



YENEPOYA

(DEEMED TO BE UNIVERSITY)

Recognised under Sec. 3(A) of the UGC Act 1956

Accredited by NAAC with 'A+' Grade

Name of the Policy/ Guidelines	Code of Conduct and Ethics for Faculty and Staff
Objective	To promote a culture of responsible research conduct and academic integrity; to establish clear ethical guidelines for faculty and staff involved in research; to protect the confidentiality, security, and integrity of research data; and to ensure fairness, accountability, and transparency in research.
Short Description	The Code of Conduct and Ethics for Faculty and Staff outlines the expected standards of professional integrity, research ethics, and workplace conduct. This document serves as a guiding framework to ensure that all research activities uphold the highest ethical standards, adhere to institutional principles and policies, and comply with national and international research regulations.
Scope	This Code of Conduct applies to faculty members involved in research and teaching, postdoctoral researchers and scientific staff, technical and administrative staff supporting research activities, and visiting researchers and collaborators working within YRC facilities.
Policy Status	Approved
Year of approval	11 th March 2026
Approval Authority	Executive Council
Responsible Officer	Registrar

Date: 1.4.2026

REGISTRAR

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	YENEPOYARESEARCH CENTRE		Document No.	YU-YRC/DOC-025B	
	Title	CODE of CONDUCT and ETHICS for FACULTY and STAFF	Version No	1.0	
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1. Introduction

Since 2008, Yenepoya Research Centre (YRC) has served as a central research support system for the constituent colleges of Yenepoya (Deemed to be University) and external organizations. YRC provides state-of-the-art facilities to support high-quality research in interdisciplinary and multidisciplinary areas, including life sciences, chemical sciences, physical sciences, and bioinformatics, to address contemporary challenges.

Quality policy of YRC: *“Yenepoya Research centre (YRC) is committed to undertake research for translating ideas into action by exploring new frontiers in science and technology, creating new knowledge and societal development by employing state-of-the-art technology and competent staff in compliance with certification standards set by ISO 17025: 2017.*

YRC ensures Quality research by maintaining independence, impartiality and integrity in its operations, and improving its management system continuously. The research process adopted by YRC is transparent, rigorous upholding the ethical values and robustness to provide precise, high quality data without any bias to its users and customers. YRC commits to the health, safety, welfare and equality of its entire staff.”

The Code of Conduct and Ethics for Research Faculty and Staff at Yenepoya Research Centre (YRC) outlines the expected standards of professional integrity, research ethics, and workplace conduct. This document serves as a guiding framework to ensure that all research activities uphold the highest ethical standards, adhere to institutional principles, policies, and comply with national and international research regulations.

1.1. Purpose of the Code

- 1.1.1. To promote a culture of responsible research conduct and academic integrity.
- 1.1.2. To establish clear ethical guidelines for faculty and staff involved in research.
- 1.1.3. To protect the confidentiality, security, and integrity of research data.

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1.1.4. To ensure fairness, accountability, and transparency in research to cultivate mutual self respect amongst the team members to create harmony and maximize output activities.

1.2. Scope and Applicability

This Code of Conduct applies to:

- 1.2.1. Faculty members involved in research and teaching
- 1.2.2. Postdoctoral researchers and scientific staff
- 1.2.3. Technical and administrative staff supporting research activities
- 1.2.4. Visiting researchers and collaborators working within YRC facilities

1.3. Commitment to Ethical Research and Professionalism

All faculty and staff are required to:

- 1.3.1. Conduct research with honesty, transparency, commitment and responsibility.
- 1.3.2. Ensure compliance with institutional, national, and international research ethics.
- 1.3.3. Maintain a respectful, empathetic and professional work environment.
- 1.3.4. Ensure teamwork and collaborations and be accountable
- 1.3.5. Protect confidentiality and responsibly manage data security.

2. Ethical Principles and Core Values

YRC upholds the following principles and values for ethical research and professional conduct:

- 2.1. **Integrity and Honesty** – Researchers must provide accurate and truthful information in their research findings, publications, and reports.
- 2.2. **Accountability and Responsibility**– Faculty and staff must be accountable for their research, including proper data management and adherence to funding regulations.
- 2.3. **Transparency in Research** – Disclose conflicts of interest and provide clear, verifiable methodologies for research projects.
- 2.4. **Respect and Professionalism** – Treat colleagues, students, and collaborators with respect, fostering an inclusive and harassment-free workplace.

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2.5. Confidentiality and Data Protection – Maintain strict confidentiality regarding unpublished research data, patient records, and sensitive institutional information.

2.6. Compliance with Laws and Institutional Policies – Follow all ethical guidelines (1) regulatory frameworks Research policy (2), and policies of YRC, government, and funding agencies (3, Based on the respective agency guidelines)

2.7. Sharing research protocol: Sharing the in house standardized research protocols with friends/co-workers/colleagues without the consent of PI is strictly prohibited.

2.8. Usage of Research Material: The bioresources (wild-type and bioactive components) and genetically modified organisms (and derivatives including recombinant proteins and knockouts), patented technology, new drug molecules, delivery systems etc., cannot be used/shared for new research work without the consent of the PI who pioneered the work and received the clearance from IBSC/ethics as applicable. In case of patient samples/data/samples from biobanks, appropriate consent and approvals should be taken before usage.

3. Responsibilities of Research Faculty and Staff

3.1. Research Integrity and Ethical Conduct

Faculty and research staff must:

- 3.1.1. Conduct research free from plagiarism, falsification, or fabrication.
- 3.1.2. Ensure the authenticity and reproducibility of scientific findings.
- 3.1.3. Properly acknowledge contributions in authorship, collaborations, patents, presentations and funding support.
- 3.1.4. Obtain informed consent for studies involving human participants.
- 3.1.5. Adhere to ethical guidelines for animal research, ensuring humane treatment.

3.2. Confidentiality and Data Security

To protect sensitive research data, faculty and staff must:

- 3.2.1. Keep proprietary research, unpublished data, and patient records confidential.
- 3.2.1. Research data should only be shared with authorized personnel and within approved collaborations.

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3.2.2. Data must not be disclosed to third parties, including competitors, media, or unauthorized institutions, without formal approval from YRC. Any unauthorized sharing, publishing, or leaking of confidential information (including preliminary research findings, experimental data, clinical trial results, or unpublished any kind of data originating in YRC) is strictly prohibited

3.2.3. Store digital (password-protected databases or encrypted cloud storage with access restricted) and physical records (e.g., lab notebooks, printed data sheets, project files, clinical reports, biological sample details) in secure, restricted-access environments. All research-related electronic and physical documents must be stored securely, and access should be limited to authorized personnel only (SOP no.112)

3.2.4. Researchers must ensure compliance with intellectual property (IP) rights, including patents, copyrights, technology transfers and institutional ownership of research discoveries (IPR policy 6)

3.2.5. Follow institutional guidelines for data retention, sharing, and disposal (SOP no 130 and IT policy).

3.2.6. In the event of a data breach, theft, or loss, it must be reported immediately to the PI/Co-PI and if required appropriate YRC authorities (Deputy Director YRC/QA) for investigation and corrective action.

3.3. Compliance with Institutional and Regulatory Policies

Faculty and staff must:

3.3.1. Follow applicable national (e.g., ICMR, (4) and international research regulations institutional guidelines, and ethical regulations (5)

3.3.2. Only the Quality assurance team, YRC and Registrar, YDU have the authority to modify or amend this document. Any updates will be officially communicated to all employees, staff, and research scholars.

3.3.3. Obtain Institutional Ethics Committee (IEC) or Institutional Animal Ethics Committee (IAEC), institutional bio-safety committee (IBSC) approvals before

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conducting research involving human, stem cell, animal subjects or research involving genetically modified organisms etc.

3.3.4. Adhere to funding agency guidelines for grant applications and financial reporting.

3.3.5. Participate in research ethics training and compliance programs.

3.4. Conflict of Interest Management

To prevent bias and conflict in research:

3.4.1. Declaration of conflict of interest shall maintain transparency and trust

3.4.2. Faculty must declare conflicts of interest in research funding, authorship, and collaborations.

3.4.3. Avoid preferential treatment in research grants, hiring, and student mentorship.

3.4.4. Disclose financial relationships with pharmaceutical, biotech, or other commercial entities.

4. Professional Conduct and Workplace Ethics

4.1. Respect and Collaboration

A safe, respectful, and inclusive research environment is essential. Faculty and staff must adhere with the following:

4.1.1. YRC upholds a zero-tolerance policy against retaliation (e.g., targeting someone who reports a concern in good faith – whistle blowing).

4.1.2. Treat colleagues and students with fairness, dignity, and respect.

4.1.3. Prevent harassment and discrimination based on gender, color, race, ethnicity, age, nationality, sexual orientation, marital status, religion, or disability.

4.1.4. Encourage a positive and collaborative research culture.

4.2. External Communication and Public Engagement

4.2.1. Only PI or authorized person may communicate research findings to the media.

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4.2.2. Only the Deputy Director, YRC or authorized person is authorized to communicate with the media or other external platforms regarding any information pertaining to the research Centre.

4.2.3. All public statements must accurately reflect scientific findings and avoid misinformation.

4.2.4. Faculty must disclose affiliations and funding sources in public engagements.

4.2.5. All external inquiries related consultancy and academics must be directed to the appropriate authorities.

4.3. Communication with Suppliers and Vendors

4.3.1. All transactions with suppliers (e.g., for equipment, consumables, software) must be fair, transparent, and legally compliant.

4.3.2. The faculty and staff shall not demand for Bribery, kickbacks, and the exchange of gifts from vendors/suppliers

4.4. Use of Institutional Resources

4.4.1. Research grants and funding must be used for intended purposes only.

4.4.2. Laboratory equipment, software, and consumables must be used responsibly.

4.4.3. Proper documentation and record-keeping must be maintained for funding, purchases, and research materials.

4.5. Maintenance of Documents and a Safe Working Environment

4.5.1. Proper documentation of all lab equipment, software, and research records is mandatory. Tampering, destruction, or unauthorized deletion of research records is a serious violation.

4.5.2. All faculty members and supporting staff must adhere to health and safety protocols in laboratories. Any accidents, spillages, injuries, or unsafe conditions must be reported immediately. Hazardous materials should be handled with utmost caution, (SOP no.YU/YRC/ 129 spillage, YU/YRC/122 safety, YU/YRC/130, biomedical waste management)

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4.5.3. YRC prohibits the use of recreational drugs, alcohol, or banned substances within its premises.

4.5.4. Environmental Responsibility

All researchers must adhere to environmentally sustainable practices, ensuring proper disposal of hazardous materials and maintaining a clean and safe lab environment.

5. Violations and Reporting Mechanisms

5.1. Types of Violations

Violations of this Code include, but are not limited to:

- 5.1.1. Research misconduct (plagiarism, falsification, data fabrication).
- 5.1.2. Breach of confidentiality (unauthorized data sharing, leaks).
- 5.1.3. Unethical treatment of students, staff, or collaborators.
- 5.1.4. Failure to comply with institutional or funding regulations.

5.2. Reporting Unethical Conduct

Every individual has the duty to report any violation of this Code of Conduct and Ethics.

Faculty and staff must report violations to:

5.2.1. Deputy Director, YRC: 0824-2204668 Extn. 5140;

deputydirectoryrc@yenepoya.edu.in or ycrqa@yenepoya.edu.in

5.2.2. Human Resources Department: 0824-2204668 Extn. 5016

5.2.3. Registrar's Office: 0824-2204668 Extn. 5003; Email: registrar@yenepoya.edu.in

5.2.4. In case of any research related misconduct, the appellate shall be the Vice Chancellor, YDU (as per the Research Policy of YDU- clause 5.9)

YRC maintains **strict confidentiality and protection** for whistleblowers who report misconduct in good faith.

6. Certification and Acknowledgment

I certify that I have received, read, and understood the Yenepoya Research Centre (YRC) Code of Conduct and Ethics for Faculty and staff.

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I agree to:

- ☐ Uphold ethical research principles and professional conduct.
- ☐ Maintain the confidentiality and integrity of all research data and institutional information.
- ☐ Follow ethical research practices and report any violations to the appropriate authorities.

I understand that failure to comply with this policy may result in disciplinary action, including suspension or termination.

Signature: _____

Name: _____

Designation: _____

Date: _____

References

1. <https://www.ethics.edu.in/eth-com.html>,
2. <https://www.sciencedirect.com/journal/research-policy>
3. https://www.yenepoya.edu.in/img/pdf/Seed%20grant_Guidelines26072023.pdf
4. <https://www.icmr.gov.in/guidelines>)
5. https://oir.nih.gov/system/files/media/file/2025-01/guidelines-conduct_research.pdf
6. <https://www.yenepoya.edu.in/img/pdf/Intellectual%20Property%20Rights%20Policy.pdf>