

Tate Code of Good Research Practice

About this document

This document is formed of six main sections. Following an introduction and definitions, Section 3 covers the principles of research at Tate and looks at the values that we expect all researchers and research projects to encompass. It includes guidance on research integrity, outlining the areas to consider when designing or undertaking research.

Section 4 provides guidelines for how to do research that upholds research integrity. It includes reference to Tate’s values and institutional policies that are applicable to research at Tate.

Section 5 explains why ethical reviews are undertaken.

Section 6 focuses on research misconduct and explains how this is characterised at Tate. It outlines the process of reporting allegations and steps towards resolution.

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SECTION 1 INTRODUCTION

Tate is recognised by UK Research and Innovation (UKRI) as an [Independent Research Organisation](#) (IRO) based on the research we undertake and the calibre of the staff undertaking that research. It is a requirement that Tate should have guidelines on good research practice and research integrity in place. This makes staff eligible to apply for funding from UK Research Councils and other bodies. Research must be carried out to the highest possible standards of quality and ethics to retain the public’s trust and ensure taxpayer money is well spent.

Similar Codes of Good Research Practice are in place at universities and other Independent Research Organisations.

Tate’s Code of Good Research Practice brings together policies, standards and guidance to support people undertaking research at Tate. It applies to all those undertaking research on Tate’s premises, using its facilities or working on behalf of Tate. This includes staff, students, visiting or emeritus staff, associates, visiting scholars or honorary fellows, contractors and consultants. It sits alongside and is complemented by all other Tate policies with which research and researchers must comply where applicable.

The Code of Good Research Practice is committed to maintaining the highest standards of rigour and integrity in all aspects of research. It draws on several sources of guidance and good practice, which are detailed in section 4.2.

By acting in accordance with the guidance contained in this document, researchers and staff at Tate demonstrate their commitment to the following:

1. To uphold the highest standards of rigour and integrity in all aspects of research.
2. To conduct research according to appropriate ethical, legal and professional frameworks, obligations and standards.

3. To support a research environment underpinned by a culture of integrity while upholding good governance, best practice and support for the development of researchers.
4. To use transparent, timely, robust and fair processes to deal with allegations of research misconduct.
5. To work together to strengthen the integrity of research while reviewing progress regularly and openly.

Failure to comply with this policy may give rise to an allegation of Research Misconduct (as defined in Section 6). Any allegations of research misconduct by Tate staff should be emailed to research@tate.org.uk with 'Allegation of Research Misconduct' in the subject line. Information on what constitutes research misconduct is contained in 6.1. Section 6 also outlines the way in which concerns will be investigated. Steps towards resolution are further set out in 6.3.

SECTION 2 DEFINITIONS

Research is a creative and reflexive process involving three key characteristics that apply across activities and disciplines: questioning; a process of structured enquiry; and the creation of original knowledge that goes out into the world and aims to contribute to a body of knowledge or theory.

Research activity that falls within the scope of this document includes the planning, delivery and dissemination of individual and collaborative research projects, studentships and fellowships.

Research integrity means conducting research in a way which allows others to have trust and confidence in the methods and the findings of the research. Research carried out with a high level of integrity upholds values of honesty, rigour, transparency, care and respect, and accountability. These values should be present across the full research process, including the planning and conduct of research, the recording and reporting of results, and the dissemination of findings. Research integrity is embedded in a robust culture of institutional integrity based on good research governance and best practice.

Research ethics refers to the 'moral principles and practices guiding research, from its inception through to completion and publication of results and beyond – for example, the curation of data and physical samples, knowledge exchange and impact activities after the research has been published'.¹ Research ethics are a subset of research integrity which focus on the principle of avoidance of harm. This is achieved by undertaking research with responsibility, particularly towards participants (e.g., living persons who provide data for the research), researchers, employers, funders, society and the environment. Research ethical review aims to protect participants' welfare, dignity and rights.

Research culture 'encompasses the behaviours, values, expectations, attitudes and norms of our research communities. It influences researchers' career paths and determines the way that research is conducted and communicated.'² In developing a robust institutional research culture, an organisation must have underlying processes in place as well as clear policy

¹ Definition taken from 'Key terms glossary', UKRI [17 January 2023], <https://www.ukri.org/councils/esrc/guidance-for-applicants/research-ethics-guidance/useful-resources/key-terms-glossary/>, accessed 26 February 2024.

² 'Research culture', The Royal Society, <https://royalsociety.org/topics-policy/projects/research-culture/> accessed 29 February 2024

statements. It requires transparent procedures are in place related to good practice and research governance.

SECTION 3 PRINCIPLES OF RESEARCH AT TATE

3.1 Tate Research Strategy

Since 2019 (and updated in 2022) Tate has had a publicly available, institutional Research Strategy aligned with the organisation's mission and vision. It ensures there is a central commitment to research embedded across Tate and can be accessed at <https://www.tate.org.uk/research/strategy>

3.2 Tate values

All research activity should consider Tate's institutional values and how they can be put into action:

- Open: we're welcoming, generous-spirited and inquisitive, with an open-source attitude that thrives on collaboration.
- Bold: we have the courage of our convictions. We're willing to take imaginative risks, and we aren't afraid of failure - so long as we learn from it.
- Rigorous: we'll win people's trust if we're accountable for our actions and excellence underpins everything we do.
- Kind: we value and respect each other, our partners as well as our visitors, striving to make every encounter memorable and enriching.

3.3 Research Integrity

Tate's reputation as a world-class Independent Research Organisation is built on the high-quality research conducted by our staff, students and collaborators. To maintain this reputation and the trust in the research we produce, as individuals and as an institution, **research integrity** should be considered at all stages of research, regardless of the size of the project. We expect all researchers to uphold the highest standards of rigour and integrity in all aspects of research. At stake is the credibility, reputation and value of Tate's research and the reputation of individual researchers. As members of wider society, researchers are responsible for respecting the values of society, including not causing harm and considering the public interest.

What are the core elements of research integrity?

The [Concordat to Support Research Integrity](#) defines the key elements of research integrity as honesty, rigour, transparency and the care and respect of all participants.³ The following definitions are provided:

- **honesty** in all aspects of research, including in the presentation of research aims, objectives and findings; in reporting on research methods and procedures; in gathering data; in using and acknowledging the work of other researchers, members of

³ Universities UK, *The Concordat to Support Research Integrity*, 2012 [updated 25 October 2019], <https://www.universitiesuk.ac.uk/topics/research-and-innovation/concordat-support-research-integrity>, accessed 26 February 2024.

communities and other collaborators; and in conveying valid interpretations and making justifiable claims based on research findings.

- **rigour**, in line with disciplinary norms and standards, and 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 communicating the results.
- **transparency and open communication** in declaring potential conflicts of interests; in the reporting of research data collection methods; in the analysis and interpretation of data; in making research findings widely available, which includes publishing or otherwise sharing negative or null results to recognise their value as part of the research process; and in presenting the work to other researchers and to the public.
- **care and respect** for all participants in research, and for the subjects, users, and beneficiaries of research, including humans, animals, the environment, and cultural objects. Those engaged with research must also show care and respect for the integrity of the research record.
- **accountability** of funders, employers and researchers to collectively create a research environment in which individuals and organisations are empowered to own the research process. Those engaged with research must also ensure that individuals and organisations are held to account when behaviour falls short of the standards set [by this document].

These elements or values should apply to all aspects of research, including: the preparation and submission of project proposals (whether internally or externally funded); the methods and process of the research; the publication and dissemination of findings; and the provision of expert review on the proposals or publications of others (i.e., peer review).

Research ethics

Doing research 'ethically' means acting in accordance with core values and principles as considered in this document, such as research integrity principles (Section 3.3); compliance with law and policies; respect for human rights, animal rights, the environment and society; and avoiding unnecessary harm or risk to people's safety and wellbeing.

Tate seeks to ensure that all research undertaken under its auspices has considered and looked to mitigate any potential ethical risks that could arise from the research. This is to protect participants, Tate and researchers.

In terms of research integrity, what should researchers think about when designing and undertaking the research process?

3.4 Standards

Any research we carry out must be conducted in accordance with the standards of research practices. These are the standards set out by funding bodies, government, UKRI and any professional bodies of which we are members. The research must observe internal policies. It must abide by Tate's standards as a public body, as well as any other relevant national and international standards.

3.5 Positionality

The research we carry out should demonstrate an awareness of the significance of unrepresented and underrepresented perspectives. Where relevant, sources that have historically been excluded from research related to heritage and the Galleries, Libraries, Archives and Museums (GLAM) sector should be included.

Tate has a duty to ensure its researchers are empowered to engage in and reflect on the research process. Researchers should be enabled to engage in discourse about the research context or research environment within which they work. Researchers should be given an opportunity to reflect on their own research positionalities and internalised norms. This is important to fostering a research culture that allows researchers to actively reflect on these aspects of their research.

3.6 Sustainability

The climate and ecological emergency remains one of the greatest challenges of our time. We are committed to increasing sustainability and protecting the environment, with the aim of becoming one of the world's most sustainable art institutions. Addressing the climate emergency, including through research, is an institutional priority.

Researchers must consider how they can embed sustainable research practices in their research, for example by adapting to and mitigating the impact of climate change. It is important to consider ways in which we can develop research that informs evidence-based decisions. We should account for any ecological dimensions in our research or analyses.

3.7 Equality, Diversity and Inclusion

Tate's institutional priorities include achieving real change in who engages with Tate. This includes addressing who works for Tate. We must seek to ensure that the research we carry out engages a diverse range of people who can connect, enjoy and benefit from the work carried out by Tate.

Our Equality, Diversity and Inclusion (E,D&I) work is in line with our legal requirements under the Equality Act 2010. The Act protects against discrimination on the grounds of the following: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; and sexual orientation. Our E,D&I work also includes a focus on socio-economic background, neurodivergence and caring responsibility. Tate's People and Culture Strategy (2022-7) embeds our commitment to E,D&I with the aim of driving sustainable change. It also aims to enhance innovation and impact across Tate. The strategy supports priorities aimed at achieving demonstrable change in works for Tate. It aims to support a workforce that more closely reflects the communities we serve.

When designing and undertaking research it is important to think about how we engage people and groups from traditionally underrepresented backgrounds. We need to recognise the intersections of race, gender, sexuality and socio-economic background in the experience of inequality. Researchers need to consider any E,D&I related issues in how their research is conducted and managed. The following should be considered: ways in which we supervise our staff, students and volunteers; and ways in which we embed E,D&I considerations into any kind of co-productive collaboration with external stakeholders.

Tate is committed to combatting racism, in our own organisation and in society at large. We are aware of the implications of situating research at Tate. The founding of our gallery and the

building of its collection are inextricably connected to Britain's colonial past. We know there may be inappropriate images, uncomfortable ideas and difficult histories in the past 500 years of art which need to be acknowledged and explored. Tate's Race Equality Taskforce was established in August 2020 as a cross-departmental group of staff from all levels across the organisation. The group generates recommendations to accelerate race equality at Tate, in the following areas: across our programme (exhibitions, displays, learning and public engagement); among our people (those whom we employ and those with whom we work); and alongside our publics (in our galleries and online). To address structural racism and the inequalities underpinning our society, we all have a responsibility to act. All research at Tate should be conducted through the lens of anti-racism, with an awareness of intersectional connections across protected characteristics and other identity markers. This applies to all research, knowledge exchange and research activities. It includes things said to and about participants as well as attendees at our activities and events.

These are not new aims for Tate. We have a stated objective to become a more inclusive institution that reflects the world we live in now.

SECTION 4 IMPLEMENTING GOOD PRACTICE IN RESEARCH

This section contains guidance for implementing good practice in research.

4.1 General guidance

Good practice in research begins with a robust research environment and institutional culture. Tate and its researchers have a duty to the heritage and GLAM research community, to funders and to the wider public. Tate and its researchers should behave in a manner that demonstrates the highest standards and rigour in research practice.

All researchers at Tate must comply with all legal and ethical requirements alongside other guidelines that apply to their research. They should ensure that research projects are approved by all relevant applicable bodies, whether internally at Tate or by funders such as UKRI.

When conducting, or collaborating in, research in other countries, organisations and researchers based in the UK should comply with the legal as well as ethical requirements existing in the UK. They should do so alongside such requirements established in the countries where the research is conducted. Similarly, organisations and researchers based outside the UK who participate in UK-hosted research projects should comply with the legal and ethical requirements existing in the UK as well as those of their own country. With any form of collaboration, researchers must ensure there is consensus on the ways in which research integrity shall be addressed. Research must reach consensus on the application of research standards across the project.

Researchers should recognise their responsibility to conduct research of high ethical standards. They must ensure that they have the necessary training, resources and support to carry out their research.

4.2 Internal and external frameworks, policies, and standards

This code of good research practice should be read in conjunction with the following policies and procedures:

- Tate Dignity and Respect Policy (Tate intranet)

- [Tate Ethics Policy](#)
- [Tate Safeguarding Policy and Procedures](#)
- Tate Digital Safeguarding Handbook (Tate intranet)
- Tate Records Management Policy (Tate intranet)
- Tate for All, Diversity and Inclusion Strategy (Tate intranet)
- Tate Whistleblowing (Public Interest Disclosure) Policy (Tate intranet)
- Tate Data Protection; IS Security Policy; Records Management policies (Tate Intranet)
- [Tate Policy for the Care of the Collections](#)
- [Tate Environmental Policy](#)
- Creative Access Toolkit (Tate Intranet)

Please ensure you have read and understood these and all other relevant policies. All research that you conduct must conform to them in full.

Researchers must also carry out research and research-related activities in accordance with the standards of research practice set out in guidelines published by the following: funding bodies; scientific and learned societies; and other relevant professional bodies. Such standards include but are not limited to the following: Museum Association Code of Ethics;⁴ the International Council of Museums Code of Ethics for Museums⁵; The Market Research Society's Code of Conduct;⁶ and The Data Protection Act 2018 as the UK's implementation of the General Data Protection Regulation (GDPR).

4.3 Governance and accountability

Within Tate, it is the responsibility of the Trustees, the Director, the Directors of the four Tate sites, the Director of Research and Interpretation and the Research Advisory Group to ensure that a climate is created that allows research to be conducted in accordance with good research practice.

Good research practice at Tate is overseen by the Director of Research and Interpretation, who is the first point of call for more information on matters of good research practice. They are responsible for the following: ensuring that all those engaged in research at, or in association with, Tate have a copy of this document; or ensuring that all those engaged in research at, or in association with, Tate know where they can consult this document; ensuring that all those engaged in research at, or in association with, Tate are aware of the implications of this document in relation to the conduct of their research projects. The Director of Research and Interpretation retains oversight of Tate's research programme. In consultation with the Research Advisory Group and/or other colleagues, they ensure that the research programme conforms to the principles and standards set out in this document. They, in consultation with the Research Advisory Group and/or other colleagues, retain ultimate decision-making in respect of adjudication on matters of dispute or complaint.

Individual researchers, project leaders and supervisors of research students are responsible for ensuring their own research meets the highest standards of good research practice. They hold

⁴ Museums Association, 'Code of Ethics for Museums', <https://www.museumsassociation.org/campaigns/ethics/code-of-ethics/>, accessed 26 February 2024.

⁵ International Council of Museums, 'ICOM Code of Ethics for Museums', <https://icom.museum/en/resources/standards-guidelines/code-of-ethics/>, accessed 29 February 2024

⁶ Market Research Society, 'Code of Conduct', 15 May 2023, <https://www.mrs.org.uk/standards/code-of-conduct>, accessed 26 February 2024.

the same responsibilities in respect of research undertaken by project staff or students they manage or supervise.

All research projects involving Tate staff or students must be shared with the Tate Research team and agreed with the Director of Research and Interpretation prior to their start or prior to submission to a potential funder. Please allow sufficient time for review, for most research projects this should be at least eight weeks prior to your deadline.

Researchers should not compromise standards, regulations, and research integrity in relation to funds held or managed in relation to research activity at Tate. Purchasing and expenditure of funds should take place in accordance with the terms and conditions of any grant or contract held for the research alongside Tate's own practices. Advice on compliance can be obtained from Tate's procurement policies and Finance department as well as from the Research Grants Manager.

4.4 Roles and responsibilities

Within a research programme or project, primary responsibility lies with the project leader or principal investigator. Such responsibility includes: the intellectual leadership of the research project; the overall management of the research; and the ethical conduct of research. Project leaders should create a research environment of mutual cooperation, in which all members of a research team are encouraged to develop their skills and in which an open exchange of ideas is fostered.⁷ They should consider using the training opportunities provided by Tate to help develop the skills of particular individuals. They must also ensure that appropriate direction of research is provided alongside the supervision of researchers and research students. Responsibilities should be clearly allocated and understood.

It is the responsibility of project leaders and principal investigators to ensure that all research undertaken within their projects adheres to the ethical guidelines set out in this Code.

Researchers should undergo training that is relevant for carrying out their research activities. Training needs should be identified, as they arise, in consultation with line managers and/or supervisors.

Researchers involved in the supervision and development of other researchers as supervisors, co-supervisors, hosts, advisors, critical friends and mentors should be aware of their responsibilities. They should ensure that they have the necessary training, time and resources to carry out their role. They should request support if required. When supporting collaborative research, alongside experts from external organisations, roles must be clarified and understood by all those across the team as well as by the researcher.

Researchers, and in particular those named as project leads, principal investigators or grant holders, must ensure the research they are undertaking is consistent with the terms and conditions as defined by the funding body and / or covered by agreements between Tate and the funder. This includes, but is not restricted to: ensuring that the research programme carried out is as defined in the original proposal submitted to the funder, unless amendments have

⁷ Julie Reeves, Sue Starbuck and Alison Yeung (eds.), *Inspiring Collaboration and Engagement*, London 2020, Part 1 Engaging with the Process, Chapter 1 Why collaborate and engage with others? P. 11, <https://doi.org/10.4135/9781526483485>

been agreed in writing; ensuring that funding is used solely for the purpose that it was intended; ensuring that reports are both accurate and produced on time; and ensuring that adherence to conditions relating to publication and ownership of Intellectual Property is maintained.

Tate employees engaged in research are also accountable to Tate for the use of their time to deliver research projects. They need to agree a delivery schedule with their project and/or line manager. There should be regular reviews of the project (typically monthly or quarterly), at which the project's progress or any slippages in the timescale need to be reported. Timescales may be adjusted in the light of changes in circumstance or in the direction of the project. If this needs to happen, it is the responsibility of the researcher to address this with the appropriate project or line manager. The manager should in turn report this to, and have any revised timescale approved by, the Head of Department/Divisional Director, who in turn is accountable to the Director of Tate for the use of staff time and the delivery of the research project.

When conducting doctoral training, doctoral students, and supervisors (both Tate and university supervisors) should adhere to the terms specified in the Studentship Agreement alongside the funder's terms and conditions. Agreements are coordinated by the Research Programme Manager and follow a standard template. They will be adapted to various degrees according to university policies, before being approved by the Legal Team at Tate. They will then be fully executed by the Tate and university signatories. Doctoral students should also follow the policies referenced in the Studentship Agreement and outlined in the Employee Code of Conduct. They should also consult the Doctoral Student Handbook (available from the Research office).

4.5 Research Design

When designing research projects, research teams are responsible for ensuring that projects assess the following elements:

Scope of study:

- Your proposed research addresses pertinent questions and is designed either to add to existing knowledge about a specific subject, or to develop relevant research methods.
- The research design is appropriate to the question(s) being asked and addresses the most important potential sources of bias.
- You have identified whether there are any ethical issues and whether an ethics review is required (for example, are there potential risks to the wellbeing of participants, communities, or collections or artefacts).

Management of research:

- You have a prespecified research plan that sets out design and conduct of the study including how data will be gathered, analysed, and managed.
- You have considered any requirements for monitoring and auditing at an early stage in the design of a project.
- You have considered how your research, the methods you use and the dissemination you undertake may impact on other individuals, divisions or on Tate as a whole.
- You have planned for findings to be disseminated in a manner that is open, honest, transparent, accurate, accessible and timely, while accounting for data confidentiality and anonymity where appropriate.

Resource and capability:

- You have the necessary skills and experience to carry out the proposed research, either in the proposed research team or through collaboration with specialists in relevant fields.
- You have sufficient resources to carry out the research and these resources meet all relevant standards.
- You have resolved any issues relating to skills gaps or resource constraints are resolved as far as possible prior to the start of the research.

When designing the research approach, it is good practice to keep up to date with innovations in methodology, statistical analysis approaches and technologies in research practice. You must ensure you are utilising current best practice. You should be aware that, as technology and methodologies advance (e.g., Artificial Intelligence), they cannot be relied upon as ethically neutral methods. The possibility of different ethical implications must be considered.

See Appendix 1: Tate Good Practice Checklist for Researchers

4.6 Collaboration and Partnerships

Researchers should be aware of the standards and procedures for the conduct of research followed by any organisations involved in collaborative research that they are undertaking.

Researchers should try to anticipate any issues that might arise as a result of working collaboratively. They must agree jointly in advance how any such issues might be addressed, communicating any decisions to all members of the research team.

Much of the research performed at Tate is done in collaboration with researchers from other organisations or independent researchers. All research partnerships should have some form of written agreement in place before the start of the research. The following should form the substance of any such agreement: the roles and responsibilities of partners; the ways in which any intellectual property brought into and resulting from the research shall be shared or owned; how any funds involved in the project shall be divided and administered. For guidance and templates relating to research collaborations, please consult the Research department.

Regular review meetings should be scheduled between the Tate representatives and external researchers.

4.7 Enhanced ethical dimensions, safeguarding and prevention of harm

Increasingly, research at Tate, and across the arts and humanities research landscape, is engaging with live participants and with material that requires ethical care and sensitivity. It is therefore important that ethical factors are accounted for and that risks are mitigated through the development and delivery stages of research activities and in collaboration with partners where relevant.

It is important to consider safeguarding and the prevention of harm when developing research projects. The UK Collaborative on Development Research (UKCDR) defines safeguarding in the research context as preventing and addressing 'any sexual exploitation, abuse or harassment of research participants, communities and research staff, plus any broader forms of violence,

exploitation and abuse relevant to research such as bullying, psychological abuse and/or physical violence’.⁸

Researchers should consider their own emotional, psychological and personal safety together with their wellbeing when engaging in research. Research may deal with subjects that can be difficult on a societal or personal level. These can expose researchers to ‘secondary traumatic stress’. Therefore, researchers should consider their own safety and wellbeing in relation to their research area alongside their personal situation. They should (proactively and responsibly) ensure that provisions are put in place so that risk of harm is mitigated.⁹

Researchers must put in place plans that consider and mitigate the risk of potential harm and determine how key stakeholder concerns will be dealt with appropriately. It is important for researchers to engage in discussion with collaborators. They must agree upon a unified approach to manage safeguarding and prevent harm within the research project. Researchers should consult Tate’s [Safeguarding Policy and Procedures](#) and can find further research-specific guidance in UKRI’s [Preventing harm \(safeguarding\) in research and innovation policy](#).

4.7.1 Research involving internal stakeholders

Researchers intending to work with Tate colleagues should be mindful of staff capacity and should have agreement from line managers and department heads before engagement commences. Researchers must honour, trust and respect Tate colleagues’ knowledge and expertise, and consider their needs and priorities as representatives of Tate. The same care should be taken with engaging Tate colleagues in research as with external participants and collaborators.

4.7.2 Research involving external organisations

All researchers proposing to undertake research involving external organisations and external individuals of all kinds will need the agreement of the Director of Research and Interpretation and the relevant Head(s) of Department. Researchers should ensure that partners are reputable and that any concerns should be escalated to the Director of Research and Interpretation and/or the Research Advisory Group or Tate’s organisational Ethics Committee.

All parties must reflect together on the likely ethical implications of the research project, particularly concerning issues of staff/partner-organisation confidentiality, anonymity alongside any risk of harm to Tate and/or partners. Agreement must be reached on how these issues will be handled before the research commences.

4.7.3 Research involving living human participants, human material, or personal data

Researchers should ensure that any research involving human participants, human material or personal data complies with all legal and ethical requirements and other applicable guidelines. This includes internal policies such as Tate’s Data Protection Policy (available on Tate intranet) and the [Tate Privacy Policy](#). It entails compliance with legal and ethical requirements and

⁸ UK Collaborative on Development Research, ‘Safeguarding – prevention from harm’, <https://www.ukcdr.org.uk/priority-area/safeguarding-prevention-from-harm/>, accessed 26 February 2024.

⁹ For further information, see Smita Kumar and Liz Cavallaro (2017), ‘Researcher Self-Care in Emotionally Demanding Research: A Proposed Conceptual Framework’, *Qualitative Health Research*, vol.28 (2018), pp.648–58, DOI 10.1177/1049732317746377.

standards, such as UK General Data Protection Regulation (GDPR) and associated legislation i.e. [Data Protection Act 2018](#); the [Dealing in Cultural Objects \(Offences\) Act 2003](#); the Department for Digital, Culture, Media & Sport's [Guidance for the Care of Human Remains in Museums](#) (2005); the British Association for Biological Anthropology and Osteoarchaeology's [Updated guidelines to the standards for recording human remains](#) (2017), the Chartered Institute for Archaeologists' [Code of conduct \(2014, revised 2022\)](#); and the [Human Tissue Act \(2004\)](#).

Appropriate care should be taken when research projects involve marginalised communities and/or vulnerable individuals to ensure that we protect and prioritise their dignity, rights, safety and wellbeing. These must be the primary consideration in any research study. Researchers should anticipate any risks during the research planning phase. They should have a set of action plans ready that they will use to minimise those risks. Researchers should terminate the research project if they anticipate that the risk to participants would outweigh the benefits of the research.

It is the responsibility of the researcher to ensure that:

- participants are comprehensively and explicitly informed about the aims of the research and how the project will be carried out (in an inclusive way), before obtaining informed consent.
- Individuals should be informed how their data will be used. See *Appendix 2: Interview Consent Form Template*.
- Recordings of participants must be kept in a secure place and should not be released for use by others unrelated to the project without the participants' permission. Participants should also be made aware that a recording is taking place and how the recording will be used.
- Participants are always treated with respect.

If researchers believe that human participants are subject to unreasonable harm or risk, they should report this to a supervisor, line manager or the Director of Research and Interpretation.

When conducting research with individuals or personal data, these projects should undergo ethical review. If a researcher has any questions or concerns about data management, and their line manager or Tate contact is unable to help, please contact dpo@tate.org.uk.

4.7.4 Research involving animals

Tate does not anticipate working with live animals. However, any research which involves animal material or if working in partnership on a project that does involve live animals, researchers must follow legal and ethical requirements, such as: Tate's Animal Welfare Statement (available on Tate intranet); the [Animals \(Scientific Procedures\) Act 1986](#); the [Endangered Species \(Import and Export\) Act 1976](#); and the [Ivory Prohibition \(Civil Sanctions\) Regulations 2022](#).

4.7.5 Research involving communities and individuals in 'co-production'

Research involving communities and individuals in the form of 'co-production' or 'co-inquiry' can be understood to refer to 'cooperation in research between a range of participants from different backgrounds. The key feature of this approach is the value given to everyone's experience,

expertise, and full participation, with an emphasis on active partnership'.¹⁰ Integrating individuals and communities, whom the research affects, in the development and delivery phase of research activities where possible, can enhance the impact of the research process and outcomes.

Researchers must also focus on developing relevant stakeholder involvement in the design and undertaking of research. Researchers should adopt the policy of 'nothing about us, without us'.¹¹

Considerations of positionality and impact

Researchers should reflect on their own research process and be aware of the balance of power, which will always, in some ways, be biased towards the researcher. Researchers should account for factors, such as health and socio-economic inequalities that can impact on people's lives. Individual researchers should feel empowered to actively engage in reflection and discourse concerning the impact of research practices on people's lives. Researchers should consider ways in which the research might shape the present and the future of the communities their work affects.

Development phase

When planning or engaging in co-production, researchers should ensure stakeholders in a specific piece of research are involved from the start. Stakeholders should have a significant amount of control as well as input into the research process, including setting the research focus or formulating questions or developing methods alongside communicating results.

Delivery phase

Researchers must ensure that genuine consultation and engagement takes place with all key stakeholders within and beyond institutional as well as personal networks. They should ensure that relationships with key stakeholders continue to be valued and nurtured by the institution as well as the individuals working within it.

It is important not to privilege one type of knowledge over another. Researchers should endeavour to make the balance of power equitable. They should ensure that they recognise the value of the material brought by communities and individuals.

Researchers should consider the language used when developing co-productive research; for example, in some instances the co-productive community or individual may not have experience in research. It might be necessary to clarify the research and remain open about what a research process involves. Researchers should be responsive and adaptable to the needs of collaborators. This applies to modes of communication, location, and scheduling of research activity. Consideration should be given to ways of making this more inclusive.

Dissemination phase

Co-productive strategies should focus on engagement with communities in terms of dissemination.

¹⁰ Beacon North East, *Co-inquiry toolkit. Community-university participatory research partnerships: co-inquiry and related approaches*. Newcastle 2011, <https://www.durham.ac.uk/media/durham-university/research-/research-centres/social-justice-amp-community-action-centre-for/documents/toolkits-guides-and-case-studies/Co-Inquiry-Toolkit.pdf>, accessed 26 February 2024.

¹¹ This phrase came into popular usage with the publication of James Charlton's book on disability rights *Nothing About Us Without Us Disability Oppression and Empowerment* (2000). Charlton has acknowledged hearing the phrase from disability activists Michael Masutha and William Rowland.

Researchers should consider how to recognise contributions, for example by naming the individuals and groups on research outputs or by providing a certificate of involvement, rather than solely financial compensation for their time.

4.7.6 Health and Safety

All research should consider internal Tate procedures for health and safety and any legal requirements relating to health and safety. Project leaders and PIs have direct responsibility for ensuring their research team members are trained in health and safety. Where appropriate risk assessments should be carried out in line with Tate's procedures

4.8 Intellectual property

Any third-party intellectual property ("IP") rights encountered during the research will be dealt with diligently and rigorously. Tate's Legal Team will be consulted for guidance wherever necessary. The Team will advise on IP subject matter, ownership, risk, duration, the nature of the rights, licensing, permissions, and whether any usage exceptions might apply.

Unless otherwise agreed, Tate owns the intellectual property ('IP') arising from research undertaken by employees in the course of their employment (see Employee Handbook, section 4.4 Copyright).

Tate may grant free copyright licences in certain circumstances, where this is not prejudicial to Tate's research, commercial or institutional interests. Unless otherwise agreed in writing, Tate does not own copyright in the output from the research of students attached to Tate. If it is necessary for Tate to own this IP, then this must be the subject of a written agreement with the student.

In the case of IP arising from research undertaken by non-Tate employees (including freelance contracts, consultant contracts, volunteer contracts), the contract for services should clearly state who owns the IP. This is assessed on a case-by-case basis.

The **types of IP** that might be generated by research can vary and attention should be given to protection of that IP in the final research. Examples might include:

- copyright in a written report: copyright is automatic and there is no need for any registration. Use of the symbol © Tate will ensure third parties are aware of Tate's rights in the published research.
- artists' interviews: copyright will belong to the artist and to Tate (both in the interviewer's words and in the recording). The artist should be asked before interview for authorisation to publish the interview.
- original photographs of artworks and views including raking, infrared and x-ray may be protected by copyright. Copyright in photographs taken by Tate employees, in the course of their employment, will belong normally to Tate.
- scientific techniques can be protected by patent, where they meet criteria on novelty and where the process is kept confidential and there is no disclosure before an application is made for registration (the latter point may have implications for publication of the research).
- confidential information might also be generated during research which might be worthy of protection for commercial / institutional reputational and/or personal reasons.

4.9 Collection and retention of Data

Researchers should comply with the Tate Records Management and Data Protection policies (available on Tate intranet) and [Tate Privacy Policy](#) alongside all legal, ethical and funding body requirements for the collection, use and storage of data. Researchers should collect data accurately, efficiently and according to the agreed design of the research project. They must ensure that it is stored in a secure and accessible form for an appropriate time.

4.9.1 Record keeping

Researchers must guarantee that they have arrived at their own work independently and without having copied the work or infringed the rights of any third party. Researchers must not use automated decision-making tools to process data or generate research results. Throughout their work, researchers are therefore required to keep clear and accurate records of the procedures followed and of the results obtained, including interim results. Researchers should provide detailed references for the following: all publications and primary source materials (original archives and Public Records) that are consulted and subsequently referred to or quoted direct in their own research papers or theses either in the footnotes or list of references at the end of the work, depending on the standard format they are following. This is necessary not only as a means of demonstrating proper research practice, but also in case questions are subsequently asked about either the conduct of the research or the results obtained.

In cases where transcripts of interviews are the basis for research, these should be kept confidential. The researchers will only collect data from respondents or interviewees when they have given explicit and informed consent. The data is pseudonymised or anonymised by default unless otherwise agreed with the respondents or interviewees. Where agreements have been made, transcripts should be kept in accordance with any such agreements with the individuals concerned when the data was collected. Data subjects have the right to withdraw their consent and access, edit or delete their personal identifiable information at any time. The keeping and maintenance of notebooks and other data sources can also help to ensure that intellectual property can be protected, and copyright traced.

Permission to reproduce any information should be obtained from the relevant collection manager (e.g., the Archivist or Records Manager at Tate, depending on the source of the information). The text to be reproduced should be submitted, and where appropriate, an application made to Tate Images for permission to reproduce any images, for which there may be a charge. Note that researchers have access to publicly available records and archives listed on Tate's Archive catalogue on the website unless it is marked 'closed' or 'retained'. Any further information held by Tate and not yet released, is subject to sensitivity review by the Records Manager in the case of Public Records.

4.9.2 Storage of records

As a publicly funded body, Tate is responsible for the appropriate maintenance, safekeeping and storage of the records of research it sponsors. This is also a requirement of several sources of external funding. Researchers should confirm these requirements with the funding source at the outset of the research programme. A written statement regarding data storage should be included in the description of the research to be carried out.

The appropriate period for retaining data depends on circumstances (e.g., in some fields, the importance and relevance of data can be superseded rapidly). Equally, the means of data storage (paper /researcher's OneDrive etc) should be appropriate to the task. Provision should be made for automatic back-up of electronically stored data. Even if the individuals responsible for generating the data relocate or leave the organisation, Tate should still have access to data and appropriate steps should be taken to ensure the transfer of data from individuals to Tate.

Guidance on appropriate timescales, safeguards and data storage is the responsibility of the research project leader and/or principal investigator. Such guidance should be confirmed in writing at the outset of the research programme.

4.10 Publication and Dissemination

The contributions of formal collaborators and all others who directly assist or indirectly support the research must be properly acknowledged. This applies to any circumstances in which statements about the research are made, including provision of information about the nature and process of the research, as well as in the final publication. Where appropriate, the sponsors of the research should be acknowledged according to an appropriate formulation, normally agreed at the onset of the project.

The issue of authorship is important in the context of good research practice. Tate expects the matter to be taken seriously. If a paper is jointly authored, all named individuals should be able to identify their contributions. The practice of honorary authorship is unacceptable (i.e., only those who have contributed to the research should be listed).

4.10.1 Open Access

Tate has a statutory aim to ensure that the works of art and the documents are available to persons seeking to inspect them in connection with study or research.

Tate is committed to disseminating its research as widely as possible. Tate encourages researchers to conduct their research with the intention of making information and results publicly accessible.

Making your publications open access means that the results of research are available freely and accessibly in ways that allow them to be used and re-used for the benefit of the wider society.

Many UK and international funders (such as UK research councils) require that publications that are the result of research supported by their funding must follow open access requirements. **Researchers should consult the most up-to-date version of the funder's requirements.** For an overview of research funders' Open Access Policies see the [Sherpa Juliet database](#).

You can make your article open access via one of two routes.

1. you can publish the article open access in a journal or publishing platform. This makes the version of record immediately open access via its website with a creative commons attribution (CC BY) licence or other permitted licence.
2. you can publish the article in a subscription journal. You can deposit your author's accepted manuscript in an institutional or subject repository at the time of final publication with a CC BY or other permitted licence, although this is often subject to an embargo period.

Some academic journals charge authors an Article Processing Charge (APC) to make the version of record of an article available online on the date of publication. Where such an option is available, regardless of whether it is free or an APC is charged, articles should be made available under a Creative Commons attribution licence (i.e., CC BY).

Some funders, who require the outcomes of their funded research to be Open Access, will cover the APCs. If the research is led by a Tate colleague and is of an importance that merits publication in a journal that charges publication fees, Tate will consider paying an APC – although its ability to provide this kind of financial support will depend on whether an appropriate budget is available. Please consult the Research team to discuss this.

SECTION 5 Ethical Review

As we shift towards more people-centred practices in research, doing research ethically is important to improve quality of research, support trust in the research community and in Tate. Careful planning in relation to research ethics can help ensure the respect and wellbeing of communities.

Research ethical review aims to protect participants' welfare, dignity and rights. It is important for all researchers to reflect on the ethical issues raised by their research and be able to justify, in ethical terms, the practices and procedures they intend to adopt during the research.

Research practices involving the following shall be subject to ethical review at Tate: living participants; Tate colleagues and visitors; Tate's collection alongside all materials loaned or otherwise acquired by Tate; Tate data.

It is recognised that Tate often undertakes research in collaboration. Partner institutions may instigate their own ethical frameworks. It is necessary, however, that Tate should govern its own approach to research. Before starting any research project at Tate, researchers must obtain approval from Tate Research to evidence that they are aware of possible ethical issues related to their research and how to manage or mitigate these.¹²

Ethical review processes aim not to hinder research activities but to support the research process and encourage good practice. This will contribute to a robust research and broader institutional culture.

Researchers should refer to Tate's current research ethical review framework and procedure by consulting the Research department.

SECTION 6 RESEARCH MISCONDUCT

6.1 Definitions

Research misconduct is characterised by The Concordat to Support Research Integrity (2019) as 'behaviours or actions that fall short of the standards of ethics, research and scholarship required to ensure that the integrity of research is upheld. It can cause harm to people and the environment, wastes resources, undermines the research record, and damages the credibility of

¹² See definition of research in Section 2

research. This means that responsibility for ensuring that no misconduct occurs rests primarily with individual researchers.'

Researchers must not commit any act of research misconduct. This applies to any person conducting research under the auspices of Tate. We define this as non-compliance with Tate's Code of Good Research Practice and includes, but is not restricted to:

- **fabrication:** making up results, research outputs or other aspects of research (such as documentation of participant consent) and presenting and/or reporting them as if they were real.
- **falsification:** inappropriately manipulating and/or selecting research processes, materials, equipment, data, imagery and/or consents.
- **plagiarism:** using other people's ideas, intellectual property, or work (written or otherwise) without acknowledgement or permission.
- failure to meet legal, ethical, and professional obligations, for example:
 - not observing legal, ethical and other requirements for human research participants, animal subjects, human organs or tissue used in research, or for the protection of the environment.
 - breach of duty of care for humans involved in research whether deliberately, recklessly or by gross negligence, including failure to obtain appropriate informed consent.
 - misuse of personal data, including inappropriate disclosures of the identity of research participants and other breaches of confidentiality.
 - improper conduct in peer review of research proposals, results or manuscripts submitted for publication. This includes failure to disclose conflicts of interest; inadequate disclosure of clearly limited competence; misappropriation of the content of material; and breach of confidentiality or abuse of material provided in confidence for the purposes of peer review.
- misrepresentation of:
 - data, including suppression of relevant results/data or knowingly, recklessly or by gross negligence presenting a flawed interpretation of data.
 - involvement, including inappropriate claims to authorship or attribution of work and denial of authorship/attribution to persons who have made an appropriate contribution.
 - interests, including failure to declare competing interests of researchers or funders of a study.
 - qualifications, experience and/or credentials or publication history, through undisclosed duplication of publication, including undisclosed duplicate submission of manuscripts for publication.
- **improper dealing with allegations of misconduct:** failing to address possible infringements, such as attempts to cover up misconduct and reprisals against whistleblowers or failing to adhere appropriately to agreed procedures in the investigation of alleged research misconduct accepted as a condition of funding. Improper dealing with allegations of misconduct includes the inappropriate censoring of parties through the use of legal instruments such as non-disclosure agreements.

Research Misconduct is a highly serious disciplinary matter. It does not include honest error or honest differences in the design, execution, interpretation, or judgement in evaluating research methods or results, or misconduct unrelated to the research process.

6.2 Investigating research misconduct

In accordance with the guidance set out in the Code of Good Research Practice, any breaches of statutory or regulatory requirements will be investigated at Tate; these investigations will comply with and form part of Tate's investigations under our corporate policies: Dignity and Respect Policy, Tate Whistleblowing (Public Interest Disclosure) Policy and Capability, Disciplinary and Grievance Resolution Procedures and any other statutory or regulatory frameworks.

When allegations of misconduct in research are raised that include/relate to allegations of bullying/ harassment, Tate will determine whether those allegations are investigated under this Procedure and/or another Tate process, for example, the Tate Disciplinary Procedure. Financial fraud or other misuses of research funds or research equipment may be addressed under Tate's financial fraud investigation process, in lieu of this Procedure.

All representatives of Tate have a responsibility to report research misconduct, where they have good cause to believe it is occurring. Suspicions reported in confidence and in good faith will not lead to disciplinary proceedings against the person making the complaint. However, in the event of a frivolous, vexatious and/or malicious allegation Tate may consider recommending that action be taken against the Complainant.

Named Person

It is a requirement of this procedure that all allegations of research misconduct must be reported to a single individual known as the Named Person. The Director of Research and Interpretation is the individual nominated by Tate to have responsibility for the following: receiving any allegations of misconduct in research; initiating and supervising the Procedure for investigating allegations of misconduct in research; maintaining the record of information during the investigation and subsequently reporting on the investigation to internal contacts and external organisations; and, further, taking decisions at key stages of the Procedure. In case of absence, or in the case of any potential or actual conflict of interest, the Director of Research and Interpretation will allocate the role of 'Named Person' to a Research Manager or to any other member of the Divisional Senior Management Team, as the Director deems appropriate. The allocation of the role will be made on an annual basis. Any change will be communicated directly to researchers and other stakeholders.

After an investigation into alleged misconduct when a Respondent is not a current member of staff/ student of Tate (such as former staff or students, visiting staff, those on honorary contracts and students from other institutions conducting research at Tate), the Director of Research and Interpretation will determine the nature of any further action to be taken in relation to the investigation and its outcome.

6.3 Research misconduct investigation procedure

1. Individuals with concerns should raise an issue with their line manager or head of department who will then in turn initiate a process to investigate the allegations. If an external partner has any concerns, they should raise this as an informal allegation with the researcher/principal investigator for the project and then, if not satisfactorily resolved, through the formal process described below.
2. If, after this, the person making the allegation is not satisfied with the outcome, then they can raise a formal allegation. This should include a summary of the allegation along with any other information and enclose any evidence to support their concerns. The summary should be submitted to the Named Person: the Director of Research and Interpretation (via

research@tate.org.uk including 'Research Misconduct' in the subject line) who will assess the allegation (in terms of both the matter raised and the individuals identified) to determine whether the matter falls under this procedure for investigating misconduct in research or other corporate procedures. The Director of Research and Interpretation may identify suitable professional, administrative and other support to assist them in carrying out this assessment.

3. The Director of Research and Interpretation will determine whether the allegation of misconduct in research.
 - a) falls under the scope of this document, and therefore will proceed to (4)
 - b) falls within scope of another formal Tate process/ corporate policy and therefore warrants direct referral to it.
 - c) warrants direct referral to an external organisation, e.g., the organisation under whose auspices the research took place, or a professional body.
 - d) presents as being related to potential poor practice rather than to misconduct (In such cases, the initial approach to addressing the matter will be via informal measures, such as education and training, mediation, or other non-disciplinary approach)
 - e) is unfounded, because it is mistaken or is frivolous or is otherwise without substance (this could include difference of opinion on methodology), and will be dismissed; or is unfounded, because it is vexatious and/or malicious, and will be dismissed.
 - f) should be dismissed because it does not fall under the remit of the Procedure and does not need to be referred elsewhere.
4. If (a) then the Director of Research and Interpretation will raise this with the Research Advisory Group who shall assess the information obtained alongside any additional information they require.
5. A Panel of three people from the Group (with at least one member being external to Tate, as required by The Concordat to Support Research Integrity) will undertake an investigation, which will include, separately, interviewing the Complainant and the Respondent and will culminate in a report submitted to the Director of Research and Interpretation.
6. The panel's report will conclude whether an allegation of misconduct in research is upheld in full, upheld in part or not upheld. It will make recommendations as appropriate, for consideration by the appropriate Tate authorities, regarding any further action deemed necessary to address any misconduct it may have found. It will correct the record of research, and/or address other matters uncovered during its work, as necessary.
7. The Director of Research and Interpretation shall convey the substance of the Panel's findings and recommendations to the Complainant, the Respondent and such other persons or bodies as they deem appropriate.
8. The Director of Research and Interpretation is responsible for ensuring that any necessary actions are carried out after the investigation is completed.

Prior to making any formal allegation, sources of advice and support for individuals with concerns include:

- Fellow researchers and colleagues
- Supervisors
- Research Grants Manager
- Mentors
- Heads of Department
- Director of Research and Interpretation

SECTION 7 ACKNOWLEDGMENTS

A range of guidance relating to good research practice have been consulted in the preparation of this document (see below). We would like to gratefully acknowledge the work undertaken by Dr Meesha Warmington for Historic England and English Heritage, whose insights, along with UKRIO's Code of Practice for Research, formed the initial foundations of this document.

Kim Balukiewicz, Jane Bramwell, Katie Blackford, Anjalie Dalal-Clayton, Tate Greenhalgh, Helen Mavin, Emily Pringle and Ananda Rutherford, *Provisional Semantics: Addressing the challenges of representing multiple perspectives within an evolving digitised national collection* (Version 2), 2022, <https://doi.org/10.5281/zenodo.7081347>, accessed 29 February 2024.

Beacon North East, *Co-inquiry toolkit. Community-university participatory research partnerships: co-inquiry and related approaches*, Newcastle 2011, <https://www.durham.ac.uk/media/durham-university/research-/research-centres/social-justice-amp-community-action-centre-for/documents/toolkits-guides-and-case-studies/Co-Inquiry-Toolkit.pdf>, accessed 29 February 2024.

Historic England and English Heritage, 'Principles of Research Integrity', updated March 2023, <https://historicengland.org.uk/content/docs/research/principles-research-integrity/>, accessed 29 February 2024.

Historic England and English Heritage, 'Statement of Good Research Conduct', updated 30 March 2023, <https://historicengland.org.uk/content/docs/research/statement-good-research-conduct/>, accessed 29 February 2024.

James Parry and Nicola Sainsbury, *Procedure for the Investigation of Misconduct in Research*, Version 2, 2023, <https://doi.org/10.37672/UKRIO.2023.01.misconduct>, accessed 1 March 2024.

University College London, 'Research Governance', <https://www.ucl.ac.uk/governance-compliance/research-governance>, accessed 26 February 2024.

University of Glasgow, 'Code of Good Practice in Research', Version 3.3, 2023, https://www.gla.ac.uk/media/Media_490311_smxx.pdf, accessed 29 February 2024.

UKRI, 'Preventing harm (safeguarding) in research and innovation policy', Version 1.0, May 2020, <https://www.ukri.org/wp-content/uploads/2022/01/UKRI-110122-PreventingHarmSafeguardingInResearchAndInnovationPolicy.pdf>, accessed 1 March 2024.

UKRI, 'UKRI Open Access Policy', Version 1.8, 2023, https://www.ukri.org/wp-content/uploads/2023/11/UKRI-14112023-Nov-2023_UKRI-Open-Access-Policy_Version-1.8.pdf, accessed 1 March 2024.

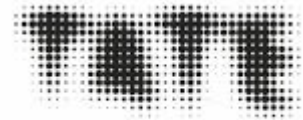
UKRIO Research Integrity Office, *Code of Practice for Research: Promoting good practice and preventing misconduct*, Version 3, UKRIO 2023, <https://doi.org/10.37672/UKRIO.2023.04.codeofpractice>, accessed 1 March 2024.

Wellcome, 'Research misconduct', <https://wellcome.org/grant-funding/guidance/research-misconduct>, accessed 21 November 2022.

Date of next review: April 2027

Tate Code of Good Research Practice

Appendix 1: Tate Checklist for Researchers

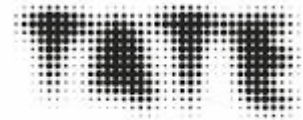


The Checklist lists the key points of good practice for a research project and is applicable to all subject areas. More detailed guidance is available in the Code of Good Research Practice.

Before conducting your research (and bearing in mind that, subject to legal and ethical requirements, roles and contributions may change during the time span of the research):

1. Does the proposed research address pertinent question(s) and is it designed either to add to existing knowledge about the subject in question or to develop methods for research into it?
2. Is your research design appropriate to the question(s) being asked and does it identify and address the most important potential sources of bias?
3. Will you have access to all necessary skills and resources to conduct the research?
4. Have you conducted a risk assessment to determine:
 - a. Whether there are any ethical issues?
 - b. Potential risks to Tate, the research, or the health, safety and well-being of researchers and research participants?
 - c. What legal requirements govern the research?
5. Will your research comply with all legal and ethical requirements and other applicable guidelines, including those from other organisations and/or countries if relevant?
6. Will your research comply with all requirements of legislation and good practice relating to health and safety?
7. Has your research undergone any necessary ethics review (see 4(a) above), especially if it involves human participants, human material, personal data or animals?
8. Will your research comply with any monitoring and audit requirements?
9. Are you in compliance with any contracts and financial guidelines relating to the project?
10. Have you reached an agreement relating to intellectual property, publication and authorship?
11. Have you reached an agreement relating to collaborative working, if applicable?
12. Have you agreed the roles of researchers and responsibilities for management and supervision?
13. Have all conflicts of interest relating to your research been identified, declared and addressed?

Appendix 1: Tate Checklist for Researchers



- 14. Are you aware of the guidance from all applicable organisations on misconduct in research?

When conducting your research:

- 1. Are you following the agreed research design for the project?
- 2. Have any changes to the agreed research design been reviewed and approved if applicable?
- 3. Are you following best practice for the collection, storage and management of data?
- 4. Are agreed roles and responsibilities for management and supervision being fulfilled?
- 5. Is your research complying with any monitoring and audit requirements?

When finishing your research:

- 1. Will your research and its findings be reported accurately, honestly and within a reasonable time frame?
- 2. Will all contributions to the research be acknowledged?
- 3. Are agreements relating to intellectual property, publication and authorship being complied with?
- 4. Will research data be retained in a secure and accessible form and for the required duration?
- 5. Will your research comply with all legal, ethical and contractual requirements?



Interview Consent Form template

Thank you for agreeing to be interviewed in the context as part of the research project *[insert name]*. The purpose of this consent form is to explain how the recorded interview will be used and stored at Tate.

[Name of project]

[Insert paragraph(s) on the project, including duration, funder, research questions, aims and objectives, and what form the research will take e.g., Part of the research will include undertaking recorded interviews with artists, practitioners and key stakeholders]

The project is led by *[Project lead, Job title, institution]*. Interviews might be conducted by member of the project team or another member of Tate staff.

Your personal data

The General Data Protection Regulations (GDPR) came into effect on 25 May 2018 and have changed the way in which you are informed about how your personal data is stored, processed, and how you can access it. Tate must seek your active consent in writing, both to participate in the interview and to continue to store and make use of the personal data you supply, such as your name, contact details, and the content of your interview. You can write to Tate to withdraw consent or gain access to your information at any time.

Tate Archive

Tate is a designated 'Public Record body' and 'place of deposit' under the Public Records Act 1958. Records that have been selected for permanent retention are placed on deposit at Tate on behalf of the nation. As a 'Public Records Body' Tate and the information it holds is subject to the Freedom of Information (FOI) Act 2000.

Copyright

By signing this letter of agreement, you agree to grant The Board of Trustees of the Tate Gallery ("Tate") non-exclusive, worldwide, perpetual consent to be able to use any records of your interview, including, but not limited to records and notes. This consent shall include the following non-commercial purposes for Tate and its partners: press, archive, marketing, publicity, education, research. You undertake that the contribution in the interview material does not infringe any existing copyright or licence of any third party.

By signing this form, you are agreeing to the following:

- You are allowing Tate to store and make use of your personal data and interview material now and in the future.
- You can withdraw at any time before the interview or decline to answer any question.
- Up to two weeks after the interview you can withdraw permission for the use of data from the interview; in this case, the material will be deleted.
- Your interview will be audio- and/or video-recorded, and transcribed.
- You will be provided with a transcript from the interview and can make amendments and indicate personal information that should remain confidential.
- You will be notified if Tate staff wish to quote extracts from your interview in dissertations, conference presentations, published papers, or other scientific or educational initiatives during the research project *[insert project name]*.
- You understand that, once the research project has been completed, your interview will form part of the Tate's archive and Tate will use it as a permanent public reference resource for use in publication, education, lectures, broadcasting, on the internet and in conservation documentation.
- Tate may also make your interview available on trusted open-access online repositories, such as that run by the British Library.
- You are free to contact any of the people involved in the research to seek further clarification and information.

Your consent to take part

This Agreement is made between TATE Millbank, London SW1P 4RG ("Tate") and you ("the Interviewee", "*I*"). I hereby consent to take part in an interview for Tate and agree that Tate can store, process and retain my personal data in order pursue its aims, objectives and activities, and provide services to users. This is subject to any closure or other restrictions that I might request when the interview has been completed. I understand that full details of how Tate uses and processes my data are stated in the 'Privacy Policy' at <https://www.tate.org.uk/about-us/policies-and-procedures/tate-privacy-policy>

Signature of participant

Name of interviewee

Interviewee signature.

Date

Signature of researchers

Signed by (on behalf of Tate)

Print name

Position at Tate

Date