

ANNEX 1 – Duties of ALICE members

1. M&O A Payments

The sharing of the M&O-A budget is based on the number of “Scientists with PhD or equivalent qualifications” as specified in the Memorandum of Understanding for Maintenance and Operation of the ALICE Detector (CERN-RRB-2002-034). The list of PhD authors qualified to sign ALICE scientific publications is the same as the list of scientists established each year for the sharing of M&O- A budget. Non or late payment of M&O-A contributions will eventually result in the withdrawal of the right to sign scientific papers for the staff of the institutes concerned. Students are exempt from any withdrawal of the right to sign scientific papers. The ALICE Collaboration Board as well as the Resources Review Board (RRB), at their different meetings, are informed of any action taken with respect to late or non-payments of M&O-A contributions.

Procedure

September year n-1

The list of PhD scientists used for sharing the M&O-A budget is drawn up.
This list of named individuals also establishes the list of PhD authors for year n;
PhD Students are added to the list of authors.

October year n-1

The M&O-A budget and its sharing between the different F/A are approved by RRB.

January year n

M&O-A invoices are dispatched by CERN Finance Department. All invoices are due within 30 days.

September year n

If on 1st of September the outstanding amount is less than, or equal to, the current year’s contribution: CERN Finance Department sends a standard reminder to the F/A requesting payment within one month;

If on 1st of September the outstanding amount is larger than the current year’s contribution: ALICE Management sends a letter to the F/A announcing that, unless payment is made before the end of the year, the right to sign papers will be withdrawn as of December 31. Before the F/A receives a warning letter, the issue is discussed at the Fall Collaboration Board meeting.

December year n

If on 1st of December the outstanding amount is less than, or equal to, the current year’s contribution: ALICE Management sends a letter to the F/A requesting a payment plan for the outstanding invoice. If the MB accepts the payment plan, it replaces the outstanding invoice. If on 31st of December the outstanding amount is larger than the current year’s contribution: the right to sign papers is withdrawn as of the beginning of year n+1.

2. Contribution to Computing Resources

The Funding Agency will provide computing resources (CPU and disk) in a quantity greater than or equal to the fraction of the total resources required, minus the pledged CERN contribution, in proportion to its M&O-A contribution relative to the total ALICE M&O-A minus the CERN M&O-A. The minimal tape contribution required by a T1 is calculated from the fraction of the total tape requirements, minus the pledged CERN contribution. This total is divided in a similar manner to the other computing resources except that the M&O-A contribution of a Funding Agency is normalized to the sum of only the M&O-A contributions of all Funding Agencies, which are hosting a Tier1, again excluding CERN. The Computing Project, based on input from the Physics Coordination, will calculate yearly the total computing resources that are required. The Management Board then endorses this total before it is presented to the Computing Resources Scrutiny Group and the Computing Resource Review Board. The computing shares approved by the Computing RRB will then become the minimal resource requirements for each institution.

3. Shift and service work

Each year, shifts are worked out by the Run Coordination, discussed in the MB and allocated based on the M&O-A distribution.

Every institute member of ALICE has to contribute to service work for the Collaboration and it is the duty of team leaders to ensure that every PhD student provide six months equivalent of service work for the Collaboration before he/she can get a PhD thesis using the ALICE experiment.

The Technical Coordinator oversees the list and distribution of service tasks to ALICE members.

ANNEX 2 – ALICE Publication Policy

ALICE Policy for Publications and Presentations

The Conference Committee can be contacted at alice-cc@cern.ch .

The Editorial Board can be contacted at alice-editorial-board@cern.ch .

The Physics Board can be contacted at alice-mgt-physics-board@cern.ch .

1. Introduction

This document defines the rules for ALICE publications and presentations. It addresses the following topics:

- Physics analysis procedures
- ALICE official figures
- Conference presentations: selection of speakers, abstract submission, talk or poster preparation, and conference proceedings
- Procedures for physics publications
- Posting of published data
- Analysis Notes, ALICE Public Notes, Technical Public Notes, Technical Publications
- Student theses
- Authorship rules

2. Physics Analysis Procedures

All data from all parts of the ALICE detector are available to all members of the ALICE collaboration for analysis. The groups and institutions responsible for each subsystem must ensure that the necessary analysis tools, algorithms, codes, and correction parameters for that subsystem are available, documented and kept up-to-date.

All physics analyses in ALICE must comply with the ALICE computing rules approved by the Management Board:

(<http://aliweb.cern.ch/Offline/GeneralInformation/ComputingRules.html>)

Physics results presented in ALICE conference talks, conference proceedings, and publications, must be based on analysis carried out within an ALICE Physics Working Group (or Groups, in the case of overlapping topics). The analysis procedures and details of the evaluation of statistical errors and systematic uncertainties must be documented in an Analysis Note.

3. ALICE official figures

This section presents the definition, usage, and approval mechanisms of the various types of official ALICE figures:

- Simulation
- Performance
- Work in Progress
- Preliminary
- Published

All figures related to detector performance or physics results must be approved as official ALICE figures, following the procedures specified in this section, before they can be shown outside the Collaboration.

Each candidate for an official figure must be approved by the relevant PWG or Project Group. If identification of the relevant group is not clear, the Physics Coordination chooses the PWG that is best suited for discussing the figure.

3.1 Bookkeeping of figures

- Each PWG and Project Group, in consultation with the EB, maintains an ALICE Repository of Figures accessible via a web interface, containing located at <http://aliceinfo.cern.ch/Figure/>.
- The Repository contains Simulation, Performance, Preliminary, and Published figures.
- Each figure entry in the Repository of figures specifies a Contact Person and is accompanied by a complete caption.
- Each figure must include the following:
 - 1) Clearly labelled variables and units of measure
 - 2) A legend specifying the colliding systems and energy and the nature of the uncertainties (statistical and systematic).
 - 3) Published figures must explicitly include the label "ALICE".
- Each unpublished figure will specify its category (Simulation, Performance, Work in Progress, Preliminary).
- Only the most recent version of each Performance plot will be available in the Repository.

The following paragraphs define the various categories of official figure, their usage and their bookkeeping. Identical rules apply for results that are reported as numerical values.

3.2 ALICE Simulation figures

ALICE Simulation figures contain results of simulations of physics events and/or detector response, for example to illustrate expected performance of the detector, the size of corrections for detector effects, or reference distributions from event generators. Simulation figures must be accompanied by all relevant information to reproduce the figure, including version numbers of the software used, generator settings and a precise description of how the quantities in the figure were calculated from the simulation. This information is stored together with the figure in the Repository of figures. Each ALICE Simulation figure has a unique identification number and must be labelled 'ALICE Simulation'.

ALICE Simulation figures are discussed in the relevant PAG or PWG and approved by the PWG conveners or Project Leaders in consultation with the PAG coordinators.

3.3 ALICE Preliminary figures

ALICE Preliminary figures are intended for presentation at international conferences and workshops.

There are three subcategories of ALICE Preliminary figures:

- 1) Physics Preliminary figures show the results of analysis and must include estimates of all statistical and systematic uncertainties in the underlying analysis that are relevant for the interpretation of the measurement and the understanding of underlying physics. There will be only one version of each preliminary result. Numerical values of preliminary results may be given to persons who are not member of the ALICE collaboration on request. Such requests are handled by Physics Coordination. Preliminary results are superseded by the published version of the results.
- 2) Technical Preliminary figures provide supporting information about the analysis. Technical Preliminary figures are for example used to illustrate intermediate steps in the analysis or to compare different analysis methods for the same physical quantity. Technical Preliminary figures may show results that are not corrected for detector effects or results without systematic uncertainties. For Technical Preliminary figures, numerical values are not available to people outside the Collaboration.
- 3) Derived Preliminary figures contain reported results from a Physics (or Technical) Preliminary figures, for example to compare to a (new) model prediction, to an existing result of a different ALICE measurement, or to results of other experiments.

Each ALICE Technical or Physics Preliminary figure must be presented at the Physics Forum and be approved by the PWG conveners and Physics Board before it can be shown outside the Collaboration. Technical Preliminary figures may subsequently be updated (for example with a larger data sample) after approval by the PWG conveners and Physics Board. ALICE Physics and Technical Preliminary figures must be accompanied by an Analysis Note, which contains all relevant information about how the figures were obtained, including the software version(s), the data set(s), selections that were used, analysis algorithms and a description of the calculation of all uncertainties. The Analysis Note is reviewed by an Analysis Review Committee which is appointed by the PWG conveners in consultation with the PAG coordinators. The Analysis Note is made available to the collaboration before the results are presented at the Physics Forum.

Derived Preliminary figures are presented at a Physics Forum and can only be shown outside the collaboration after approval by the PWG conveners and the Physics Board.

Each ALICE Preliminary figure has a unique identification number, must be labeled "ALICE Preliminary" and is stored in the Repository of figures.

An ALICE Preliminary figure may be withdrawn in the case that an error is found in the analysis that invalidates the physics message of the figure. Such cases have to be brought to the attention of the Physics Board by the PWG conveners after which the figure will be withdrawn from the Repository of figures. An Analysis Note must be prepared to document the error and the withdrawal of the figure. In this case the PB decides if the withdrawn Preliminary figure can be replaced by a corrected version or only by publishing the result. If an ALICE Public Note is published, a new corrected version containing the correct figure must be submitted for the approval of the EB.

If some of the preliminary figures updated by final analysis do not appear in the publication, for example because of a restriction on the article length, the corresponding updated figure should be made publicly available through a procedure that will be specified by the EB and PB.

3.4 ALICE Performance figures

ALICE Performance figures are used to illustrate aspects of detector performance, in a general context, independent of a specific analysis. Any figures that illustrate intermediate steps in an analysis are ALICE Preliminary figures (see Section 3.3).

ALICE Performance figures are intended to illustrate the quality of the calibration, the behavior of ALICE (sub-) detectors, the resolution for tracking or particle identification techniques, etc. Performance figures can be shown outside the collaboration after approval by the PWG conveners or Project Leaders of the relevant PWG/detector system. Performance Figures evolve with time, for instance with a new version resulting from a new data set. Any change of the figure requires explicit re-approval by the PWG conveners or Project Leaders.

Each ALICE Performance figure has a unique identification number and must be labeled 'ALICE Performance' and stored in the Repository of figures.

3.5 ALICE Work in Progress figures

ALICE Work in Progress figures are transient, intended only for progress reports to funding agencies, review committees, reports of students within ALICE institutes, and national physics society meetings. They cannot be used for general presentations such as conference talks and seminars, other than these exceptional cases.

ALICE Work in Progress figures illustrate the status of an analysis, in which some corrections may not yet have been applied and from which quantitative physics conclusions cannot be drawn.

Each usage of a Work in Progress figure must be explicitly approved by the relevant PWG Conveners or Project Leaders, Physics Coordination and the Conference Committee.

Work in Progress figures are not entered into the Repository of figures and do not receive any figure identification number from the EB.

ALICE Work in Progress figures should not be made publically accessible, e.g., the slides cannot be made accessible on a web page or in a meeting program.

3.6 Published figures

ALICE Published figures are all figures containing final results that appear in a publication or Public Note. Each ALICE Published figure has a unique number and is stored in the Repository of figures, with reference to the corresponding publication or Public Note. When a figure is published, the corresponding Preliminary figure(s) are removed from the Repository (or marked obsolete).

3.7 Conflicts and exemptions

Conflicts regarding content and presentation of figures will be resolved by the Spokesperson, in consultation with PB and EB chairs, PWG convener(s) and Project leader(s). Exemptions to the above general rules may only be granted by the Spokesperson, and only in exceptional circumstances.

4. ALICE Presentations: Conference talks and posters, seminars, and technical presentations

An ALICE Presentation is a talk or poster by an ALICE Collaborator, presented on behalf of the ALICE Collaboration. ALICE Collaborators should use good judgment in determining whether a presentation is being made on behalf of ALICE, and should contact the Conference Committee in case of doubt. While a sharp distinction can sometimes not be drawn between an ALICE and a non-ALICE presentation, there are several elements that clearly require designation of a presentation as being on behalf of ALICE, including:

- Invitation for seminar or conference talks to present ALICE results
- Submission of a contributed conference talk or poster to present ALICE results
- First public presentation of a Preliminary figure
- Significant discussion of Performance figures and their underlying analyses
- Discussion of ALICE technical issues

The following committees and individuals play a role in the review and the approval of a public presentation (abstract, talk, poster, and proceedings):

- The Presenter is the person wishing to give a public presentation (talk or poster) on behalf of the ALICE Collaboration. The Presenter is responsible to ensure that all appropriate steps are followed and that all approvals are obtained before showing or discussing publicly ALICE data outside the Collaboration.
- The Project Group(s) and/or the Physics Working Group(s) are the primary venues where the Presenter discusses the analysis results to be presented. The abstract, talk/poster, and proceedings must be circulated in the PWG for discussion prior to delivery or submission to the conference, according to timelines defined below.
- The Team leader (or a person delegated by the Team leader) ensures that all material: abstract, talk, poster, and proceedings, comply with rules defined by the CC at https://aliceinfo.cern.ch/Documents/Conferences_and_Contributions
- Project leader(s) or PWG conveners are responsible for quality assurance of the material, and must approve the abstract, talk/poster, and proceedings for topical presentations prior to delivery or submission to the conference.
- The Conference Committee (CC) coordinates all aspects of ALICE Conference presentations, with the goal of equitable distribution of talks across the collaboration, effective quality assurance, and efficient procedures. The CC Chairperson acts on behalf of the CC, consulting and delegating to members of the CC as appropriate. The CC calls for conference speakers and selects speakers for oral presentations. The CC reviews abstracts, talks and posters to ensure high scientific quality, and must approve them before submission or presentation.
- The Editorial Board (EB) provides oversight and management of conference proceedings and any other related document. The EB reviews each conference proceedings and must approve it prior to submission.
- The Physics Board and Conference Committee organize public rehearsal sessions in order to review presentations for major conferences and major seminars.
- The Spokesperson is the final arbiter of all disputes arising at any stage of the conference presentation process.

The primary criteria of the CC for selecting speakers are high quality of presentation of ALICE results, and fair and equitable distribution of talks among individuals and groups who have contributed to a given analysis or project. The CC will act in consultation with PB, PWG Conveners or Project Leaders, and the Spokesperson. The CC will maintain prioritized lists of eligible speakers on various topics, as appropriate, and review and revise such lists on a regular basis. Higher priority will be given to young scientists who have not yet obtained stable employment.

The talk rehearsal plays a crucial role in the preparation of a seminar or conference talk. Its purpose is to ensure a high quality of presentation, and not to discuss the approval of figures. The approval of new Performance or Preliminary figures to be used in a talk should, in all but

exceptional cases, be obtained before the talk rehearsal, and slides containing figures that have not been approved prior to the rehearsal will not be approved. Exceptions to this rule may only be granted by the Physics Coordinator or Spokesperson.

There are four general categories of ALICE talks: (i) Invited conference and major seminar talks, (ii) Contributed conference talks and posters, (iii) Regular seminar talks, and (iv) Technical Project presentations.

The mechanisms for discussion and approval of each of these are:

4.1 Speakers and Abstracts for Invited Conference Talks and Major Seminars

- A Major Seminar is defined as a high profile talk to a broad audience at a specific institution. These may be known in different places as PH Seminar, Departmental Colloquium, Departmental Seminar, Invited Lecture, etc. The CC should be consulted in case of doubt whether a talk should be considered to be a Major Seminar.
- The CC is responsible for selecting the ALICE speaker for an invited Conference Talk or Major Seminar. An invitation to an individual to give an Invited Conference Talk or Major Seminar on ALICE Physics is considered to be an invitation to the ALICE Collaboration and should be transferred to the CC, which will determine the appropriate speaker.
- The CC chairperson will be the point of contact between the Collaboration and each Conference organizing committee. The CC receives the conference invitation and corresponds with the conference organizing committee regarding the nature and scope of the talk.
- The CC will maintain an up-to-date list of all conference and major seminar invitations received and nominations made.
- The speaker nominated by the CC is responsible for composing and submitting the abstract, and for ensuring that all approvals for the abstract, talk and proceedings are obtained in a timely fashion.
- Approval of the abstract is the responsibility of the CC. The abstract must be circulated to the Collaboration for discussion at least 10 working days prior to the submission deadline of the conference. The CC will take the Collaboration discussion into account and approve the abstract for submission no less than three working days prior to the submission deadline of the conference.

4.2 Speakers and Abstracts for Contributed Conference Talks and Posters

- The ALICE PWGs will take a strategic approach to ALICE contributed conference presentations. The Conveners will solicit abstracts from the PWGs, to be considered as contributed talks and posters for a given conference. As part of this process, the PWG will identify analyses and physics topics appropriate to a given conference, and the Conveners will work with the members of the PWG to ensure contributed abstracts in these areas.
- Any member of ALICE may propose an abstract for consideration by the PWGs as a contributed talk or poster.
- An abstract may have only one author, who will be the Presenter. Two PhD students or a postdoc and a PhD student can be both authors of a poster.
- The PWG Conveners will identify cases of multiple abstracts on the same or largely overlapping topics. Such conflicts will be resolved by the CC and PWG Conveners, and not delegated to the conference organizers by submitting multiple overlapping abstracts. The CC Chair will have final say in case of conflict.
- The abstract is distributed for discussion within the Physics Working Group(s). While consensus and approval may in some cases be immediate, in other cases the content may require discussion and multiple abstracts may require coordination. Distribution to the PWG or Project must therefore be made at least 10 working days prior to the abstract submission deadline of the conference.

- After discussion in the PWG, the PWG Conveners approve the abstract and send it to the CC. Submission of the abstract to the CC must occur at least five working days before the abstract deadline of the conference.
- The CC reviews the abstract, in consultation with the PWG Conveners and the Spokesperson.
- Upon approval by the CC, the abstract is submitted to the Conference by the Presenter or a person in charge “for the ALICE Collaboration.”

4.3 Preparation of Presentations for Invited and Contributed Conference Talks, Major Seminars and Posters

- In general, new Preliminary Results are first reported at Conferences and not seminars. Presentation of new Preliminary results at a Major Seminar requires approval of the Spokesperson.
- Only approved ALICE figures may be shown.
Refer to Section 3 for the definition of each type of figure and its intended use. It is the responsibility of the Presenter to ensure that appropriate approval has been obtained for all figures.
- A draft of the talk slides should be uploaded to the Talks Repository (located at https://aliceinfo.cern.ch/Documents/Conferences_and_Contributions) for Collaboration discussion at least 10 working days prior to the seminar or start of conference.
- Talks of a broad nature will be uploaded to the “General Talks” section of the Talks Repository. The CC will review all Collaboration discussion and approve the talk at least three working days prior to the seminar or start of conference.
- Talks of a topical nature will be uploaded to the section of the Talks Repository of the appropriate PWG. The PWG conveners will review all Collaboration discussion and approve the talk at least (5) working days prior to the seminar or start of conference. The CC will then review the process and approve the talk at least three working days prior to the seminar or start of conference.
- The CC will determine whether the figures are appropriate for the occasion.
- Upon approval by the CC, which requires a rehearsal as described below, the presentation is posted on the ALICE Conferences web page as the “As Approved” version. Only cosmetic changes can be made after this point, and no changes may be made to the approved figures. The final version should be uploaded as the “As Given” version.
- Conference presentations including results of several experiments are approved by the ALICE CC in agreement with the CC (or their equivalents) of all other involved collaborations.
- Poster review is carried out according to the procedure of contributed presentations.

4.4 Rehearsals for Invited and Contributed Conference Talks and Major Seminars

CC approval of each talk requires a rehearsal. For major conferences, a special rehearsal mechanism may be put in place. In all other cases, the rehearsal procedures are organized by the CC as follows:

- The Presenter will rehearse the talk during the 10-day review period, prior to CC approval.
- Rehearsal of a general talk requires a member of the CC, CB, EB or PB to be present, who will recommend modifications or approval to the CC.
- Rehearsal of topical talks will be carried out by the appropriate PWG. The PWG Conveners will recommend modifications or approval to the CC.

- Only approved figures may be used.

4.5 Conference Proceedings

- A Conference Proceeding is the write-up of a presentation at a conference.
- It is the responsibility of the Presenter to ensure that the necessary approvals are obtained in a timely fashion.
- For topical presentations, the Proceedings draft is distributed by the Presenter, after approval by his/her Team leader, for discussion within the appropriate Physics Working Group at least 15 working days prior to the conference deadline. After discussion, the PWG Conveners review the Proceedings draft and, upon approval, send it to the EB for review and approval. Submission of the proceedings to the EB must occur at least 5 working days prior to the conference deadline.
- For general presentations, the Proceedings draft is made available for the Collaboration on the ALICE web site at least 15 working days prior to the conference deadline. The EB reviews the Proceedings draft. The EB may delegate the review of proceedings to other ALICE Collaborators, as appropriate.
- Upon approval by the EB, the Presenter submits the Proceedings to the Conference and may post it on the arXiv.
- Conference Proceedings including results of several experiments are approved by the ALICE EB in agreement with the EB (or their equivalents) of all other involved collaborations.

4.6 Regular Seminar Presentation

- Regular Seminar Presentations are talks for Group Seminars and limited groups of experts in the field at a specific institution, etc.
- The CC should be informed of invitations for Regular Seminars.
- The talk should be rehearsed in front of a member of the Collaboration Board, who is responsible for its content and who must ensure that only approved ALICE figures are shown.
- The Presenter is encouraged to send the talk to the CC after its presentation, for posting in the Talks Repository.

4.7 Project Technical Presentations

- Project Technical Presentations are conference talks and seminars of a technical nature, presenting results from an ALICE Project.
- Project Technical Presentations may be made either on behalf of the entire ALICE Collaboration or of a subset of ALICE working on a specific project. The procedures in this section apply in both cases.
 - Such talks may arise due to an invitation from a conference, contribution of talk to a conference, or invitation for a seminar.
 - The Project leader is responsible for choosing the speaker, approving the abstract, and carrying out the rehearsal.
 - The CC should be notified about the presentation. The Project leader and the CC determine the authorship of the contribution.
 - The CC should receive a copy of the slides at least five days prior to the talk for approval.
 - The final as-given slides should be sent to the CC for posting in the Talks Repository.
 - A Conference Proceedings for a Project Technical Presentation should be sent to the EB for approval at least five working days before the Conference deadline.

- For some Technical Presentations proceedings are requested by the organizer before the conference and are reviewed by the CC in agreement with the EB chair.

5. Procedures for Physics Publications

The following committees and individuals play a role in the preparation of each Physics Publication:

- The Paper Committee (PC) can only be formed when the analysis results fulfil at least the criteria for being approved as preliminary; i.e., the results have been presented and approved at the Physics Forum, the corresponding Analysis Note has been approved by the PWG convener. The content of the paper should be defined.
The PC is headed by the PC chair, who is responsible for the editing and assembling of material. The PC may be composed of further members e.g. having carried out the analysis. A large PC (more than 4 persons) may be formed in case of long papers and complex analyses. The PC is appointed by the PWG convener and approved by the PB. The PC is responsible for all steps from the first draft until the final publication.
- The Internal Referee Committee (IRC) is appointed by the EB.
One member of the IRC is appointed to be the IRC Chair, serving as the primary contact person for the IRC and managing the IRC activities. The IRC comprises experts and non-experts on the topic of the manuscript, drawn from across the Collaboration. The IRC carries out a comprehensive review of the physics analysis, accompanying documentation, and the text of the initial manuscript, as well as revisions to the manuscript and responses to comments from the Collaboration and the journal referee at subsequent stages of the publication process. The EB defines the charge of each IRC, and may include special tasks and requests in certain cases.
- The Editorial Board (EB) provides oversight and management of the publication process, ensuring that ALICE Publication Procedures are followed. The EB Chair acts on behalf of the EB, consulting the members of the EB as appropriate.
The EB organizes regular meetings to discuss the status of all papers in preparation, under reviews and submitted. The PWG conveners, the Physics Board coordinator and the Spokesperson participate in the meeting.
- The Physics Board (PB) provides oversight and review of the physics content of the manuscript.
- The Spokesperson is the final arbiter of all disputes arising at any stage of the publication process.

Preparation of a Physics Publication occurs in several distinct steps, with a recommended time schedule.

(Paper Flow scheme is presented at <http://aliceinfo.cern.ch/ArtSubmission/>)

5.1 Initial preparation of manuscript and supporting documentation

- Once an analysis is sufficiently advanced, an Analysis Note is prepared and presented to the PWG. This note contains all information needed for the reproduction of the analysis. A contact person is appointed by the PWG conveners for each Analysis Note. Analysis Notes are internal and signed by a subgroup of the collaboration, essentially all those who have contributed to the analysis. Authorship is decided by the PWG conveners.
- The PWG conveners and PAG coordinators should in principle appoint Analysis Review Committees (ARC) whose task is to follow the analysis progress and the preparation of the Analysis Note critically and provide support and feedback to the people carrying out the analysis. An ARC member is expected to give a statement when the results are presented at the Physics Forum.

- The PWG conveners may propose an ALICE Public Note containing preliminary results to be approved. A contact person is appointed by the PWG conveners for each Note. The ALICE Public Note can result from merging of several Analysis Notes and is signed by the Collaboration. The names of the authors of the Note are documented and visible within the collaboration. The PWG conveners appoint an internal committee reviewing the Note (NC). The NC is usually composed of members of the PWG and a person from a different PWG to give feedback from an external member. The results of the ALICE Public Note are presented and approved at the Physics Forum. Before the results are publicly shown, the Note has to be approved by the EB. The Note is made publicly available on CDS at the time when the results are publicly shown.

In case a result is not foreseen for preliminary status and is directly prepared for a publication, the ALICE Public Note can be similar (identical) to the paper draft.

The conveners should encourage the members of the PWG to provide ALICE Public Notes.

- The PWG conveners determine if a physics analysis is ready for consideration as a paper; i.e. the content of the paper is defined, the Analysis Note is approved and, if prepared, the corresponding ALICE Public Note is approved.

The PWG conveners recommend the paper for the presentation at the Physics Forum and for the PB approval.

- Upon the PB approval the PWG conveners appoint the PC to prepare the initial manuscript and to create a dedicated page on the ALICE publication web site. The PB may require at this stage revisions or the merging of several ongoing analyses into a single paper.
- The PB recommends to the EB that an IRC be formed.
- The PB determines the target journal for the manuscript, in consultation with the PC and IRC.
- The EB announces the appointment of the IRC and the target journal on the web pages.
- The PB is responsible for ensuring that the software and data used for the analysis comply with the ALICE computing rules (<http://aliweb.cern.ch/Offline/General-Information/ComputingRules.html>).
- A maximum period of 3 months is set between the PB approval and the first round of the Collaboration review. Passing this time, the EB, in consultation with the PB and the PWG conveners, may make a decision to dissolve the PC and the IRC and to remove the paper from the ALICE publication web site.

The task of preparing the publication falls back to the PWG.

5.2 First Collaboration Review

- The IRC reviews the manuscript and supporting documentation, and recommends corrections and changes as necessary.
- Upon approval of the draft by the IRC, the EB verifies that the actions of the PC and IRC meet the required standards, and reviews the draft before approving it for circulation to the full collaboration.
- Upon EB approval (to be done usually within 3 working days), the EB circulates the draft to the full Collaboration for detailed comment for a minimum of 10 working days. All supporting material specifying additional analysis details must be made available to the collaboration at this stage.
- This is the main review period for the Collaboration, and it is expected that any remaining significant issues will be raised at this step.
- Up to 5 member institutes are specifically requested by the EB to comment in detail during the Collaboration review period.

5.3 Second Collaboration Review

- The PC prepares a new draft and a set of replies to the Collaboration comments.
- The IRC reviews the revised draft and responses to comments, and recommends relevant corrections and changes as necessary and appropriate.
- Upon approval by the IRC, the EB reviews the changes to the text and author list.

The PB is involved in case of major changes or open issues.

- Upon EB approval, the EB circulates the revised manuscript, including revisions to the author list that arose, to the full collaboration for comments for a minimum of 5 working days.
- The main purpose of this second comment period is for the Collaboration to verify that all points raised in the first comment period have been addressed, though on occasion a significant new issue may still be raised at this step.
- The PC prepares a new draft, in response to new comments received.
- The IRC reviews the changes, and upon acceptance recommends to the EB that the paper is ready for publication.
- The EB carries out a final review of all comments and revisions, and upon acceptance recommends to the Spokesperson that the paper is ready for publication.
- In parallel of the second collaboration review, the EB submits the paper draft for CERN review. CERN comments and approval are expected within 1 week.

5.4 Submission to journal and response to referees

- Upon approval by the Spokesperson, the final manuscript is submitted by the EB chair or a person in charge to the journal and arXiv.
- The response from the journal is made available to the Collaboration via the corresponding website.
- The PC prepares a revised manuscript and a response to the referee's comments.
- The IRC reviews the modified manuscript and response to the referee's comments, and recommends corrections and changes as necessary.
- Upon approval by the IRC, the EB reviews the changes to the text and the responses to the referee's comments.
- In case of major changes, the EB, in consultation with the PB, sends the revised manuscript and responses to the referees to the collaboration with a deadline for comments of 5 working days. The PC prepares a new draft, in response to comments received from the Collaboration at this step.

In case of small changes, the revised version can be resubmitted immediately after the EB approval.

- The IRC reviews the changes, and upon acceptance recommends to the EB that the paper is ready for resubmission.
- The EB carries out a final review of all comments and revisions, and upon acceptance recommends to the Spokesperson that the paper is ready for resubmission.
- Upon approval by the Spokesperson, the EB chair or a person in charge resubmits the manuscript to the journal and posts the revised version on arXiv.

5.5 Final steps

Upon submission to arXiv the paper is made publicly available on the CERN Document Server and on the ALICE web site.

If the paper is rejected by the journal or changes requested by the journal are deemed unacceptable to the Collaboration, appeal or resubmission to a different journal will be

considered and formulated by the Spokesperson, the EB chair and the PB coordination, in consultation with the PC, IRC, PB, and EB.

5.6 Exceptions

Procedures deviating from the above can be approved by the MB for individual papers in order to speed up the publication process in exceptional circumstances. Such exceptions are communicated to the PB.

6. Posting of Published Data

All figures and data from every ALICE physics publication will be made publicly available on the ALICE web site. Each paper will have a web page that includes links to:

- All figures in the paper, in formats suitable for inclusion in both presentations and documents. Every figure should make clear which results are ALICE results. Tabulation of all data points in every figure will be presented on the web page, including separately each type of error and uncertainty. Uncorrelated uncertainties will be associated with the data points, while correlated uncertainties will be tabulated separately. Data will be tabulated in formats suitable both for visual inspection and for downloading for external use. In general, these data are stored on HEP data, submitted by the PC chair or a person in charge.
- Tabulation of additional data reported in the paper, if any, that do not appear in the figures.

7. Other types of publications and notes

7.1 Analysis Notes

Analysis Notes contain all information needed for the reproduction of the analysis.

They are intended to communicate information to the collaboration and document it for future reference. Analysis Notes are signed by a subgroup of the collaboration and are approved by the PWG conveners.

Analysis Notes are not publicly available and may not be distributed outside the Collaboration. They are accessible to all members of the Collaboration on the ALICE web site https://aliceinfo.cern.ch/Notes/Documents/Review/reviewitems_analysis_note.

7.2 ALICE Public Notes

ALICE Public Notes accompany preliminary results and publications. They contain supporting material, additional and complementary figures and explanation of the methodology used in the analysis.

ALICE Public Notes can result from merging of several Analysis Notes.

ALICE Public Notes are authored by the ALICE Collaboration. The names of the authors of the analysis are documented and visible within the collaboration on the link:

https://aliceinfo.cern.ch/Notes/Documents/Review/reviewitems_public_note

The EB circulates the Public Note to the collaboration for at least 5 working days and designates at least one member institute to comment in detail.

Upon EB approval, the ALICE Public Note is publicly available on CERN Document Server:

<http://cds.cern.ch/collection/ALICE%20Public%20Notes?ln=de>.

7.3 Technical Public Notes

ALICE Technical Note contains technical information about the ALICE detector and its performances, including both hardware and software.

The authorship of the Note shall be defined by the appropriate Project leader.

The Project leader circulates the Note among all members of the Project for comments and approves it for submission to the EB.

If a Technical Note is authored by the whole collaboration the EB circulates the draft to the collaboration for comments for at least 5 working days.

Upon EB approval, the Note is publicly available on CERN Document Server: <http://cds.cern.ch/collection/ALICE%20Public%20Notes?ln=de>.

7.4 Technical Publications

The purpose of an ALICE Technical Publication is to communicate technical information about the ALICE detector and its performance, including both hardware and software, to the Scientific Community. The authorship of these papers shall be defined by the appropriate Project leader.

The Project leader circulates the draft among all members of the Project for comment, and approves it for submission to the EB, along with a recommendation for the journal. The EB referees the draft and either returns it to the Project leader with comments or approves it for publication.

The EB chair or a person in charge submits the manuscript to the journal and post it on the arXiv. Response from the journal and referee reports will be circulated among all members of the Project for comment, and resubmission will follow the same procedure as the initial submission.

7.5 Usage of ALICE data and methods in non-ALICE publications

Members of the ALICE Collaboration may be authors of review papers and papers on general methods, etc.

ALICE physics and technical data that have not been published by the ALICE Collaboration, in conference proceedings or refereed journal, may not be included in non-ALICE publications.

ALICE physics and technical data that are presented in a student thesis but not in conference proceedings or in a refereed journal may not be included in non-ALICE publications.

8. Student theses

The Editorial Board maintains a list of ALICE students and their thesis topics. This list can be used by the Conference Committee, Physics Board and Physics Working Groups, to track student activity and promote student involvement in conferences. It is the responsibility of the PWG conveners, and Project Leaders, together with the thesis advisors, to keep this list up to date.

Data and analyses presented in a student thesis but not in ALICE Conference Proceedings or in ALICE refereed publication are not considered to be published ALICE results. Results obtained by the student must be labelled "this thesis". The text must be clear in order to prevent such results being taken from a publicly available thesis and considered erroneously as results of the ALICE Collaboration.

All student theses presenting ALICE data must be made available to the collaboration upon acceptance of the thesis and uploaded to CDS. Thesis subjects are on GLANCE, thesis on

CDS. It is the responsibility of the thesis advisor and the PWG convener or Project leader to ensure an electronic copy of the thesis and that it is uploaded in a timely fashion.

9. Authorship

The Institute team leaders are responsible for supplying a list of names, in accordance with the ALICE document ALICE-INT-2006-005, in the corresponding data base GLANCE. This list contains the names of the authors, the institute to which they belong and the date of joining the ALICE collaboration. The Institute Team leader is also responsible for announcing the departure of people from the collaboration.

Qualifications to sign physics publications:

- 1) A person must be registered in the ALICE Collaboration Database with the following status: Physicist, Postdoc, Senior Engineer or PhD Student;
- 2) Physicists, Postdocs and Senior Engineers must be ALICE members for at least one year to be eligible for authorship rights; in addition they must count for the sharing of the budget for Maintenance and Operation Cat. A. If a postdoc was previously an ALICE student, his/her authorship starts immediately;
- 3) PhD students must be ALICE members for at least 6 months to be eligible for authorship rights; If a PhD student was previously an ALICE Master student, his/her authorship starts immediately;
- 4) PhD students must provide six months equivalent of service work for the Collaboration; Failure to do so in due time can lead to the suspension of signature rights;
- 5) The corresponding institute must be in good standing, as determined by the Collaboration Board and the Constitution (<http://aliweb.cern.ch/system/files/documents/ALICEOrgvs10.pdf>);
- 6) The qualification period stops when leaving ALICE: PhD students keep authorship rights for 6 months after their departure date. Physicists, Postdocs, Senior Engineers keep authorship rights for 12 months after their departure date;

Exceptions from this rule may be granted by the MB on suggestions from the EB chair in consultation with the EB and spokesperson.

Any author can remove his/her name from the author list in a particular case. Removal of a qualified author from the author list by the team leader requires a mutual agreement between the author to be removed and the team leader.

In the case of a change of affiliation within the collaboration the member stays affiliated with the institute that pays the M&O cost for the one additional year. Other procedures are possible with the agreement of all parties involved.