but mandatory. If you encounter technical problems, we will gladly advise you on how to adapt your manuscript.

The formatting requirements are also mandatory for works that are not produced by our printer, but that are printed by the authors or by external service providers. Exceptions are only possible in specific cases, such as art books, and the details must be discussed in each individual case.

We reserve the right to refuse manuscripts in which our formatting requirements have not been met. However, we will always try to provide the best recommendations for effective and attractive typesetting.

○ **Manuscript submission:** Please send us the manuscript together with the ⊞book proposal including all bibliographical metadata (see ⊞https://www.university-press.fau.de/en/publizieren/informationen-und-downloads-fuer-autoren/, section "Specification") and inform us of any additional requirements (such as a mandatory publication date).

○ **Review and formatting:** We will perform a typesetting and formatting review of the manuscript to make sure it conforms to our formatting requirements. We will send you a PDF commented by us with the request for implementation. Further rounds of corrections may be necessary.

○ **Cost estimate and publishing contract:** Once the manuscript is ready for print, we will send you a cost estimate or obtain quotations from printers and conclude the publishing contract with you. You can view the sample contract template at ⊞https://www.university-press.fau.de/en/publizieren/informationen-und-downloads-fuer-autoren/, section "Contract / calculation"; any modifications required (such as in the case of e-only publications) can still be made at this stage. The exclusive rights of usage remain with you, by default we issue the CC BY license (see our ⊞information page). Other open licenses may be chosen in individual cases.

Once you have received the publishing contract, please supply us with two completed and signed copies and a copy of the consent form signed by your supervisor and ⊞series editor (FAU Studien) or by a member of the ⊞Academic Advisory Board (FAU Forschungen) either by mail or in person. You will receive a copy signed by us for your records. Digital processing by e-mail is also possible.

○ **Creation of the cover**: We will create the cover using images supplied by you or selected by us. If you have any image

suggestions, please let us know in the ⊞Book Submission Form and send us any files in as good a resolution as possible.

○ **Reviewing the proofs:** We will provide the printer with the finalized manuscript and cover file. The printer will generally deliver a proof within 1-2 weeks that will be reviewed by you and us. If everything is correct from a content and technical point of view, we will ask you for your authorization to print and publish the work.

○ **Delivery of print copies:** We will forward the printing authorization to the printer, who will then print and deliver the desired print run, usually within two to three weeks. Please provide us with a corresponding delivery address. The invoice will be issued at the very end, once the whole process has been completed.

○ **Metadata for online publications:** We combine the separate manuscript and cover file required by the printer in a single file for the e-book and publish this open access e-book with an eISBN, unique URN and cross-referencing between the print and e-book edition on OPEN FAU.

You will need to provide additional metadata so that the e-book can be found in international library catalogs, databases and by search engines.

We need at least the following information, but please fill out the ⊞Book proposal as thoroughly as possible:

✓ Title and abstract (in German and English where applicable)

✓ Keywords that describe the content

✓ Standardized GND keywords (⊞http://ognd.bsz-bw.de/)

✓ Dewey Decimal Classification (DDC, cf. ⊞http://deweysearchde.pansoft.de)

In addition, we can display your Open Researcher and Contributor ID (ORCID, ⊡http://www.orcid.org/) in OPEN FAU to avoid misallocations to homonymous authors in databases and library catalogs. Please let us know if an ORCID is available. We are also happy to advise you on the registration of an ORCID.

○ **Accompanying dissemination of research data:** If you want to archive and publish accompanying primary or secondary data to your publication, this is of course possible and very welcome. Please contact the publishing manager or, in the case of special technical questions, the Department of Research Data Management of the University Library: ⊡https://ub.fau.de/en/writing-publishing/data-and-software-in-research/.

– Getting your manuscript ready for printing –

General information:

◯ Now is a good time to check whether you have met our ⊞formatting requirements. You will need to use the font Constantia 11 pt. with right justification and single line spacing for standard text.

If you already have your manuscript ready in Word, please use the styles feature (right click on the standard style and select 'Edit...' or change the setting for the font type and font size under 'Font').

If you are only just starting on your manuscript or plan to do so in the near future, please make use of our .dotx Word or LaTeX templates in the ⊞information and downloads section for authors on our website.

Author contact information

◯ Brief information about the author, such as the e-mail address and the ORCID are listed in the imprint upon request.

◯ Longer details such as a (short) biography and a photograph of the author can be displayed on the back cover.

Chapters

◯ If your book is structured in chapters, each main chapter (chapters 1, 2 etc. - *not* sub-chapters such as 1.1, 1.2) must start on a recto page of the book. If the previous chapter ends on recto page, a blank page must be inserted as a verso page before the page on which the next chapter commences.

This means that each main chapter will always start on a page with an odd page number (also see the 'Page number' section).

Citation

◯ We can include a recommended citation for the publication in the imprint (usually Chicago-Style).
Should a different style of

citation be common in your field, please let us know.

(Color) illustrations – Achieving the best quality

○ Images must have an optimum dpi resolution (600 dpi) for printing.

○ Use a high resolution for scans (300 dpi for text, 600 dpi for images).

○ Save the images in a format, that minimizes data loss, i.e. Bitmap. If you are forced to use compressed graphic formats, use JPEG 2000 or TIFF/TIF with 600 dpi if possible and reduce the compression rate or use high quality settings.

○ Please avoid vector-based graphic formats like Windows Metafiles (*.wmf) or Windows Enhanced Metafile (*.emf) if possible. In the past, some of our printing companies had printing problems with these formats.

○ If you are working in Word with embedded images, please tick the box 'Do not compress images in file' under 'Options' » 'Extended' » 'Image size and quality' and set the default resolution to 'High fidelity'

or (if not available) to 330 ppi.

In our experience, however, when converting to PDF using Word, a loss of quality will occur for raster graphics. You are therefore welcome to send your print-ready Word file so that we can create a high-quality document with a professional PDF program.

Please note that the quality of the print is always dependent on the resolution or quality of the images used in your original file - our printers cannot "optimize" anything individually.

○ The color images will be printed using CMYK by the printer. For printing purposes, RGB files will be converted to CMYK, which may unfortunately result in significant color deviations. In particular, bright colors appear much more toned down in CMYK and there may be some color changes, such as from bright blue to a purple shade. Various suggestions and online tools are available online to help you preview CMYK files, for example using Photoshop.

○ If you insert images using the wrapping options 'In

front of text' or 'Behind text', please ensure that the specified margins are not exceeded in accordance with our ⊞formatting requirements.

○ Use a uniform distance before and after figures or tables and their relevant captions, for example one blank line. If you use LaTeX, configure the settings for the floating environment and the distances to the floating object.

○ If possible, use images without transparent elements and without vector-based hatching, as this can lead to errors in the print result. If your manuscript contains images with transparency, flatten the transparency when you create the print-ready PDF. Thoroughly check the corresponding visual material in your proof.

○ The same applies to color block-overlaying or partially transparent structures, e.g. structures filled in this way:

Column titles

○ Column titles should always be inserted flush with the outer margin of the header, should be in italics and the Constantia font. Please do not use underlining or lines to separate the title from the main text.

If you wish to make use of dynamic column titling, format all titles in Word, using format templates and insert the references into the header: Insert 'Dynamic Fields', 'Field', 'Field Name = StyleRef', 'Format template name = 'Heading".

Compilations and conference volumes

○ When collating the various contributions, the editor must ensure that the layout is standardized (e.g. identically designed literature lists for each paper, standardized format for the academic titles of the authors, etc.).

Cover design

○ Make a note of your favorite images that would look good on the cover. We look forward to your suggestions. If you cannot find any

suitable images, we would be happy to suggest stock images.

○ If you use free stock images, please respect copyright requirements. For example, images may be used under a Creative Commons Attribution License (CC-BY), but the name of the intellectual property holder must be cited, for example in the legal notice. Please provide us with this information.

○ The cover must meet the requirements of FAU Corporate Design; this applies to the positioning of the series title, of the FAU University Press logo and of the design area in which your image can be put. Unfortunately, there is very little room for variations in this case.

For example, additional logos in the logo space at the bottom of the cover are usually not permitted; if necessary, these can be included on the half-title page or the back cover.

Document size and cutting

○ Page 1 of the ⊞formatting requirements shows you

which series (editor) mandates which format, such as DIN A5 or 17x24.

○ We can also scale DIN A4 files as DIN A5 or 17x24. Please ensure that the font is sufficiently large in this case (see table in ⊞formatting requirements).

○ Please inform us if your document contains pages in landscape format.

○ If your manuscript has color or pattern blocks that extend beyond the side margins (such as whole-page color backgrounds), you must make use of PDF crop marks that provide a crop margin of at least 3 mm. Remember to set the page layout correspondingly larger, for example to 176 x 246 instead of 170 x 240.

Font embedding

○ Please embed all fonts. To do this in Word, click on 'File', 'Options', 'Save' and 'Embed fonts in file'.

Footnotes

○ Footnotes should also be formatted in Constantia 9 pt., with a footnote dividing line with a length of 52 mm. If the footnote text extends

over several lines, you can make use of a hanging special indent.

Hairlines

○ Hairlines, i.e. very thin lines (for example 0.2 mm or thinner), are often either not replicated or incorrectly reproduced during printing, for example in the form of dotted lines. You should therefore always make use of a line thickness of at least 0.75 pt.

Hyperlinks

○ To separate long hyperlinks without affecting the link function, insert a conditional zero-width change at the desired point (in Word by using Insert » Symbol » Other symbols ... » Special character » Conditional zero width change).
Blue hyperlinks are printed as (expensive) color pages, i.e. if necessary, please change the hyperlink color to black.

Hyphenation

○ If you make use of automatic hyphenation,

please ensure that the text remains readily legible.

Long words, in particular, should not be hyphenated directly after the first syllable (example: re-ligious/constitutional/legal aspects).

Large numbers of hyphens (for example in each line of a paragraph – or generally speaking more than four) and hyphenation at the end of a page should also be avoided, as should the hyphenation of proper nouns (including the surnames of persons), acronyms and abbreviations, as well as hyphens that seem to change the meaning of the word within the context of the sentence (for example: Urin-stinkte; also Au-, Po-, Ei-).

If automatic hyphenation is not used, make use of a limited number of hyphens ([Ctrl] + hyphen) to eliminate gaps caused by right justification (also see the section on 'Typesetting errors').

For German, the hyphenation recommended by the Duden applies. For English, pages like www.hyphenation24.com

may contain wrong hyphenations. For individual English words in German texts and for American English in general, you can follow the guidelines of Merriam-Webster: ⊞https://www.merriam-webster.com/
For British English see Oxford Dictionary: ⊞https://premium.oxforddictionaries.com/english/ (c.f. paragraph „For editors and proofreaders"; access via university network).

Indents

◯ If you wish to work with indents, for example to achieve an optical separation between paragraphs:

Never use an indent after headings, figures, tables or lists when starting your long text.

Only use an indent if additional paragraphs of long text are to follow. As soon as a heading follows, the former rule applies again.

In Word you can set the indents manually, using the Tab key, or use the special 'First line' tab (0.5 cm) for all the corresponding paragraphs. Please do not use spaces for (additional) spacing.

Line spacing

◯ Please use single line spacing throughout the manuscript.

Page numbers

◯ Please follow our ⊞formatting requirements: the title pages (usually the first four pages of the manuscript file) should not have any page numbers. If an acknowledgement, an abstract and/or the table of contents appears on page 5, Roman numerals are usually to be used for page numbering (i.e. i, ii, iii) until the first page of the main text.

The cover sheets of dissertations are not numbered but count as part of the work. Thus, if the cover page of the dissertation is on page 5 and the approval statement appears on page 6, Roman numerals will be used from page 7 onwards, starting with iii.

Page numbers in Arabic numerals must start on the first page of the main text. If it is technically necessary to leave the last page blank, it should not be numbered.

The general rule is as follows; page numbers must be in the Constantia font and must be flush with the outside margin at the bottom of each page. The even page numbers must always appear on the verso pages of the book, while the odd numbers appear on the recto pages of the book.

Research data

○ There are various ways to publish any research data on the book (e.g. via ⊞OPEN FAU, ⊞RADAR, ⊞Zenodo, etc.) and to link the research data in the work (e.g. via DOIs and/or QR codes for smartphone access).

Review

○ Make use of the spelling and grammar checker in your word processor and ensure that all internal and external hyperlinks (such as to a chapter in the manuscript or URLs) are updated and function properly.

If your citation list requires you to enter the information when you last accessed a quoted online document, please update your information after reviewing the quotations.

Special characters

○ Special characters and mathematical formulae for which Constantia cannot be used or that are not readily legible in that font may be typeset in a suitable font (e.g. Garamond or Cambria Math). Please restrict yourself to use of one or the lowest possible number of additional fonts.

Table of contents

○ Use styles to format all headings in Word. These can be used to generate an automatic table of contents ('References' » 'Table of Contents'). You will then have to adapt this table of contents to our ⊞formatting requirements (Constantia font, etc.).

Please note that any manual changes will be lost as soon as the table of contents is updated. Changes should therefore only be made at the very end.

Typesetting errors

○ Please note that this does not apply to simple errors made in the typing process, such as spelling mistakes. Try to avoid the following problems:

'Orphan lines' – these are paragraph-opening lines that appear by themselves at the bottom of a page or column. It is better to shift the complete paragraph to the next page.

The same applies to so-called 'widow lines', which are paragraph-ending lines that fall at the beginning of the following page or column.

The same is the case for single words in chapter headings: if the heading is so long that the last word appears alone in the next line, break up the sentence, for example by dividing the header into two equally long or contextually meaningful sections. If it looks nicer (see problems with gaps in justified text described below), you can also format chapter headings left-aligned if necessary.

Avoid ugly gaps between the words when using right justification by making use of conditional hyphens ([Ctrl] + hyphen). These gaps are caused by having very long words at the end of a line, which will be forced into the next line if not hyphenated (also see the section on 'Hyphenation').

Please also avoid larger gaps at the end of a page.