



Publication Policy

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1. Preamble

The Yenepoya (Deemed to be University) is dedicated to advancing knowledge through rigorous research and disseminating it in the form of scholarly publications across various disciplines and departments. The University encourages the publication of research articles based on data collected from a wide range of research studies, including field surveys, clinical studies, *in vivo* and *in vitro* experimental studies among others. The University strongly adheres to scientific and research integrity, maintaining the highest ethical standards for data generation and publication. The university publication policy provides a mechanism to crediting authors who have substantially contributed to the completion of the study. The policy also addresses issues related to conflicts of interest among authors and penalties associated with policy violations. This policy emphasizes the prevention of all forms of research misconduct to maintain academic integrity. Towards the fulfilment of the University's vision towards enhancing knowledge that can address healthcare, economic, societal, and environmental challenges by offering effective solutions and driving policy changes, the publication policy ensures upholding quality and standards in publication made by the University.

2. Scope

Academic integrity and ethical conduct are crucial when reporting research outcomes that impact both the research community and society. The University publications policy defines standards that must be maintained while reporting data intended for publication. The policy aims to protect the interests of all the stakeholders. The policy promotes enhancement of the quality of academic publications. The policy also elaborates on the intellectual property rights (IPR) associated with research publications. This policy is applicable to all the stakeholders of the University.

3. Authorship

3.1. Criteria for authorship

Authorship confers credit and has important academic, social, and financial implications. To be eligible as an author, one must have made substantial intellectual contributions to the manuscript. This shall involve contributions during the conceptualization, study design or data collection, analysis or interpretation of data and manuscript preparation, approval of the final version and being accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved. Based on the suggestions of the International Committee of Medical Journal Editors (ICME), Committee on Publication Ethics (COPE) and similar other international platforms, the University recommends the following guidelines for publications. The following criteria should be strictly adhered to.

- a. Authorship should reflect a balanced contribution to generating the hypothesis, methodology, data acquisition, analysis, or interpretation, writing and approval of the manuscript.
- b. The order of authorship should be decided by the research team according to the contributions towards the research work and manuscript preparation.

- c. Disclosure of individual author's contributions should be clearly stated in the manuscript. This includes but is not limited to contributions such as conceptualization, methodology, validation, formal analysis, investigation, data curation and statistical analysis, writing – original, review & Editing, Supervision and Funding acquisition and other significant contributions to avoid gift and ghost authorships.
- d. All authors should be invariably involved in the final approval of the version to be published and must take public responsibility for the content of their paper.
- e. All authors must confirm that the publication and their contribution are free from plagiarism and free from research misconduct of any form.

3.2. Acknowledgement of Non-Author Contributions

- a. Contributions which do not meet the above criteria should be acknowledged as non-author contributions. Examples of such contributions include providing financial resources (but not contributing as per the above criteria), equipment/consumables/reagents/writing assistance, technical editing, language editing, proofreading, general supervision, expert statistical advice, caring of patients, etc. Such contributions by themselves do not qualify for authorship.
- b. Explicit written approval may be obtained from individuals acknowledged in publications to avoid disputes.
- c. All funding sources should be acknowledged appropriately. The publications arising from the intramural funding of the University should mention the grant number.

3.3. Author Affiliations

- a. All the authors should provide the primary affiliation to the institution where most part of the research work is undertaken by them.
- b. The affiliation for the research conducted at the University should have the name of the Department, followed by College and University details. These names should be in conformity with the nomenclature approved by the statutory bodies and the University.
- c. The work carried out in the University must include the primary affiliation to the department and the University even if the faculty, postgraduate, PhD and postdoctoral researchers move away to another organization.
- d. In case the faculty/students including PhD. scholars and PDF publish the research work carried out in the University with a new affiliation, under such cases the Head of the Department can take suitable actions with the permission of the University. This may include writing to the journal with details on the same.

4. Quality of Research and Publication

- a. The publication should arise from research carried out in the University having originality and novelty.
- b. It should be free of any misconduct and adhere to the highest standards of research integrity, good laboratory practices and ethics.
- c. Plagiarism in research publications is unacceptable and discouraged at all levels. To avoid any form of plagiarism, the software/tools subscribed for the same should be used.
- d. To maintain the quality of the publications, the authors should ensure to select journals that have a rigorous peer review process and are indexed by Scopus/Web of Science having good quartile rankings.
- e. Publications that fail to meet indexing criteria will not be considered for career progression, increments, and incentives.
- f. Publications in predatory journals and pseudo-journals should be strictly avoided as these journals do not meet scholarly standards of publications and most often are not peer reviewed.
- g. To be informed about the changing landscape of journal policies, and the research publication process, the faculty and students should attend the sensitization programs organized by the University from time to time.
- h. The indexing databases subscribed by the University such as Web of Science, Scopus and similar others should be utilized for the benefit of scholarly content.
- i. The university shall support open access publications as per the Policy on Payment of Publication charges for articles that meet the criteria.

4.1. Preprint

A preprint is a scientific manuscript uploaded by authors to a public server. It contains all the details of a research manuscript but has not yet undergone peer review or been accepted by any journal. Preprints are assigned a DOI (Digital Object Identifier) and can attract citations

- a. The authors can submit research manuscripts as preprints to established preprint repositories, (e.g. arXiv, bioRxiv, medRxiv, ChemRxiv, PsyArXiv, Preprints.org, Research Square, SocArXiv, SciELO, agriRxiv, etc.) under circumstances of un-anticipated delays in publication due to prolonged peer review process or other factors.
- b. Authors should ensure that the journals they are considering for publication support preprint submissions in their policies.
- c. The preprint shall not be considered equivalent to peer-reviewed publication for the purpose of academic progression or fulfilling pre-requisites for the award of degrees.

5. Open Access Publication

- a. Open access publication is a publishing model for scholarly communication that makes research information available to readers at free of cost.
- b. Gold open access refers to the first publication of the manuscript as article in open access journals
- c. Diamond/Platinum Open Access Journals publish open access but do not charge APCs to authors. These are funded by institutions, advertising, philanthropy, etc.
- d. Green Open Access: Self-archiving of the pre or post-print of articles in repositories.
- e. Bronze Open Access: Free to read online but do not have a license and are not available for reuse.
- f. Directory of Open Access Journals (DOAJ): DOAJ is a free online directory that indexes and provides access to high quality peer reviewed open access journals across diverse disciplines.
- g. Hybrid Journal: Publish a mixture of open access and closed-access (subscription) articles. Provide open access for articles for which the authors pay a publication fee.

6. Use of Artificial Intelligence and similar tools for Research and Publication

Use of Artificial Intelligence (AI) programs in research and manuscript preparation is increasing and unavoidable. The following should be considered by the authors on the use of generative AI and AI-assisted technologies.

- a. Use of generative AI to prepare the entire manuscript or its contents is strongly discouraged unless such use is acknowledged / declared in the manuscript as per the guidelines of the journal/publishers.
- b. Use of AI and AI-assisted technologies for the manuscript writing purpose should only be used to improve the language and not to replace key authoring tasks (e.g., producing scientific or medical insights, drawing scientific conclusions, generating images, or providing clinical recommendations.)
- c. AI or similar tools should be applied with human oversight & control. The resultant contents should be reviewed and edited carefully to avoid AI-generated authoritative-sounding incorrect, incomplete, or biased output.
- d. In exception, if the use of AI or AI-assisted tools is part of the research design and methods (e.g. AI-assisted imaging approaches, in the field of biomedical imaging), such use must be described in a reproducible manner in the methods section as per the policy outlined by the publishers of the journal.
- e. The University also strongly recommends against using generative AI to generate or edit figures/experimental data. Doing so will be considered as an act of scientific misconduct.
- f. AI and AI-assisted technologies should not be listed as an author or co-author. Because AI tools

are unable to accept accountability for the work they provide and hence, they are unable to satisfy the standards for authorship.

- g. Authors must be transparent about the AI tool they have used and how they employed it. Authors must disclose the AI tools that are used in the manuscript for data collection, processing and AI model construction.
- h. Authors are responsible for the content of their manuscripts, even the portions generated by AI tools. They bear full liability for any ethical transgression.

7. Statements on Compliance with Ethical Standards

- a. Research involving human samples/participants must include information related to ethical compliance in the format as per journal requirements
- b. Authors must include the statement of compliance with standards of research involving animals for the research articles reporting data from the animal experiments
- c. All parts of the research reported in the manuscripts should have adhered to the guidelines for the conduct of research as per the University Research Policy (Link: https://www.yenepoya.edu.in/img/pdf/Research_Policy.pdf)

8. Conflict of Interest

Authors must explicitly disclose relevant information that creates a conflict of interest. The conflicts may arise from potential financial, non-financial, personal or other sources. If no information needs to be declared, the authors must declare a no conflict-of-interest statement.

9. Disclosure of Funding Support

Authors must disclose all relevant financial sources that funded the study. The financial sources, along with the grant numbers and a brief description of the role of the funder, must be acknowledged in the manuscript.

10. University Support for Article Processing Charge (APC)

- a. Authors can claim for APC for open access articles as per the policy on “Payment of Publication Charges”
- b. Both the lead/first author and corresponding author should be from Yenepoya (Deemed to be University). In case of shared equal contributions for the first/and corresponding authors, the appropriate portion of the total amount can be given.
- c. Prior permission from the University should be taken for claiming the APC with appropriate supporting documents.
- d. More details can be obtained from: https://www.yenepoya.edu.in/img/pdf/Research%20Policy_2.pdf

11. Authorship Disputes and Dispute Resolution

- a. The following strategies as per COPE shall be used to avoid circumstances that may lead to an authorship dispute:
- b. Each author should be aware of the nature of the work that merits authorship. The research team should discuss on the roles of each team member and possible contributions to decide on the order of all authors through the stages of research.
- c. Every author should also be aware of who among all authors will have the primary responsibility as the corresponding author and contribute to writing, submitting, and revising the manuscript.
- d. All authors should be sensible about the institutional as well as specific journal policies regarding authorship and should describe what each author contributed to the research project.
- e. People should not be added as authors if they have not contributed significantly to the project.
- f. Handle disagreements as they happen. The disputes, if any, should be typically resolved by the authors by attempting to solve differences in opinion within the research group using facts and guidelines as much as possible.
- g. For a research scholar/ PG/any student, resolving authorship issues should be considered sensitively. The research supervisors should be honest and transparent about the role and authorship the student may get from a research study. In disputes, students can approach higher officials outside the research group (e.g., HoD, Principal/Dean or anyone equivalent).
- h. For PhD scholars, the authorship disputes in the publications arising from the PhD study can be raised with the Doctoral Advisory Committee.
- i. If the issue is unresolved, seek help from the Vice Chancellor, who will have the final authority to resolve the authorship issues.

12. Research & Publication Misconducts

- a. Publication misconduct including plagiarism, fabrication, falsification, inappropriate authorship, duplicate submission/multiple submissions, overlapping publication, and salami publication is strictly prohibited.
- b. Authors are responsible for any violations including copyright issues raised by a third party.
- c. If the University discovers any research or publication misconduct, necessary and appropriate action will be taken against them.
- d. The University's Publication, Research and Integrity Cell or Office of the Research integrity shall address all forms of research misconduct as well as organize periodic sensitization programs to prevent publication misconducts.
- e. Various national policies and guidance documents such as "ICMR policy on Research Integrity and Publication Ethics" and "Quality Mandate" of the University Grants Commission shall be applied to prevent the misconduct in publication.