

The CTA Consortium Publication Policies

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## **The CTA Consortium Publication Policies**

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List of Abbreviations			
СВ	Consortium Board		
CTA	Cherenkov Telescope Array		
SAPO	Speakers And Publications Office		
WP	Work Package		
TDR	Technical Design Report		
WG	Working Group		

	History				
1.0	.0 01/02/2011 Initial version, from establishment of SAPO				
1.1	01/10/2012	Updates			
1.2	25/09/2013	Separation of single document into organization & policy documents			
	27/09/2013	Presentation to CTA CB at general Consortium meeting in Warsaw			
2.0	20/12/2013	Update, based on feedback in Warsaw			
2.1	13/01/2014	Changes and clarification, based on feedback from JK and WH			
2.2	11/02/2014	Small changes, based on feedback from SAPO			
2.3	2.3 19/03/2014 Additional wording changes; re-circulated to SAPO				
	25/03/2014 V2.3 sent to CB for review and approval				
2.4	10/04/2014	Small changes from CB Meeting in Munich			
2.5	5 17/09/2014 Additional small changes				
2.6	11/05/2015	Include version of authorship statement approved by CB in Turku			
3.0	03/08/2015	New document structure; revise paper categories; clarify review procedure and deadlines			
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3.2	25/11/2015	Version submitted for CB approval. Approved 11/01/2016			

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## 1 Introduction

## 1.1 Summary

In this document, we describe the policies and guidelines governing the publication and communication of scientific and technical results from the Cherenkov Telescope Array (CTA). These policies are established and agreed upon by the CTA Consortium Board (CB). It is the responsibility of the CTA Speakers and Publications Office (SAPO) to ensure that the policies are followed within CTA. See [R1] for the mandate, functions and organization of SAPO.

These policies and guidelines are established in order to promote the accuracy and timeliness of CTA publications and communications, and to ensure that fair credit is given to the authors and contributors to the CTA project.

All authors of CTA publications, including CTA Consortium members and external authors, are bound to follow these rules and policies.

These policies are considered in the context of pre-operational CTA, where the science publications are mostly the expected capabilities for CTA to carry out some specific science studies. The Consortium will re-evaluate the publication policies in advance of the time when CTA moves into the operational phase and data are released to the public.

## 1.2 Reference documents

[R1] The CTA Speakers and Publications Office mandate, functions and organization, CB-GOV/131218, 18 December 2013.

[R2] CTA Consortium Science Management Plan, CB-GOV/150209, 29 April 2015.

## 2 Publication categories

All documents and presentations (referred to generically in this document as "publications") produced by CTA members, intended for public release, and that contain significant content relating to CTA (scientific, technical or project-related) are considered CTA publications and are subject to the policies and guidelines described throughout this document. CTA publications include:

- · Publications in refereed journals
- Publications in non-refereed journals
- Conference contributions (abstract, talks, posters and proceedings)

The different publication categories are defined in detail in the following sections and summarized in Table 1.



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Every CTA publication is linked to a subproject, WP or WG (e.g. OBS, INFRA, ACTL, DATA, SST, MST, LST, SCT, COM, MAN, PHYS, Monte Carlo), which is involved in the definition and review of publications in ways detailed below. For general CTA overview publications, the whole Consortium plays the role of the relevant WP, with the spokespersons being its leaders. For scientific publications the relevant WG is PHYS, led by the Science Coordinator(s), which are assisted by the PHYS working group conveners as foreseen in Ref. R2 and detailed in the following sections.

## 2.1 Publications in refereed journals

Publications in refereed journals are subdivided according to their content and scope, and have different requirements regarding their review and authorship rules (which will be described in detail in Sections 3 and 4). During the pre-operation phase we consider the following journal paper categories:

## 1. CTA Consortium publications

These are journal papers describing technical aspects of CTA at the subproject, WP, or WG level or above (including full CTA project or CTA concept papers); or journal papers making use of any unpublished information or any internal CTA tools, simulations or techniques.

The main criterion defining a CTA Consortium publication is its scope, which should be at the subproject, WP or WG level or above. This includes, e.g.:

- a. Technical articles containing the description of a telescope type and/or its performance.
- b. Technical articles containing the full description of transversal subprojects or WPs (e.g. DATA, ACTL).
- c. Articles containing scientific prospects for the main CTA science objectives, such as those belonging to a Key Science Project of the CTA Consortium, or others predefined within the PHYS working groups (e.g. CTA capabilities for dark matter detection from different astronomical targets; expected results from the Galactic plane survey; expectations for the measurement of the extragalactic background light; ...). PHYS working group conveners will draw up the list of papers being pursued as CTA Consortium publications (see more details below).

In addition, papers that use CTA internal/unpublished information are by default considered Consortium publications. Examples of internal/unpublished information are:

a. Simulation/analysis tools not released to the public (and not intended to be released)



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b. Presentations and contributions from general discussions that took place at CTA meetings.

The use of CTA internal/unpublished information by CTA members for technical or non-Consortium science publications can be granted under request (see details below).

#### 2. Technical publications

These are journal papers concerning technical aspects of CTA (e.g. hardware, software, analysis methods, etc.) at a level **below** one of the CTA subproject, WP, or WG. This includes, e.g.:

- a. Technical articles containing the description of a telescope subsystem (e.g. optics, mechanics, electronics...) and/or its performance.
- b. Technical articles containing the description and/or characterization of a calibration method for CTA.
- c. Technical articles containing the atmospheric characterization of a CTA site.
- d. Technical articles containing the description of deliverables of transversal projects (e.g. data model, analysis pipeline, data archive, control software, etc).

For technical publications, the use of CTA internal material (such as simulations and/or analysis tools) by CTA members can be granted under request (see details below).

#### 3. Non-Consortium science publications

These are journal papers describing CTA science expectations for scientific topics not being pursued as Consortium publication by any PHYS working group. This includes, e.g.:

- a. Articles with estimates of CTA performance in observations of particular objects.
- b. Articles with estimates of the CTA performance using new analysis methods and/or tools.

For non-Consortium science publications, the use of CTA internal material (such as simulations and/or analysis tools) by CTA members can be granted under request (see details below).

There could be grey areas between categories and other types of papers that do not easily fit into one of these categories; these would be handled on an individual-case basis by SAPO and the relevant subproject, WP or WG leaders.



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The usage of CTA internal material (such as simulations and/or analysis tools) by CTA members for technical or non-Consortium science publications can be granted under request. Permission will be granted whenever the publication scope is limited to study original ideas of the authors, and is not in conflict with any existing, under-development or planned Consortium publication. Request for permission shall be addressed to SAPO and the subproject, WP, or WG leaders of relevance for the paper, as early as possible in the development of the project.

Distribution of CTA internal material to non-CTA authors is not permitted, except when they collaborate in a CTA publication. External authors must keep any CTA internal material they receive in the course of the preparation of a paper confidential and must not use that material in other work, unless it is in the context of another collaboration with the CTA Consortium.

Authors of paper projects of any category (Consortium, technical and non-Consortium science publications) shall announce them as early as possible to SAPO and relevant subproject, WP or WG leaders, including any eventual request for the usage of internal material. As a general guideline, SAPO will approve paper projects below the subproject, WP, or WG level as technical or non-Consortium science publications (including those using CTA internal material) provided there is no conflict with running or pre-defined Consortium publication projects.

In order to help identify possible conflicts with Consortium publications, PHYS WG conveners in collaboration with the Science Coordinators shall define, maintain and update a list of projects they deem of interest to be pursued as Consortium publications, together with designated task forces and schedules. This information shall be available to all CTA members at the corresponding PHYS WG pages, and be publicized by the PHYS WG conveners at the working group and Consortium meetings.

When a conflict between a new paper project and a running or pre-defined Consortium publication project is spotted, SAPO and the relevant subproject, WP and/or WG leaders shall promote the merger of the involved teams into a common effort towards a Consortium publication.

#### 2.2 Publications in non-refereed journals

Articles written by CTA members for non-refereed publications (e.g. popular magazines, widely distributed newsletters, arXiv submissions, etc.) **do need** basic review by SAPO because of the potential impact they might have. Such articles would be treated in the same manner as non-Consortium science publications.

#### 2.3 Conference contributions

According to their content and scope, CTA conference contributions are classified into:



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#### 1. Reviews largely based on consolidated materials

These are presentations or overviews of published and/or consolidated results, including, e.g. CTA general talks; sub-project status reports; reports about material included in the TDR or a Key Science Project; etc.

Invitations for reviews will be distributed by SAPO in agreement with the relevant subproject, WP and/or WG leaders. Speakers who receive invitations for CTA reviews should notify SAPO about them.

#### 2. Reports on new results and developments

These are specialized presentations about new scientific or technical developments happening in the framework of CTA, including, e.g. new scientific performance studies; description of prototypes of different CTA components and their performance; new data formats; camera control slow control system; etc.

New-development reports shall be proposed by authors to the relevant subproject, WP, and/or WG leaders prior to their submission for review by SAPO. Leaders shall approve or reject the proposal based on its quality, level of maturity as well as its compatibility with other planned CTA presentations.

To ensure a proper representation of CTA in major specialized conferences (like e.g. ICRC or SPIE), the **subproject**, **WP**, **or WG leaders shall propose a list of reviews and reports** (and corresponding speakers) covering all scientific and/or technical aspects of sufficient quality and level of maturity.

Apart from that, conference contributions of both categories will be subject to the similar rules regarding review and authorship policies, as detailed below.

Each conference contribution will be composed of one or more of the following elements: abstract, talk, poster and proceedings. Each of the elements will follow similar review and authorship rules as detailed in Sections 3 and 4, and summarized in Table 1.

## 3 Publication review

#### 3.1 General guidelines for publication review

In general, the greater the potential for impact on the Consortium, the greater the level of internal refereeing that will be required. Conversely, publications or contributions in which the CTA content is minimal will not need internal review; an example of this category would be a paper focused on results from existing instruments that briefly mentions the improved capabilities of CTA. If in doubt, it is better for CTA members who are authors/presenters to err on the side of caution and to inform SAPO of an upcoming publication or conference contribution.



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CTA publications must be submitted to SAPO using the corresponding Sharepoint platform (see Section 5) or any other tool designated by SAPO for their review. SAPO will designate a number of referees depending on the paper category, as detailed in Section 3.2. The relevant subproject, WP, or WG shall be involved in the review process as described below.

Subproject, WP, or WG review shall concentrate on the scientific and technical aspects of the publication, ensuring that any analysis and/or simulation results, technical descriptions, and scientific statements are sound; the subproject, WP, or WG will also provide the first-order author list. At least one of the subproject, WP, or WG leaders must sanction the review.

On the other hand, the review by the designated referees will include, in addition: sorting out remaining disagreements with respect to subproject, WP, or WG comments, a crosscheck on the consistency across CTA official documentation, plus the review of the author list and acknowledgement text, when applicable.

Subproject, WP, or WG and referee comments must be addressed and agreed upon prior to paper submission to journal/conference. When an agreement is reached, referees shall notify their approval to the SAPO Chair, the authors and relevant subproject, WP, or WG leader(s). The explicit approval by at least one of the subproject, WP, or WG leaders and all designated referees is mandatory prior to publication submission to the journal/conference. In case of disputes, the SAPO Chair and subproject, WP, or WG leaders shall solve them, in consultation with the Spokespersons and the CB Chair when needed.

The minimum period for the reviews by the subproject, WP, or WG and the designated referees will be 2 weeks each, which shall be expanded to 3 weeks for very long and/or complex papers. Additional iterations of the referee process shall be completed within similar periods. The subproject, WP, or WG review will happen normally in parallel to the review by referees, with the exceptions described in Section 3.2.

Whenever possible, paper drafts for review should have line numbering enabled, and, in all cases, only high quality graphics should be included.

Technical and Non-consortium science publications going through the review procedure defined in this Section shall include the following sentence (preferably right before the bibliography): "This paper has gone through internal review by the CTA Consortium".

Whenever possible, CTA will be referred to in the title of all CTA publications, preferably as "Cherenkov Telescope Array".

Where required, SAPO will designate an individual to take on responsibility for journal submission. For submissions to the arXiv, see Section 5.



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## 3.2 Particular rules for publication review

In this section we detail the particularities of the review process for papers of the different categories. A summary can be found in Table 1.

#### 1. CTA Consortium publications

Each CTA Consortium publication will have a designated **paper committee** composed of at least three CTA members, at least one of which will be a SAPO member. The paper committee will be formed by SAPO in consultation with the authors.

Authors shall submit their draft to SAPO, the paper committee (if already formed; otherwise SAPO will nominate it) and the relevant subproject, WP, or WG for review. The first review iteration will involve both the paper committee and the subproject, WP, or WG.

After the paper committee and relevant subproject, WP, or WG leader(s) have approved a draft of the paper, it will be distributed to the full Consortium for a 4-week **general review** period. The paper committee will ensure that comments by CTA members are properly taken into account.

To enhance communication within the Consortium regarding CTA Consortium Publications, CTA members who are interested in originating a CTA Consortium publication should introduce their idea within the relevant subproject, WP, or WG and with SAPO as soon as they can.

#### 2. Technical and non-Consortium science publications

Technical and non-Consortium science publications shall be submitted to SAPO and the relevant subproject, WP, or WG for review, which can proceed in parallel.

SAPO will designate 2 referees (at least 1 a SAPO member) for its review.

After preliminary approval by the referees and subproject, WP, or WG leader(s), and in case the paper has undergone significant changes with respect to the original version submitted to the subproject, WP, or WG, the paper shall be circulated within the subproject, WP, or WG for an additional period of at least 1 week.

#### 3. Conference contributions

Reports on new results and developments (see Section 2.3) shall be circulated within the relevant subproject, WP, or WG for a minimum of 1 week.



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All conference contributions will be reviewed by 1 SAPO referee (or 2 for major proceedings and talks). The SAPO review will happen after the subproject, WP, or WG review (sanctioned by at least one subproject, WP, or WG leader). In case of tight deadlines, subproject, WP, or WG and SAPO reviews can proceed in parallel.

For a very significant talk or a talk given by a junior member a rehearsal should be done via online videoconference (e.g. Seevogh) or phone conference with slides distributed beforehand.

## 3.3 Publications of limited scope

The guidelines shown in this Section and in Table 1 apply to journal articles, international conferences, major national conferences, items posted to non password-protected Internet sites, and similar situations in which the material will be publicly spread. They do not apply to regional-level meetings in which talks will not be posted or to general review talks that are not focused on CTA. In the case of regional meetings and general review talks, it is recommended that the speaker contact SAPO in advance to provide notification of their upcoming talk. SAPO will then determine the level of the review required for the presentation. It is also expected that the speaker will upload a version of their talk to the SAPO Sharepoint site in advance of the presentation. SAPO will then provide a courtesy review of the talk and the speaker should take the comments into consideration.

# 4 Publication authorship

### 4.1 Authorship philosophy and general rules

Inclusion as an author of CTA publications is a key factor in recognizing the contributions individuals have made to the CTA project. The guiding principle is that individuals should receive appropriate recognition for their contributions to the project. The different kind of publications will follow different authorship policies, as detailed in the following paragraphs and summarized in Table 1. These guidelines include most of the foreseen cases; in case of need, SAPO will provide further guidelines on an individual-case basis.

#### 1. CTA Consortium publications

Consortium publications shall be signed by all eligible CTA Consortium members willing to sign the paper (see Sections 4.2 and 4.3 for details). Consortium publications are expected to be signed by the majority of Consortium members. Any paper designated as Consortium publication and signed by less than approximately a third of the Consortium may be subject to reclassification by SAPO.

2. Non-refereed, technical and non-Consortium science publications



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The author list and the order of authors shall be decided by the main authors of the paper in consultation with the relevant CTA subproject, WP, or WG leader and SAPO. Any CTA member who believes that he/she has made a contribution to the paper and requests to be on the author list would be included without prejudice.

#### 3. Conference publications

Conference publications shall be signed by the presenter/main author, followed by other authors having contributed to the work, plus "for the CTA Consortium". The author list and the order of authors shall be decided by the presenter/main author of the paper in consultation with the relevant subproject, WP, or WG leader and SAPO. Any CTA member who believes that he/she has made a contribution to the contents of the publication and requests to be on the author list would be included without prejudice.

#### 4.2 CTA Consortium publications: the CTA author list

The full CTA author list for CTA Consortium Publications will be determined in the following manner:

- the author list will be constructed from individuals that appear on the FTE list that is administered by the CB Chair;
- only individuals that are members of regular parties will be included by default in the author list; individuals that are members of associated parties will only be included if they provided a significant contribution to the work presented in the paper (the contribution will be judged jointly by the relevant subproject, WP, or WG and SAPO);
- individuals joining CTA will be eligible for authorship starting six months after they first appear on the FTE list (as given by the activity start date in the FTE list);
- individuals joining CTA after 1 July 2014 are required to send an e-mail to the CB and SAPO Chairs stating that they have read this document and agree to the CTA publication policies;
- individuals leaving CTA will continue to be eligible for authorship for one year after
  they stop their activity within the CTA Consortium (as given by the activity stop date
  in the FTE list); if the individual has been a member of the Consortium for less than
  one year, their period of eligibility after they leave will be limited to the length of
  time that they were a member of the Consortium;



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- it is the responsibility of party representatives to determine which individuals from their institutes are to be included as authors and to update their institute's FTE list on a regular basis. Party representatives should also notify individuals joining CTA from their institute of the requirement to read and acknowledge this document;
- for technical and concept papers, scientists, engineers and technicians may be included in the author list; for science papers, the list would only include scientists;
- undergraduate students, masters/diploma-level students, Associate Members, and administrators do not appear by default in the general author list;
- the author list for a given paper is determined from those CTA members who: 1) are eligible to sign papers by the criteria discussed above and 2) elect to sign the paper via the paper signup procedure (see Section 4.3 below).

For papers that use the full CTA author list, the CTA authors will appear in alphabetical order. The institution list will be ordered by the occurrence of the first individual from a given institution to appear in the author list.

Journal publications generally have a corresponding author or corresponding authors. CTA Consortium Publications will have up to three corresponding authors. The corresponding author(s) will be decided within the relevant subproject, WP, or WG. In case of any dispute, a group consisting of the subproject, WP, or WG leader, CB Chair, Spokespersons and SAPO Chair will make a determination.

Any institute may nominate as an author to a paper any individual who does not normally qualify for the CTA author list but who has made a particular contribution to that paper. The nomination would be considered and decided upon by a group consisting of the SAPO Chair, the relevant subproject, WP, or WG leaders and the corresponding authors of the paper.

## 4.3 CTA Consortium publications: the paper signup requirement

Being listed as an author on a CTA Consortium publication requires acknowledging the following text:

I confirm that:

- 1. I have read this paper and I agree with its contents.
- 2. I have contributed to it in one or more of the following areas:
  - Instrument development, construction, and/or operation
  - Observatory definition, development, management, and/or operation (including data acquisition)
  - Providing analysis tools and/or simulations
  - Proposing the observations
  - Analysis of the data and/or simulations
  - Interpretation of the results and/or theoretical modelling



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I therefore request to sign up as a co-author.

Note: Deciding not to sign even if conditions 1 and 2 are fulfilled does not imply any sort of negative opinion about the paper.

To make this acknowledgment for a given paper, a CTA author needs to sign up for the paper by logging into the CTA Sharepoint system and clicking the appropriate box for that paper on the SAPO site.

It is important to note that signing a paper means that you take some measure of responsibility for its contents and results, as discussed above, but, by converse, **not signing a paper does not imply in any way that you are not comfortable with the paper or that you have problems with it**.

## 5 Other practical aspects

## 5.1 Procedures for submitting abstract, talks, poster and proceedings

The following describes the procedure that a CTA member should follow when submitting an abstract to a conference on behalf of CTA:

- circulate the abstract within the relevant subproject, WP, or WG (PHYS in the case of science contributions) and revise the abstract based on the comments received,
- create (if needed) the meeting in the SAPO SharePoint site, create the contribution and upload the abstract to the SharePoint site, and
- incorporate changes in the abstract based on the SAPO review.

Talks, posters and proceedings would follow this same sequence of steps, except that the specific meeting and contribution would not need to be created again. Drafts of abstracts, talks, posters and proceedings should contain a list of authors and their institutions and "for the CTA Consortium" at the end of the author list.

#### 5.2 Archive (arXiv) submission

It is expected that refereed journal articles (either on technical aspects of CTA or scientific expectations for CTA) will be placed on the arXiv.org e-Print archive.

For journal articles, the article author(s) will upload the final paper to arXiv.org after the article has been accepted for publication by the journal. Papers should not be uploaded to arXiv.org if there are restrictions placed by the journal itself (e.g. Nature and Science generally require e-Print postings only after the journal paper has been published).



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Conference proceedings may also be placed on arXiv.org, when appropriate, and with approval from SAPO. All CTA contributions to a major conference, such as the ICRC, should be coordinated by SAPO in a uniform way to arXiv.org.



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# 6 Summary table

TABLE 1: Summary of CTA publication types, authorship and review policies

Publication Type	Authors	Review	Review Period	Action
CTA Consortium Publications: Full CTA project; or CTA concept papers; or papers at the subproject, WP, or WG level or above; or journal papers making use of unpublished information or internal material	Full CTA author list	SAPO and relevant subproject, WP, or WG informed about paper at early stage. SAPO nominates paper committee (3 referees) to follow up paper development. Review by paper committee and relevant subproject, WP, or WG. After approval by paper committee, the paper is distributed to entire Consortium	2 weeks by subproject, WP, or WG +referees + 4 weeks by Consortium	Subproject, WP, or WG and referee comments to be considered and agreed upon; referees to sign off on the consistency across CTA documentation; SAPO to coordinate author list and acknowledgment text;  Explicit approval by at least one leader of the relevant subproject, WP, or WG plus the designated referees.
Technical Publications: Papers concerning technical aspects of CTA (e.g. hardware, software, analysis methods, etc.) at a level below the relevant subproject, WP, or WG.	All involved in the work	Draft distributed to relevant subproject, WP, or WG and to SAPO; SAPO appoints 2 referees. After approval by referees, redistribution to subproject, WP, or WG in case of significant changes during review	2 weeks by subproject, WP, or WG +referees (+ 1 week by subproject, WP, or WG)	
Non-Consortium Science Publications: Papers describing CTA science expectations below any science WG level and not being pursued as Consortium paper.	All involved in the work	Draft distributed to PHYS WG and to SAPO; SAPO appoints 2 referees. After approval by referees, redistribution to relevant science WG in case of significant changes during review	2 weeks by PHYS WG +referees (+ 1 week by WG)	
Conference Abstracts, Talks, Posters and Proceedings	Speaker, (other authors), for the CTA Consortium	Contribution distributed to relevant subproject, WP, or WG for 1 week.  After approval by subproject, WP, or WG leader(s), distribution to SAPO. SAPO appoints 1 referee (2 for important contributions), the same for the different elements (abstract, talk, proceedings) of a given contribution.  Remote rehearsal for important talks, especially by junior collaborators	1 week by subproject, WP, or WG + 2 weeks by referees (can run in parallel in case of pressing deadlines)	