Publication guidelines of Aalen University

1. Preamble

High-quality teaching and research are central profile elements of Aalen University, which is positioned among the leading universities of applied sciences in Germany in the field of application-oriented research. The research activities are currently bundled in five focal points, which are set up in a future-oriented manner and are being strategically developed further.

Scientific publications[1] are considered an important indicator of scientific output. They are often used to measure and evaluate the performance of scientific institutions and their employees. Publications are also often the basis for institutional performance comparisons. In order to ensure high visibility of the research results of university members, it is essential that a publication is clearly, correctly and completely attributed to the author and Aalen University. Numerous funding bodies also require publications to clearly attribute authors and institutions and to indicate support from the respective funding body. As of today, the publications reported by professors and employees as part of Aalen University's annual research report do not always allow for clear attribution.

These publication guidelines are aimed at all members and affiliates of the university, but in particular at students, academic staff and full-time professors as well as persons who use the university's resources and wish to publish the resulting research findings (e.g. honorary professors, visiting academics, scholarship holders, external doctoral candidates and external students). The aim of the guidelines is to provide assistance in clearly naming the university and clearly identifying its authors.

2. Uniform designation of Aalen University

Aalen University has defined a binding affiliation designation in German and English. This official designation must be stated in all publications and used wherever members of Aalen University name their research institution, e.g. at congresses and symposia, at lectures and on posters, also in research proposals or when naming themselves as reviewers.

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[1] Scientific articles and other contributions, e.g. in monographs, specialist journals, specialist repositories, data and software repositories

The German designation is:

> Hochschule Aalen – Technik, Wirtschaft und Gesundheit
> Short form: Hochschule Aalen

The English designation is:

> Aalen University of Applied Sciences
> Short form: Aalen University

Supplementary information

The indication of the faculty, an institute or another superordinate unit of Aalen University is optional. They follow the name of the university. When using other designations of institutional affiliation, official names and terms from the faculties, institutes or, if applicable, the working group are to be used. The respective institutes or working groups are requested to provide their members with a uniform designation.

Unfortunately, only one affiliation can be specified for some publications. Aalen University should be mentioned here. The affiliation in the proofs of publications etc., should also be checked again to avoid errors.

Multiple institutional affiliations or change of affiliation

In addition to Aalen University, some researchers belong permanently or temporarily to another university or research institution or change institutions during their research activities.

If there is (permanently) more than one affiliation, e.g. through additional employment relationships, all affiliations must be listed in full if relevant research work was carried out at these institutions. The first affiliation is the institution at which the majority of the research was carried out. If the research work was only carried out at one institution, only this institution should be listed. Please also note the publication guidelines of other institutions.

If results from a previous employment relationship are published after a transfer to Aalen University and a contribution is then made to the publication at Aalen University, e.g. to the evaluation of the results or to the preparation of the manuscript, Aalen University must also be named as an institution or in the author profiles.

Two affiliations can be specified as follows, for example:

Example 1:

> **Own Name[1,2]**
>
> **[1] Hochschule Aalen – Technik, Wirtschaft und Gesundheit**
>
> **[2] Universität Stuttgart**

> **Own Name[1,2]**
>
> **[1] Aalen University of Applied Sciences**
>
> **[2] University of Stuttgart**

Example 2:

> **Own Name[1,2]**
>
> **[1] Aalen University of Applied Sciences**
>
> **Laser Application Center**
> **Beethovenstraße 1**
> **73430 Aalen**
> **Germany**
>
> **[2] Glasgow Caledonian University**
> **School of Computing, Engineering and Built Environment**
> **Cowcaddens Rd**
> **Glasgow G4 0BA**
> **UK**

These recommendations also apply to visiting academics at Aalen University, as one contribution to the publication originates from a guest stay at Aalen University.

3. Academic identity management

Identity management services (e.g. ORCID) and author profiles in bibliographic databases (e.g. Scopus AuthorID, Publons in Web of Science or Google Scholar Citations) help to ensure that publications can be clearly assigned to authors and that their publication achievements are, therefore, more visible. Many literature databases and citation services do not record publications or only record them incompletely if the authors do not have their own author profile or do not maintain an (automatically) created profile. More and more funding programs such as Horizon Europe, and also, for example, the MWK funding program, make it possible to link to individual profiles with publication lists such as in ORCID and thus make it possible to present one's own complete publication output without additional effort.

Author identifiers

In order to ensure that publications can be clearly attributed to the authors, care must be taken to ensure that names are spelled consistently. This applies in particular to umlauts, double names, the use of several first names and name changes.

In addition, the university expressly recommends the use of the Open Researcher and Contributor ID ORCID to ensure that authors are linked to their publications, research data or other products of the research process. As a persistent identifier, it enables authors to be clearly distinguished and, compared to the AuthorID (Scopus) and Researcher ID (Web of Science), has the advantage that it is cross-system and can be synchronized with other identifiers. It should be stored when publications are published if the respective publisher offers this. Further information on academic identity management can be found in the appendix of the Publication Guidelines.

Unique institution identification of Aalen University

In addition to the use of a standardized author identification number, Aalen University also recommends the use of (alpha) numeric identifiers for name-independent identification of the university - if these are offered by the publisher when submitting a publication. The following IDs have been assigned to Aalen University so far:

GRID-ID:	grid.440920.b
ROR:	https://ror.org/04gg60e72
ISNI:	0000 0000 9720 0711
Ringgold ID:	120294
German Research Institutions GERiT/DFG:	10072

Abbreviations: GRID: Global Research Identifier Database, ROR: Research Organization Registry, ISNI: International Standard Name Identifier, Ringgold: Permanent numeric identifier for scientific organizations

4. Information on research funding ("Funding Acknowledgements")

Third-party funders such as the BMBF, DFG or foundations usually require a reference to their funding, e.g. in publications, on posters, on websites or in public relations activities ("Funding Acknowledgement"). The publishers' input masks usually contain standardized fields such as "Funding Acknowledgements" or similar.

Many funding bodies also provide logos of the funding body and/or the funding program, which must be used in accordance with their specifications.

Some funding bodies also require prior approval of the respective contribution before their logo can be used or the funding body named.

Examples of requirements from funding bodies:

- DFG: „Gefördert durch die Deutsche Forschungsgemeinschaft (DFG) – Projektnummer(n)". In foreign-language publications, a translation of the DFG into the target language should be added, e.g. in English: „Funded by the Deutsche Forschungsgemeinschaft (DFG, German Research Foundation) – Project number(s)". The nine-digit project number can be found in the letter of approval or in the DFG's GEPRIS portal at: gepris.dfg.de. If a publication refers to several projects, the numbers must be separated by semicolons.

- BMBF: „Gefördert vom Bundesministerium für Bildung und Forschung (BMBF) mit dem Förderkennzeichen XY (Kurztitel/Akronym) ". The English translation is: „Sponsored by the Federal Ministry of Education and Research (BMBF) under Grant No. XY (Short title/Acronym)". Funding codes can be found in the funding notice or can also be researched, for example, in the federal government's funding catalog at: https://foerderportal.bund.de/foekat.

- Funding from the publication fund of Aalen University: „Publikation gefördert durch die Hochschule Aalen" or rather "Publication funded by Aalen University of Applied Sciences".

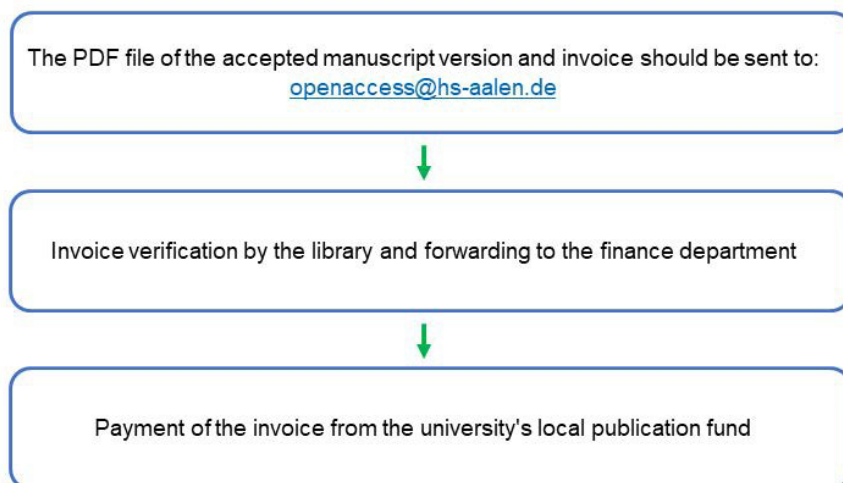## 5. Open Access publication funding at Aalen University

The university supports academic open access publications through a publication fund, which currently receives its own funding and DFG funding from the "Open Access Publication Costs" project (project number: 512645013). The open access publication fund is managed jointly by the library and the Research & Transfer department.

Researchers can apply for support here by sending a short application to the email address openaccess@hs-aalen.de. It is recommended that you contact the library as early as possible and make use of the Research Academy's advisory services in order to make the best possible use of the various funding opportunities. The process for applying for publication funding and for invoicing publication costs is described below:

A. Applying for publication funding
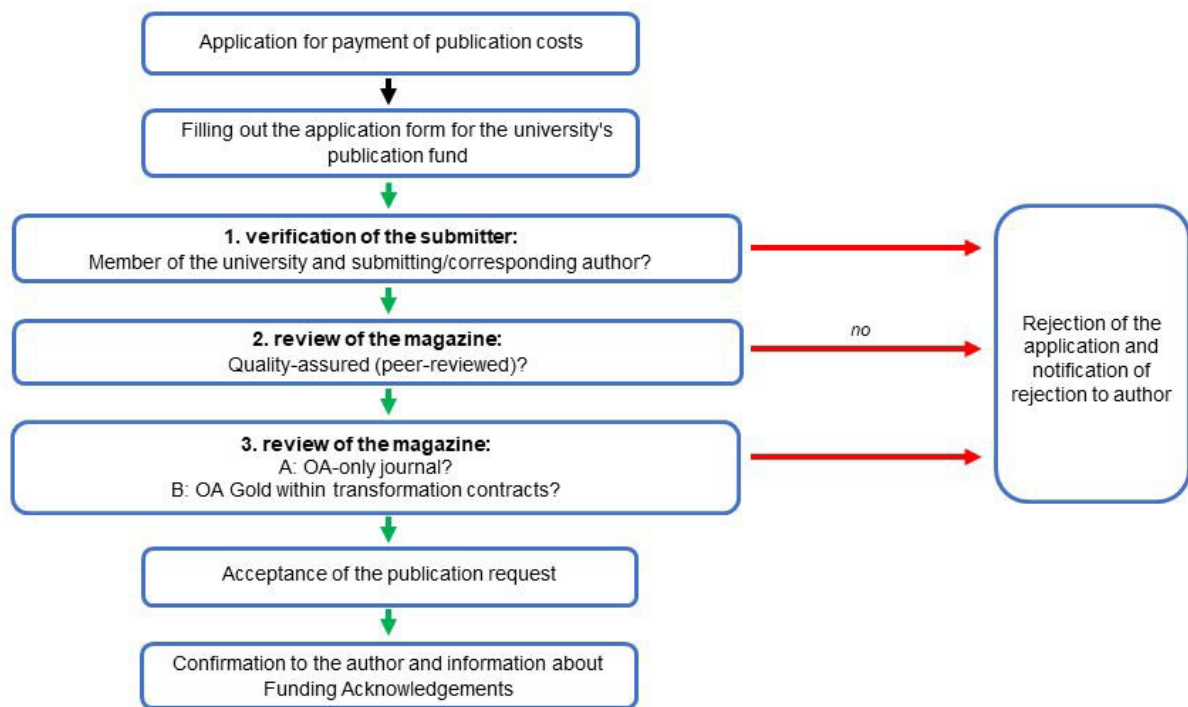
B. Settling publication cost

Funding criteria of the local publication fund of Aalen University:

- A member of the university is the "submitting author" or "corresponding author".

- Only articles in original open access journals that meet recognized, strict quality assurance procedures in the respective subject can be funded. The Directory of Open Access Journals (https://doaj.org), for example, provides an overview of such journals.

- For publication fees up to 2,000 euros (incl. VAT), the library generally pays the invoice in full. Publications costing over 2,000 euros will also be funded after consultation.

- Publishers based abroad generally state the publication fees without VAT. In the case of foreign currencies, 19 percent VAT must, therefore, be added to the amount converted into EUR.

- Additional costs, e.g. for a faster review, excess length or internal journal editing, etc., will not be covered.

- If funds have already been approved for publishing as part of third-party funded projects or other funds, these should be used as a priority.

- Aalen University also supports Open Access publishing in "hybrid" journals, provided they are covered by so-called transformation contracts. The aim of transformation agreements is to convert subscription-based journals into Gold Open Access journals. Aalen University has concluded such transformation agreements with the following publishers:
    - ACM Digital Library
    - Elsevier DEAL
    - Sage
    - Springer DEAL
    - Taylor & Francis
    - Wiley DEAL

- Articles in other journals that are subject to subscription according to the "hybrid open access" model are not eligible for funding.

- The library settles the invoice as long as funds are available from the local publication fund for research and transfer/library in the respective financial year.

- The submitting author transfers basic rights of use to Aalen University, i.e. the publication may be made freely accessible via the university's OPUS repository upon publication or after an embargo period of max. 12 months in the version accepted by the publisher (secondary publication right). The author must check the secondary publication right in the contract.

- The publication is made under a CC license, CC-BY is recommended.

- After publication, the author(s) shall send the accepted manuscript version in PDF format together with the invoice to openaccess@hs-aalen.de.

- The funded publication will be published as full text in the OPUS repository of Aalen University.

6. Reporting publications to the university bibliography

As a central record of its publications, Aalen University Library has been compiling a university bibliography via the OPUS repository since 2018. Authors are urged to report their publications to Research and Transfer (forschung@hs-aalen.de) promptly and also as part of the annual research report, so that they can be included in the university bibliography. This workflow is currently being further developed, and additional components - e.g. the integration of ORCID - are in preparation.

7. Information and consulting

7A. The University Library will gladly advise and support you with

- setting up author profiles (e.g. ORCID iD)
- internal applications for publication funding, use of other funding programs with regard to publications and invoice processing
- the research in Scopus and Web of Science
- the publication of papers in the university bibliography (OPUS)

Contact

Ms. Ulrike Bretzger
openaccess@hs-aalen.de
+49 7361 576-1910

7B. The Research & Transfer Office and the Research Academy will gladly advise and support you with

- reporting publications for the annual research report (Research and Transfer Service Center)
- answers to questions about acquiring third-party funding for publications when submitting an application or after project completion (Research and Transfer Service Center)
- the search for a suitable (open access) journal and the quality assessment of journals (Research Academy)

Contact

Research & Transfer	Research Academy
Dr. Ralf Schreck	Ms. Andrea Bläsing
forschung@hs-aalen.de	researchacademy@hs-aalen.de
+49 7361 576-1070	+49 7361 576-1086

Appendix: Academic identity management -
Increase the visibility of your research with author profiles

Bibliometric analyses are used to quantitatively assess the scientific performance of institutions and individuals. The prerequisite for this is that publications can be clearly assigned to the respective institutions and authors. Journal-related indicators such as the Journal Impact Factor (JIF) or the Scimago Journal Rank (SJR) or person-related indicators such as the h-index are frequently used.

These metrics are based on data sources (e.g. databases such as Scopus, Web of Science, Google Scholar) in which scientific articles are assigned to the respective authors. Publications and citations are recognized via persistent identifiers (PIDs), such as the digital object identifier (DOI), which is assigned by journals/publishers.

Challenges for the correct attribution of publications to authors are, for example, name changes, identical names, different spellings and abbreviations. So-called author identification numbers are, therefore, available to uniquely identify authors and clearly assign scientific contributions to them. These can be used to create and maintain individual author profiles in databases. Some publishers and journals now require author identification numbers in order to be able to submit manuscripts at all.

Researchers at Aalen University are recommended to create author identification numbers and maintain their author profiles. The following profile services can be used for this purpose:

1. ORCID iD

The ORCID iD is a 16-digit, alphanumeric code used to identify people working in science. In 2022, around 14 million scientists worldwide used this recurrent identification number. Aalen University joined the ORCID Consortium Germany in 2023 and enables its researchers to create and link an ORCID iD to their Aalen University account.

If you do not have an ORCID iD yet, you can register at the following link: https://orcid.org/register and create an ORCID profile.

Please make sure that you have only created one ORCID account. If you have several ORCID iDs, you can merge them using the following instructions:

https://support.orcid.org/hc/en-us/articles/360006971593-Do-you-have-more-than-one-account-

To ensure that you always have access to your personal ORCID profile, add an additional (permanent, personal) e-mail address to your ORCID profile. This is because if, for example, you no longer have access to the institutional email address that was previously linked to your ORCID account due to a transfer to another institution, you will still be able to access your ORCID record. Please DO NOT create a new record. Log in at https://orcid.org/signin with your previous e-mail address or your 16-digit ORCID iD as your username. Update the e-mail address in your profile and enter another (permanent) e-mail address if necessary.

Settings and maintenance of the content in your ORCID profile:

You can use your ORCID profile to maintain and make information about your identity visible (under the "Public" setting), such as:

- Name variations: Enter different spellings of your name, name changes (e.g. after marriage), middle names, etc.

- Current affiliation: Indicate your current affiliation with Aalen University (if applicable, also secondary affiliations, see publication guidelines).

- Additional author identification numbers: Store and link others, such as Scopus Author ID, Web of Science Researcher ID, ISNI, etc.

- Personal websites: Link to your university profile page or your personal website.

- Keywords: Enter key terms that reflect your research topics.

- Biography: Maintain your scientific career ("Employments").

You can also assign your publications to your ORCID profile. To do this, you can import metadata from other databases. To do this, open "+Add works" and "Search & Link" and import your publications. You can find detailed instructions for this under: https://support.orcid.org/hc/en-us/articles/360006973133-Add-works-to-your-ORCID-record.

In addition, you can link your third-party funding to your own name and make your research activities visible ("Funding"): https://support.orcid.org/hc/en-us/articles/360006897214-Add-funding-information-to-your-ORCID-record.

2. Scopus: Scopus Author ID

Scopus is an abstract and citation database of the scientific publisher Elsevier, in which journal articles, books, conference papers and patents are recorded. Aalen University has licensed this database platform so that it is available to all members of the university.

The bibliographic data of the indexed publications are used to generate so-called CiteScore key figures (CiteScore, CiteScore rank, etc.) and the author-related h-index. The CiteScore figures calculated with data from Scopus help you to evaluate journals, book series, conference reports and specialized journals in order to make well-founded decisions for a publication medium.

Authors whose publications are indexed in Scopus receive an automatically generated author profile with a unique author ID ('Scopus Author ID'). The profile contains your name, affiliation(s), publications, citations, co-authors and other information; however, the automatically generated profile is often incomplete or incorrect.

You can view and customize the profile by creating an account with Scopus: https://www.scopus.com/

- Log in to Scopus via 'Sign in via Institution'. Select 'Hochschule Aalen' as the institution and confirm this via 'Confirm'. You will now be taken to the login via Single Sign-On (SSO). Enter your university e-mail address and click 'Sign in/Register'. Enter your first name and surname and log in.

- If you are logged in, you can maintain your profile via the 'Privacy Centre' under 'Profile' and 'Scopus Author Profile'.

- If you already have publications listed in Scopus, Scopus automatically creates a profile. Go to 'Scopus Author Profile' and click on 'Find your Scopus Author Profile'. Search for yourself using your first name and surname or, if you have an ORCID iD, using your ORCID iD. One or more profiles will be displayed. Select the profile that contains your data. To do this, click on 'Review Documents' and confirm with 'Yes, this is my profile.' → 'Continue'. Then click on 'Review request' and 'Submit request'. You will then see the word 'Connected' under 'Scopus Author Profile'. The assignment of the automatically generated profile to your account has now been successfully completed.

- Under 'View my author profile', 'Edit Profile' and 'Documents' you can search for your own publications, add them to your profile or remove publications from your profile ('Remove from Profile') if they are incorrectly assigned to you.

- New publications are usually automatically assigned to your 'Scopus Author Profile'. Errors can occur here. We therefore recommend that you check your publication list on Scopus regularly.

3. Web of Science (Clarivate): Researcher ID

Web of Science is a multidisciplinary literature database from the company Clarivate Analytics. Aalen University has licensed this database platform so that it is available to all members of the university.

The Web of Science Core Collection contains a wide range of publications from journals on the basis of which citation analyses are possible. The journals included are taken into account in the *Journal Citation Report* and have a *Journal Impact Factor*.

Clarivate offers the author identification number *Researcher ID* via the *Publons* profile service (https://publons.com). You must create this ID yourself. You can use your Researcher ID profile to assign your publications, display bibliometric key figures, enter your CV, your research concentration and reviewer and editor activities.

If your publications are listed in Web of Science:

- Go to: https://publons.com/account/login.

- If you already have a login for Web of Science, EndNote or Researcher ID, use your login data ('Sign in'); if not, register again ('Register') with your university e-mail address. You will be asked to assign a password. Assign a password other than the university account password.

- When you are logged in, you will find the link 'Create your Profile' on the left-hand side under 'Researcher Profile'. Click on it and confirm with 'Continue'. You can now see your Researcher ID.

- Under 'Manage Profile', search for your publications using your first name and surname or the title. If these are stored in Web of Science, a list will be displayed. Select your publications and add them to your profile via 'Submit'. Via '+ Add publications' you can also import from your ORCID profile, via DOI or other files (RIS, BibTex or CVS).

- You can also add or enter your peer reviews, editor records etc. under 'Manage Profile'.

- Via the 'Open dashboard' you can view the bibliometric data assigned to your profile: Number of your publications recorded in Web of Science, number of cited articles, h-index, etc.

- Under 'Profile Settings', enter your affiliation to Aalen University (for Web of Science: 'Aalen University') under 'Primary Organisation'.

- You can also link your profile to your ORCID iD under "Profile Settings" → "ORCID Syncing". Enter your ORCID iD, log in and confirm with "Authorize Access". Both author profiles are now linked.

- Your Researcher ID profile is not updated automatically. This means that you must assign your (new) publications in Web of Science to your profile.

4. Google Scholar Citations

Google Scholar is a search engine from Google LLC that can be used to search for scientific publications, among other things. To improve your own visibility as an author in Google

Scholar, you can set up a profile page with Google Scholar Citations, on which your publications are listed and, derived from this, citation metrics (e.g. h-index) are displayed.

You can choose whether you want your publication list to be updated automatically or manually. The citation metrics are then updated automatically. You can activate your profile so that it appears in the Google Scholar results when your name is searched for.

If your publications are listed in Google Scholar:

- To create a Google Scholar Citations profile, you need a Google account. Log in with your Google mail address or create a Google account.

- Go to Google Scholar and click on the "My profile" link. Follow the prompts to set up your profile. Enter your affiliation to Aalen University (see publication guidelines).

- Google Scholar will suggest a list of publications. Select all the titles you have written from this list. You can also add other publications to your profile, even if they are not listed in Google Scholar; however, these will not be taken into account for bibliometric measurements in Google Scholar.

- Select the setting "Article updates": The updates will be sent to you by e-mail for verification (otherwise, Google Scholar may automatically add incorrect publications to your profile). Check and complete your profile: for example, upload a photo and check the list of articles.

- Make sure you make your profile public if you want other people to be able to see it.

Would you like to find out more about setting up author profiles?

Contact:

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Library
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