

PUBLICATION PROCESS FOR PLANCK POST- LAUNCH PAPERS

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Add publication of conference proceedings	Section 9 mainly	

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1 SCOPE

This document details the process leading to the publication of Planck papers based on proprietary data in the post-launch era. The general rules for public communication are given in Planck/PSO/2007-034.

2 INTRODUCTION

Planck/PSO/2005-022, which specifies the data rights etc. for all Planck Scientists, defines the different categories of Planck papers expected from the mission:

1. **General papers:** originating from the Planck Core Programme, including papers describing the deliverables specified in the Planck Science Management Plan
2. **Special papers:** describing other, more limited results than the General papers.
3. **Technical papers:** describing the design and performance of the Planck instruments, algorithms, software, operations, and Data Processing Centres.
4. **Public papers:** to describe Planck and its results for the general public.
5. **Conference papers:** to be published in conference proceedings.
6. **Internal reports:** for communication within the Planck Collaboration of scientific and/or technical information as part of the Planck data reduction and preparation of the release data packages.
7. **Industrial papers:** technical papers only referring to Planck scientific performance through published papers.

General papers correspond at first approximation one-to-one to the Projects set up by the Planck Science Team starting in 1999, though many of these Projects plan to produce more than one paper. The list of Projects is available at <http://www.rssd.esa.int/index.php?project=PLANCK&page=workgroup>.

Special papers may be proposed at any time to the Science Team and can be agreed on an ad-hoc basis. Special papers must be associated to an existing Project, or a new Project must be created¹.

General and Special papers will be published in one of the main astronomical journals under coordination by the Planck Science Team, as described in the rest of this document.

Technical, Conference, and Public papers are expected to be published by other vehicles than the main astronomical journals, e.g. more specialised technical journals, conference proceedings, popular magazines, web sites, etc. The approval process for communicating unpublished materials in conferences and PR events is outlined in Section 9.

¹ Criteria for creating new Projects are described in a document to be written.

Internal reports by definition do not require internal refereeing and therefore this document does not apply to them. There should be very few Industrial reports in the post-launch era and they will be dealt with on a one-by-one basis.

A list of planned papers (including at least all General and Special papers, and as complete as possible in the other categories) is maintained in the Publication Management Portal² (PMP).

The publication process described in this document applies to all the above categories of papers except Internal Reports and Industrial papers. However, Technical, Conference, and Public papers will be subjected to a different level of internal refereeing than General and Special papers.

It is useful to note that this document applies to papers based on proprietary Planck data, i.e. data that have not yet been publicly released and are subject to proprietary rights. Any papers based on *public data only* are not required to be coordinated or approved by the Planck Science Team. However, any use in the paper of knowledge developed inside the Planck Collaboration, or of resources developed or provided by the Planck Collaboration, automatically implies that it becomes subject to the process here described.

Papers that are not based on Planck data, but that describe methods developed within the Planck Collaboration and that are used to generate official DPC products, are also subject to this process. Papers that describe methods which are not used to generate official products are not subject to the process here described; and these papers have to make it clear that their authors and the results described are not representing the Planck Collaboration in that context.

To prevent misunderstandings, Methods papers or Public-data-only papers authored by members of the Planck Collaboration which are believed not to be subject to this policy, shall be submitted to the Planck Editorial Board to be certified as such, before they are submitted to a journal.

3 REFERENCES

3.1 Documents

- Planck Science Management Plan, ESA/SPC(2004)10
- Planck Conference Management Guidelines, 23-05-2008
- Policies for Planck Scientists: Data Rights and Publications, Planck/PSO/2005-022, 11-02-2009
- Communications Policy for Planck: Public Release of Information, Planck/PSO/2007-034, 6-12-2007
- Policies for Planck: Observations of Planck Sources with Other Facilities, V0.5, 13-09-2009
- Style Guide for Planck Publications, latest version (available from thePMP)

² http://www.sciops.esa.int/index.php?project=PLANCK&page=Planck_Publication_Management

To be written:

- *Criteria for creating new projects*

3.2 URLs

- List of Planck Projects and Teams:
<http://www.rssd.esa.int/index.php?project=PLANCK&page=workgroup>
- Materials for use in approved conference talks and papers:
<http://www.rssd.esa.int/livelink/livelink/open/2819829>
- Publication management portal (PMP)
(http://www.sciops.esa.int/index.php?project=PLANCK&page=Planck_Publication_Management), which is the official source for:
 - List of Planck Papers, organized by category [including associated Review Teams, link to latest draft (e.g. wiki. Livelink area), planned date of submission to journal, link to list of co-authors etc]
 - List of current Official DPC Products and Ancillary Data
 - List of bona-fide public archives
 - Schedule of 6-monthly releases
 - Schedule of submission of paper groups
 - Repositories of:
 - Author and institute database.
 - References (bibtex database)
 - Standard Acknowledgments
 - Composition of the Editorial Board

4 INFORMATION AND DATA SOURCES

Only General, Special and Technical papers may include as input sources Planck data which have not yet been published or released.

4.1 General information

To avoid duplication of information and internal contradictions, all Planck papers must refer to the greatest extent possible to already published Planck papers, or to other Planck papers planned for simultaneous submission to journals.

At the time this document is being written, the best set of reference papers are the “Planck pre-launch status” papers.

A standard set of papers which shall normally be referenced will be included in the main bibtex reference database.

4.2 *Official DPC products*

All Planck General, Special and Technical papers shall use as basic starting point data products which are (a) generated using DPC-validated pipelines which have been run by the DPCs with the full available traceability and quality assurance infrastructure; (b) considered by the Planck DPCs as achieving the highest quality at that time, i.e.:

- A data product made available as part of the latest “6-monthly internal release”³. If the 6-monthly data products do not have the quality level needed for a specific science project, e.g. non-CMB-removed maps are required, the official DPC-produced maps used to generate the latest 6-monthly release (accessible only to Core Team members) should be the starting point (example: DX4 instead of DR2). This should be the case only in exceptional situations.
- For the CMB component specifically (which is not distributed with the 6-monthly releases and is accessible only to Core Team members), the product used to generate the latest 6-monthly release, and any other CMB maps or products produced by the DPC for specific purposes
- Ancillary data which is held within a DPC and has been validated by it
- Simulated data which is held within a DPC and has been validated by it.

A current list of the “Official DPC products” which can be used without further validation as data sources for Planck papers is maintained in the Publication Management portal.

Until a paper has been successfully internally reviewed and submitted to a journal, any updates in the official DPC products requires that:

- The results of the paper must be re-processed using as inputs the updated official products
or
- It must be demonstrated that the results of the paper are not affected by the update in the official products.

It is stressed that the “6-monthly” products may be generated at more frequent intervals. In particular, corrections to a particular set of products may occur at any time. In these cases the list will be updated to include the corrections, and the newer products become the official ones which have to be used as inputs.

4.3 *Private data*

Any data which are not an Official DPC Product (see section 4.2) and are used as a source for a Planck paper are considered Private data. This includes inter alia:

- Results of further processing of Official DPC products
- Ancillary data not held within the DPCs
- Simulated data not held within the DPCs
- Etc.

³ The latest schedule for release of 6-monthly products can be found via the PMP. The products are available directly from the Planck Internal Archive (PIA) interface.

4.4 *Data in the public domain*

Ancillary data which are obtained from bona-fide astronomical archives may be used as data sources for Planck papers, if they are not re-processed in any way.

Bona-fide astronomical archives include:

- SIMBAD
- NED
- IPAC
- LAMBDA
- HEASARC

In case of doubt whether an archive can be considered bona-fide, the Editorial Board shall be consulted.

5 DATA VERIFICATION

Official DPC products used as sources in the paper require no further verification.

Private data must be validated by the project team to achieve very high reliability. The validation process must be agreed with the review teams in advance as much as possible. If not described in the paper itself, the validation process and its results shall be described separately as an Internal Report and submitted for review together with the draft paper.

Ancillary data which is obtained from bona-fide astronomical archives and not re-processed for the purposes of the paper, will not require further verification.

6 WRITING PAPERS

6.1 *Project team*

Each planned paper is produced by a Project within the Planck programme (<http://www.rssd.esa.int/index.php?project=PLANCK&page=workgroup>). The team of people appointed by the Science Team to each Project, led by the Project Team leader, has the task and responsibility to write the corresponding papers.

Other members of the Planck Collaboration may of course contribute to the writing of the paper, with prior agreement of the respective Project leader.

6.2 *Access to latest draft*

The Project Team leaders have the responsibility to ensure that the paper drafts are distributed to and discussed with the whole Project Team.

It is recommended – but not required - that early drafts of the paper are written in the form of a wiki to which all the Project team members have read and write access⁴. The Core Teams (for ST-led papers) or the entire Planck collaboration (for product and other papers) will be given read access to the latest draft of the paper as soon as a detailed outline and a reasonable fraction of the contents is included. The latest draft (in whatever form: wiki, pdf, etc) shall be kept in a location that provides the required visibility and is pointed to from the PMP⁵.

Internal review teams shall be given access to the draft after it is submitted to the internal refereeing process, if they do not already have such access.

6.3 *Style guide*

A Style Guide for Planck papers and a latex style file is available via the PMP1.

6.4 *Use of common elements*

The paper shall make use of some elements which are managed in common and will be made available via the Publication Management portal:

- Author and institute database. This database will be the official source of information on: author name spelling, institute addresses, and papers on which each person's name will appear as co-author.
- Reference database: a bibtex file.
- Standard Acknowledgments, to be included in all papers.

General papers which are submitted in groups will make reference to this fact in their title, e.g. "Planck first year: ...". The precise wording in each case will be decided by the Planck Science Team.

⁴ The Project leader may choose to restrict further write access to make the process more manageable, especially in the case of large Project teams. To set up a wiki with access control linked to the Planck people database, please send an email to Planck_publication_management@rssd.esa.int.

⁵ The Project leader is responsible to ensure that the link in the Publication Management portal is up to date.

6.5 *Authorship*

The authorship rules for Planck papers are established in “Policies for Planck Scientists: Data Rights and Publications, Planck/PSO/2005-022, 11-02-2009”. Each Planck paper will have a different list of authors since:

- Planck Scientists have the right to sign all General papers
- Members of Projects who are not Planck Scientists are authors only of specific papers
- Papers produced by Special projects have limited authorship
- Technical, Conference and Public papers have limited authorship
- External collaborators have the right to sign papers in which they have participated according to an approved MoU.

The list of authors for each paper will be established at an early time on the basis of the established authorship rules, and made visible to the rest of the Collaboration. The final list will be approved by the Planck Science Team.

All papers following the alphabetic ordering policy of Planck shall start the author list with the words “Planck Collaboration:”, e.g. (Planck Collaboration: Aardvark, E., Astronomer, A., ...). A footnote will indicate a single corresponding author, in charge of interacting with the journal editors and answer reader queries. The corresponding author will by default be the Project leader as defined in the Planck People database; however, the Project Team may propose another name from within the Team.

7 INTERNAL REFEREEING

All Planck papers are products of the Planck Collaboration. Therefore, they must be subjected to internal review and approval before they can be submitted to any publication vehicle.

7.1 *Editorial Board, review teams, and reviewing guidelines*

An Editorial Board will be put in place, consisting of ~10-15 senior members of the Planck Collaboration, whose task will be to ensure that all Planck General and Special papers are internally reviewed in a thorough, consistent, and coherent manner. The basic role of the Editorial Board will be to

- ensure that all Planck papers are internally reviewed before submission to astronomical journals in a thorough, consistent, and coherent manner
- ensure that all Planck papers are consistent with each other, coherent, have minimal overlap, and have a consistently high quality standard
- make recommendations to the Science Team on the readiness of papers for publication.

The Editorial Board will be coordinated by the Planck Survey Scientists (G. Efstathiou and C. Lawrence). Other members of the Science Team will not be members of the Editorial Board, but will have a standing invitation to observe its activities.

The composition of the Editorial Board will be made visible to the Planck Collaboration.

The Editorial Board will appoint review teams to each Project, in consultation with the Science Team for ST-led papers, and the WG coordinators for WG-led papers. The detailed review procedure and the composition of the review teams will depend on the category of the paper and the specific Project producing it, and the Editorial Board may adjust it as it finds appropriate. The following are guidelines for appointing review teams which may be used by the Editorial Board depending on practical constraints:

- Review teams for General and Special papers arising in WGs 5, 6, 7 and Technical papers will be formed from 2–3 members of the Collaboration knowledgeable in the area but typically not leading participants in that specific project. Working group coordinators will be asked to recommend expert reviewers.
- Review teams for Product description papers and General and Special papers in ST-led science areas (CMB Cosmology and Non-gaussianity) will consist of 3-4 experts in the area, of which at least 2 should be members of the Editorial Board.

The Science Team reserves the right to appoint external scientists to any of the review teams, when deemed necessary and in consultation with the Editorial Board. In these cases a confidentiality agreement will be required.

Under the direction of the Editorial Board, papers will be reviewed for:

- Inputs and Numerical Results: the review team will verify all the data sources used, especially the Private data, i.e. that the data sources are either official DPC products or otherwise, that the verification plans agreed in advance with the review team (Section 5) have been successfully completed.
- Science content and conclusions: the emphasis will be put on robustness and credibility of the results
- Consistency, coherence, and overlap with other Planck papers, both at area level (e.g., Products, CMB Cosmology, WG), and at Planck level
- Style and language, i.e., adherence to the Planck Style Guide.

The findings of the review team will be communicated clearly and in detail to the whole Project team. This can be done by means of a written report or by a presentation, but a written record of the review proceedings must be made.

The Project team will respond to the Review team by updating the draft paper. The process will be repeated until both Review and Project team are satisfied. A summary of each step will be reported to the full Editorial Board. If the iterative process between Review team and project team does not converge, both teams will be invited to present their case to the Editorial Board for resolution.

7.2 *Approval*

The Science Team will make the final decision regarding the readiness of any paper to be submitted to a publication vehicle, e.g. astronomical journal.

If the Science Team decides that a paper is not ready to be submitted, a detailed justification of this will be provided to the Project Team together with recommendations which if implemented would make it acceptable.

7.3 *Submission*

The draft of a Planck paper shall be submitted for internal refereeing by the Project leader to the Editorial Board.

7.3.1 READINESS FOR SUBMISSION

Before submitting the draft paper for internal review, the Project Leader shall ensure that the contents of the paper:

- Are generally agreed by the members of the Project Team involved, and any significant dissent has been addressed in depth.
- Have been discussed at a larger level than the Project Team, i.e. Working Group for Projects in WGs5, 6, 7; and Core Teams for ST-led projects, and any serious challenges as to their contents have been addressed.

7.3.2 TIMESCALE

The paper shall be submitted for internal review typically three months before the date at which it is planned to submit the paper to a journal. Earlier submissions are encouraged.

Exception: Conference and Public papers shall be submitted one month before the date at which the paper has to be submitted.

The Science Team shall make available well in advance a schedule for the publication process of group submissions.

7.3.3 SUPPLY OF INPUTS

The submission of the draft paper shall include:

- A pdf of the paper in the format required by the target journal or publication
- A list of all the data sources used (Official and Private) and how to access them
- Internal reports describing the validation of Private data used as sources in the paper (if the validation is not described in detail in the paper itself).

Any numerical results used in the paper will be made available on request from the review teams or the Planck Science Team.

In addition, in the case of Conference papers, an electronic copy of the associated talk presented will also be provided for inclusion in the Conference Management Livelink area.

7.4 *In case of conflicts*

If the iterative process between Review team and project team does not converge, both teams will be invited to present their case to the Editorial Board for resolution. If the Editorial Board cannot achieve convergence, the case will be resolved by the Science Team.

7.5 *Approval*

For General papers, the Review team together with the Project team leader(s) will make a detailed presentation to the Editorial Board on the final outcome of the review. Special papers will similarly be presented to the Editorial Board but in a less detailed manner, to be decided on a case-by-case basis.

Based on the recommendations from the Editorial Board, the Science Team will make the final decision regarding the readiness of General and Special papers to be submitted to astronomical journals. In the case of Technical, Conference and Public papers, the Science Team will also make the final decision, but may choose to delegate this decision to appointed reviewers.

If the Editorial Board or the Science Team decide that a paper is not ready to be submitted to a journal, a detailed justification of this will be provided to the Project Team together with recommendations which if implemented would make it acceptable.

8 PUBLICATION

The publication of Planck papers may be organised in groups or may take place individually. There will be at least three or four group submissions:

- one together with the public release of the ERCSC in January 2011
- one (to be confirmed) including only non-CMB areas in January 2012
- one together with the public release of “1st year data” in December 2012
- one together with the public release of “2nd year data” in December 2013 (or later depending on the actual operational lifetime).

More group releases could be organised if felt necessary.

In the case of a group publication, it is required to adhere strictly to a publication schedule which will be set by the Science Team.

Papers may also be approved for individual publication depending on timeliness and interest.

Technical, Conference and Public papers are more likely to be in this class (excepting groups of papers to be published in proceedings of Planck-organised conferences).

8.1 *Choice of journal*

The Science Team will negotiate with the main astronomical journals the terms and schedule of Planck group publications. One member of the Science Team will be appointed to be the main interface to the journal.

The baseline choice for General and Special papers at the time this document is being written is Astronomy & Astrophysics.

8.2 *Submission to the journal*

Each Project Leader will be responsible to submit the paper(s) under his/her responsibility, at a time decided by the Science Team, and in the format required by the journal.

Prior to actual submission, a period (typically of 2 weeks) will be set aside during which the authors of the paper will have the possibility to review the final draft of the paper and decide to withdraw their name from the author list.

8.3 *Keeping track of progress*

The Project Team leader will keep the Editorial Board and the Science Team (via the appointed journal interface person) of progress in the submission process, informing of the milestones:

- Submission
- Receipt of referee report
- Re-submission of paper to journal
- Notification of acceptance/rejection etc.

The nominated ST interface will keep track of the status of all papers submitted to the journal. The final version of the accepted paper shall be provided by the Project leader as soon as it is submitted.

In case the referee report recommends rejection and/or contains major requirements for changes, the Editorial Board shall be consulted by the Project leader for advice on how to proceed. The Science Team shall be kept informed and may also intervene.

8.4 *Astro-ph*

Submission of papers to astro-ph or other electronic archives shall be done in a manner coordinated by the Science Team, i.e. no draft paper shall be submitted to astro-ph without the prior approval

of the Science Team. Papers that are submitted in group at specific milestones (e.g. together with the release of the ERCSC in Jan 2011, with the first data release in Dec 2012, and with the second data release in Dec 2013), will be uploaded as a group to astro-ph at the time of the release. For all other papers, to the extent possible, only papers already accepted for publication by the journal shall be included in astro-ph.

9 TECHNICAL, CONFERENCE, AND PUBLIC PAPERS

Technical, Conference and Public papers will normally be subject to a “lighter” reviewing process than General and Special papers.

For Public papers, the Science Team will take over the role of the Editorial Board. In particular, the Science Team will appoint internal reviewers on a case-by-case basis.

Presentation of Planck information at a public or professional conference by a member of the Planck Collaboration requires prior approval by the Conference Committee (email to planck_conferences@rssd.esa.int). It is worth re-emphasizing that Conference talks or papers should as a general rule NOT contain other than already published materials. Any exceptions to this rule⁶ will be referred by the Conference Committee for approval to the Science Team (see also Section 9.1). Any scientific views on, or re-interpretation of data and/or results described in publications by the Planck Collaboration, which differs or goes beyond the published interpretation, shall be unequivocally labelled as personal opinions or conclusions by the presenter. The presentation shall include standard acknowledgments to Planck and the Planck Collaboration, similar to those used in Planck-organised conferences. References to the published papers on which the presentation is based shall also be included.

Conferences often require an article to be published in a proceedings volume. Any proceedings article based on a conference presentation, whose contents are based on Planck publications, and where the presenter has represented the Planck Collaboration, shall be reviewed by the Editorial Board before submission. For this purpose, the article shall be sent to the Editorial Board at least two weeks before submission. The author of such an article shall be written as “Planck Collaboration, presented by [*presenter*]”. The proceedings article shall include standard acknowledgments to Planck and the Planck Collaboration, similar to those used in papers by the Planck Collaboration. References to the published papers on which the article is based shall also be included.

Conference presentations and related articles which contain a mix of materials from Planck and other publications shall be reviewed by the Editorial Board, and adjustments to the policy (e.g. author, acknowledgments) may be referred to the Science Team on a case-by-case basis.

⁶ Only expected to be cases where technical information is communicated at specialised technical conferences.

9.1 Contents of Conference Presentations & PR Releases

Conference and Public papers must as a general rule be exclusively based on already published and publicly available material; any deviations from this rule must be explicitly approved by the Science Team. Useable materials are made available in Livelink, URL <http://www.rssd.esa.int/lmlink/livelink/open/2819829> .

Individuals within the Planck Collaboration may request approval for showing unpublished materials at a Conference. For this purpose two categories of requests are defined:

1. *Requests related to high-profile public occasions or conferences where it would profit the Planck mission to be able to show very specific unpublished materials which have high visibility potential.* Normally – but not necessarily only - Science Team members will be the presenters of such materials. These situations will be addressed by the Science Team on a case-by-case basis, i.e. approval must be obtained for each specific presenter and occasion. A request (by a Science Team member or anyone else) must be made to the Science Team with at least one week's notice. The request will be approved if at least 5 members of the Science Team (other than the requester) explicitly agree to it. On these occasions, no written or other record (e.g. viewgraphs, proceedings, video, etc) shall remain publicly available of the unpublished materials which were approved to be presented.
2. *Requests made by individuals that specific unpublished Planck materials be made available to be shown at all approved Planck-related presentations.* In general, these materials should be illustrative rather than establishing new quantitative scientific results. At least a month of advance notice should be given for requests in this category. The ST may request validation of the materials previous to approval. These requests must be approved by *all* members of the ST *or* they must be approved at a ST meeting by all members present.

When considering requests for approval in either of the above categories, but especially for Category 1, due attention will be paid by the Science Team to coordination with (“PR”) releases to the wider public, i.e. Planck web releases or press releases. PR releases also have to be approved by the Science Team, however they have specific constraints with regard to timescales. The usual modus operandi for PR releases will be:

- the PR release will be discussed within the Science Team and approval will be given “in principle” for the contents of the release. The Science Team will be kept informed of the preparation of final release materials, and on their initiative members of the Science Team may object to parts of the release, but feedback will not be actively solicited.
- A “quasi-final version” of the release materials (text, images) will be distributed by ESA (or the initiating entity) to the Science Team at the start of the “embargo period”. The embargo period has as objective to ensure that other agencies or recognized PR partners can prepare their own PR materials and publish them simultaneously with ESA. During the embargo period, the materials to be published cannot be distributed beyond the Planck Collaboration and a limited circle of people responsible for PR aspects. Embargo times are usually of order one week, but they could be shorter depending on PR constraints. During the embargo period, the specific wording of text and some visual aspects of images/graphics may be

changed with respect to the “quasi-final version” to adapt them to the specific needs of each PR party, but the essence of the information conveyed will not be changed.

- During the embargo period, the Science Team may bring comments to the ESA materials which will be incorporated if possible, given available resources and time constraints.
- Reciprocity of information and coordination is expected between the ESA efforts and those of other parties who are on the distribution within the embargo period.

Until their final release, any materials prepared for PR purposes shall be treated as if they were unpublished materials of Category 2.