

Authorship Rules

v1.0

Bjoern Penning

February 15, 2024

Contents

| | | |
|----------|---|----------|
| 1 | Introduction | 1 |
| 2 | Summary of Initial Discussions | 2 |
| 3 | Authorship | 2 |
| 3.1 | Authorship Qualification | 2 |
| 3.2 | Obtaining Qualification | 2 |
| 3.3 | Continuing Qualification | 3 |
| 3.4 | Pause of Authorship or Re-Qualification | 3 |
| 3.5 | Decision on Authorship | 4 |
| 3.6 | The Author List on Publications | 4 |
| 4 | Type of Publications | 4 |
| 4.1 | Physics Results | 4 |
| 4.2 | Technical Publications and Reports | 5 |
| 4.3 | Conference Proceedings, Posters, Job Talks and Theses | 5 |
| 5 | Publication Board | 6 |
| 6 | Exceptions | 6 |
| 6.1 | Request of Removal from Author List for a Publication | 6 |
| 6.2 | Additional Authors for a Publication | 6 |
| 6.3 | Limited Authorship Publications | 7 |
| 6.4 | Conference Proceedings and Posters | 7 |

1 Introduction

This document describes the authorship policy of the Spice/Herald (SH) collaboration to release results publicly. The goal is to maintain the highest possible standards for results of any type that are released, whether to news media,

agency reports, conference posters, conference proceedings, releases to the electronic archives, or journal articles, while also endeavoring to support the needs of its members and treating all collaboration members equitably.

2 Summary of Initial Discussions

Three possible authorship models were presented by Dan McKinsey and discussed by the SH executive board on 11/11/20. Those options were:

- *Option I:* Determine author list based on who directly contributed to the R&D in question.
- *Option II:* Have a general collaboration author list (alphabetical) for all efforts that make use of project funds.
- *Option III:* Have a 'tiered author list', identifying primary authors in order of their contributions followed by a alphabetical collaboration author list.

Overall favored was option II which is going to be detailed for discussion in the following.

3 Authorship

The authorship policy is guided by the principle that a SH author should have made a significant contribution to the experiment. Authorship is a privilege and a responsibility. A privilege in the sense to be part of research that can only take place by many people working together and investing a significant part of their time, a responsibility in the sense of taking responsibility for the scientific result and to adhere to the norms of scientific conduct.

Only people qualified as SH authors may sign SH papers. Exception may be made for people who have not yet qualified as authors but have made a significant contribution to a particular paper, see Sec. 6.

3.1 Authorship Qualification

Authorship on SH publication's describing physics or technical aspects of the SH experiments require to be an active member of the collaboration for at least 12 month. Authors should have dedicated no less than 30% of their research effort to SH over this period of time. During this time they should have completed a qualifying task as defined in Sec. 3.2. The record of such tasks will be one important factor when exceptions to the authorship rules are considered.

3.2 Obtaining Qualification

To become an SH author one must:

- Have been a qualifying member of SH for at least one year
- Complete a qualification task. The qualification tasks must contribute in a substantial manner to the success on one or more of the following tasks:
 - Fabrication, installation or commissioning of the detector
 - Operation of the detector
 - Provides service work in simulation, reconstructing, software or calibration
 - Made substantial contributions to obtaining funding for the experiment including R&D and simulations

Exceptions will be specified in Sec. 6. Collaborators that do not meet the above requirements may be nevertheless considered after discussion by the Executive Board and in consultations with the spokesperson. Research and development or simulation projects aimed at the design or optimization of potential future R&D do not in general count toward authorship on papers presenting technical aspects of the SH detector, or papers presenting SH physics results. Authorship on papers describing physics results will be extended to all who have made significant scientific or technical contributions to the work described. In extraordinary circumstances, authorship may be extended to undergraduate students who have made exceptional contributions. Any member of the SH Collaboration can request an exception to this rule.

The supervisor of the new member is responsible to request authorship from the Executive Board one year after the new member has joined SH. In case of conflicts the spokesperson will mediate. The ultimate decision lies with the spokesperson.

3.3 Continuing Qualification

In order to remain qualified, every active author must:

- Continue to be an SH member
- Spend at least 30 % of their research time on SH

It is the responsibility of a group's PI to maintain the correctness of the authorship of their group members. Members who change institutes within SH simply continue as authors with new institutional affiliation in effect immediately. Members who left SH or left a SH member institute will continue to be signing authors for one year after which their authorship expires.

3.4 Pause of Authorship or Re-Qualification

An active SH collaborator, who leaves the collaboration or loses qualification, is retained for a further 1 year as a signing-only author. If an active author fails to qualify for continuing authorship, and later wants to resume then they must

qualify as a new author. In the case of an absence from SH due to exceptional circumstances, they may be retained on or pause from the author list at the discretion of the Spokesperson after consultation with the Exec. Board. A request for such a pause cannot be made retroactively.

3.5 Decision on Authorship

The normal channels for communication concerning authorship should be between the institutional PI and the Exec. Board. Anyone may also appeal to the Spokesperson. The spokesperson, with the agreement of the Exec. Board may remove any person from the authorship list for any behaviour or activity which is considered inappropriate for an SH author.

3.6 The Author List on Publications

All general publications will be signed by all active authors and signing-on authors. The list of SH authors is maintained by the publication board and accessible to all members of SH. The list must include *names of authors* and *institutional affiliation*.

The list is updated regularly. Newly qualified authors are added, and people whose authorship has run out or whose qualification has been ended by their PIs while they continue to be SH members will be removed. The date of the circulation of the first paper will determine the author list to be used. The author list on publications is to be ordered alphabetically. For some publications, in particular technical and project ones, the ability to actively opt-in will be an option.

4 Type of Publications

The primary goal of the collaboration will be to publish physics results in peer-reviewed publications or conference presentations. There also may be news releases, oral reports, posters, releases pre-print servers, conceptual and design reports, as well as technical or computing papers. All of these are considered in this documents. The policies governing the different types of papers vary necessarily.

4.1 Physics Results

Physics results are all those that represent SH physics, using SH data or simulation studies using the SH reconstruction software or significant technical insights of the workings of the SH detectors, readout and reconstruction efficiencies.

- *Journal Publication:* A publication policy should define the process by which an analysis result and its publication are approved by the collaboration. All collaboration members must be provided the opportunity to review the physics and written publication before submission.

- *Conference Presentations:* Written and oral conference presentations are subject to a similar basic review procedures to insure their quality. Conference presentations that are not yet approved for journal publication shall be clearly labelled as 'preliminary'. The goal of any result released to a conference should be a journal publication. Appropriate procedures regarding conference style, talk rehearsal and quality of results will be developed. The publication/executive board will remain responsible for all results. All written documents submitted to conferences and conference proceedings need to be reviewed by a review board. Conference proceedings be single author.

4.2 Technical Publications and Reports

- *Conceptual and Technical Design Reports* These are reports that are produced as part of the process for agency approval and release of funds. Design reports are produced in close collaboration with the executive board and project management. WBS groups will conduct the detailed review of the technical content of design reports, while the collaboration will review science content that is outside the project scope. Design reports will have a broad author list, with contributions well beyond pure science, including contributions to budget, schedule, planning, engineering, and organization recognized by authorship.
- *Detector, Instrumentation, and Computing Publications* Publications regarding the overall detector, its physics and project motivations, its overall technical aspects and operations, technologies developed with project funding, and all papers that require data collected with the SH detector are governed by the usual publication policy. Publications dealing solely with technical aspects of SH including design, implementation, operation, computing and performance of various components of SH shall use full authorship. Small authorship papers shall be avoided but are possible after discussion with the executive board and the spokesperson. Responsibility for the content of these papers lies largely within one of the detector subgroups in this instance. Nevertheless, the intention is that all collaborators should be informed about the intended publication and have access to instrumentation or computing papers as soon as they are in final form. All active authors should then be able to opt-in onto the authorlist of those publications.

4.3 Conference Proceedings, Posters, Job Talks and Theses

PhD and master theses are not governed by this documents. Conference proceedings, public talks, posters should be indication 'On behalf of the SH collaboration' in addition to the main author/speaker. This is not necessary for job talks. Regardless, all results shown should be marked as 'preliminary' unless

published already. The authors technical or institutional PI is responsible that the same quality criteria as applied. See also Sec. 6.

5 Publication Board

The publication board is a permanent committee to ensure high quality of all SH publications and coordinate the internal review process. Presently the Executive Board serves as Publication Board. Its main responsibilities are:

- Maintain high quality of publications in a timely and relevant manner.
- Define internal review process and appoint internal review committees
- Establish and maintain the author list following the definitions in Sec. 3
- Maintain a repository of all submitted paper
- Resolve potential conflicts between authors and reviewers
- Establish style and language guides and work
- Give final approval for paper submission to journal and re-submission after revision

6 Exceptions

Exceptions to the author list rules can be made by the spokesperson in consultation with the publication board.

6.1 Request of Removal from Author List for a Publication

If a SH author does not want to sign a given paper they have to inform the chair of the publication board and the spokesperson. The request should be done in a timely fashion, about one week, after first collaboration wide circulation of a paper draft. However, it is the expressed goal of the collaboration to not remove authors and to have scientific consensus on the content and presentation of each paper.

6.2 Additional Authors for a Publication

A SH member how has not yet qualified as general SH author but made significant contributions to a give paper can be included on the authorlist of the specific paper. PIs can recommend any member of their institution to be member of a particular paper if they made significant contributions, for example lead engineers. The request has to be made by the person's institutional or technical supervisor in consultation with he publication board and the spokesperson.

6.3 Limited Authorship Publications

We aim to avoid limited Authorship publications. All exceptions require approval by the Executive Board and the spokesperson. The criteria used to establish the author list should be announced and discussed with the publication board. All collaboration members should be given the opportunity to opt-in to those papers. The quality of the paper continues to be governed by the authorship policy documents.

6.4 Conference Proceedings and Posters

Conference proceedings can be authored by only one author. The author and the PI should be ensuring that all publication quality criteria described in this document are met. The final or close to final draft of the conference proceedings should be presented to the publication board.