
AL-FARABI KAZAKH NATIONAL UNIVERSITY



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innovations

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**Ethics of publication for scientific journals
of Al-Farabi KazNU**



FOREWORD

This Publication Ethics standard for scientific journals of Al-Farabi Kazakh National University provides the basic guidelines and norms of publication ethics for scientific journals and intends to regulate the relationship between the scientific editor, members of the editorial board, authors of scientific articles and reviewers in the process of publishing scientific articles.

The purpose of this standard is a statement of the principles and norms of scientific ethics, by which scientific editors, reviewers, authors of scientific articles, executive secretaries, members of the editorial board of scientific journals of Al-Farabi KazNU should abide in the process of interaction.

The task of the Publication Ethics standard is to emphasize the moral and ethical aspects of publication in scientific journals of Al-Farabi KazNU, and the responsibility of all participants in the publication process.

1. GENERAL PROVISIONS

1.1. This Publication Ethics standard defines the basic principles and norms of publication ethics in scientific journals of Al-Farabi KazNU (hereinafter referred to as the University, KazNU).

1.2. The standard regulates the relationship between the publisher, the scientific editor, members of the editorial board, authors of scientific articles and reviewers during the publication process.

1.3. This standard defines the code of conduct for scientific editors, editorial board members, reviewers and authors; measures to determine conflicts of interest; unethical behavior, instructions for withdrawing and correcting articles, publishing corrections and rebuttals.

1.4. This standard has been developed in accordance with the Law of the Republic of Kazakhstan “On Science”, the Law of the Republic of Kazakhstan “On Education”, with the requirements of the Committee for Quality Assurance in Education and Science for scientific publications, and in accordance with the requirements of the Committee on Publication Ethics (COPE), the Ethical Principles for publication of Scopus (Elsevier) journals, the Code of Ethics of a Scientist of KazNU, The Charter and the Code of Corporate Ethics of Al-Farabi KazNU.

1.5. Each author, scientific editor, reviewer, executive secretary, member of the editorial board of the scientific journal of Al-Farabi KazNU is obliged to strictly adhere to the principles, norms and standards of publication ethics. Compliance with ethical principles is essential, both to ensure high quality publication of scientific journals, and to build trust and respect among the participants of the publication process.

2. TERMS AND CONCEPTS

2.1. *Publication Ethics (the ethics of the publication)* – system of norms of professional behavior of participants in the publication process: authors, reviewers,

scientific editor, members of the editorial board and publisher, when creating, distributing and using scientific works in the journals of Al-Farabi KazNU.

2.2. *Scientific ethics* is the established and recognized by the scientific community norms of behavior, rules of ethical behavior of scientists engaged in scientific and research activities.

2.3. *Principles of Scientific Ethics* are principles of scientific integrity in the presentation of scientific research results that are the foundation of scientific ethics.

2.4. *Scientific journal* is a periodical in which the results of theoretical and applied research intended for scientists, teachers and students, as well as a wide range of readers are published based on an expert assessment (peer review).

2.5. *Publisher* is a legal entity that issues scientific journals. Al-Farabi Kazakh National University is the publisher of scientific journals of KazNU.

2.6. *Scientific journals of Al-Farabi KazNU* are 5 international English-language scientific journals: “International journal of Mathematics and Physics”, “International journal of Biology and Chemistry”, “Physical Sciences and Technologies”, “Central Asian Journal of Social Sciences and Humanities” and “Interdisciplinary Approaches to Medicine”, all series of “KazNU Herald”, as well as a scientific “Journal of Problems of the Open Systems Evolution”.

2.7. *Unethical behavior* – behavior of one or more participants in the publication process (author, publisher, scientific editor, member of the editorial board, reviewer of the scientific journal of KazNU) that violates accepted norms, principles of scientific ethics, which has negative consequences for third parties and/or organizations. The behavior is considered unethical when one or more participants of the publication process provides reviews of their own manuscripts, organizes contractual and/or pseudo-reviewing, and uses agency services on the publication of the results of scientific research, falsifies the composition of the authors, publishes pseudo-scientific research.

2.8. *Violation of the principles of scientific ethics* is a non-compliance with the accepted principles of scientific ethics.

2.9. *Conflict of interest* is a situation in which the personal and/or other interest of a person (group of persons) can influence the decision-making, and thus damage the interests of the participant(s) of the publication process, third parties, society and/or organization(s), including the employer(s) of this person (group of persons).

2.10. *Scientific editor* is a member of the editorial board who heads the editorial office of the journal and makes the final decision regarding the publication of the manuscript based on the results of peer review and scientific editing.

2.11. *Editorial board of the journal* is an organization that carries out the scientific management of the journal, determines and controls the editorial policy of the journal, as well as organizes the process of approval and publication of the next issues of the journal.

2.12. *Editorial office of the journal* is a generalized name used to refer to the scientific editor, executive secretary and other members of the editorial board.

2.13. *Publication process* is the process of acceptance, peer review, scientific editing and preparation of the manuscript for publication, and the publication of scientific articles in the next or subsequent issue of the journal.

2.14. *Author(s)* – person or group of persons (collective) who made a greater contribution to the concept, scientific design, execution and interpretation of the research work and participated in the creation of a scientific article.

2.15. *Original text* is the text, which was not borrowed and translated from another language, but created as a result of independent creative, research work.

2.16. *Manuscript* is a previously unpublished author's scientific work submitted to the editorial office of the journal for publication.

2.17. *Scientific article* is the final or intermediate results of the theoretical, experimental or analytical activity of a scientific research, which contains previously unpublished and novel developments, conclusions and recommendations of the author. It is also a review article of previously published research studies. The structure of a scientific article, as a rule, consists of the title, abstract, of keywords, main provisions, introduction, materials and methods, results, discussion, conclusion, information about funding (if any), and a list of references.

2.18. *Falsification* is a deliberate distortion, fake, substitution of (genuine, real) false.

2.19. *Misrepresentation* is a change in information to obtain the desired result in academic work, in scientific research.

2.20. *Fabrication* – presenting or/and using in scientific works or in other works of data that does not prove or does not correspond to reality.

2.21. *False authorship* – fake anonymization, pseudo-anonymization, hoax, playing the author.

2.22. *False co-authorship* – inclusion of scientific work in the composition of the group of authors, applications for a prize, scholarship, grant, persons who have not contributed to scientific work, research, etc.

2.23. *Duplication of a publication* is a publication based on the published research of the author with minor changes, alteration of the title, annotation, part of the text of the article, etc. or translated text of the article into another language, as well as concealment of information about previously performed studies when they are duplicated; re-publication without notice to the publisher, the editorial office of the journal and/ or unjustified self-borrowing of scientific work.

2.24. *Appropriation of someone else's results* is a deliberate deception committed by a scientist or a group of scientists in order to obtain an undeserved or illegal benefit.

2.25. *Plagiarism* – use of someone else's text, ideas, work as one's own without indicating the true authorship (without references to sources), or the use of borrowed materials with links in such a form and volume that call into question the independence of the performed work. Link falsification also considered as a form of plagiarism. Plagiarism is a violation of the current legislation of the Republic of Kazakhstan and entails legal liability.

2.26. *Self-plagiarism* is the republishing by the author of his own work, in part or in full, without indicating that the work has already been previously published.

2.27. *Peer review of scientific work* – review procedure scientific works by scientists-specialists in the same field, in order to ensure the quality of scientific work, the correctness and reliability of the presentation of the results.

2.28. *Reviewer* is a scientist-specialist in a certain area of scientific knowledge, authorized to carry out the examination of scientific works.

2.29. *Examination of scientific works* is the process of obtaining an assessment of scientific work, based on the opinion of experts (reviewer), with the aim of subsequent decision-making and selection.

2.30. *Article retraction* is a procedure to alert readers to publications that contain grave errors or incorrect data, or that their conclusions cannot be relied upon. Invalid data may be the result of honest error or misconduct in research.

2.31. *Erratum (typo)* is a mistake in printed text, usually when the order of the letters in the word is violated, one letter disappears from the word, an extra letter is added, or another replaces one letter.

2.32. *Corrigendum (Correction)* – correction of typos, spelling, grammatical, stylistic punctuation errors in the text of scientific work.

2.33. *Affiliation of the author* – institutional affiliation, place of work of a scientist, indicated in scientific papers, applications, questionnaires and other documents for scientific prizes, scholarships, grants.

3. PRINCIPLES OF THE PUBLICATION ETHICS OF THE PUBLISHER

The publisher of scientific journals is guided by the following fundamental principles of publication ethics for scientific journals of KazNU:

3.1 Creates the conditions for the ethical principles of the editorial board, scientific editors, reviewers and authors in accordance with the standard of publication ethics.

3.2 They contribute to the prevention of violations of the requirements of the publication Ethics standard for scientific journals of KazNU, including by providing support to the editorial staff of the journal in considering the claim(s).

3.3 Ensures the confidentiality of all information data regarding the publication process, except for those related to open access information, in accordance with the principles of the editorial policy of each journal of KazNU.

3.4 Provides the editorial board with the opportunity to freely choose author's works for publication in the journal in accordance with the principles of scientific, objectivity and transparency, as well as based on the results of peer review.

4. PRINCIPLES OF THE PUBLICATION ETHICS OF THE EDITORIAL BOARD

4.1. The editorial board of the journal makes the final decision on which of the manuscripts received by the editorial office should be published, based on the

results of checking for compliance with the requirements for registration and the results of an expert review.

4.2. When deciding on the publication of a manuscript, the editors are guided by the editorial policy of the journal and do not allow the publication of manuscripts that contain facts of violation of scientific and/or publication ethics, plagiarism and copyright infringement.

4.3. The editorial board is responsible for making a decision on publication/rejection of the manuscript(s) submitted by the author(s) to the journal.

4.4. The editorial board must carry out the procedure for retraction of the article if there is an irrefutable evidence that the data obtained is unreliable and/or obtained as a result of violation of principles, norms, standards of scientific and/or publication ethics, unreasonable actions, experimental errors were found, the article was previously published in other publications without proper permission or justification, the article constitutes plagiarism, the article contains information about unethical research.

4.5. The editors evaluate manuscripts for their intellectual content, regardless of race, gender, sexual orientation, religious beliefs, ethnicity, citizenship, political views of the author, and commercial considerations.

4.6. The editorial board of the journal should not disclose information about the submitted manuscripts to anyone other than the corresponding author, potential reviewers and publisher. Any manuscript received for review is considered a confidential document. Manuscripts should never be displayed or discussed with third parties.

4.7. The editorial board guarantees that the rejected manuscript will not be used in their own research by the members of the editorial board without the written consent of the author(s).

4.8. The editors will refuse to consider the manuscript if there is any kind of competitive relationship between the author and/or organization associated with the research results, or if there is any other conflict of interest.

4.9. The editorial board must require all participants in the publication process to disclose a conflict of interest.

4.10. If there are any conflicts of interest with the content of the manuscript, a member of the editorial board is obliged to notify the scientific editor of this, after which the scientific editor redirects the review of the manuscript to another member of the editorial board who does not have a conflict of interest with the author(s) of the manuscript.

4.11. The editorial board of the journal is responsible for developing and improving the scientific journal, following the principles of freedom of opinion, meeting the professional scientific needs of the authors and readers of the journal.

4.12. The editorial board of the journal must not allow the commercial and/or other interests of the author(s), reviewer and publisher of the journal to influence decisions on publication/rejection of the manuscript in publication.

4.13. The editorial staff of the journal is responsible for the publication of a manuscript with known signs of violation of standards, norms and principles of

scientific publication ethics, unethical behavior, plagiarism, self-plagiarism, excessive self-citation and conflict of interest.

4.14. If the editorial board or one of the members of the editorial board discovered facts of violation of the standards, norms and principles of scientific and/or publication ethics, the scientific editor of the journal, based on the decision of the editorial board, must conduct a publication retraction procedure.

4.15. In case of receipt by the editorial office of the claim(s) (on paper and/or in electronic format) from a person (group of persons) signed by the applicant(s) indicating the full name, contact information (mobile phone number, postal address and e-mail address), indicating fact(s) of violation standards, norms and principles of scientific and/or publication ethics, unethical behavior the author(s) of the manuscript or to a previously published article(s) in the journal of KazNU, the editorial staff of the journal is obliged to consider the claim(s) and provide a response on paper and/or in electronic form signed by the scientific editor or a person replacing him, to the person (group of persons) from whom the claim(s) was received within no more than 30 calendar days from the date of receipt of the claim(s).

4.16. Claim(s) received anonymously is not subject to consideration, preparation and sending a response to it.

4.17. The editorial board is obliged to take reasonable measures regarding the claim(s) on behalf of the person (group of persons) indicating fact(s) of violation standards, norms and principles of scientific and/or publication ethics, unethical behavior of the author(s) of the manuscript or on previously published articles in the journal of KazNU.

4.18. If the arguments indicated in the claim were confirmed, the editorial board has the right to refuse to publish the manuscript and stop further cooperation with the author(s) of this manuscript, or to carry out the procedure of retraction of a previously published article in the KazNU journal.

5. PRINCIPLES OF THE PUBLICATION ETHICS OF THE AUTHOR

5.1. The author(s) submits the manuscript of the article to the editorial office of the journal and guarantees that it has not been published earlier, has not been submitted and considered for publication in other journals.

5.2. Submitting a manuscript simultaneously to multiple journals is unacceptable and is considered as violation of ethical standards.

5.3. The author(s) warrants that the research results presented in the manuscript represent an independent and original work and do not contain incorrect borrowings (plagiarism) that may be revealed during the review of the manuscript.

5.4. If the research, the results of which are indicated and described in the manuscript, was carried out by several authors, the person who is the main author is indicated first in the list of authors.

5.5. Individuals who have made significant contributions to the research should be listed as co-authors.

5.6. The author for correspondence should ensure that the data of all co-authors are included in the manuscript.

5.7. All authors indicated in the manuscript are responsible for the content of the manuscript.

5.8. The author for correspondence must submit to the editorial office the manuscript approved by other co-authors.

5.9. The author(s) are responsible for the publication of an article with signs violations of standards, norms and principles of scientific and/or publication ethics, unethical behavior, plagiarism, self-plagiarism, excessive self-citation, fabrication, falsification, data distortion, false authorship, duplication, conflict of interest, deception.

5.10. In case of using fragments of other people's works and/or borrowing the approval(s) of other authors, the manuscript must contain bibliographic references with the obligatory indication of the original source.

5.11. Plagiarism in any form (unformulated quotations, paraphrasing or assignment of research results, text, ideas of others) is unethical and unacceptable.

5.12. In case of detection of errors and inaccuracies in the work at any stage of the publication process, the author(s) should to immediately inform the scientific editor about this and provide assistance in eliminating or correcting errors, and undertakes to publish an Erratum or Corrigendum with appropriate comments, and in case detection of gross errors that cannot be corrected - to withdraw the publication.

5.13. The author(s) obliged to correctly indicate in the bibliographic list of the manuscript the scientific and other sources that they used in the course of the research and which had a significant influence on the research results indicated in the manuscript.

5.14. The author(s) must provide additional materials to prove the ideas, results and / or facts presented in the manuscript, if the reviewer(s), scientific editor, member of the editorial board of the journal has doubts about the authenticity and/or reliability of the research results.

5.15. The author(s) must disclose conflicts of interest that may affect the assessment and interpretation of the manuscript.

5.16. The author(s) must respect the ethical standards associated with criticism or comments regarding the research, the manuscript, as well as with respect to interaction with the editors regarding the review and publication of the manuscript.

5.17. Non-compliance with ethical principles is regarded as a gross violation of publication ethics, and gives rise to the removal of the manuscript from peer review and/or publication.

6. PRINCIPLES OF THE PUBLICATION ETHICS OF REVIEWER

6.1. The reviewer undertakes to conduct an objective peer review of the manuscript. Personal criticism of the author(s) is unacceptable.

6.2. The reviewer must provide arguments for his comments and substantiate his decision to accept or reject the manuscript for publication in the journal.

6.3. The reviewer should not allow the content of his review to be influenced by the origin of the manuscript, personal and/or other relationship to the author(s) of the manuscript, and commercial considerations.

6.4. The reviewer should remember that the expert assessment of the manuscript provided by him is the basis for making final editorial decisions in accepting or rejecting the manuscript for publication in the journal, and also helps the author to improve the manuscript.

6.5. The manuscript submitted to the peer reviewer should be considered as a confidential document.

6.6. The reviewer does not have the right to show or discuss the manuscript with others without the permission of the scientific editor and/or the author(s) of the manuscript.

6.7. The reviewer should not distribute unpublished manuscripts, except for the need to review them and prepare for publication during the publication process.

6.8. The reviewer for personal and/ or other benefit should not use information and ideas of scientific materials obtained in the process of peer review.

6.9. The reviewer should indicate comments and possible revisions of the manuscript to improve it.

6.10. The reviewer is obliged to draw the attention of the editorial board to significant similarities between the manuscript in question and a previously published other work if such is known to the reviewer.

6.11. The reviewer must not allow the manuscript to be published if there are sufficient grounds to believe that they contain a fact(s) of violation standards, norms and principles scientific and/or publication ethics, plagiarism, other incorrect borrowing, used false, fabricated materials or research results.

6.12. The reviewer is obliged to provide a review within the time determined by the editorial board. If consideration of the manuscript and preparation of a review within these terms is impossible, then the reviewer must notify the editorial board of this.

6.13. The reviewer should not consider manuscripts that could cause a conflict of interest arising from competition, collaboration and/or other relationships with any of the authors or institutions related to the manuscript.

6.14. A reviewer who believes that his qualifications are insufficient to decide when evaluating the manuscript must immediately notify the scientific editor about this and refuse to review the manuscript.

7. COMPLIANCE WITH THE PRINCIPLES, NORMS AND STANDARDS OF THE PUBLICATION ETHICS

7.1. In case of violation of the ethical norms of publication ethics, it is necessary to carefully understand the situation and use the legal norms governing scientific work, collective agreements and ethical norms.

7.2. The principle of confidentiality should be adhered to when considering unethical behavior of participants in the publication process.

7.3. Anonymous testimonies and statements should not be accepted for consideration if there is no real threat to people or property.

7.4. The resolution of ethical conflicts should be carried out through discussion.

7.5. The case(s) of violation of the principles and standards of publication ethics should be considered officially in accordance with the Publication Ethics for scientific journals of Al-Farabi KazNU.

8. SUBMISSION OF OFFICIAL COMPLAINTS BY THE AUTHOR AND THEIR CONSIDERATION

8.1. Complaint by the author(s) (on paper and/or in electronic format) signed by the applicant(s) indicating the full name, contact information (mobile phone number, postal address and e-mail address) for violation of the principles, standards of scientific and/or publication ethics and for unethical behavior one or more participants in the publication process (scientific editor, member(s) of the editorial board, reviewer(s) of the scientific journal) should be submitted to Ethics Commission at the faculty of Al-Farabi KazNU, under which there is a scientific journal, against the participant(s) of the publication process of which a complaint is made.

8.2. Complaint(s) submitted to the Ethics Commission anonymously cannot be considered.

8.3. The applicant(s) have the right to withdraw the complaint at any stage of the consideration by the Ethics Commission.

8.4. The complainant(s) of the complaint has the right to withdraw the complaint at any stage of the consideration of the complaint by the Ethics Commission.

8.5. Participant(s), in respect of which a complaint submitted, has the right to submit facts refuting the complaint to the Ethics Commission (on paper and/or in electronic format) signed by the applicant(s), as well as submit an appeal against the decision of the Ethics Commission.

9. ACTIONS IN CASE OF ETHICS BREAKING

9.1. Complaint indicating the fact(s) of a violation of the principles of publication ethics, unethical behavior, the relevant facts should be promptly investigated with Ethics Commission in accordance with appropriate procedures. The necessary measures should be taken impartiality. Based on the results of investigation Ethics Commission should prepare a solution in the form of a protocol.

9.2. Based on the protocol of the Ethics Commission, the Vice-Rector for Research and Innovations of Al-Farabi KazNU has the right to issue an order on the appointment of a special commission to ascertain the presence or absence of the fact (s) of violation (s) of the principle (s) and standard (s) of publication ethics, unethical behavior specified in the complaint.

9.3. Special commission is created from the members of the editorial board (with the exception of the member(s) against whom the complaint was filed), director and employees of the Department for science and innovation and other specialists in the relevant scientific field.

9.4. Special commission has the right and is authorized to apply to the Disciplinary Commission of the Al-Farabi KazNU to take disciplinary measures, including – a reprimand, a severe reprimand, demotion, dismissal, in relation to a participant or several participants in the publication process, who at the time of the petition is employee(s) of Al-Farabi KazNU.

10. PROCEDURES FOR MAKING CHANGES

10.1. The principles and rules of this standard are mandatory for all the participants in the publication process. The standard may be changed or supplemented due to changes of the regulatory documents and/or measures not considered in this document.

10.2. Changes to this standard can be introduced or the New Edition of this standard can be approved by the order of the Vice-rector for Research and Innovations of the University.

11. DISTRIBUTION OF LIABILITY

11.1 Each participant in the publishing process is personally responsible for the performance and adherence to the principles, norms and standards of publication ethics specified in this standard.

11.2 Each member of the Faculty Ethics Commission of Al-Farabi KazNU is responsible for taking necessary action in the event of violation of the principle(s) of publication ethics and unethical behavior.

11.3 Each author of a manuscript must be guided by the need to strictly adhere to the principles of publication ethics, and faithfully follow them at all stages of submitting a manuscript for publication.

12. FINAL PROVISIONS

12.1 Control over the implementation of this standard is entrusted to the Vice-Rector for Research & Innovations of Al-Farabi KazNU.