

Aid to Scholarly Publications Program (ASPP)

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Canadian Federation for the Humanities and Social Sciences
Aid to Scholarly Publications Program

The Canadian Federation for the Humanities and Social Sciences is an independent, non-governmental organization of scholars representing the various disciplines in the humanities and social sciences. The predecessors of the present Federation initiated the Aid to Scholarly Publications Program (ASPP) in 1941, jointly administering it with funds provided by the predecessors of the present Social Sciences and Humanities Research Council of Canada (SSHRC).

The ASPP is designed to assist the publication of works of advanced scholarship which make an important contribution to knowledge, but which are unlikely to be self-supporting. Manuscripts in the various disciplines in the humanities and social sciences are considered for the ASPP process if they meet ASPP eligibility criteria.

In general, only book-length manuscripts (at least 100 typescript pages) written by Canadian citizens or landed immigrants / permanent residents, and to be published in Canada by approved Canadian scholarly presses, are eligible for consideration. Authors wishing to work with overseas presses should consult page 3 of these Guidelines, item 3, "Submitting Party". Authors seeking ASPP support are strongly advised not to sign a contract with a non-Canadian publisher before obtaining ASPP approval of that publisher.

The ASPP is administered by the CFHSS and governed by two committees comprised of peers responsible, respectively, for policy development and manuscript. **Peer review constitutes the mainstay of the ASPP.** The Program is committed to the excellence and the integrity of the peer-review process.

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GENERAL GUIDELINES

The following guidelines govern the operation of the ASPP:

1. Works Funded by the ASPP

Subsidies in aid of publication will only be granted to **works of advanced scholarship in the humanities and social sciences which make an important contribution to knowledge but which are unlikely to be self-supporting**. The ASPP does not provide grants for the publication of:

- textbooks
- technical reports
- original works of poetry, fiction and drama
- scholarly journals and articles
- conference proceedings.

Please note that, due to financial constraints, the only modern languages in which submissions will be considered are English and French. Classical-language works may also be admissible.

2. Citizenship of Author

The ASPP funds works of a minimum length of **100 typescript pages**, written or edited by Canadian citizens or landed immigrants / permanent residents and published by an eligible Canadian scholarly publisher approved by the ASPP. Authors wishing to work with non-Canadian presses should refer to the relevant section below, under point 3, "Submitting Party". In certain instances, authors who are not Canadian citizens or landed immigrants / permanent residents but who have submitted their works to a Canadian press and whose works have a Canadian subject, are based on Canadian sources, and contribute to Canadian scholarship **may** be eligible.

3. Submitting Party

- A manuscript may be submitted either by an eligible Canadian publisher (see "For Publishers", pages 8-9) or by an eligible author. Authors need not have a publisher committed to the project at the time of submission.

GUIDELINES FOR SPECIFIC CATEGORIES OF ELIGIBLE WORKS

1. Theses

Every thesis revised for publication and submitted to the ASPP will be evaluated according to its intrinsic value, not as a thesis, but as a scholarly book. Authors must make evident the scholarly apparatus of their works, the contribution made to the advancement of scholarship, and the works' accessibility to readers. **Authors must describe the nature and the extent of the changes brought to the thesis in their applications to the Program, or, alternatively, explain the reasons why revisions are not deemed necessary.**

It should be emphasized that recapitulating the entire critical literature, a common thesis requirement, is usually inappropriate to a book. Most theses will benefit from some degree of recasting in the interest of sharpening the focus and enlivening the language of the argument. **Not all theses will embody the kind of sustained argument and significant advancement in scholarship that is required of a scholarly book.**

2. Previously-Published Material

As a general rule, a **maximum** of 30% of the material appearing in a work submitted to the Program may have been previously published elsewhere. Submissions containing a percentage of previously-published material that approaches 30% may be deemed ineligible for ASPP support.

3. Collective Works

Manuscripts written by two or more authors, where individual chapters are not signed, will be treated in the same manner as single-authored books. **At least half the authors of such works must be eligible under ASPP citizenship guidelines.**

For collective works - collections of individually-signed articles, including festschrifts - at least half the authors and half of the principal editing team must be eligible under the citizenship guidelines in order for the work to be considered by the ASPP.

While transcripts of conference proceedings are ineligible for ASPP funding, collective works arising from conferences or from collective research projects solicited by one or more editor(s), or resulting from a collaborative effort of a team of researchers, are eligible **if the cohesiveness and substantial integration of all the chapters are apparent.** The existence of this integration is essential for any collective work whose authors wish to have the work considered by the ASPP. Contributors should be familiar with other texts of the collective work. Editors should frame the issues in such a way that the connections among the essays are evident.

4. Critical Editions, Bibliographies and Reference Works

Critical editions, critical bibliographies, reference works and documentary collections that have full scholarly and critical apparatus **may** be eligible. These works must have significant analytical components and make an important analytical contribution to scholarship in order to be eligible. Enumerative bibliographies and other reference works such as concordances that are simple compilations of data are not eligible for ASPP funding.

5. Memoirs and Autobiographies

Personal memoirs and autobiographies are ineligible for consideration.

6. Translations of Scholarly Works

The Aid to Scholarly Publications Program will offer up to five \$8,000 subventions per year to support the production of works in translation. A further amount of up to \$4,000 per title will also be available to help defray the costs of translation. The Management Board of the ASPP will hold several translation-adjudication sessions during the year to determine which applicants will be awarded the subventions. Such works must involve translation either to or from one of Canada's two official languages, English and French. A Spanish-language work being translated into English would fall into this category; a Spanish-language work being translated into German would not.

Please note that works that have received ASPP support in the original are eligible for a subvention for translation.

The author of a work to be translated must have a commitment in principle (that is, an expression of interest in writing) from a scholarly publisher, either Canadian or foreign, whose catalogue and credentials can be viewed and evaluated by the ASPP (if the publisher is not already qualified to work with the Program). A copy of that expression of interest must be forwarded with the application.

The Guidelines will also indicate that both the **application form** and a **covering letter** must accompany each submission. The letter must indicate:

- The publishing house the author has approached to publish and distribute the translation;
- The arrangement for having the translation itself done (i.e. who will do the translation and what are that person's / agency's qualifications? Do they work regularly with the publisher? etc.).

The process involves two steps:

First:

- If the original work is in either English or French, three copies of the original published work must be forwarded to the ASPP.
- At least two reviews of the work will be secured; the publishing house that proposes to publish the translated work may, under certain circumstances, provide one or both reviews, depending on whether or not it has an established history with the ASPP (most non-Canadian houses will not, and so the ASPP will secure reviews). The intention here is to obtain at least two well-informed and objective reviews of the original work.
- If the original work is in a modern language other than English or French, the ASPP may secure reports (themselves in English or French) itself, or through the publisher of the English / French translation (which will frequently, in this case, be a Canadian scholarly publisher already working with the Program). Again, as above, the objective will be to assess whether the work is of sufficient quality in its original language to merit ASPP funds for a translation.
- The Management Board will then consider the merits of the application at a translation adjudication session (see below). Should a work be successful in receiving a subvention (\$8,000), the funds would be paid out in the usual manner, after the work has been published.

Second:

- Once the work has been translated, the publisher should submit a letter to the ASPP with copies of the relevant translators' invoices in order to receive the further \$4,000 grant available to help offset translation costs.

NB: This money should be eligible only for the actual labour of the translator (as opposed to production costs, etc.), and be paid after the book is published, along with the \$8,000 subvention.

As only five works per year may be funded, the Management Board will hold **“translation adjudication” sessions**, which stand to strike the fairest balance between giving all applicants equal access and minimizing wait times for recommendations.

7. Electronic Publications

The Aid to Scholarly Publications Program works with qualified Canadian scholarly publishers that adhere to the principles of editorial and peer review. Publishers seeking to publish electronic scholarly works in full open access on the internet may qualify for ASPP support if these principles are followed in the selection and publication of such works. All relevant guidelines applying to the eligibility assessment of conventional publishers (see “For Publishers”, below) also apply to publishers working in electronic media.

FOR PUBLISHERS

1. CANADIAN PUBLISHERS

Canadian resident presses that wish to be eligible for ASPP subsidies should conform to Department of Canadian Heritage guidelines - that is to say, the company headquarters and at least 50% of employees must be maintained in Canada. This would include editorial, promotion, warehousing, and order-fulfilment facilities. The Department of Canadian Heritage regulations require an eligible Canadian publisher to have "manufactured in Canada a minimum of 75% of all [its] Canadian-authored titles."

A Canadian publisher that wishes to be eligible for ASPP grants must be owned and controlled by Canadians. The percentage of Canadian ownership and control must be 75% or greater at the time of application to the ASPP. As well, the firm must provide a set of financial statements showing a 12-month period which reflects the 75% ownership and control requirement.

Book publishing must be a primary, rather than a peripheral or occasional activity. Publishers should also be eligible for Canada Council and / or Department of Canadian Heritage grant programmes.

The publisher must have in print at least four scholarly titles that meet ASPP eligibility criteria, and be committed to a sustained book-publishing programme in the humanities and / or social sciences. Books must be printed, not photocopied, on paper which meets the minimum requirements of the American National Standard for Information Sciences - Permanence of Paper for Printed Library Materials.

Eligible publishers must oversee and ensure the carrying out of editorial changes and revisions which may be required by the Aid to Scholarly Publications (ASP) Committee. Publishers must also assume full responsibility for book design, press preparation, and production. **These matters are relevant to grant applications because the ASPP funding formula is designed for presses which assume editorial, copy editing, and design costs.** The ASPP may ask for the names of directors, editors, and members of editorial boards in order to be assured that the house is capable of ensuring the editorial quality and production values of books eligible for ASPP subsidies. The ASPP may also ask for books from the publisher's list to verify production standards.

Publishers which *require* authors to pay for or to make a financial contribution toward publication costs are not eligible for ASPP subsidies.

ASPP subsidies are not available for books written or edited by owners or employees of the company originating publication, unless the greater part of the company's program each year consists of works by authors who have no corporate connection with the publishing house.

The ASPP funding formula is intended to contribute to per-title promotion costs. Canadian publishers benefiting from ASPP grants must give satisfactory assurances of promotion and distribution for adequate dissemination of ASPP-supported books. Such information, including per-title promotional plans / budgets and information on the publisher's distributors in Canada and abroad, may be required to determine if a Canadian press operates with regard to promotion, distribution, and order fulfilment in a manner satisfactory to the ASPP.

If you are a scholarly publisher who wishes to work with the ASPP, please contact the secretariat at secaspp@fedcan.ca or (613) 238-6112 ext. 352.

2. NON-CANADIAN PUBLISHERS

A non-Canadian publisher wishing to become eligible to work with the ASPP must submit a formal request to do so. In order to be eligible, the publishing house must conform to the same eligibility criteria as Canadian publishing houses as outlined above, with the exception of the reference to Canadian ownership, etc. The formal request must include:

- A cover letter indicating the publisher’s interest in qualifying to work with the ASPP;
- A list of the members of the publisher’s editorial board;
- Financial statements for the previous twelve months;
- The publisher’s most recent catalogue.

Upon receipt of the request, the Management Board of the ASPP will make a decision concerning the eligibility of the non-Canadian publishing house.

A subsidy may be paid to a non-Canadian publisher under the following circumstances:

<p>The non-Canadian publishing house:</p> <ul style="list-style-type: none"> • Will have been declared eligible by the Management Board; • Will have expressed interest, in writing, in the work in question.* 	<p>The author, after consultation with ASPP staff:</p> <ul style="list-style-type: none"> • Will have approached at least three Canadian scholarly publishers eligible to work with the ASPP and will be able to demonstrate, through letters from those publishers, that they will not or cannot publish the work in question.
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*NB: An expression of interest is not a contract. We strongly recommend that authors seeking ASPP support not sign any contract with a non-Canadian publisher before the publisher is approved by the Program’s Management Board.

PROCEDURE

Submitting a manuscript to the ASPP

NB: New scholars who have not previously published book-length scholarly works are free to submit their works directly to the ASPP, but may first wish to consult with a publisher eligible to work with the ASPP. An experienced editor can help ensure that a manuscript is ready for peer review, and will submit appropriate works on an author's behalf. For a list of eligible scholarly publishers, see <http://fedcan.ca/english/aspp/authors/list/>

As the process of assessing scholarly manuscripts is necessarily lengthy, we encourage authors to communicate as soon as possible with the ASPP secretariat if they intend to submit a manuscript for consideration. Authors should be aware that they do not have to contact a publisher before making an application for their work; they may submit their manuscripts directly to the ASPP.

Applicants should provide **one single-sided copy** of a completed application form and **one single-sided copy** of the preliminary material of the manuscript:

- table of contents
- acknowledgements (if applicable)
- preface
- introduction or other substantial excerpt
- conclusion
- bibliography
- Endnotes for the submitted excerpt provided must also accompany each copy of the application form and preliminary documents.

In the case of a manuscript derived from a thesis, the author must provide a **detailed** description of the revisions made to his / her original thesis which allowed its transformation into a book.

In the case of collective works, the editor should enclose with his / her application a list of all contributors, **specifying their academic affiliation and citizenship**. The editor must also demonstrate the existence of apparent connections between the various chapters of this collective work. **The ASPP reserves the right to return incomplete application forms to the applicant.**

On the basis of the information provided with the application, the ASPP secretariat may make a preliminary decision about the eligibility of the manuscript. The Aid to Scholarly Publications (ASP) Committee will identify potential readers to evaluate the manuscripts.

Because revisions are frequently suggested, and because it may be difficult and expensive to effect changes once type has been composed, manuscripts should **not** be typeset or photo composed before the ASP Committee has announced its decision and readers' reports and other comments have been considered by the author and publisher. **If a publisher and / or author contravenes this rule, all consideration of the application will cease immediately.**

In fairness to assessors, the ASPP insists that only clean and easily-readable manuscripts be submitted for evaluation. Manuscripts that are not properly paginated, that have pages missing, or that are hard to read because of poor copying or heavy revisions will automatically be returned to the applicant. Please note that handwritten manuscripts are not accepted for consideration by the ASPP.

All initial revisions contemplated by the author should be made before the manuscript is submitted. The application will not be processed until the required number of copies of the FINAL and COMPLETE manuscript have been received. (If an author is working with a publisher eligible to work with the ASPP, the publisher will usually submit on the author's behalf.)

The ASPP receives manuscripts on the understanding (as is customary) that it is not responsible for their accidental loss or damage from fire or any other cause while in the Program's charge or in the course of transmission, though every possible care is taken of all manuscripts, illustrations, photographs, maps and any other documentation submitted. Authors should never send the original of a manuscript, but submit copies. As a general rule, manuscripts will be destroyed once the ASPP process is complete.

Peer Review Process

Once the ASPP accepts a manuscript for consideration, it will be evaluated by at least two specialists in the field(s) who will provide assessments of the work's scholarship. Assessors may be chosen from within Canada or from abroad. It is sometimes necessary to obtain more than two assessments on a manuscript before a final decision can be reached, and **in these cases the period of assessment is extended.** Once received, readers' reports are forwarded to the applicant for comments. Authors' comments should be forwarded to the ASPP secretariat within four weeks of the receipt of the reports, if possible. If an author is unable to accept all of the readers' suggestions, the author should explain fully the reasons in his / her response to the reports. In all cases where further reports are obtained, the author has the right to reply to them. Please note that a file is rendered dormant after six months with no activity (for instance, if an author declines to reply to reports within that time); it may be reactivated with further activity. A file that sees no activity for one year will be closed, and may **not** be re-opened.

Recommendations of the ASP Committee

Manuscripts submitted to the ASPP compete for the Program's funds, which are limited. The Aid to Scholarly Publications (ASP) Committee, which is composed of scholars representative of

the major areas of study in the humanities and social sciences, examines the readers' reports and the author's reply to the reports, as well as the preliminary materials for the manuscript, and then decides upon one of the following courses of action:

1. To recommend prioritizing support of the publication (with or without conditions or suggestions);
2. To recommend support of the publication only if Program funds allow ("low priority" - to be decided by adjudication);
3. To invite resubmission after appropriate revision;
4. To refuse assistance (in which case the manuscript may **not** be resubmitted, in its original or a revised form);
5. To defer a decision until further reports or evidence are available.

It is important for authors to know that positive readers' reports are **not** a guarantee of subvention. Manuscripts that are approved may be prioritized based on reviewers' and ASP Committee members' recommendations. In a fiscal year when the number of manuscripts approved for subvention is greater than the available allotment of grants, lower-priority manuscripts will only be subventioned if funds permit, and must await the judgment of the Adjudication Committee, which meets periodically throughout the year. The Management Board of the ASPP makes all final decisions on the payment of subventions, based on availability of funds.

Resubmission of a Manuscript

Where extensive revisions are required, the ASP Committee frequently invites revision and resubmission. The author will then be allowed a period of up to **two years** in which to revise and resubmit the manuscript. When a manuscript is resubmitted, it must be accompanied by a detailed list of the revisions made by the author on the basis of the first assessors' reports and / or the ASP Committee's decision. In such cases the revised version of the manuscript will be sent to one or more of the original assessors, if possible and appropriate, and, if necessary, to other persons as specified by the ASP Committee. **Authors should be aware that revision and resubmission of a manuscript does not guarantee a subvention for that manuscript.** This invitation will be extended only once; a resubmitted manuscript that is rejected by the ASP Committee cannot be resubmitted again.

Withdrawn Applications

If the author withdraws his / her manuscript at any time **after** the work has been reviewed, **the manuscript in question cannot be submitted a second time, whether the manuscript is in the**

original or in a revised state; however, an author whose manuscript is withdrawn by a publisher has the right to continue the application in his / her own name.

Adjudication

The ASPP Management Board has the mandate to review files judged by the ASP Committee to be low priority. The Board, guided by the availability of funds, may approve or reject the manuscript, or may return it to the author for revision and resubmission.

PUBLISHING THE MANUSCRIPT AND APPLYING FOR THE GRANT

Once an eligible Canadian publisher has submitted a completed financial form, the ASPP Management Board will approve a \$8,000 grant after studying the publisher's application (accompanied by promotion, typesetting, printing, and binding invoices and any other relevant information). The funds approved are paid to the publisher when the financial form, along with a copy of the published volume **bearing the appropriate acknowledgement**, have been received by the ASPP secretariat.

All grants approved by the ASPP Management Board will be in Canadian dollars.

Where the manuscript remains unpublished three (3) years after the approval of a grant in principle, **the grant will lapse and no further application for the grant will be considered. It is the author's responsibility to see that the grant is claimed within the prescribed time period. The ASPP assumes no responsibility for lapsed grants.**

Under certain circumstances, for instance serious illness on the part of an author, an extension to the claim period of not more than six months may be granted. The author or editor must let Program staff know of the need for this extension as early as possible. Only one extension will be granted.