

Title **PLATO Mission Consortium
Publication Policy**

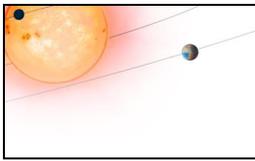
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Approved:	PLATO Board	see page 3		
Authorized:	PLATO Board	see page 3		



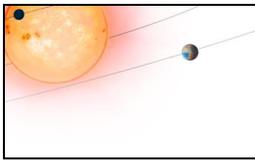
PLATO

PLAnetary T ransits and O scillations of Stars



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PLATO

PLAnetary **T**ransits and **O**scillations of Stars



Approval by PMC Board

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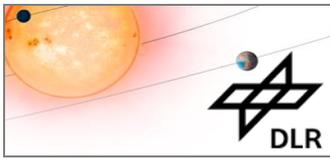
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b – Document History

Issue	Rev.	Date	Change Description
0	0	20.08.2015	Initial draft
0	0	07.09.2015	draft 2
0	0	19.10.2017	Updated draft
0	0	11.12.2018	Update
1	0	10.02.2019	Issue 1.0
2	0	21.10.2022	Draft Issue 2.0, refine Type 2 papers and rules for author list, builder definition, acknowledgement text, add PLATOPub reference
2	0	29.11.2022	Update for ground-based support
2	0	23.01.2023	Pages for signatures added



1. Introduction

1.1. Purpose

This document describes the publication policy of PLATO Mission Consortium (PMC).

1.2. Scope

This document details the publication policy of the PMC and is based on the ESA PLATO Science Management Plan (SMP) [AD 01]. While the SMP addresses the publication policy for the “Prime Sample” only, this document addresses the publication policy for PMC results in general.

1.3. Abbreviations

CoRoT	COncvection, ROtation and planetary Transits
GO	Guest Observer
GOP	Ground-based Observation Programme
HZ	Habitable Zone
PCST	PLATO Consortium Science Team
PDC	PLATO Data Center
PDCM	PLATO Data Center Manager
PI	Principle Investigator
PIC	PLATO Input Catalogue
PIPM	PLATO Instrument Payload Manager
PLATO	PLAnetary Transits and Oscillations of Stars
PMC	PLATO Mission Consortium
PCL	PMC Lead (PI)
PS	Project Scientist
SWT	PLATO Science Working Team
PSM	PLATO Science Management
PSMC	PLATO Science Management Coordinator
SMP	Science Management Plan
SOC	Science Operation Centre
TOU	Telescope Optical Unit
TTV	Transit Timing Variation

1.4. Applicable Documents

[AD 01] ESA/SPC(2020)40; Revised Science Management Plan (SMP) for the PLATO Mission; 26.10.2020

1.5. Reference Documents

[RD01] PLATO-DLR-MAN-PLN-0002 i4.0; 01.10.2021, PLATO Mission Consortium Management Plan

2. ESA Science Management Plan (SMP) Publication policy

The PMC Publication Policy is in line with the PLATO publication policy described in the ESA PLATO Science Management Plan (SMP) [AD 01]. PMC members and GOP Teams(s) are requested to follow these scientific publication policy guidelines. For reference, the PLATO SMP publication policy addressing planets and their host stars of targets within the “prime sample” is repeated here (see Section 8 therein):

SMP publication policy:

The following publication policy does not apply to GO data and works based on public PLATO data, but authors should acknowledge the PMC, and ESA in the acknowledgement manuscript section.

For publications dedicated to planetary system detection and characterisation of the “prime sample” and generated by the PMC and/or the GOP Team(s), including the final L1, L2, L3 and Lg data products, the following publication rules apply:

1. The PLATO SWT must approve the authorship of the papers.
2. The PLATO SWT must approve the paper before final submission.
3. ESA, PMC, GOP Team(s) relevant for PLATO will be acknowledged in the Acknowledgement section according to standard formats.

3. PMC Publication Policy

The PMC Publication Policy further details this SMP policy to account for a fair share of interests of people contributing to the PLATO Mission Consortium (PMC). Where applicable (results from the “prime sample”) the PMC Board proposes authorships to the SWT for approval.

We define two types of publications. The publication policy for Type 1 publications aims to limit the authorship on ‘technical’ aspects of the PLATO mission development to the people directly involved. Work which should acknowledge the PMC at large (“mission results”) is covered by Type 2 publications.

The PMC publication policy applies to PMC members and non-public data only. However, we encourage all authors to follow this policy, also after data have become public.

3.1. Type 1 PLATO Publications (“Engineering”-type publications)

Type 1 publications include descriptions of the PMC payload hardware or software, data treatments, methods, analysis tools, etc. These publications are based on work done on a particular aspect of the PMC mission development by a well-defined group of authors.

Type 1 publications include, for example:

- Papers describing a certain technical aspect of the mission, a special data reduction method or analysis tool, performance of individual aspects. Here some examples as guidance for which publications fall into Type 1 category (a non-exhaustive list):
 - the TOU design, or descriptions of other elements of the payload (but not the mission design at large),
 - descriptions of the PDC, the PLATO Input Catalogue, target field selection, etc.

- a new transit detection algorithm for PLATO
- a new light curve filtering method
- prediction of the accuracy of TTVs with PLATO
- follow-up analysis of PLATO results after initial publication by the PLATO Team, e.g. further analysis of planets via follow-up methods, detailed modelling, further analysis of stellar data ...
- ...

3.1.1 Type 1 Publications rules

The following publication rules apply for Type 1 publications:

1. Authorship includes all people directly involved in the work presented. It is up to the author team to select the first author and the co-authors.
2. The lead author informs the PLATO Endorsement Board before submission by putting the manuscript into PLATOPub¹.
3. The PMC is acknowledged in the Acknowledgement Section.

Rule 1 ensures that all people working on the presented results (including students, postdocs, etc.) are part of the author list. The PMC plans to monitor such publications from PMC members via the Endorsement Board (via the PLATOPub tool), who will also solve cases of conflicts.

3.2. Type 2 PLATO Publications (PMC results)

Type 2 publications cover results that should acknowledge the work of the PMC at large. These cover all publications by the PMC and/or GOP Team of L0 - L3 data products until these data become public, and overall payload/performance descriptions.

Type 2 publication rules apply to non-public PLATO data available to the PMC, including all target samples (including the “prime sample”). We however encourage authors to follow the PMC rules also after data used to derive Type 2 publications have become public to acknowledge the work of the PMC over many years. Examples for Type 2 publications are (a non-exhaustive list):

- Papers initially publishing L0-L3 data, e.g.:
 - reduced light curves
 - planet candidate lists
 - analysed stellar targets
 - confirmed planets and planetary systems with their parameters
 - catalogues of confirmed planets
 - terrestrial planets around solar-like star in HZ (Earth-Sun analogues)
- catalogues of stellar parameters (including age)
- overall PLATO mission descriptions and its performance
- publications describing data releases
- ...

3.2.1 Type 2 Publications rules

The following publication rules apply for all Type 2 publications:

1. The lead author will be nominated by the PMC Consortium Board, based on inputs from the PMC. For papers based on the “prime sample”, the PMC Board proposes these authors to the SWT for final approval.

¹ <https://platopub.phys.au.dk/>

- a. The lead authorship should be reserved for people with major contributions to this publication.
 - b. The lead author writes and coordinates writing of the paper and guarantees fast submission.
 - c. Authorship includes all people directly involved in the work presented (including postdocs and students).
 - d. A fair share between involved scientists and participating member states, according to their PMC contributions, is anticipated.
2. Author lists include the core PLATO involved scientists (the PMC members of the SWT, the PLATO Consortium Science Team and the “builders”) and possible additional authors if special rules for proprietary data from GOP activities apply.
 3. The lead author informs the PLATO Endorsement Board at least two weeks before submission (via the PLATOPub tool).
 4. The PLATO Board together with the PLATO SWT (where applicable) approve the final submission, based on the assessment by the Endorsement Board (via PLATOPub).
 5. ESA, PMC, GOP Team(s) relevant for PLATO are acknowledged in the Acknowledgement section.

3.2.2 Order of authorship on Type 2 publications

To address the **order of authors on Type 2 publications**, we refine them into three sub-groups:

- 1) PLATO catalogues
- 2) Individual planets (or groups of planets) and individual stellar analysis
- 3) Special cases

PLATO Catalogues:

Catalogues of well characterized planets and stars form major legacy results of PLATO. These results are based on the work of the whole PMC over many years and are based on a long-term team effort.

The following rules for authorship on catalogue publications apply:

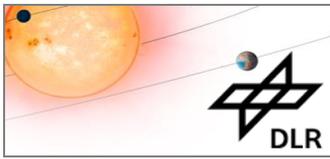
- We define the term „PLATO TEAM“ as 1. author to visualize the team effort, then followed by names of authors.
- We establish a ranking of the order of authors on catalogue publications to be able to appreciate particular contributions:
 - First individual author (“main author”): A long-term contributor to the mission with major responsibilities. This author has the duty to write and coordinate the paper writing.
 - Followed by a determined number of “contributing authors” with significant contributions to the respective paper (with no a priori fixed limit to the number of these authors),
 - followed by the PMC members of the SWT, the PMC board, the PMC Science Team members and the list of Builders,
 - followed by all other PLATO Team members in alphabetical order.
 - followed by additional authors if special rules for proprietary GOP data apply.

This results in the following order of authors for catalogue papers:

PLATO-TEAM, main author, contributing authors, PMC Members of ESA SWT, PMC board, PMC Science Team, Builders, all other PLATO Team members and additional contributors.

Individual planets (or groups of planets) and individual stellar analysis:

Although addressing individual targets, these papers are possible only with work done by the PLATO Team over many years providing the lightcurves analysed. These papers therefore should include not



only those authors directly analysing the respective lightcurves(s), but also a limited number of those working on the mission over many years to acknowledge their contributions.

The following rules for the order of authors apply:

- The first (“main”) author is nominated to the board by the working teams and is
- followed by a determined number of people with significant contributions to the respective manuscript,
- followed by the PMC members of the SWT, the PMC board, and a limited number of PMC Science Team members and builders,
- followed by additional contributors (with contributions but not at a „significant“ level, based on people expressing their interest to the paper) in alphabetical order.

This results in the following order of authors for papers analysing PLATO lightcurves:

Main author, significant contributors, PMC Members of SWT, PMC board, limited number of PMC Science Team and Builders, additional contributors.

Special Cases:

For some particular highlight results of the mission (“special cases”), such as:

- the first Earth analogue
- the first mission result, showing the capabilities of PLATO to the community

we apply a special order of authorship: PI, Co-PIs, PDC lead, PSM lead, PPT lead, PMC members of the SWT, PMC Board, PMC Science Team, Builders, all other PLATO Team members and additional contributors.

For following detections of Earth analogues, the first authorship should rotate through the board (or people they nominate).

3.3. Public Data and Guest Observer Data

We ask authors of publications based on PLATO public data to acknowledge the work of the PMC by adding the following into their Acknowledgement Section:

“The authors gratefully acknowledge the European Space Agency and the PLATO Mission Consortium, whose outstanding efforts have made these results possible.”

Guest Observers follow rules set by ESA (see Science Management Plan (SMP) [AD 01]). However, they are encouraged to acknowledge the PMC work as for users of public data.

4. The PMC „Builders“

To acknowledge the investment of individuals on technical aspects of the mission (in hardware or the ground segment) over the long building phase of the mission, a list of “builders” is added to the author lists of Type 2 publications as described above. Builders are people that deserve special highlighting and work in scientific institutes or space agencies (but not industry sub-contractors) and are not included in the list of PMC Team members already.

- “Builders” are nominated by the PMC Board members based on long-term contributions to PLATO.
- The list of builders per country is not limited in number and regularly reviewed by the PMC board (once per year).
- The list of builders includes the SWT Community scientists and the ESA Project Scientist.
- The ESA Project Scientist nominates the list of builders for ESA engineers contributing to PLATO.
- In cases of foreseen limited co-authorships from builders on PLATO publications (see above),

- authorships remain limited to 1-2 builders per country per publication.
- These co-authorships „rotate“ through each national list according to suggestions by the respective board members.

Guidelines for nominating builders:

- Builders should have made a major contribution to building either the hardware or the PMC ground segment (PDC, PSM)
- A major contribution means, e.g.,
 - work for several years for at least 50% of the time, or
 - an important contribution with less working hours but over several years equivalent to the above.

The list of builders is maintained by the PMC Office and will be displayed at the PLATO PMC web site.

5. The PLATO Endorsement Board

To monitor and coordinate PLATO publications falling under the policy described here, a PLATO Endorsement Board is formed. The Endorsement Board ensures that the PLATO publication policy is applied consistently, and works to solve possible conflicts. The goal is to give a fair recognition to all people involved.

Three members of the PLATO Endorsement Board are foreseen. They are nominated by the PLATO Consortium Board. The Endorsement Board is composed of a Consortium Board member, a Payload representative and a PMC member of the SWT. The membership will be revised every 2-3 years to balance the work load.

The review process of the Endorsement Board shall not delay a timely submission of a manuscript. We therefore foresee a period of 1-week during which comments must be made to the authors.

The Endorsement Board informs the PLATO Consortium Board and (where applicable) the SWT about the planned PLATO publications and asks for their final approval.

Publications are made known to the Endorsement Board via the PLATOPub tool (<https://platopub.phys.au.dk/>).

6. PLATO Acknowledgement

The following acknowledgement shall be added to Type 2 publications. However, we encourage authors to include the acknowledgement to all PLATO publications.

“This work presents results from the European Space Agency (ESA) space mission PLATO. The PLATO payload is jointly developed by ESA and the PLATO Mission Consortium (PMC). The PMC furthermore contributes to the mission science ground segment processing PLATO data. Funding for the PMC is provided by national institutions, in particular the institutions participating in the PLATO Multi-Lateral Agreement (MLA) and represented in the PMC board (Austria, Belgium, Brazil, Czech Republic, Denmark, France, Germany, Italy, Netherlands, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom). Members of the PMC can be found at the consortium website: <https://platomission.com/>. The ESA PLATO mission website is <https://www.cosmos.esa.int/plato>. We thank the teams working for PLATO for all their efforts. “