Research Conduct and Integrity Policy

Version Control

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11. Does this policy apply to LSTM Group (LSTM and subsidiaries?) Yes / no	Yes
12. All policies will be added to the LSTM website unless an exception is provided here	
13. If this policy has been reviewed, has this resulted in a minor or major changes?	Major
14. Does this policy ensure that there is no modern slavery or human trafficking in our supply chains or in any part of our business?	Yes

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Modifications from previous version of document

Version	Date of issue	Details of modification
2.0	19 July 2023	Policy reworked to demonstrate that research integrity cuts across all stages of the research process. This policy specifies responsibilities of different roles and research integrity implications across particular elements in the research process.

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1. How to Use this Policy

1.1 This Policy outlines what it means to uphold the highest standards of research integrity and good research conduct. These terms and LSTM's obligations in this regard are explained in sections 6, 7 and 8.

1.2 All colleagues engaged in research and research-support activities at LSTM must be aware of their obligations regarding upholding research integrity principles in their work by enacting good research conduct, with awareness of LSTM's commitment to the Concordat to Support Research Integrity. Colleagues can jump to their role-specific obligations under sections 9 – 13.

1.3 LSTM's expectations regarding specific research processes (Communicating Outcomes of Research, Partnerships, Peer Review, Conflict of Interest) are outlined under sections 14 – 17. .

1.4 Section 18 outlines routes of escalation where standards of good research conduct are not met.

2. Introduction and Context

2.1 This Research Conduct and Integrity Policy sets out LSTM's requirements in relation to good research conduct and practice. This Code incorporates the requirements of the Concordat to Support Research Integrity.

2.2 The purpose of this Policy is to demonstrate that research integrity is everyone's responsibility as the principles are applicable to all functions of the organisation.

2.3 This Policy recognises LSTM's privileged position in the history of global health and the ongoing effects of this which may impact upon researchers' capacity to adhere to research integrity principles. This can manifest across the research process from funding acquisition to publication and in relationships with partners, participant communities and between LSTM colleagues.

3. Equality and Diversity

3.1 LSTM is committed to promoting equality of opportunity, combatting unlawful discrimination and promoting good community relations. We will not tolerate any form of unlawful discrimination or behaviour that undermines this commitment. Please see role-specific sections in the following Policy for further details.

4. Safeguarding

4.1 In line with our Safeguarding Policy and procedures, LSTM's processes reflect our organisational commitment to keeping staff, students, and research participants – particularly children and vulnerable adults - safe.

4.2 LSTM Taking, Use and Storage of Photos and Videos Policy must be adhered to when processing any images of participants, participant communities or partner colleagues to safeguard their rights and dignity.

5. Scope

5.1 This Policy applies to colleagues engaged in research and research-support activities at, or under the auspices of, LSTM. This includes academic staff, clinical study staff, professional service staff, and students conducting research as part of any programme. In the case of students, researcher responsibilities are shared with Programme Directors for taught degrees (Masters) or the student research Supervisor(s) for research degrees (PhDs).

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6. Definitions

6.1 Research Group Leader is used to refer to the grantholder. In many cases, this will be the same individual as Chief or Principal Investigator (CI or PI). For some studies, the Research Group Leader will not be the CI or PI.

6.2 Chief Investigator usually applies to clinical trials or other complex studies as the researcher with overall responsibility for the study.

6.3 Principal Investigator is either the researcher with overall responsibility of the study or, for clinical trials and other large-scale studies, site or country-specific PI as delegated by the overall CI.

6.4 Supervisor refers to the staff member overseeing postgraduate research (PGR) or postgraduate taught (PGT) level projects.

6.5 Student refers to any student on any LSTM programme, including all Postgraduate Taught (PGT) programmes and all Postgraduate Research (PGR) programmes.

6.6 Academic Transboundary Research Partners means research partners engaged in academic research based in countries other than the UK.

6.7 What is Good Research Practice?

Research governance is the framework within which we manage research to ensure research integrity is achieved throughout the entirety of the study lifecycle and resultant publication of data, findings and curation. This framing includes principles, legal and regulatory provisions, standards of good practice, policies, guidance, systems, management and supervision; and spans institutions and national boundaries.

The Concordat to Support Research Integrity sets out a comprehensive national framework for good research conduct and its governance. Good research practice is defined by the Concordat to Support Research Integrity as research which is conducted to the highest standards of rigour and integrity.

The core elements are set out as:

- Honesty in all aspects of research, including in the presentation of research goals, intentions and findings; in reporting on research methods and procedures; in gathering data; in using and acknowledging the work of other researchers; and in conveying valid interpretations and making justifiable claims based on research findings.

- Rigour, in line with prevailing disciplinary norms and standards: in performing research and using appropriate methods; in adhering to an agreed protocol where appropriate; in drawing interpretations and conclusions from the research; and in documenting, recording and communicating the results.

- Transparency and open communication in declaring conflicts of interest; in the reporting of research data collection methods; in the analysis and interpretation of data; in making research findings widely available, which includes sharing negative results as appropriate; and in presenting the work to other researchers and to the general public.

- Care and respect for all participants in and subjects of research, including humans, animals, the environment and cultural objects. Those engaged with research must also show care and respect for the stewardship of research and scholarship for future generations.

- Accountability where individuals and organisations take ownership of the research process and hold others accountable.

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7. Embedding a Culture of Research Integrity

7.1 Why is research integrity important?

Research integrity underpins the value of research. As stated in the foreword of the Concordat, 'Excellence and integrity are inextricably linked'. Good research practice has a direct impact on the quality of research, and on its value to those who might use it and therefore the impact it may have. Good research practice contributes to public trust in research and protects research participants and those otherwise affected by research processes and outcomes. LSTM places the highest possible emphasis on integrity and excellence in research practice as this is directly linked to working towards LSTM's vision, mission and values.

7.2 Overall LSTM Management Responsibility

7.2.1 At LSTM, it is the responsibility of Executive Committee, and Heads of Professional Services to ensure that research is conducted in accordance with good research practice. The Dean of Research Culture & Integrity has overall executive responsibility for overseeing the review and implementation of policies in this area and will be supported in this function by LSTM's Research Governance & Integrity Manager, who is the first point of contact for research conduct matters.

7.2.2 The Research Integrity & Governance Committee (RIGC) is the key Committee responsible for research governance and integrity matters at LSTM. Senior level oversight rests with the Dean for Research Culture & Integrity, and RIGC is accountable to Executive Committee. Deans and Heads of Department all play a key role in research governance under their specified jurisdictions.

7.3 Research Project Management

7.3.1 Each individual research project must have a designated research lead to promote accountability and maximise quality.

7.3.2 LSTM uses the terms Research Group Leader, Chief Investigator (CI) or Principal Investigator (PI) for research to indicate a formal LSTM management role in relation to a project as defined above. It is expected that clinical trials will be managed by a Chief Investigator plus site-based Principal Investigators with responsibility for each site. This model may also apply to other studies.

7.3.3 Where another institution leads, a LSTM Principal Investigator should be appointed from amongst LSTM co-applicants, to take management responsibility for LSTM part of the project in accordance with LSTM Research Governance Policy.

7.4 Student Theses/Projects

For PGR research degrees, the student will be named as Co-Investigator, with their supervisor usually named as Principal Investigator on the study team. For PGT students, the supervisor will be named as Principal Investigator. all supervisors should be aware that they hold overall responsibility for the management of their student's study. While the supervisor has overall responsibility, the student must also adhere to the principles set out in this Policy.

8. LSTM Responsibilities

8.1 LSTM is committed to supporting, developing and promoting equity, diversity and inclusion in all its practices; it aims to establish an inclusive culture, free from discrimination, harassment, and bullying as stated in LSTM Equality & Diversity Policy Statement. While

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an inclusive culture may be seen as a good in itself, LSTM acknowledges that this is important for staff wellbeing in terms of the research integrity principle 'care & respect' while further noting that research conducted by diverse teams can positively affect the quality of the data.

8.2 LSTM will comply with the [Concordat requirements](#) as placed upon employers of researchers. LSTM will ensure that it has appropriate systems, training and guidance in place to support researchers to adhere to the principles of research integrity and conduct their research to the standards described. It is also important to monitor the implementation of such policies and procedures. As per the Concordat, LSTM has a [Research Integrity Statement](#) which summarises the institution's expectations upon researchers. As per above link, this is posted on LSTM's website along with Annual Reports on research integrity activities in the institution.

8.3 Training & Support

    8.3.1 Induction: LSTM has in place an induction programme that contributes to understanding and adopting best practice as quickly as possible. This may include, but is not limited to, appropriate research training in legal and regulatory issues, ethics approval and consent, research design, data analysis, good laboratory practice, equipment use, risk assessment, health and safety, confidentiality, research data management and data protection.

    8.3.2 It is LSTM's policy that all staff and students should be properly trained for the research they are conducting. Online training courses will be made available via LSTM Learns/other routes for researchers to complete as required for their role. Compliance with training requirements will be tracked by the Learning & Development Manager. Non-compliance with training requirements will be followed up within departments by Research Group Leaders.

    Where a LSTM-wide approach is necessary, it is the responsibility of the Dean of Research Culture & Integrity to ensure that such research training can be effectively delivered.

    LSTM will provide training for Supervisors in supervisory skills through a structured programme of staff development for academic staff, and Supervisors will be required to take part in any training necessary to ensure they are able to conduct their supervisory duties. Such training needs may arise for experienced Supervisors as, for example, legal and regulatory frameworks change, developments in research methods arise, or a particular research project being supervised is sufficiently beyond/unrelated to the Supervisor's current direct experience. LSTM encourages and supports continuing professional development of this kind amongst Supervisors.

    Programme and Module Leaders play a part in ensuring that there is adequate research training and support available for students on their modules or programmes.

8.4 LSTM Research Management Services will ensure that all internally-approved research applications are consistent with LSTM's mission and strategy, as per criteria set out in [Intention to Submit Terms of Reference](#). LSTM supports and encourages its staff to seek external funding for their research activities and accepts funding for research from a wide and diverse portfolio of sources. All funding applications and proposals made, and contracts and awards accepted relating to external research funding, are done so on behalf of and in the name of LSTM. LSTM applies the same standards of good research practice to research which is funded as part of LSTM's own internally managed research funding

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or research conducted to inform LSTM's operations. The governance structure and responsibilities are equally applicable to both internally and externally funded research. LSTM must ensure that appropriate systems and corresponding guidance are in place to manage submission and approval of research funding applications.

8.5 LSTM often bids for research funding in partnership with other organisations. LSTM's partnership principles emphasise the importance of providing sufficient opportunity for all partners to input into agenda setting, research design and lead in development of outputs to ensure they reflect the priorities and needs agreed by all partners.

8.6 LSTM is committed to promoting high ethical standards in the conduct of research undertaken by its staff and students. All research involving human participants, their tissues or data requires ethical approval by LSTM's Research Ethics Committee (LSTM REC) or another REC where applicable. For more information see LSTM Research Ethics Policy.

8.7 LSTM undertakes to develop and maintain a research ethics policy and guidance with regular and timely review, and keep its research ethics review process fit for purpose. LSTM is committed to independence in ethical review, and the appropriate composition of research ethics committees (RECs), as set out in the Economic and Social Research Council (ESRC) Research Ethics Framework. LSTM is also committed to adequately resourcing ethical review, including the following requirements set out in the ESRC Research Ethics Framework: 'Research organisations should provide the REC or RECs for which they are responsible with the necessary resources to carry out their responsibilities efficiently, effectively and independently. This includes, at a minimum, appropriate training for the members in the ethics, legal and scientific dimensions of the research that their REC reviews; adequate administrative and clerical support, and adequate resources, including recognition in workload planning and the allocation of academic responsibilities, to carry out reviews with due care and attention; and to attend meetings of the REC.'

8.8 LSTM must ensure that a transparent and accountable contracting process is established for the management of contracts and Intellectual Property (IP). Information about the contracting process can be found on LSTM Research Contracts Team SharePoint pages.

8.9 LSTM is awarded funding by a range of organisations, whose specific terms and conditions must be adhered to. Contracts produced by LSTM will be consistent with applicable UK legislation, as will the work underpinned by those contracts. LSTM Research Contracts Office will support research teams in ensuring that collaboration agreements and subcontracts with partners reflect robust procedures in place to monitor compliance with legal and funder terms and conditions. LSTM will balance its obligation to protect the institution with its commitment to equity, promoting fair terms and conditions. For example, through equitably sharing ownership of data and IP generation, alongside mutually licensing data with partners where applicable.

8.10 Research data are all data arising as a result of a research project. Data can take many forms, including paper and electronic records, recordings or products arising from the research. Research data management refers to all aspects of data management concerned with research, from developing a data management plan at the inception, through the life of the project, to archiving and making available, where appropriate, research data. Inadequate attention to research data management can result in serious research misconduct, including breaches of confidentiality, or errors in reported data. Poor

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management of personal data may also result in fines and reputational damage. Therefore, LSTM regards research data management as an important aspect of good research practice. LSTM will provide its staff and students with up-to-date information on how to manage research data, including provisions to support Open Access. Such information can be found on SharePoint page – Data Protection and Information Governance.

8.11 LSTM Estates Team has appropriate Health & Safety policies, guidance and controls to ensure the dignity, rights, welfare and safety of people involved in research are protected. This could mean colleagues at LSTM, colleagues from partner organisations, research participants and the wider communities affected by research.

9. Research Group Leader, Chief Investigator and Principal Investigator Responsibilities

9.1 Research Group Leaders and CI/PIs should take account of equity, diversity & inclusion considerations in all aspects of their work, including the recruitment of personnel associated with research.

9.2 They will ensure that they are familiar with the Concordat and consider how to apply the principles in their teams/groups.

9.3 Ensure that new staff who will be conducting or supervising research are provided with an induction programme suited to their role.

9.4 Identify required project-specific research skills and training needs, and to ensure that the necessary research related training is accessed by researchers working on their projects, including academic transboundary research partners.

9.5 Check which training courses are required for their role and complete the courses within the allotted timeframe.

9.6 Ensure that LSTM's Intention to Submit approval process is engaged with adequately in a timely way. The Research Group Leader/CI/PI should ensure that the proposal is of an adequate quality, and that the research proposed would meet legal, regulatory and ethical standards. Grant applications will be submitted acknowledging that the content of such applications should avoid falsification, fabrication and plagiarism in the same way as applicable to any published research outputs.

Advice should be sought at an early stage from the Research Governance, Ethics & Integrity Team for research proposals where:

● the research is a clinical trial (including trials of interventions and devices);

● or involves significant international dimensions in relation to research governance.

9.7 Ensure that the research is carried out within scope of in the proposal approved by the funder.

9.8 The innovative nature and quality of the research should be assured with applied rigour and discipline-specific standards of study design, methodology, data and sample collection, data and sample analysis, and interpretation of results. Research protocols and outputs should be produced to facilitate both replication of a study and reproducibility of results.

9.9 The research is conducted in accordance with LSTM Research Governance Policy and conditions of sponsorship, if applicable.

9.10 Ensure progress reports to Sponsor, RECs, funders and other bodies are produced on schedule and to an acceptable standard.

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9.11 Those conducting animal research should ensure they follow LSTM Animal Welfare Ethical Review Board (AWERB) processes while also conducting the research in line with the commitments set out in the [Concordat on Openness in Animal Research in the UK](#). Animal research must be conducted in line with [Animals (Scientific Procedures) Act 1986](#).

9.12 Those conducting human participant research at LSTM should:

- Familiarise themselves with the procedures and guidelines for REC review and follow the required steps to gain required permissions to conduct their research. Details on how to apply can be found via [SharePoint - Research Ethics Committee](#).
- Human tissue research is registered on LSTM Human Tissue Register via the LSTM-supported database, appropriate approvals for the project are in place, and it complies with the national regulations i.e. the [Human Tissue Act](#) and [Human Tissue Authority Code of Practice – Research (Code E)](#);

9.13 Clinical trials, and where appropriate other research, are registered on an appropriate [external register](#), noting that while registration is legally mandated for clinical trials, it is also strongly recommended for all studies involving human participants in line with [Declaration of Helsinki updated October 2012.](#)

9.14 The Research Group Leader/CI/PI has overall responsibility for ensuring that the research team for which they are responsible is following due process regarding contracting. Alongside LSTM Research Contracts Office and their Programme Manager, they will ensure that collaboration agreements and subcontracts with partners reflect robust procedures in place to monitor compliance with legal and funder terms and conditions.

9.15 Those handling research data must ensure that they are following the appropriate LSTM-supported guidance in terms of collection, processing, analysis, storage, archiving or destruction, as well as guidance from funders and journals. Research data should be handled in accordance with regulatory bodies governing data acquisition and processing in the countries from where data originates.

9.16 The Research Group Leader/CI/PI must ensure that they are familiar with [LSTM Health, Safety & Welfare Policy](#) as well as other relevant Health & Safety policies and guidance, as applicable to their work. They have a duty of care to ensure the safety of those within their team as well as people affected by their research. This extends to ensuring prevention of risks such as transmission of infection as result of research, and promoting safe practices during project delivery such as those relating to travel, use of equipment, handling of substances, disposal of research equipment during fieldwork. Study-specific safe practices should identify likely hazards, assess the risks and the necessary mitigations for safe working. These should be documented in the protocol with the risk assessments and training administered as required.

9.17 For studies utilising genetic resources, The [Nagoya Protocol on Access & Benefit Sharing](#) must be complied with in accordance with LSTM guidance.

9.18 Where applicable, comply with [Department of Health Research Governance Framework for Health & Social Care](#) obligations, including reporting of serious adverse events.

9.19 Where applicable, comply with the [Caldicott Principles on confidentiality](#).

10. Researcher Responsibilities

10.1 Be aware of their responsibilities towards colleagues and promote a positive culture within research teams.

10.2 Be familiar with the Concordat and how this may affect their work.

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10.3 Check via their Research Group Leader/CI/PI and LSTM Learns which training courses are required for their role and complete the courses within the allotted timeframe.

10.4 Follow the LSTM contracting process. Under direction of Research Group Leader/CI/PI, they will ensure that collaboration agreements and subcontracts with partners reflect robust procedures in place to monitor compliance with legal and funder terms and conditions, under guidance from LSTM Contracts Team.

10.5 Follow guidance on research data management as set out by Research Group Leader/CI/PI, study protocol and other study specific documents.

10.6 All researchers must follow the relevant Health & Safety guidance for their field of work, to protect themselves and those around them.

11. Programme Management Responsibilities

11.1 Be aware of their responsibilities towards colleagues within their departments towards promoting a positive culture within research teams.

11.2 Be familiar with the Concordat and how this may affect their work.

11.3 Check via their Research Group Leader/CI/PI and LSTM Learns which training courses are required for their role and complete the courses within the allotted timeframe.

11.4 Follow the LSTM contracting process. Under direction of Research Group Leader/CI/PI, they will ensure that collaboration agreements and subcontracts with partners reflect robust procedures in place to monitor compliance with legal and funder terms and conditions, under guidance from LSTM Contracts Team.

11.5 In partnership with RMS where applicable, submit financial reports to funders as required.

11.6 Follow guidance on research data management as set out by Research Group Leader/CI/PI, study protocol and other study specific documents.

12. Student Responsibilities

12.1 All students should be familiar with the Concordat and how this may affect their work. It is not expected that all students will start their research with sufficient knowledge of what constitutes good research practice as their research forms part of their training. It is therefore essential that students attend supervisory sessions, complete compulsory training as per course-specific instructions and take the advice of their research supervisors. If a student deliberately and wilfully choses to ignore such advice the student may be personally liable for any consequences.

12.2 All students should also ensure they are aware of their responsibilities as detailed in LSTM Quality Manual, including LT COP 12 Code of Practice on Academic Integrity.

12.3 Students should seek guidance from their Supervisor(s) or other relevant colleagues to ensure compliance with LSTM policy and procedures.

12.4 Students should check via their Supervisor and LSTM Learns which training courses are required for their role and complete the courses within the allotted timeframe.

12.5 Students must be familiar with respective processes governing the ethical review of their study. They must follow the guidance provided by the REC in response to their study, to maximise data integrity and participant safety. Students must ensure they are handling research data in accordance with the appropriate LSTM and funder guidelines, seeking support when needed.

12.6 Students must follow the relevant Health & Safety and Travel Safety guidance for their field of work, to protect themselves and those around them.

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13. Supervisor Responsibilities

13.1 Supervisors of all students should be familiar with the Concordat and support their students towards compliance with the principles of research integrity.

13.2 It is the Supervisor's responsibility to support students in conducting their research and ensure that their training needs are met in a timely way. Supervisors should adhere to the provisions set out in [Appendix 9 Procedure for Supervision of Postgraduate Research Students](#), as listed in [LSTM Quality Manual](#).

13.3 All Supervisors have responsibility for the safeguarding of students and should see [LSTM Safeguarding Policy](#) for more information.

13.4 Supervisors are responsible and accountable for the management of any student research that they supervise. Their responsibilities are outlined in [LSTM Quality Manual](#). They should ensure that their students are aware of codes and regulations as applicable.

13.5 The Supervisor must ensure each student receives necessary induction for laboratories or other specialist facilities prior to gaining access.

13.6 Supervisors are expected to draw the relevant provisions of this Policy to the attention of students under their supervision and offer guidance to support students in ensuring their projects are compliant with principles of research integrity.

13.7 Supervisors of PGR and PGT student projects must ensure all REC applications are of a suitable standard for review, to minimise the chance of an application requiring resubmission.

13.8 Supervisors must ensure that they support their students in management of research data, noting that mishandling of data is a significant institutional risk.

14. Communicating the Outcomes of Research

14.1 Good Practice in Publication

LSTM considers it an important priority that high quality research is disseminated to relevant audiences. LSTM expects researchers (authors) to demonstrate honesty and integrity in disseminating the results of research and knowledge exchange activities. Authors are accountable for the content of their outputs and should be mindful that misconduct in publication damages the reputation of individuals and their institutions. Please refer to [LSTM Publication Policy](#) and [Publication Resource](#) for further information.

LSTM endorses the [Consensus Statement on Equitable Authorship](#), which encourages collaborators to prospectively consider how they can ensure that academic transboundary partners have appropriate opportunity to author papers.

LSTM is committed to [Declaration On Research Assessment (DORA)](#) which sets out principles of appropriate assessment of researchers' outputs in relation to promotion. LSTM has outlined its [response to DORA via LSTM website](#).

It is necessary good practice to declare any conflicts of interest in relation to a publication, including affiliations, funding or relationships with companies with a commercial interest in the findings.

14.2 Engagement and Consultation with Stakeholders and Participants

LSTM recognises the importance of early engagement of relevant stakeholders (including, for example, affected communities, advocacy groups, policy makers and professional bodies) at all stages of research from study conceptualisation, securing funding, conduct of

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the research and sharing findings and results. Such engagement is important both for achieving impact and in promoting the quality and excellence of the research.

14.3 Dissemination of Results to Stakeholders and Participants

LSTM is strongly committed to achieving impact with its research and considers it good practice to communicate effectively with a range of relevant audiences as well as traditional academic audiences. There is an ethical imperative to share results with research participants and communities. Researchers should make all reasonable attempts to maximise the impact of their work in academic spaces, participant communities and with the users of research. This may for example include oral presentations, community meetings and the use of social media. Research outcomes should be community in an appropriate format tailored to each audience.

14.4 Open Access

LSTM will comply with the UKRI Open Access Policy, Wellcome Trust Open Access Policy, the Research Excellence Framework (REF) Open Access Policy and other research funders' requirements for publishing research, and requires authors to do so. Future Research Excellence Framework (REF) exercises are likely to continue with an Open Access Policy. Until a new policy for the next REF is announced we will continue to apply the requirements of the REF2021 Open Access Policy.

LSTM requires authors to deposit the author's accepted manuscript in the LSTM's Online Archive, LSTM's research output repository as soon as the article is accepted for publication. The LSTM Online Archive enables greater visibility and discovery of expertise in the global research community.

Refer to 📄 LSTM's Publication Policy and further guidance on Open Access publishing.

14.5 Knowledge Exchange & Impact

Research must be publicly accountable as it is the product of public/private money as well as time and other resources contributed by members of the public including research participants. Therefore LSTM expects the research produced in its name to lead to knowledge production and translate to policy where applicable. LSTM is committed to the eight principles outlined in the Knowledge Exchange Concordat. For more information visit LSTM SharePoint Knowledge Exchange page.

15. Partnerships

Care & Respect is a fundamental principle of research integrity and this must be demonstrated through all partnerships, including academic transboundary partnerships. Equitable partnership means recognising that partners' input from the point of concept development through study design, data collection, analysis, write-up and publishing is not only important for Care & Respect but essential to produce impactful research. Similarly, transparency in partnerships is not only important for upholding research integrity but essential for successful collaboration.

Partnership is a key component of LSTM's Vision, Mission & Values, including a commitment to capacity strengthening. In practice, this demonstrates good research conduct as it validates LSTM's commitment to attaining equity between partners, particularly academic transboundary partners. This is also emphasised in LSTM Partnership Strategy.

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16. Peer Review

LSTM recognises that peer review is integral to good research practice assurance. As such, LSTM encourages its staff researchers to take part in internal and external peer review activities, where relevant to their expertise and where such requests can be reasonably accommodated. LSTM internal peer review activity is undertaken as standard during Intention to Submit stage in the research process. Researchers should provide evidence of peer review upon request. Researchers are expected to contribute to peer reviews when asked.

17. Conflicts of Interest

LSTM expects its staff and students engaged in research to identify and declare conflicts of interest which may affect the research in any way. Conflicts of interest are those which may compromise professional judgement or decision-making when conducting their role and responsibilities. Potential conflict of interest can be reported to line managers/Heads of Department in line with LSTM Conflict of Interest Policy.

Where there are dual roles and a potential conflict of interest, refer to LSTM Research Governance Policy for further guidance.

18. Raising Concerns & Escalation Routes when Research Conduct Standards are not met

18.1 Research misconduct, as defined in the Universities UK Concordat to Support Research Integrity, is behaviour or actions that fall short of the standards of ethics, research and scholarship. Research misconduct is taken extremely seriously as it devalues research, and the reputations of both LSTM and its researchers. LSTM is committed to ensuring that research is conducted to the highest scientific and ethical standards. LSTM has an obligation to report instances of misconduct to certain funders. It should be noted that, depending on funder policy, funders may not award

18.2 LSTM seeks to provide a supportive environment for those with research misconduct concerns. Concerns about research misconduct may initially be raised informally in confidence with the Dean of Research Culture & Integrity or the Research Governance & Integrity Manager. They may also be raised formally as set out in the procedures for the investigation of research misconduct as per LSTM Investigating Allegations of Research Misconduct Policy. Advice about how to raise concerns can be sought from LSTM Research Integrity Champions.

18.3 Any students under investigation for research misconduct will be subject to procedures as set out in the LSTM Quality Manual.

18.4 Colleagues and students have the option of anonymously raising concerns via Freedom To Speak Up.

18.5 LSTM Whistleblowing Policy outlines how to raise any concerns internally about conduct at LSTM which do not meet the criteria for research misconduct.

18.6 If colleagues or students have attempted to raise concerns internally but have not found their concerns to be heard, then concerns about research misconduct (or any other concerns) may be made via the Public Interest Disclosure Act (www.gov.uk/whistleblowing). The Public Interest Disclosure Act 1998, gives legal protection to employees against being dismissed or penalised by their employers as a result of publicly disclosing certain serious concerns.

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Related documents and resources

[LSTM Research Integrity Statement](#)

[The Concordat to Support Research Integrity](#)

[San Francisco Declaration on Research Assessment (DORA)](#)

[LSTM Research Ethics Policy](#)

[LSTM Research Governance Policy](#)

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Equality Impact Assessment (EIA) template

(Please refer to the EIA guidance document)

Equality Impact Assessment: Section 1 (to be completed for all Policies)

Title of policy/process:	Research Conduct & Integrity Policy
Policy owner job title:	Research Governance & Integrity Manager
Date of EIA:	10 July 2023
Policy relevant to: Staff / students / visitors etc:	This Policy applies to all staff and students.
Summary of any consultation with stakeholders (e.g. date and type of consultation):	Every section of this Policy has been approved by the relevant person in the LSTM department who deals with the area of work described. The policy was discussed from decolonisation perspective with Dr Martha Chinouya, Chair of LSTM Decolonisation Committee. This Policy was reviewed by Research Integrity & Governance Committee 21 March 2023.
This policy has been checked for accessibility on: (date)	10 July 2023
I confirm that this policy does/does not impact people, and therefore does not require an EIA (delete as appropriate)	**Does** impact people (continue to Section 2)

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Section 2: To be Completed if your policy has an impact on people, or if you are unsure of the impact of a Policy or Procedure and need to engage with stakeholders (note: you do not need to use this template – only use it if it's helpful)

Ref.	Protected Characteristic (Equality Act 2010)	Yes (positive/ negative) / no	Potential issues to consider, any data obtained	Potential actions that can be taken to mitigate against impact
1.1	Is it likely that the policy or framework **could** have a positive or negative impact on a group depending on their ethnicity?	Yes - positive	This policy emphasises that discrimination is a research integrity issue and aims to promote equity. It also promotes equitable partnership.	
1.2	Is it likely that the policy or framework **could** have a positive or negative impact on a group depending on their gender?	Yes - positive	This policy emphasises that discrimination is a research integrity issue and aims to promote equity.	
1.3	Is it likely that the policy or framework **could** have a positive or negative impact on people during pregnancy or maternity?	Yes - positive	This policy emphasises that discrimination is a research integrity issue and aims to promote equity.	
1.4	Is it likely that the policy or framework **could** have a positive or negative impact on people with disabilities?	Yes - positive	This policy emphasises that discrimination is a research integrity issue and aims to promote equity.	
1.5	Is it likely that the policy or framework **could** have a positive or negative impact on people due to their sexual orientation?	Yes - positive	This policy emphasises that discrimination is a research integrity issue and aims to promote equity.	
1.6	Is it likely that the policy or framework **could** have a positive or negative impact on	Yes - positive	This policy emphasises that discrimination is a research integrity	

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Ref.		Yes - positive		
	people due to their religion, belief, or lack thereof?		issue and aims to promote equity.	
1.7	Is it likely that the policy or framework **could** have a positive or negative impact on people who are trans?	Yes - positive	This policy emphasises that discrimination is a research integrity issue and aims to promote equity.	
1.8	Is it likely that the policy or framework **could** have a positive or negative impact on people due to their age?	Yes - positive	This policy emphasises that discrimination is a research integrity issue and aims to promote equity.	
1.9	Is it likely that the policy or framework **could** have a positive or negative impact on people due to marriage or civil partnership?	Yes - positive	This policy emphasises that discrimination is a research integrity issue and aims to promote equity.	
2.0	We are committed to endeavouring to ensure that there is no modern slavery or human trafficking in our supply chains or in any part of our business.	Yes - positive	This policy covers contracting processes which should be in line with UK legislation.	

Ref.	Other groups who could be impacted (acquired characteristics)	Yes (positive/ negative) / no	Potential issues to consider, any data obtained	Potential actions that can be taken to mitigate against impact
2.1	Is it likely that the policy or framework **could** have a positive or negative impact on people due to their contract type (part-time or full-time)?	No		
2.2	Is it likely that the policy or framework **could** have a positive or negative impact on people due to their contract status (fixed-term or indefinite)?	No		
2.3	Is it likely that the policy or framework **could** have a	No		

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		positive or negative impact on people due to their grade?			
2.4		Is it likely that the policy or framework **could** have a positive or negative impact on people with dependents or caring responsibilities?	No		
Ref	**PREVENT Duty**		**Yes /no**	**Potential issues to consider, any data obtained**	**Potential actions that can be taken to mitigate against impact**
2.5	PREVENT: Does this policy/proposal impact on any of the following areas of PREVENT duty: (a) staff and student welfare (b) events and external speakers (c) training in relation to PREVENT		Yes No Yes	This policy could benefit staff/student welfare by promoting positive workplace culture.	
2.6	Is a separate risk assessment required?		No		

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Conclusion

a. What issues are highlighted by the EIA process? Summarise the action you will take to mitigate against them, or how you've changed your policy to remove the issues.	This policy should not have any negative implications upon staff or students.
b. If you consider intersectionality of protected characteristics, are the issues compounded? Summarise the action you will take to mitigate against the issues.	This policy is intended to support staff and students in general, recognising that people with protected characteristics and early career researchers may feel disempowered within research teams.
c. Are there are groups of people who aren't recorded so far, who may be adversely impacted by this policy/framework?	No
d. Are there any opportunities within the policy/framework to particularly promote equity?	Yes, for example Research Group Leaders and Supervisors should be aware of the equity of staff, students and partner organisations.
e. Does the policy/framework need amendment after the outcome of the EIA process?	No
f. Timeline for amendment, review and further consultation with key stakeholders.	2 years til policy review.
g. Any additional comments	None

Once Section 1 & 2 are completed, copy and paste into your policy template, with any confidential or restricted data (or identifying numbers of individuals [<5]) redacted, to allow for sharing of good practice across the School via the internal Policy Hub. Please ensure you refer to job roles and group names, and not individual's names.

Please share the final document with inclusion@lstmed.ac.uk prior to internal publication.

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