




## **Ethics and Good Editorial Practices Policy of the Faculty of Finance, Government and International Relations – FIGRI**



### **ENGLISH VERSION**

In accordance with the legislation of the Republic of Colombia and the Andean Community, the only legally valid version of this policy is the one written in Spanish. The Universidad Externado de Colombia has translated this document into English, French and Portuguese solely to facilitate engagement with international authors and reviewers. In the event of any discrepancy between the Spanish version and the versions in other languages, the Spanish version shall always prevail.

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# **Política d Ethics and Good Editorial Practices Policy of the Faculty of Finance, Government and International Relations – FIGRI**

## **Transformative Research Pillar**

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## 1. Presentation of the Policy

In light of the ongoing transformation of the scientific and editorial ecosystem, universities and research centres face increasing challenges related to integrity, transparency and responsibility in the generation, communication and dissemination of knowledge. The expansion of open access models, the incorporation of artificial intelligence tools, the pressure for academic productivity and the complexity of authorship and review processes have produced new ethical and methodological tensions. These circumstances require clear guidelines that guarantee quality, independence and trust in editorial production, ensuring that every publication reflects institutional values and the principles of academic rigour, plurality and respect for copyright and intellectual property.


Within this context, the Faculty of Finance, Government and International Relations of the Universidad Externado de Colombia adopts this Policy on Ethics and Editorial Good Practices as a guiding instrument for its journals, research and outreach books, and its master's and doctoral thesis collections. This document consolidates the principles, standards and procedures that govern editorial management in all its stages, promoting scientific integrity, transparency, fairness and accountability. It also seeks to strengthen a responsible editorial culture aligned with national and international standards of open science, publication ethics and the responsible use of artificial intelligence.

## 2. Purpose and Scope

The purpose of this policy is to promote a culture of academic integrity, transparency and shared responsibility in FIGRI's editorial processes, ensuring that publications faithfully and rigorously reflect the results, methods and arguments of research. This policy aligns with the principles of integrity of the academic record, which seek to safeguard the accuracy, traceability and permanence of scientific content, ensuring that the historical archive of the Faculty's publications constitutes a verifiable and reliable testimony of the advancement of knowledge in Finance, Government, International Relations and related disciplines.

The scope of this policy covers the editorial and academic processes of the scientific journals **OASIS, OPERA and ODEON**, as well as FIGRI's outreach journals, research and outreach books, and its collections of master's and doctoral theses. The latter may be published only when recommended by the evaluating jury, when such recommendation is recorded in the corresponding defence minutes, and when approval is granted by the Editorial Committee.

Its application extends to all stages of the editorial cycle—from manuscript submission to post-publication—and involves all internal and external actors in the process: authors, editors, reviewers and evaluators, editorial committees, and editorial support teams (copy-editors, translators, layout designers, editorial assistants and other collaborators).

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FIGRI and its publications adhere to the provisions established in the [Editorial Policy of the Universidad Externado de Colombia](#), as well as to the [guidelines and flowcharts of the Committee on Publication Ethics](#) (COPE) and the ethical and integrity standards adopted by major international academic publishers. Complementarily, it applies COPE's [Retraction Guidelines](#) to ensure the correction and transparency of the academic record, and incorporates best practices related to authorship, peer review, conflicts of interest, digital preservation, open access and the responsible use of artificial intelligence, as set forth in the Policy on the Use of Artificial Intelligence in Editorial and Academic Processes of FIGRI's journals, books and thesis collections.

### 3. Normative Framework of Reference

This Policy on Ethics and Editorial Good Practices is grounded in legal, institutional and international frameworks that promote academic integrity, transparency and accountability in scientific communication. The main reference instruments include:

#### Institutional Instruments


- Editorial Policy of the Universidad Externado de Colombia: provides guidance for editorial practices, responsibilities and quality criteria applicable to the University's publications.
- Policy on the Use of Artificial Intelligence in Editorial and Academic Processes of FIGRI: establishes principles, limits and specific procedures for the responsible use of AI tools in the Faculty's editorial processes.

#### National Instruments

- Constitution of Colombia, Article 15: right to habeas data and personal privacy.
- Law 23 of 1982 and Andean Decision 351 of 1993: copyright and intellectual property.
- Law 1581 of 2012: general regime for personal data protection.
- National Open Science Policy 2022–2031 (MinCiencias), Resolution 0777 of 2022: promotes open access, transparency and scientific collaboration.

#### International Instruments and Initiatives

- *Singapore Statement on Research Integrity* (2010): principles of honesty and scientific responsibility.
- *COPE Code of Conduct* (*Committee on Publication Ethics*, 2023): international standards for editorial ethics.
- *Budapest Open Access Initiative* (2002) and Plan S: promotion of open access and responsible science.

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#### 4. Guiding Principles

The scientific journals OASIS, OPERA and ODEON, together with FIGRI's outreach journals, research and outreach books, and master's and doctoral thesis collections, adhere to the following guiding principles, which orient all stages of the editorial process and apply to the subsequent sections of this policy:

I. **Transparency:** decisions such as corrections, retractions or official communications must be disseminated clearly and linked to the corresponding documents or articles, ensuring that the academic record reflects precise and verifiable information, without compromising the confidentiality of files or participants.

II. **Traceability:** complete records of all manuscript versions, communications with authors and reviewers, editorial decisions and relevant documentation must be preserved, without deleting historical information, ensuring the integrity and verifiability of the editorial file.

III. **Proportionality:** measures adopted by the Editorial Committee must correspond to the seriousness of the situation, ensuring that corrective actions are fair and appropriate.

IV. **Shared responsibility:** decisions are taken collectively by the relevant authorities, including the editor-in-chief and the Editorial Committee when applicable, informing affiliated institutions or funders when necessary.


V. **Preservation of the academic record:** no editorial action may remove historical information, previous versions or identifiers such as the DOI. All corrective actions must be integrated as complementary documents linked to the original record.

VI. **Verifiable communications:** all publications, corrections, retractions and official communications must be documented and verifiable, ensuring a transparent and traceable history of editorial actions.

VII. **Fairness and independence:** editorial decisions are made without bias, ensuring impartiality, fairness and protection against conflicts of interest, promoting equitable treatment for all participants.

VIII. **Confidentiality:** the sensitive information of authors, reviewers, evaluators and members of the editorial team is strictly protected, ensuring that shared data is not disclosed without authorisation.

IX. **Continuous improvement:** editorial processes must be regularly assessed to identify opportunities for improvement, update practices and ensure compliance with international standards of ethics, integrity and editorial quality.

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## 5. Independence and Fairness

The journals, books, and collections of master's and doctoral theses of FIGRI guarantee full editorial independence at all stages of the publication process. Editorial decisions are based exclusively on criteria of academic relevance, originality, methodological rigour, argumentative clarity, and contribution to the disciplinary field, without interference from sponsors, institutions, political organisations, or advertisers.

This independence also extends to sources of funding or sponsorship: research results and editorial decisions must be grounded solely in academic and scientific criteria, without external conditioning or economic, institutional, or personal influence. Any potential conflict of interest must be disclosed to the Editorial Committee for evaluation.

Editors and members of the editorial committees act with intellectual autonomy, free from economic, institutional, or personal pressures, and commit to safeguarding the scientific integrity and transparency of the published content. Decisions regarding the acceptance, revision, or rejection of a manuscript are made exclusively on grounds of academic quality and in accordance with the policies established by the University and the Faculty.


Equity and non-discrimination are cross-cutting principles of the Faculty's editorial processes. All manuscripts are evaluated impartially, without distinction of identity, nationality, institutional affiliation, gender, sexual orientation, race, ethnicity, religion, ideology, social status, disability, or the authors' native language. This same commitment applies to editors, evaluators and reviewers, editorial committees, and editorial support teams, who must act with respect, professionalism, and objectivity.

The editorial team promotes diversity and inclusion at all stages of the publication process, encouraging the submission of manuscripts from different geographical regions, disciplines, and academic perspectives, as well as the balanced participation of authors of different genders and trajectories. This openness seeks to strengthen global knowledge exchange, particularly enhancing the visibility of researchers from the Global South and historically underrepresented academic communities, in line with the Faculty's principles of equity, plurality, and internationalisation.

The Faculty's editorial processes adhere to the principles established in the document [Code of Conduct and Best Practice Guidelines for Journal Editors](#) and the [Core Practices of the Committee on Publication Ethics](#) (COPE), which define the fundamental responsibilities of editors as follows:

- Ensuring the independence of the editorial process.



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- Preventing and managing conflicts of interest.
- Acting with fairness, integrity, and transparency.
- Promoting equal treatment and academic diversity.

In line with these references, FIGRI reaffirms its commitment to strengthening a publication environment that is free from external interference, transparent, inclusive, and rigorous, where academic excellence, scientific integrity, and respect for the plurality of critical thought prevail.


## **6. Ethical Responsibilities of Editors, Editorial Committee Members, and Editorial Support Staff**

The editorial team of FIGRI's publications is composed of the Editor-in-Chief, editors, the Editorial Committee, and the editorial support staff, including copy-editors, translators, designers, layout specialists, editorial assistants, and other collaborators involved in the publication process. In specific cases, guest editors may also be appointed to coordinate special issues or editions, and they shall assume the same ethical and confidentiality obligations established in this policy.

All members of the editorial team are responsible for ensuring integrity, transparency, and quality at every stage of the editorial process—from manuscript submission to publication and long-term preservation of content. Their conduct must be guided by the institutional principles of ethics, independence, and fairness, as well as by internationally recognised standards of editorial best practice. These responsibilities include a commitment to impartiality, accountability, respect for intellectual property, and compliance with FIGRI's policies on academic integrity and the responsible use of artificial intelligence.

### **1. Responsibilities of Editors and the Editorial Committee**

- Select suitable reviewers with verifiable expertise and experience in the manuscript's thematic area.
- Refrain from participating in editorial decisions when personal, professional, or institutional conflicts of interest exist.
- Base editorial decisions on academic and/or scientific assessments, as well as on criteria of quality, originality, relevance, and contribution to the disciplinary field.
- Maintain strict confidentiality regarding manuscripts, reviews, and all information generated during the evaluation and publication process.
- Promote respectful interaction among authors, reviewers, and the editorial team, acting as mediators in the event of disagreements.
- Ensure compliance with institutional policies on ethics, academic integrity, and the responsible use of artificial intelligence.

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- Oversee the traceability and documentary record of the editorial process, ensuring transparency, conservation, and safeguarding of all information on institutional platforms and editorial archives.

## 2. Responsibilities of the Editorial Support Team

The editorial support team—comprised of copy-editors, translators, designers, layout specialists, editorial assistants, and other collaborators—works in coordination with the editors and the Editorial Committee and is responsible for:

- Supporting the technical and administrative management of the editorial process, ensuring compliance with established deadlines and timely communication with authors and reviewers.
- Ensuring the correct application of editorial, stylistic, and formatting standards established by FIGRI and Universidad Externado de Colombia.
- Maintaining the confidentiality of manuscripts and all information derived from their handling.
- Safeguarding the integrity of the content during editing, translation, design, and layout stages, avoiding unauthorised alterations.
- Recording and preserving all technical documentation associated with each publication within the editorial file, in accordance with editorial preservation policies.


## 7. Peer-Review Model

FIGRI's journals and books apply a double-blind peer review system (*double-blind peer review*), internationally recognised as an essential mechanism to ensure the quality, objectivity, and credibility of scientific publications. In this model, both authors and reviewers remain anonymous throughout the entire process, with the aim of eliminating biases related to identity, affiliation, or institutional prestige.

The purpose of the review process is to guarantee methodological rigour, theoretical soundness, thematic relevance, and the manuscript's original contribution to the fields of finance, government, and international relations. Peer review is understood as an exercise of academic collaboration and ethical responsibility aimed at strengthening the scientific quality of the Faculty's publications.

### 7.1. Stages of Editorial Process

1. Preliminary Evaluation: upon submission, the Editorial Committee conducts an initial assessment to verify compliance with formal, ethical, and thematic requirements, as well as alignment with the publication's editorial scope. This stage includes an initial

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check for plagiarism, duplication, data manipulation, or inappropriate use of artificial intelligence, in line with the Policy on the Responsible Use of Artificial Intelligence in Editorial and Academic Processes of FIGRI's journals and books. Only manuscripts that pass this stage proceed to external peer review.

2. Assignment of Reviewers: each manuscript is evaluated by a minimum of two external specialists selected for their academic competence, independence, and absence of conflicts of interest. For manuscripts submitted to dissemination journals or books, internal reviewers may be assigned, according to criteria defined by the Editor-in-Chief or the Editorial Committee. If the reviewers' reports diverge substantially, the Editor or Editorial Committee may appoint a third reviewer, whose assessment will guide the final decision.
3. Review Process: reviewers must submit a detailed and well-founded report including conceptual, methodological, and writing-related observations, together with a general recommendation: accept, accept with revisions, or reject. Observations must be constructive, objective, and respectful, aimed at improving the manuscript. Reviewers will receive the appropriate evaluation form depending on the publication type.


Reviewers must maintain absolute confidentiality and refrain from disclosing or using information contained in manuscripts. They must also comply with FIGRI's guidelines on the responsible use of artificial intelligence.

4. Editorial Decision: the Editor-in-Chief, together with the Editorial Committee, makes the final decision based on the reviewers' assessments and criteria of scientific quality, originality, and thematic relevance.

If revisions are requested, authors must submit a revised version along with a response report. The revised manuscript may be assessed by the same reviewers or by the editorial team, depending on the nature of the changes.

5. Communication and Transparency: The outcome of the process is communicated to authors clearly and respectfully, explaining the reasons for the decision. The editorial team maintains continuous, confidential, and transparent communication throughout all stages.

If authors disagree with the decision, they may submit a formal appeal in accordance with section 15 ([Complaints, Appeals and Editorial Disputes](#)).

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This process is governed by the principles of confidentiality, impartiality, independence, and transparency, in line with COPE’s Core Practices and Best Practice Guidelines for Journal Editors.

## 7.2. Ethical Responsibilities of Reviewers

Reviewers play a fundamental role in safeguarding the academic integrity of FIGRI’s publications. Their responsibilities include:

- Evaluating manuscripts with objectivity, independence, and respect towards the authors.
- Supporting their observations with clear and verifiable academic or scientific arguments.
- Declaring any conflicts of interest (financial, academic, institutional, or personal) and abstaining from participating when appropriate.
- Respecting the absolute confidentiality of the manuscripts received and refraining from using or disclosing unpublished information.
- Complying with the provisions of FIGRI’s Policy on the Use of Artificial Intelligence in Editorial and Academic Processes.
- Submitting review reports using the formats provided by the Faculty and within the established deadlines, or promptly informing the editors of any circumstance that may prevent timely delivery.

## 7.3. Transparency, diversity, and Continuous Improvement of the Review Process


FIGRI’s publications promote geographic, disciplinary, and gender diversity in their reviewer database, encouraging the participation of researchers and members of academic communities from different contexts and regions around the world.

The Editorial Committee periodically evaluates the functioning of the review system to incorporate improvements, update criteria, and adopt international best practices, while ensuring the confidentiality of the entire process.

## 7.4. Mecanismos frente a conflictos o mala conducta en la revisión

When conduct contrary to editorial ethics is detected—such as plagiarism, identity manipulation, misuse of information, deliberate bias, falsification of reviews, impersonation of reviewers, or inappropriate use of artificial intelligence—the Editorial Committee will apply a progressive, documented procedure based on COPE flowcharts:

1. Identification and documentation of the incident: the editor or a member of the Editorial Committee documents the case and notifies the Editor-in-Chief, who

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opens a confidential file with the available evidence (emails, review reports, dates, documents, screenshots, etc.).

2. Preliminary verification: the Editorial Committee analyses the information and determines whether the suspicion is founded or unfounded.
3. Notification to the reviewer: if reasonable indications exist, the reviewer is formally notified while ensuring confidentiality and the right to respond.
4. Evaluation by the Editorial Committee: the evidence is assessed and the Committee determines whether an ethical breach occurred, classifying it as minor, moderate, or severe.
5. Corrective or disciplinary actions: depending on the case, the Editorial Committee may annul the review, appoint new reviewers, temporarily or permanently remove the reviewer from the database, notify their institution, and record the case in the editorial file.
6. Communication and closure: the resolution is communicated to the relevant parties, maintaining confidentiality at all times.

This procedure ensures due process, proportionality, and traceability, reaffirming FIGRI's commitment to ethics, impartiality, and confidence in the academic and scientific assessment of its publications.


## **8. Authorship, Contributions, and Authorship Order**

FIGRI's journals, books, and master's and doctoral thesis collections recognise academic authorship as both an intellectual right and an ethical responsibility. Anyone listed as an author must have participated substantively and verifiably in the conception, development, and writing of the manuscript.

### **8.1. Authorship Criteria**

A person should be recognised as an author only if they meet all of the following conditions:

1. Contribute significantly to the conception or design of the study, or to the acquisition, analysis, or interpretation of data.
2. Participate actively in the drafting of the manuscript and in the critical revision of its intellectual content.
3. Approve the final version intended for publication.

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4. Assume shared responsibility for the integrity and accuracy of the work as a whole.

Those who provide technical, institutional, or administrative support without meeting the above criteria must be acknowledged in the “Acknowledgements” section, with their explicit consent.

## 8.2. Authorship Order

The order of authors must reflect the actual magnitude of their contributions and be defined by consensus prior to submission. Any subsequent changes to the order, number, or affiliations of authors require written authorisation from all parties and approval from the Editor-in-Chief.

Authorship disputes will be resolved in accordance with COPE flowcharts, following this procedure:

- Formal request for correction, accompanied by a signed statement from all co-authors justifying the modification.
- Individual verification of consent by the editor.
- Assessment by the Editorial Committee in cases of disagreement.
- Referral to the authors’ affiliated institutions or funders if the conflict persists.
- Recording and traceability of the final decision, which must be reflected in an editorial note or post-publication correction when applicable.


## 8.3. Questionable Authorship Practices

In line with COPE’s guidelines, FIGRI considers the following practices unacceptable:

- Ghost authorship: omitting individuals who made substantial contributions.
- Gift authorship: including individuals who did not contribute meaningfully, for purposes of recognition, reciprocity, or hierarchy.
- Guest or coercive authorship: adding authors to benefit from their prestige or due to institutional pressure, without real contribution.

When the Editorial Committee detects indications of such practices, it will apply the COPE procedure for suspected inappropriate authorship, which includes:

- Initial detection and documentation.
- Request for clarification from authors and review of supporting evidence.
- Internal evaluation to determine whether the issue is an error or an ethical breach.

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- Communication with institutions or funders when a breach is confirmed, the conflict persists, or when deemed necessary by the Committee.
- Adoption of proportional measures, including rejection, suspension of the process, correction or retraction, and temporary exclusion of implicated authors.

#### **8.4. Responsibility and Transparency in Authorship**

Authors must ensure that all listed individuals meet authorship criteria and that no one is inappropriately included or excluded.

The corresponding author acts as the main point of contact with the editor or editorial support team and is responsible for the accuracy of contributions, the integrity of the manuscript, and effective communication with co-authors.

Upon acceptance, each author must sign the licence agreement provided by the Faculty, declaring that they:

- Approve the final manuscript.
- Assume public responsibility for its content.
- Accept FIGRI's ethical and legal publication conditions.
- Authorise publication in the corresponding journal, book, or thesis collection.

#### **8.5. Acknowledgement of Support and Funding**


All sources of funding, technical assistance, or institutional support must be explicitly declared in the "Acknowledgements" or "Funding" section.

Individuals or organisations mentioned must provide prior consent. Intentional omission of such acknowledgements constitutes an ethical breach that may lead to correction or retraction.

#### **8.6. Procedure for Authorship Disputes or Allegations**

In cases involving disputes about inclusion, exclusion, or order of authors, the Editorial Committee will follow COPE flowcharts for authorship conflicts. The procedure is as follows:

- Formal receipt of the request or allegation, accompanied by evidence.
- Notification of all involved parties and opportunity for each to present their position.
- Committee evaluation; if unresolved, the case is referred to the relevant institutions.

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- Proportional decisions: suspension of review processes for manuscripts under evaluation, or correction, expression of concern, or retraction for published works.
- The Faculty guarantees confidentiality, impartiality, due process, and traceability in all proceedings.

Through these provisions, FIGRI ensures that authorship recognition is based on ethical, verifiable, and transparent criteria, and that conflicts are resolved fairly and in accordance with international standards of scientific integrity.

## 9. Originality and Redundancy

FIGRI's publications accept only original and unpublished manuscripts that have not been submitted simultaneously to other publications, nor disseminated in whole or in part in another language.

The principle of originality requires each work to contribute new knowledge or innovative interpretations, supported by verifiable theoretical and methodological foundations, and without substantially reproducing previous research by the same authors or by third parties.

### 9.1. Non-original Practices

The following practices constitute ethical breaches related to originality:


- Plagiarism: total or partial copying of text, ideas, data, figures, or results without proper attribution.
- Self-plagiarism: substantial reuse of one's previously published work without proper citation.
- Duplicate or redundant publication: submission or publication of substantially similar manuscripts in different outlets or languages.
- Salami slicing: artificial division of a unified research project into multiple manuscripts to increase publication count.
- Undeclared translation: submitting translated versions without citing or obtaining authorisation for the original work.

These practices may result in manuscript rejection, retraction, or institutional actions depending on severity.

### 9.2. Detection and Handling of Plagiarism and Duplication

All manuscripts undergo similarity detection software and detailed editorial review. When significant matches arise, the COPE procedures for "suspected plagiarism in a submitted manuscript" or "suspected redundant or duplicate publication" are followed:



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1. Initial verification: the editor or Editorial Committee examines the similarity report to assess whether the overlaps are legitimate or indicative of misconduct.
2. Communication with the author: authors are informed and asked to provide a formal explanation with the relevant documentation.
3. Editorial evaluation: the Committee determines whether the issue is a minor error or a serious breach:
  - For minor errors, corrections will be required before continuing the process.
  - For deliberate misconduct, the manuscript will be rejected and the decision recorded.
4. Institutional notification: if a serious or recurrent violation is confirmed, the affiliated institution or funding agency will be notified.

If the manuscript has already been published, COPE guidelines will be followed, applying retraction, expression of concern, or formal correction, depending on the nature and gravity of the case.


### **9.3. Redundant Publications**

If partial duplication or artificial derivation of the same study is suspected, the Editorial Committee shall:

1. Compare the texts, hypotheses, tables, figures, and results to determine the degree of overlap.
2. Request explanations and previous versions from the authors.
3. Decide according to the findings:
  - If the overlap is properly cited and complementary, the manuscript will proceed in the editorial process.
  - If duplication is substantial or undeclared, the manuscript will be rejected and the journals or publishers involved will be notified.
4. Archive all evidence in the corresponding editorial record.

### **9.4. Responsible Use of Previously Published Material**

Authors must obtain the necessary permissions to reproduce figures, tables, or excerpts from copyrighted works, including their own previously published material. All reuse must include full citation of the original source and, where applicable, the corresponding licence (*Creative Commons, Copyright Transfer Agreement, etc.*).

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Unauthorised use of protected material constitutes a serious ethical breach and may result in withdrawal or retraction of the manuscript.

### **9.5. Authors' Commitment**

When submitting a manuscript, authors must complete and submit the following forms provided by the editorial team:

1. Declaration of originality and authorship responsibility, through which they affirm that:
  - The work is original, unpublished, and not under evaluation elsewhere.
  - All sources, data, and references have been fully, accurately, and verifiably cited.
  - The results presented have not been fabricated, manipulated, or previously published.
  - They assume individual and collective responsibility for the integrity, accuracy, and truthfulness of the manuscript.
2. Authors' CV Form, which includes institutional affiliation, each author's specific contribution, and contact information required for the editorial and indexing processes.


Failure to submit these forms or non-compliance with the declarations may result in suspension of the editorial process, temporary exclusion from future publication calls, and/or notification of the authors' institutions or funders, depending on the severity of the case and the provisions of this policy.

## **10. Ethical and Responsible Use of Artificial Intelligence**

The scientific journals, divulgation journals, books, and master's and doctoral thesis collections of FIGRI acknowledge the growing relevance of artificial intelligence (AI) tools in research, writing, and editorial management.

However, their use must adhere to the highest standards of ethics, transparency, traceability, and academic responsibility.

Accordingly, all FIGRI publications fully comply with the Policy on the Use of Artificial Intelligence in Editorial and Academic Processes of the Faculty of Finance, Government and International Relations. This policy sets out the principles, limits, and best practices applicable to authors, reviewers, editors, and editorial support teams.

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Any mention or use of AI tools must be explicitly declared in the manuscript or relevant editorial stage, ensuring that such technologies do not replace human authorship, alter data integrity, or compromise the originality of the content.

Any breach of this policy will be addressed according to the procedures defined by the Editorial Committee and the institutional regulations on ethics and academic integrity.

## **11. Conflicts of interest**

The scientific journals OASIS, OPERA, and ODEON, as well as divulgation journals, research books, divulgation books, and FIGRI's thesis collections, promote integrity, transparency, and credibility across all editorial processes. In alignment with these principles, all actors involved — authors, editors, reviewers, evaluators, editorial committees, and editorial support teams — must declare clearly, fully, and in a timely manner any conflict of interest that may influence, or appear to influence, the objectivity of their work or editorial decisions.

This policy is grounded in the *Core Practices of the Committee on Publication Ethics (COPE)*, which establish that a conflict of interest exists when a personal, academic, financial, or institutional relationship or circumstance may affect professional judgment or create a perception of bias in the editorial process or publication of results.


### **11.1. Types of Conflicts of Interest**

Within its editorial processes, FIGRI recognises the following categories of conflicts of interest:

- Financial: direct funding, grants, contracts, fees, consultancy, shareholding, or other economic benefits derived from the publication or the research results.
- Academic or intellectual: collaboration links, competition, or academic antagonism between authors, reviewers, or editors (e.g., recent co-authorship, disciplinary rivalry, or substantive theoretical differences).
- Personal or professional: relationships of friendship, kinship, labour subordination, personal enmity, or any circumstance that may compromise impartiality.
- Institutional: when an individual acts on behalf of an organisation that could benefit from or be affected by the research outcomes or publication.

### **11.2. Conflict of Interest Declaration by Authors**

When submitting a manuscript, all authors must complete the Conflict of Interest Declaration, specifying any relationship that may be considered relevant for the interpretation or dissemination of the results. This information must be submitted as an

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independent document during the submission process and, when necessary, included in the manuscript under the section “Declaration of Conflicts of Interest.”

If no conflicts exist, authors must explicitly state: “The authors declare that there are no conflicts of interest.”

Failure to declare or falsifying this information constitutes a serious ethical breach and may result in review or retraction of the manuscript, in accordance with COPE’s Retraction Guidelines.

### **11.3. Conflict of interest Declaration by Reviewers and Editors**


Before accepting a review invitation, reviewers must declare any potential conflict of interest with the authors or with the content of the manuscript, including prior collaborations or direct academic competition. If a conflict exists, the reviewer must decline the invitation or notify the editor for reassignment.

Similarly, editors and members of the Editorial Committee must refrain from participating in the evaluation of manuscripts for which they have personal, professional, or institutional ties with the authors, or interests that may compromise their impartiality.

### **11.4. Procedure for Handling Detected Conflicts**

En If a conflict of interest is identified during or after the editorial process, the Editorial Committee will apply COPE’s flowcharts for undeclared conflicts of interest, following the steps below:

1. Identification and record: The editor or any member of the Editorial Committee reports the suspicion and opens a confidential file.
2. Preliminary verification: The Committee evaluates the evidence to determine the existence and relevance of the conflict.
3. Request for clarification: The implicated author, reviewer, or editor is asked to provide a written explanation.
4. Collegial evaluation: The Committee decides whether the conflict affects the validity of the process or the integrity of the manuscript.
5. Corrective measures: Depending on the seriousness of the case, actions may include:

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- Reassignment of reviewers or editors
- Formal warning and recording of the incident
- Publication of a correction, expression of concern, or retraction if the manuscript has already been published

In all cases, confidentiality, traceability, and proportionality will be ensured.

### **11.5. Transparency and Public Record**

The Editorial Committee may include, when appropriate, a “Conflict of Interest Declaration” note in publications or in institutional information related to editorial committees, as a practice of transparency and accountability.

The Faculty reaffirms its commitment to the prevention, identification, and ethical and responsible management of conflicts of interest within editorial processes that are integral, transparent, and aimed at strengthening trust in academic and scientific production.

## **12. Funding, Sponsorship and Open Access**

Across the editorial processes of the scientific journals OASIS, OPERA and ODEON; the divulgation journals; the research and divulgation books; and the master’s and doctoral thesis collections of FIGRI, the Faculty maintains a full commitment to transparency, integrity, and access to knowledge. All publications are managed on a non-profit basis and are focused on ensuring responsible, ethical, and rigorous dissemination of academic work.

### **12.1. Funding and Sponsorship Declaration**


Authors must declare all sources of funding or support received during the research or editorial process, including grants, scholarships, contracts, logistical or material support, and any form of sponsorship.

The declaration must specify:

- Full name of the funding or sponsoring entity
- Project or contract number/code, if applicable
- The sponsor’s involvement or level of influence in the design, data collection, analysis, or publication

If the research did not receive external funding, the following statement must be included: “This research received no specific funding from public, commercial, or non-profit agencies.”

Failure to declare or falsifying this information constitutes a serious ethical breach, in accordance with the COPE *Guidelines on Funding and Acknowledgements* (2023).

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## 12.2. Ethical Use of Sponsorship and Institutional Support

In cases of collaboration with external entities (international organisations, cooperation agencies, public or private sector bodies), authors must ensure that:

- The sponsor did not influence the research design, analysis, or interpretation of results.
- Data and conclusions are presented honestly, fully, and without censorship.
- Sponsorship is acknowledged transparently, without promotional or advertising purposes.

Failure to comply with these directives will be considered a violation of scientific integrity and will be addressed according to the ethical procedures established by FIGRI publications.

## 13. Data, materials y reproducibility

In the editorial processes of the scientific journals OASIS, OPERA and ODEON; the divulgation journals; the research and divulgation books; and the master's and doctoral thesis collections of FIGRI, the Faculty promotes the availability and proper management of research data and materials, ensuring the verifiability and reproducibility of results—fundamental elements for the integrity and quality of the knowledge produced.


In accordance with COPE's *Core Practices*, the FAIR Principles (*Findable, Accessible, Interoperable, Reusable*) and UNESCO's Recommendation on Open Science (2021), authors must ensure that the data, materials, and methods supporting their research can be consulted, verified, and reused by the scientific community, provided that this does not violate privacy rights, confidentiality obligations, or intellectual property protections.

### 13.1. Availability, Reproducibility and FAIR Principles

At the time of submission, authors must include a Data Availability Statement, clearly indicating:

- Whether the data, codes, questionnaires, instruments or other materials are publicly available, and the corresponding repository or DOI link.
- Whether the data are confidential or restricted, specifying the reasons (e.g., privacy clauses, institutional agreements, or sensitive information).
- Whether the data may be shared upon reasonable request, indicating the responsible contact person.

FIGRI encourages authors to apply the FAIR Principles, ensuring that research data are:

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- Findable: identified through complete metadata and a persistent identifier (DOI, Handle, etc.).
- Accessible: available in secure repositories, with clear conditions for access and use.
- Interoperable: compatible with international standards for format and description.
- Reusable: accompanied by appropriate licences and sufficient documentation to enable ethical and scientific reuse.

Manuscripts must accurately describe the methodological design, data sources and analytical procedures so that other researchers may replicate or verify the results. When possible, authors should provide analytical codes, instruments or complementary protocols in appendices or digital repositories.

By submitting a manuscript, authors declare that the data and materials:

- Are authentic, complete and in their possession or in the declared repository;
- Have not been fabricated, manipulated or altered;
- Will be preserved for a minimum of five years after publication, in accordance with COPE recommendations and the *OECD Guidelines for Access to Research Data* (2017).


The Editorial Committee may request access to the original data if reasonable doubts arise concerning the validity of the results. Unjustified refusal to provide such data may be considered a serious ethical breach.

### **13.2. Ethics, Confidentiality and Data Protection**

Access to data must balance scientific transparency with respect for human rights, privacy and participant safety. Consequently, authors must:

- Anonymise or code sensitive personal information prior to dissemination.
- Ensure that data collection was conducted with informed consent and approval from a research ethics committee, when applicable.
- Comply with Law 1581 of 2012 (Colombia) and its regulatory decrees on the protection of personal data.
- Avoid disclosing information that may endanger communities, individuals or vulnerable groups.

FIGRI reserves the right to request evidence of ethical approvals or informed consent prior to accepting a manuscript for publication.

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### 13.3. Procedure for Suspected Data Manipulation or Fabrication

When there are indications of data manipulation, fabrication of results, or serious inconsistencies between the methodology and findings, the Faculty will apply the COPE flowcharts for *“Suspected fabricated or falsified data”*, following the steps below:

1. Initial assessment: the Editor or reviewers report the suspicion to the Editorial Committee.
2. Preliminary verification: analysis of materials and assessment of consistency between results and reported data.
3. Request for clarification: formal request to the authors to provide supporting documentation (datasets, code, questionnaires, etc.).
4. Editorial determination: if manipulation or fabrication is confirmed, the manuscript will be rejected or, if already published, a retraction or correction process will be initiated.
5. Institutional notification: findings may be communicated to the authors’ affiliated institutions or funders, depending on the gravity of the case.
6. Record keeping: all decisions will be documented in the editorial file and formally communicated to all parties involved.

This procedure ensures due diligence, traceability and thorough documentation of all actions taken by the Editorial Committee.

### 13.4. Ethical Reuse and Digital Preservation


When open-access datasets are used, authors must:

- Respect the licence terms and properly attribute the original source.
- Cite the DOI or persistent identifier of the reused data.
- Refrain from combining datasets in ways that may allow the identification of individuals or groups.

Failure to comply with these standards may result in corrections, expressions of concern, or retractions, in accordance with the procedures set out in this policy.

FIGRI maintains an active commitment to the long-term digital preservation of its publications. All content is stored in the institutional repository of the Universidad Externado de Colombia and in reliable electronic preservation systems, such as Open Journal Systems



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(OJS), the FIGRI publications inventory, and the University's editorial catalogue, ensuring its accessibility, authenticity, traceability and long-term protection.

## **14. Corrections, Expressions of Concern, and Retractions**

The journals, books and master's and doctoral thesis collections of FIGRI uphold an ethical and scientific commitment to safeguarding the integrity of the academic record, ensuring that all publications present accurate, verifiable information aligned with international standards of honesty and editorial transparency.

The Editorial Committee shall apply the principles, criteria and procedures established in the COPE Retraction Guidelines, which guide the adoption of corrective actions such as corrections, expressions of concern or retractions in cases where substantial errors, significant omissions or inappropriate conduct are detected in already published manuscripts.

### **14.1. Types of Post-Publication Actions**


Within FIGRI's editorial processes, three main mechanisms are recognised for the correction of the academic record:

- Correction: issued to amend minor errors that do not affect the results or conclusions of the manuscript.
- Expression of concern: issued when there are reasonable indications of a possible ethical or scientific irregularity while an institutional or external investigation is ongoing.
- Retraction: published when the manuscript is found to contain serious errors, plagiarism, data manipulation or fabrication, duplication or any other form of scientific misconduct that invalidates its conclusions or compromises the integrity of the editorial process.

### **14.2. General Procedure for Addressing Errors or Irregularities**

The Editorial Committee will apply the following protocol, based on the COPE flowcharts for potential ethical irregularities in published manuscripts:

1. Initial notification: any party (author, reader, reviewer or editor) may report an irregularity.
2. Preliminary assessment: the editor-in-chief analyses the evidence and determines whether immediate action or a formal investigation is required.

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3. Request for clarification: a formal response is requested from the author(s), including supporting documentation.
4. Collegiate deliberation: the Editorial Committee determines whether the matter concerns a minor error, a substantial error or confirmed misconduct.
5. Editorial actions:
  - Correction, if the error does not undermine academic or scientific validity.
  - Expression of concern, if the evidence is partial or the investigation is ongoing.
  - Retraction, if a serious breach or fraud is confirmed.
6. Institutional communication: relevant institutions or funders shall be notified when misconduct is confirmed.
7. Publication of the resolution: the decision will be published visibly and permanently on the journal's website, linked to the original DOI.
8. All decisions will be recorded in the editorial file and formally communicated to all parties involved.

#### **14.3. Criteria for Publishing a Correction**


- Correction: issued when the error does not change the main conclusions and contributes to the accuracy of the academic record.
- Expression of concern: used when there are indications of irregularity but the investigation remains unresolved or evidence is insufficient.
- Retraction: issued when plagiarism, fabrication, redundant publication, ethical violations or data manipulation are confirmed.

Each document must clearly indicate the reason, date and responsible editorial authority, be linked to the original DOI, and be preserved in the corresponding digital records and indexations.

#### **14.4. Cases of Lack of Cooperation and Reversal**

If authors fail to respond to requests or refuse to cooperate, the Editorial Committee shall follow the COPE protocol for non-responding authors in cases of suspected misconduct, and may proceed with a justified editorial retraction, notifying the authors' affiliated institutions or funders.

If it is later demonstrated that a retraction was unjustified, a notice of reversal or rectification of retraction will be issued, in line with COPE recommendations, restoring the validity of the manuscript.

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All corrections, expressions of concern and retractions will be permanently preserved in the institutional repository of the Universidad Externado de Colombia and remain linked to the original DOI. This preservation will follow the provisions established in section 17 (Preservation and Custody of Editorial Information), ensuring traceability, accessibility and transparency of the academic record.

## 15. Complaints, Appeals and Editorial Disputes

The journals, books and master’s and doctoral thesis collections of FIGRI recognise the right of all actors involved in the editorial process (authors, editors, reviewers, Committee members, editorial support teams, among others) to submit complaints, appeals or claims regarding decisions, procedures or conduct perceived as unfair, incorrect or contrary to editorial ethics.


Within this framework, complaints refer to concerns about the editorial process; appeals refer to requests for review of previously adopted decisions; and disputes concern conflicts between editorial actors.

These submissions will be handled with impartiality, confidentiality and diligence, in accordance with COPE’s guidelines for handling complaints and appeals. The procedure aims to ensure due process, transparency and mutual respect at all editorial stages, without implying the reopening of completed evaluations unless there is compelling evidence of error, conflict of interest or violation of ethical principles.

### 15.1. Types of complaints

The following types of claims are recognised:

1. **Appeals of editorial decisions:** review of rejection decisions, requests for additional review or conditional acceptance.
2. **Complaints about the editorial process:** concerns regarding unjustified delays, communication errors or procedural failures.
3. **Reports of inappropriate conduct:** unethical or disrespectful behaviour by authors, reviewers, editors or editorial support staff.
4. **Disputes between parties:** conflicts among co-authors, reviewers or members of the editorial team in the context of a review or publication process.

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## 15.2. Procedure for Reporting Inappropriate Conduct

1. Submission: the concerned party must submit the request to the editor-in-chief in writing or via the institutional email, specifying the reason, the contested decision or procedure, and any supporting evidence.
2. Initial assessment: the editor-in-chief verifies the relevance and foundation of the request and its supporting evidence.
3. Collegiate review: if appropriate, the case will be analysed by uninvolved members of the Editorial Committee. They may request opinions from external reviewers or a third independent evaluator.
4. Decision and notification: the resolution will be communicated in writing within 15 calendar days from the formal receipt of the request, specifying the reasoning and measures adopted.
5. Record-keeping: all actions will be documented in the editorial file to ensure traceability.


When the submission concerns an appeal of an editorial decision, the procedure will include a formal review of the manuscript and may result in the confirmation, modification or reversal of the initial decision. The resolution issued by the Editorial Committee will be final and not subject to further appeal.

## 15.3. Procedure for Allegations of Inappropriate Conduct

L Reports of unethical or improper behaviour—such as offensive language, misuse of confidential information, deliberate bias, or undeclared conflicts of interest—shall be handled in accordance with the COPE protocol for allegations of misconduct.

The procedure includes:

1. Receipt and registration of the complaint, together with the supporting evidence.
2. Preliminary verification to assess whether the allegation is credible and supported.
3. Notification of the parties involved, granting them a period of 10 working days to respond.
4. Collegial evaluation, ensuring that any measures taken are proportional to the severity of the misconduct and the available evidence, in alignment with due process principles. Such measures may include a formal warning, temporary or permanent removal from the reviewer database, or notification to the author's institution or funders, as appropriate.
5. Final communication to all parties and archival of the case in the editorial record.

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#### **15.4. Resolution of Disputes Between Parties**

Conflicts between co-authors, reviewers, or members of the editorial team shall be addressed by the Editorial Committee acting as a neutral mediation body, following COPE guidelines for disputes between authors or between authors and other editorial actors.

If no resolution is reached internally, the matter may be referred to the authors' affiliated institutions, funders, or an external body specialised in publication ethics. During the handling of the dispute, the manuscript concerned shall remain **on hold** until a final decision is issued.

#### **15.5. Complaints from Readers or Third Parties**

Readers, reviewers, or other external individuals may submit observations or correction requests regarding already published manuscripts, provided such claims are supported by verifiable evidence (e.g., methodological errors, plagiarism, undeclared conflicts of interest).

These situations shall be handled in accordance with the procedure established in section 14 (Corrections, Expressions of Concern, and Retractions).

#### **15.6. Record-Keeping and Continuous Improvement**


All complaints, appeals, and disputes shall be recorded in the editorial file for purposes of traceability.

The Editorial Committee shall conduct periodic reviews to identify patterns, strengthen internal protocols, and ensure continuous improvement in processes and response times.

### **16. Intellectual Property and Copyright**

The editorial processes of FIGRI's journals, books, and master's and doctoral thesis collections are governed by the principle of respect for authorship and the responsible use of content, ensuring the protection of copyright and intellectual property rights for both authors and third parties whose materials are cited, reproduced, or adapted.

This policy is grounded in Law 23 of 1982, Andean Decision 351 of 1993, and the institutional provisions of the Universidad Externado de Colombia on intellectual property, copyright, and open access. FIGRI promotes open-access publishing for its scientific and outreach journals, as well as for selected research books, outreach books, and collections of master's and doctoral theses, in alignment with the National Open Science Policy 2022–2031 (MinCiencias). This policy defines Open Science as a set of practices that make scientific

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knowledge accessible, reusable, and available to all, fostering scientific collaboration, ethical data sharing, and transparency in scholarly communication.

FIGRI's commitment to Open Science is reflected in the promotion of free access, proper attribution of authorship, and respect for the usage conditions established by authors and the University, ensuring a balance between knowledge dissemination and the protection of intellectual property rights.

### 16.1. Rights of Authors

Once a manuscript has been accepted for publication:

- Scientific journals (OASIS, OPERA, ODEON) and FIGRI dissemination journals:


Authors retain full ownership of the moral and economic rights of their work, granting the journal a non-exclusive licence for publication, distribution, public communication, and digital preservation. This licence allows authors to disseminate their work through institutional repositories, academic databases, scholarly networks or personal websites, provided that the original source is properly cited and the conditions of the journal's licence are respected.

- FIGRI research and dissemination books:

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FIGRI and its publications guarantee the preservation, traceability, confidentiality and integrity of all information generated during the editorial process. This management aims to ensure the systematic conservation of the editorial file, as well as the verification and transparency of decisions made at each stage of the process.

The editorial file includes correspondence with authors and reviewers, evaluation reports, manuscript versions, editorial decisions and all administrative documentation associated with the process. This file is confidential and may only be accessed by authorised editorial staff or, in exceptional cases, by the institutional bodies responsible for ethics and academic integrity.

The journals, books and master's and doctoral thesis collections of FIGRI will implement technical and procedural measures that ensure the long-term digital preservation of published content and its metadata, in line with institutional policies on archiving, document management and open access. Secure storage systems and backup copies will be maintained to ensure availability, traceability and retrieval of information in the event of loss, damage or technological updates.

Internal information related to editorial processes will not be publicly accessible; however, the outcomes of post-publication decisions—such as corrections, retractions or official notices—may be made public in a transparent and verifiable manner through official channels, in accordance with the principles of integrity and trust in the academic record.


The minimum retention period for editorial files will be five (5) years from the date of publication, in line with international standards for editorial preservation and archiving.

## 18. General Provisions and Validity of the Policy

The Policy on Ethics and Good Editorial Practices constitutes the comprehensive regulatory framework governing the principles, procedures and ethical responsibilities of the scientific journals OASIS, OPERA and ODEON, as well as dissemination journals, research and outreach books, and the master's and doctoral thesis collections of FIGRI.

This policy applies to all stages of the editorial process—from manuscript submission to post-publication—and is binding for authors, editors, evaluators and reviewers, editorial committees and editorial support teams.



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### 18.1. Responsible Authority

The implementation, oversight and enforcement of this policy are the responsibility of the Editor-in-Chief of the FIGRI journals, books, and master's and doctoral thesis collections, in coordination with the Editorial Committee and under the general guidance of the Faculty of Finance, Government and International Relations.

The Editor-in-Chief shall be responsible for:

- Ensuring that all editorial procedures comply with the standards established herein.
- Resolving ethical cases in accordance with the protocols of the *Committee on Publication Ethics* (COPE) and the institutional policies or guidelines of the Universidad Externado de Colombia.
- Maintaining the editorial record, in collaboration with the Editorial and Coordination Assistant, ensuring the systematic registration and filing of all decisions, communications and official documents.
- Coordinating with the relevant institutional bodies when a case requires external review or legal intervention.

These functions complement the faculty's internal provisions on academic integrity and ensure that FIGRI publications remain aligned with international standards of ethics and scholarly publishing.


### 18.2. Dissemination and Compliance

The current version of this policy shall be publicly and permanently accessible on the official FIGRI publications portal. Knowledge and acceptance of the policy are mandatory for participation in any stage of the editorial process.

Submission of a manuscript implies the explicit acceptance of the standards set forth herein. Non-compliance may result in proportional measures depending on the severity of the breach, including suspension of the editorial process, removal of reviewers, or, in serious cases, retraction of manuscripts or materials.

### 18.3. Review, Approval and Entry into Force

The Faculty undertakes to carry out the periodic review and updating of this policy, in accordance with the evolution of editorial practices, advances in ethics, open science and responsible publishing, as well as new institutional, national, and international provisions on good editorial practice. All modifications must be recorded with their version number, date, and corresponding approval minutes.

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The responsibility for reviewing and updating this policy shall fall upon the Editorial Committees of the Faculty's journals, books, and master's and doctoral thesis collections, and its approval shall correspond to the Transformative Pillar Committee and/or the Faculty Council, as applicable.

The Ethics and Good Editorial Practices Policy of the Faculty of Finance, Government and International Relations – FIGRI was approved on 12 November 2025 by the Transformative Pillar Committee, through Minutes No. 11, and enters into force as of the date of its approval.

#### **18.4. Final Statement**

With this policy, the scientific journals OASIS, OPERA and ODEON, together with FIGRI's outreach and research journals, books, and collections of master's and doctoral theses, reaffirm their commitment to academic ethics, editorial transparency, the social responsibility of knowledge, and the promotion of open access, thereby consolidating their role as reference publications in the fields of finance, government, and international relations.

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