

Apertif Publication Policy

Version 2.0.1, 27 Feb 2023.

1. Introduction

The purpose of this document is to describe the publication policy of scientific and technical results from Apertif. This publication policy is designed to give fair credit to the authors and other individuals who have contributed to Apertif and to promote timely publication of excellent and accurate science results within the Apertif collaboration and from external users of the Apertif data.

1.1 Governance

ASTRON is the party ultimately responsible for the development and deployment of the Apertif instrument as well as the operation of the integrated WSRT-Apertif facility on behalf of the other partners, funding agencies, and astronomical community. As such, the ASTRON management team (MT) holds the final responsibility for the definition and adherence to this and other relevant Apertif policies. Where necessary the ASTRON MT will serve as the final authority for high-level decisions or conflict resolution. The ASTRON MT has appointed the Apertif Publication Board (APB) to oversee the definition and application of all policies related to the scientific usage of Apertif data on its behalf. The APB strives to act based on a consensus of its membership. In the event that consensus cannot be reached, the ASTRON MT shall stand as the final decision-making body.

1.2 Applicability

This policy applies to any journal paper, conference proceedings, or other publicly available document that has been derived from Apertif data before public release.

Portions of this policy can be overruled by Memoranda of Understanding with specific partners only after agreement of the APB.

1.3 Violations

If a user of Apertif data is found to be in violation of this policy, the APB 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. Types of Publications

This policy distinguishes between three types of publications: "data release papers," "refereed papers", and "non-refereed work".

2.1 Data release papers

Data release papers describe the contents of the Apertif data releases to the public, including overall observing strategy and targeting descriptions. Details of strategies and targeting description for individual projects belong in *scientific* papers.

2.2 Refereed papers

Refereed papers can be either scientific or technical in nature. Scientific papers are based on presentation and/or analyses of the Apertif data. Technical papers are those that describe the Apertif instrumentation, calibration, and software. Examples of such papers include articles published in SPIE Conference Proceedings or technically oriented journals such as Astronomy & Computing.

2.3 Non-refereed work

This includes non-refereed conference proceedings, colloquia, seminars and conference presentations.

3. Participant categories

This policy distinguishes between two categories of participants regarding publications.

3.1 Apertif Team Members

Apertif Team members include the engineers, designers and scientists that have made Apertif possible. Generally, team members have contributed a significant effort (0.5 person year) to the development of Apertif and/or the running of the Apertif surveys. The list of Apertif team members is maintained by the APB.

3.2 External Collaborators

This category consists of researchers collaborating with Apertif Team members on specific papers. External Collaborators are restricted to the Apertif data and paper(s) for which they have proposed. External collaborators are generally expected to bring a contribution not within the existing science teams. They should identify an Apertif team member to serve as a liaison. A list of External Collaborators and their associated paper(s) will be maintained on the Apertif Publication Wiki (or similar platform) that should be accessible to Apertif Team members and Collaborators.

4 Authorship

4.1 Data release papers

Authorship of data release papers is open to all Apertif Team members. The lead author is the Apertif Team member who coordinates and is primarily responsible for the paper. Authorship after the lead author consists of a two-group author system where the first-named group is composed of the team contributing directly to the paper, and the second-group is composed of all Apertif participants who agree to be co-authors, in alphabetical order of first surname.

4.2 Science and technical papers

Apertif science and technical papers are expected to use a multi-tiered author order system. An Apertif team member is expected to be the lead author of papers based primarily on proprietary Apertif data.

Apertif Team members may request authorship on an Apertif publication. The request should be made to the lead author during the comment period for a proposed publication and should include a justification for authorship. Indirect Apertif contributions will be weighted commensurate to the importance of Apertif data within a paper when considering authorship requests.

All authors should have read and broadly understood the content of all papers they co-author. Similarly, the lead authors should ensure co-authors are aware of the paper contents and seek their agreement before submitting the paper.

The APB will adjudicate authorship disputes for all science and technical papers.

4.3 Colloquia, seminars, conference presentations, and conference

proceedings Colloquia, seminars, non-refereed conference presentations, and related proceedings are not required to follow the authorship policy set out in Section 4.2 above. Conference publications may list key authors and use the phrase "and the Apertif Team" in place of a long author list. However, any non-refereed conference presentation or proceeding that does not follow the authorship policy set out in Section 4.2 may only include qualitative results based on papers that have been published or submitted for publication, and it must reference those papers as the primary source for those results.

Refereed conference presentations and proceedings are also required to follow the authorship policy set out in Section 4.2 above. Examples of such proceedings include articles published in SPIE Conference Proceedings or technically oriented journals such as Astronomy & Computing.

4.4 Other communications

Press releases to the media should be authored by an Apertif Team member in cooperation, if needed, with a PR officer of a related organisation. Apertif Team members planning to submit a press release based on or involving Apertif data should notify the APB in advance in order to allow for coordination of associated press coverage from other relevant Apertif host organizations.

5 Publication Procedure

5.1 Science and technical papers

Scientific and technical papers both follow the same procedure as outlined below.

- Any active Apertif Team member can propose to lead to a paper. External collaborators may also propose papers, where they are generally expected to have a clear external contribution. When proposing a paper, and assuming there are no conflicts with already assigned papers, an entry is made on the Apertif Publication Wiki announcing the authors' intention to commit to delivering a draft paper within a reasonable time (generally one year). The paper proposal must include a paper title, a lead author, a list of current project members, and a brief abstract. The lead

author and project members then have exclusive rights for that scientific use of the related Apertif data during the "reasonable time" agreed upon. Note that this only applies to the specific usage of the data as defined in the paper description. Other usage of these data is still allowed by other team members.

While a project is listed, interested Apertif Team members may contact the lead author to join the project.

- Final drafts must be posted to the Apertif Publication Wiki for access by all Apertif Team members and announced to the collaboration via email. During the following two weeks, interested Apertif Team members can request co-authorship and make comments. The lead author may accept or reject authorship requests from Apertif Team members, based on a judgement whether there has been a significant contribution to the paper. Any conflict on the authorship will be settled by the APB.
- At the end of the two-week period, the lead author is required to revise the paper in response to the received comments and other valid requests. The lead author must also circulate a response to the most important comments that have not been taken into account in the revised version. At the end of the two-week period or the revision process - whichever is longer - the final version of the paper must be posted to the Apertif Publication Wiki and sent to all co-authors three working days before submission to the chosen journal to solicit final critical comments or issues. No further comments are expected at this stage. It is the responsibility of the lead author to ensure that all co-authors are aware of the paper and its contents and agree with the methods and conclusions presented there. If any co-author believes there is a serious issue with this version of the paper they may appeal to the APB, who have the power to stop the submission of the paper or withdraw it until the issue is resolved.
- The paper is not considered public until its final version has been posted to the Apertif Publication Wiki or until any embargo has been lifted by the journal (to be noted on the Apertif Publication Wiki), whichever is later. Until the paper is public, neither the paper nor any results from it can be quoted in public, referenced in other publications, or any other manner without permission from the lead author. This includes submission to preprint servers such as ArXiv. The project team must post the final accepted or published version of a paper to the Apertif Publication Wiki as soon as possible after revision in response to external peer review.
- Papers based on projects started with non-public Apertif data must follow this procedure even if the data used become public during the course of the project.

5.2 Data release papers

Major releases of Apertif data will be accompanied by one or more papers describing and detailing the contents of that data release. These will be coordinated by the Apertif Delivery Team and posted to the Apertif Publication Wiki no less than four weeks before submission for comment and authorship signup by all Apertif Participants.

6 Page charges and open access

ASTRON and the APB will not be responsible for page charges for any scientific paper. Lead authors of papers who wish to publish in a journal with page charges are responsible for those page charges.

All scientific and technical papers must be published in open-access journals or in a format that ensures open access (such as the arXiv preprint server) within six (6) months of publication. The open-access version must be the accepted version of the publication. Scientific papers and data release papers must not be submitted to preprint servers prior to acceptance by a refereed journal, unless otherwise approved by the APB and co-authors on the paper.

7 Apertif Acknowledgement

All Apertif publications must include the standard Apertif acknowledgement. The current version of the acknowledgement will be found on the Apertif Publication Wiki.

This acknowledgement is:

This work makes use of data from the Apertif system installed at the Westerbork Synthesis Radio Telescope owned by ASTRON. ASTRON, the Netherlands Institute for Radio Astronomy, is an institute of the Dutch Research Council ("De Nederlandse Organisatie voor Wetenschappelijk Onderzoek, NWO).