Code of Conduct

Center for Health Innovation, Research, Action, and Learning – Bangladesh (CHIRAL Bangladesh)

1. Basic Guiding Principles

1.1. Introduction

Center for Health Innovation, Research, Action, and Learning - Bangladesh (CHIRAL Bangladesh) is a voluntary non-profit organization that promotes interdisciplinary research in health data science, computational biology, and genomics.

1.2. Mission

Solving public health problems and improving quality of life through modern biomedical research.

1.3. Vision

To establish an internationally recognized multidisciplinary research platform.

1.4. Purpose of the Code

The CHIRAL Bangladesh Code of Conduct, also known as "the Code," outlines the essential values and principles that guide how CHIRAL Staff and Associated Personnel should behave at work. It establishes standards for professional conduct and expects everyone to follow these standards. The Code defines specific responsibilities that should always be fulfilled and ensure everyone takes responsibility for any mistakes or shortcomings.

The Code helps CHIRAL Bangladesh make good choices when there are challenging **ethical** problems and tells everyone how to behave and work together. The Code is more important than any older documents unless the Code itself says otherwise.

2. Scope

This Code of Conduct applies to everyone who works for CHIRAL Bangladesh, including all staff members and associated personnel. It applies all the time, even outside of working hours. In this Code, "staff" refers to all types of CHIRAL Bangladesh staff, including those on different types of contracts or assignments. "Associated personnel" refers to anyone who collaborates or works with CHIRAL Bangladesh, such as suppliers, consultants, interns, and partners. This Code applies to everyone, regardless of gender, sexual orientation, level, job role, seniority, status, or any other protected characteristics, irrespective of location. Whether you have signed the Code or not, it will be considered a crucial part of your contract or terms of engagement with CHIRAL Bangladesh. All staff members and associated personnel are responsible for reading, understanding, signing, and following the Code. If anyone violates the Code, disciplinary actions will be taken according to CHIRAL Bangladesh's Human Resources Policies and Procedures Manual.

2.1. Core Values

CHIRAL Bangladesh considers its Core Values as essential guidelines for all associated personnel. These values set the standards for everyone working for CHIRAL Bangladesh and play a crucial role in achieving the organization's mission and vision. It is expected that CHIRAL Bangladesh staff and associated personnel not only adhere to the laws and regulations applicable to their work but also actively contribute to creating a culture of professional ethics and compliance based on the organization's Core Values. These Core Values guide the collective behavior and actions of all individuals involved with CHIRAL Bangladesh.

CHIRAL Bangladesh Core Values:

- ✓ **Quality**

CHIRAL Bangladesh is dedicated to attaining excellence in every aspect of its work. This entails aiming for the best possible outcomes and continuously enhancing processes, programs, and services to ensure the highest quality.

- ✓ **Integrity**

CHIRAL Bangladesh values integrity in all aspects of its operations. This means honesty, transparency, and ethics in all dealings with stakeholders, including employees, partners, and beneficiaries.

- ✓ **Collaboration**

CHIRAL Bangladesh understands the importance of collaboration and partnership in fulfilling its mission. This involves nurturing solid relationships with stakeholders and collaborating with them to find solutions to complex challenges.

CHIRAL Bangladesh Staff and Associated Personnel are expected to demonstrate the organizational Core Values in their professional conduct and behavior. Detailed guidance on how to apply and embrace these values is provided in "The Code of Ethics and Standards of Professional Behavior."

3. Basic Obligations

1. Staff and Associated Personnel will comply with applicable laws, rules, and regulations, including all the rules, procedures, policies, and guidelines adopted by CHIRAL Bangladesh, including those laid down in the Code of Ethics and Standards of Professional Behavior.
2. Staff and Associated Personnel will understand that they are subject to the authority of the Executive Director and ultimately accountable to the Executive Director in the exercise of their functions.
3. Staff and Associated Personnel will act in a manner that is commensurate with the functioning of a public servant within the meaning of Section 16 of Ordinance no—LI of 1978.
4. Staff and Associated Personnel will recognize the immunities and privileges attached to CHIRAL Bangladesh under Section 22 of Ordinance No. LI of 1978 are conferred in the interests of CHIRAL Bangladesh. These privileges and immunities provide no excuse for the non-performance of their obligations or failure to observe laws and policy regulations. Whether to waive any of the benefits or the exemptions of the staff, in any case, will rest with the Executive Director of CHIRAL Bangladesh.
5. Staff and Associated Personnel will conduct themselves at all times in a manner compatible with their

status as employees of CHIRAL Bangladesh, considering the international character of the organization. While they are not expected to give up their national sentiments or political and religious convictions, they will always bear in mind the reserve and tact incumbent upon them because of their status.

6. Staff and Associated Personnel will exercise utmost discretion, protect the information entrusted to or generated by them, and treat any documents or information (in oral, paper, or electronic Form) received in the context of their duties with due confidentiality.
7. Staff and Associated Personnel will not communicate to any person any information not made publicly known to them under their official position unless required during their duties or with explicit permission from the appropriate authority of CHIRAL Bangladesh. They will acknowledge that these obligations do not cease to exist upon separation from service.
8. Staff and Associated Personnel will not accept, hold, or engage in any office or occupation incompatible with adequately discharging their duties with CHIRAL Bangladesh.
9. Staff and Associated Personnel will not seek nor accept instructions from any government or any other external authority nor attempt to sway any decisions made within CHIRAL Bangladesh through external influence.
10. Staff and Associated Personnel should refrain from engaging in political dialogue. While they are not expected to give up their sentiments or their political or religious convictions, they will not partake in public pronouncements that may negatively reflect upon CHIRAL Bangladesh and its ability to carry out its mission statement.
11. Staff and Associated Personnel will resign from their duties if they become a candidate for public office in a political capacity.

4. Protection

CHIRAL Bangladesh promises to create a safe and secure workplace for all its staff, associated personnel, and beneficiaries. Everyone has the right to live without experiencing harm, neglect, harassment, exploitation, or abuse, including sexual harassment and misconduct.

To ensure the well-being and protection of all individuals, CHIRAL Bangladesh follows fundamental safeguarding principles such as zero-tolerance for harm, accountability, maintaining confidentiality, ensuring due process, prohibiting retaliation, prevention of misconduct, and sensitivity towards harassment. These principles are detailed in the Safeguarding Policy. All CHIRAL Bangladesh staff and associated personnel are responsible for adhering to the relevant laws and regulations set by the Government of Bangladesh. Additionally, they must comply with CHIRAL Bangladesh policies related to safeguarding, including the Child Protection Policy, Sexual Harassment Policy, and Whistleblower Policy.

4.1. Protection of Children and Vulnerable Adults

CHIRAL Bangladesh will prioritize the safety and protection of children and vulnerable adults involved in or affected by CHIRAL Bangladesh's research, clinical services, or other activities. It is the responsibility of all CHIRAL Bangladesh staff and associated personnel to refrain from engaging in any sexual activity, abuse, exploitation, or any form of mistreatment toward children or vulnerable adults. This includes not subjecting them to physical, emotional, or psychological harm. All staff and associated personnel must adhere to the relevant guidelines outlined in the CHIRAL Bangladesh Safeguarding Policy.

4.2. Prevention of Sexual Harassment

CHIRAL Bangladesh strongly condemns sexual harassment in the workplace and maintains a strict zero-tolerance policy. To address and handle cases of sexual harassment, a dedicated policy has been developed. All CHIRAL Bangladesh staff and associated personnel are responsible for preventing sexual harassment and must comply with the guidelines outlined in the Sexual Harassment Policy.

4.3. Prevention of Sexual Exploitation and Abuse

It is essential to understand that sexual exploitation and abuse are distinct from sexual harassment, and both are severe violations of human rights and personal freedom. CHIRAL Bangladesh has included specific measures within the Safeguarding Policy to prevent sexual exploitation and abuse effectively. All CHIRAL Bangladesh staff and associated personnel are responsible for familiarizing themselves with these provisions and taking necessary steps to prevent sexual exploitation and abuse.

5. Whistleblowing

All CHIRAL Bangladesh staff and associated personnel are responsible for reporting any wrongdoing or unethical behavior in the organization's best interest. They should speak up (blow the whistle) in good faith when concerned about malpractice. CHIRAL Bangladesh has a Whistleblower Policy outlining the reporting process, who should be contacted, and the protections offered to whistleblowers. This policy ensures transparency, integrity, and accountability within the organization.

5.1. Reporting Obligations

Suppose any staff or associated personnel have a reasonable and good-faith belief that there has been a violation of professional duties, including illegal activities, prohibited conduct, or breaches of CHIRAL Bangladesh's regulations, rules, policies, or guidelines, including the Code. In that case, they must promptly report the relevant information through the reporting channels specified in the Whistleblower Policy. This may involve conveying to the Director of Human Resources for further inquiry or investigation, depending on the nature of the breach, using the internal reporting process.

5.2. Duty to Cooperate in an Investigation

CHIRAL Bangladesh expects its staff and associated personnel to fully cooperate and provide accurate and complete information during internal inquiries, investigations, and audits.

6. Internal Relations

6.1. General principles to be adhered to when working with colleagues

CHIRAL Bangladesh promotes positive working relationships based on loyalty and trust. Regardless of their position, colleagues should treat each other with cooperation, respect, courtesy, and fairness, without discrimination. CHIRAL Bangladesh encourages staff and associated personnel to work cooperatively and respectfully, considering personal qualities and professional abilities. It is important to act reasonably and honestly and avoid causing harm to colleagues or the organization's functioning. Dissemination of offensive statements, violating the privacy or reputation of colleagues, making unfounded accusations, spreading misinformation, refusing to collaborate, or engaging in obstructive or abusive behaviors is strictly prohibited.

CHIRAL Bangladesh is committed to providing a workplace free from violence or threats.

6.2. The behavior of Managers and Supervisors/PIs

Managers and supervisors/PIs must act consistently as role models by demonstrating behavior that reflects the standards promoted by the Code and sets the tone at the top. To achieve this goal, managers and supervisors/PIs should, in their behavior:

1. Provide clear instructions to their reporting Staff regarding their duties and honest, constructive feedback free from bias.
2. Live up to the expected standards of integrity and lead by example; actively behave ethically and ensure that internal rules, policies, and procedures are applied consistently and objectively.
3. Where possible, address workplace situations that, if not properly handled, could escalate to breaches of the Code or infringement of other rules.
4. Hold their reporting staff accountable for following the Code and its core values.
5. Support staff who raise a breach of professional duty concern, i.e., respond effectively and quickly to any problems that colleagues raise and take prompt action when any breach of professional duties is uncovered.
6. Never take or allow any retaliatory action, in particular against a colleague who has reported, in good faith, suspected breaches of professional duties.
7. Refrain from conduct that could be considered an abuse of their position, influence, or favoritism.
8. Not require their reporting staff to carry out non-business-related tasks.

6.3. Behavior Towards Managers and Supervisors/PIs

Staff and Associated Personnel will respect the authority of their managers and supervisors/PIs and carry out faithfully the tasks assigned to them, provided that these are compatible with their duties. They are welcome to offer suggestions and constructive criticism.

6.4. Dignity at Work

CHIRAL Bangladesh strictly prohibits all types of harassment, including psychological harassment, sexual harassment, sexual blackmail, and bullying. These behaviors are considered unacceptable and are not tolerated within the organization.

6.5. Lending Assistance

If staff and associated personnel witness any form of harassment or behavior that can be classified as harassment, they should support the victim. Staff members who knowingly prevent or contribute to preventing victims from speaking up or discrediting them are not fulfilling their professional responsibilities.

6.6. Non-Retaliation

CHIRAL Bangladesh strictly prohibits retaliation against individuals who report wrongdoings in good faith. The organization has a Whistleblower Policy that outlines specific guidelines to ensure the protection of whistleblowers, as stated in the HR Manual.

7. External Relations

7.1. Good Administrative Behavior Toward the Public

CHIRAL Bangladesh expects its staff and associated personnel to follow the Code of Administrative Behavior when engaging with stakeholders professionally. They should maintain exemplary conduct in all their interactions with external parties. Interactions with stakeholders should be characterized by courtesy, fairness, equal treatment, non-discrimination, and loyalty toward the organization. It is essential to avoid misusing their authority and refrain from any actions or behaviors that could negatively impact their position or the reputation of CHIRAL Bangladesh.

7.2. Protection of CHIRAL Bangladesh's Reputation

Staff and associated personnel have a crucial role in safeguarding the reputation of CHIRAL Bangladesh both within and outside the workplace. They are responsible for carrying out their job duties professionally, adhering to high honesty, ethics, and integrity standards. They uphold the organization's reputation in all aspects of their work and personal conduct.

7.3. Gifts, Favors, and Benefits

Staff and associated personnel are prohibited from seeking, receiving, or accepting any gift, favor, entertainment, award, or advantage related to their employment with CHIRAL Bangladesh. This includes both tangible and intangible benefits, whether they are offered directly or indirectly. Such actions could be seen as attempts to influence their decisions or actions and are strictly forbidden.

It is crucial for staff and associated personnel to actively discourage the offer of gifts, except for little gifts. Nominal gifts are typically token gestures with a value not exceeding $50. They should inform individuals who intend to offer them any advantage about this obligation and clarify that they cannot accept such gifts.

7.4. External Communication and Public Engagement in Professional Capacity

External communication, which includes various forms of written and spoken communication in print, online, broadcast, social media, and similar channels, should adhere to specific guidelines.

Staff and associated personnel must ensure that their contact is accurate, cautious, and conducted with appropriate language and behavior. Loyalty to CHIRAL Bangladesh should be maintained, and they should avoid taking any stance or expressing views that could damage the organization's reputation.

Speaking on behalf of CHIRAL Bangladesh requires explicit authorization, and significant media engagements or activities need prior approval from management. Public meetings, such as presentations, speeches, or articles, should be differentiated between representing CHIRAL Bangladesh, addressing topics related to one's role, and engaging in transparent external activities.

7.5. Social Media Policy

Social media plays a significant role in our lives and offers innovative communication. When used appropriately, it can contribute to building solid relationships with CHIRAL Bangladesh stakeholders. Staff and associated personnel can use social media through their accounts. However, they must adhere to relevant internal rules and guidelines. They need to exercise caution, use good judgment, and behave in a manner that aligns with the core values of CHIRAL Bangladesh. On personal social media accounts, they

should clarify that their views do not represent CHIRAL Bangladesh. They are responsible for ensuring that their social media activities do not bring shame to CHIRAL Bangladesh. They should also follow the CHIRAL Bangladesh Guidelines on the Personal Use of Social Media.

7.6. Outside Professional Activities

CHIRAL Bangladesh understands that Staff and Associated Personnel may engage in professional activities outside their role at CHIRAL Bangladesh, known as "Outside Activities." These activities can include teaching, research, or other relevant pursuits, especially if they align with the subjects covered in their work at CHIRAL Bangladesh and comply with the HR Manual.

It is crucial to carefully assess these outside professional activities to ensure they are compatible with their professional responsibilities, avoid conflicts of interest, maintain the confidentiality of CHIRAL Bangladesh's information, and safeguard the organization's reputation and interests. As a general practice, staff members should disclose any conflicts of interest as and when necessary.

7.7. Avoidance of Conflicts of Interest

CHIRAL Bangladesh expects its Staff and Associated Personnel to act in a manner that avoids conflicts of interest with their professional responsibilities. Conflicts of interest refer to situations where personal interests or relationships may interfere with their duties at CHIRAL Bangladesh. Detailed information about conflicts of interest is provided in the following section.

8. Research Code-Specific Requirements

The CHIRAL Research Code is underpinned by the "BMRC Code for the Responsible Conduct of Research. A Principles and Practices to encourage responsible research conduct," which helps guide the responsible conduct of research in Bangladesh. The CHIRAL Research Code also considers CHIRAL's institutional Code of Conduct requirements and those of its close affiliated partners and funding bodies, as deemed appropriate.

The CHIRAL Research Code identifies the following specific requirements for staff engaged in the conduct of research at CHIRAL:

1. Primary Materials and Research Data
2. Publication and Authorship
3. Supervision of Students Undertaking Research
4. Collaborative Research
5. Conflict of Interest
6. Breaches of the CHIRAL Research Code, Research Misconduct and Allegations
7. Intellectual Property
8. Requisite Approval and Licenses for Research

It is a requirement that CHIRAL Staff engaged in the conduct of research familiarise themselves with the CHIRAL Research Code and ensure that its provisions are adhered to. The CHIRAL Research Code for Research document contains more detailed policies and guidelines for the abovementioned requirements.

8.1. Advice

Where a researcher or any staff member of CHIRAL is in doubt as to the applicability of the provisions of the

WH Research Code or the course of action that should be taken concerning it, advice should be sought from the Director of Research (DR), Office for Research or Research Program Director. Such advice should be provided in confidence.

Suppose there is doubt about any aspect of an employee's conduct. In that case, the detailed CHIRAL policies and procedures can be consulted, or the matter can be referred to the DR for advice in the first instance if the Head of the Unit or Department is not the appropriate or preferred option. Breaches of the Code must be reported and will be investigated. Subject to any findings, this may entail disciplinary action.

8.2. Research Governance

All CHIRAL research must be conducted per the CHIRAL Research Authority and Governance procedures established to afford CHIRAL research governance oversight and, where applicable, Good Clinical Practice (GCP) compliance. These documents and designs are available on CHIRAL inter and intranet, and all required documents are available for download. The WH Research Governance Officer is available for further guidance and assistance with these and other governance matters.

Researchers must ensure their research has received the necessary ethics and governance approvals before commencing their project. Failure to do so will breach the CHIRAL Research Code and other institutional, legislative, and statutory requirements.

8.3. Definitions

National Statement	The National Statement on Ethical Conduct in Human Research (National Statement) consists of a series of Guidelines made following the BMRC Act 1992 (the Act)
CHIRAL Bangladesh	The institution that has created and is responsible for this Code.
CHIRAL Code of Conduct	Code of Conduct for Researchers on CHIRAL Campus.
CHIRAL Honorary Appointments	The process by which honorary appointments will be made and processed.
CHIRAL Reporting of Professional Misconduct	The process by which professional misconduct will be reported and managed at Western Health
CHIRAL Disciplinary procedure	Procedure defining how disciplinary action will be managed once misconduct is confirmed.
CHIRAL Intellectual Property and Moral Rights	How the invention or creation of intellectual property will be managed for research conducted by CHIRAL Staff

9. Management of Primary Materials and Research Data

9.1. Introduction

The responsible conduct of research requires researchers to act in a manner that demonstrates honesty and integrity. This includes proper management and retention of the research data. This policy aims to assist researchers in fulfilling their responsibilities concerning storing and retaining data and records associated

with and arising from their research activities. The procedure requires that durable records are CHIRAL Research Code of Conduct 2022 included from research practices to justify and defend the research outcomes if they are challenged.

CHIRAL asserts ownership of all research materials and data generated by researchers during their duties at CHIRAL, notwithstanding separate arrangements made as part of a contract of employment, Research Collaboration Agreement(s), or other Intellectual Property Agreements. Where research undertaken by staff involves an invention or creation, staff should familiarise themselves with the CHIRAL Intellectual Property and Moral Rights policy. This policy clearly defines how intellectual property ownership and distribution will be managed.

9.2. Scope

This policy applies to all CHIRAL employees and related staff for managing primary materials and research data generated due to their CHIRAL research duties or while acting on behalf of CHIRAL.

Employees, students, and honorary affiliates of CHIRAL's academic partners will need to adhere to their institutional policy on how primary materials and research data are to be managed for research conducted on behalf of their institution, with due consideration to any background or other intellectual property and resources that WH may have contributed as part of a collaborative project. A collaborative agreement or equivalent document should deal with such matters.

9.3. Procedure

9.3.1. General

1. Data and records must be clear, accurate, complete, and in sufficient detail to enable validation of research results.
2. Data, including electronic data, should be retained in a durable, indexed, and retrievable form.
3. Where permissible, research data should be made available by other researchers or as appendices to publications unless legislative, ethical, privacy, or confidentiality considerations prevent this.
4. Researchers given access to confidential information must maintain that confidentiality. Confidential information can only be used in ways agreed with those who provided it or as required by law. Particular care must be taken when discussing this data.
5. Non-clinical research data must be retained for a minimum of 5 years post the date of any related publication, or longer if the data possess further result discussion potential, regulatory or sponsor requirements, or if the data has historical or archival value.
6. Clinical data must be retained for seven years after the last time a health service was provided to the individual by the provider.
7. Researchers must be aware of confidentiality restrictions and any relevant agreements that affect access to or disclosure of and report any confidentiality breach to the department head.

9.3.2. Electronic Documents and Data

1. Researchers should carefully consider how their research data and records' quality, safety, and integrity can be achieved. It may be essential to have audit trails or other physical, logical, or procedural security measures in place to ensure the integrity and trustworthiness of the records and data generated.

2. Researchers will store electronic documents and data on a designated network drive on WH servers or other appropriate platforms to ensure the data's protection and integrity.
3. Research data and related documents should be backed up at regular intervals so that documents and data can be retrieved from the backed-up copies should the need arise. Research documents or data must not be stored on local drives/desktops or removable storage devices other than on an immediate basis (e.g., working offline on a file or document after hours or while out of the office). The latest version of the amended file or paper must be saved to the relevant network drive immediately.
4. Creating, managing, and using information from research databases is the responsibility of the research units and needs to be resourced through funds held by research units.
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9.4. Clinical Trials

When using electronic trial data handling and/or remote electronic data systems, the sponsor should:

1. Ensure and document that the data processing system(s) conforms to the sponsor's established requirements for completeness, accuracy, reliability and consistent intended performance (i.e. validation).
2. Maintains SOPs for using these systems.
3. Ensure that the systems are designed to permit data changes in such a way that the data changes are documented and that there is no deletion of entered data (i.e. maintain audit trail, data trail, edit trail).
4. Maintain a security system that prevents unauthorized access to the data.
5. Maintain a list of individuals who are authorized to make data changes.
6. Maintain adequate backup of the data
7. Safeguard the blinding, if any (e.g. maintain the blinding during data entry and processing).

All CHIRAL researchers are encouraged to discuss their proposed research endeavors with the CHIRAL Office for Research to gain assistance.

Researchers conducting clinical research involving humans should ensure that they have completed an accredited Good Clinical Practice (GCP) course in the last three years before assuming the role of a Principal Investigator on a clinical trial.

Principal investigators (PI) on a clinical trial at CHIRAL must have practicing rights at CHIRAL and be in a position to be able to adequately fulfill their PI responsibilities in the conduct and management of the trial, trial staff, and trial participants following GCP requirements.

9.5. Retention of Records

Researchers will at all times comply with the legal requirements for retention of records. Minimum retention durations are as follows:

Research Output	Minimum retention period for original research data

Journal publication	Five (5) years from the date of latest publication
PHD Thesis	12 months (1) years from the date of publication
Master Thesis	12 months (1) years from the date of publication
Undergraduate Thesis	12 months (1) years from the date of publication
Clinical trial	Fifteen (15) years from the termination of the study or as otherwise defined by the Statute of Limitations or requested by sponsor, whichever is the longest.
Clinical Trial with Children	Data must be kept for at least 25 years after the completion of a clinical trial
Patent	Twenty (20) years
Gene therapy (patient records)	Permanent

9.6. Destruction

Researchers must give due consideration when destroying data that the destruction of the data will not compromise or violate any legislative or statutory requirements or minimize the potential for future research. The destruction of research data and records should be authorized by the Head of the Department or DR on the researcher's recommendation. Due care must be taken to ensure privacy when destroying research records.

9.7. Laboratory Notebooks

CHIRAL does not directly undertake basic research that necessitates its researchers' establishment of laboratory notebooks. However, several of its onsite academic partners occupy laboratory space within the WCHRE and conduct research that would require creating and maintaining a laboratory notebook. Researchers involved in laboratory-based research should adhere to their institution's policy and procedures that govern creating, maintaining, and archiving laboratory notebooks. In the instance where a CHIRAL researcher's project does necessitate the creation of a laboratory notebook, the researcher should seek the guidance of CHIRAL concerning the design, maintenance, and archiving of the laboratory notebook or any of the other academic partners with whom they may have an affiliation.

10. Publication and Authorship

Dissemination of research results is typically through academic journals and books. The Australian Code refers to all forms of dissemination, including non-refereed publications such as webpages and other media such as exhibitions, film, and professional and international repositories. This CHIRAL Research Code intends to cover the publication and authorship breadth as defined by the Nature Springer Code.

10.1. Aim

i. To ensure CHIRAL's compliance with the Australian Code for the Responsible Conduct of Research regarding publication, dissemination of research findings, and authorship.
ii. To provide guidelines on criteria determining what contribution level should be recognized through authorship on a scientific paper.
iii. To establish lines of responsibility of authors and procedures to follow pre-submission and post-journal acceptance of a publication

10.2. Scope

This policy is intended for research initiated and conducted by CHIRAL and its Staff. Collaborative research will be subject to the research project administering the institute's publication and authorship policy, which should ideally align with the terms Nature Springer sets.

This policy applies to all CHIRAL associate personnel and other related staff for the publication and authorship of research data generated as a result of a CHIRAL-led collaboration, carrying out their CHIRAL research duties, or while acting on behalf of CHIRAL.

Employees, students, and honorary affiliates of CHIRAL's academic partners must adhere to their institutional policy regarding how publication and authorship are to be managed for research conducted on behalf of their respective institutions.

10.3. Procedure

10.3.1. Publication and dissemination of research findings

CHIRAL is responsible for ensuring that findings and advances in knowledge from publicly funded research are disseminated to other researchers and the wider community, subject to relevant restrictions on the publication of results where intellectual property needs to be protected, as outlined in the CHIRAL Intellectual Property Policy.

The following principles apply to the publication of research findings:

i. Researchers must ensure that their research findings are accurate and are reported in a complete, correct, and unambiguous manner.
ii. Negative results should be reported where possible.
iii. Potential conflicts of interest must be disclosed following the WH Conflict of Interest Policy.
iv. The same data set or subset may not be published more than once, except where due reference is made.
v. Cite the work of other authors fully and accurately.
vi. Clinical trials should be registered with a recognized register to promote access to information about clinical trials.

CHIRAL must oversee confidentiality agreements to protect intellectual property rights between CHIRAL, the researcher, and the research sponsor. CHIRAL will work with researchers and the sponsor to ensure that where such agreements limit free publication and discussion, an approved process is instigated to ensure that limitations and restrictions are explicitly agreed upon. Researchers must submit all confidentiality agreements to the Office of Research for review and approval before signing them.

CHIRAL is committed to ensuring that research sponsors understand the nature of academic freedom and that sponsors do not discourage the publication or the dissemination of research findings for longer than the minimum time required.

Researchers must take great care when reporting research findings to the media, and such results would be preferable to be subjected to peer review before reporting. The status of research findings, whether

preliminary, complete, peer-reviewed, or otherwise, must be explicitly disclosed. The CHIRAL Public Affairs unit may assist with communicating research findings through the media and to the broader community through various channels (print and online, including social media) if it is deemed that the project warrants wider dissemination and publicity.

10.3.2. Authorship criteria

Attribution of authorship as defined by the International Committee of Medical Journal Editors (ICMJE) Statement of Authorship is based on substantial contributions to:

i. Conception and design of the research described in the manuscript.
ii. Collection, analysis, and interpretation of the research data.
iii. Drafting of the manuscript describing significant parts of the work or critical revision to contribute to its interpretation.

Contributions to at least one of these three criteria are required to qualify as an author.

The right to authorship is not tied to either position or profession and does not depend on whether the contribution was paid or voluntary. A researcher's name would not normally warrant inclusion as an author in situations where their participation is related solely to the acquisition of data, the addition of funding, or where their role in the research is related only to general overall supervision.

10.3.3. Collaborators

Collaborators should discuss authorship as soon as it becomes apparent that the data obtained may be suitable for publication and the preparation of a manuscript is discussed. It is recommended the person drafting the manuscript list all authors first and discuss the order of authors at a later stage.

10.3.4. Confirmation of authors

As listed in section 3.3.2 above, all persons who make substantial contributions should be offered authorship. They then need to accept this offer and contribute as above to qualify for inclusion as an author at the time of submission. Persons who do not make substantial contributions should not be offered authorship, and it may be appropriate to include them in acknowledgments. WH views inclusion favorably, but authorship must be justified regarding contribution to the work and compliance with the Australian Code.

CHIRAL recommends that a list of authors should be agreed upon first, using the above criteria. Agreement on the order of authors would be a subsequent step. Often the first author will be the person who has had day-to-day responsibility for the strategic development of the research, problem-solving, and writing the results section of the manuscript. The last author will often be more senior; perhaps a unit or department head that has outlined the project's strategic direction and was responsible for the manuscript's introduction and conclusion sections.

10.3.5. Corresponding author

One of the authors is appointed "corresponding author" and is responsible for recording all authors' names and each's role concerning the manuscript. Details of anyone offered authorship but declined must be registered in writing, and the corresponding author retains this record.

i. All authors must have the opportunity to read the final manuscript before submission and sign

the record indicating that they have had this opportunity and agree to the submission.

ii. Noncompliance with this step means that the individual will be excluded from authorship. The corresponding author is required to complete an Author Certification form with every manuscript submission

iii. The corresponding author must retain the Journal author sign-off sheets and a copy of the manuscript.

10.3.6. Multi-center trials

The ICMJE authorship and contributorship guidelines (referenced above) set out that multi-center trials are increasingly being attributed to a group. All members of the group who are named as authors should fully meet the criteria for authorship/contributorship.

The group should jointly make decisions about contributors/authors before submitting the manuscript for publication. The corresponding author needs to be prepared to explain the presence and order of these individuals.

10.3.7. Author disputes

The ICMJE authorship and contributorship guidelines (referenced above) set out that multi-center trials are increasingly being attributed to a group. All members of the group who are named as authors should fully meet the criteria for authorship/contributorship. The group should jointly make decisions about contributors/authors before submitting the manuscript for publication. The corresponding author needs to be prepared to explain the presence and order of these individuals.

If there are persistent serious disagreements concerning the authorship of any paper, any of those involved have the right to appeal to the DR (arbitrator), who can meet with all of those involved and offer arbitration. If the researchers involved are not able to resolve the matter, the WH Director of Research can decide the matter and need not take into account input from any member who is personally involved. Where conflicts of interest Western Health Research Code of Conduct 2018 14 require the member of the research directorate to withdraw from the decision, the Research Program Director, suitable academic Chair or appropriate member of the WH Low Risk Ethics Panel (LREP) may be called on to help resolve the impasse.

10.3.8. Acknowledgement of funding bodies

It is a condition of receipt of research funding that the funding source be acknowledged in any resulting publication. Most funding bodies have very specific wording requirements for attribution of funding sources and the grant recipient should ensure that they familiarise themselves with these requirements.

Researchers must ensure that others who have made substantial contributions to the research and those individuals and organizations who have provided facilities or materials are also appropriately acknowledged. The names of the sponsors of research must be disclosed.

10.3.9. Attribution of collaborating institutions

Attribution of affiliations or honorary appointments should be listed as outlined by the collaborating institution which usually has a specified wording.

10.4. Steps for authors

10.4.1. Manuscript submission

i. Agree on publication type and journal
ii. Confirm contribution to manuscript satisfies CHIRAL Authorship criteria.
iii. If criteria are not met consider acknowledgement of contribution
iv. If authorship is not preferred, refuse authorship in writing to the corresponding author.
v. Those offered authorship must accept or decline in writing
vi. The executive or senior author must maintain signed acknowledgments of authorship for all publications.
vii. Index all data relevant to the publication and ensure it is stored securely and easily retrievable
viii. Review author responsibilities with respect to the journal to which the manuscript will be submitted
ix. Review and comment on the manuscript when received from the corresponding author
x. Complete and sign author declaration form if required by the journal and return to the corresponding author

10.5. Additional steps for corresponding authors

10.5.1. Manuscript submission

i. Assign order of authors
ii. Circulate manuscript to all authors for review and comment
iii. Review and discuss colleagues' comments
iv. Circulate final version of manuscript to all authors for comment
v. Collect author sign off forms if required by the journal vi. Send the original author sign off sheet(s) to the Journal

10.5.2. Acceptance of a manuscript for publication

i. Inform all authors of publication details
ii. Update CV and notify CHIRAL Office for Research by emailing CHIRAL Research

10.6. Intellectual Property

Ownership of intellectual property for research which may be initiated by Western Health, or conducted in collaboration with other research organizations or which is commercially sponsored, should be clearly defined by a Research Agreement that sets out the terms on Intellectual Property and how it will be allocated between the various parties engaged in the conduct of the research.

All researchers engaged in research on behalf of Western Health should familiarise themselves with the Intellectual Property and Moral Rights policy: P-RE2.1 CHIRAL researchers that are initiating research that involves other research organizations should use the CHIRAL Collaborative Research Agreement that clearly sets out the terms of the collaboration between the various entities.

Where a CHIRAL researcher is being asked to collaborate on a research project, the sponsor of the research may provide the Research Agreement. It is advisable that all non WH standard approved agreements be reviewed and authorized by the Office for Research prior to them being executed. Depending on the complexity of the Agreements, they may be sent to WH legal for further review.

CHIRAL Approved Agreements

i. CHIRAL Collaborative Agreement
ii. Medicines Australia standard CTRAs

All commercially sponsored clinical trials should be conducted using the approved standard Clinical Trial Agreements which can be downloaded from the Medicines Australia website. Medicines Australia Clinical Trial Agreement

The type of Agreement to be used will be dependent on the type of trial being conducted. These standard Agreements has been pre-approved by the DHHS and provide IP terms which are acceptable to Western Health. Any amendments are made through either Schedule 7 or 4. The DHHS has pre-approved schedule 7 and 4 clauses for particular sponsors. Any inclusions under these Schedules should be reviewed by the Office for Research.

10.7. Definitions

Arbitrator	An internal or external person appointed by the institute experienced with the Code and able to assist with research authorship/publication disputes.
Author	A person who has made a substantive intellectual contribution to a published study
Collaborating Author	An author working with collaborators external to CHIRAL.
Corresponding Author	The author responsible for corresponding with the journal and submitted author sign-off sheets
ICMJE	International Committee of Medical Journal Editors
NHMRC	National Health and Medical Research Council (grant funding body)

11. Supervision of Students Undertaking Research

11.1. Key Principles

CHIRAL actively promotes the responsible conduct of research by trainees (both undergraduate and graduate students). Supervisors and students must meet their obligations under the CHIRAL Research Code of Conduct for Research and engage in a broader dialogue about research integrity and the responsible conduct of research.

Heads of departments and supervisors of research students have an additional responsibility: to actively ensure that their staff and students have access to the CHIRAL Research Code and other relevant information and advice to support their compliance with the requirements and to promote the highest of standards in research integrity.

Supervisors are responsible for ensuring training, mentoring, and overseeing the research outcomes of students. In return, research trainees of CHIRAL are required to work with integrity. They are also personally

accountable for acting following the CHIRAL Research Code of Conduct principles. Trainees are responsible for seeking guidance and completing their induction and training as soon as practicable.

The Research Supervisor must seek to ensure the validity of research data obtained by a research trainee under his/her supervision.

Research Supervisors must take responsibility for overseeing all stages of the research process, including developing a hypothesis or research objective, preparing applications for funding, and selecting methods for

Research, data collection, recording, summarising, analyzing, and reporting findings. Research Supervisors must not exploit research students and junior colleagues.

Research Supervisors must not put research students or junior researchers at risk. Risks can include chemical hazard, infectious disease, and psychological trauma.

Students of CHIRAL Academic partners should be made aware of the CHIRAL Research Code and familiarise themselves with the elements that are relevant to their conduct of research on WH premises or utilizing WH resources.

Students of CHIRAL's academic partners undertaking research as part of their training program are the responsibility of the University (a.k.a Academic Partner) and, therefore, the University's Code of Conduct policies and procedures will apply once a research incident is identified.

12. Collaborative Research

12.1. Introduction

CHIRAL has established a strong reputation for excellence and the highest standards of integrity in research. Collaboration with researchers employed by other institutions is a regular feature of contemporary research. CHIRAL requires that arrangements for collaborative research projects are agreed before a project begins and are formalized in writing through a Research Collaboration Agreement or mutually acceptable document. All research agreements must be reviewed by the Office for Research and executed by the assigned authorized delegate. Agreements which deviate from the standard template agreements on offer may be subject to review by the CHIRAL legal department.

12.2. Scope

This policy applies to all CHIRAL employees, and other related staff for their involvement in collaborative research. When in doubt as to the type of Research Agreement to be used for collaborative studies, the researcher should seek the guidance of the WH Office for Research. CHIRAL has in place a standard collaborative Agreement that should be used for all collaborations initiated by CHIRAL.

12.3. Procedure

12.3.1. Agreement between researchers

Agreements to collaborate on research projects usually evolve over time. Initial discussions are usually informal and conducted between researchers about the unique knowledge, expertise, techniques, methods

or resources such as samples that each party can bring to a proposed project. Objectives, contributions, time lines and a detailed research plan are refined in the process of applying for funding.

Where a CHIRAL researcher agrees to be an investigator on a collaborative project, he or she agrees by implication to formalize the collaboration through a written agreement if and when the project secures funding.

Before accepting a grant, researchers must, as a minimum, consider and agree on the following issues prior to execution of a formal Multi-Institutional Agreement (MIA) for funded collaborations, or a Research Collaboration Agreement (RCA) applicable to other collaborations:

i. Financial management;
ii. ii. Intellectual property;
iii. iii. Authorship and publication;
iv. iv. Consultancies;
v. v. Secondments;
vi. vi. Ethics approval;
vii. vii. Safety clearances;
viii. viii. Regulatory compliance; and
ix. ix. Ownership of equipment, research data and primary materials.

The relevant type of agreement must be executed for each project with organizations where there is a transfer of funds between the administering organization and collaborating organizations. The agreement is a legal contract which must be executed by the parties to the agreement before the project can proceed.

For the CHIRAL participation in the collaboration, the agreement must be signed in accordance with the WH Delegation of Authority. The Director of Research and/or the Research Program Director are the nominated delegates.

CHIRAL researchers should not, under any circumstances, make any commitment to expend funds until the MIA has been executed.

12.3.2. Conflict of interest

Researchers must disclose in writing to the DR as soon as possible any actual or perceived conflict of interest relating to any aspect of the collaborative research project.

13. Conflict of Interest

13.1. Introduction

CHIRAL has established a strong reputation for excellence and the highest standards of integrity in medical research, teaching and management. Effective declaration and management of conflicts of interest is essential to maintaining integrity for researchers and WH alike. WH Researchers should complete and submit an annual “Declaration of Interest” Form to ensure that any potential conflicts of interest are identified early on and managed accordingly. This policy must be read in conjunction with CHIRAL’s overarching Conflict of Interest policy, Procedure code OPGO2.1.3 September 200.

13.2. Scope

This policy covers all CHIRAL employees, students hosted at CHIRAL, visitors and adjunct appointees such as honorary members of CHIRAL's academic partners.

13.3. What is 'Conflict of Interest'?

Conflicts of interest in research include any circumstances where a researcher has a real, perceived or potential opportunity to prefer his / her own interests, or those of another person or organization, to the interests of CHIRAL.

Real or perceived opportunities to give preference to personal interests arise from competing obligations and can be other than financial.

Examples of conflicts of interest in research include but are not limited to situations:

i. Where the research is sponsored by a related body ;
ii. Where the researcher or a related body may benefit, directly or indirectly, from any inappropriate dissemination of research results (including any delay in or restriction upon publication of such results);
iii. Where the researcher or a related body may benefit, directly or indirectly, from the use of CHIRAL's resources;
iv. Where the researcher conducts a clinical trial which is sponsored by any person or organization with a significant interest in the results of the trial.
v. Where private benefits or significant personal or professional advantage are dependent on research outcomes

A conflict may compromise, or have the appearance of compromising, a researcher's professional judgment in conducting, evaluating or reporting on research. It may affect, or be seen to affect, the collection, analysis and interpretation of data. It could also impact on hiring of staff, procurement of materials or equipment, sharing of results, choice of licensees, choice of protocol, involvement of human subjects, and the use of statistical methods.

13.4. Managing Conflicts of Interest

The responsibility for managing a conflict of interest rests, in the first instance, with the individual. The guiding principles for managing Conflict of Interest situations are that:

i. Actual and / or perceived conflicts are to be avoided;
ii. Early and full disclosure of any conflicts is required;
iii. The Office for Research will determine a management plan for conflict of interest situations in consultation with the affected researcher.

CHIRAL recognizes that conflicts can arise at any stage in a research project or program and that it is not always possible to predict and declare a conflict at the outset of a project. The important issue is that disclosure has to be made at the earliest opportunity when it is identified that a potential for a conflict of interest may develop or has occurred.

13.5. Disclosure

A researcher must make a full disclosure of a conflict of interest or of circumstances that might give rise to a perceived or potential conflict of interest as soon as reasonably practicable to:

i. His/her Unit or Dept. Head (in the majority of cases in WH, this will be the direct supervisor or line manager);
ii. In the case of a Unit or Dept. Head, to the DR;
iii. In the case of the DR, to the CMO who may at his/her discretion decide to inform the CEO and/or Board of Directors

For the conduct of clinical trials, full disclosure must include the nature of the sponsorship and the relationships between the sponsor, trial subjects and the clinical investigator. The DR is the senior member accountable for managing Conflict of Interest in research within CHIRAL.

13.6. Handling of disclosures

Disclosures to be handled as follows:

i. The officer in receipt of a disclosure must discuss the matter with the staff member concerned to determine a procedure for the management or elimination of the conflict of interest. The agreed procedure must be documented. The researcher will receive a copy of the agreement and a copy will be placed on record by the WH Office for Research;
ii. A researcher must comply with the procedure agreed as set out above in (i) in relation to the management of the conflict of interest;
iii. It is the responsibility of Unit/Dept. Heads to ensure that conflicts of interest in research involving members of their research groups are managed appropriately and to observe the requirements of this policy and procedure in relation to their own work and research conduct;
iv. Any CHIRAL researcher who is affiliated with, or has a financial interest in, any organization with a direct commercial interest in CHIRAL research must disclose this in writing. The CMO of CHIRAL, acting on advice from a Unit Head and/or the DR is entitled to direct a researcher to discontinue an established affiliation that is deemed inappropriate.
v. It is CHIRAL's strong preference that researchers engaged in clinical trials do not have any financial interest in the outcome of the trials (for example a significant equity interest or an executive position in a company commissioning the research) which would render them vulnerable to allegations of lack of objectivity.

13.7. Resolution process

Where the officer in receipt of the disclosure is unable to resolve the Conflict of Interest, the matter will be escalated to the DR who will meet with the individual(s) involved to agree on a Conflict of Interest management or elimination plan.

Where the DR is unable to resolve the Conflict of Interest, the matter may be referred in the next instance to the CMO or to the CHIRAL Audit and Risk Committee, if only external parties will be able to achieve a resolution.

At all times the management of Conflict of Interest must be in accordance with the CHIRAL Conflict of Interest policy OP-GO2.1.3

13.8. Reporting to a granting body

Where the Conflict of Interest has arisen during research sponsored by a granting body, the DR or his/her delegate (typically the Manager, Office for Research) shall notify the relevant granting body and take such steps that the granting body may reasonably require to resolve or otherwise deal with the Conflict of Interest.

13.9. Research-related committees

i. Members of a research-related committee shall declare any Conflict of Interest related to the activities being considered by that committee to the Chair of that committee;
ii. Members of a research-related committee shall refrain from involvement in the decision-making process in matters in which they have a Conflict of Interest. This may involve exclusion from the meeting or exclusion from some or all of the committee's activities;
iii. Conflict of Interest declarations will be recorded and should include information on how the conflict was/is managed in the proceedings.

14. Breaches Of the Code, Research Misconduct and Framework For Resolving Allegations

14.1. Research misconduct

Research misconduct does not include honest differences in judgment in management of the research project, or honest errors that are minor or unintentional.

A complaint or allegation relates to research misconduct if it involves all of the following:

i. An alleged breach of the Code;
ii. Intent and deliberation, recklessness or gross and persistent negligence;
iii. Serious consequences, such as false information on the public record, or adverse effects on research participants, animals or the environment.

Breaches of the Code will require specific action by supervisors and responsible officers of CHIRAL.

Research misconduct may include (but is not limited to) fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting the results of research, and failure to declare or manage a serious conflict of interest. It includes avoidable failure to follow research proposals as approved by a research ethics committee, particularly where this failure may result in unreasonable risk or harm to humans, animals or the environment. It also includes the wilful concealment or facilitation of research misconduct by others.

Repeated or continuing breaches of the Code may also constitute research misconduct, and will be considered as such where these have been the subject of previous counselling or specific direction.

Examples of research misconduct include, but are not limited to:

i. Fabrication of results
ii. Falsification or misrepresentation of results

iii. Plagiarism
iv. Misleading assignment of authorship
v. Failure to declare and manage serious conflicts of interest
vi. Falsification or misrepresentation to obtain funding
vii. Conducting research without ethics approval as required by the National Statement on Ethical Conduct in Research Involving Humans and the Bangladesh Code of Practice for the Care and Use of Animals for Scientific Purposes
viii. Risking the safety of human participants, or the well-being of animals or the environment
ix. Deviations from the Code that occur through gross or persistent negligence
x. Wilful concealment or facilitation of research misconduct by others.

CHIRAL regards any incident involving proven scientific misconduct as serious, and will take appropriate action. Such actions may include dismissal in accordance with CHIRAL Disciplinary Procedure and relevant laws. Disciplinary action may also be taken against a complainant who is found to have made a malicious or vexatious allegation against a colleague.

14.2. Confidentiality

Allegations of research misconduct can be extremely serious for the individual/s concerned and their home institute. A proven case of research misconduct may end a research career. It may also cause substantial reputational damage to the host institution and impact on viability of collaborations, competitiveness for funding and community support. Reputational damage to an individual or to CHIRAL cannot be undone once an allegation has become common knowledge.

Given the potential for extreme consequences, it is imperative that strictest confidentiality is observed by everyone who is party to an allegation and investigation into research misconduct. In particular, the identity of the person subject to the allegation needs to be protected in the course of initial investigation while the facts and merits of a case are being established. The identity of a complainant will also be protected.

Confidentiality is not the same as anonymity. Anonymous complaints are not encouraged and may not be investigated if they raise concerns over a lack of procedural fairness.

14.3. Purpose

To clearly set out how to report an allegation of research misconduct and the procedure for handling Research Misconduct allegations within CHIRAL.

14.4. Scope

All research staff, scientists, clinicians and students of CHIRAL who do not hold a fractional salaried appointment with any of CHIRAL's academic partners.

For staff with dual or multiple appointments, the policy of the institution that owns the research or activity, or majority share thereof, that the breach or misconduct relates to will apply upon agreement between the relevant parties.

14.5. Procedure

14.5.1. Reporting research misconduct

CHIRAL expects any staff member or student who believes that research misconduct may have occurred to bring this to the attention of management in a timely manner.

It should be noted that disputes and disagreements over authorship are quite common, while other kinds of research misconduct are relatively rare.

In the first instance, an informal and confidential approach to either the DR or Research Program Director would be appropriate.

Following consultation with one of the nominated positions above; one option is to raise an allegation in writing with the Designated Person (DP).

14.5.2. Designated Person

The Designated Person (DP) is a senior member at CHIRAL who is experienced in research and research management. The role of the DP is to advise the CMO whether allegations appear to be justified and whether a prima facie case exists.

The Director of Research is CHIRAL's DP for handling research misconduct allegations or if not available or otherwise conflicted, the Research Program Director can be approached.

Allegations of research misconduct or breaches of the Australian Code or CHIRAL Research Code at CHIRAL can be sent by email to chiralbd@gmail.com

The DP receives a written allegation, conducts a preliminary investigation, and provides advice to the CMO or his/her delegated officer. The DP must maintain full records of all matters that relate to allegations of research misconduct.

If an allegation concerns the DP(s), the person raising the allegation should consult an Adviser in research integrity in the first instance, who can advise on where such an allegation should be directed. [i.e.: Chair or Deputy Chair, or Audit and Risk Committee]

14.5.3. Receipt of allegation of research misconduct

All allegations of research misconduct are taken seriously and responded to promptly.

14.5.4. Designated Person preliminary investigation

Where an allegation of a breach of the CHIRAL Research Code or research misconduct is received, the CHIRAL DP will initially consult with the CHIRAL Human Resources Officer to establish whether the researcher who is the subject of the allegation is employed solely by CHIRAL, or holds a conjoint appointment with any of CHIRAL's onsite academic partners.

Where a staff member subject to an allegation of research misconduct holds a part-time appointment with any of CHIRAL's any academic partners and the allegation pertains to a project that is collaborative in nature, the CHIRAL DP will contact their University respective contact and work with the appropriate University officers to further investigate the allegation and determine who and how the matter will be managed from

here on..

The CHIRAL DP will deal with allegations involving researchers who are employed only by CHIRAL. Where an academic partner may also have a vested interest in a research allegation, agreement between the two parties should be reached on which entity will manage the process. This should be underpinned around the nature of the allegation and who is best resourced and experienced to manage the nature of the allegation on behalf of all interested parties. The DP will undertake a preliminary investigation and provide a report to the CMO to advise whether in the DP's opinion:

i. The allegation involves a breach of the CHIRAL Research Code due to lack of intent or seriousness: in this case the DP report will provide recommendations to ensure the issue is corrected and to reduce the likelihood of any recurrence; or
ii. A prima facie case of Research Misconduct exists:
    a. If the Research Misconduct is not admitted by the relevant person, then the DP report will include a recommendation for a research misconduct inquiry by an Internal or External inquiry panel;
    b. If the allegation involves a collaborative team with researchers from another institution, and/or a student enrolled at a University, the investigation and inquiry may involve more than one institution; in such cases the DP is responsible for ensuring appropriate coordination if CHIRAL agrees to assume the lead management role of the allegation process.
iii. The DP report should also include any recommendations to ensure the issue is corrected and to reduce the likelihood of any recurrence; or
iv. No breach of the CHIRAL Research Code (including research misconduct) has occurred and the allegation(s) should be dismissed.

On receipt of the DP report, the CMO must decide whether to accept the advice and how to proceed. CHIRAL may nominate a person to the role of Assistant DP who will provide support and assistance to the DP in the process of conducting the preliminary investigation.

14.5.5. Internal or external research misconduct inquiry

An Inquiry is used to examine the evidence and make a judgment on whether Research Misconduct has occurred.

The DR will decide whether an Internal or an External Inquiry is appropriate, in accordance with the requirements set out in the CHIRAL Research Code.

The Inquiry panel is generally composed of senior researchers and professionals familiar with the CHIRAL Research Code, and all members must be free from bias or conflicts of interest.

i. CHIRAL may draw on external expertise as required for membership of an internal inquiry panel.
ii. The person/s responding to the allegations may have a support person attend the inquiry with him/her/them.
iii. Legal representation is only allowed in an independent External Inquiry.
iv. Panel members who conduct an independent External Inquiry must not be employed by CHIRAL,

have other current or recent dealings with the CHIRAL or otherwise be subject to a reasonable perception of bias.

The Inquiry panel advises the DR of the findings and whether Research Misconduct has occurred. Where the Inquiry panel has found that Research Misconduct has occurred ("Proven Research Misconduct"), it may include recommendations to the DR on disciplinary actions and scientific remedies, provided that the decision on actions and remedies will be made by the DR in the DR's absolute discretion (having appropriate regard to the CHIRAL Employment Agreement and relevant laws).

14.5.6. Notifications and remedies

In accordance with the CHIRAL Research Code, the DR must inform all relevant parties, including affected staff and collaborators at other institutions, of the outcome of an investigation into an alleged breach of the CHIRAL Research Code, including research misconduct inquiry findings, and the actions taken by the institute.

i. Journal co-authors and journal editors will require notification if a retraction is required.
ii. Funding bodies require notification of grants which may be affected, for example the NHMRC requires notification of the decision from any preliminary investigation or formal inquiry into any alleged Research Misconduct, whether conducted internally or independently, and reasons for that decision within ten (10) working days of reaching that decision.

The DR will decide what disciplinary actions and scientific remedies are required in cases where a breach of the Code or Proven Research Misconduct have been established, in accordance with the CHIRAL Employment Agreement and Disciplinary Policy and relevant law, and the action taken will depend on the seriousness of the misconduct and the surrounding circumstances.

Possible disciplinary actions for a Breach of the CHIRAL Research Code that does not constitute Research Misconduct include:

i. Counselling or advice;
ii. Increased supervision of future research;
iii. Written warnings; iv. Demotion; or
iv. Any other action deemed necessary in the circumstances.

Possible disciplinary actions for Proven Research Misconduct include:

i. Written warnings;
ii. Demotion;
iii. Reduction of pay;
iv. Partial suspension;
v. Termination of employment; and/or
vi. Any other action deemed necessary in the circumstances.

An established Breach of the CHIRAL Research Code or Proven Research Misconduct will be recorded on the personnel file of the person involved.

Scientific remedies may involve journal retractions to correct the public record and notifications to funding bodies.

Careful review of subsequent work, and work practices is recommended.

If allegations are shown to be unfounded, CHIRAL will make every effort to reinstate the reputation of the accused researcher. If allegations are shown to be vexatious or mischievous, complainants who are employees of CHIRAL will face appropriate disciplinary action in accordance with the CHIRAL Disciplinary Policy.

14.6. Steps for raising an allegation

14.6.1. Advisers in Research Integrity

Discuss your concerns with the most appropriate person:

i. your supervisor;
ii. your research Unit Head and/or
iii. CHIRAL designated person(DP): CHIRAL Director of Research or the Research Program Director

14.7. Investigation by Designated Person

14.7.1. Steps

i. Issue of concern or allegation is reported to the DP in writing.
ii. NHMRC, or other funding body, as appropriate, notified of the receipt of an allegation of Research Misconduct (within 10 working days).
iii. Communication between DP and the person raising allegation, if known.
iv. If the allegation is reported anonymously, the documentation provided is reviewed.
v. Meeting of DP and person the allegations are against.
vi. DP investigate the issues, including interviewing any other people who may have relevant information, reviewing primary data and any other appropriate actions.
vii. DP prepares a report on the Preliminary Investigation for the Chief Medical Officer in accordance with section 2.5 of the Procedures and the CHIRAL Research Code with findings and recommendations.

14.8. Decision by Chief Medical Officer

i. Chief Medical Officer reviews advice, and decides whether to accept the advice and how to proceed.
ii. If relevant, the appropriate Executive Director is also contacted.
iii. Funding body, as appropriate, notified of the decision resulting from the Preliminary investigation (within 10 working days)

14.9. Definitions

Allegation	An unproved assertion
Breach	Failure to observe the “Australian Code”, minor deviation
Misconduct	Improper professional behaviour
Research Misconduct	Improper behaviour which can include plagiarism, fabricating or altering data with the intent to mislead; denying authorship when a person meets the criteria or “honorary”

	authorship when authorship is given but does not meet authorship criteria. Serious breach of the "Australian Code".
Designated Person	A senior member of the institute experienced in research and research management. [NB: The Designated Person at CHIRAL is the Executive Director Research]
Advisor in Research Integrity	Senior staff (internal and external) nominated by the institute to be an advisor of research integrity ("advisors").

15. Appendices I - Roles and Responsibilities for a Research Project

Role	Responsibilities
Principal Investigator	Overall project leadership and management; securing funding; setting research goals; supervising team.
Co- Principal Investigator	Assisting the principal investigator; contributing to project design and implementation; data analysis
Research Assistant	Conducting literature reviews; collecting and analyzing data; assisting with experimental procedures.
Data Analyst	Analyzing research data using statistical software; preparing reports and visualizations of findings
Research Coordinator	Coordinating project logistics; managing research timelines; ensuring compliance with ethical guidelines.
Research Ethics Board	Reviewing and approving research protocols; ensuring ethical guidelines and regulations are followed.
Project Manager	Overseeing project timelines and deliverables; coordinating team members; managing budgets and resources.
Grant Writer	Preparing grant proposals and applications; securing funding for the research project.
Communications Officer	Disseminating research findings through various channels; writing press releases; managing media relations.

16. Appendices II - Monitoring and Reporting

Responsibility	Description	Responsible Person
Data Monitoring	Regularly monitoring data collection process to ensure accuracy, completeness, and consistency.	Research Assistant
Quality Control	Implementing quality control measures to maintain data integrity and reliability	Data Analyst

Progress Tracking	Tracking project progress against established timelines and milestones.	Project Manager
Performance Evaluation	Evaluating the performance of research team members and addressing any issues or concerns.	Principal Investigator
Risk Assessment	Identifying potential risks or obstacles that may impact the project's success.	Research Coordinator
Documentation	Maintaining detailed records of project activities, decisions, and outcomes.	Research Assistant
Reporting to Stakeholders	Providing regular updates and progress reports to funding agencies, sponsors, or stakeholders.	Principal Investigator
Compliance Monitoring	Ensuring compliance with regulatory requirements and ethical guidelines.	Research Ethics Board
Data Analysis and Interpretation	Analyzing research data and interpreting findings in a meaningful way.	Data Analyst
Report Writing	Preparing comprehensive research reports, including methodologies, results, and conclusions.	Communications Officer
Knowledge Dissemination	Sharing research findings through publications, conferences, presentations, or other channels.	Principal Investigator

CODE OF CONDUCT 2023

Acknowledgment

I ----------confirm that I have read and understood the stipulations of the **CHIRAL Bangladesh Code of Conduct**, and I agree to abide by this Code, which forms part of the conditions of my employment/ engagement with CHIRAL Bangladesh.

Signature:

Place:

Date:

17. Contact Information

CHIRAL Bangladesh has a detailed reporting system. All general inquiries on the Code of Conduct and its interpretation, reports, and allegations of breaches of the Code and related issues should be directed to:

Human Resources Department at: chiralbd@gmail.com

Call CHIRAL Bangladesh Hotline at: +8801771083855 directly from CHIRAL Bangladesh extension, OR from mobile or landline call +8801771083855 and then +8801771083855. (24/7 and confidentiality is protected).