

## Ethical Guidelines for Authors

We expect all authors submitting to *Notas Económicas* to adhere to the following ethical guidelines:

- All authors must warrant that their article is their own original work, which does not infringe the intellectual property right of any other person or entity, and cannot be contrived as plagiarizing any other published work, including their own previously published work.
- All author named on the paper are equally held accountable for the content of a submitted manuscript or published paper.
- The corresponding author must ensure all named co-authors consent to publication and to being named as a co-author. All persons who have made significant scientific or literary contributions to the work reported should be named as co-authors.
- Authors must not submit a manuscript to more than one journal simultaneously.
- Authors should not submit previously published work, nor work which is based in substance on previously published work, either in part or whole.
- Authors must appropriately cite all relevant publications. Information obtained privately, as in conversation, correspondence, or discussion with third parties, should not be used or reported in the author's work unless fully cited, and with the permission of that third party.
- Authors must make available all necessary formal and documented ethical approval from an appropriate research ethics committee, including evidence of anonymization and informed consent from the client(s) or patient(s) studied, if appropriate.
- If required, authors must facilitate access to data sets described in the article.
- Authors must avoid making defamatory statements in submitted articles which could be construed as impugning any person's reputation.
- Authors must declare any potential conflict of interest – be it professional or financial – which could be held to arise with respect to the article.
- Authors must disclose all sources of funding for the research reported in the paper.
- If asked to provide a list of suggested reviewers, authors must provide the correct details for suitable reviewers with the appropriate experience to review, ensuring that the suggested reviewers do not have a conflict of interest.

## Ethical Guidelines for Peer Reviewers

The Ethical Guidelines for Peer Reviewers set out the basic principles and standards to which all should adhere during the peer-review process.

- Reviewers should only agree to review manuscripts for which they have the subject expertise required to carry out a proper assessment and which they can assess in a timely manner
- Reviewers should respect the confidentiality of peer review and not reveal any details of a manuscript or its review, during or after the peer-review process, beyond those that are released by the journal
- Reviewers should not use information obtained during the peer-review process for their own or any other person's or organization's advantage, or to disadvantage or discredit others
- Reviewers should declare all potential conflicting interests, seeking advice from the journal if they are unsure whether something constitutes a relevant interest
- Reviewers should not allow their reviews to be influenced by the origins of a manuscript, by the nationality, religious or political beliefs, gender or other characteristics of the authors, or by commercial considerations
- Reviewers should be objective and constructive in their reviews, refraining from being hostile or inflammatory and from making libellous or derogatory personal comments
- Reviewers should acknowledge that peer review is largely a reciprocal endeavour and undertake to carry out their fair share of reviewing and in a timely manner
- Reviewers should provide *Notas Económicas* with personal and professional information that is accurate and a true representation of their expertise
- Reviewers should recognize that impersonation of another individual during the review process is considered serious misconduct
- Reviewers should call to the journal editor's attention any significant similarity between the manuscript under consideration and any published paper or submitted manuscripts of which they are aware

## Ethical Guidelines for Journal Editors

### 1. General duties and responsibilities of editors

- Editors should be accountable for everything published in *Notas Económicas*. This means the editors should:

- a) strive to meet the needs of readers and authors;
- b) strive to constantly improve their journal;
- c) have processes in place to assure the quality of the material they publish;
- d) champion freedom of expression;
- e) maintain the integrity of the academic record;
- f) preclude business needs from compromising intellectual and ethical standards;
- g) always be willing to publish corrections, clarifications, retractions and apologies when needed.

### 2. Relations with readers

- Readers should be informed about who has funded research or other scholarly work and whether the funders had any role in the research and its publication and, if so, what this was.

### 3. Relations with authors

- Editors should give unbiased consideration to each manuscript submitted for consideration for publication, and should judge each on its merits, without regard to race, religion, nationality, sex, seniority, or institutional affiliation of the author(s).

- Editors' decisions to accept or reject a paper for publication should be based on the paper's importance, originality and clarity, and the study's validity and its relevance to the remit of the journal.

- Editors should not reverse decisions to accept submissions unless serious problems are identified with the submission.

- New editors should not overturn decisions to publish submissions made by the previous editor unless serious problems are identified.

- A description of peer review processes should be published, and editors should be ready to justify any important deviation from the described processes.

- *Notas Económicas* should have a declared mechanism for authors to appeal against editorial decisions.

- Editors should publish guidance to authors on everything that is expected of them. This guidance should be regularly updated and should refer or link to this code.

- Editors should provide guidance about criteria for authorship and/or who should be listed as a contributor following the standards within the relevant field.

- Any data or analysis presented in a submitted manuscript should not be used in a editor's own research except with the consent of the author.

#### 4. Relations with reviewers

- Editors should provide guidance to reviewers on everything that is expected of them including the need to handle submitted material in confidence. This guidance should be regularly updated and should refer or link to this code.
- Editors should require reviewers to disclose any potential competing interests before agreeing to review a submission.
- Editors should have systems to ensure that peer reviewers' identities are protected unless they use an open review system that is declared to authors and reviewers.

#### 5. Relations with editorial board members

- Editors should provide new editorial board members with guidelines on everything that is expected of them and should keep existing members updated on new policies and developments.

#### 6. Relations with journal owners and publishers

- The relationship of editors to publishers and owners is often complex but should be based firmly on the principle of editorial independence.
- Editors should make decisions on which articles to publish based on quality and suitability for the journal and without interference from the journal owner/publisher.
- Editors should have a written contract(s) setting out their relationship with the journal's owner and/or publisher.
- The terms of this contract should be in line with the COPE Code of Conduct for Journal Editors.

#### 7. Editorial and peer review processes

- Editors should strive to ensure that peer review at their journal is fair, unbiased and timely.
- Editors should have systems to ensure that material submitted to their journal remains confidential while under review.

#### 8. Quality assurance

- Editors should take all reasonable steps to ensure the quality of the material they publish, recognising that journals and sections within journals will have different aims and standards.

## 9. Protecting individual data

- Editors must obey laws on confidentiality in their own jurisdiction. Regardless of local statutes, however, they should always protect the confidentiality of individual information obtained in the course of research or professional interactions (e.g. between doctors and patients). It is therefore almost always necessary to obtain written informed consent for publication from people who might recognise themselves or be identified by others (e.g. from case reports or photographs). It may be possible to publish individual information without explicit consent if public interest considerations outweigh possible harms, it is impossible to obtain consent and a reasonable individual would be unlikely to object to publication.

## 10. Encouraging ethical research (e.g. research involving humans or animals)

- Editors should endeavour to ensure that research they publish was carried out according to the relevant internationally accepted guidelines (e.g. the Declaration of Helsinki<sup>8</sup> for clinical research, the AERA and BERA guidelines for educational research<sup>9-11</sup>).

- Editors should seek assurances that all research has been approved by an appropriate body (e.g. research ethics committee, institutional review board) where one exists. However, editors should recognise that such approval does not guarantee that the research is ethical. .

## 11. Dealing with possible misconduct

- Editors have a duty to act if they suspect misconduct or if an allegation of misconduct is brought to them. This duty extends to both published and unpublished papers.

- Editors should not simply reject papers that raise concerns about possible misconduct. They are ethically obliged to pursue alleged cases.

- Editors should follow the COPE flowcharts<sup>14</sup> where applicable.

- Editors should first seek a response from those suspected of misconduct. If they are not satisfied with the response, they should ask the relevant employers, or institution, or some appropriate body (perhaps a regulatory body or national research integrity organization) to investigate.

- Editors should make all reasonable efforts to ensure that a proper investigation into alleged misconduct is conducted; if this does not happen, editors should make all reasonable attempts to persist in obtaining a resolution to the problem. This is an onerous but important duty. .

## 12. Ensuring the integrity of the academic record

- Errors, inaccurate or misleading statements must be corrected promptly and with due prominence.

- Editors should follow the COPE guidelines on retractions<sup>15</sup>.

### 13. Intellectual property

- Editors should be alert to intellectual property issues and work with their publisher to handle potential breaches of intellectual property laws and conventions.

### 14. Encouraging debate

- Editors should encourage and be willing to consider cogent criticisms of work published in their journal.
- Authors of criticised material should be given the opportunity to respond.
- Studies reporting negative results should not be excluded.

### 15. Complaints

- Editors should respond promptly to complaints and should ensure there is a way for dissatisfied complainants to take complaints further. This mechanism should be made clear in the journal and should include information on how to refer unresolved matters to COPE.
- Editors should follow the procedure set out in the COPE flowchart on complaints.

### 16. Commercial considerations

- *Notas Económicas* should have policies and systems in place to ensure that commercial considerations do not affect editorial decisions (e.g. advertising departments should operate independently from editorial departments).
- Editors should have declared policies on advertising in relation to the content of the journal and on processes for publishing sponsored supplements.
- Reprints should be published as they appear in the journal unless a correction needs to be included in which case it should be clearly identified.

### 17. Conflicts of interest

- Editors should have systems for managing their own conflicts of interest as well as those of their staff, authors, reviewers and editorial board members.
- *Notas Económicas* should have a declared process for handling submissions from the editors, employees or members of the editorial board to ensure unbiased review

**(This code has been adapted from the Committee on Publication Ethics and Taylor & Francis.)**