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PHENIX Policies for Publication and for Other Dissemination of Results

GOALS

- **Timely dissemination and publication of sound results;**
- **Avoidance of rumors and avoidance of dissemination of results that may not be sound;**
- **Avoidance of dissemination and publication of PHENIX results by others, outside of the Collaboration;**
- **Equitable assignment of credit and of speaking opportunities;**
- **Fully open communication within the Collaboration and open communication outside of the Collaboration consistent with the other goals listed above.**

POLICIES AND PRACTICES

I. OPEN COMMUNICATION WITHIN THE COLLABORATION:

Data from all subsystems of the PHENIX Collaboration shall be available to all members of the Collaboration. All related analysis tools, codes, correction parameters and algorithms, calibration constants, etc., shall also be made available to all members of the Collaboration.

Physics Working Groups (PWG) will be the environment in which all official PHENIX physics results are developed, certified, and readied for publication. The Convenors of each PWG shall be appointed by the Spokesperson, in consultation with the Executive Council (EC), and shall serve at the Spokesperson's discretion.

II. PRELIMINARY DATA SUITABLE FOR DISSEMINATION:

Analyzed data shall not be disseminated outside of the collaboration until the following steps have been taken:

1. A PHENIX Analysis Note (AN) has been developed within a PWG and circulated within the collaboration. The AN shall give details of the analysis on which the results are based, as well as other relevant information.
2. The results have been presented and discussed at an open meeting of the Collaboration.
3. The Spokesperson has determined, based on steps (1) and (2), that the data are suitable for dissemination outside of the collaboration.

At this stage the data and results shall be prominently labeled as "PHENIX preliminary".

III. CONFERENCE PRESENTATIONS AND DISSEMINATION OF PRELIMINARY RESULTS:

Good judgment and discretion shall be exercised when discussing or presenting preliminary results outside of the Collaboration.

The Spokesperson shall appoint members of a Speakers' Bureau in consultation with the Executive Council. The Speakers' Bureau shall have at least three members at all times. The members shall serve at the Spokesperson's discretion. The Spokesperson shall designate one of the members the Convener of the Bureau. The Speakers' Bureau shall serve in an advisory capacity to the Spokesperson who will have the final authority in designating PHENIX speakers.

Speaking invitations received by the Collaboration shall be distributed equitably following consideration of the topic, of appropriate credit due, and of earlier institutional allocations. In cases of major invited talks at international conferences, the Spokesperson should obtain the concurrence of the Executive Council for speaker designation.

Members of the Collaboration who receive personal invitations to give talks or who wish to submit contributed papers or posters to conferences shall consult with the Speakers' Bureau. The Bureau will coordinate such submissions in order to avoid duplications and conflicts.

All major talks, as determined by the Spokesperson in consultation with the Speakers' Bureau, shall be rehearsed at an open meeting of the Collaboration.

All speakers should post drafts of slides for their talk before and then final versions after presentation in the appropriate location on the WWW.

Text and figures of papers to be published in conference proceedings shall be cleared by the Spokesperson before submission if they include any PHENIX preliminary results or if they are presented on behalf of the PHENIX Collaboration.

All proposed distribution of PHENIX preliminary results via electronic media shall first be cleared with the Spokesperson.

IV. PUBLICATION IN REFEREED JOURNALS

Submission, resubmission, and correspondence with editors for all PHENIX Collaboration publications in refereed journals shall be handled only (a) through the PHENIX Office, (b) with explicit approval by the Spokesperson, and (c) after the following steps are taken:

- i. Following the determination that the relevant analyzed data are suitable for dissemination outside of the Collaboration a Paper Preparation Group (PPG) shall be appointed by the relevant Physics Working Group Convenors to prepare a near-final draft. The Collaboration members who have performed the initial analysis are expected to be members of the PPG. The near-final draft shall be circulated within the Collaboration.
- ii. When a near-final draft has been updated, an ad hoc Internal Review Committee (IRC) appointed by the Spokesperson shall review the draft.
- iii. The final draft shall be circulated within the Collaboration. The proposed submission date shall be indicated. In unusual cases the result of circulating the "final" draft may require that steps be repeated.
- iv. The IRC shall be empowered to adjudicate disagreements on the details of the paper. A near-consensus shall be a pre-requisite for the submission of the paper to the preprint arXiv and journal, but only after the IRC has certified that data tables are available in proper format for later submission to HEP data.
- v. If referee comments require significant revision of the manuscript, then the revised version of the manuscript and the referee comments shall be circulated within the collaboration. In unusual cases it may be necessary to repeat some of the above steps. The resubmission letter and response to the referees shall also be circulated within the collaboration.
- vi. After acceptance for publication, the properly formatted results shall be submitted to HEP data.

V. AUTHOR LISTS

The Spokesperson shall update the list of collaborators in good standing at least once per year, in consultation with Institutional Board representatives. A record shall be kept of Collaboration members in good standing as a function of time.

Authors of papers in refereed journals shall be those who are one or more of the following:

- a. Members in good standing at the time that the relevant data were obtained.
- b. Members in good standing who have participated substantially in the analysis of the relevant data, even if they were not members of PHENIX at the time the data were obtained.
- c. Collaborators who have otherwise significantly contributed to PHENIX.

In the case of c. above, if the collaborator has left PHENIX, he or she shall be the author of only a certain number of papers, as determined by the Spokesperson.

Authors shall be listed alphabetically, except in the case of conference proceedings (see below).

When any PHENIX data is published for the first time in a refereed journal, all qualified collaborators shall be co-authors of the paper.

Conference proceedings may be submitted only in the speaker's name plus other major contributors, if appropriate, followed by some designation such as: "For the PHENIX Collaboration", except when preliminary PHENIX data are presented for the first time, in which case all qualified PHENIX authors shall be listed if at all possible. In conference proceedings it is permissible to list the invited speaker first, followed by other authors in alphabetical order.

Technical (instrumental, etc.) papers may have as authors only those individuals who have contributed directly to the particular project. The PHENIX Collaboration should be acknowledged.

VI. THESES

The Spokesperson shall maintain a list of student's thesis topics, which shall be updated at every Collaboration meeting. The Spokesperson shall play a coordinating role in order to avoid conflicts.

VII. PUBLIC RELATIONS

No member of the Collaboration shall issue press releases or call press conferences without the approval of the Spokesperson and of the Executive Council. All public relations activities of PHENIX shall abide by relevant RHIC and BNL policies and practices.

VIII. RECORDS

The PHENIX office staff shall maintain records and make them available to the collaboration that are relevant to these policies and practices, including the following:

PHENIX membership list; list of talks delivered and scheduled to be delivered; copies of transparencies of talks delivered at conferences; lists and text of analysis notes, technical notes, papers published in conference proceedings, papers published in refereed journals, and other PHENIX publications; list of students and their thesis topics.

IX. CONFLICT RESOLUTION

Conflicts that cannot be resolved by the appropriate group or committee can be appealed to the Spokesperson. Conflicts that cannot be resolved by the Spokesperson can be appealed to the Executive Council, which shall have final authority in all matters covered by this document. Proposed changes to this document shall be subject to approval by the Institutional Board.