

Apertif Participation and Data Usage Policy

Version 1.0, 18 July 2019.

1. Introduction

1.1 Purpose

The purpose of this document is to describe the policies applying to access and distribution of scientific data from Apertif. This policy is designed to promote the usage of Apertif data, both inside the Apertif team and to the general public, and to protect and generate a return on the investment of the individuals and organisations that have contributed to Apertif. This document describes the rights and responsibilities of participants in Apertif. It also describes the levels of contribution associated with the levels of participation and the associated data access and usage policies. Policies described in this document supersede previously published participation and data usage policies.

1.2 Applicability

This policy applies to all scientific and calibration data generated by Apertif, regardless of where the data are hosted. This policy does not apply to any external public or proprietary data hosted by ALTA (or other internal Apertif repositories) that were not generated by Apertif.

Portions of this policy can be overruled by Memoranda of Understanding (MoU) with specific partners only after agreement of the Apertif Survey Executive (“ASE” hereafter, see Sec. 1.3).

1.3 Oversight and final responsibility

The Apertif Survey Executive (ASE), on behalf of the ASTRON Management Team (MT), oversees the application of policies and manages participation in the Apertif surveys. Requests for participation should be addressed to the chair of the ASE (see sect. 2.1). The ASE, on behalf of the ASTRON MT, coordinates any requests for participation, data usage and data access. The ASE arbitrates where conflicts arise of authorships, data access or project definitions. Any issues that cannot be solved by the ASE are escalated to the ASTRON MT. The terms of reference of the ASE are described in a separate document.

1.4 Violations

If a user of Apertif data is found to be in violation of the policies described here, including the Code of Conduct in Sect. 8, the ASE and the ASTRON Management Team

(with the latter taking precedence over the former) will take appropriate action, up to and including the removal of all data rights and publication rights.

2. Levels of participation: definition and rights and responsibilities

2.1 Apertif membership requests

Any individuals or teams wishing to participate in the Apertif surveys should address this request to the chair of the ASE. This request should contain the level (as defined in this section) at which they wish to join, the resources they will bring in (appropriate for the desired level), the science project they wish to pursue and the data they wish to access as well as the names and affiliations of people involved. Blanket requests for proprietary data or proprietary areas of the sky without scientific justification will not be honoured. Prospective participants are expected to consult the list of current projects before making a request. The ASE will decide on a reasonable timescale whether to honour the request, taking into account possible conflicts with existing projects. Where overlap exists, the ASE will explore whether collaboration is possible, in consultation with relevant participants.

2.2 Participant categories

This policy distinguishes between three categories of participants regarding data rights and responsibilities. Also see the Apertif Publication Policy documents for publication rights and responsibilities corresponding to these categories.

2.2.1 Apertif Builders

Apertif Builders include engineers, designers and scientists that have contributed significantly to the technical, organisational and scientific development of Apertif.

The ASE will maintain the Apertif Builders list. It is expected that this list is a dynamic list, and it is expected that individuals will join and leave. The ASE is responsible for both new and expiring memberships.

Apertif builders are full participants and have all the rights and responsibilities thereof. In addition, they have the right to be included as co-authors on key publications (see Apertif publication policy).

The ASE will ensure that a complete and up-to-date builders list is available and accessible for all team members.

2.2.2 Apertif Participants

Apertif participants include any researcher partaking in an ASE approved scientific paper or project who is contributing or has significantly contributed (at the level of 0.5 person year or more, or equivalent) to the definition, execution and running of the Apertif surveys. Apertif Builders are considered Apertif Participants, even if they are not involved in a science project.

Apertif participants have the right to propose science projects or papers that make use of proprietary Apertif data. The ASE oversees the list of defined science projects and papers to prevent conflict among different participants. Where conflicts arise the ASE is the final arbiter.

Apertif participants have the responsibility to make sure that there is progress on all defined science papers and projects. If there is no progress, the ASE may allow another (external) participant to work on that project.

An Apertif participant may sponsor an unlimited number of postdocs or other short-term staff and an unlimited number of graduate and undergraduate students.

An Apertif participant is responsible for making sure they and their sponsored researchers follow the Apertif Code of Conduct (Sect. 8).

2.2.3 External Collaborators

This category consists of researchers collaborating with Apertif Participants or Builders on specific papers. External Collaborators may be proposed by Apertif Participants or Builders on the basis of a written proposal outlining a contribution that cannot be provided by other Apertif Participants or Builders (or their sponsored researchers).

External Collaborators are restricted to the Apertif data for which they have been proposed and will typically participate in only one or two papers or projects. External participants have the responsibility to ensure progress on defined projects or papers, or the ASE may allow the work to be done by another participant or collaborator. External participants may sponsor a limited number of postdocs or graduate students and an unlimited number of undergraduate students. Typically, one postdoc or graduate student may be sponsored per defined science project or paper.

External participants must follow the Code of Conduct (Sect. 8) and ensure all their sponsored researchers do the same. MoUs may overrule external participation rules, after agreement of the ASE.

A list of External Collaborators and their associated project(s) will be maintained on the Apertif Publication Wiki.

3. Data Ownership

Apertif data (as defined in Sect. 4) are owned by ASTRON and held in trust for the ASE during the proprietary period (as defined in Sect. 6).

4. Data categories

This policy distinguishes between two main types of data that are produced, used or served by Apertif and its Long Term Archive (ALTA): Apertif and external data.

4.1 Apertif data

This category includes any data produced by the Apertif instrument.

4.1.1 Laboratory data

Apertif laboratory data includes any data produced in the lab during design, development, manufacturing, assembly, integration, testing, and maintenance of the Apertif instrument. In some cases, laboratory data may overlap with calibration data (Sect. 4.1.2 below).

4.1.2 Calibration data

Apertif calibration data includes any data collected by the Apertif instrument, whether taken by the instrument on the telescope or in the laboratory, for purposes of calibrating Apertif survey data.

4.1.3 Instrument health and housekeeping data

Apertif instrument health and housekeeping data includes all information on observation blocks, schedules, telescope health and condition, beam weights, receiver condition, etc. used to produce Apertif survey data or collected during the production of Apertif survey data to monitor the performance of the Apertif instrument and the conditions under which Apertif survey data are taken.

4.1.4 Survey data

Apertif survey data includes all science data produced during the Apertif projects. This includes raw data (calibrated and uncalibrated) and science-ready data products. These include data cubes, mosaics and moment maps for the imaging surveys and, for the time domain survey, time-series data at native time resolution toward known sources and new detections, and at down-sampled resolution for the rest of the sky; plus VOEvents.

4.2 External data

This category includes any data included in ALTA or other Apertif data systems that are not produced by the Apertif instrument.

4.2.1 Public external data

Public external data are any external data in the Apertif system originally retrieved from a public data repository. Examples of public external data include Sloan Digital Sky Survey data, etc.

4.2.2 Proprietary external data

Proprietary external data are any external non-Apertif proprietary data that have been ingested into the Apertif data systems before they have been released publicly. Examples of proprietary external data include LOFAR Survey KSP catalogues before its data releases.

5. Data rights per Apertif Participant Category

This document and the Apertif Publication Policy distinguish between three participant categories: Apertif Builders, Apertif Participants, and External Collaborators. For the purposes of the data rights, we add a fourth category, External Users, who are users of ALTA but do not fall into the other three categories.

5.1 Apertif Participants and Builders

Apertif Participants and Builders have rights to access, scientifically exploit, and publish Apertif laboratory data, calibration data, instrument health and housekeeping data, survey data, and contributed data products before public release (Section 6), under the rules specified in the Apertif Publication Policy. Apertif Participants and Builders only have access, exploitation, and publication rights to proprietary external data (Section 4.2.2) if the external data provider has given that Participant or Builder explicit rights to those data.

5.2 External Collaborators

External Collaborators have rights to access, scientifically exploit, and publish Apertif laboratory data, calibration data, instrument health and housekeeping data, survey data, and contributed data products before public release only for Apertif data associated with those projects and papers with which they are associated, under the rules specified in the Apertif Publication Policy. As for Apertif Participants, External Collaborators only have access, exploitation, and publication rights to proprietary external data (Section 4.2.2) if the external data provider has given those Collaborators explicit rights to those data.

5.3 External Users

External users only have access and exploitation rights to Apertif data that have been publicly released and no access to any proprietary Apertif data.

6. Proprietary periods and data release schedule for Apertif data (18-month survey)

6.1 Apertif Survey Data

All Apertif data listed in Section 4.1, as well as derived, higher-order data (covered in Section 7 below), are proprietary under the considerations described in Section 4 up to the data release dates specified in the following table, which assumes an 18-month survey period beginning July 1, 2019. This release schedule will be revisited if the survey period is extended beyond 2020. At the April 2021 release, all data become public.

<i>Release date</i>	<i>Coverage of survey data in data release</i>
<i>September 2019</i>	Science quality data up to July 1, 2019.
<i>April 2020</i>	Survey data up to Jan 1, 2020
<i>October 2020</i>	Survey data up to July 1, 2020
<i>April 2021</i>	Survey data up to Jan 1, 2021

All data releases must be approved by the ASE and accompanied by a data release paper. The ASE may change the number and frequency of data releases should the survey period or observing efficiency change. At the discretion of the ASE and in consultation with the relevant science teams, individual data sets may be made public earlier than the above schedule to facilitate, e.g., time-domain follow-up observations.

7. Data policy for contributed data products

Higher-order contributed data products are any products derived from the standard survey products. Higher-order products must be uploaded to ALTA before submission of any paper presenting or containing any or all of the data in that product. Higher-order products will be proprietary for up to 12 months or until the moment of publication of a paper containing these products, whichever comes first. In some cases, where earlier release enhances the scientific impact, the ASE may decide on a shorter release time-scale, in consultation with the relevant science teams.

Publication of higher-order data products data falls under the Apertif Publication Policy.

8. Code of conduct

8.1 Professional Conduct

The ASE is committed to providing a harassment-free environment for everyone, regardless of gender, sexual orientation, disability, physical appearance, race, age, political opinion or religion. Harassment in any form is not tolerated. All communication should be appropriate for a professional audience including people of many different backgrounds. Sexual language and imagery should not be used at any time. This applies to presentations and posters at conferences and in meetings, but also to general conduct. Be kind to others. Do not insult or put down others. Behave professionally. Remember that harassment and sexist, racist, or exclusionary jokes are not appropriate.

8.2 Data access

All Apertif team members (builders, participants and internal and external collaborators) agree to only access data for science projects approved by the ASE.

8.3 Publications All Apertif participants (builders, participants and internal and external collaborators) agree to abide by the Apertif publication policy.

8.4 Scientific conduct All Apertif participants (builders, participants and internal and external collaborators) agree to adhere to the Netherlands Code of Conduct for Research Integrity (<https://doi.org/10.17026/dans-2cj-nvwu>) which is based on the principles of honesty, scrupulousness, transparency, independence, and responsibility.