ePESSTO+ Collaboration Publication Policy

Authors and versions

Version 1.1: May 2019. Written by J. Anderson (Chair of Science Board) and C. Inserra (Survey PI)[1].

Introduction

This document outlines the ePESSTO+ Collaboration publication policy. It applies to all papers submitted to refereed journals and conference proceedings. All papers that include some ePESSTO+ data, and include collaboration members in their author list, must abide by this policy.

A publication is considered an ePESSTO+ publication if (a) either the target is a ePESSTO+ follow-up target (i.e., more than one ePESSTO+ spectrum) or the publication is built around ePESSTO+ classifications, **and** (b) the ePESSTO+ data on which the publication is based have themselves not yet been published in a different ePESSTO+ publication.

The Publication Process

When a project, study or investigation begins that is likely to lead to a publication, the following steps should be followed. (*ENGRAVE-led publications deviate from this policy: see the end of this document for an outline of how those differ from normal ePESSTO+ publications)*.

1. A project leader is identified by the relevant science group coordinator, depending on the area in which the science project falls. They should post a title, brief summary, and the name of the lead author to the projects list wiki page on the private area of the ePESSTO+ wiki. General ePESSTO+ members should periodically check this webpage if they are interested in participating in science projects.
2. We strongly encourage the following practice within the science groups: a skeleton of the paper (figures, conclusions and main results) is circulated within the science group email lists well before the final draft is completed. This encourages collaboration and meaningful engagement by co-workers when there is still time left to shape the scientific content and direction of the paper. It is often somewhat late to significantly contribute to a paper by the time a final draft is ready. Hence, we would like to encourage this as good scientific practice and one that would enhance the scientific collaboration of ePESSTO+.
3. When the paper draft is ready, it should be posted to the private area of the ePESSTO+ wiki. A message to the ePESSTO+ collaboration (all@pessto.org) should be sent notifying everyone of the draft. The initial email should give details of the journal to be submitted to, detail the year(s) of ePESSTO+ data the publication is based on, and list any outstanding issues (e.g., authorship queries etc.). This version of the paper is embargoed and should not be distributed outside the ePESSTO+ collaboration, unless with the specific agreement of the paper's first author.
4. **Everyone** who is eligible for co-authorship on the paper (see below under Authorship) must respond with *at least* explicit agreement that they would like to be on the paper (i.e., they **must** acknowledge the paper and request that their names be added) in order to be a co-author. **There is a fixed time of two weeks**

1. Originally drafted by PESSTO/ePESSTO survey PI and chair of the science board Stephen Smartt and Mark Sullivan, respectively.

for this response and any paper comments to be received. In case of papers that are particularly urgent or time critical (e.g., where there is known competition from outside of the ePESSTO+ collaboration), this may be shortened to one week with the approval of the survey PI and science board chair.

5. After revision of the paper following comments, if the comments were minor it is up to the first author and science group coordinator to decide whether a further iteration is required. For major comments or revisions it is expected that co-authors would receive a second opportunity to view the paper prior to submission.
6. The paper is not considered public until its embargo is lifted by the lead author. Until this embargo is lifted, the paper and its results cannot be quoted in public (e.g., in conference talks), referenced in other publications, etc. without the permission of the lead author. The embargo may be lifted in one of three ways:
   - It is posted on arXiv,
   - The first author specifically lifts the embargo,
   - It is formally published and the first author neglects to lift the embargo before then.
7. The timing of any arXiv posting is at the sole discretion of the first author.
8. When any revised version is submitted that version must be posted on the ePESSTO+ wiki, together with any reply to the referee, and, eventually, a final link to the journal version must be posted.

Authorship

The basic principle of the ePESSTO+ publication policy is "juste retour" for work done on the survey. This principle will be implemented via a Builders List: a list of ePESSTO+ collaboration members whose effort is important to the overall success of the project and to the delivery of ePESSTO+ data products, and who will be offered the chance to be on every ePESSTO+ paper. Thus, the author list will normally be made up of the relevant Science Project members, the ePESSTO+ Builders list, and possibly members of the feeder surveys that provided the targets for the paper in question.

1. *Science Projects:* There is no centrally defined or maintained author list or policy within the science groups – this is devolved to the science group coordinators, although it is expected that authorship should be by merit.
2. *Builders list:* Scientists who have made a major commitment to the project, listed in the Builders List, shall be notified of all ePESSTO+ publications, and have the right to be listed as co-authors on all ePESSTO+ publications. The builders list is determined by the Science Board (see below) and is reconstituted every May. It is the builders list from the year in which the data were taken that is used for authorship determination.
3. *Feeder surveys:* The feeder surveys from which ePESSTO+ takes its follow-up targets may also request co-authorship for some of their members. These are described on a survey-by-survey basis in the next section.
4. ePESSTO+ observers / data reducers / TAT members are not entitled by right to be co-authors on *all* papers that use data from their particular observing runs (but see 5, 6, and 7). Such activity is viewed as necessary project work. However, there will be Builder status reward for observers who carry out significant amounts of NTT observing.
5. Observers will be in charge of issuing ATELs for their observing runs and will co-author these. These should be written on behalf of the ePESSTO+ collaboration, (e.g. "A. N. Others, on behalf of the ePESSTO+ collaboration"). ATEL guidelines can be found on the ePESSTO+ wiki.

6. Each observer will be entitled to authorship on one paper per observing run, above and beyond papers they would normally co-author within their science project. The choice of paper is up to each individual observer, *and it is their responsibility to contact the first author within 2 weeks of the paper being posted on the ePESSTO+ wiki, requesting co-authorship.* A maximum of three observers can be credited in this way per observing run. One "observing run" is defined as *one* of the 4N, 3N or 3N runs during a lunation. Hence if an observer carries out three runs then they are entitled to three papers for co-authorship.
7. Once a TAT member or data reducer has been "on duty" for 3 observing runs (not necessarily in the same lunation) he/she will also be entitled to authorship on one paper above and beyond papers they would normally co-author within their science project. Process is as for 6).
8. For ePESSTO+ publications not covered directly by a science group, co-authorship should be based on the level of direct contribution to the publication, or on Builder status.
9. Authorship and publication disputes will be arbitrated by the Science Board.
10. The order of the authors will be decided by the science group coordinator and the first author. Normally this would be the scientific analysis team first, followed by the Builders list and observers/data reducers in alphabetical order, and finally the members of the relevant feeder survey(s) (if any).
11. All publications containing ePESSTO+ data (refereed or otherwise) **must** include the following acknowledgement at this URL:
    http://www.eso.org/sci/observing/policies/publications.html
    This currently (May 2019) reads:

    > "Based on observations collected at the European Organisation for Astronomical Research in the Southern Hemisphere under ESO programme 1103.D-0328."

Builders List

The Builders List is maintained by the Science Board. Membership lasts until the end of an ePESSTO+ operations year, and the list will therefore be reconstituted every May. For publications, it is the Builders List corresponding to the date at which the data were acquired that will be used for co-authorship determination.

Membership of the list is based solely on effort spent on the ePESSTO+ survey and should be above the basic level demonstrated for leadership of a Science Project. As a guide, Builder List effort should exceed that required to go observing for a 3-week observing run.

Examples of qualifying activity would be: Attending two or more observing runs per year as part of the Observing Management Team; regular, active participation in and leadership of the Target and Alert Team; significant coding, maintenance, or improvements of the Data Reduction and Quality Control software; taking on a significant part of the Phase 3 data reduction for a ePESSTO+ year; significant coding, maintenance, or improvements of the WISeREP and Archive Team.

The composition of the Builders List for each ePESSTO+ year can be found on the ePESSTO+ wiki. The Science Board maintains this list. Further additions can be made during a year: nominations for inclusion on the Builders List should be sent to the chair of the Science Board, for discussion at the next Science Board meeting.

Feeder surveys

Each feeder survey will have its own policy towards authorship on ePESSTO+ papers. But they must also follow Point 6 in the "Publication Process" listed above i.e. everyone who is listed as a co-author on the paper must respond with at least explicit agreement that they would like to be on the paper, within the ePESSTO+ timeframe.

Pan-STARRS1 (PS1) and ATLAS:

ePESSTO+ publications that use either Pan-STARRS Survey for Transients (PSST) or ATLAS unpublished data – including photometry, early discovery points, photometric calibrations, templates – will need to include the Pan-STARRS Builders list or the ATLAS Builders list (both kept up to date on the wiki).

ePESSTO+ publications that benefit from ATLAS or PS1 discoveries and observations that are already in the public domain (either by our normal release of discoveries, or by publication) do not need to include the Pan-STARRS or ATLAS builders. But for critical data where ePESSTO+ needs to access the pixel data and either confirm or make new measurements, we would expect to offer the Pan-STARRS team or ATLAS team co-authorship.

All papers that include Pan-STARRS data, should include the formal PS1 acknowledgement and cite Chambers et al. 2016. If the ePESSTO+ paper is an ApJ letter or similar paper in which the word count is important then S. Smartt can provide an appropriate short version

- The Pan-STARRS1 Surveys (PS1) have been made possible through contributions of the Institute for Astronomy, the University of Hawaii, the Pan-STARRS Project Office, the Max-Planck Society and its participating institutes, the Max Planck Institute for Astronomy, Heidelberg, and the Max Planck Institute for Extraterrestrial Physics, Garching, The Johns Hopkins University, Durham University, the University of Edinburgh, Queen's University Belfast, the Harvard- Smithsonian Center for Astrophysics, the Las Cumbres Observatory Global Telescope Network Incorporated, the National Central University of Taiwan, the Space Telescope Science Institute, the National Aeronautics and Space Administration Grants No.s NNX08AR22G, NNX12AR65G, and NNX14AM74G, the National Science Foundation under Grant No. AST-1238877, the University of Maryland, Eotvos Lorand University (ELTE), the Los Alamos National Laboratory and the Gordon and Betty Moore foundation.

All papers that include ATLAS data, should include the formal ATLAS acknowledgement and cite Tonry 2018, PASP, 130, 064505.

- This work has made use of data from the Asteroid Terrestrial-impact Last Alert System (ATLAS) project. ATLAS is primarily funded to search for near earth asteroids through NASA grants NN12AR55G, 80NSSC18K0284, and 80NSSC18K1575; by products of the NEO search include images and catalogs from the survey area. The ATLAS science products have been made possible through the contributions of the University of Hawaii Institute for Astronomy, the Queen's University Belfast, and the Space Telescope Science Institute.

ZTF:

ePESSTO+ publications that use ZTF non-public data – including photometry, early discovery points, and spectra – will need to include ZTF members as co-authors. This typically includes ZTF builders, involved persons from the ZTF relevant working group based on specific contributions made (e.g., target selection) and observers that contributed the specific spectra, as well as the ePESSTO-ZTF coordinators (Goobar, Gal-Yam, Sollerman). The paper should go through the ZTF publication process, in parallel to the ePESSTO publication process.

This will be managed by Avishay Gal-Yam, Ariel Goobar and Jesper Sollerman.

ePESSTO+ publications that benefit from ZTF discoveries and observations that are in the public domain (either by the normal release of discoveries, or by publication; in particular all public ZTF alerts and classifications) do not need to include the ZTF team members.

OGLE:

In case of ATELs including OGLE transients, the authors to include are the following: *L.Wyrzykowski, M.Gromadzki K.A.Rybicki, N.Ihanec (Warsaw) on behalf of the OGLE collaboration*

While the citation for the survey is the following: *OGLE-IV Transient Search (Wyrzykowski et al. 2014, Udalski et al. 2015), http://ogle.astrouw.edu.pl/ogle4/transients/*

In case of papers, If OGLE-discovered transients are among other transients the following authors should be included:

{\L}. Wyrzykowski, M. Gromadzki, K. A. Rybicki, N. Ihanec

Warsaw University Astronomical Observatory, Al. Ujazdowskie 4, 00-478 Warszawa, Poland

And the survey citations are:

Wyrzykowski et al. (2014), http://adsabs.harvard.edu/abs/2014AcA....64..197W

Udalski et al. (2015), http://adsabs.harvard.edu/abs/2015AcA....65....1U

Acknowledgement is:

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The ePESSTO+ OGLE contact points is Lukasz Wyrzykowski (lw@astrouw.edu.pl).

ASAS-SN:

The ASAS-SN team will supply classification candidates before each ePESSTO+ run based on data using ASAS-SN data and other follow-up resources. The candidates also include pre-peak objects that are rising closely toward 17 mag (but not yet reached 17).

As part of this collaboration, ASAS-SN will offer the ePESSTO+ collaboration access to daily updated ASAS-SN image-subtraction light curves for any publicly-announced supernova candidates with discovery magnitude < 19 mag to facilitate the selection of candidates.

The use for these ASAS-SN light curve is only for facilitating selection of targets for ePESSTO+ classification. If ePESSTO+ members wish to use such data for any other purposes (e.g., publication), ePESSTO+ needs to discuss with ASAS-SN on a case-by-case basis.

The ePESSTO+ ASAS-SN contact point is Jose Prieto.

ENGRAVE-led publications:

One of the main scientific aims from the original ePESSTO+ proposal was to classify and follow possible gravitational-wave EM counterparts. The majority of the European effort to obtain such follow-up is through the ESO Large Programme: ENGRAVE (for the VLT). Therefore, it is envisaged that most data obtained from ePESSTO+ in this context will be used as complementary to that from the ENGRAVE collaboration and thus subsequent papers will be led by ENGRAVE. It has therefore been agreed that such publications will adhere to ENGRAVE publication policies, implying[2]:

- Publications will have alphabetical author lists and no other preferential identification of authorship. Authors contribution will be reported in the acknowledgements
- Publications will adhere to ENGRAVE timescales. This means that the above defined 2-week (and 1-week) timescales for general ePESSTO+ publications may be waived.
- Co-authors must explicitly request and agree* to authorship and must provide a short justification for their inclusion (that can simply be that justification usually applied for general ePESSTO+ publications; see above).

*In the case of very fast turnaround ENGRAVE-led publications using ePESSTO+ data (<3 days between draft and submission), then the following ePESSTO+ members are included by default[3]: builders, observers, TAT members, support team members (the latter 3 at the time the relevant data were obtained).

Many ePESSTO+ members are also members of ENGRAVE, but many are not. It is therefore explicitly stated that non-ENGRAVE ePESSTO+ members will be proposed to ENGRAVE to co-author ENGRAVE-led publications. However, they should not do so if they are also co-authors on directly competing papers (e.g. papers presenting the same wavelength

2. Some of these are identical to those of ePESSTO+, but they are repeated here for clarity.

3. Unless they have explicitly declined in advance: builders will be asked to state their position once they are defined as such, while observers/TAT/support teams will be asked to state their position at the start of each run.

observations at similar epochs but from different facilities). ENGRAVE's policy is to decide on a case-by-case basis if external data will be included. It is expected that scientifically useful ePESSTO+ data that adds value to ENGRAVE will be included, but this is ultimately a decision by ENGRAVE.

In the case of ePESSTO+ led papers that include ENGRAVE data, the above main ePESSTO+ publication policies are again to be followed.