

Summary: This document provides the publication policy of the Stars, Milky Way, and Local Volume (SMWLV) Science Collaboration of the Rubin Observatory. Version history:

0.1	Started 2021 July	Will Clarkson
0.15	2021-08-20: Minor edits for circulation to SMWLV	Will Clarkson
0.2	2025-04-09: Redraft	Steven Gough-Kelly / Pauline Barmby

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Document Status

This policy is adapted for SMWLV from existing publication policies within Rubin Observatory and the Science Collaborations (in particular, much of the material is adapted from the TVS and DESC science collaboration publication policies, but it also includes some material from the LSST publications policy, and was also inspired by the Evolutionary Map of the Universe collaboration's publications policy).

Once this draft has been ratified by the SMWLV Science Collaboration, agreement to this publication policy will become a condition for membership of SMWLV.

Goals

There are three primary goals for the SMWLV publication policy:

- To protect the intellectual property of SMWLV members and provide a trusted, supportive environment in which they can share ideas and expertise and receive due credit for their contributions.
- To maximize the quality and ensure the validity of SMWLV publications by taking full advantage of the scientific and technical expertise within the collaboration.
- To provide a process to minimise duplication and avoid unhealthy internal competition.

Definitions

Publications

This policy applies to the following outputs of SMWLV-relevant work:

- Peer-reviewed publications;
- White papers and Research Notes;
- Conference contributions;
- Data releases;
- Documentation relating to SMWLV software tools

SMWLV Publications

A publication is considered an SMWLV publication if one or more SMWLV members are listed as contributing authors, and that:

- the publication utilizes SMWLV proprietary products (algorithms, software, or data products) developed by the Science Collaboration; and/or
- is a result of active collaborative work within the SMWLV Science Collaboration.

If proprietary algorithms, software, or data products subsequently become part of the public domain, this definition will still apply to ensure that Science Collaboration members continue to coordinate and collaborate, even with public data.

Other Science Collaboration publications utilizing the same products that are not presenting SMWLV science will not be classified as a SMWLV publication.

Joint Science Collaboration publications will be approved and coordinated by the Science Collaborations' management teams, abiding by both publication policies where possible.

SMWLV members are likely to routinely collaborate on projects with non-members. Where the majority of co-authors on a publication are not members, and the data and techniques being used are in the public domain, the co-authors who are members may consider requesting an exemption from this policy. The Science Collaboration will consider such cases in light of competition or overlap with Science Collaboration publications and projects, the support and best interests of students and their projects, and other pertinent factors.

Non-SMWLV Publications

Publications authored or co-authored by SMWLV members that do not have implications regarding Science Collaboration projects or products are exempt from this policy. For example, a paper on Hubble Space Telescope analysis authored by individuals who only happen to be SMWLV members would NOT be considered an SMWLV publication unless there is explicit discussion of implications regarding Science Collaboration science.

While non-SMWLV publications are exempt from this policy, it can serve as a guide for the circulation and collaboration of publications within the Science Collaboration among its members.

SMWLV Products

SMWLV products include (but are not limited to) items from the list below that were developed substantially or entirely within the SMWLV Science Collaboration, or they were produced using or depend on SMWLV resources. Such as:

- Data products (real and simulated);
- Simulations;
- Software;
- Analysis methods (algorithms) and theory;
- Publications, presentations, slides, and other media.

Status of SMWLV Papers

The status of SMWLV publications can be tracked on the Science Collaboration website. A publication proposal or status change request can also be made through the website. Project proposals and publications not already published are to be distributed amongst SMWLV members only via the mailing list.

The status of a SMWLV publication can be one of: “proposed”, “approved”, “in-progress”, “on-hold”, “circulating” (i.e., circulated for feedback), “submitted”, “published”. The date must also be recorded in the status entry when the status is changed. When published, a link to ADS, the journal, and arXiv, where available, should be added.

SMWLV publications must go through a “circulating” state before being submitted. SMWLV publications with a “circulating” status must include a deadline (minimum notices outlined below) for feedback in preparation for submission. The publication lead author has the right to consider or reject contributions after this deadline.

Papers that have an “on-hold” status or that have not changed their status in six months will be queried by the Publication Committee to identify whether the paper is continuing or has stalled, and in the latter case, how to support progress. Papers with no progress made after twelve

months will be cancelled or reassigned to other interested team members. Cancelled papers that have not been reassigned can be resubmitted for consideration at a later stage if circumstances have changed such that timely progress is more likely.

Expected Timescales

For most publications, we recommend that publication authors allow other contributors a minimum period of **two weeks** to provide feedback. For urgent publications, including short timescale discoveries, research notes, circulars, and similarly scoped publications, a shorter period may be appropriate.

Rights to Co-authorship

Authors are expected to abide by the common ethical authorship practices, such as, for example, those outlined by the American Astronomical Society (AAS) and the American Physical Society (APS):

- AAS Code of Ethics: Publication and Authorship - <https://aas.org/policies/ethics#publication>
- APS Guidelines for Professional Conduct, including Publication & Authorship Practices - https://www.aps.org/policy/statements/02_2.cfm

In addition to the above, the following apply to **all** SMWLV publications:

- The lead author of an SMWLV publication is responsible for contacting **all** members who made a *significant contribution* to that publication to offer them the opportunity to be co-authors. This should be done sufficiently in advance of the publication being submitted to allow the members sufficient time to read the publication and provide meaningful feedback, which the author should consider in good faith.
- The phrase “significant contribution” refers to one without which an analysis or discussion would be incomplete or inaccurate, or one that significantly improved the quality of the resulting paper. Examples of significant contributions include, but are not limited to: writing code, writing sections of the paper, providing ideas that influence the direction of the project, analysis, modeling, making observations, and reducing data.
- SMWLV members may contact the lead authors of any SMWLV publication at any time before submission, offering their contributions, which the lead author should consider in good faith.
- The lead author of an SMWLV publication is responsible for reporting status updates of the publication to the Science Collaboration.
- Co-author responsibilities include: (i) positively agreeing to the lead author’s request to be a co-author, (ii) responding to the lead author in a timely fashion, and furnishing all

information to enable publication to proceed. Co-authorship does not imply veto power over a paper's contents: if a co-author cannot resolve disputes with the lead author in a timely manner despite good faith efforts, they should decline co-authorship so that submission can proceed.

- Co-authors cannot be included on a paper without their explicit permission. It is the responsibility of all co-authors to accept or decline co-authorship in a timely manner before the paper is submitted for publication. A proposed co-author's failure to respond to a co-authorship request should not delay submission.
- The lead author has the right to object to an individual co-authoring their paper if they feel the co-author has not met the requirements as described in this document.
- It is recommended that the co-authors document their contributions to a publication to support their right to co-authorship. Such a document need not be shared publicly as part of a submission.
- Conflicts regarding the co-authoring of an SMWLV publication will be resolved by the Publications Committee.

Acknowledgement Text

For publications where an Acknowledgement section is expected (e.g., refereed journal papers, white papers, research notes, software documentation), the lead author is responsible for ensuring that any acknowledgements required by funding bodies, or by the Project itself, are included.

Publications based directly on products of the Rubin Observatory, including data products, simulations, and software, should acknowledge the Observatory for these contributions. For detailed guidance on the appropriate acknowledgment text in this case, see <https://docushare.lsstcorp.org/docushare/dsweb/Get/Document-3607>.

SMWLV papers should include the following acknowledgement text:

"This work includes contributions from the Stars, Milky Way, and Local Volume (SMWLV) Science Collaboration of the Vera C. Rubin Observatory's Legacy Survey of Space and Time (LSST)."

Best Practices for Citing Software in Astronomy

We recommend all authors observe the following guidelines to properly credit the developers of software used for astronomical research, based on the work of Daina Bouquin, Gus Muench, Kelle Cruz, Daniel Chivvis, and Edwin Henneken ([astrobetter](#)). Tools like the [Software Citation Station](#) can be utilized to assist in the acknowledgement of essential software. Publicly available SMWLV products should strive to create citable links to track their impact.

Termination

This policy remains in force until the LSST is completed, and subsequently, while any SMWLV products remain proprietary. If all SMWLV products become public, this policy no longer applies.

Non-compliance

Members of SMWLV who do not comply with this policy may have their membership revoked, losing privileged access to the SMWLV Science Collaboration and related products. This sanction will be enforced by the SMWLV co-chairs.

Implementation of the policy

Once this policy has been ratified, SMWLV will assemble a standing Publications Committee, which will be tasked with reviewing and adjudicating any disputes or authorship-related questions that may arise.