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**REGULATIONS  
on Scientific ethics committees  
IRD-ZU-12-05**

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## 1 SCOPE

1.1 These Regulations define the procedure for the formation, functioning, planning and organization of the activities of Scientific ethics committees (hereinafter – Committees) at the NPJSC «Zhetysu university named after I. Zhansugurov» (hereinafter – University).

1.2 These Regulations are applied by all departments of Zhetysu university named after I. Zhansugurov and is mandatory for all employees of the University.

1.3 These Regulations are the part of the University's internal quality assurance system documents.

1.4 The Scientific ethics committee is a permanent body that checks and evaluates the quality of scientific publications (article, monograph) of teaching staff, students and employees.

1.5 The activities of the Committees are carried out in accordance with the Charter of the University, these Regulations and internal documents of the University. Also, in their activities, the Committees adhere to the principles of publication ethics accepted by the international community, as reflected in the recommendations of the Committee on Publications Ethics (COPE).

1.6 The purpose of the Committees is to ensure the high quality of scientific publications and public recognition of the scientific results obtained by the author.

## 2 NORMATIVE REFERENCES

These Regulations use references to the following regulatory documents:

Law of the Republic of Kazakhstan No. 319-III of 27.07.2007	On education
Law of the Republic of Kazakhstan No. 407 IV of 18.02.2011	On science
Law of the Republic of Kazakhstan No. 381-V of 31.10.2015	On the commercialization of the results of scientific and technical activities
Order of the Minister of Education and Science of the Republic of Kazakhstan № 604 of 31.10.2018	On approval of state compulsory educational standards for all levels of education
Order of the Minister of Education and Science of the Republic of Kazakhstan No. 391 of 17.06.2015	On approval of the qualification requirements for educational activities and the list of documents confirming compliance with them
The Code of Ethics of Scientific Publications approved by the Committee on Publication Ethics (COPE) <a href="https://publicationethics.org/">https://publicationethics.org/</a>	Code of ethics for scientific publications
The Charter of the NPJSC “Zhetysu university named after Ilyas Zhansugurov”, approved by the order of the Chairman of the State Property and Privatization Committee of the Ministry of Finance of the Republic of Kazakhstan No. 306 dated 22.05.2020.	Charter of the NPJSC «Zhetysu university named after Ilyas Zhansugurov»
Development program of NPJSC "Zhetysu University named after I. Zhansugurov" for 2021-2025	Development program
Policy of academic honesty	NPJSC «Zhetysu university named after Ilyas Zhansugurov» Policy of academic honesty
IRD-ZU-03-01	Regulations on the Ethics Council
IRD-ZU-15-02	Documented procedure. Management of the documented information

### 3 TERMS AND DEFINITIONS

These Regulations apply the terms and definitions in accordance with the Law of the Republic of Kazakhstan «On education», the Law of the Republic of Kazakhstan «On Science» and Law of the Republic of Kazakhstan «On the commercialization of the results of scientific and technical activities»:

Review	A critical review, an expert opinion based on an objective professional analysis of a literary or artistic work or research work - an abstract, an article, a monograph, an essay, a master's thesis, a course or diploma project, etc.
Scientific journal	A periodical (printed or electronic) relating to scientific literature and being one of the main sources of scientific information.
Rating journal	Scientific journals indexed by bibliographic and abstract databases.
Anti-plagiarism	Software and hardware complex for checking text documents for borrowings (presence of plagiarism) from open sources on the Internet and other sources.
Plagiarism	Intentional appropriation of the authorship of someone else's work of science, someone else's ideas or inventions.
Ethics of scientific publications	General principles and rules that should guide the participants in the process of scientific publications in their relationships: authors, reviewers, editors, publishers, distributors and readers.
Compilation	An article consisting of materials previously published by other authors, without creative processing and author's own understanding. An article consisting of a set of references and citations, without author's comments, ratings or analysis is also equated to compilation.
Original text	Authentic, original text, created as a result of self-creation, not borrowed or translated
Manuscript	The author's work submitted for publication to the editorial office, but not published.
Monography	A scientific work in the form of a book with an in-depth study of one topic or several closely related topics and owned by one or more authors. This type of publication contains a systematic presentation of the main data of scientific work.
Author \ Co-author	This is a person or a group of persons (a team of authors) involved in the creation of the publication of the results of a scientific study.
Data fabrication	Forgery of data or research results with their subsequent publication.
Data falsification	Manipulation of materials, equipment or processes used in research, as well as alteration or suppression of data or research results, leading to their distortion.
Quartile	A category of scientific journals determined by bibliometric indicators that reflect the level of citation, that is, the demand for the journal by the scientific community. As a result of the ranking, each journal falls into one of four quartiles: from Q1 (highest) to Q4 (lowest). The most authoritative journals belong, as a rule, to the first two quartiles - Q1 and Q2.
Percentile	Percentile by CiteScore is an indicator that reflects the position of a journal in the ranking of journals in a similar scientific field, which makes it possible to correctly compare journals in different scientific fields. As a result of the ranking, each journal is assigned a percentile: from 100 (highest) to 1 (lowest). The most authoritative journals belong to tend to have a high percentile (above 50).

Review article	Material in which the author expresses his own opinion about the work of his own colleagues on a particular topic. He can comment on certain approaches and experiments, comparing the approaches of different scientists.
Scientific and theoretical article (Original, experimental)	Works in which the author focuses on the detailed study of specific problems. This studies them over time, systematizes them, tries to find common features, identifies patterns and finds an explanation for such events and features.
Scientific and practical work	Describe the experiments carried out, telling in detail about all the nuances and features of the processes, highlighting their benefits and meaning for the disclosure of a specific problem or even the direction as a whole.
Analytical article	this is a published research paper, which is an analysis of the factors that make it possible to find a solution to a particular scientific problem.

#### 4 SYMBOLS AND ABBREVIATIONS

The following designations and abbreviations are used in this documented procedure:

DSCSP	Department of science and commercialization of scientific projects
ZhU, University	NPJSC «Zhetysu university named after I.Zhansugurov»
SRW	Scientific-research work
TS	Teaching staff
SRDW	Scientific-research and development works
SCES	State compulsory education standard
MSHE RK	Ministry of Science and Higher Education of the Republic of Kazakhstan
CS	Committee of science
CCSES	Committee for control in the sphere of education and science of the ministry of education and science of the Republic of Kazakhstan
RSCI	Russian science citation index
Scopus	Bibliographic and abstract database Scopus
Web of Science	Abstract database of publications in scientific journals and patents Web of Science

#### 5 RESPONSIBILITY AND AUTHORITY

5.1 The Chairman of the Board – Rector of the University approves this documented procedure.

5.2 Responsibility for the implementation of the requirements specified in this Regulation is assigned to the head of the Department of science and commercialization of scientific projects (hereinafter – DSCSP).

5.3 General management of the activities of the Committee is carried out by a member of the Board - Vice-Rector for Research.

5.4 The Chairman of the committee reports to the Dean of the High school.

5.5 The Chairman of the scientific ethics Committee directs its activities, chairs its meetings, plans its work, exercises general control and is responsible for its activities and decisions.

5.6 The activities of the Committees are carried out in close contact with the DSCSP and the ethics council.

5.7 Scientific ethics committees and authors of scientific papers, in order to avoid unfair practices in publishing activities (plagiarism, presentation of false information, etc.), in order to ensure the high quality of scientific publications, public recognition of the scientific results obtained by the author, are obliged to comply with ethical standards, norms and rules and adopt all reasonable measures to prevent their violations.

5.8 The Committee is obliged to:

1) review, check and evaluate the received manuscripts/manuscripts prepared for publication in

the rating journals of the database Scopus, Web of Science, RSCI, and also in the recommended journals CCSES.

2) to ensure the confidentiality of the publication received from the authors and any information until its publication.

5.9 Committee entitled to:

1) recommend for publication, send for revision or reject manuscripts/manuscripts and monographs submitted by the authors;

2) demand from the authors the initial / primary data obtained in the course of the research.

5.10 A copy of this regulation is sent to the structural units in electronic form according to the internal Document flow.

5.11 Responsibility for the storage and distribution of this provision is DSCSP.

## 6 DESCRIPTION OF THE PROCEDURE

### 6.1 Tasks of scientific ethics committees

The tasks of the Scientific Ethics Committees are:

- increasing the publication activity and quality of scientific articles prepared by teaching staff, students and staff for publication in rating journals of the database Scopus, Web of Science, RSCI, and also in the recommended journals CCSES;

- organization and holding of events and training scientific seminars / webinars to improve the quality of scientific publications at the High school level;

- prevention of cases of research dishonesty among students, young scientists, teaching staff and employees;

- formation among the teaching staff, young scientists, students and employees of a clear understanding of the principles of ethics in the relationship between members of the scientific and publishing community (authors, reviewers, editors, publishers, distributors and readers);

- prevention of violations of the ethics of scientific publications and unfair practices in publishing activities (plagiarism, presentation of false information, etc.).

### 6.2 Functions of scientific ethics committees

6.2.1 Scientific ethics committee:

- Organizes and conducts educational scientific seminars / webinars at the High school level in order to improve the quality of scientific publications of teaching staff, young scientists and students;

- Ensures the participation of teaching staff, young scientists, students and employees in free training seminars of companies Elsevier (Scopus), Clarivate Analytics (Web of Science), Anti-plagiarism and DSCSP.

- Examines received scientific papers for violations in the process of planning, evaluating, selecting, conducting and disseminating scientific research results, including protecting the rights, safety and well-being of research objects (wildlife objects and habitats);

- Checks and evaluates received manuscripts/manuscripts prepared for publication in the rating journals of the Scopus, Web of Science, RSCI, as well as in magazines recommended by CCSES for such parameters as:

- **novelty** (the material should contain new non-trivial scientific results obtained by the authors);

- **originality** (the authors guarantee that the manuscript/manuscript is original and has not been previously published anywhere in any language);

- **thoroughness** (the published results of the research must be performed qualitatively and carefully in accordance with ethical, methodological and legal standards; authors are collectively responsible for their work and the content of the publication);

- **honesty** (authors must present results honestly, without fabrication, falsification, or unfair manipulation of data, as submitted papers will be strictly reviewed for adherence to the principles of research ethics);

- **uniqueness** (the description of the research materials and methods should be so detailed as to allow it to be accurately reproduced by other researchers and to obtain appropriate (similar to those obtained by the authors) results);
- **completeness of the submitted materials** (the data must be sufficient to draw conclusions, which must also be complete, balanced and objective);
- **transparency** (the publication should list all sources of research funding, including direct and indirect financial support, the provision of equipment or materials, and other types of support).
- Ensures confidentiality of the information received from the authors of scientific papers and other information until its publication;
- Ensures high quality of published scientific papers;
- Minimizes the risks of unfair practices associated with the publication of scientific papers, and also takes all reasonable measures to prevent violations of ethical norms, rules and principles of scientific publications;

6.2.2 Based on the recommendation of the Ethics Council, the Department of Science and Commercialization of Scientific Projects issues accompanying documents at the request of the journal.

6.2.3 All documents related to scientific research should be analyzed by the committee before the discussion, during which each member of the Committee makes his own conclusion and expresses his opinion. The discussion of the ethical side of scientific research involves careful consideration and analysis of scientific research, which takes into account the principles and values of research ethics set out in the relevant national and international guidelines.

6.2.4 Based on the examination (evaluation) carried out, the Committee decides to recommend for publication, send for revision or reject the manuscripts/manuscripts and monographs submitted by the authors. The works recommended for publication are sent for consideration by the Ethics Council for making a final decision.

### 6.3 Composition of Scientific Ethics Committees

6.3.1 The composition of the Committees is approved by the order of the Chairman of the Board - Rector from among the teaching staff for one academic year. The Scientific Ethics Committee consists of a chairman and members whose qualifications, scientific direction and experience make it possible to ensure the effective work of the Committee. The Committee may decide on the need to invite external experts from among the teaching staff who are not members of the Committee for consultations on a certain scientific direction.

6.3.2 Chairman of the Scientific Ethics Committee:

- realize the general management of the Committee at the High school level and coordinates its work in accordance with this regulation;
- distributes responsibilities among the members of the Committee;
- approves the work plan of the Committee and monitors its implementation;
- determines the agenda, place and time of meetings of the Committee;
- Convenes meetings of the Committee and chairs them;
- conducts scientific examination of manuscripts, monographs, etc..
- submits proposals to the dean of the High school on taking disciplinary action on the revealed facts of offenses;
- submits to the Dean of the High school a report on the work done by the Committee;
- prepares recommendations and suggestions for improving the work of the Committee.

6.3.3 Members of the Scientific Ethics Committee:

- conduct scientific examination of manuscripts, monographs, etc..
- make proposals on the work plan of the Committee and the agenda of meetings;
- participate in the preparation of materials for the meetings of the Committee and its draft decisions;
- provide advisory assistance, carry out explanatory work in the preparation of publications;
- participate in the discussion of issues considered by the Committee;

- pass advanced training courses in the organization and planning of scientific research, as well as participate in free training seminars of Elsevier (Scopus), Clarivate Analytics (Web of Science) and Antiplagiarism.

6.3.4 The authors of scientific papers and the Committee are responsible for the reliability of the data presented in scientific papers (articles, monographs, etc.). The Ethics Council is responsible for the reliability of the verification of logs in databases.

#### **6.4 Ethical principles of scientific publications**

##### ***A) Principles of professional ethics in the activities of an editor and publisher***

In the activity, the editor is responsible for the publication of copyrighted works, which imposes the need to follow the following fundamental principles:

- In making a decision on publication, the editor of a scientific journal is guided by the reliability of data presentation and the scientific significance of the work in question.
- The editor should evaluate the intellectual content of manuscripts regardless of race, gender, sexual orientation, religious views, origin, citizenship, social status or political preferences of the authors.
- Unpublished data obtained from submitted manuscripts should not be used for personal purposes or transferred to third parties without the written consent of the author. Information or ideas obtained during editing and related to possible benefits should be kept confidential and not used for personal gain.
- The editor should not allow information to be published if there are sufficient grounds to believe that it is plagiarism.
- The editor, together with the publisher, should not leave unanswered claims concerning the reviewed manuscripts or published materials, as well as, if a conflict situation is identified, take all necessary measures to restore violated rights.

##### ***B) Ethical principles in the reviewer's activity***

The reviewer carries out a scientific examination of the author's materials, as a result of which his actions should be of an unbiased nature, consisting in the implementation of the following principles:

- The manuscript received for review should be considered as a confidential document that cannot be transferred for review or discussion to third parties who do not have the authority to do so from the editorial board.
- The reviewer is obliged to give an objective and reasoned assessment of the stated research results. Personal criticism of the author is unacceptable.
- Unpublished data obtained from submitted manuscripts should not be used by the reviewer for personal purposes.
- A reviewer who, in his opinion, does not have sufficient qualifications to evaluate the manuscript, or cannot be objective, for example, in case of a conflict of interest with the author or organization, should inform the editor about this with a request to exclude him from the review process of this manuscript.

##### ***C) Principles that should guide the author of scientific publications***

The author (or the team of authors) is aware that he bears the initial responsibility for the novelty and reliability of the results of scientific research, which implies compliance with the following principles:

- The authors of the article should provide reliable results of the conducted research. Knowingly erroneous or falsified statements are unacceptable.
- The authors must ensure that the research results presented in the submitted manuscript are completely original. The borrowed fragments or statements must be issued with the obligatory indication of the author and the original source. Excessive borrowing, as well as plagiarism in any form, including unformulated quotations, paraphrasing or attribution of rights to the results of other people's research, are unethical and unacceptable.
- It is necessary to recognize the contribution of all persons who in one way or another influenced the course of the study, in particular, the article should contain references to works that were important during the study.
- Authors should not submit to the journal a manuscript that has been sent to another journal and is under consideration, as well as an article already published in another journal.



- All persons who have made a significant contribution to the research should be listed as co-authors of the article. It is unacceptable to indicate persons who did not participate in the study among the co-authors. In accordance with ethical standards, the first place in the list of authors is usually occupied by the author of the idea or the employee who has done most of the work. The authors follow in descending order of their contribution to the creation of the publication. The last one is usually the name of the group leader who carried out the general management and "extracted" money for research. A democratic approach, when the authors' names are placed in alphabetical order– is not the best way out of difficult situations, since it makes it impossible to determine the contribution of each of the co-authors to the overall result. If it is difficult to determine the order of authors, you can specify the contribution of each author and their area of responsibility (initial idea, initial data, mathematical processing, preparation of the manuscript, etc.).

- The source of research funding, if any, should be announced and indicated, its role in conducting research and/or preparing an article should be stated.

- If the author discovers significant errors or inaccuracies in the article at the stage of its review or after its publication, he must notify the editorial board of the journal as soon as possible.

***D) Unethical behavior is the following actions of the authors:***

- related to the independent provision of reviews of their own articles;
- contractual and pseudo-licensing;
- access to agency services for the publication of the results of scientific research;
- falsification of the composition of the authors;
- publication of pseudoscientific texts;
- transfer of the texts of articles to other journals without the consent of the co-authors;
- copyright infringement
- manipulation of citations, plagiarism, falsification and fabrication of data.

## **6.5 The procedure for organizing and holding a meeting of the Committee**

6.5.1 Meetings of the Committee are held monthly during the academic year. At the same time, the Chairman has the right to convene an extraordinary meeting by sending an electronic notification to the members of the Committee 5 (five) working days before its scheduled meeting.

6.5.2 The Committee holds closed meetings. When holding closed meetings, only members of the Committee and persons/authors whose issues/scientific works are being considered may participate in them.

6.5.3 The decisions of the Committee are made by a simple majority of votes from the number of those present at the meeting of the Committee. Each member has one vote. The right to vote cannot be transferred to other persons. In case of equality of votes, the Chairman's vote is decisive. The votes of the abstaining members are not taken into account when counting the number of votes required to make a decision of the Committee.

6.5.4 Decisions taken at the meeting of the Committee are formalized by the protocol of the Committee, which is signed by the Chairman and members.

6.5.5 The Secretary of the Committee is responsible for the preparation, recording and storage of minutes of Committee meetings, as well as documents to them. At the same time, the protocols are stored both in printed and electronic form in accordance with the procedure and deadlines established at the University. After the deadline, the Secretary transfers the documents of the Committee to the University archive in accordance with the established rules.

6.5.6 The minutes of the meeting of the Committee are submitted to the Ethics Council for a final decision.

6.5.7 The Secretary of the Committee issues an extract from the minutes of the Committee at the request of the authors of scientific papers.

6.5.8 Issues not regulated by this Regulation are considered by the Committee independently, in accordance with the University Charter and internal documents of the University.