

## RESEARCH INTEGRITY

This report covers activities from **1 April 2022 to 30 April 2023**

Section 1: Key Contact Information .....	1
Section 2: Promoting high standards of research integrity and positive research culture .....	2
2A. Description of current systems and culture .....	2
2B. Changes and developments during the period under review .....	4
2C. Reflections on progress and plans for future developments .....	5
Section 3: Addressing research misconduct .....	5
3A. Statement on processes that the organisation has in place for dealing with allegations of misconduct.....	5
3B. Information on investigations of research misconduct that have been undertaken .....	6
Concluding Statement.....	7

### Section 1: Key Contact Information

Question	Response
<b>1A. Name of organisation</b>	London School of Hygiene & Tropical Medicine
<b>1B. Type of organisation:</b>	Higher Education Institution
<b>1C. Date statement approved by governing body (DD/MM/YY)</b>	20/06/2023
<b>1D. Web address of organisation's research integrity page (if applicable)</b>	<a href="https://www.lshtm.ac.uk/research/research-governance-integrity/research-integrity">https://www.lshtm.ac.uk/research/research-governance-integrity/research-integrity</a>
<b>1E. Named senior member of staff to oversee research integrity</b>	Name: Caroline Relton
	Email address: <a href="mailto:Caroline.Relton@lshtm.ac.uk">Caroline.Relton@lshtm.ac.uk</a>
<b>1F. Named member of staff who will act as a first point of contact for anyone wanting more information on matters of research integrity</b>	Name: Patricia Henley (until 5 May 2023)
	Email address: <a href="mailto:patricia.henley@lshtm.ac.uk">patricia.henley@lshtm.ac.uk</a>

## Section 2: Promoting high standards of research integrity and positive research culture.

### 2A. Description of current systems and culture

The RGIO continues to develop training, refine policies, and undertake activities in Research Integrity to mitigate risks, promote a positive research culture and prevent recurrence of issues related to research misconduct. These include:

#### Policies and systems

##### **(1) Procedure for inquiring into allegations of research misconduct<sup>1</sup>**

The amended procedure (v3.0) was reviewed by the Research Governance Committee (RGC) following the publication of UKRIO's updated template procedure. Following approval by the RGC. The procedure was disseminated to staff via the RGIO newsletter. The procedure is maintained on the website and is available to all staff.

This procedure is kept under review to ensure that it meets the needs of the organisation, and to ensure that how LSHTM deals with allegations of misconduct are transparent, timely, robust and fair.

##### **(2) Good Research Practice policy<sup>2</sup>**

The Good Research Practice policy provides the essential criteria that all LSHTM staff and students are expected to follow in the conduct of their research. Following a gap analysis and stakeholder interviews done as part of the Head of Research Governance and Integrity (HRG&I)'s Operational and Policy Analysis, the updated policy was reviewed and approved with minor comments by RGC in October 2021 (Version 5.0 of the policy (20/12/2021)).

Both policies are circulated to LSHTM through the regular RGIO newsletter. In addition, the Head of Research

#### Communications and engagement

##### Training

The RGIO has developed a suite of online training modules that are open to all staff, students, as well as external collaborators<sup>3</sup>. The courses available are:

- Research Ethics
- Working with Human Tissue

<sup>1</sup> [Procedure for inquiring into allegations of research misconduct](#)

<sup>2</sup> [Good Research Practice policy](#)

<sup>3</sup> [RGIO training](#)

- Good Clinical Practice
- Good Research Practice

A full online version of the Good Research Practice/Responsible Conduct of Research course<sup>4</sup> has been deployed for a pilot in April 2023. Feedback is actively encouraged from all staff and students to ensure it is fit for purpose and meets the needs of the research community.

The (former) HRG&I delivers half-day training in virtue ethics, last running in May 2022. This follows attendance at a 'train the trainer' programme offered by the VIR2TUE Horizon 2020 project.

## Culture, development, and leadership

### Research Governance Committee

The Research Governance Committee<sup>5</sup> (RGC) has oversight of research governance and research integrity across LSHTM. The RGC meets termly: (4 October 2022, 4 April 2023 and 24 May 2023) and provides annual reports to Senate; the latest was submitted for June 2023 meeting.

### UKRIO Advisory Council

The (former) HRG&I is a member of the UK Research Integrity Office Advisory Council and regularly attends meetings and provides insights into research integrity from an HEI perspective.

### DrPH

The (former) HRG&I continues her studies for the DrPH on Research Integrity and has completed the data collection for her thesis. She will continue to analyse the data with a view of submitting her thesis in 2024.

### Conferences

The (former) HRG&I presented a poster at the World Conference in Research Integrity (WCRI) in June 2022 detailing the results of her Organisational and Policy Analysis (OPA), entitled: Critical analysis of the LSHTM Good Research Practice policy & strategy: a lesson for Higher Education Institutions.

The (former) HRG&I also presented a poster and lightning talk summarising the results of the OPA at the Wellcome Trust Reproducibility, Replicability and Trust in Science conference in September 2022.

### UKRN

The Executive Team and the Research Governance Committee endorsed LSHTM membership of the UK Reproducibility Network (UKRN); agreeing to having a named institutional lead at LSHTM.

### Open Science

The Library, Archives and Open Research Services have developed an Open Science Report, detailing activities undertaken by the Open Science Working Group. Further work, including the Open Research Statement to be circulated to the LSHTM community in due course.

<sup>4</sup> [LSHTM GRP/RCR training](#)

<sup>5</sup> [Research Governance Committee](#)

### Equitable Partnerships

Two Task and Finish Working Groups in Equitable Partnerships were constituted to investigate and advocate changes to current working practices; one T&F group reviewed ethics processes and the Good Research Practice policy from the Equitable Partnerships lens. This group have recommended changes to the Good Research Practice policy which will be amended in due course. In addition, work has commenced at 'decolonising' the ethics committee by investigating how best to avoid duplication of ethics reviews and to best streamline processes.

### Monitoring and reporting

#### Research Audits

The (former) HRG&I leads the Quality Assurance programme for research across LSHTM, which includes undertaking audits to assure LSHTM that research complies with all relevant legislation, standards of good practice, Standard Operating Procedures, and all applicable policies.

In the period 1 May 2022 – 30 April 2023, **4** audits were undertaken which resulted in **0** critical findings, **4** major findings and **8** minor finding; these require the Chief Investigator/Principal Investigator to respond outlining their Corrective and Preventive Action (CAPA) plan which is reviewed by the (former) HRG&I. A summary of the audit programme is reviewed annually by the RGC in the Autumn.

## 2B. Changes and developments during the period under review

The Research Governance Committee reviewed the updated Procedure for Investigating Allegations of Research Misconduct<sup>6</sup> following the release of the updated template from UKRIO. Following minor updates, this was approved and circulated to all staff via the RGIO newsletter in early April 2023.

The Executive Team approved LSHTM membership of the UK Reproducibility Network, formalised by RGC on 4 April 2023. LSHTM will support this endeavour through the creation of an Institutional Lead post (0.2 FTE).

The (former) HRG&I initiated the regular review of 'near-miss' events at RGC; these are not formal allegations of research misconduct but may arise through informal discussions, or are events that in themselves are not misconduct, but if left without correction, could develop into misconduct.

The Good Research Practice/Responsible Conduct of Research online training was completed and released for a pilot to ensure that the content is appropriate for the research community.

<sup>6</sup> [Procedure for Investigating Allegations of Research Misconduct](#)

## 2C. Reflections on progress and plans for future developments

The new online training in Good Research Practice/ Responsible Conduct of Research will be part of the mandatory training for all staff at LSHTM. Following the pilot of the course, and any further refinements, work will be undertaken to monitor the uptake and effectiveness of the course.

Resourcing of the RGIO remains an ongoing issue, with formal requests made to Senior Management in 2022 and 2023 to provide for a Quality Manager post to improve oversight of research. This was noted in the Clinical Trials Review in 2021, commissioned as part of the LSHTM strategy to strengthen delivery of clinical trials.

## Section 3: Addressing research misconduct

### 3A. Statement on processes that the organisation has in place for dealing with allegations of misconduct

The amended procedure for investigating allegations of research misconduct (v3.0) was reviewed by the Research Governance Committee following the publication of UKRIO's updated template procedure. This procedure is kept under regular review to ensure that it meets the needs of the organisation, and to ensure that how LSHTM deals with allegations of misconduct are transparent, timely, robust, and fair.

The Good Research Practice policy provides the essential criteria that all LSHTM staff and students are expected to follow in the conduct of their research. Following a gap analysis and stakeholder interviews done as part of the HRG&I's Operational and Policy Analysis, the updated policy was reviewed and approved with minor comments by RGC in October 2021 (Version 5.0 of the policy (20/12/2021)).

All changes to policies and procedures are circulated to the LSHTM community through the regular RGIO newsletter. This includes notification of amendments to the Standard Operating Procedures which cover all aspects of conducting research.

The (former) HRG&I is the point of contact for all informal discussions on research integrity and allegations of research misconduct. She summarises these discussions in regular reports to RGC as a way of monitoring the research culture and environment at LSHTM. In addition, the Report + Support tool<sup>7</sup> is available for the submission of allegations of research misconduct as well as for bullying and harassment. Anonymous allegations are allowed via this tool.

Following a root cause analysis that is part of all investigations into allegations of research misconduct, a Corrective and Preventive Action (CAPA) plan is developed with activities aimed at

<sup>7</sup> [Report + Support tool](#)

both the research team and the wider LSHTM community. Learnings from these investigations are circulated via the RGIO newsletter and policies, procedures and training are adapted and improved as preventive measures.

### 3B. Information on investigations of research misconduct that have been undertaken

Type of allegation	Number of allegations 1 April 2022 to 31 March 2023.			
	Number of allegations reported to the organisation	Number of formal investigations	Number upheld in part after formal investigation	Number upheld in full after formal investigation
Fabrication	0	0	0	0
Falsification	0	0	0	0
Plagiarism	1 <sup>1</sup>	0	n/a	Not known
Failure to meet legal, ethical and professional obligations	1	1	0	1
Misrepresentation (eg data; involvement; interests; qualification; and/or publication history)	0	0	0	0
Improper dealing with allegations of misconduct	0	0	0	0
Multiple areas of concern (when received in a single allegation)	0	0	0	0
<i>Other*</i>	0	0	0	0
<b>Total:</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>1</b>

**\*If you listed any allegations under the 'Other' category, please give a brief, high-level summary of their type here. Do not give any identifying or confidential information when responding.**

N/A

1: LSHTM was notified of an investigation at a university in the US whereby they were looking into potential plagiarism of LSHTM publications by a member of their staff. LSHTM has notified the journals and await the results of the investigation.

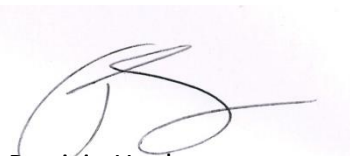
### Concluding Statement

LSHTM is dedicated to upholding the highest standards of research excellence and integrity, and is committed to delivering high quality, relevant research, underpinned by the highest ethical standards across the globe. LSHTM fully supports the Concordat for Research Integrity and maintains the Research Governance and Integrity Office (RGIO) dedicated to research governance, ethics and integrity to assure compliance with the Concordat, as well as regulations, guidance, and standards of good practice governing research around the world.

LSHTM continues to support and embed a research environment underpinned by a culture of integrity. The former Head of RG&I, both through her role as an RD student and as head of the department, is in tune with the issues that arise in the global arena and is an active participant in conferences and meetings focussing on research integrity. Staff and students are reminded when releasing new procedures and policies, that she can be approached both formally and informally to discuss integrity issues. This will be further enhanced with the proposed development of research integrity champions across the faculties and units.

This report provides an annual summary of actions and activities undertaken to support research integrity at LSHTM and provides the required details for the annual report required by the Concordat to Support Research Integrity (Commitment 5).

The Audit and Risk Committee are asked to note that this report will be made publicly available.

A handwritten signature in black ink, appearing to read 'Patricia Henley', written over a light pink rectangular background.

Patricia Henley  
(former) Head of Research Governance and Integrity  
4 May 2023