

POLICIES FOR PLANCK SCIENTISTS: DATA RIGHTS AND PUBLICATIONS

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STATEMENT OF PURPOSE

This document contains the policies of the Planck Science Team (hereafter the Science Team) that establish the position of Planck Scientist, along with related rights and policies concerning publications for Planck Scientists, Co-Investigators, and Associate Investigators. The primary goal of these policies is to encourage, recognize, and reward the contributions of team members to the scientific success of Planck. A second goal is to establish a method of tracking and managing the contributions of team members to Planck. A third goal is to allow the Science Team and Consortia flexibility in the implementation of these policies. These policies shall remain in force through the proprietary period and beyond, as long as the Science Team and Consortia remain in existence.

These policies are aimed at scientists working on Planck, i.e., those team members whose professional recognition depends on papers in the scientific literature. These scientists belong to the HFI Consortium, the LFI Consortium, the DK-Planck (Reflector Provider) Consortium, all selected by ESA and led by a Principal Investigator, and the ESA Planck Science Office, led by the Project Scientist. For convenience, these four groups will be referred to collectively as the *Planck collaboration*, and these team members will be referred to as *scientific team members*.

Aside from the Principal Investigators and Project Scientist, scientific team members fall into two categories:

Co-Investigators are appointed by one or more of the PIs, and in general are senior scientists with identified institutional or financial roles, or responsibility for a significant part of the work.

Associate Investigators are nominated by co-Is and approved by the relevant PI.

Other personnel contributing to the Planck project, but whose interests are not primarily scientific, are listed in the Support category.

These policies apply to all members of the Planck collaboration and come into effect immediately. Possible future updates shall be approved by the Planck Science Team and publicised to the whole collaboration.

P O L I C Y 1

PLANCK SCIENTISTS

Co-Investigators and Associate Investigators whose work contributing to the success of Planck exceeds the equivalent of two years full-time activity since the inception of COBRAS and SAMBA or the beginning of team membership (hereafter *integrated work*), may be nominated by the relevant Principal Investigator or Project Scientist to the Science Team for the position of Planck Scientist. The evaluation of the integrated work will be done taking into account the amount of technical work provided by an institute/group of institutes to the project including long term developments essential to the success of Planck. The Science Team is responsible for ensuring consistency in the implementation of these policies across the Instrument Consortia, and shall normally approve nominations once consistency has been established.

Assessment of Integrated Work -- The assessment of integrated work in all relevant forms is the responsibility of the PIs. The initial assessment, covering from project inception (i.e., preparation of the COBRAS and SAMBA proposals) through December 2000, shall be made in the spring of 2001, with Planck Scientist nominations forwarded to the Science Team in April 2001. Future assessments shall be made annually, covering the previous calendar year, for the duration of the Planck teams, and shall be based on Work Plan Agreements described in Policy #2. The method used to assess integrated work shall be described by the Consortia when nominations are forwarded, in sufficient detail that the Science Team can assess consistency across the Consortia. Work that directly benefits Planck, for example, preparation of Planck proposals and documents, instrument development, construction, and testing, development and testing of algorithms and code, simulations in close connection with DPC activities, mission studies, and management of such activities, should be included in Integrated Work and in Work Plan Agreements.

Nomination Process -- Members of the Consortia satisfying the above criterion by the end of the previous calendar year shall be nominated to the Science Team annually by the relevant PI or Project Scientist, along with a description of the assessment process used. Planck Scientists shall be named by the Science Team. Although the position of Planck Scientist is designed primarily to reward individual effort, the Science Team recognises the need to guarantee fair return for contributions also at institutional and national level. As a result the PIs will strive to ensure that their nominations for Planck Scientists maintain appropriate balance at these levels also.

Cessation of Planck Scientist status -- Planck Scientists must remain active members of at least one Consortium, as defined in Policy #2. A Planck Scientist may voluntarily withdraw from a Consortium by notifying the relevant PI and the Project Scientist in writing. A Consortium may declare that a Planck Scientist is inactive by so notifying the Planck Scientist and the Project Scientist. In either case, data rights shall terminate on the date of notification, and the right of authorship on General Papers shall extend through the next five General Papers after notification, and then terminate.

Rights and Responsibilities of Planck Scientists –

1. Planck Scientists may at their request have their names on all General Papers (see Policy 3). Co-Investigators and Associate Investigators who are not Planck Scientists will normally have their names only on papers to which they contribute directly.
2. Except in exceptional circumstances, only Planck Scientists may lead proposals submitted in response to the (pre-launch) internal call for proposals for the Planck Core Science Programme, both General and Special categories. Special Projects added after that time may be led by Planck Scientists named before or after launch.
3. Only Planck Scientists may be first author on any paper published by the Planck teams during the proprietary period, unless in the judgment of the Science Team there is a compelling reason to do otherwise.
4. Planck Scientists and Co-Is have the responsibility to maintain confidentiality on any aspect of the Planck data, data processing, analysis, and results, at the level required by the Planck Science Team (see Policy #6), for themselves and for any Planck Associate Investigators associated to them.

P O L I C Y 2

WORK PLAN AGREEMENTS

Every scientific team member who is not contributing to an instrument or DPC work package shall have a written Work Plan Agreement with one of the working group leaders approved by his or her consortium covering the current calendar year or longer. This work can be done within the Instrument teams, the Reflector Provider team, the DPC teams, or one of the technical working groups initially set up by the PIs following the January 2001 Planck collaboration meeting, and published in the Livelink system. The team managers or working group coordinators are in charge of getting these written work packages established, and the corresponding work implemented and evaluated. They will report to the Science Team through the respective PIs. Standard forms (reasonably concise and simple) for these work packages written agreements will be provided. The PIs are responsible for implementation of this policy. The Science Team shall review these implementation methods for consistency across the consortia when discussing yearly Planck Scientist membership. It is to be emphasized that entering a work plan agreement (including participation in DPC or instrument work packages) signifies acceptance of the policies embodied in this document and future updates of it.

P O L I C Y 3

CATEGORIES OF PAPERS

General -- General papers are those which originate from the Planck Core Science Programme and in addition will include papers describing deliverables specified in the Science Management Plan (time ordered data, frequency maps, component maps, and source catalogs). The Science Team will update this list.

Special -- Papers describing other results based on Planck data shall be called Special papers.

Technical -- Papers whose primary purpose is to describe the design and performance of the Planck instruments, algorithms, software, operations, and Data Processing Centers, shall be called Technical papers.

Public -- Papers or other outreach materials (i.e. audiovisual, CD-ROM, booklets, etc) whose primary purpose is to describe Planck and its results to non-technical audiences or the general public shall be called Public papers.

Conference -- Papers published in conference proceedings shall be called Conference papers.

Internal Planck papers -- Papers describing methods and analysis both on instrumental, data processing, mission implementation and science issues which are too specific for publications in astrophysical Journals but useful scientific contributions within the Planck consortium and more generally in the CMB community, shall be called Internal papers. The Planck Science Team plans to set up an electronic Journal for Internal papers, which will be internally refereed by an Editorial Board appointed by the Science Team.

Industrial -- Papers written by industrial participants in Planck, and which refer to the Planck science programme or data only through reference to papers already published or in press, shall be called Industrial papers.

Final decisions about the categorization and readiness for publication of papers shall be made by the Science Team.

P O L I C Y 4

AUTHORSHIP ON PAPERS

General Papers -- As stated in Policy #1, Planck Scientists may have their names at their request on all General Papers. Co-Investigators and Associate Investigators who are not Planck Scientists, and Support personnel, may have their names only on General Papers to which they make direct contributions.

The order of authors on General Papers shall be alphabetical unless, in the judgment of the Science Team, there is a compelling reason to do otherwise.

Special, Technical and Internal Papers -- Only team members who have contributed directly to Special, Technical and Internal Papers shall be included in the author list. The order of authors shall be decided by the authors; however, only a Planck Scientist may be first author on Special Papers unless, in the judgment of the Science Team, there is a compelling reason to do otherwise.

Public and Conference Papers -- Public and Conference Papers shall be coordinated by the Science Team. Authorship shall be limited and determined on a case-by-case basis.

The general Planck collaboration must be acknowledged in all papers.

POLICY 5

CONFERENCES AND INVITED TALKS

Presentations and invited talks on Planck and Planck results shall be authorised and coordinated by the Science Team, and shall be used as a means both to inform the community as effectively as possible about Planck and its science, and to reward collaboration members for their contributions to Planck. The Science Team shall set up before launch a Planck collaboration Conference Bureau to deal with these matters on a day to day basis and report to the Science Team at each of its meetings.

POLICY 6

DATA RIGHTS, DISTRIBUTION OF DATA AND CONFIDENTIALITY

Co-Investigators and Planck Scientists shall have access to all internal deliveries of Planck data, at times and by means and methods determined by the Data Processing Centers. Associate Investigators shall have access to Planck data as necessary through explicit agreements with their associated Co-Investigator or the Planck Scientist leading the relevant Special Project. Distribution during the proprietary period of Planck data to any person outside the Planck collaboration, or to any person within the collaboration who does not have the right to access that specific type of data, without the express approval of the Science Team is forbidden.

All members of the Planck Consortia must agree not to discuss, disclose, distribute or share Planck data, data products, algorithms, software, data or scientific analysis activities, with anyone outside the Planck Consortia, and with anyone inside the Planck Consortia without the right of access to that specific type of information, unless the Planck Science Team has approved the release, or unless the information, data or data products have been made public. This agreement must be made in writing as a condition of access to Planck data.

POLICY 7

DISPUTES AND VIOLATIONS OF POLICIES

Disputes about team membership and status, categorization of papers, authorship, the order of authors on papers, and data access that cannot be decided among the people concerned or that involve more than one Consortium, shall be discussed and adjudicated by the Science Team. Violations of these policies shall be adjudicated by the Science Team, with sanctions ranging up to termination of membership in Planck and immediate loss of all data and publication rights.

Any member of the Planck Consortia who fails or refuses to sign the agreement regarding data distribution and confidentiality (Policy #6) will be removed from the Consortia, and have no access of any kind to Planck data, data products, or data analysis activities. Violations of the data distribution and confidentiality agreement will be severely penalized by the Science Team, in general resulting in disbarment from the Planck Consortia.

The Science Team may, depending on the severity of the violation, extend the sanction beyond the individual concerned, to his/her team and/or institute.

P O L I C Y 8

EXTERNAL COLLABORATIONS

During the proprietary period, there will be the need to establish collaborative arrangements with scientists outside of the Planck Collaboration, to provide data or expertise which are not available within the Collaboration. Such arrangements will be specified within a Memorandum of Understanding (MoU) between the leader(s) of the concerned Planck Project(s) and the External Collaborator(s). The MoU will be based on the following principles:

1. The MoU must be approved by the Planck Science Team.
2. In the MoU, a project (or projects) must be specifically mentioned which is (are) the only ones the external collaborator(s) may participate in.
3. The MoU will specify the rights and responsibilities of both parties (External Collaborator and Planck leaders).
4. The leader of the Planck Project takes responsibility that the MoU is implemented as signed by both parties.
5. The external Collaborator(s) remain external to the Planck Collaboration, i.e. they do not have access to Planck data (except as specified in the MoU), they do not attend Planck meetings, nor do they participate in any of the normal activities of the Collaboration.
6. The leader of the Planck Project is responsible to act as interface between Planck and the External Collaborator for all matters. In particular, the leader is responsible for distributing the data to the external collaborators as specified in the MoU, and obtaining prior approval of their exact characteristics from the Science Team before delivery.
7. For "expert" collaborations the MoU is subject to yearly endorsement by the Planck Project PI that the expertise is indeed of high value to the project. The MoU must include a description of the nature of the expert contribution.
8. For "data provision" collaborations, the MoU is subject to the data being provided in a way and time that makes it useable, and to it actually being used within the project. The MoU must include a description of the external data to be provided and how it will be used.

The Science Team will develop and provide a basic template to be used as an initial draft for all MoUs.

POLICY 9

STUDENTS

During the proprietary period, there will be the need to involve Students in the data processing and analysis activities of the Planck Collaboration. The involvement of Students is by their nature limited in time and they have specific publication needs within that period. Such needs may clash with the publication policy and timetable of the Planck Collaboration. It is the responsibility of the Student's supervisor to ensure that these needs can be met within the rules and timetable of the Planck Collaboration.

The involvement in Planck of Students who are not Associates will be specified by an MoU similar to those drawn up with External Collaborators (see Policy 8), with the following specific additions:

1. The MoU must be approved by the Planck Science Team.
2. The MoU will be initiated by the Supervisor and co-signed by the Student, the Supervisor and the Leader of the concerned Planck Project.
3. The MoU will specify the work that will be carried out by the Student, and the access to Planck data required to carry out that work.
4. The MoU will specify what Planck working meetings the Student/ may participate in.
5. The MoU will specify what publications are foreseen apart from those produced by the Project Team and what part of the work carried out they may contain. Note: a thesis also counts as a publication.

The Science Team will develop and provide a basic template to be used as an initial draft for all MoUs with Students.