

## CESEM ETHICS CHART

### 1. Framework

- 1.1. This Ethics Chart aims to promote respect for ethical values and standards in developing research activities within the Centre for Music Studies (CESEM)'s scope. It arises within the general scope of the mission and competencies of CESEM's Ethics Committee.
- 1.2. CESEM's Ethics Chart has the following objectives:
  - 1.2.1. Contribute to valorizing research in the arts, humanities, and social sciences.
  - 1.2.2. To promote critical reflection on the entire research process, which includes conceptualisation, planning, management, conduct, and scientific dissemination, as well as the self-regulation of researchers in the resulting activities.
  - 1.2.3. Safeguarding the safety, dignity, and reputation of researchers.
  - 1.2.4. Safeguarding participants' safety, dignity, and well-being in scientific activities involving them, where applicable.
  - 1.2.5. Contribute to credibility and public trust in scientific production.
- 1.3. This Ethics Chart is not binding and is intended only to inform and guide researchers in applying ethical values and standards at all stages of the research process.
- 1.4. The provisions of this Ethics Chart comply with the ethical principles and corresponding legislation, as well as the national, European and international guidelines applicable to the scientific domains present at CESEM, non-exhaustive examples of which are the following: i) the Universal Declaration of Human Rights (1948)<sup>1</sup>; ii) the Chart of Fundamental Rights of the European Union (2016)<sup>2</sup>; iii) the Convention on the Rights of the Child (2019)<sup>3</sup>; iv) the Convention on the Rights of Persons with Disabilities (2009)<sup>4</sup>; v) the European Chart for Researchers (2005)<sup>5</sup>; vi) the Legal Framework for Scientific Research Institutions (2019)<sup>6</sup>; vii) the Personal Data

<sup>1</sup> *Diário da República*, 2nd series, No. 243, 16 December 2013. United Nations (1948). *Universal Declaration of Human Rights*. <https://diariodarepublica.pt/dr/geral/legislacao-relevante/declaracao-universal-direitos-humanos>.

<sup>2</sup> Official Journal of the European Union, C202/389, 7 June 2016. *Chart of Fundamental Rights of the European Union*. <https://eur-lex.europa.eu/legal-content/PT/TXT/PDF/?uri=CELEX:12016P/TXT&from=FR>

<sup>3</sup> UNICEF (2019). *Convention on the Rights of the Child and Optional Protocols*. Portuguese Committee for UNICEF. Note: ratified by Portugal on 21 September 1990. [https://www.unicef.pt/media/2766/unicef\\_convenciao\\_dos\\_direitos\\_da\\_crianca.pdf](https://www.unicef.pt/media/2766/unicef_convenciao_dos_direitos_da_crianca.pdf)

<sup>4</sup> Resolution of the Assembly of the Republic No. 56/2009, published in *Diário da República*, 1st series, No. 146, 30 July 2009. *Convention on the Rights of persons with disabilities*. <https://files.dre.pt/1s/2009/07/14600/0490604929.pdf>

<sup>5</sup> European Commission (2005). *European Chart for Researchers - Code of Conduct for the Recruitment of Researchers*. Luxembourg: Office des publications officielles des Communautés européennes. ISBN 92-894-9318-6. [https://euraxess.ec.europa.eu/sites/default/files/brochures/eur\\_21620\\_en-pt.compressed.pdf](https://euraxess.ec.europa.eu/sites/default/files/brochures/eur_21620_en-pt.compressed.pdf)

<sup>6</sup> Decree-Law no. 63/2019 published in *Diário da República*, 1st series, No. 94, 16th May 2019. <https://files.dre.pt/1s/2019/05/09400/0246602475.pdf>

Protection Act (2019 - updated version)<sup>7</sup>; viii) the Statutes of Universidade NOVA de Lisboa<sup>8</sup>, without prejudice to the statutes of the institutions where CESEM sections are based; and ix) the Code of Ethics of Universidade NOVA de Lisboa (2014).<sup>9</sup>

- 1.5. The provisions of this Ethics Chart do not dispense with, replace, or override the consultation and reading of the legislation and documentation referred to in point 1.4 or of other countries' documentation whenever research by CESEM members takes place in third countries.
- 1.6. CESEM's Ethics Chart is a document that can be continuously improved and updated considering evolving ethical requirements in the scientific research process.

## 2. Principles of conduct

### Freedom

- 2.1. CESEM promotes freedom of thought and expression within its community.
- 2.2. CESEM values the autonomy of researchers, scientific freedom in selecting research topics, and the right to act according to its values, always in compliance with the rules listed in this Ethics Charter.
- 2.3. CESEM welcomes the diversity of theoretical and methodological paradigms in its research groups, nuclei, and thematic lines.

### Integrity and Transparency

- 2.4. The research carried out by CESEM researchers must be guided by intellectual honesty and scientific rigour throughout the investigative process.
- 2.5. The research process must be guided by the transparency and truthfulness of the procedures, data, results, interpretations, and implications for the scientific community and society without using or concealing bad research practices.
- 2.6. Researchers must identify and disclose actual and/or potential conflicts of interest related to any stage of the research process.
- 2.7. Third parties' relevant contributions in any phase of the research process, from conceptualisation, planning, management, and conduct to scientific dissemination, should be appropriately recognised, considering the work carried out.
- 2.8. Any misconduct, plagiarism, fabrication of data, or falsification is inadmissible at any stage of the investigative process.
- 2.9. CESEM researchers will not use their influence for personal gain or the benefit of family or friends.

<sup>7</sup> Law no. 58/2019 published in *Diário da República*, 1st series, No. 151, 8th July 2009. *General Data Protection Regulation*. <https://files.dre.pt/1s/2019/08/15100/0000300040.pdf>

<sup>8</sup> Normative Order no. 3/2020, published in *Diário da República*, No. 26/2020, 2nd series, 6 February 2020.

<sup>9</sup> Order no. 15464/2014 published in *Diário da República*, 2nd series, No. 245, 19 December 2014. *Universidade NOVA de Lisboa Code of Ethics*. [https://www.unl.pt/sites/default/files/unl-codigo\\_de\\_etica.pdf](https://www.unl.pt/sites/default/files/unl-codigo_de_etica.pdf)

### **Fairness and Respect**

- 2.10. Research within CESEM must be guided by fair treatment in personal and institutional relations between researchers, regardless of their tasks, powers, academic, or hierarchical positions.
- 2.11. The research processes that take place within CESEM must ensure an inclusive and plural environment, with equal opportunities, recognition, and respect for ethnicity, gender, age, sexual orientation, religious confession, ideological orientation, and social origin.

### **Responsibility**

- 2.12. The following must be observed throughout the research process: i) research activities must be conducted rigorously and reliably; ii) the data collected must follow European and national data protection rules based on the General Data Protection Regulation; iii) interpretations and conclusions must be anchored in available and accessible data and evidence, obtained through replicable procedures, allowing for a greater degree of objectivity; iv) the dissemination of results must be carried out correctly, fully and impartially.
- 2.13. The research carried out by CESEM researchers must: i) focus on activities with great potential for social and scientific relevance; ii) promote the sustainable management of the necessary resources, minimising possible negative impacts on the environment.
- 2.14. If research processes include participants, their voluntary and informed participation must be guaranteed, their anonymity must be guaranteed, the confidentiality of the information shared must be respected, and measures must be implemented to minimise risks to their physical and/or psychological well-being. Special attention should be paid to participants who are children or under 18, the elderly, pregnant women, prisoners, migrants, participants with physical or cognitive impairments, or others considered vulnerable to coercion or undue influence.
- 2.15. CESEM researchers must fulfill their ethical and professional obligations within this community before funding institutions and other public and private entities.

### **3. Research guidelines**

The research carried out within CESEM's groups, nuclei, and thematic lines include very diverse research objects and, in some cases, may include human participants belonging to vulnerable groups. These guidelines seek to encompass the diversity of research methods and scopes of the different groups, nuclei, and lines.

- 3.1. All research projects, whether they are the subject of an application for external funding or not, must include a heading relating to the ethical issues identified and the reasons for them.

## Consent

- 3.2. Whenever the research involves participants, the voluntary and informed consent of the participants or their legal representatives must be included in the case of situations of disability (motor, literacy) or limitation of their self-determination (under 18, cognitive difficulties). Consent must form part of the project's design and be sought from participants before it begins. However, even if a third party gives consent, the participant's refusal must prevent them from participating. When participation occurs in person, consent signed by the participant, or their legal representative should be favoured.
- 3.3. The information to be provided should be balanced, not too extensive, and written in accessible language: (i) the purpose and objectives of the research; (ii) the method and time required to involve the participants; (iii) the voluntary nature of participation; (iv) the possibility of withdrawing and discontinuing participation at any time; (v) any risks, discomforts or adverse effects associated with participation; (vi) any benefits associated with participation; (vii) any incentives for participation that the researcher undertakes to offer; (viii) any limits on confidentiality; (ix) the use of technology to record data; and (x) the name and contact details of the researcher responsible should you wish to make comments or ask questions about the research.
- 3.4. Consent must be reviewed and renegotiated whenever the research course changes.
- 3.5. Exceptions to consent may occur when the research does not involve a risk for the participants or jeopardises the research objectives (for example, if it conditions the participants' responses and/or conduct). These exceptions must be duly justified and require the approval of CESEM's Ethics Committee. If approved, researchers must disclose and contextualise the withheld information to participants appropriately.
- 3.6. Observation of activities and events in public spaces is not subject to prior consent. Nevertheless, the necessary precautions should be taken to anonymise the participants observed and minimise the possible discomfort caused by the observation. Contact information should also be made available should anyone enquire about the purpose of the observation.
- 3.7. Whenever the research includes the informed consent procedure, there should be feedback on the results and conclusions to the participants or legal representatives, where applicable.

## Confidentiality

- 3.8. Information provided by participants and/or their legal representatives must be treated confidentially.
- 3.9. Information that unequivocally identifies participants must be anonymised using codes, both in the data processing and in the dissemination of results.

3.10. The duty of confidentiality does not apply in the case of research which, by its nature, concerns the life or estate of participants and/or external organisations, not excluding the duty of agreement between both parties.

#### **Data collection, storage and archiving**

3.11. Depending on the context of the research, the data protection legislation in force at national, European, and international levels must be applied when collecting, storing, and archiving data.

3.12. The data collected as part of the research must be stored and maintained securely and accessible. During the data collection and storage process, only the researchers involved should have access to the data, which should be stored on a computer or external discs protected with a password.

3.13. Data collected as part of individual or collective research projects and which, by their nature, constitute CESEM's digital collections or databases (sound recordings, photographs, films, manuscripts, etc.) must be catalogued and made accessible to the public, other researchers, and funding bodies, whenever they exist.

3.14. Data collected as part of individual and collective research projects involving participants must be stored for a minimum of five years after the last publication date. After this period, any deletion or destruction of the data must be carried out in accordance with the applicable ethical and legal requirements, respecting the general principles of confidentiality, protection, and safety of the participants. If further studies using the data or spin-off projects are possible, the data may be retained for an additional period. Researchers must inform participants of this possibility.

3.15. Copyright of previously existing data must be respected by requesting authorisation and agreeing on the terms of its use.

#### **Dissemination of results and authorship<sup>10</sup>**

3.16. Research results should be publicised in good time to safeguard their original contribution to the advancement of scientific knowledge. However, consideration should be given to commercial or intellectual specificities, such as applying for and registering patents.

3.17. Partial or full publication of previously published work should be avoided except for reprints or reissues. If it does materialise, reference should be made to the first publication. However, extended versions of previously published works may be considered, depending on the conditions indicated in the contract signed with the publishers of the original publications.

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<sup>10</sup> In preparing this topic, the publication practices defined by the APA [American Psychological Association: <https://www.apa.org/research/responsible/publication>] and COPE [Committee on Publication Ethics: <https://publicationethics.org>] were taken into account.

- 3.18. Authorship and co-authorship must be defined considering the scope of participation in the research, namely a significant contribution: i) in the conception and design of the research; ii) in the collection and analysis of the data; iii) in the interpretation of the results; iv) in the discussion, writing and/or revision of the manuscript. All these conditions must be met.
- 3.19. The work and collaboration of all those involved in the research process must be recognised. If it does not fall under the authorship criteria described in the previous point, this acknowledgment should be made in specific sections, such as the acknowledgments or in footnotes, explaining the type of collaboration and whenever authorized by those involved.
- 3.20. Authorship and co-authorship should be defined according to direct participation in the research process, as defined in 3.18, and not according to academic or professional status, position or hierarchical position, coordination of the research group, provision of space or equipment for the research, funding or financial compensation, editing or translation of the manuscript.
- 3.21. The first author should be the one who contributed most to the research's conception and design, data collection and analysis, interpretation of the results, and primary responsibility for writing the manuscript. The first authorship may apply to students in the case of master's and doctoral theses produced as part of research projects.
- 3.22. The authorship order should be addressed throughout the research process, especially if new researchers are included. All those involved should agree with it, which can be redefined.
- 3.23. Financial and material support for research and publication should be recognised and mentioned.
- 3.24. Researchers must disclose the existence of conflicts of interest, such as affiliations with the results or financial interests.
- 3.25. The manuscript must avoid situations of misconduct, namely: i) plagiarism, e.g., use of third-party data and data conclusions; copying text from other materials without reference to the source; resubmission of a publication in the original language or a translation using different authorship; republishing an image without reference to the source; ii) text recycling (or self-plagiarism), except in justifiable situations and always identifying the original publication; iii) fabrication of data, e.g., observation records, interview responses or other research materials (e.g., musical audio records, musical manuscripts, informed consents); iv) falsification of data, i.e. manipulating, omitting, altering or distorting data, results or research materials.
- 3.26. Whenever applicable, participants and their legal representatives should have the opportunity to receive feedback on the study's results and conclusions. As a rule, feedback should be provided in research that includes informed consent.

3.27. Whenever applicable, participants and/or external entities involved in the research should be anonymised.