

## Directive No. 2/2024\*

### Publications of Forschungszentrum Jülich GmbH

#### Preamble

In accordance with Section 2(6) of the [Articles of Association of Forschungszentrum Jülich GmbH \(IR 111-01\)](#), the results of scientific work should be published. This provision resulting from the purpose of the company corresponds to the right and obligation of scientists to publish their findings. Publications in the sense of this directive are scientific text publications and other scientific publications such as presentations and posters as well as research data and research software. Forschungszentrum Jülich's Regulations for Upholding Good Scientific Practice must be complied with.

Operational requirements of scientific, legal, or other nature must, however, also be observed. It is therefore in the interest of Forschungszentrum Jülich that an appropriate scientific level of quality is observed in all publications by scientific employees mentioning Jülich. Furthermore, according to the financial statute pertaining to large-scale research institutions, Forschungszentrum Jülich has the obligation to its shareholders and funding bodies to claim employee inventions eligible for patent or utility model protection, and to seek protective rights for them. It must thus ensure that this obligation is not compromised by premature publication.

Insofar as an assessment of the intended publication is necessary, employees are entitled to notification within a reasonable period of time and according to an agreed procedure.

The Central Library (ZB) provides advice on matters relating to the publication process, as can Law and Patents if required.

The directive "Publications of Forschungszentrum Jülich GmbH" is issued in agreement with the Scientific and Technical Council (WTR). The ["Regulations for Upholding Good Scientific Practice" \(IR 118-02\)](#), the circular entitled ["Handling Research Data" \(IR 120-02\)](#) with the attached ["Guidelines for Handling Research Data at Forschungszentrum Jülich"](#), and the ["Guidelines for the Development and Distribution of Software at Forschungszentrum Jülich"](#) in their currently valid versions are not affected by this internal regulation.

#### A. General remarks

##### 1. Obligation and right to publish

The scientific and technical employees of Forschungszentrum Jülich have both the right and the obligation to help ensure that the research findings of Forschungszentrum Jülich are published as the scientific work of Forschungszentrum Jülich. The authors can decide themselves on the publication outlet, taking into account the Open Access Strategy of Forschungszentrum Jülich and the Helmholtz Association. They must conclude publishing agreements in their own name. The authors should aim to grant only non-exclusive rights of use for their publications and grant licences that are as permissive as possible – in the case of open access text publications CC-BY, for data publications CC-0 or CC-BY, and for software publications licences recognized by the [Open Source Initiative](#).

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\* The English translation is for information purposes only. The German original is legally binding.

## 2. Scope of application

- 2.1 This directive applies to all publications on scientific work and institutions of Forschungszentrum Jülich in which authors are named; it is not applicable to internal reports of Forschungszentrum Jülich or to research software in application class 0 (distribution to parties outside the developer team is not intended). In the case of university theses/dissertations, the directive only applies to publications and not to submissions that are part of examination procedures.
- 2.2 The procedure regulated subsequently in B. (Procedure) is applicable to all scientific publications according to A 2.1, especially in the form of:
- journal articles
  - preprints
  - Jül-Bericht or articles in a series of works published by Jülich's publishing house
  - habilitations
  - doctoral theses
  - theses such as bachelor's and master's theses (insofar as they are to be published)
  - books or book chapters
  - conference papers
  - research software
  - research data

They do not apply to lectures, seminars, etc. in the context of teaching activities at universities (limited audience); these exceptions must not, however, compromise protectable interests and obligations of Forschungszentrum Jülich in the sense of B 1.5.

## 3. Information on authors

- 3.1 Employees who have contributed to the scientific result according to the rules of good scientific practice are to be named as authors of the scientific publication. The authors are named on the basis of logical criteria and in accordance with the conventions of the given scientific field.
- 3.2 Support from other employees of Forschungszentrum Jülich, or external individuals or institutions should be referenced.
- 3.3 In addition to the names of the authors, the following information should be provided: "Forschungszentrum Jülich", abbreviation of the author's organizational unit at Jülich, postal address (e.g. "Forschungszentrum Jülich GmbH, Institute of Energy and Climate Research – Materials Synthesis and Processing (IEK-1), 52425 Jülich, Germany").
- 3.4 If required, an institutional research alliance can be named in accordance with its own naming convention (usually placed second). JARA is named first (e.g. "JARA-ENERGY, 52425 Jülich, Germany", "Forschungszentrum Jülich, Institute of Energy and Climate Research – Materials Synthesis and Processing (IEK-1), 52425 Jülich, Germany").
- 3.5 If authors have several affiliations, the institution at which the largest amount of work was performed should be listed first. In the case of professorial appointment models where the majority of work is performed at Forschungszentrum Jülich, such as the Jülich model and the Berlin model, this will usually be Forschungszentrum Jülich; in the case of professorial appointments based on the Karlsruhe model, it will be the respective university.

- 3.6 In the case of publications that are to be considered in a university thesis/dissertation (bachelor's/master's/doctoral thesis), the regulations on naming the relevant university must be adhered to. Forschungszentrum Jülich must also be named.
- 3.7 In the case of publications that were supported by third-party funding, the funding body's regulations on naming the relevant funding programme must be adhered to (usually in the acknowledgement). This also applies if the open access fee was (co-)financed by research funding.

#### **4. Subject to approval**

- 4.1 Every publication by employees of Forschungszentrum Jülich must be approved in advance by the head of the organizational unit where the employees work. It is possible to delegate this decision to individuals particularly qualified for this.
- 4.2 Scientific publications by the heads of organizational units do not require consent unless another regulation has been implemented by the Board of Directors. Heads of organizational units are solely responsible for ensuring that publications comply with this directive. This must be documented using the form ["Genehmigung von Veröffentlichungen" \(Approval of publications, form no. 99.75.010\)](#); see B 1).
- 4.3 Publications concerning administrative, structural, or organizational issues of Forschungszentrum Jülich and which exploit confidential knowledge gained by working at Forschungszentrum Jülich, or which include statements that may significantly impact on Forschungszentrum Jülich's position or activities, require prior approval from the Board of Directors.
- 4.4 On its intranet pages, the Central Library (ZB) provides information on the suspension of collaborations and co-publication activities based on corresponding decisions taken by the Board of Directors ([https://intranet.fz-juelich.de/en/organization/zb/expertise/scientific\\_publishing/ukraine-russia-belarus](https://intranet.fz-juelich.de/en/organization/zb/expertise/scientific_publishing/ukraine-russia-belarus)). The Board of Directors or a body appointed by the Board is responsible for making any individual decisions regarding such publications.

### **B. Procedure**

#### **1. Submission, assessment, and decision procedure for intended publications**

- 1.1 The author submits the version of their publication intended for submission together with the form ["Genehmigung von Veröffentlichungen" \(Approval of publications, form no. 99.75.010\)](#) to the head of the organizational unit in accordance with A 4.1<sup>1</sup>. If there are several authors, one author acts of behalf of all. Instead of submitting the manuscript, a link to an online version may be provided; this applies in particular to data and software publications.
- 1.2 In the case of several authors from various organizational units of Forschungszentrum Jülich, the publication and the completed form must be submitted to each of the heads of those organizational units.
- 1.3 For conference papers, submission of a summary along with the data necessary to identify the publication is sufficient in most cases.
- 1.5 The head of the organizational unit assesses the publication with respect to:

<sup>1</sup> If the OU head regularly delegates the decision regarding the approval of publications as described in A 4.1, and this has been communicated in the OU in an appropriate manner, the documents may be submitted directly to the authorized individual. Both here and in the following text, the term "OU head" therefore also refers to the "authorized individual".

- subject-specific content and form
  - compliance with the Regulations for Upholding Good Scientific Practice
  - commercial exploitability and protectability of the ideas contained in the publication, where applicable also after further adaptation of the issue
  - exclusion, restriction, or necessity of consent to the publication due to contractual agreements between Forschungszentrum Jülich and third parties, conflicting third-party rights, or other confidentiality commitments of Forschungszentrum Jülich by which employees are bound
  - statements which may significantly influence Jülich's position or activities
  - compliance with the suspension of co-publication activities
- 1.6 If commercial exploitability or protectability cannot be precluded, the head of the organizational unit involves Patents (R-P) in the assessment and informs the author(s) accordingly.
- 1.7 If it is unclear whether publication may proceed without infringing contracts, for example, the head of the organizational unit consults Corporate Development (UE).
- 1.8 The head of the organizational unit must ensure that the provisions of foreign trade law are observed. If the publication is relevant to foreign trade law, all necessary approvals must be obtained<sup>2</sup>. Further information and details on this procedure are available from Law (R-R).
- The form [“Genehmigung von Veröffentlichungen” \(Approval of publications, form no. 99.75.010\)](#) reflects this obligation to ensure that foreign trade law is observed. The completed forms must be stored centrally in the organizational units (as electronic documents or printouts) for potential inspections. R-R may check compliance with this obligation on a random basis.
- 1.9 If there are no concerns regarding the publication, the head of the organizational unit consents to it on the form; in the case of a rejection, the reasons for the rejection must be given. A copy of the form is sent to the author. Prior to rejecting a publication, the head of the organizational unit discusses their concerns with the author, where appropriate in consultation with a bilaterally accepted, impartial third party from Forschungszentrum Jülich (usually the relevant ombudspersons proposed by WTR and appointed by the Board of Directors).
- 1.10 The approval of a publication also covers changes to the manuscript made during the peer review, provided that the key messages of the publication are not affected.

## 2. Deadlines

- 2.1 The assessment, including all consultations conducted by the head of the organizational unit and all parties involved, as well as notification of the author about the decision should take place promptly.
- 2.2 If consultation with R-P is not necessary, the author must be notified of the decision within two weeks of receipt of the publication by the head of the organizational unit.
- 2.3 If consultation with R-P is necessary, the author must be notified of the OU head's decision within four weeks of receipt of the publication by the head of the organizational unit. R-P processes the inquiry within four weeks of receipt of the publication by R-P.

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<sup>2</sup> The directive [“Foreign Trade Law und Export Control, in Particular Transfer of Know-How, Import and Export of Goods, and Review of International Collaborations” \(IR 641-01\)](#) must be observed.

### 3. Complaints

In the case of rejection, or if processing takes longer than stipulated, the author may invoke the ombudsperson for good scientific practice or the Board of Directors.

### 4. Records and maintenance of text publications and other scientific publications

- 4.1 A publication is entered into Jülich's publications database by the author or the organizational unit at the latest after it has been published by a publishing organ (publishing house, society, etc.). In addition to the metadata (e.g. title, authors), the author saves the full text in electronic form (PDF) in the publications database. The "Final Draft Post Referee" version as well as the publishing house layout version ("Verlags-PDF") are both required (if the final version has not yet been published open access in the journal).
- 4.2 A copy of publications appearing solely in print must be supplied to ZB in order to be added to the holdings.
- 4.3 The metadata and the full text version (PDF) entered into the publications database are checked for correctness by ZB; in accordance with the Berlin Declaration<sup>3</sup> and after verifying secondary publication rights, the full text is made openly accessible in the institutional repository (open access section of the publications database) of Forschungszentrum Jülich.
- 4.4 For works intended for publication by Jülich's own publishing house, the author sends the forms ["Genehmigung von Veröffentlichungen" \(Approval of publications, form no. 99.75.010\)](#) and ["Zusatzblatt für Veröffentlichungen im Verlag des Forschungszentrums" \(Supplementary sheet for publications of the publishing house of Forschungszentrum Jülich, form no. 99.75.011\)](#) to ZB together with the publication manuscript. ZB publishes the work and uploads it into the institutional repository of Forschungszentrum Jülich.

### 5. Records and maintenance of research data publications

Openly accessible Jülich research data must be documented in the institutional data repository "Jülich DATA" of Forschungszentrum Jülich. This is applicable irrespective of where the data are actually stored. The head of each organizational unit is responsible for ensuring compliance with this regulation.

### 6. Records and maintenance of software publications

In accordance with the ["Guidelines for the Development and Distribution of Software at Forschungszentrum Jülich"](#), open source software should be published on globally accessible platforms for software publications such as GitHub, GitLab, and BitBucket; it is also possible to program software under a proprietary licence. In any case, the software publication must be documented in the institutional data repository "Jülich DATA" of Forschungszentrum Jülich. The head of each organizational unit is responsible for ensuring compliance with this regulation.

### C. Special cases

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<sup>3</sup> Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities 2003, co-signed by the Helmholtz Association

## 1. Publications in the press, on the radio, and on online journalism formats<sup>4</sup>

All scientific and non-scientific publications (texts, images, videos, etc.) potentially suitable for the press, radio, TV, and online journalism formats (websites, apps, social media platforms, etc.) must be forwarded to Corporate Communications (UK) for further use. Interviews with journalists must be agreed upon with UK before confirmation with the journalist.

## 2. Applicability to former employees of Forschungszentrum Jülich and third parties

- 2.1 Even after their employment has ended, employees of Forschungszentrum Jülich are analogously bound to this directive with regard to publications on the scientific work or facilities of Forschungszentrum Jülich. This applies, in particular, to the approval requirements pursuant to B 1.
- 2.2 This directive applies accordingly to all university students, doctoral researchers, scholarship holders, and visiting scientists who are not employees of Forschungszentrum Jülich as well as to employees of other companies or institutions seconded to Forschungszentrum Jülich.
- 2.3 Information on the authors must specify the relation of these persons to Forschungszentrum Jülich.

## 3. Employee inventions

The obligations arising from the Employee Inventions Act (ArbnErfG) are not affected by this directive.

## D. Final provisions

This directive was drawn up in agreement with the Main Committee of the Scientific and Technical Council.

This directive enters into force on 1 February 2024 and will remain in force until 31 January 2029.

Directive No. 2/2020 dated 14 July 2020 is hereby repealed.

Jülich, 17 January 2024

signed Prof. Dr. A. Lambrecht

signed K. Beneke

Mailing list IV  
IR 251-02  
Central Library

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<sup>4</sup> In addition, the circular [“Responsibility for web content in all online formats” \(IR 251-03\)](#) and its annex “Web Governance of Forschungszentrum Jülich”, which also includes social media guidelines, must be observed.