



K J SOMAIYA COLLEGE OF PHYSIOTHERAPY

CODE OF CONDUCT COMMITTEE

Chairperson	Dr Shweta Manwatkar (PT)
Senior Faculty Members/ Admin Committee	Dr Annamma Varghese (PT)
	Dr Geeta Bhatt (PT)
	Dr Khyati Kothari (PT)

The core mission of our K J Somaiya College Of Physiotherapy is to aspire and strive for excellence in education and service by developing and sharpening the intellectual and human potential of Physiotherapists for the good of self and the society. This Code of Conduct has been formulated to provide the institute's expectation from Students, Visitors, Teaching facilities, Non-teaching faculties and Principal with respect to their professional and personal relation and responsibility with students, colleagues and administrators.

Discipline will be given highest importance and hence the management will always be strict to implement it.

Definitions

- **College** - K J Somaiya College of Physiotherapy.
- **Students** - All the students admitted in K J Somaiya College of Physiotherapy.
- **Visitors** - All people visiting the college campus.
- **Teaching Faculty** - All teachers involved in teaching undergraduate, postgraduate and PHD students.
- **Non-Teaching Faculty** - Office clerks, administrators, accountants, lab assistants and peons. This also includes the Housekeeping staff, Security and driver.
- **Principal** - Teaching faculty who holds the post of Professor and Principal in K J Somaiya College of Physiotherapy.



A. CODE OF CONDUCT FOR STUDENTS.

1. FEES PAYMENT

- Fees for first year undergraduate must be paid during the time of admission.
- Fees for the other years must be paid by every student after the results are announced.

(Subject to revision as per Shikshan Shukla Samiti Guidelines)

2. PROFESSIONAL DRESS

- At any given time, each and every person on the campus must maintain an appropriate professional attire which has a direct impact on the decorum of the institute and patient care. Attire should be neat and inconspicuous which is practical and allow one's duties to be performed without embarrassment or inconvenience.

DRESS

- Neat and clean Aprons with college badges in clinical areas where patients are present.
- Appropriate haircut/hairstyle. Neatly tied up hair while treating the patients.
- No grown and sharp nails.
- Girls - Formal wear with decent footwear.
- Boys - Shirt and pant with shoes.
- Every student must carry his/her identity card at all times on the Campus.



3. PROFESSIONAL BEHAVIOUR CRITERIA

3.1- DISCIPLINED BEHAVIOUR IN COLLEGE

Professional behaviour is consistently expected of all students in any college related/ clinical activity & in social responsibility.

- Students must read the notice boards regularly so that they don't miss out on any important information.
- Students should greet the teachers, non-teaching staff, peers as well as patients.
- Students are expected to maintain a high standard and professionalism in their general behaviour and manner of speech.
- Students are expected to recognise and comply with the authority held by the institution/MUHS and its staff. They are expected to follow and adhere to requests made by staff. Failure to do so could lead to parental contact and loss of privileges.
- In communication with fellow students and staff; students must not use profane language or offensive gestures.
- Students must respect opposing opinions and accept constructive criticism gracefully.
- Students must complete all assignments at given deadlines.
- Use of mobile phone during working hours is restricted in the class, clinical postings, library and hospital wards. If a student breaks this discipline, his/her mobile will be confiscated.
- Students will respect personal property of others.
- Conserve water and electricity by switching off lights, fans, A.C. and water tap, LCD Projector, computers before leaving classroom, clinical area and the common room.



3.2 – DISCIPLINE REGARDING CLEANLINESS IN COLLEGE

- Students are responsible for maintaining cleanliness and discipline in classroom and clinics.
- All garbage must be thrown in the garbage bin and not on the floor or in the desk drawer in different Dry and Wet garbage bins.
- Students should cooperate with housekeeping staff to maintain cleanliness.
- Toilets must be kept clean after use.
- Use of plastic is banned on our campus.

3.3 – DISCIPLINE REGARDING LABORATORY USE

- Students will be responsible for maintaining their own safety and the safety of others in all laboratory/ clinical activities
- When lab sessions are finished, students must return lab furniture/ pillows, equipments, tools etc to their designated areas in the laboratories. In case of damage to any equipment due to irresponsible handling, amount will be adjusted against caution money.
- While on campus, the students should operate machines and equipments carefully adhering to all the safety regulations and to ensure that no damage is caused to self, others or the institute's property.
- The arrangement of the chair, benches and plinths in the laboratories and classrooms should not be disturbed. Rearrangement after the class is over is the student's responsibility.
- Students must report damaged/ not working equipments as soon as noticed so that they can be repaired at the earliest.



4. ATTENDANCE

Students must have minimum 80% attendance in Theory and Practicals, separately to be eligible to appear for university exam as per the MUHS guidelines.

Biometric Sign In and Sign Out is compulsory.

College timings -

Sign in	9.00 am
Sign Out	4.00 pm
Late Mark	9.10 am -9.20 am
Absent	After 9.30 am

All the leave applications must be addressed to the Principal and forwarded through the posting incharges & the class coordinator. Students are entitled to receive vacation and Preparatory leave as per MUHS guidelines.

- Absence on 1st opening day and the last working day of the Term will be condoned once in two years only with prior permission, from the Principal.
- Students leaving premises of the college during college hours will have to take written permission from the Principal.
- No half days will be granted.
- In case of absence due to a valid reason, student must submit a note to the Principal, stating the reason.
- The note requires signature of respective class coordinator and posting in charge and signature of working partner who will be responsible for managing work of the absent student.
- In case of absence due to sickness, the college must be informed within 3 working days and a medical certificate along with a covering letter has to be submitted, the day student reports to college. Fitness letter for resuming classes & clinic to be submitted as well.



- Leave will not be sanctioned one week prior to: (irrespective of 80% attendance. 1) Internal exams, 2) Preparatory leave, 3) Internal Assessment Submission date, except for unavoidable circumstances and with written permission.
- If leave application is not submitted by a student, he/she will be charged double compensation in vacation/preparatory leave and/or marks will be deducted from the Practical Exam marks.
- During vacation/preparatory leave of regular batch, long leave may not be sanctioned for the casual batch.
- Prior written Sanction from the Principal is mandatory for attending any workshop and leave for Religious functions/ Family functions/ Personal reasons. Any such absence will be granted as per the discretion of Class Coordinator and the Principal.
- Serious action will be taken, for the breach of discipline, irregularity of attendance and unsanctioned leave.

5. ASSIGNMENTS AND EXAMS

5.1 ASSIGNMENTS

- Journals must be submitted for signing – within 2 days - After case presentation
- Journals to be submitted on the specified date given by the teacher for practical topic teaching
- Journals submitted late, will be given ‘late submission’ remark in the index.
- Journals submitted after university theory exam, will not be signed.



- Students should refrain from forging of signatures or even over writing in signing register.

5.2. EXAMS

5.2.1 Schedules

- College examinations are scheduled twice a year. It will be displayed on the notice board and uploaded on the website.

5.2.2. Attendance at Examinations

- Attendance for all the examinations (theory and practical) is compulsory.
- No re-exam will be conducted in case student remains absent for any scheduled exam.

5.2.3. Discipline during Exams

- Invigilators and students should reach 15 mins and 10 minutes respectively prior in the examination hall. The classroom will be opened only after invigilators enters the classroom. Bags and books must be deposited in the common room. The student must enter the classroom only with writing material (transparent pouch and transparent writing pad are only allowed) and ID card. Mobile phones, smart watches and Bluetooth earphones are not allowed in the examination hall.

5.2.4-Dispute of Exam or Assignment Grades

- Students will have the opportunity to review their answer sheets and the same shall be returned to the course faculty after the review.



5.3- Grading System

As per guidelines issued by MUHS from time to time.

- Students must attain minimum 40% marks to qualify for the University examinations, when “Internal Assessment marks” are calculated . If his/her standard is not met, students may not be awarded “Grace marks” for final exams.
- Students must attain an average of 50% or more in each subject, theory as well as practicals separately. Failure to attain the required 50% or more will result in failure of the subject.
- In case of failure in MUHS examination, student has to re-appear for the same in next exam.

Students of all years are encouraged to avail college library facility and book bank facility to enhance their academic performance.

6. FACULTY-STUDENT COMMUNICATION

- A teacher is assigned as a class co-ordinator for each class.
- Students may feel free to approach the Principal at any time to talk about issues she / he wishes to discuss.
- Mentor- mentee programme
- The purpose of this programme is to provide a platform where experiences can be shared on a one to one informal basis, maintaining confidentiality to establish a trusting relationship, thus providing support to students at various stages in their course programme and career.



7. TECHNICAL STANDARDS

- Students must not skip breakfast or Lunch.
- Students must be able to cope with physically demanding situations like sitting for long periods, standing for 2-4 hours per day (6-8 hours in clinical practice settings) during handling patients, extreme weather conditions and daily travelling etc.

8. RAGGING

- Ragging is a punishable offence. Ragging within or outside the college is prohibited. Whoever directly or indirectly commits, participates in, abets or instigates ragging inside or outside the educational institution shall be subjected to disciplinary action/ rustication and/or legal action from appropriate authorities .
- Ragging includes display of verbal abuse, disorderly conduct, teasing, rough or rude treatment, indulging in rowdy, undisciplined and obscene activities which cause or are likely to cause annoyance, raise apprehension or fear, physical or psychological harm or mental trauma or cause undue hardship in a fresher or other students, or forcing a student to do any act which such a student is not willing to do or which causes him/ her shame or embarrassment or danger to his/her life or indulging in eve teasing.



9. MAHARASHTRA STATE OCCUPATIONAL THERAPY AND PHYSIOTHERAPY COUNCIL MEMBERSHIP

- Students are expected to become members of the Maharashtra state OT/PT Council upon completion of the course.
- All students must take a note of the Code of Conduct and apply the same during their stay in college i.e. 4.5 years of U.G. and /or 2 years of P.G.
- The policies in this manual are subject to revision.
- Students are expected to fill alumni form by the end of internship.
- We, at K. J. Somaiya College of Physiotherapy believe that professional behaviours, attitudes and abilities are essential for success as a Physical Therapist and the faculty serve as mentors and role models within the professional education environment.



B. CODE OF CONDUCT FOR VISITORS.

- All the people visiting our campus are Guests and to be treated as such that they enjoy our extended hospitality on the campus.
- Visitors should park their vehicles in designated visitors parking area.
- Visitors seeking information regarding our college to be directed by the security personnel to relevant place.
- Visitors must take prior appointment to meet the teachers and principal. If they come to college without prior appointment, they should be seated in the waiting area and the peon will guide them to the concerned faculty.
- No visitor is allowed to enter the classroom, examination hall, administrative office and staff cabins of the college without permission.
- Visitors should keep the campus clean during their visit and speak softly in the OPD areas to avoid disturbance to the others.
- It is advisable that the visitors should take care of their valuables.
- Smoking, alcohol consumption and non-veg is strictly prohibited.
- Security of the campus and all concerned is of top priority to the college authorities. Security is present to ensure the same 24/7. The college is under CCTV surveillance with cameras near the entrance, reception, corridors and in the classrooms.
- K J Somaiya College of Physiotherapy is under the jurisdiction of Wadala Truck Terminal Police Station. The college guarantees safety and security to all within the precincts.
- The visitors should abide by the COVID 19 guidelines.



C. CODE OF CONDUCT FOR TEACHING STAFF.

A teacher is a role model for the students and society. The teacher should be dedicated and must strive to live upto the expectations of the institute. The teacher must be professional, approachable and understanding at all times.

1. PERSONAL CONDUCT

- The teacher must refrain from engaging in or inciting others to engage in conduct which disrupts any aspect of college functioning, obstructs or threatens individual's expression of ideas and identity. Failing to comply by these activities the Admin/code of conduct committee will take strict actions.
- The college has zero tolerance for ragging and sexual harassment on any platform.
- Smoking, alcohol consumption and non-veg is strictly prohibited.
- Keep the campus clean at all times.

2. PROFESSIONAL CONDUCT

- A teacher must work continuously towards his/her own professional growth and research by regular active participation in CMEs, conferences, workshops and faculty Development Programs.
- Give frank and free opinions at meetings, seminars, workshops and conferences towards the contribution of knowledge.
- Be consistent in providing their duty of teaching and clinical services. Cooperate with the institute in developing curriculum, students' mentoring, college examinations and clinical skills with dedication.
- Along with academic, be an active participant in co-curricular, extra-curricular and community activities.



3. RELATIONSHIP WITH STUDENTS

- The teacher must respect the right and dignity of each and every student, give fair treatment to all the students irrespective of their religion, cast, creed, sex, language, colour, disability, religious beliefs, marital and family status, economic, social status, etc.
- Encourage students to improve their knowledge, skills and personality to their maximum potential.
- Regular and active meetings with their respective mentees to be encouraged.
- Inculcate amongst the students patriotism and their contribution to the community.
- Recognise difference in potential amongst students and work to help the students individually by being available to the students even beyond their class hours as and when required.
- A teacher should be sensitive and receptive to students' professional and personal concerns and address them empathetically and seek professional help as and when required.

4. RELATIONSHIP WITH COLLEAGUES

- The teacher is expected to maintain a professional decorum, speak with respect and dignity with students, colleagues and the non-teaching staff, in the same manner they themselves wish to be treated.
- Avoid making unsubstantiated allegations against others.
- Encourage team work and support each other to achieve their maximum potential.
- There should be collaboration and timely communication between the different departments and the Principal for smooth functioning.
- All the teachers must follow the hierarchy and pattern of each clinical department and report to the Head of department for all work related communication, updates and permissions.



- Clinical department HODs to report to the Principal.

5. RELATIONSHIP WITH ADMINISTRATION

- The teacher must adhere to conditions, rules and regulations in their employment contract.
- The should co-operate with the authorities in formulating policies for the betterment of the institution keeping in view the interest of the dignity of the profession as demanded.
- Avoid undertaking any other employment or commitment including private tuitions and coaching or any responsibilities causing conflict of interest.



D. CODE OF CONDUCT FOR NON-TEACHING STAFF.

- The Non-teaching staff should strictly adhere to the rules and regulations of the college. Maintain honesty and integrity in all activities.
- The non-teaching staff is expected to Support Principal, Teaching staff, students and the visitors of the campus regarding all the administrative work and maintain hierarchy.
- They must take a prior approved leave and adjust workday coordination with fellow colleagues.
- The house keeping staff should keep the college premises clean and presentable at all times. Special care to be taken in the clinical areas to avoid any accidents or falls causing harm to the patients and the visitors.
- The canteen team should maintain personal and kitchen hygiene keeping in mind health of all the students, staff and visitors as their top priority.
- Maintain confidentiality with respect to student and staff record and other sensitive informations.
- Smoking and drinking on college premises is strictly prohibited.
- Any kind of verbal, non-verbal and/or physical misconduct of any nature in their interactions will not be tolerated. Strict actions will be taken against it.



E. CODE OF CONDUCT FOR PRINCIPAL

- The principal should motivate everyone for new innovative ideas, plan and execute them in the direction of the vision and mission of the college.
- The principal should be fair, objective, honest and abiding by law at all times.
- The principal should ensure that the admission of the students are as per rules and regulations by the competent authority.
- College committees should be formed and designated relevant work management. The Principal should conduct meetings with various committees and departments at regular intervals.
- The principal should monitor and assist the team members with regards to-Administration, supervision of curriculum and extra curriculum, welfare, examinations, workshops, seminars and related work.
- The principal with the team should plan budgetary provisions of the college and carry out financial matters efficiently and economically.
- The principal should encourage quality in education and academic activities, motivate each and every staff to enhance their knowledge, participate in research and developmental programs. To ensure this assessment reports to be made for teaching and non-teaching staff with appropriate feedbacks.
- For all work related communication, updates and permissions the Principal will report to the Management.
- The principal should make ethical decisions and be fair in the disciplinary actions within the professional boundaries with students, staff and visitors at all times.



F. CODE OF CONDUCT DURING COVID-19 PANDEMIC.

- Everyone on the college campus must abide by the COVID-19 guidelines given by the government at all times.
- Everyone should use face masks and dispose it in the designated bins.
- Students and staff must wash their hands before and after treating each patient during their clinical hours.
- If any student or teacher represents with any symptoms it should be reported immediately and appropriate precautions should be taken.
- In case of absence of leave due to COVID, duties should be resumed only after a negative test report.

Any violation of the above mentioned code of conduct will be referred to the Admin/ code of conduct committee for appropriate action



G. CODE OF CONDUCT OF EXAMINATION.

THEORY EXAMINATION

Instructions for Examiners:

1. For Undergraduate Course, two sets of examiners are allotted for each subject & one set of examiners for Post Graduate exam.
2. For Terminal examination, first set of examiner will prepare the question paper & answer key. Second set of examiners will moderate the question paper.
3. For Prelim Examination, second set of examiner will prepare the question paper & answer key. First set of examiner will moderate the question paper.
 - III BPTH – FDPS answer key to be prepared by respective specialty faculty.
 - Answer key NOT to be circulated among students.
4. While preparing the Question paper refer the syllabus & MUHS exam pattern.
5. Question paper to be submitted to Ms. Akshata as per format with signature of all four examiners.
6. Question paper to be submitted minimum three days prior to exam date.
7. For terminal paper correction, first set of examiners will correct first half of students (For e.g. Roll no. 01 – 50) answer papers & second set of examiners will correct next half (For e.g. Roll no. 51 – 100)
 - * For Prelim exam, it will be swapped.
8. Theory paper correction to be completed within 15 days post practical examination.

Internal CAP will be scheduled.



Instructions for Invigilator & students:

1. Invigilator & students should reach 15 & 10 mins respectively prior in examination hall.
2. The classroom will be opened only after invigilator enters the classroom.
3. Bags & books must be deposited in common room / at one end of classroom.
4. The student must enter the classroom only with writing material & college ID card.
5. Before the exam starts announcement to be made regarding copying materials (e.g. phone, book, chits) by invigilators.
6. Bell will ring as follows:
 - 1st Bell – for students entry in classroom
 - 2nd Bell – for question paper distribution 5 minutes before exam time.
 - 3rd Bell – start writing the paper
 - 4th Bell – 15 mins before end time
 - 5th Bell – paper collection
7. Invigilator should sign the answer sheets & supplements after the students enter all the details.
8. Both the sections should be written in one main supplement unless specified for external subjects.
9. Supplements should be stapled, thread will not be provided.
10. No washroom breaks should be given as much possible. In case of emergency PNS staff will accompany the student.
11. Student cannot leave the exam hall till the exam ends.
12. While collecting papers, it should be arranged roll number wise and should be handed over in office with counter signature.



13.If anybody found copying, inform the exam committee. Further course of action will be taken by the committee.

14.Follow the rules for materials to be taken in the exam hall.

ALLOWED in the exam hall:

- Writing material (pen, pencil, etc.)
- Transparent writing pad
- Transparent pouch
- Water bottle

NOT ALLOWED in the exam hall:

- Wallet
- Money
- Mobile, smart watch or any electronic device
- Chits
- Opaque (non-transparent) writing pad
- Opaque (non-transparent) pouch
- Apron



PRACTICAL EXAMINATION

Instructions for Examination:

1. For Undergraduate Course, two sets of examiners are allotted for each subject & one set of examiner for Post Graduate exam.
2. Two subject experts are allotted for IInd BPT^h & IIIrd BPT^h practical exam.
3. For Terminal exam, first set of examiner will take practical exam for first half batch (e.g. Roll no. 01 – 50) & second set of examiner will take practicals for remaining half of students (e.g. Roll no. 51 – 100) as per theory paper correction.
 - For Prelims, it will be swapped.
 - For Winter Batch, if only one student is there, first set of examiner will take terminal & 2nd set will take prelim.
4. For preparation of spots, first set of examiners will prepare spots & answer key for Terminal & second set will prepare for Prelims. However, correction will be done by both set of examiners for their respective practical batch.

Instructions for Students:

- Reporting time at 8:45 am
- Not to carry opaque plastic bag
- Students cannot roam in the campus in shorts.



H. CODE OF CONDUCT OF HOSTEL.

PRE-ARRIVAL THINGS TO DO

- 1. Mail a no-objection letter and Notice & Undertaking letter duly filled and signed by the student's parents/guardian/spouse (whichever is applicable) regarding their wish to join the hostel.** Please carry the physical copy to be submitted in the hostel office on arrival.
2. Adhere to follow all rules and regulations set by the Government and Hostel management in any Pandemic situation.
- 3. The fully vaccinated certificate needs to be mailed to the hostel authorities**
and a copy to be carried to allow entry into the campus.
4. The hostel office is closed on **Sunday and Public holidays**, hence students are **Not Allowed** to come on those days.

POST-ARRIVAL THINGS TO DO

1. The student will be allotted a room on the verification of all the documents.
2. In the unfortunate case any students get serious ill/fracture/ etc., and gets admitted in the hospital on advise of the Somaiya Hospital doctors, the cost of the treatment (if any) will be borne by the student.
3. If a student is unwell, he/she must immediately report to the Warden/Rector and will be taken to the Doctor on duty for medical attention and advice.
4. Once on campus, the student will strictly follow all SOPs.



Sr. No.	Hostel Rules	Remarks
1	Hostel incoming / Outgoing time	Morning 06:00 am to 11:00 p.m.
		Student can leave hostel after 07:00 am in the morning
		Student should reach to hostel on or before 11:00 p.m. at night
2	Late reporting to hostel time	Late reporting will be allowed till 12:00 p.m. only once in a month. Second time will be informed the same to the parents and third time strict action will be taken against student
3	Leave Application	Other than MBA institute, parents should send an email for hostel leave to the warden and cc to others (email id mentioned below) for approval at least two days in advance. If student is going on leave at relatives place then address is compulsory.
6	Clothing	Girls to wear decent dressing, knee length clothes. Torned jeans, short dresses, spagaty not allowed if found then strict action will be taken against student
		Boys to wear decent clothes, knee length short is allowed
7	Utilising Mess Dining Area	Student have to strictly maintain prescribed timings to use Mess Dining Area.
		Mess chairs not to be taken in the student room strictly
		Students not allowed taking food outside the Mess or asking for delivery in Room. Prior written approval should be taken for special cases/medical conditions by Warden/office bearers and to be submitted one copy to Mess desk
8	Use of Night Mess	Students can use Night Mess till 3.00 a.m. only for general purpose.
		For using premises beyond the said time limit or celebrating gatherings/committee work..etc- Prior written approval by respective committee faculty co-ordinator – with a written permission from Hostel Chairperson/Warden to be submitted to one copy to hostel office and one copy to security desk of respective building.



9	Utilising the Corridor	Students are allowed to dry their clothes.
		The water from the clothes should be properly squeezed out, it should not be dripping on the floor. Should not cover CCTV surveillance area , Playing in the Corridor is strictly prohibited
10	Using Student Activity Room/Mauj Room/Prayer Room	Hostel Students can use Activity room from 6.00 a.m. to 11.00 p.m. by submitting the ID card to security desk
		For using Activity room beyond the said time limit or other committee work..etc-
		Prior written approval by respective committee faculty co-ordinator – with a written permission from Hostel Chairperson/Warden to be submitted to one copy hostel office and one copy to security desk of respective building.
11	Playing loud Music in the Room or Floor	Students are allowed to play mild music in the room
		Students are not allowed to play loud music after 10.30 pm and not disturb the roommates or their floor mates
12	Repairs and Maintenance	Raise the complaint request on website http://maintenance.somaiya.edu . If the complaint is not resolve within two days then email the same to Prakash Agale sir and cc to the warden madam
13	Others	Birthday celebration in low volume so other student/Resident will not be disturb
		Displaying Notices/flyer in Hostel Posters strictly not allowed. But to display any notice or posters, prior written approval by respective committee faculty co-ordinator – with a written permission from Hostel Chairperson/Warden to be submitted to one copy to hostel office and one copy to security desk of respective building.
14	Displaying Notices/flyer in Hostel Posters	For Displaying Notices/flyer in Hostel Posters Prior written approval by respective committee faculty co-ordinator – with a written permission from Hostel Chairperson/Warden to be submitted to one copy to hostel office and one copy to security desk of respective building
15	Point of counter	For any Information and confirmation please write a mail to Hostel Authorities (email mentioned below)



16	Hostel Authorities	Hostel Warden - Mrs. Shriya Pawar - warden.simsrhostel@somaiya.edu - 97697 00042
		Asst. Warden - Mrs. Sarika Gaikwad - sarika.g@somaiya.edu - 90047 18877
		Accountant - Mrs. Veena Kalsekar - veenavk@somaiya.edu - 97698 89388
		Officer - Mr. Jitendra Salunke - jitendra.hs@somaiya.edu - 86929 30682
		Guest Incharge - Mr. Ajit Ghawre - ajit.g@somaiya.edu - 95941 47716
		Repairs & Maintenance - Mr. Prakash Agale - 93237 30520

NOTE	Students will be expelled from the hostel on adhering the Rule and norms explained to them
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I. INSTITUTIONAL CODE OF ETHICS FOR RESEARCH.

An institutional Code of Ethics for research helps faculty and students practice fair and respectful treatment of patients while conducting research by defining clear standards of ethical behavior that they must uphold. A written Code does not ensure ethical conduct, but it is the first step toward creating an ethical organizational culture. This Code of Ethics document is prepared in alignment with guidelines from ICMR. It is applicable to all students and faculty of K. J. Somaiya College of Physiotherapy. The purpose of these guidelines is to safeguard the dignity, rights, safety and well-being of the human participants involved in biomedical and health research.

STATEMENT OF GENERAL PRINCIPLES

1. Every research has some inherent probabilities of harm or risk and thus, protection of research participants and/or communities should be built into the design of the study.
2. While conducting biomedical and health research, the four basic principles namely; respect for persons (autonomy), beneficence, non-maleficence and justice must guide research in order to protect the dignity, rights, safety and well-being of research participants.
3. The basic principles have been expanded into 12 general principles (Table 1), that are applicable to all biomedical and health research involving human participants or research using their biological material or data.

Table 1: General Principles

1. Principle of Essentiality	7. Principle of Professional Competence
2. Principle of Voluntariness	8. Principle of Maximization of Benefit
3. Principle of Non-exploitation	9. Principle of Institutional Arrangements
4. Principle of Social Responsibility	10. Principle of Transparency &
5. Principle of Ensuring Privacy & Confidentiality	11. Principle of Totality of Responsibility
6. Principle of Risk Minimization	12. Principle of Environmental



GENERAL ETHICAL ISSUES

There are some general issues that must be kept in focus during the conduct of biomedical and health research involving human participants (Table 2).

Table 2: General Ethical Issues

Benefit–risk assessment	Informed consent process	Privacy and confidentiality
Distributive justice	Payment for participation	Compensation for research related harm
Ancillary care	Conflict of interest	Selection of vulnerable and special groups as research participants
Community engagement	Post-research access and benefit sharing	

2.1. Researchers must protect the dignity, rights, safety and well-being of research participants.

2.2. Researcher should have appropriate qualifications, competence in research methodology and be compliant towards the scientific, medical, ethical, legal and social requirements of research.

2.3. The researcher must conduct a benefit–risk assessment and actively attempt to maximize benefits and minimize risks to participants.

2.4. Benefits to the individual, community or society refer to any sort of favorable outcome of the research, whether direct or indirect. The social and scientific value of research should justify the risk, which is the probability of causing discomfort or harm anticipated as physical, psychological, social, economic or legal.

2.5. Risk can be categorized as less than minimal risk, minimal risk, and minor increase over minimal or low risk and more than minimal or high risk.

2.6. The researcher must obtain informed consent from the participant/ legally acceptable/ authorized representative (LAR) in writing.

2.7. Informed consent documents (participant information sheet and informed consent form) should carry the specified elements in simple, layman’s language. These documents should be approved by the EC.



- 2.8.** Oral consent/waiver of consent/re-consent may be obtained under certain conditions, after due approval by the EC.
- 2.9.** Researcher(s) should safeguard the privacy and confidentiality of participants and research-related data from unauthorized access.
- 2.10.** Benefits and burdens of research should be equitably distributed among the participating individuals or communities.
- 2.11.** Participants should not be made to pay for research-related expenses incurred beyond routine clinical care. Reimbursement for expenses incurred can be made in cash or kind or both.
- 2.12.** The researcher must report all serious adverse events (SAEs) to the EC within 24 hours of knowledge and submit a report on SAE relatedness to research within 14 days.
- 2.13.** Research participants who suffer direct physical, psychological, social, legal or economic harm are entitled to financial compensation or other forms of assistance.
- 2.14.** In investigator initiated/student research, the investigator/institution where the research is conducted becomes the sponsor and must provide compensation for research-related injury through insurance, corpus funds or grants.
- 2.15.** Free medical care may be offered as ancillary care for non-research-related conditions or incidental findings if it does not amount to undue inducement as determined by EC.
- 2.16.** The selection of vulnerable and special groups needs careful consideration, with provisions for additional safeguards and close monitoring.
- 2.17.** Engaging with the community from the beginning of research till after its completion helps to improve design and conduct of research and ensures greater responsiveness to health needs. However, every individual participant's consent is essential.
- 2.18.** Post-research access and benefit-sharing may be done with individuals, communities and populations, wherever applicable after completion of study.



RESPONSIBLE CONDUCT OF RESEARCH (RCR)

3.1. Major components of RCR are values and policies; planning and conducting research; reviewing and reporting research; responsible authorship and publication aspects.

3.2. Institutional Research Committee must facilitate research, manage grants and provide research oversight.

3.3. Researchers must follow professional codes of conduct and have personal conviction about ethical requirements.

3.4. The following should be established prior to conducting research:

- Conflict of Interest policies
- Safeguards for data acquisition, management, sharing and ownership
- Policies for handling research misconduct including fabrication, falsification and plagiarism

3.5. Completed research, irrespective of results, must be published in accordance with the guidelines of the International Committee of Medical Journal Editors (ICMJE).

3.6. Issues related to ownership, sharing of materials/data, IPR, joint publications, research findings, conflict of interest, and commercialization should be addressed in collaborative research.

3.7. In multicenter research, common ethics review by a designated EC can help to reduce time for getting ethical approvals from across the sites and improve coordination among participating sites. However, the local EC will look at site specific concerns and monitor research.

INFORMED CONSENT PROCESS

4.1. Voluntary written informed consent should be obtained in an informed consent document (ICD) from each participant to protect each individual's freedom of choice.

4.2. Informed consent is a continuous process involving three main components:

- Providing relevant information to potential participants
- Ensuring competence and comprehension of the information and
- Voluntariness of participation

Table 3: Characteristics of an ICD



Elements of an ICD	Additional elements (optional)
1. Statement mentioning that it is research	1. Alternative procedures or treatment
2. Purpose and methods	2. Insurance coverage
3. Duration, frequency, methods	3. Possible stigmatizing condition
4. Benefits to participant, community or others	4. Biological material and data, including:
5. Foreseeable risks, discomfort or inconvenience	i) Current and future uses
6. Confidentiality of records	ii) Period of storage and secondary use
7. Payment/reimbursement for participation	iii) Sharing of data and biological materials
8. Treatment and/or compensation for injury	iv) Right to prevent use of biological sample
9. Freedom to participate/withdraw	v) Provisions to safeguard confidentiality
10. Identity of research team and contact persons	vi) Post-research plan/benefit sharing

4.3. Researchers should only use the EC approved version of the consent form and its translation in local languages.

4.4. Informed consent should be voluntary and be signed by the participant after receiving information, understanding it and discussing with family/friends (if required).

4.5. Verbal/oral consent/waiver of consent/re-consent may be obtained only after approval by the EC. Table 4 gives conditions for granting waiver of consent.



Table 4: Conditions for granting waiver of consent

The EC may grant consent waiver in the following situations:
• research cannot practically be carried out without the waiver and the waiver is scientifically justified;
• retrospective studies, where the participants are de-identified or cannot be contacted;
• research on anonymized biological samples/data;
• certain types of public health studies/surveillance programmes/programme evaluation studies;
• research on data available in the public domain; or
• Research during humanitarian emergencies and disasters, when the participant may not be in a position to give consent. Attempt should be made to obtain the participant's consent at the earliest.

4.6. Appropriate ICD should be prepared for differently abled participants.

4.7. In case of research involving children, in addition to parental consent, verbal (7-12 years) or simplified written (>12 – 18 years) assent should also be taken from the participant.

4.8. The LAR's consent is required in case a participant is incompetent (medically or legally).

4.9. Electronic/online consent may be obtained for research involving sensitive topics while safeguarding information and data and also if required for regulatory clinical trials.

4.10. Individual consent is important and required, even if the community gives permission for participation in a research study.

VULNERABILITY

Individuals/ groups/ populations are considered vulnerable if they are relatively or absolutely incapable of protecting their own interests because of personal disability; environmental burdens; social injustice; lack of power, understanding or ability to communicate or other reasons. Individuals are considered to be vulnerable if they are:



- Socially, economically or politically disadvantaged and susceptible to exploitation
- Incapable of making a voluntary informed decision for themselves or if their autonomy is compromised temporarily or permanently (e.g., people who are unconscious, differently abled)
- Able to give consent, but their voluntariness or understanding is compromised due to their situational conditions
- Unduly influenced either by the expectation of benefits or fear of retaliation in case of refusal to participate, which may lead them to give consent

5.1. Researchers must justify the inclusion/exclusion of a vulnerable population.

5.2. A community representative may be invited to EC meetings to make sure the research is responsive to their needs and the informed consent process is appropriate.

5.3. Additional precautions should be taken by all stakeholders such as researchers, ECs and sponsors to avoid exploitation of vulnerable participants.

5.4. Informed consent process should be well documented and additional measures adopted if required, such as audiovisual/audio recording of assent/consent/re-consent.

5.5. Research proposals will undergo review in a full committee meeting.

5.6. Protection of privacy and dignity as well as provision of quality health care is required in dealing with vulnerable people, especially the minorities.

5.7. Research involving children, in addition, should follow the National Ethical Guidelines for Biomedical Research Involving Children, ICMR, 2017.

5.8. Due approvals are needed from competent authorities before entering tribal areas.

5.9. Research involving cognitively impaired individuals or those with mental illness must be done carefully, especially if there is risk to themselves, to others or suicidal ideation.

5.10. The EC will carry out the benefit–risk analysis and examine risk minimization strategies.