

Code of Ethics for Researchers of the Institute of Mathematics, Czech Academy of Sciences

The following documents were used to formulate this Code of Ethics for Researchers of the Institute of Mathematics, Czech Academy of Sciences:

- *Code of Ethics for Researchers of the Czech Academy of Sciences,*
(<https://www.avcr.cz/en/about-us/legal-regulations/code-of-ethics-for-researchers-of-the-czech-academy-of-sciences/>)
- Code of Practice, European Mathematical Society, Approved by the EMS Executive Committee on October 29, 2012.
(<https://euro-math-soc.eu/sites/default/files/COP.pdf>)

The Code of Ethics for researchers of the Institute of Mathematics naturally builds on the Code of Ethics for Researchers of the Czech Academy of Sciences. This document represents a sample template recommended by the Czech Academy of Sciences to its research institutions. While Articles I-V contain framework principles of good conduct in science, seeking to support desirable moral standards in academic research, Article VI should supplement specifications pertaining to the disciplines performed at particular institutes. Finally, Article VII contains a method of resolving cases of the violation of proper conduct in scientific-research work on both organization levels. Therefore the attached Code of Ethics for Researchers of the Czech Academy of Sciences represents a framework legal regulation valid also for researchers at the Institute of Mathematics.

The principal activity of the Institute of Mathematics is to support and to provide necessary infrastructure for the research in various mathematical disciplines and their applications. The employees of the Institute contribute to raising the level of knowledge and education and in cooperation with universities, they participate in doctoral study programmes and provide training for young scientists. The Institute promotes international cooperation, including the organisation of joint research projects with foreign partners and participation in exchange programmes. Its researchers organise scientific meetings, conferences and seminars on the national and international levels. The Institute acquires, processes and disseminates scientific information, issues scientific and professional publications. Its researchers are active members of editorial boards of international mathematical journals including journals published by the Institute. The Institute as an employer supports management strategies avoiding discrimination against any employee or job applicant because of race, color, religion, national origin, sex, physical or mental disability, or age. The Code of Ethics for researchers of the Institute of Mathematics closely follows the Code of Practice recommended by the European Mathematical Society to all mathematicians, editors and publishers of mathematics, especially those based in Europe, but more generally to

all who are concerned with the publication, dissemination, and assessment of mathematical research.

I. Responsibilities of Researchers Acting as Authors

1. Individual authors should understand and uphold high standards of ethical behaviour, particularly in relation to the publication and dissemination of his/her own research. Most mathematics is published by the submission of manuscripts to journals or conference proceedings (including those that will appear only online), or by the writing of books. An author or authors who submit a work to editors or publishers take responsibility for the integrity of what they have written, seeking carefully to ensure that the mathematics presented is novel, correct and complete.
2. Institute of Mathematics is a leading research institute in the Czech Republic, which aims at internationally top level research. Therefore, its researchers are asked to publish their papers solely in quality and prestigious journals and their books at renowned publishers. The researchers should choose only such journals and publishers, where they have high confidence about the quality and prestige. In the last years, we experience high increase of the number of new journals and publishers and it is not easy to recognize the quality ones. Unfortunately, the Open Access strategy is also used by the so-called predatory publishers. Their primary goal is just the financial benefit and the scientific quality of the published content is secondary for them. Sometimes it is difficult to recognize a predatory journal. The researchers are advised to contact more experienced colleagues and the information available at the webpages of the Institute.
3. A simultaneous or concurrent submission of a manuscript describing the same research to more than one publication constitutes misconduct. Similarly, in mathematics the publication of the same research in more than one journal or outlet without appropriate acknowledgement and citation constitutes misconduct.
4. Each coauthor should have contributed significantly to the research reported in any published work, and each person who contributed significantly to the relevant research should be named as a co-author. Further, all named authors should accept joint responsibility for any submitted manuscript and final publication. It is misconduct for one author to submit and to publish joint research without the consent of his or her named co-authors.
5. Authors should grant a proper credit, and reference of the work of others, with appropriate bibliographic references. Publication of mathematical results as one's own when the author has learned of the results from others, for example through published material, lectures, conversation, or earlier informal publication, constitutes plagiarism: this is a form of theft, is unethical, and constitutes serious misconduct.

6. It is unethical to include inappropriate citations of one's own work or of the work of particular colleagues or of articles in journals with which the author has a connection.
7. It is important to note that it is not unethical to be mistaken in the attribution, or lack of attribution, of results, provided that the authors have carefully sought to determine whether their claimed results are new, and provided that errors of attribution are corrected in a timely and appropriate manner, as they are discovered or pointed out.
8. Translations of published or unpublished works should always fully acknowledge the source of the work.
9. Mathematicians should not make public claims of potential new theorems or the resolution of particular mathematical problems unless they are able to provide full details in a timely manner.

II. Responsibilities of Researchers as Lecturers or Supervisors

1. Supervisor or a research team leader admits students and research co-workers after objectively evaluating their intellectual, ethical and personal characteristics.
2. Research team leader pays attention to correctness and openness in the mutual communication, and avoids an unjustified autocratic style of leadership.
3. Supervisor assesses students and colleagues according to the results achieved and treats them equitably, not requiring from them work which is his/her responsibility, or that beyond the student's capabilities.
4. Lecturers convey knowledge, skills and principles of good conduct in science by word and personal example, to their students and colleagues.
5. Lecturers are devoted to teaching his/her students and guides them to develop their independent, critical thinking and a responsible approach to work and respects their right to freely express their opinions about research.
6. Supervisor or a research team leader fully supports the enhancement of the qualifications of students and subordinate researchers and their scientific and publication activities and international contacts and lists them among the authors of a manuscript if they have made a creative and substantial contribution to it.
7. Research team leaders and grant holders pay attention to the use of allocated funds in accordance with the terms of the research organization or project agreement, taking steps to prevent corrupt practices and professional misconduct.

III. Responsibilities of Researchers Serving as Referees

1. Referees should adhere to high standards of ethical treatment of all authors in arriving at responsible and objective recommendations about the publication of material that they assess. Referees should seek to validate the correctness, significance, novelty, and clarity of a manuscript under consideration, and then report their findings to the editor in a careful and

constructive manner. Nevertheless, final responsibility for the published work lies with the authors.

2. A person asked to accept the task of refereeing a paper may feel that there is a potential personal or professional conflict of interest, for example, when he or she is asked to referee a manuscript from a recent student, collaborator, or colleague. In such cases, the potential referee should discuss with the editor any possible conflicts of interest, and continue to act only with the agreement of the editor.
3. Once they have accepted the task of refereeing a manuscript, referees should seek to report in a timely manner, taking into account the length of the manuscript and the requests of the editors.
4. A referee should eschew the use of privileged information gleaned from a manuscript under review.
5. A referee who suspects any element of plagiarism in a manuscript under consideration, or any other unethical behaviour, should quickly report these concerns to the editor.

IV. Responsibilities of Researchers Serving as Editors

1. Editors should adhere to high standards of ethical treatment of all authors in arriving at a responsible and objective decision about publication. An editor should withdraw from any editorial duties that would involve a personal, commercial, or professional conflict of interest. An editor should also avoid any misuse of their privileged position or of information received as part of their editorial duties to influence the handling of their own papers, or those of colleagues, students, or personal acquaintances. Certainly no information received in confidence should ever be used in the editor's own work.
2. Editors should consider carefully and make objective judgements about the acceptance of submitted manuscripts. Normally this will be on the basis of reports from appropriate referees, but it is recognised that it will sometimes be clear to editors that a submitted manuscript is considerably below the standards of the journal, or not in an appropriate subject area, and can therefore be rejected without submission to referees; in this case, the authors should be courteously informed of this rejection in a timely and reasoned manner.
3. The editors should inform potential authors of decisions taken in a courteous and timely manner, always passing on constructive criticism and information provided by the referees. Editors may decide that it is appropriate that certain comments provided by the referees should be confidential to the Editorial Board, and not passed on verbatim to the authors.
4. An author may communicate to the editors the information that a mathematical statement or an attribution in his or her published article is incorrect. In the case where this information is

significant, it is recommended that the editors publish a correction or retraction, preferably written by the original author.

5. In some cases, it may be pointed out to the editors by another person that certain statements or attributions in an article appear to be incorrect. In these cases, the editors should consider the comments carefully and react in a proportionate manner; when appropriate, they should insist that the authors write a correction or retraction.
6. In rare cases, the editors may become convinced that parts of a work that they have published have been plagiarised from another source. In these cases, the editors should request the authors to submit for publication a substantial retraction; if this is not forthcoming, the editors themselves should publish a statement giving details of the plagiarism involved.

V. Responsibilities of Users of Bibliometric Data in Research Assessment and Evaluation Activities

1. Whilst accepting that mathematical research is and should be evaluated by appropriate authorities, and especially by those that fund mathematical research, there exists a grave danger in the routine use of bibliometric and other related measures to assess the alleged quality of mathematical research and the performance of individuals or small groups of people.
2. It is irresponsible for institutions or committees assessing individuals for possible promotion or the award of a grant or distinction to base their decisions on automatic responses to bibliometric data.
3. It is unethical to manipulate references within an article or to arrange the publication of articles for the purpose of artificially influencing the bibliometric data, impact factors, and citation counts that are generated.

VI. Responsibilities of Publishers of Mathematical Journals

1. It is recommended that journals publishing mathematics should establish and conspicuously present their standards for ethical behaviour in publishing, and specify their responsibilities and the steps to be taken to investigate and respond to suspicions or accusations of misconduct. Journals should respond to an author's complaints with respect and due process.
2. It is recommended that journals publishing mathematics should make clear their policy and practices for handling submissions. In particular, an editor or publisher should acknowledge receipt of a manuscript. A publisher should ensure that the progress of consideration of a

submitted manuscript is monitored, and seek diligently to avoid excessive delays in either the refereeing of a paper or the decision process.

3. The publisher must obtain consent to publish either from one author acting on behalf of all authors, or from all authors. The date of submission of, and the date of any significant changes to, a manuscript should be published; this is important, in particular, in cases of disputes concerning priority.
4. Publishers have an obligation to present mathematical papers and books in a clear and precise format, and they should ensure that the mathematical symbols, words, and sentences that are used in the published work are clear and are not a barrier to understanding. It is misconduct on the part of publishers merely to reproduce without improvement submitted manuscripts that are badly written or presented.
5. Many articles are first published on the journal web site. It may become apparent that an article so published contains mathematical errors, incorrect attributions, or has been plagiarised in whole or in part. It is recommended that publishers retain the original article for the historical record, but that they indicate by addition at a later specific date appropriate corrections, as they would for a printed article. In extreme cases, it may be that the publishers should indicate that the article has been 'withdrawn' either at the request of the authors or by a decision of the publishers; in this case, any subsequent printed version should reflect this decision.
6. A publisher of journals or books should not list on any of its publications a person as 'editor' or 'editorial advisor' or similar without full disclosure of this to the person concerned and receipt of his or her explicit agreement. The name of any person who resigns from such a position must quickly be removed from the displayed list.
7. Any person listed as editor or editorial advisor should be aware of, and content with, the standards and editorial procedures and policies of the journal, and be willing to act in extreme cases when it is clear that the publishers are not following these rules.
8. It is misconduct for publishers to advertise their own journals by the quotation of insecure or partial or tendentious bibliometric data.