

## Publication Guideline of Heinrich Heine University Düsseldorf

*Convenience translation, only the German version is legally binding.*

### Preamble

The Publication Guideline of Heinrich Heine University Düsseldorf specifies the uniform naming of the University in affiliation information and makes recommendations aimed at ensuring the clear identifiability of the copyright holders of publications.

### Art. 1 Material scope

In the meaning of this Guideline, publications are all primary and secondary publications relating to a research activity at the University. Among other things, they include publications in journals, collected editions, conference and congress reports, monographs, working papers, pre-prints and postprints, publications in repositories, patent specifications, software, data publications, audio-visual media and social media content.

The affiliation information stipulated in this Guideline should also be used in all instances where the research facility must be named, for example in funding applications, congresses, symposia, presentations and patents, as well as in personal profiles, for example in databases such as Web of Science or Scopus, ORCID, Google Scholar Profile or ResearchGate.

### Art. 2 Personal scope

This Publication Guideline applies throughout Heinrich Heine University Düsseldorf, including University Hospital Düsseldorf.

It is binding on all full and affiliate members pursuant to Art. 9 of the Higher Education Act of North Rhine-Westphalia (Hochschulgesetz NRW – HSG NRW) as amended.

The Guideline thus addresses all employees, PhD and other students, Emeriti and all academics conducting and publishing research within the framework of a research stay at the University. Insofar as publications and other written documents are directly related to their activities at Heinrich Heine University Düsseldorf, this Guideline shall also apply for honorary and endowment professors, temporary lecturers, private lecturers and scholarship holders.

After leaving Heinrich Heine University Düsseldorf, former full and affiliate members may only state University affiliation by mutual agreement. The last faculty to which the individual belonged before leaving shall take this decision. Stating Heinrich Heine University is mandatory when the majority of the research work on which the publication is based was performed at the University.

## Art. 3 Statement of affiliation and identification management

### 1.1 NAME OF THE UNIVERSITY

In accordance with this Guideline, stating the affiliation of the copyright holders to Heinrich Heine University Düsseldorf in publications is mandatory. The affiliation may be stated in German or English.

The official name of the University is:

Heinrich-Heine-Universität Düsseldorf  
or  
Heinrich Heine University Düsseldorf

Where the number of characters is restricted, the following short form may be used: HHU Düsseldorf

Other acronyms or abbreviations (including just HHU) are not permitted, as they are poorly searchable and cannot easily be attributed to the University without further information in foreign language contexts.

### 1.2 FURTHER INFORMATION ON INSTITUTIONAL AFFILIATION

The official names of the individual faculties and University Hospital are as follows:

Juristische Fakultät  
Faculty of Law

Mathematisch-Naturwissenschaftliche Fakultät  
Faculty of Mathematics and Natural Sciences

Medizinische Fakultät und Universitätsklinikum Düsseldorf  
Medical Faculty and University Hospital Düsseldorf

Philosophische Fakultät  
Faculty of Arts and Humanities

Wirtschaftswissenschaftliche Fakultät  
Faculty of Business Administration and Economics

The affiliation information should appear in the following order as far as possible; in general, the order should match the specifications of the publishing entity:

University – faculty – further organisational unit (e.g. institute) where applicable

University and faculty are mandatory, while any further organisational unit is optional.

Additional address information such as floor or room numbers should not be stated in the affiliation.

**The following regulation applies for the Medical Faculty by way of exception:**

The affiliation information should appear in the following order as far as possible; in general, the order should match the specifications of the publishing entity:

Organisational unit (e.g. Institute, Department) – Medical Faculty and University Hospital Düsseldorf – University

In addition to stating the Medical Faculty of Heinrich Heine University Düsseldorf and University Hospital Düsseldorf, stating the facility at the Medical Faculty/University Hospital Düsseldorf is also mandatory. The name should always be written in the same way as the official, full name of the corresponding facility.

If it is not possible to state both the Medical Faculty and University Hospital, one may be dispensed with.

### 1.3 MULTIPLE/DOUBLE AFFILIATIONS

In the case of long-term, multiple affiliations arising from e.g. a joint appointment or PhD programmes involving multiple institutions, all facilities must be named in publications and persistent identifiers unless the research results can be proven to have been achieved at just one institution.

In the case of multiple affiliations, the facility at which the majority of the research work was conducted should be stated first. This also applies in the event of a change in affiliation or temporary affiliation to another institution (for example due to a research stay). All further affiliations should then be listed.

PhD students at Heinrich Heine University Düsseldorf should always state Heinrich Heine University as the first affiliation.

In the case of temporary lecturers and scholarship holders, the host institution should also be named, insofar as the publication is directly connected with the activity at this institution.

In the case of a temporary affiliation with a further institution in addition to the home institution(s), this institution may be stated as a further affiliation, insofar as a substantial amount of the research work was performed there. This applies e.g. for longer but still limited-term research stays at a host institution. Visiting researchers should state Heinrich Heine University as an affiliation when research work relevant to the publication was performed there. Simply mentioning the University in the acknowledgements is not sufficient.

### 1.4 EXAMPLE

Musterperson, Manu Heinrich-Heine-Universität Düsseldorf, Philosophische Fakultät, ggf. Institut.

Sampleperson, Manu Heinrich Heine University Düsseldorf, Faculty of Arts and Humanities, Institute where applicable.

### Example for the Medical Faculty

Musterperson, Manu Institut/Klinik XY, Medizinische Fakultät und Universitätsklinikum Düsseldorf, Heinrich-Heine-Universität Düsseldorf, Deutschland

Sampleperson, Manu Institute/Department XY, Medical Faculty and University Hospital Düsseldorf, Heinrich Heine University Düsseldorf, Germany

## 2. NAMES OF AUTHORS, USE OF IDENTIFIERS, HANDLING SPECIAL CHARACTERS

To ensure that publications and other research work are fully and correctly attributable to researchers, the researchers must be clearly identifiable as individuals. It is therefore explicitly recommended that individuals specify a definitive way to write their own name.

Heinrich Heine University strongly recommends that individuals register free of charge with ORCID to ensure unique identification and state their personal ORCID iD wherever possible.

Umlauts and special characters do not usually present any problems. However, in the event that umlauts need to be replaced due to e.g. technical conditions, the corresponding single letters (ä = a, ö = o, ü = u) should be used. Double letters (ae, oe, ue) should generally be avoided. The special character ß may be replaced by ss.

## 3. FUNDING ACKNOWLEDGEMENTS

Funding received in connection with any research or publication should be acknowledged in accordance with the specifications of the funding institution. This also applies for funding provided by the University or faculties.

In particular in the case of publications arising within the framework of third-party funded projects, the funding acknowledgements should comply with the specifications of the individual funding providers. In addition to stating the funding organisation, the grant number should also be stated as far as possible.

## 4. HEINRICH HEINE UNIVERSITY IDENTIFIERS

Clear identifiers facilitate the formal recording and dissemination of information. So, wherever possible, please state one of the following identifiers as supplementary information; in cases of doubt, the ROR (Research Organization Registry) identifier should take precedence.

ROR:	<a href="https://ror.org/024z2rq82">ror.org/024z2rq82</a>
University Hospital Düsseldorf ROR:	<a href="https://ror.org/006k2kk72">ror.org/006k2kk72</a>
ISNI:	0000000121769917
Ringgold:	9170
ETER-ID:	DE0074
DFG GERiD-ID:	10266

## Entry into force

This Guideline shall enter into force on the day after it is published. On entry into force, this Guideline shall replace the Publication Guideline of the Medical Faculty of 1 February 2021, which shall then expire.

Issued on the basis of a Rectorate resolution of 28 September 2023.

Düsseldorf, 9 November 2023

The President

Heinrich Heine University  
Düsseldorf

Anja Steinbeck  
(Univ.-Prof Dr iur.)

The Publication Guideline was published in the Official Bulletin of HHU as no. 34 | 2023 on 9 November 2023.