

Implementation proposals and decision-making procedure for author lists of publications of the ALICE, ATLAS, CMS, LHCb Collaborations

The ALICE, ATLAS, CMS, LHCb Spokespersons and Collaboration Board Chairs

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As a consequence of the Russian military invasion of Ukraine, which started on 24 February 2022, the ALICE, ATLAS, CMS, and LHCb Collaborations have suspended the publication of signed papers in peer-reviewed science journals. CERN Council has declared after the 16/17 June 2022 meeting its intention to terminate the International Cooperation Agreements (ICA) with Russian Federation and Republic of Belarus at their expiration dates in 2024, and to review the ICA with JINR (CERN/3669, CERN/3670, CERN/3671). Following this, the ALICE, ATLAS, CMS, and LHCb Spokespersons and Collaboration Board Chairs have explored common approaches to the authorship of our scientific publications that would allow all individual authors to sign our publications and preserve the unity of our collaborations.

The invasion of one of the countries participating in our experiments, a CERN Associate Member state, by another participating country is challenging more than ever the general principles of CERN and our collaborations to *unite people from all over the world to push the frontiers of science and technology, for the benefit of all*, as well as our desire to continue to collaborate with all the individual scientists and engineers who are members of our collaborations and enable their students to succeed in their studies. Strong political statements signed by leaders of Russian institutes in support of the war have contributed significantly to tensions in our collaborations. The war has drawn strong condemnation from a very large number of our collaborators, the experiments' managements, CERN management, and the CERN Council.

There has been a wide range of views expressed by members of the collaborations. Individual scientists and funding agencies participating in the LHC experiments have expressed their opposition to coauthoring scientific publications where institutes and funding agencies of the Russian Federation, the Republic of Belarus, and JINR explicitly appear. A proposal along these lines (Proposal A) is given below. The Russian national contact physicists have informed us about their and their authorities' opposition to such an approach as they consider it discriminatory against Russian scientists. Some scientists and funding agencies prefer to have a clear statement that explicitly refers to the CERN Council measures and Russian invasion of Ukraine, and that signing the paper does not imply any acceptance of views expressed by institutes on the publication. A proposal along these lines (Proposal B) is given below. In both proposals funding agencies will be permitted to propose a statement regarding their suspension of direct collaboration with institutes in Russia and/or Belarus, and/or with JINR.

The ALICE, ATLAS, CMS, and LHCb Collaborations are independent entities, and each of them is free to decide how to proceed with the authorship of its science papers. Although some differences exist among the collaborations and their members, which could explain or justify a variety of possible decisions, the Spokespersons and Collaboration Board Chairs are convinced that the present authorship issue is a common issue requiring a common

solution. Therefore, they think that every effort should be made to reach a common solution, which will be easier to implement and justify, and is more likely to be accepted and understood by everyone outside the collaborations, including the funding agencies, the publishers and the community at large. Different solutions are likely to cause unnecessary confusion and criticisms, and should therefore be avoided, if at all possible. Also the CERN management would very much welcome a common solution across all CERN experiments.

Proposal A:

Authors affiliated with Russian and Belarussian institutes, and with JINR, sign the Collaboration's scientific publications with their names, and the institute affiliation is replaced, respectively, by the reference:

- *"Affiliated with an institute of the Russian Federation"*
- *"Affiliated with an institute of the Republic of Belarus"*
- *"Affiliated with JINR"*

No acknowledgement to their funding agencies is made. On request, the experiment management will release a certificate attesting the contribution of the aforementioned institutes and funding agencies, or of JINR, to the work presented in the publication.

Proposal B:

Authors affiliated with Russian and Belarussian institutes, and with JINR sign the Collaboration's scientific publications with their names and institute affiliation, and their funding agencies are acknowledged. However, the aforementioned institutes and funding agencies have a reference to the following text placed next to the author list:

- *"As a consequence of the Russian military invasion of Ukraine, CERN Council has taken measures against institutes and funding agencies of the Russian Federation, the Republic of Belarus, and JINR ([CERN/3626](#), [CERN/3637](#), [CERN/3638](#)). In line with the principles that apply to scientific publishing and the CERN policy in matters of scientific publications, the -XYZ- Collaboration recognises the work of all those who have contributed to the experiment used to obtain the results described in this paper."¹*

The following will be added to the acknowledgments:

- *"We recognize the core values of CERN based upon scientific collaboration across borders as a driver for peace, and work together in this spirit. Our collaboration cannot be interpreted as an endorsement of any statement made by any of our institutes, funding agencies or governing bodies."*

¹ If there is no participation from Belarus or JINR in the collaboration, then the above text and references to CERN Council documents are shortened accordingly.

In both proposals, funding agencies can propose the addition, to the acknowledgments, of a statement regarding the suspension of their direct cooperation with the Russian Federation, the Republic of Belarus, and/or JINR.

Decision-making procedure:

In a first CB meeting,² the voting CB members are asked to express in opinion votes, independently for each of the two proposals, whether the proposal is *acceptable*. *Acceptable* means they consider that the large majority of authors of their institution will continue to sign our papers if the proposal is implemented. Both proposals may be voted as “acceptable”. Preferences between the two proposals will be captured through an additional opinion vote.

After the discussions and opinion votes in the four CBs, the Spokespersons and CB Chairs intend to formulate a single proposal with the goal of maximising the likelihood that it can then be adopted as a common solution in subsequent votes of each of the CBs. In the easiest scenario, this will be either Proposal A or Proposal B (possibly complemented with sentences proposed by funding agencies), and the final decision-making votes should take place before the end of September 2022. In the difficult scenario where none of the proposals A and B is acceptable by a large fraction of the CB members in each collaboration, new attempts to reach a common solution will be proposed, but this is likely to take more time.

The intention to obtain a common solution across the four main LHC experiments, if possible, following the procedure outlined above will be voted on in the first CB meeting.

List of questions submitted for vote at the first CB meeting:

1. Do you agree with the firm intention to reach a common solution across the four large LHC experiments, which has been the basis to design the proposed decision-making procedure? [yes/no/abstain]
2. Is Proposal A acceptable to your institute, i.e. do you consider that a large majority of the authors of your team will continue to sign the publications if proposal A is implemented? [yes/no/abstain]
3. Is Proposal B acceptable to your institute, i.e. do you consider that a large majority of the authors of your team will continue to sign the publications if proposal B is implemented? [yes/no/abstain]
4. Which proposal do you prefer, A or B ? [A/B/abstain]

² These first CB meetings are scheduled on 2nd of September for ALICE and LHCb, and on 7th of September for ATLAS and CMS.