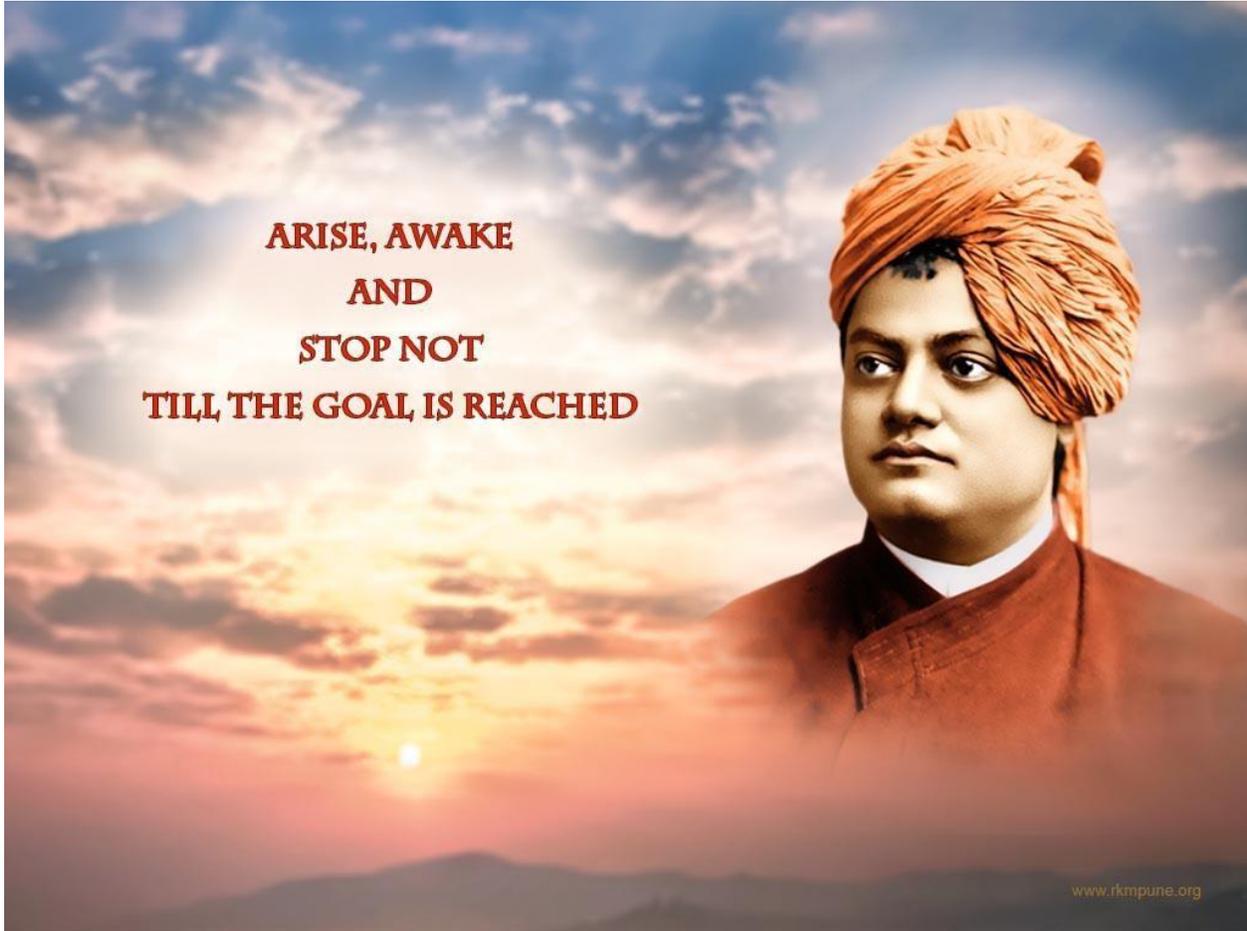




Research Code of Conduct & Ethics Policy
2018-2019



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PREAMBLE

PIBM is committed to using the research funds allocated to it to undertake and promote research that will benefit all the people in India and Abroad.

PIBM research, therefore, is aimed at supporting societal and management goals, this research belongs to the public domain and as such should be able to withstand public scrutiny at all times. PIBM research focuses on people, and the bulk of the information and data gathered is accordingly likely to be of a personal nature to the participants in the research. To honor the trust placed in PIBM researchers by research participants, the researchers should at all times act correctly and in ways that respect the rights and dignity of the participants. The ethics guidelines contained in this Code of Research Ethics will consequently be made available to all participants in the research process.

PURPOSE

To establish a framework to promote the sound and ethical conduct of research and to promote best practice approaches in the responsible conduct of Research Activities at the University.

Scope

This policy applicable to all researcher (viz. faculty, research scholars)

Policy Statement

PIBM is committed to maintaining the highest standards of integrity in conducting research, and to creating and maintaining an ethical research culture. To ensure that these standards are upheld, PIBM has adopted a Research Code of Conduct Policy. The Research Code of Conduct Policy (The Code) establishes the framework through which the PIBM manages the conduct of responsible Research Activities.

The Research Code of Conduct Policy provides a framework for the development of subordinate policy and procedure documents for Research Activities at the PIBM. The Code and its supporting policies, pursuant procedures and processes sets out the expected standards of research conduct, responsibilities and processes for the approval, management and oversight of Research Activities and management of any alleged Research Misconduct.

The PIBM requires that all Research Workers be familiar with The Code and uphold it in undertaking all Research Activities. It is the responsibility of Research Workers to be cognizant of, and comply with, The Code and its requirements and all relevant University policies and procedures, state, commonwealth and international laws, regulations, statutes, rules, standards and codes of practices when conducting Research Activities.

Failure to comply with the provisions of The Code may be grounds for disciplinary action in accordance with the PIBM's policies on misconduct.

Purpose of this Document:

This document provides guidelines on the professional ethics of gathering, processing and disseminating research information in projects operationally controlled by the PIBM, and in respect of contract research. It covers all activities through which research information and data are gathered, processed and disseminated, for example surveys and interviews and the reporting of research findings.

PIBM Values Statement

“We, the employees of the PIBM, hereby agree to conduct ourselves in such a way that the values outlined below will shape and inform all our activities and our relationships with colleagues and stakeholders”.

Our values are:

- Service and benefits to our country
- Excellence in all our work
- Enhancing our productivity
- Encouragement of a respect for the participation of our colleagues and Stakeholders
- Appreciation for one another's uniqueness
- Fairness that builds trust
- Sharing of our resources
- Transfer of skills and knowledge
- Open-mindedness in approaching conflict

- Creativity and innovation
- Responsible use of our resources
- Encouragement of learning and development

Principles

Statement of guiding principles

The Code prescribes standards of responsible and ethical conduct expected from of all Research Workers undertaking Research Activities at or on behalf of the PIBM. The PIBM has adopted the following principles about research. All Research Workers are expected to uphold these principles at all times whilst undertaking Research Activities.

The PIBM is committed to creating and maintaining a strong responsible research culture that demonstrates:

- Honesty and integrity
- Respect for human research participants, animals and the environment
- Good stewardship of public resources used to conduct research
- Appropriate acknowledgement of the role of others in research
- Responsible communication of research results.

In addition to these principles, the Research workers and the PIBM may have a requirement to comply with other specific requirements related to their areas of Research Activities. It is the responsibility of Research Workers to familiarize themselves with any additional specific requirements and to comply with these when undertaking Research Activities.

The PIBM will:

- Promote responsible conduct of research and maintain a climate in which responsible and ethical behavior in research is expected;

- Establish and uphold good governance and management practices;
- Provide appropriate training for Research Workers, including regular training in all aspects of The Code;
- Promote peer review and mentoring;
- Ensure a safe research environment;
- Effectively retain and store Research Data;
- Establish and uphold work health and safety and risk management policy and procedures;
- Establish and administer a process to manage potential, perceived, and actual conflicts of interest;
- Encourage a research culture which is innovative, open and transparent;
- Provide an advice mechanism for obtaining ethical clearance prior to conducting research; and
- Provide relevant training on procurement and contractual practices associated with collaborative Research Activities;

Research Workers will:

- Ensure that their research is an original investigation undertaken in order to gain knowledge and understanding and disseminate appropriately;
- Ensure that in all aspects of the conduct of research they foster and maintain a research culture and:
 - Uphold PIBM governance and management practices;
 - Demonstrate integrity and professionalism;
 - Observe fairness and equity;
 - Demonstrate intellectual honesty; and

- Effectively and transparently manage potential, perceived and actual conflicts of interest;
- Follow proper practices to ensure the security and safety of themselves and others;
- Actively identify and engage in appropriate research training activities;
- Actively seek and participate in peer mentoring activities at all stages of the research cycle;
- Declare any potential, perceived, or actual conflicts of interest;
- Responsibly manage research data at all stages of the research cycle;
- Ensure research methods and results are open to scrutiny and debate;
- Actively seek advice in regard to the ethical conduct of research; and
- Responsibly manage the acquisition of ethical clearance prior to conducting any research that involves human, animals or the environment and abide by any conditions of the ethical clearance, including reporting.

Determination of additional specific requirements

- In addition to the general guiding principles about research, The PIBM has additional specific requirements for a range of Research Activities.
- The Research Head is responsible for:
- The determination of any additional specific requirements for promoting smooth research activity.
- Development and maintenance of policies, procedures and processes relating to any additional specific requirements; and
- Oversight for ensuring these specific requirements are upheld.

Research data management and record keeping

All Research Data and records must be managed in accordance with the relevant PIBM policies and procedures.

Authorship

Authorship in relation to Research Activities will be assigned and managed in accordance with the relevant PIBM policies and procedures.

Publication and dissemination of research findings

Publication and dissemination of research findings will be undertaken in accordance with the relevant PIBM policies and procedures.

Conflicts of interest

Research Workers are responsible for reporting any potential, perceived or actual conflicts of interest in accordance with the PIBM's codes of conduct and relevant policies and procedures.

Peer review

Peer review at the PIBM will be undertaken in accordance with relevant PIBM policies and procedures.

Intellectual Property

Intellectual Property is to be managed in accordance with the relevant PIBM policies and procedures.

Research integrity and advice on the conduct of research

Where a Research Worker or any other PIBM Family Member is in doubt about the applicability of provisions of The Code, its supporting policies, procedures and processes,

or about the appropriate course of action to be undertaken, advice should be sought from:

- Head- Research cell and/or
- The Manager (Research Integrity and Ethics)/ Group head HR, PIBM.

Confidentiality will be maintained at all times in the provision of this advice in accordance with the PIBM's Code of Conduct Policy and other relevant policies and procedures.

Research Misconduct

The PIBM is committed to the highest standards of ethical conduct for Research Activities.

The Head- Research Cell is responsible for ensuring that the Institute has in place proper processes for managing Research Misconduct.

Research Workers have an obligation to report any suspected Research Misconduct. All suspected Research Misconduct must be reported for investigation and resolution in accordance with the relevant PIBM policies and procedures.

Failure to report suspected Research Misconduct may result in disciplinary action under the PIBM's policies on misconduct. Failure to report suspected Research Misconduct may also have consequences for individuals under criminal or civil jurisdictions.

Related Procedures:

Authorship Procedure:

Procedure overview

This procedure outlines the PIBM's process for the management and allocation of authorship rights for Research Workers.

Attribution of authorship

A Research Worker qualifies as an author if they have made a significant intellectual or scholarly contribution through at least one, but often more than one, of the following:

- Conception and design of the research described in the Research Output;
- Acquisition of research data, where the acquisition has required significant intellectual judgment or input;
- Analysis and interpretation of research data;
- Drafting of the Research Output or redrafting the Research Output so as to critically change or substantially advance the interpretation.

A Research Worker does not qualify as an author if they have not made a significant intellectual or scholarly contribution to the Research Output, or is unwilling to take responsibility for their contribution. Contributions outlined below are generally not considered to meet the criteria for authorship attribution:

- Provision of funding; and/or
- Provision of technical support, technical advice or technical assistance; and/or
- A research worker's position (e.g. Head of school, or supervisor of a research student); and/or
- A gift; and/or
- The provision of materials, infrastructure, or access to equipment.

Record of authorship

Research Workers have a responsibility to discuss authorship between potential co-authors and contributors to Research Outputs at the beginning of the research and as soon as collaborative circumstances or the research changes.

A record of authorship agreement is to include, but is not limited to:

- Anticipated title of the scholarly work;
- Outlet (e.g. journal name, publisher, conference or other medium);
- Anticipated date of submission to the outlet; and
- Name and order of authors, author role and contribution percentage to the overall Research Output.

Research Workers are encouraged to use the Statement of Authorship and Location of Data Form and retain a copy for their own record. The record of authorship agreement may also be informally captured through email or letters.

Author responsibilities

Researcher Workers should be fully aware of the requirements and responsibilities of authorship as outlined in the PIBM's Authorship Policy. In accepting an authorship, the author takes responsibility for, and attests to the integrity and accuracy of, at least that part of the research to which they contributed.

All authors have a responsibility to:

- Properly recognize all contributions to the Research Output, regardless of the Research Worker's position or role or any subsequent change in their position or role;
- Properly recognize the contribution of Student researchers in Research Outputs; and
- Respond to communications about the Research Output throughout all stages (including drafting, submission and finalization) in a timely manner.

Order of authors

Where there is more than one author of a Research Output, the authors should discuss and reach agreement on the order in which the authors appear in accordance with the established norms for the relevant field of research.

Senior author

Where the established norms for the relevant field of research dictate, and there is more than one author of a Research Output, a senior author (or authors) must be identified. In addition to fulfilling the criteria for authorship, the senior author's role is normally to have overseen the research and to attest to the integrity and accuracy of the research as a whole.

Corresponding author

Where there is more than one author of a Research Output, at least one co-author, by agreement amongst the authors, should be nominated as the corresponding author in accordance with this procedure and established norms for the relevant field of research. The corresponding author is responsible for communication between the publishers and managing communication between the co-authors. The corresponding author must maintain records of authorship agreement.

Plagiarism

Allegations of Plagiarism will be resolved in accordance with the Research Conduct Complaint Procedure.

Disciplinary Action for Misconduct or Serious Misconduct Procedure

This procedure outlines the PIBM's management of Misconduct or Serious Misconduct of Employees in accordance with the provisions of relevant legislation, agreements, awards and contracts of employment.

Procedures

Investigation

Prior to initiating any action, the PIBM will make every effort to resolve instances of possible Misconduct or Serious Misconduct through guidance, counselling or other appropriate action. If the concerns are not able to be resolved, then the PIBM may undertake an initial investigation process to establish whether a Complaint can be reasonably substantiated or clarified with no need for further action.

The investigation process will be conducted in accordance with the principles of natural justice and procedural fairness and may include questioning other individuals who may be involved in or observed the incident in question. Where there is a reasonable suspicion of Serious Misconduct having occurred, the PIBM will advise the Crime and Corruption Commission.

Where the Principal Director and or Head- Research Cell determines that there is a case of Misconduct or Serious Misconduct to answer, then the process will be initiated. Where the Principal director and or Head- Research cell determines that there is no case of Misconduct or Serious Misconduct to answer, there will be no further action taken by the PIBM.

Formal action

Any allegation of Misconduct or Serious Misconduct will be considered by the Principal Director and or Head- Research Cell. If the Principal Director and or Head- Research Cell believes such allegations warrant further investigation, the Principal Director and or Head-Research Cell will:

- Notify the Employee in writing and in sufficient detail to enable the Employee to understand the precise nature of the allegations, and to properly consider and respond to them
- Require the Employee to submit a written response within 10 working days from the receipt of the letter.

If the allegations are denied by the Employee, and the Principal Director and or Head-Research Cell is of the view that there has been no Misconduct or Serious Misconduct, the Head-Research Cell will immediately advise the Employee, in writing, and may, by agreement with the Employee, publish the advice in an appropriate manner.

If the allegations are admitted in full by the Employee, and the Principal Director and or Head- Research Cell is of the view that the conduct amounts to Misconduct or Serious Misconduct, the Head-Research Cell will advise the Employee, in writing, of the Head-Research Cell's Decision and the operative date of the Disciplinary Action.

If the allegation is denied in part or in full, or if the Employee has not responded to the allegations, the Principal Director and or Head- Research Cell will refer the matter to a Misconduct Investigation Committee unless the Principal Director and or sHead- Research Cell decides to take no further action or counsel or censure the Employee for unsatisfactory behavior and take no other action.

Suspension

At the time of notifying the Employee in exceptional circumstances the Principal Director and or Head- Research Cell may suspend the Employee on full pay, or may suspend the Employee without pay if the Principal director and or Head- Research Cell is of the view that the alleged conduct amounts to Serious Misconduct such that it would be unreasonable to require the University to continue the Employee's employment during a period of notice.

Where suspension without pay occurs at a time when the Employee is on paid leave of absence the Employee will continue to receive a salary for the period of leave of absence.

The Employee may engage in external paid employment or draw on any annual leave or eligible long service leave credits during the suspension without pay.

The Principal Director and or Head- Research Cell may direct that salary be paid on the grounds of hardship.

Where a suspension without pay has been imposed and the matter is subsequently referred to a Misconduct Investigation Committee, The Principal Director and or Head-Research Cell will ensure that the Misconduct Investigation Committee at its first meeting determines whether suspension without pay should continue. The Misconduct Investigation Committee will provide advice as to whether the suspension without pay should continue.

During any period of suspension the Employee may be excluded from the Institute, provided that the Employee will be permitted reasonable supervised access to the Institute campus and to request relevant documentation in order to prepare their response to any allegations of Misconduct or Serious Misconduct that has been made against them; and to collect or have personal property returned.

Misconduct Investigation Committee

The terms of reference of the Misconduct Investigation Committee are to report on the facts relating to the alleged Misconduct or Serious Misconduct, including whether any mitigating circumstances are evident.

Where a matter is referred to a Misconduct Investigation Committee, the Principal Director and or Head-Research Cell will convey the Misconduct Investigation Committee within 10 working days, where practicable.

The Misconduct Investigation Committee will consist of:

- A Chairperson agreed between the Chairman and Principal Director
- An Employee nominated by the Principal Director
- An Employee nominated by the Head-Research Cell

A committee member has an obligation to advise of any conflicts/s or potential conflicts of interest that may undermine the application of natural justice and procedural fairness.

A Misconduct Investigation Committee which is considering allegations of Misconduct may, where it is convinced that the merits and facts of the particular case go substantially beyond those contained in the initial allegation, indicate that the allegation must be considered one of Serious Misconduct.

The Employee must be clearly informed, in writing, of which new matters the Misconduct Investigation Committee considers may constitute Serious Misconduct and be given full opportunity to respond.

The Misconduct Investigation Committee will:

- Provide an opportunity for the Employee against whom the allegations are made to be interviewed by it and ensure that the Employee has adequate opportunity to answer allegations of Misconduct or Serious Misconduct
- Consider such further materials as it believes appropriate to substantiate or otherwise the facts in dispute
- Interview any other person it sees fit to establish the merits or facts of the particular case
- Ensure that the Principal Director and or Head- Research Cell or Nominated Representative of Misconduct Investigation Committee, have the right to ask questions of interviewees, to make submissions and to present and challenge evidence
- Conduct its proceedings in camera (unless otherwise agreed) as a Committee of inquiry as expeditiously as possible consistent with the need for fairness
- Keep a taped record of the proceedings (but not its own deliberations), which will be available on request to the Employee or the Principal Director and or Head- Research Cell
- Make its report available to the Principal Director and or Head- Research Cell and the Employee within 10 working days following the conclusion of the Committee's proceedings.

Report to The Head-Research Cell

On receipt of the report of the Misconduct Investigation Committee, and having considered its findings on the facts related to the alleged Misconduct or Serious Misconduct, the Principal Director and or Head-Research Cell may take Disciplinary Action.

If the Head-Research Cell is of the view that there has been no Misconduct or Serious Misconduct the Head-Research Cell will immediately advise the Employee in writing, and may, by agreement with the Employee, publish the advice in an appropriate manner.

Where an Employee has been suspended without pay pending the Decision of the Principal Director and or Head-Research Cell, any lost income will be reimbursed if there was no Misconduct or Serious Misconduct. However, a Decision taken by the Head-Research Cell, at the Head- Research Cell's discretion, not to dismiss or impose another penalty, will not be construed as an admission that there was no conduct justifying suspension without pay.

The PIBM is not constrained from carrying out other investigations relating to the consequences of conduct of an Employee.

All actions of the Principal Director and or Head-Research Cell under this Section will be final, except that nothing in this Section will be construed as excluding the jurisdiction of any external court, tribunal or commission competent to deal with the matter.

Delegated responsibilities

Approver	Level of Delegation
Head-Research Cell	Decision (after considering the Misconduct Investigation Committee report)
Principal Director	Ensure matter proceeds in accordance with other relevant policies and timeframes; and to provide procedure and process recommendations to the Head- Research Cell
Misconduct Investigation Committee	Determination and investigation of misconduct

 **Governing Member**

Designation

- | | |
|-------------------------|--------------------|
| 1. Mr. Raman Preet | Executive Director |
| 2. Mr. M.K. Tamuly | Principal Director |
| 3. Dr. Ajit Sane | Director |
| 4. Mr. Pranav Nagpurkar | Deputy Director |

 **Research Committee Members**

Designation

- | | |
|-------------------------------|---------------|
| 1. Dr. Rajasshrie Pillai | Research Head |
| 2. | |
| 3. Dr. Riddhiman Mukhopadhyay | Member |
| 4. Dr. Sanjeev Kulkarni | Member |
| 5. Mr. Raveen Bhatnagar | Member |
| 6. Dr. Naresh B. | Member |
| 7. Dr. Abhijeet Lele | Member |
| 8. Dr. Mohit Ojha | Member |



Director
Pune Institute of Business Management
Pirangut, Pune

Dr. Ajit Sane

(Director)

Dr. Rajasshrie Pillai

(Head- Research Cell)

Mr. Raveen Bhatnagar

(Group HR Head, PIBM)

