

**NJSC "AL-FARABI KAZAKH NATIONAL UNIVERSITY"**

**APPROVED**

**Chairman of the Board - Rector of  
NJSC "AL-FARABI KAZAKH  
NATIONAL UNIVERSITY",  
Professor  
Tuimebaev Zh.K.**


" \_\_\_\_\_ " \_\_\_\_\_ 2021

**REGULATION**

**on the Commission for the analysis of the quality of scientific publications of  
authors of Al-Farabi Kazakh National University in the  
Scopus and/or Web of Science database**

Copy	Code	Edition	Developed	Agreed	Agreed
	R KAZNU	first		Director of the Department of Science and Innovation Mukhambetzhano S.K.	And about. first vice-rector Mukanov K.N.
			Head of the Department of Science and Publication Activity Smagulov K.E.	Director of the Center for Strategic Development Minazheva G.S.	And about. Vice- Rector for Research and Innovation Ramazanov T.S.
				Head of Human Resources and Archives Madiyar A.S.	Head of Legal Work Department Kurmanaliev B.O.

**Almaty, 2021**

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## **1. General Provisions**

1.1. This regulation on the Commission for the analysis of the quality of scientific publications of the authors of Al-Farabi KazNU (hereinafter referred to as the Commission) in the Scopus and/or Web of Science databases (hereinafter – Regulation) has been developed in accordance with the Law of the Republic of Kazakhstan "On Science", legislative and other regulatory legal acts of the Republic of Kazakhstan in the field of science, the Charter and other internal rules and documents of the NAO "Al-Farabi Kazakh National University" (hereinafter - KazNU named after al-Farabi, KazNU, the University), the Code of Ethics of the scientist of KazNU named after al-Farabi, in order to determine the procedure for organizing the composition and work of the Commission, the criteria for assessing the quality of scientific publications of the authors of Al-Farabi KazNU in the Scopus and / or Web of Science databases.

1.2. The purpose of this Regulation is to establish the procedure for the organization and work of the Commission for the evaluation of publications of the authors of the al-Farabi KazNU, publications and publishers included in the Scopus and / or Web of Science databases, in which the articles of the authors of the al-Farabi KazNU were published, based on qualitative and quantitative indicators.


1.3. The Commission is a permanent advisory body of the university that analyzes the publications of the authors of the al-Farabi KazNU, publications and publishers included in the Scopus and / or Web of Science databases, in which the articles of the authors of the al-Farabi KazNU were published on the basis of qualitative and quantitative indicators.

1.4. The Commission is responsible for the quality, objectivity and validity of decisions made on the evaluation of publications of the authors of the al-Farabi KazNU, publications and publishers included in the Scopus and / or Web of Science databases, in which the articles of the authors of the al-Farabi KazNU were published

## **2. Tasks and functions of the Commission**

2.1. Tasks and functions of the Commission:

- evaluation of publications of the authors of KazNU named after al-Farabi, publications and publishers included in the Scopus and / or Web of Science databases that raised controversial issues (submitted to the Commission in the form of an application, in accordance with clause 6 and Appendix 1 of these Regulations) based on the qualitative and quantitative criteria specified in clause 9 of these Regulations;
- presentation of the decision of the meeting of the Commission in the manner prescribed by these Regulations;
- formation of a list of publications of authors of KazNU named after al-Farabi, publications and publishers included in the Scopus and / or Web of Science

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databases that meet the qualitative and quantitative criteria specified in clause 9 of this Regulation;

- making decisions on other issues related to the examination of scientific publications of the University staff, publications and publishing houses included in the Scopus and / or Web of Science databases, in which the articles of the authors of Al-Farabi KazNU were published.

### **3. Order of organization and duties of members of the Commission**

3.1. The composition of the Commission, as well as changes in its composition, are approved by order of the Chairman of the Board-Rector of the KazNU on the basis of the presentation of the vice-rector for scientific and innovative activities.

3.2. The Commission consists of a chairman, a deputy chairman and 3 (three) members of the Commission (collectively referred to hereinafter as members of the Commission) from among the teaching staff, researchers, administrative and managerial personnel of the university that meet the requirements specified in paragraph 4 of this Provisions.

3.3. Chairman of the Commission:

- carries out general management and coordination of the activities of the Commission, and is also responsible for organizing the work of the Commission;

- chairs the meeting of the Commission or transfers these rights to the Deputy Chairman of the Commission in case of impossibility of full-time and online participation in the work of the meeting of the Commission and in cases where, on the application, issue at the meeting of the Commission, he has or has a conflict of interest;

- receives from the Secretary of the Commission the list of applications approved by the director of DSIA and the applications themselves with the agenda of the meeting of the Commission;

- distributes duties and received applications among the members of the Commission;


- controls and ensures consideration by the members of the Commission of the application and its evaluation based on the qualitative and quantitative criteria specified in paragraph 9 of this Regulation;

- ensures high-quality and objective decision-making on each application, in accordance with the principles and standards of scientific ethics and the Code of Ethics for Scientists Al-Farabi KazNU;

- strictly guided by the criteria for evaluating the application and other agenda items on the basis of clause 9 of these Regulations;

- personally signs the paper version of the minutes of the meeting of the Commission;

- provides answers to employee inquiries Department of Science and Innovation Activities of the University (DSIA) on the activities of the Commission

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in the proper form and within the specified time;

- observes the confidentiality of information, the principles of scientific ethics, conflicts of interest during the examination of the application according to the evaluation criteria specified in clause 9 of these Regulations.

#### 3.4. Responsibilities of the Deputy Chairman of the Commission:

- organizes the holding of the meeting of the Commission in accordance with the instructions of the Chairman of the Commission;

- personally signs the paper version of the minutes of the meeting of the Commission;

- performs the functions of the presiding person at the meetings of the Commission in the absence of the chairman of the Commission and in cases where, on the application, the issue at the meeting of the Commission, the chairman of the Commission has or has a conflict of interest;

- strictly guided by the criteria for evaluating the application and other agenda items on the basis of clause 9 of these Regulations;

- takes part in the preparation, together with the chairman of the Commission, of responses to requests from DSIA employees about the activities of the Commission;

- observes the confidentiality of information, the principles of scientific ethics, conflicts of interest during the examination of the application according to the evaluation criteria specified in clause 9 of these Regulations.

#### 3.5. Responsibilities of the members of the Commission:

- take an active part in the meetings of the Commission for consideration and decision-making on received applications and issues discussed at the meeting within the agenda;

- are strictly guided by the criteria for evaluating the application and other agenda items on the basis of clause 9 of these Regulations;


- personally sign the paper version of the minutes of the meeting of the Commission;

- observe the confidentiality of information, the principles of scientific ethics, the conflict of interest during the examination of the application according to the evaluation criteria specified in clause 9 of these Regulations.

#### 3.6. Secretary of the Commission without the right to vote, represented by the DSIA employee responsible for publication activity:

- generates applications and, on the basis of agreement with the director of the DSIA of the list of received applications for consideration by the members of the Commission, submits in paper and / or electronic form the agreed list of applications and the applications themselves to the Chairman of the Commission with the agenda of the meeting of the Commission;

- keeps the minutes of the Commission meeting indicating the votes of the members of the Commission for each application, and no later than 2 (two) working days after the meeting, prepares the minutes of the meeting of the Commission and

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sends it in paper form to the members of the Commission for affixing handwritten signatures;

- not later than 3 (three) working days after the meeting, provides Vice-Rector for Scientific and Innovation Activities of KazNU named after Al-Farabi minutes of the meeting in paper form with handwritten signatures of the members of the Commission in the manner prescribed by this Regulation.

3.7. The composition of the Commission is approved for a period of 1 (one) calendar year from the date of issuance of the relevant order of the Chairman of the Board-Rector of the KazNU.

3.8. The meeting of the Commission is considered competent if there is a quorum of at least 3 (three) members of the Commission, including the presence of the chairman and / or deputy chairman of the Commission is mandatory.

3.9. The Chairman, Vice-Chairman and members of the Commission are obliged to strictly observe the principles and standards of scientific ethics and the Code of Ethics for Scientists KazNU.

#### **4. Requirements for the composition of the commission**

Each member of the Commission must meet the following qualification requirements:


4.1. The degree of Doctor of Philosophy (PhD), Doctor in profile, Doctor or Candidate of Sciences, experience of scientific and educational activities in KazNU named after al-Farabi or its subsidiaries at least 7 (seven) years as of the date of inclusion in the Commission.

4.2. Over the past 5 (five) years, at least 1 (one) article in journals of the first quartile (Q1) in terms of SJR (according to scimagojr.com data as of the date of compiling the list of members of the Commission) and/or at least 1 (one) article in journals of the first quartile (Q1) according to the Web of Science database (Science Citation Index Expanded, Social Sciences Citation Index and/or indexed in the Arts and Humanities Citation Index).

4.3. Over the past 5 (five) years, at least 1 (one) publication as a correspondence author or first author in journals of the first, second, third quartile (Q1, Q2, Q3) in terms of SJR (according to scimagojr.com data at date of compilation of the list of members of the Commission) and/or at least 1 (one) article in journals of the first, second, third quartile (Q1, Q2, Q3) according to the Web of Science database (Science Citation Index Expanded, Social Sciences Citation Index and/or indexed in the Arts and Humanities Citation Index).

4.4. Hirsch index not less than 5 (five) according to the international database Web of Science and/or Scopus as of the date of compiling the list of members of the Commission.

4.5. Absence of publications in publications excluded from the Scopus and/or Web of Science database as of the date of compiling the list of members of the Commission.


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## **5. Powers of members of the Commission**

5.1. The Commission decides on the compliance of publications and publications included in the Web of Science and/or Scopus databases with the criteria specified in paragraph 9 of these Regulations.

5.2. The decision of the Commission is binding on the following university events:

- monitoring of indicators of the indicative plan and rating of teaching staff of KazNU named after al-Farabi;
- formation of a list of articles for payment of monetary remuneration to authors in accordance with the Regulations "On the system of measures to stimulate the publication activity of teaching staff, employees and students of the university in international rating publications";
- confirmation of obligations of postdoctoral students for publications in publications included in the Web of Science and Scopus databases;
- confirmation of compliance with scientometric, bibliometric and publication criteria of candidates from among foreign scientists for invitation to Al-Farabi KazNU for the purpose of lecturing and / or conducting research work;
- confirmation of obligations to publish articles in journals included in the Web of Science and Scopus databases of invited foreign scientists to give lectures and / or conduct research work at Al-Farabi KazNU;
- confirmation of the correspondence of publications in journals included in the Web of Science and Scopus databases to applicants for academic titles from among the faculty (hereinafter referred to as the teaching staff) and university staff;
- confirmation of obligations to publish articles in journals included in the Web of Science and Scopus databases of the associate professor-researcher and professor-researcher of Al-Farabi KazNU;
- confirmation of the correspondence of publications in journals included in the Web of Science and Scopus databases to applicants for the degree of Doctor of Philosophy (PhD);
- confirmation of the compliance of the journal, conference proceedings and other publications included in the Web of Science and Scopus databases to pay for publication, organizational and other expenses from grant funding and targeted funding from the Ministry of Education and Science (hereinafter referred to as MES RK) and other ministries Government of the Republic of Kazakhstan, doctoral programs, post-doctoral programs, associate professor-researcher and professor-researcher programs of KazNU named after al-Farabi;
- confirmation of the compliance of publications in journals, collections of conferences and other publications included in the Web of Science and Scopus databases of employees of research and other institutes, centers, laboratories, other scientific and other structural divisions of Al-Farabi KazNU;
- confirmation of compliance of publications in journals, conference

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proceedings and other publications included in the Web of Science and Scopus databases of applicants from among the teaching staff and university staff for the award of the State Scientific Scholarship, including for talented young scientists and / or the State Scientific Prize of the Ministry of Education and Science of the Republic of Kazakhstan;

- confirmation of the conformity of publications in journals, conference proceedings and other publications included in the Web of Science and Scopus databases of applicants from among the teaching staff and university staff of the title "The Best Young Scientist of Al-Farabi KazNU".

## **6. Organization and support of the activities of the Commission**

6.1. The activities of the Commission are carried out in the form of a meeting. Commission meetings are held at least 2 (two) times a year, as a rule, in April and November.

6.2. In some cases, it is possible to hold extraordinary meetings of the Commission, on the basis of instructions from the director of the DSIA.


6.3. The agenda of the meeting of the Commission includes consideration of applications, as well as other issues related to publication activity.

6.4. The Secretary of the Commission sends the head of the department an application form for filling out on the publication that caused controversial issues.

6.5. No later than 10 (ten) working days before the next meeting of the Commission, the head of the department provides the secretary of the Commission in electronic format (doc, docx) and in paper form with an application certified by a live seal and handwritten signature in accordance with the form specified in Appendix 1 with detailed information on scientific publication, publication, publisher included in the international database Scopus and / or Web of Science, login and password to the author's account for correspondence in the online article download system on the website of the publication in which the article in question was published.

6.6. Applications that do not provide a login and password to the author's account for correspondence in the online article download system on the website of the publication in which the article in question was published are not included in the agenda of the Commission meeting and are not considered at the Commission meeting.

6.7. The decision on each application is made by a majority vote of the members of the Commission, implying that the application under consideration meets the criteria specified in clause 9 of these Regulations. In cases where an even number of members of the Commission, including the chairperson, takes part in the meeting, or in cases where the votes of the members of the Commission are equally divided, the casting vote has the vote of the chairman of the Commission or the deputy chairman of the Commission in the absence of the chairman of the Commission at the meeting.

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6.8. The decision of the Commission is formed by a protocol indicating the decision on each application discussed at the meeting of the Commission and signed by all members of the Commission participating in the meeting and the chairperson.

6.9. The protocol is drawn up and provided to the vice-rector for scientific and innovative activities of KazNU named after al-Farabi in paper form with handwritten signatures of the members of the Commission and presiding person no later than 3 (three) working days after the meeting of the Commission.

6.10. For evaluation purposes application and / or issue that caused a controversial decision by the members of the Commission or on an application and / or issue on which all members of the Commission have a conflict of interest, the vice-rector for scientific and innovative activities of the university has the right to send this application to an expert from among the teaching staff and / or employees of KazNU named after al-Farabi for independent examination. In this case, the decision of the expert will be decisive for this application and is included in the minutes of the meeting of the Commission.

6.11. The decision of the Commission comes into force from the date of approval of the protocol of the Commission by the vice-rector for scientific and innovative activities of Al-Farabi KazNU.

6.12. The Secretary of the Commission, on the basis of the protocol of the meeting of the Commission approved by the Vice-Rector for Scientific and Innovation Activities of the Al-Farabi KazNU, forms a list of publications approved by a majority of votes of the members of the Commission and / or by decision expert.


6.13. If it is not possible to attend the meeting in person, members of the Commission may participate in the meeting of the Commission and its work through online platforms or in writing. The opinion of a member of the Commission, expressed in writing, is announced by the chairman or deputy chairman of the Commission at a meeting and is taken into account when making a decision.

6.14. If it is impossible to participate in the meeting, a member of the Commission, not later than 1 (one) day before the meeting of the commission, in writing, in paper or electronic format with the obligatory presence of a handwritten signature, notifies the chairman or deputy chairman of the Commission of this, indicating the reason for the absence.

6.15. In the event that a member of the Commission, without good reason and without notifying the chairman or deputy chairman of the Commission, was absent from two meetings of the Commission, both regular and extraordinary, then the Vice-Rector for Scientific and Innovation Activities has the right to petition the Chairman of the Board-Rector of NJSC "KazNU named after al-Farabi" on the exclusion of this member from the Commission and the presentation of a new candidate for inclusion in the Commission.

6.16. In the presence and / or occurrence of a conflict of interest between a member of the Commission and the author of the publication in question and/or a



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publication and/or a publishing house included in the Scopus and/or Web of Science databases, he is obliged to immediately notify the Chairman of the Commission or the Deputy Chairman of the Commission about existing conflicts of interest in the absence of the Chairman of the Commission, who is obliged to transfer the application under consideration to another member of the Commission, which is not available conflict of interest with the author of the publication in question and/or publication and/or publisher included in the Scopus and/or Web of Science databases.

6.17. In the presence and / or occurrence of a conflict of interest between the chairman of the Commission and the author of the publication in question and/or a publication and/or a publishing house included in the Scopus and/or Web of Science databases, he is obliged to immediately notify the Vice-Chairman of the Commission about existing conflicts of interest, who is obliged to transfer the application under consideration to another member of the Commission who does not have conflict of interest with the author of the publication in question and/or publication and/or publisher included in the Scopus and/or Web of Science databases.

6.18. In the presence and / or occurrence of a conflict of interest vice chairman Commissions with the author of the publication in question and/or a publication and/or a publishing house included in the Scopus and/or Web of Science databases, he is obliged to immediately notify the Chairman of the Commission about existing conflicts of interest, who is obliged to transfer the application under consideration to another member of the Commission who does not have conflict of interest with the author of the publication in question and/or publication and/or publisher included in the Scopus and/or Web of Science databases.

6.19. In the presence and / or occurrence of a conflict of interest among all members of the Commission, including chairman, vice chairman and all members Commissions with the author of the publication in question and/or a publication and/or a publishing house included in the Scopus and/or Web of Science databases, the chairman is obliged to notify the members of the Commission of the Vice-Rector for Scientific and Innovation Activities about existing conflicts of interest, who sends this application to an expert from among the teaching staff and / or employees of Al-Farabi KazNU, who does not have a conflict of interest with the author of the publication in question and / or publication and / or publishing house included in the Scopus and / or Web of Science databases, for independent expertise.

6.20. In the event of a conflict of interest on the application and / or the issue at the meeting of the Commission, chairman or vice chairman or a member of the Commission who has an interest in this issue and / or application does not participate in the discussion, voting and decision-making procedure on this issue and / or application.

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## 7. Rights of members of the Commission

7.1. Members of the Commission have the right to make recommendations on improving the efficiency of the publication activity of the teaching staff, employees and students of faculties, structural divisions of Al-Farabi KazNU.

## 8. Responsibility of members of the Commission

8.1. Members of the Commission for non-fulfillment and / or improper fulfillment of their duties specified in paragraph 3 and paragraph 6.15 of this Regulation may be excluded from the Commission on the basis of a petition from the Vice-Rector for Scientific and Innovation Activities to the Chairman of the Board-Rector of KazNU.

8.2. In the event that the chairman, deputy chairman, member of the Commission has committed non-fulfillment and / or improper fulfillment of his duties specified in paragraph 3 and paragraph 6.15 of this Regulation, then the vice-rector for scientific and innovative activities of Al-Farabi KazNU is obliged to suspend the activities of the Commission before the approval of the new composition of the Commission by order of the Chairman of the Board-Rector of the KazNU. The activities and decisions of the Commission before the approval of the new composition of the Commission are illegitimate.

8.3. Members of the Commission bear personal responsibility for violations in the course of their activities.

## 9. Criteria for assessing the quality of publications, publications, publishing houses

When deciding on an assessment, the Commission pays attention to the following criteria for scientific publications published in publications included in the international databases Scopus and / or Web of Science:


9.1. Criteria for evaluating a scientific article published in a journal:

- journal in which an article by the author of KazNU should be indexed in the Scopus, Web of Science, Directory of Open Access Journals, DOAJ databases, as well as in specialized databases (for example, Chemical Abstracts Service, CAS) and not in the list of publications covered by these databases was terminated at the time of consideration of the article by the members of the Commission.

- the article must be published in regular issues/issues of the journal and/or special issue (Special Issue), and not in the application (Supplement).

- the article must be affiliated with the universal spelling of the name of the KazNU in English - Al-Farabi Kazakh National University.

- The article must be published in a journal that has a high level of peer review. The review process should be transparent and go through a special system (Editorial Manager, ScholarOne Manuscripts, Open Journals Systems). Reviews must be submitted electronically in the online manuscript upload system on the journal's website. Peer review is defined as an expert assessment on the article under

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consideration from reviewers-experts in the field who are not members of the editorial board of the journal in which the article was published. This process, as well as any policy related to the journal's peer review procedures, should be described on the website of the journal in which the article in question was published.

- the article must be published in a journal that has a registered ISSN that can be checked against the ISSN database (<https://portal.issn.org/>) and are clearly and consistently reflected on the electronic and printed platforms of the journal.

- The article must be published in a journal that has a unique title that matches the registered title in the ISSN system.

- the article must be published in a journal that corresponds to the regularity, periodicity and the declared number of articles, issues / issues of the journal per year in the ISSN system.

- The article must be published in a journal that has a clear policy regarding potential and existing conflicts of interest of editors, authors and reviewers, and this policy must be clearly articulated on the website of the journal in which the article in question was published.

- The article must be published in a journal that clearly provides copyright and licensing information on the website of the journal in which the article in question was published.

- the article must be published in a transparent, in relation to its ethical requirements for authors and published works, journal.

- an article published in a scientific journal must have a digital publication identifier (DOI).

9.2. Criteria for evaluating a scientific monograph and a scientific chapter in a monograph:

- a scientific monograph and/or a scientific chapter in a monograph must be indexed in the Scopus database and/or Web of Science at the time the article is considered by the members of the Commission.


- the monograph should contain a complete and comprehensive study of one scientific problem or topic based on the research of the author. If the work is done by several scientists, there must be a logical connection between all the chapters of the monograph and sections so that the scientific work is a single whole.

- monograph and / or chapter in the monograph must be affiliated by the author with the universal spelling of the name KazNU in English - Al-Farabi Kazakh National University.

- a monograph and/or a chapter in a monograph must meet the requirement of scientific character: scientific novelty, scientific value, mandatory peer review, etc.

- reviews of a monograph and/or a chapter in a monograph should be reflected in electronic format in the online manuscript upload system on the publisher's website.

- the monograph must have an ISBN identifier and be in full-text or partial

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(contents of the monograph) access in digital format (PDF, XML, txt, doc, docx, etc.) on the publisher's website.

- the monograph and/or chapter in the monograph must have a digital publication identifier (DOI).

9.3. Criteria for evaluating an article published in the conference proceedings:

- Conference proceedings in which an article by the author of Al-Farabi KazNU was published should be indexed in the Scopus and / or Web of Science databases and not in the list of publications, coverage of which in these databases was terminated, at the time of consideration of the article by the members of the Commission.

- an article published in the conference proceedings must be affiliated with the author by the universal spelling of the name KazNU in English - Al-Farabi Kazakh National University.

- the collection of the conference, in which the article of the author of KazNU named after al-Farabi is published, should include the following scientific criteria: scientific novelty, scientific value, mandatory peer review, etc.

- reviews of an article published in the conference proceedings should be reflected in electronic format in the online manuscript upload system on the publication's website.

- the conference proceedings must be in full-text or partial access (contents of the conference proceedings) in digital format (PDF, XML, txt, doc, docx, etc.) on the website of the edition and / or publisher.

- An article published in the conference proceedings must have a Digital Publication Identifier (DOI).

9.4. A scientific publication by the author of KazNU named after al-Farabi, published in a scientific publication (journal, conference proceedings, monograph or chapter of a monograph) must correspond to the subject area of the publication specified in the Scopus database and / or Web of Science.


9.5. Scientific publications of the author of KazNU named after al-Farabi, published in a scientific publication (journal, conference proceedings, monograph or chapter of a monograph) must have evidence-based reviews evaluated according to the following criteria:

- the review should not include comments about errors in the spelling and style of the English language or the language in which the article was published;

- the review should not include technical comments (replacement of letters, decoding of abbreviations, etc.);

- the review should contain an expert assessment of the scientific significance, scientific results, scientific novelty, reproducibility and reliability of the applied research methods of the article;

- the review should indicate the relevance of the work, the impact of the study on future scientific work, comments on theoretical hypotheses, concepts, a critical analysis of the results of the article.

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- assessment of the review (response) to the revised version of the article, based on the results of the changes made by the authors, additions to the review(s) of the article of the first stage.

9.6. If the application under consideration does not have a review(s) in electronic format in the online system for downloading the manuscript on the website of the publication and / or publisher, then this application is not considered and it is not voted by members of the Commission and no decision is made.

### **10. Final provisions**

10.1. This provision is mandatory issued to each member of the Commission for review and guidance in making decisions when evaluating applications received.

10.2. Control over the implementation of these Regulations is entrusted to the vice-rector for scientific and innovative activities of KazNU named after al-Farabi.

10.3. Changes and additions to this Regulation are made on the basis of the order of the Chairman of the Board-Rector on the basis of the proposal of the Vice-Rector for Scientific and Innovation Activities by drawing up in the form of annexes to this Regulation.

10.4. This Regulation comes into force from the date of its approval and is valid until it is cancelled by the chairman of the board-rector of NJSC "KazNU named after al-Farabi" or an authorized official acting as chairman of the board-rector of NJSC "KazNU named after al-Farabi" in the established okay.

10.5. In the event of the liquidation of the Commission or the approval of the Regulations on the Commission in a new edition, these Regulations lose their legal force and are invalid.