

Code of Ethics for Research

INTERNATIONAL MANAGEMENT INSTITUTE
BHUBANESWAR



IMM

**INTERNATIONAL MANAGEMENT INSTITUTE
BHUBANESWAR**

Shaping global leaders for tomorrow

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Introduction

International Management Institute Bhubaneswar's Code of Practice for Research has been designed to encourage good conduct in research and help prevent misconduct, in order to assist organisations and researchers to conduct research of the highest quality. It provides general principles and standards for good practice in research, applicable to both individual researchers and to organisations that carry out, fund, host or are otherwise involved in research.

The Code covers areas of good practice in research typically included in Organisational policies for the conduct of research, drawing upon existing good practice and the experiences of the UK Research Integrity Office (UKRIO) in addressing good conduct and misconduct in research.

IMI Bhubaneswar acknowledges that the code is borrowed from the code published by UK Research Integrity Office (<https://ukrio.org/publications/code-of-practice-for-research/>) , which in turn is based on guidance on research conduct provided by Research Councils UK, the Wellcome Trust, UK or the Council for Science and Technology, UK and other such bodies.

Definitions

For the purposes of this Code, the following definitions have been used:

'Research' is to be understood as original investigation undertaken in order to gain knowledge and understanding. It includes work of direct relevance to the needs of commerce, industry, and to the public and voluntary sectors; scholarship*; the invention and generation of ideas, images, performances, artefacts including design, where these lead to new or substantially improved insights; and the use of existing knowledge in experimental development to produce new or substantially improved materials, devices, products and processes, including design and construction. It excludes routine testing and routine analysis of materials, components and processes such as for the maintenance of national standards, as distinct from the development of new analytical techniques. It also excludes the development of teaching materials that do not embody original research." (Research Assessment Exercise 2008, p. 34):

Scholarship is defined as the creation, development and maintenance of the intellectual infrastructure of subjects and disciplines, in forms such as dictionaries, scholarly editions, catalogues and contributions to major research databases."

Organisations refers to any bodies which: conduct, host, sponsor or fund research; employ, support or host researchers; teach research students; or allow research to be carried out under their auspices.

Researchers refers to any person who conducts research, including but not limited to: as an employee; an independent contractor or consultant; a research student; a visiting or emeritus

member of staff; or a member of staff on a joint clinical or honorary contract. In the context of IMI Bhubaneswar this includes the Faculty Members, FPM Scholars, Students of PGDM Full Time and Part Time and any other scholar (external or otherwise) who is utilizing the resources provided by IMI Bhubaneswar for conduct of research

Principles

Researchers should adhere to the following Principles, which set out the responsibilities and values relevant to research. While some elements may seem self-evident, and there is some overlap, these Principles aim to encourage all involved in research to consider the wider consequences of their work and to engage critically with the practical, ethical and intellectual challenges that are inherent in the conduct of high-quality research, rather than treating codes of practice such as this as just another procedure to be followed.

- **EXCELLENCE:** Researchers should strive for excellence when conducting research and aim to produce and disseminate work of the highest quality. This Code, its Principles and its Standards are intended to support these goals.
- **HONESTY:** Researchers should work to create and maintain a culture of research that fosters and supports honesty in research. Researchers should be honest in relation to their own research and that of others. They should do their utmost to ensure the accuracy of data and results, acknowledge the contributions of others, and neither engage in misconduct nor conceal it.
- **INTEGRITY:** Researchers must comply with all legal and ethical requirements relevant to their field of study. They should declare any potential or actual conflicts of interest relating to research and where necessary take steps to resolve them.
- **COOPERATION:** Researchers should promote the open exchange of ideas, research methods, data and results and their discussion, scrutiny and debate, subject to any considerations of confidentiality.
- **ACCOUNTABILITY:** Researchers should recognize that in and through their work they are ultimately accountable to the general public and should act accordingly. They should ensure that any research undertaken complies with any agreements, terms and conditions relating to the project, and allows for proper governance and transparency. Researchers should follow the requirements and guidance of any professional bodies in their field of research. Researchers who are members of a regulated profession must follow the requirements and guidance of the body regulating their profession.
- **TRAINING AND SKILLS:** IMI Bhubaneswar would provide training and opportunities for development for their researchers, and the necessary resources to enable them to conduct research to the required standards. It would support researchers in identifying unmet needs

for training and development. Researchers should ensure that they have the necessary skills, training and resources to carry out research, in the proposed research team or through collaboration with specialists in relevant fields, and report and resolve any unmet needs identified.

- **SAFETY:** Researchers should ensure the dignity, rights, safety and wellbeing of all involved in research and avoid unreasonable risk or harm to research subjects, patients, participants, researchers and others. They should report and address any concerns relating to the dignity, rights, safety and wellbeing of those involved in research. Research should be initiated and continued only if the anticipated benefits justify the risks involved.

General guidance on good practice in research

Researchers must comply with all legal and ethical requirements and other guidelines that apply to their research. This includes submitting research proposals for ethics review where appropriate and abiding by the outcome of that review. They should also ensure that research projects are approved by all applicable bodies, ethical, regulatory or otherwise.

When conducting, or collaborating in, research in other countries, organisations and researchers should ensure that they meet the standards set by the Government of India and standards set by the collaborating country.

Researchers at IMI Bhubaneswar should (a) recognize their responsibility to conduct research of high ethical standards; (b) be aware of their organization's policies and procedures on good practice in research; (c) make sure that their research complies with these policies and procedures, and seek guidance from their organisation when necessary; (d) work with their organisation to ensure that they have the necessary training, resources and support to carry out their research; and (e) suggest to their organisation how guidance on good practice in research might be developed or revised.

Leadership, Supervision and Training

IMI Bhubaneswar will promote and maintain an environment which fosters and supports research of high ethical standards, mutual co-operation, professionalism, and the open and honest exchange of ideas. It will also foster a culture where good conduct in research is promoted and inappropriate conduct is identified and addressed.

IMI Bhubaneswar would provide direction and supervision of research and researchers, setting out clear lines of accountability for the organisation and management of research. It would support supervisors and researchers in meeting the legal and ethical requirements of conducting research. It would also encourage the career development of its researchers and provide training

and mentoring of new researchers. It will also offer training and support to those charged with the supervision and development of other researchers.

Researchers involved in the supervision and development of other researchers should be aware of their responsibilities and ensure that they have the necessary training, time and resources to carry out that role, and request support if required.

IMI Bhubaneswar would undertake to provide training for researchers to enable them to carry out their duties and develop their knowledge and skills throughout their career. This would include training in the responsible design, conduct and dissemination of research. IMI Bhubaneswar will also support researchers in identifying unmet needs for training and development. IMI Bhubaneswar would provide qualified mentors to assist in the training and career development of new researchers and also provide career development and educational opportunities for researchers who are more established in their careers.

IMI Bhubaneswar would provide particular support for student researchers in FPM and PGDM Courses. The Research Cell would make sure that student researchers understand which standards and Organisational policies and procedures they are expected to comply with.

Researchers should undergo training assigned to them from time to time in order to carry out their duties and to develop their knowledge and skills throughout their career, repeating training where necessary to ensure that skills are kept up to date. They should identify needs for training when they arise and report them to their manager or other appropriate person as identified by their organisation.

Research design

When designing research projects, researchers at IMI Bhubaneswar should ensure that:

- The proposed research addresses pertinent question(s) and is designed either to add to existing knowledge about the subject in question or to develop methods for research into it;
- The design of the study is appropriate for the question(s) being asked and addresses the most important potential sources of bias,
- The design and conduct of the study, including how data will be gathered, analyzed, and managed, are set out in detail in a prespecified research plan or protocol,
- The necessary skills and experience will be available to carry out the proposed research, in the proposed research team or through collaboration with specialists in relevant fields,
- sufficient resources will be available to carry out the proposed research and that these resources meet all relevant standards; and
- Any issues relating to the above are resolved as far as possible prior to the start of the research.

The Research Committee at IMI Bhubaneswar should conduct a risk assessment of the planned study to determine:

- whether there are any ethical issues and whether ethics review is required,
- the potential for risks to the organisation, the research, or the health, safety and wellbeing of researchers and research participants; and
- What legal requirements govern the research?

Where the design of a study has been approved by ethics, regulatory or peer review, researchers should ensure that any subsequent alterations to the design are subject to appropriate review to determine that they will not compromise the integrity of the research or any terms of consent previously given.

IMI Bhubaneswar would set up systems to ensure that when there are risks that proposed research or its results may be misused for purposes that are illegal or harmful, those risks are identified and addressed. IMI Bhubaneswar would make these issues known to researchers and provide guidance and support to researchers on projects where such risks are identified.

Researchers should try to anticipate any risks that the proposed research might produce results that could be misused for purposes that are illegal or harmful. Researchers should report any risks to, and seek guidance from, the appropriate person(s) in their organisation and take action to minimize those risks.

Researchers should be prepared to make research designs available to peer reviewers and journal editors when submitting research reports for publication.

Conflicts of interest

Researchers must recognize that conflicts of interest (i.e. personal or institutional considerations, including but not limited to financial matters) can inappropriately affect research. Conflicts of interest must be identified, declared and addressed in order to avoid poor practice in research or potential misconduct.

When addressing a conflict of interest, it must be decided whether it is of a type and severity that poses a risk of fatally compromising the validity or integrity of the research, in which case researchers should not proceed with the research, or whether it can be adequately addressed through declarations and/or special safeguards relating to the conduct and reporting of the research.

The Research Cell and IMI Bhubaneswar would be responsible for addressing conflicts of interest, as well as any external requirements relating to conflicts of interest, such as those of funding bodies. Area Chairs and other senior faculty members of IMI Bhubaneswar should make the

Research Cell aware of potential or actual conflicts of interest at the institutional level and disclose them when they arise so that they can be addressed.

Researchers should comply and disclose any conflicts of interest, as well as any external requirements relating to conflicts of interest, such as those of funding bodies. This should include declaring any potential or actual conflicts of interest relating to their research to, their manager or other appropriate person as identified by their organisation; any ethics committee which reviews their research; and when reporting their findings at meetings or in publications. Conflicts of interest should be disclosed as soon as researchers become aware of them. Researchers should agree to abide by any direction given by their organisation or any relevant ethics committee in relation to a conflict of interest.

Research involving human participants material or personal data.

Researchers should make sure that any research involving human participants, human material or personal data complies with all legal and ethical requirements and other applicable guidelines. Appropriate care should be taken when research projects involve: vulnerable groups, such as the very old, children or those with mental illness; and covert studies or other forms of research which do not involve full disclosure to participants. The dignity, rights, safety and wellbeing of participants must be the primary consideration in any research study. Research should be initiated and continued only if the anticipated benefits justify the risks involved.

When conducting, or collaborating in, research in other countries, researchers should comply with the legal and ethical requirements existing in the India and in the countries where the research is conducted.

Researchers should ensure the confidentiality and security of: personal data relating to human participants in research; and human material involved in research projects.

Researchers working with, for, or under any government or non-government agency (Indian or foreign) must adhere to all relevant guidelines of the agency along with guidelines of IMI Bhubaneswar. Researchers involved in clinical trials on medicinal products for human use should comply with relevant guidelines.

IMI Bhubaneswar would set up systems to ensure appropriate ethical, regulatory and peer review of research projects involving human participants, human material, or personal data. The systems should include mechanisms to ensure that such research projects have been approved by all applicable bodies, ethical, regulatory, or otherwise. It will also set up systems to ensure that appropriate procedures for obtaining informed consent are established and observed in projects involving human participants, having particular regard to the needs and capacity of the subjects involved and that confidentiality and security of personal data relating to human participants in research; and human material involved in research projects is maintained.

Researchers should submit research projects involving human participants, human material, or personal data for review by all relevant ethics committees and abide by the outcome of those reviews. They should also ensure that such research projects have been approved by all applicable bodies, ethical, regulatory, or otherwise. Researchers on projects involving human subjects must satisfy themselves that participants are enabled, by the provision of adequate accurate information in an appropriate form through suitable procedures, to give informed consent, having particular regard to the needs and capacities of vulnerable groups, such as the very old, children and those with mental illness. Researchers should inform research participants that data gathered during the course of research may be disseminated not only in a report but also in different forms for academic or other subsequent publications and meetings, albeit not in an identifiable form, unless previously agreed to, and subject to limitations imposed by legislation or any applicable bodies, ethical, regulatory or otherwise. Researchers who are members of a regulated profession must ensure that research involving human participants, human material or personal data complies with any standards set by the body regulating their profession.

Researchers have a duty to publish the findings of all clinical research involving human participants. In addition, it is government policy to promote public access to information about any research and research findings affecting health and social care, including the principle that trials should appear on public registers. In this context “trials” means all comparative studies of health interventions, not just ones conducted in a clinical setting.

If researchers consider that human participants in research are subject to unreasonable risk or harm, they must report their concerns to their manager, or other appropriate person as identified by their organisation, and, where required, to the appropriate regulatory authority. Similarly, concerns relating to the improper and/or unlicensed use or storage of human material, or the improper use or storage of personal data, should be reported.

Research involving animals.

Researchers should make sure that research involving animals adheres to all legal and ethical requirements and other applicable guidelines. ***They should consider the opportunities for reduction, replacement, and refinement of involving animals in research projects and should refer to the relevant guidance.*** Researchers should submit research projects involving animals for review by all relevant ethics committees and abide by the outcome of that review. They should also ensure that such research projects have been approved by all applicable bodies, ethical, regulatory or otherwise.

If researchers consider that animals involved in research are subject to unreasonable risk or harm, they must report their concerns to their research supervisors or other appropriate person as identified by their organisation, and, where required, to the appropriate regulatory authority.

Health and safety

Researchers should ensure that all research carried out under their auspices, or for which they are responsible, fulfils all requirements of health and safety legislation and good practice. They should bear in mind that certain types of research, for example social research in a conflict zone, can present particular issues of health and safety. They should ensure that all research which involves potentially hazardous or harmful material, or which might cause harm to the environment complies with all legal requirements and other applicable guidelines. Researchers should submit such research for all forms of appropriate review and abide by the outcome of that review.

Intellectual property

Researchers should ensure that any contracts or agreements relating to research include provision for ownership and use of intellectual property. Intellectual property includes, but is not limited to: research data and other findings of research; ideas, processes, software, hardware, apparatus and equipment; substances and materials; and artistic and literary works, including academic and scientific publications.

Researchers should not give prior disclosure of research or the findings of research when this might invalidate any commercial property rights that could result. Organisations and researchers should recognize, however, that the presumption should be that any intellectual property discovered or developed using public or charitable funds should be disseminated in order to have a beneficial effect on society at large. That presumption may be rebutted where there is an express restriction placed on any such dissemination. Any delay in publication and dissemination pending protection of intellectual property should be kept to a minimum.

Researchers should comply with any additional conditions relating to intellectual property required by funding bodies.

Researchers should try to anticipate any issues that might arise relating to intellectual property at the earliest opportunity and agree jointly in advance how they might be addressed, communicating any decisions to all members of the research team.

The above intellectual property rights would be only applicable to academic research relating to publishing of articles, books, monographs, or any other academic document. For research which is commercial in nature or is done in IMI Incubation Center, the first right of copyright would be with Board of Governors of IMI Bhubaneswar. IMI Bhubaneswar can decide to waive off this right on a case to case basis, depending on its assessment of commercial viability

Finance, Monitoring and Audit

Researchers should ensure that the terms and conditions of any grant or contract related to the research are adhered to.

IMI Bhubaneswar would issue guidelines regarding the purchasing or procurement of materials, equipment or other resources for research and the hiring of staff for research projects. These guidelines should include statements on the ownership of resources and the rights of researchers to use them. IMI Bhubaneswar would also set up procedures for the monitoring and audit of finances relating to research projects.

IMI Bhubaneswar would monitor and audit research projects to ensure that they are being carried out in accordance with good practice, legal and ethical requirements, and any other guidelines.

Researchers should cooperate with the monitoring and audit of their research projects by applicable bodies and undertake such when required. They should cooperate with any outcomes of the monitoring and audit of their research projects. If they become aware of a need for monitoring and audit where it is not already scheduled, they should report that need to the appropriate person(s).

Researchers should comply with IMI Bhubaneswar guidelines regarding the use and management of finances relating to research projects. They should cooperate with any monitoring and audit of finances relating to research projects and report any concerns or irregularities to the appropriate person(s) as soon as they become aware of them.

Collection and retention of data

Researchers should comply with all legal, ethical, funding body and organizational requirements for the collection, use and storage of data, especially personal data, where particular attention should be paid to the requirements of data protection legislation. They should also maintain confidentiality where undertakings have been made to third parties or to protect intellectual property rights. Researchers should ensure that research data relating to publications is available for discussion with other researchers, subject to any existing agreements on confidentiality.

Data should be kept intact for any legally specified period and otherwise for three years at least, subject to any legal, ethical or other requirements, from the end of the project. It should be kept in a form that would enable retrieval by a third party, subject to limitations imposed by legislation and general principles of confidentiality.

Researchers should comply with any subject specific requirements for the retention of data; for example, certain disciplines, such as health and biomedicine, may require research data to be retained for a considerably longer period.

If research data is to be deleted or destroyed, either because its agreed period of retention has expired or for legal or ethical reasons, it should be done so in accordance with all legal, ethical, requirements and with particular concern for confidentiality and security.

IMI Bhubaneswar would provide procedures, resources (including physical space) and administrative support to assist researchers in the accurate and efficient collection of data and its storage in a secure and accessible form.

Researchers should consider how data will be gathered, analysed and managed, and how and in what form relevant data will eventually be made available to others, at an early stage of the design of the project.

Researchers should collect data accurately, efficiently and according to the agreed design of the research project, and ensure that it is stored in a secure and accessible form.

Peer review

Researchers should be aware that peer review is an important part of good practice in: the publication and dissemination of research and research findings; the assessment of applications for research grants; and in the ethics review of research projects.

The Research Committee at IMI Bhubaneswar encourages faculty members and researchers to act as peer reviewers for meetings, journals and other publications, grant applications and ethics review of research proposals, and support those who do so. Faculty members acting as peer reviewers should recognize the obligations of peer reviewers to be thorough and objective in their work and to maintain confidentiality, and should not put pressure, directly or indirectly, on peer reviewers to breach these obligations.

Researchers who carry out peer review should do so to the highest standards of thoroughness and objectivity. They should follow the guidelines for peer review of any organisation for which they carry out such work. They should maintain confidentiality and not retain or copy any material under review without the express written permission of the organisation which requested the review. They should not make use of research designs or research findings from a paper under review without the express permission of the author(s) and should not allow others to do so. Researchers acting as peer reviewers must declare any relevant conflicts of interest.

While carrying out peer review, researchers may become aware of possible misconduct, such as plagiarism, fabrication or falsification, or have ethical concerns about the design or conduct of the research. In such cases they should inform, in confidence, an appropriate representative of

the organisation which requested the review, such as the editor of the relevant journal or chair of the relevant grants or ethics committee.

Publication and authorship

Researchers should accept their duty to publish and disseminate research in a manner that reports the research and all the findings of the research accurately and without selection that could be misleading.

IMI Bhubaneswar undertakes to ensure that sponsors and funders of research: respect the duty of researchers to publish their research and the findings of their research; do not discourage or suppress appropriate publication or dissemination; and do not attempt to influence the presentation or interpretation of findings inappropriately.

IMI Bhubaneswar undertakes to provide training and support to guide researchers in the publication and dissemination of research and the findings of research that involves confidential or proprietary information; issues relating to patents or intellectual property; findings with serious implications for public health; contractual or other legal obligations; and/or interest from the media or the general public.

Researchers should address issues relating to publication and authorship, especially the roles of all collaborators and contributors, at an early stage of the design of a project, recognizing that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research. Decisions on publication and authorship should be agreed jointly and communicated to all members of the research team.

Authorship should be restricted to those contributors and collaborators who have made a significant intellectual or practical contribution to the work. No person who fulfils the criteria for authorship should be excluded from the submitted work. Authorship should not be allocated to honorary or “guest” authors (i.e. those that do not fulfil criteria of authorship). Researchers should be aware that anyone listed as an author of any work should be prepared to take public responsibility for that work and ensure its accuracy, and be able to identify their contribution to the published work.

Researchers should list the work of all contributors who do not meet the criteria for authorship in an acknowledgements section. All funders and sponsors of research should be clearly acknowledged, and any competing interests listed.

Researchers must clearly acknowledge all sources used in their research and seek permission from any individuals if a significant amount of their work has been used in the publication.

Researchers must adhere to any conditions set by funding or other bodies regarding the publication of their research and its findings in open access repositories within a set period.

Researchers should declare any potential or actual conflicts of interest in relation to their research when reporting their findings at meetings or in publications.

Researchers should be aware that submitting research reports to more than one potential publisher at any given time (i.e. duplicate submission) or publishing findings in more than one publication without disclosure and appropriate acknowledgement of any previous publications (i.e. duplicate publication) is unacceptable.

Researchers who are discouraged from publishing and disseminating their research or its findings or subjected to attempts to influence the presentation or interpretation of findings inappropriately, should discuss this with the appropriate person(s) in their organisation so that the matter can be resolved.

Misconduct in research

IMI Bhubaneswar defines misconduct in research as including, but not limited to:

- Fabrication;
- Falsification;
- Misrepresentation of data and/or interests and/or involvement;
- Plagiarism
- Failures to follow accepted procedures
- avoiding unreasonable risk or harm to humans / animals / the environment
- the improper handling of information on individuals collected during the research.

The Research Cell at IMI Bhubaneswar would establish and publicize procedures to investigate allegations of misconduct in research and ensure that any such allegations are investigated thoroughly and fairly and in a timely manner.

IMI Bhubaneswar will identify and make known one or more faculty member who have responsibility for investigating allegations of misconduct in research and whom researchers and external organisations, such as journals, can contact any concerns about the conduct of research. They should make sure that staff who investigate allegations have the necessary training, resources and support to fulfil the requirements of the role.

Researcher at IMI Bhubaneswar (including Faculty and Research Scholars) should clearly understand that any misconduct in research is unacceptable and should be reported; that researchers who are found to have committed misconduct in research will be subject to disciplinary proceedings; and that where researchers are members of a regulated profession, cases of serious misconduct in research will be referred to the body regulating their profession.

IMI Bhubaneswar would also undertake to support any researcher who are found not to have committed misconduct will be supported and appropriate steps taken to restore their reputation and that of any relevant research project(s).

IMI Bhubaneswar undertakes to support those who raise concerns about the conduct of research in good faith and not penalize them. This support should be in accordance with the organization's policy on raising concerns or "whistle blowing".

Researchers should know what constitutes misconduct in research and report any suspected misconduct through the relevant procedure of the organisation as soon as they become aware of it. They should recognize that good practice in research includes reporting concerns about the conduct of research and should cooperate with any investigation of misconduct in research when requested. Researchers should work with their institution to support those who raise concerns in good faith about the conduct of research and those who have been exonerated of suspected misconduct.