

UFZ-Regulation | IR-47/12 | 10.01.2022

Publication Guidelines of the Helmholtz Centre for Environmental Research – UFZ

Please note: This is a translation of the German version of the above-mentioned regulation and is intended solely as a convenience to the non-German-reading employees. Any deviations from the original German regulation are not binding and have no legal effect for compliance or enforcement purposes.

	Enforced by	
	Executive Management	
	Prof. Dr. Georg Teutsch	Dr. Sabine König
Executive Management meeting	Executive Management meeting no. 363, resolution no. 3.2	
Date	24.03.2022	

Document history

Date	Version	
01.01.2007	1	Entry into force of the version of 18.12.2006
24.03.2022	2	Resolution on the entry into force of the version of 10.01.2022

Content:

1	Scope of the Publication Guidelines	1
2	UFZ affiliation	1
3	Good Scientific Practice	2
4	Central registration in the UFZ publication database.....	2
5	Open Access	3
6	Academic identity management.....	4
7	Entry into force.....	4

1 Scope of the Publication Guidelines

- a) This internal regulation defines in a binding manner:
 - the organizational assignment of text publications (hereinafter "publication(s)"),
 - matters in the preliminary stages of submitting a publication, as well as
 - their documentation and evaluation within the Helmholtz Centre for Environmental Research GmbH - UFZ (hereinafter: UFZ).
- b) It applies to all employees of the UFZ as well as to guests whose publications were created during their stay at the UFZ (hereinafter referred to as "authors").
- c) The aim is to ensure that publications by UFZ authors can be clearly attributed to the UFZ. This ensures that the publications of UFZ authors are correctly and completely recorded in institutional and personalized performance comparisons (*rankings*), external reporting obligations, and internal monitoring in connection with key performance indicators.

2 UFZ affiliation

- a) The UFZ has established a binding, standardized affiliation designation in German and English. This official designation is to be used by all authors of the UFZ in the entire publication process, as well as wherever the research institution is to be named (e.g. congress, symposia, presentations, research proposals, etc.).
- b) The official UFZ affiliation is:
 - „Helmholtz-Zentrum für Umweltforschung – UFZ“ or
 - „Helmholtz Centre for Environmental Research – UFZ“.

Other designations must be avoided.

Example:

Own name¹

¹*Helmholtz Centre for Environmental Research – UFZ, Department XXX, Permoserstrasse 15, 04318 Leipzig, Germany*

Eigener Name¹

¹*Helmholtz-Zentrum für Umweltforschung – UFZ, Department XXX, Theodor-Lieser-Straße 4, 06120 Halle, Deutschland*

- c) It is obligatory to state the department to which the authors belong. If the author belongs to more than one UFZ department, all departments must be stated. The correct designation of the departments can be found in the current version of the UFZ organisation chart. If an author changes department, he or she must inform the library in which department the primary research work was carried out and to which department the publication is to be assigned accordingly.
- d) Some authors belong to other institutions in addition to the UFZ. If there is more than one permanent affiliation, for example through a joint appointment or cross-institutional programmes, all corresponding institutions must be listed. If the research and publication work was primarily funded by the UFZ the publication should first be attributed to the UFZ.

The procedure is as follows:

Example:

- *Own name^{1,2}*

¹*Helmholtz Centre for Environmental Research – UFZ, Department XXX, Brueckstrasse 3a, 39114 Magdeburg, Germany*

²*Martin-Luther-Universität Halle-Wittenberg, Universitätsplatz 10, 06108 Halle, Germany*

OR:

²DBFZ Deutsches Biomasseforschungszentrum gemeinnützige GmbH, Torgauer Str. 116, 04347 Leipzig, Germany

OR

²German Centre for Integrative Biodiversity Research (iDiv) Halle-Jena-Leipzig, Deutscher Platz 5e, 04103 Leipzig, Germany

This also applies to guests of the UFZ; a mere mention of the UFZ in the "Acknowledgements" is not sufficient.

- e) In the event of a change of institution during the research and publication process, the institution at which the research was primarily carried out must always be listed. If relevant parts of the research and publication work were carried out at several institutions, all institutions must be listed.

3 Good Scientific Practice

The authorship of publications with UFZ affiliation must comply with the rules of "Good Scientific Practice" of the German Research Foundation (DFG). The Internal Regulations "Rules for Ensuring Good Scientific Practice at the Helmholtz Centre for Environmental Research - UFZ", in its currently valid version, shall apply.

4 Central registration in the UFZ publication database

- a) The publication database is a central component for fulfilling the internal and external reporting obligations of the UFZ. All UFZ publications are recorded centrally by the library for all departments and other organizational units in the UFZ Institutional Repository (document server).
- b) In order to meet the requirements of internal and external reporting (correct assignment of the publication), the publication must be sent to publikationen@ufz.de, indicating the affiliation with Program-oriented Funding (PoF).
- c) The following data on UFZ publications and their authors, among others, is recorded in the UFZ Institutional Repository:
- Bibliographic data,
 - Information on academic identity management (see section 6),
 - Affiliation to Program-oriented Funding (PoF): assignment to one or more Topics of the PoF-IV Program "Changing Earth" of the Research Field Earth and Environment" as well as to one or more UFZ Integration Platforms is mandatory; assignment to one or more Cross-Cutting Activities of the PoF-IV Program "Changing Earth" of the Research Field Earth and Environment" is optional,
 - Department and research unit affiliation,
 - General bibliometric indicators, e.g. impact factor of the journal in which published; number of citations of the publication,
 - Links to different versions of the publication document or the publication itself,
 - Further organizational assignments, if applicable.
- d) The following publication types are recorded in the UFZ publication database:
- Journal articles (published, in press),
 - edited journal special issues,
 - books, book chapters, edited books,
 - Qualifying theses (dissertations, post-doctoral theses),
 - Reports, report articles, edited reports,
 - Conference proceedings and refereed conference papers (if deemed professionally significant by the professional community).

- Preprints,
 - Links to the associated data publication (see the Internal Regulation "Principles for the Responsible Use of Research Data at the Helmholtz Centre for Environmental Research GmbH - UFZ"),
 - Data publications in data-only journals.
- e) The following are not recorded:
- Patents,
 - Posters,
 - Abstracts,
 - Lecture notes,
 - Blog posts,
 - Articles with status "submitted" and "in review".
- f) The year of publication is the year indicated on the final publication.

5 Open Access

- a) With reference to the Helmholtz Association's Open Access Guideline, as of 2016 (<http://os.helmholtz.de/?id=802>), all authors are encouraged to publish in open access journals or to publish their article open access.
- b) In order to implement the Helmholtz Association's Open Access policy, the UFZ provides a document server (Institutional Repository) for the deposit of and free access (subject to embargo periods, if applicable) to the full texts of publications by UFZ authors.
- c) Authors must ensure that
- the peer-reviewed and accepted manuscript ("final draft/postprint") or the preprint version (if available) or - after publication - an electronic copy of the publisher's version is recorded in the UFZ Institutional Repository as early as possible, but no later than the expiry of the relevant embargo period.
 - the bibliographic data allows identification of the publication recorded in the Institutional Repository and its citability.
 - the research data on which the publication is based are deposited in an accessible and reusable form.
 - publications (publisher and non-publisher publications) are made available on the UFZ Institutional Repository Open Access under the Creative Commons Attribution (CC BY) licence whenever possible.
- d) When submitting a publication, each author of the UFZ must ensure that the UFZ retains the right to make the publication freely accessible in the UFZ Institutional Repository. If there is no stipulation on self-archiving in the author contract, the following clause should be included in the author contract:

"The Helmholtz Centre for Environmental Research – UFZ is entitled to freely make the preprint/ postprint/ "final proof"/ "final draft" (NOT the publication in the publisher's layout) available to the public via the Internet or in any other form after publication of the article, subject to compliance with the relevant embargo period."

- e) Each author must check for him/herself whether the publisher agrees to immediate archiving in the UFZ Institutional Repository. The library will provide assistance in this regard.

If the publisher does not agree to self-archiving, the full text may be published in the UFZ Institutional Repository (i.e. secondary publication), depending on the individual case:

- only after expiry of an embargo period specified by the publisher or
- only after 12 months have elapsed since the first publication, provided the relevant conditions are met and the right of secondary publication has been exercised in accordance with § 38 (4) Copyright Act (Urheberrechtsgesetz, UrhG) (applies only to publishers based in Germany) or
- not at all.

Non-compliance may result in claims for damages or contractual penalties (depending on the individual case).

- f) *Final drafts* are to be checked by the authors for consistency of content with the publisher's version of the publication.
- g) The reference to the original source is done by the library.

6 Academic identity management

A unique author identification should be guaranteed, for clear and permanent personal identification, for the proof of one's own publications and to increase the visibility of one's own research results. The UFZ recommends setting up ORCID (Open Researcher and Contributor ID) as a publisher-independent platform for creating a personal identification number. This ID is to be reported to the library.

7 Entry into force

The Publication Guidelines in the version of 10.01.2022 shall enter into force upon resolution of the Executive Management at its meeting on 24.03.2022 and shall replace the Publication Guidelines of 18.12.2006.