



Guideline for the standardized use of institutional affiliation in publications of the University of Natural Resources and Life Sciences, Vienna

(short: Affiliation Policy)

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1 Preamble

As a quantifiable variable, scientific publications are important indicators of a university's performance spectrum (e.g. intellectual capital statement, performance and target agreements). Institutional performance comparisons such as rankings are often based on publication data. These include, in particular, first and second publications (e.g. preprints, postprints, publisher's pdfs) in specialist organs (e.g. journals, books and monographs, conference and congress publications, mandatory publications), but also research data publications and the publication of teaching materials.

This Guideline serves to clearly identify the members of the University of Natural Resources and Life Sciences, Vienna (short "BOKU") in scientific and non-scientific publications. The aim is to correctly and completely record the journalistic services (publications and other written documents) provided by university members (see § 94 Universities Act 2002; short UG) for the benefit of their authors and their institution(s).

In order to ensure good scientific practice (<https://boku.ac.at/universitaetsleitung/senat/dokumente-und-rechtliches/richtlinien>), authors have to state the institution(s) at which the research was carried out completely and correctly. A key indicator for the performance spectrum of BOKU are the publications published by its scientists. In the national as well as in the international scientific community, publications in scientific journals (journals, books and monographs, conference and congress reports) are used to evaluate the performance of the authors and the associated institution(s). Institutional performance comparisons (e.g. U-Mulitrank) are often based on publication data.

It is therefore in the interest of the authors and their institution(s) that each publication is clearly assigned, because only in this way can they be found in literature searches and identified in special queries. The same applies to personalised and also institutionalised performance reports (in particular the *Intellectual Capital Report*, performance and target agreements as well as BOKU-internal evaluations), whereby publications can only be considered if they mention BOKU.

2 Scope

This Guideline applies to all scientific and non-scientific general staff of BOKU¹ as well as to emeritus and retired university professors, retired university lecturers, master and doctoral students. Furthermore, it applies to visiting researchers, research fellows and employees of strategic participations of BOKU, provided that they belong to a BOKU working group. Furthermore, it applies to former scientific and non-scientific staff of BOKU who complete and publish research work started at BOKU after transferring to another institution.

This Guideline applies equally to all publications and other written documents that are directly related to BOKU (research, teaching, continuing education, knowledge transfer, social responsibility and administration). This also includes publications in the field of research transfer, social media contributions as well as print and audio-visual media. Furthermore, this standardised affiliation designation applies to lectures, to the organisation of and participation in congresses and other events, as well as to research

¹ according to Z 3.6 of Annex 9 Universitäts- und Hochschulstatistik- und Bildungsdokumentationsverordnung; kurz UHSBV



proposals, service inventions and patents, etc. This Guideline is mandatory, not only for first and corresponding authors, but also for senior, co- and last authors.

This Guideline was decided in the rectorate meeting on 07.09.2021 and comes into force on 30.09.2021 (date of publication in the Official Journal No. 27 / Academic year 2020/2021).

3 Principles of correct disclosure

BOKU has defined a binding standardised affiliation designation in German and English. This official designation is to be used and indicated in the entire publication process and wherever the research institution is to be named (e.g. congresses, symposia, lectures, research proposals, etc.). The English version of the affiliation is generally preferable to the German one, especially when publications in international media are concerned.

3.1 University name

The official German name of BOKU is:

Universität für Bodenkultur Wien

The official English name of BOKU is:

University of Natural Resources and Life Sciences, Vienna

3.1.1 Acronyms and abbreviations

Acronyms (BOKU Vienna, Univ BOKU) and abbreviations (Univ. Nat. Res. Austria, Univ Agr Vienna etc.) as well as the prefixing of the abbreviation in front of the name (BOKU - University for... etc.) are generally not permitted when indicating the affiliation in publications and research projects.

The correct abbreviation is BOKU. The abbreviated name must always be written in capital letters. The first time the name is mentioned in the text, it must be written out in full, followed by the abbreviated designation (BOKU) in parentheses, both when using the German and the English name. In the further course of the text, the abbreviation BOKU may be used.

If it is a text about BOKU like this one, the correct abbreviation is BOKU.

3.1.2 Persistent identifiers for organizations

In order to identify institutions accurately and independently of their name, there are also unique identifiers for organisations. These are to be used when submitting publications, projects, patents, etc., if the publisher, etc., allows it.

The following IDs are assigned to BOKU:

| | |
|---|---|
| CrossRef Funder ID (https://www.crossref.org/services/funder-registry/) | 501100006380 |
| GRID ID (https://www.grid.ac/) | grid.5173.0 |
| ISNI (https://www.isni.org) | 0000000122985320 |
| RINGGOLD ID (https://www.ringgold.com/) | 27270 |
| ROR ID (https://ror.org) | 057ff4y42 |
| Scopus Affiliation ID (https://www.scopus.com/) | 60024895 |
| Wikidata (https://www.wikidata.org) | Q876520 |

IDs of sub-entities are not to be used.

3.2 Corresponding authorship

Only the official BOKU e-mail address² is to be given for information on the corresponding authorship. In case of multiple institutional affiliations, the rules are to be applied analogously to point 4. If the corresponding authors are no longer members of BOKU, a private or the new official e-mail address can be used.

3.3 Specification of the organisational unit(s)

3.3.1 Specification of department, institute

BOKU currently has 15 departments as organisational units according to § 20 Abs. 4 UG.³ All departments are subdivided into institutes. The indication of the department and the institute is obligatory. The naming of working groups is not permitted. When indicating the institutional affiliation, the official names and terms on

² n.n@boku.ac.at

³ According to the rectorate decision of 01.01.2019 (published in the Official Journal No. 07 / Academic year 2019/2020 on 16.01.2020)



the BOKU website must be used (<https://boku.ac.at/departments>). The official English translations can be obtained via the language selection on the BOKU homepage.

Examples for the correct application of the Guideline at the example of a BOKU department:

Example 1: University of Natural Resources and Life Sciences, Vienna
Department of Chemistry, Institute of Biochemistry
Muthgasse 18, 1190 Vienna, Austria

Example 2: Universität für Bodenkultur Wien
Department für Chemie, Institut für Biochemie
Muthgasse 18, 1190 Wien, Österreich

3.3.2 Indication of Core Facilities and Scientific Centres of BOKU

BOKU has established Core Facilities and Scientific Centres. The indication of the Core Facility or Centre is obligatory. The official names and terms on the BOKU website (<https://boku.ac.at/wissenschaftliche-zentren-core-facilities>) are to be used for the information on the institutional affiliation. The language selection on the BOKU homepage provides the official English translations.

Examples for the correct application of the Guideline using the example of a BOKU Core Facility:

Example 1: University of Natural Resources and Life Sciences, Vienna
Core Facility Mass Spectrometry
Muthgasse 18, 1190 Vienna, Austria

Example 2: Universität für Bodenkultur Wien
Core Facility Mass Spectrometry
Muthgasse 18, 1190 Wien, Österreich

3.3.3 Specification of service institutions and staff units for the fulfilment of the tasks of the university management as well as organs and interest groups of BOKU

This guideline also applies to services (e.g. publications) provided by non-scientific employees of the service units⁴, staff units, bodies^{5,6} and interest groups⁷ of BOKU. For these organisational units, the central address of BOKU is to be used, indicating the organisational unit:

Gregor-Mendel-Strasse 33, 1180 Vienna, Austria
Gregor-Mendel-Straße 33, 1180 Wien, Österreich

⁴ Organisation chart effective from 01.01.2020, published in the Official Journal No. 07 / Academic year 2019/2020 on 16.01.2020)

⁵ Organisation chart effective from 01.01.2020, published in the Official Journal No. 07 / Academic year 2019/2020 on 16.01.2020)

⁶ University Management, <https://boku.ac.at/universitaetsleitung-boku>

⁷ <https://boku.ac.at/serviceeinrichtungen-interessensvertretungen>



Examples for the correct application of the Guideline using the example of a BOKU service facility:

Example 1: University of Natural Resources and Life Sciences, Vienna
Research Support, Innovation & Technology Transfer
Gregor-Mendel-Strasse 33, 1180 Vienna, Austria

Example 2: Universität für Bodenkultur Wien
Forschungsservice
Gregor-Mendel-Straße 33, 1180 Wien, Österreich

3.3.4 Multiple employment at BOKU

BOKU staff members may also be employed at one or more BOKU organisational units. The organisational units are specified according to the extent of the research work performed. These multiple employments are to be formally recorded as in point 4.

3.3.5 Multiple institutional affiliations

Researchers who belong to other institutions in addition to BOKU indicate these as follows. Such multiple affiliations can, for example, be within BOKU, but also to a strategic participation of BOKU, to another external research institution, a company, an association or a foundation, etc. BOKU must be at the top of the list or must be named as one of the affiliations in any case, depending on the extent of the research work performed.

3.3.5.1 Strategic participations of BOKU

Affiliations of BOKU are to be mentioned in publications. In the case of publications by members of affiliates, BOKU should in any case be named as a second affiliation. If BOKU staff members are actively involved in publications, e.g. as key researchers, they should always be named as co-authors in order to guarantee that the publication is linked to BOKU. If no BOKU key researcher was actively involved in the publication and therefore no BOKU co-authorship is possible, BOKU should be named as a funding organisation in the Acknowledgement (see point 3.3.9), provided that the project on which the publication is based was funded with a BOKU partner contribution (usually 5% of the eligible costs).

Examples of the correct application of the guideline using the example of a strategic participation of BOKU:

Example 1: Martina Musterfrau^{a,b},
^aUniversity of Natural Resources and Life Sciences, Vienna, Department of
Agrobiotechnology, IFA-Tulln, Institute of Environmental Biotechnology,
Konrad-Lorenz-Strasse 20, 3430 Tulln an der Donau, Austria
^bacib GmbH, Petersgasse 14, 8010 Graz

Example 2: Max Mustermann^{a,b},
^aUniversität für Bodenkultur Wien, Department für Agrarbiotechnologie, IFA-Tulln,
Institut für Umweltbiotechnologie,
Konrad-Lorenz-Straße 20, 3430 Tulln an der Donau, Österreich
^bacib GmbH, Petersgasse 14, 8010 Graz, Österreich

3.3.6 Naming of affiliation in the event of a change of employer or temporary employment

In the event of a change of employer during the research and publication process, BOKU is to be named as one of the affiliations according to the extent of the research work performed.

3.3.7 Patents

In patent applications and granted patents, the inventors are indicated with their own names. The owners of patent applications or patents (applicants, owners, assignees) are in most cases legal entities (e.g. universities or companies) and must be listed.

If a patent application is filed for service inventions at BOKU, this is done via the Knowledge and Technology Transfer in the Research Support, Innovation & Technology Transfer (<https://boku.ac.at/en/fos/technologietransfer>). When indicating the affiliation, the University of Natural Resources and Life Sciences, Vienna is to be indicated as the owner with the address Gregor-Mendel-Strasse 33, 1180 Vienna, provided that BOKU was the employer at the time of the service invention.

In the case of cooperations (e.g. with companies or other research institutions), care should be taken in advance to ensure that BOKU is at least formally listed as co-owner in the case of joint inventions. The address of the co-owner should also be the central address of BOKU:

Gregor-Mendel-Strasse 33, 1180 Vienna, Austria
Gregor-Mendel-Straße 33, 1180 Wien, Österreich

3.3.8 Research projects

For research projects, an English and a German version of the affiliation are possible. Preference should be given to the version that corresponds to the language of the proposal. If the proposal is submitted in a language other than German or English, the English version is to be preferred.

The name and address of the university (Gregor-Mendel-Strasse 33, 1180 Vienna) as well as the name and address of the department and institute submitting the application or carrying out the project must be stated.

Where possible, other participating departments/institutes should also be named, clearly identifying the department/institute coordinating BOKU participation ("main contact person").

3.3.9 "Acknowledgement of funding"

3.3.9.1 In the case of external financing

In the case of external funding, a statement about the funders must be made in all research outputs, whereby - taking into account any requirements of the funders - the wording should be as follows:

"This work was supported by (full name donor) [e.g. grant no. XXX] / Diese Arbeit wurde unterstützt durch (vollständiger Name des Geldgebers/der Geldgeberin) [z.B. Förderungsnr. XXX]"

3.3.9.2 Without external financing

If there is no external funding, the following wording is recommended:

"This research received no external funding. / Diese Forschungstätigkeit erhielt keine externe Finanzierung."



3.3.9.3 Strategic participation of BOKU in the COMET programme

If no BOKU key researcher was actively involved in the publication and therefore no BOKU co-authorship is possible, BOKU should be named as the funding organisation in the Acknowledgement, provided that the project on which the publication is based was funded with a BOKU partner contribution (usually 5% of the eligible costs). The following wording is recommended:

„This research was supported by University of Natural Resources and Life Sciences, Vienna. / Diese Forschungstätigkeit wurde von der Universität für Bodenkultur Wien finanziert.“

3.3.10 Mention of the affiliation in social media

For posts in social media, the corresponding reference is used in connection with topics concerning research, teaching or transfer at the University of Natural Resources and Life Sciences, Vienna:

@BOKUvienna and #boku on Twitter

@boku.vienna and #boku #bokuwien #bokuvienna on Instagram

@bokuvienna on Facebook

@University of Natural Resources and Life Sciences Vienna and #boku on LinkedIn

3.4 Recommendations for authors

3.4.1 Author name

It is recommended to agree on a uniform spelling and a uniform version of the name as early as possible and to use this throughout all publications. Particular attention should be paid to names with prefixes, double names, names with umlauts, accented letters or diacritical marks.

With the German designation umlauts are to be left. In the English version, these are to be written only as a, o, u, an ß is to be written with ss. For database queries, a so-called wildcard (*/?/\$) is used instead of umlauts to replace a character (ä,ö,ü,á,ñ,ô) as a placeholder. This guarantees easier retrieval and thus assignment of the relevant research work to the author.

3.4.2 ORCID

BOKU has been an institutional member of ORCID (Open Researcher and Contributor ID) since 2018. The university management recommends all its scientists to register at ORCID and to link their own name with this personal ID.

By specifying the ORCID in everyday scientific publications, it can be clearly assigned to the author even if the name is incorrect. BOKU supports the additional use of other unique personal identifiers (e.g. Researcher ID, Scopus Author ID). Further information on ORCID can be found at <http://short.boku.ac.at/orcid>.

3.5 Advice and contact

Advice and assistance on affiliation policy issues at affiliation@boku.ac.at.



4 Annex / Appendices

The following Annexes are an integral part of this Guideline:

Annex 1: Examples for the correct application of the Affiliation Policy

5 History

| Version | Change | from | decided on | published |
|---------|-----------------------|--|----------------------------------|--|
| 1.0 | initial establishment | Research Support, Innovation & Technology Transfer / Research Information System / Hiki AL, Mayr H | 07.09.2021 by rectorate decision | on 30.09.2021 in the Official Journal No. 27 / Academic year 2020/2021 |
| | | | | |