



Universidade do Minho

UNIVERSITY OF MINHO CODE OF ETHICAL CONDUCT

University of Minho Ethics Committee (CEUM)

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PREAMBLE

The Code of Ethical Conduct of the University of Minho (UMinho), henceforth also referred to as University or Institution, establishes a set of values and norms that guide the mission of the Institution in its activities of teaching, learning, training, research and interaction with society, based on the ethical principles of equity and justice, respect for the dignity of the human person as well as personal and professional responsibility, thus observing general law, the University statutes, and further applicable regulations and legislation.

The academic community, both as individuals and collectively, is engaged with an ethical commitment, which must be discussed, enhanced and developed with the richness that comes from healthy diversity, establishing a path towards the progress of the role assigned to the higher education system and towards respect for the autonomy of the University. This path is made of small steps and one of the main steps is the clear and unambiguous affirmation of that ethical commitment.

Thus, the purpose of this code is to provide the academic community with ethical guidelines compatible with the promotion of professionalism and best practices, in compliance with the guiding legal and statutory principles of respect for human dignity, equality, justice, free democratic participation and plurality of opinions and choices.

The code refers to all activities undertaken at the University, as indicated in its statutes, and concerns the entire academic community, which is composed of teaching staff, research staff, non-academic staff and the students in the 1st, 2nd and 3rd study cycles leading to the degrees of bachelor, master or doctor, respectively, as well as the students of other programmes or training courses conducted at the Institution or in collaboration with it.

The present document, drafted by the University of Minho Ethics Committee (CEUM), is divided into four chapters. The first chapter concerns the institutional ethical conduct and applies to the entire academic community. The remaining three chapters deal with the pedagogical and research dimensions. Chapter II is devoted to academic conduct; Chapter III refers to general conduct in research activities; and Chapter IV regards conduct in research with human beings or animals, specifically.

CHAPTER I

INSTITUTIONAL ETHICAL CONDUCT

I.1. Institutional ethical values and principles

Ethics is a crucial pillar of quality in teaching and research at the University, justifying its autonomy and involving a firm commitment with citizens and society.

Thus, the University promotes the values of academic integrity and transparency in all of its activities and adopts a conduct grounded upon the ethical principles of justice and equity, respect for the dignity of the human person as well as social and professional responsibility, which is accomplished through norms, duties and attitudes, with a particular emphasis on:

- a) the respect for the equality of opportunities of the entire academic community with regard not only to the level of access and performance of students but also to the progression of the professional careers of teachers, researchers and non-academic staff, without any kind of discrimination, dependency or subordination;
- b) the condemnation of any discriminatory attitudes on or off campus for reasons of culture, gender, ethnicity, nationality or political, ideological or sexual orientation, particularly physically, morally or psychologically offensive, as well as situations of coercion, intimidation, harassment or humiliation;
- c) the respect and fulfilment of the rights of people with disabilities or special needs;
- d) the guarantee of confidentiality of personal data;
- e) the acknowledgement of merit and the right to a fair and transparent performance assessment of all the academic community members;
- f) the principle of academic freedom in the activities of teaching, learning and scientific research in a constructive environment of free criticism, in the honest and responsible search for the progress of knowledge;
- g) the acknowledgement of the right to the relevant information about the statutes and institutional regulations of the organic units and bodies;
- h) the acknowledgement that all members of the academic community shall have the right to prompt and professional assistance in case of accident or sudden illness connected with the performance of their duties.

I.2. General obligations of the academic community

The general duties of all the members of the academic community, in addition to respect for the general law, people and regulations applicable to the activities conducted by the University, are as follows:

- a) to promote public interest in its activities;
- b) to respect and treat with civility all the members of the academic community;
- c) to not make slanderous accusations, to not provide false information and to not engage in forgery;
- d) to respect the property of all the members of the community and that of the University;
- e) to not engage in acts of violence, whatever they may be;
- f) to not use illicit substances or any substances liable to affect the proper performance of duties;
- g) to fulfil thoroughly the norms of safety and hygiene;
- h) to preserve the conditions of the facilities, equipment and natural environment of University spaces;
- i) to protect the interests of the University by means of a thrifty management of the human, material, electronic and financial resources available;
- j) to actively participate in the processes of internal and external assessment of the projects and activities of UMinho with a sense of rigour and responsibility.

I.3. Specific obligations of teaching staff, research staff and non-academic staff

Specific obligations of teachers, researchers, non-teaching staff and non-research staff are the following:

- a) to adopt a professional posture guided by the values of honesty, competence and availability;
- b) to be diligent and punctual in the performance of duties as well as in the participation in mandatory meetings;
- c) to act before all the members of the academic community with responsibility, exemption, impartiality and transparency;
- d) to maintain professional secrecy about all the facts and elements of which they might be aware when such is demanded;

I.4. Activities of interaction with society

For the relevance that it has publicly acquired before society at regional, national and international levels as a centre for the creation, dissemination and transfer of knowledge and as an ethical, cultural and humanistic reference and landmark, the University has fostered a very special relationship to the external community, namely:

- a) with regard to the promotion and dissemination of science, culture, education and the values of citizenship;

- b) through inter-institutional cooperation in the pedagogical, scientific and technological fields, translated into training courses, seminars, conferences, congresses and other initiatives;
- c) through programmes of innovation and technology transfer, execution of research projects and technological development, as well as in terms of entrepreneurship in activities aimed at creating consortia, institutes and other interface institutions between the university and companies.

As concerns the dimension of interaction with the external community, particularly the development of applied research and technology transfer, it is for UMinho to adopt appropriate measures that contribute towards the success of cooperation, namely:

- a) to define its obligations and rights by means of suitable protocols or contracts approved by the competent bodies of the University;
- b) to promote internal regulations that enable the management and resolution of possible conflicts of interest of an individual or institutional nature or other;
- c) to develop a strategy to protect the intellectual property of the parties involved;
- d) to ensure the obligation of the teachers/researchers that participate in the activities of cooperation to adopt norms of good conduct and transparency, namely:
 - i) to abide by values of exemption, integrity as well as scientific and professional competence;
 - ii) to preserve the good image of the Institution;
 - iii) to safeguard the copyright and terms of publication of the results obtained;
 - iv) do not compromise the activities of teaching and research for which they are responsible at the University.

I.5. Consequences in case of misconduct by teaching staff, research staff and non-academic staff

Under the terms of general law and article 9 of its statutes, the University enjoys disciplinary autonomy, and the Rector holds disciplinary power, assisted by a disciplinary council.

In the case of teachers, researchers and non-academic staff, the exercise of disciplinary power is governed by the disciplinary statutes of employees performing public functions (Law 58/2008 of 9 September) and further applicable legislation.

CHAPTER II

ACADEMIC ETHICAL CONDUCT

In compliance with the statutes of the University and bearing in mind the institutional ethical principles, all actions of students as core members of the academic community must be shaped by ethical principles and values that are crucial to the success of their educational performance and to the upbringing of free, responsible and competent citizens.

The norms of academic ethical conduct apply to each and every student of UMinho, regardless of the qualifications to be obtained in the various activities therein conducted, especially those of teaching, learning, training and research, and in particular within the scope of study cycles leading to bachelor, master and doctor degrees, as well as other graduate or continuous training courses carried out by the University or in collaboration with it.

The norms of conduct herein mentioned are based on a coherent range of rights and obligations of all the students, placing specific emphasis on the honest and responsible fulfilment of the procedures used in the assessment of knowledge. They can further be regarded as a chart of ethical conduct - or academic code of honour -, capable of strengthening habits, values and attitudes of moral and professional character.

II.1. Student rights

The educational mission of the University implies that students enrolled in any study cycle or activity acknowledged by the Institution must benefit from a professional and academic work environment based on respect and mutual trust between fellow students and the teachers. Students must therefore receive a treatment based on the principles of equity, justice and equality of opportunities, namely:

- a) to receive quality teaching based on high-level human development in its ethical, cultural, social, scientific, artistic, technical and professional dimensions;
- b) to have timely access to all the relevant information for the success of their performance, namely on the part of degree programme directors as well as the Academic Services, Social Services and other relevant bodies and services;
- c) to be informed of all the study plans, objectives and syllabuses of the course units they will attend;
- d) to enjoy the right to participate in University bodies through their elected or appointed representatives;
- e) to be informed, by the teachers responsible for training, about the methodologies, tools, assessment deadlines and criteria adopted under the terms of the academic regulations;

- f) to be informed about the system regarding absence and all items they are allowed to use for the exams of each course unit;
- g) to have their performance assessed based on fair and transparent objectives;
- h) to have the guarantee of availability from their teachers and/or scientific supervisors to discuss doubts or matters related to their academic work at undergraduate or graduate level;
- i) to be able to access, in accordance to the regulations, all support services and the means available - bibliographic, computer, laboratory or others - necessary for the development of the respective teaching projects;
- j) to be treated with respect and civility and without any kind of discrimination by all members of the academic community;
- k) to have a guarantee of confidentiality of elements and information on private matters;
- l) to benefit from suitable conditions for the practice of sports at the University;
- m) to have protected the rights of students with disabilities or special needs;
- n) to have protected the rights of the students on special attendance regimes, in accordance with the regulations.

II.2. Student duties

As the University privileges high-level human development and an irreproachable ethical posture in all of its activities, the entire community of students is expected to respect intellectual honesty based on the highest standards of integrity and responsibility.

In addition to the general obligations as members of the academic community, referred to in Chapter I, and those imposed by the applicable general law, by the University statutes and further relevant regulations, the general duties of students are as follows:

- a) to be diligent, punctual and disciplined in classes or other working sessions included in the study plan;
- b) to respect and treat with civility and loyalty all teachers, researchers, non-academic staff, fellow students and other members of the academic community;
- c) to comply with the functioning and safety rules of the Institution, respecting the property of all the members of the academic community and of the University;
- d) to preserve the facilities, equipment and other teaching, research, social or leisure spaces of the Institution;
- e) to contribute towards an harmonious coexistence and the full-fledged integration of all members into the academic community, in an environment of freedom and mutual respect, renouncing any act of discrimination, intimidation, humiliation or harassment;

- f) to refrain from engaging in actions or incidents that by their nature may disturb the course of classes or other regular academic activities;
- g) to become familiar with the norms set forth in the academic regulations and disciplinary regulations;
- h) to respect the provisions laid down in the goals, working methodologies and knowledge assessment procedures adopted in the respective teaching projects;
- i) to take part in the bodies for which they are elected or appointed;
- j) to actively participate with a sense of rigour and responsibility in the fulfilment of the questionnaires concerning the perceptions on teaching and learning, within the scope of the University of Minho Internal Quality Assessment System.

II.3. Cases of misconduct

Acts of dishonesty, incompatible with the academic integrity, are those in violation of the students' general duties, and in particular those that benefit students under assessment with results obtained through fraudulent actions that violate procedures adopted for knowledge assessment processes, as well as actions concerning plagiarism, as indicated below.

II.3.1. Breach of procedures that protect the integrity of the knowledge assessment process

Among the breach of procedures that protect the integrity of the knowledge assessment process, those of particular note are:

- a) the use of cheat sheets, notes, texts or other unauthorised items during the exams;
- b) the act of copying the work of someone else, or part of it, or allow someone to copy one's work or part of it during an exam;
- c) obtaining the help of someone else, on or off the premises where the exam is taking place, contrary to the rules established for the assessment method;
- d) signing someone else's name on, inter alia, tests, exams or assignments subject to assessment;
- e) unjustified possession, prior to the exam, of forms, question sheets or other elements of the same exam;
- f) the use of unauthorised technological means capable of facilitating access to information relevant for the exams or other assessment tests to one's own advantage or to the advantage of others.

II.3.2. Plagiarism

The practice of plagiarism is regarded as any situation where one uses ideas, claims, data, images or illustrations from other author(s) without the explicit acknowledgment of the same author(s).

Below can be found a non-exhaustive list of all the situations considered plagiarism of a literary, artistic or scientific work in the form of a report, article, essay, thesis or dissertation in paper or digital format, in part or in full:

- a) the submission of allegedly individual and original work produced wholly or partially by another person without respect for the norms of bibliographic referencing and citation of the author or authors;
- b) the incorrect use of ideas or paraphrases of someone else's work, either for excessive length or repetition of words and contents, or for the absence of a suitable identification of its authors;
- c) the presentation, as being original, of a work that had been previously presented by oneself or published on a prior occasion, without explicitly making such fact known;
- d) the presentation of work done in collusion with someone else, resulting from unauthorised collaboration.

II.3.3. Other illicit cases

The following illicit cases further constitute serious offences:

- a) the presentation of assignments, essays, reports, theses or dissertations with results that are falsified, fabricated or interpreted with bias;
- b) the destruction or modification of someone else's work to one's advantage;
- c) the purchase or sale, wholly or partly, of dissertations, theses, reports or other academic assignments used in assessment processes;
- d) the falsification of information on forms or other official documents.

II.4. Consequences in case of misconduct

Without prejudice to not restricting the violations or offences against the abovementioned cases, the warning remains that, in general, any dishonest and fraudulent act practiced for the direct or indirect benefit of the offender(s) should be considered as a violation of academic integrity and subject to sanctioning procedures.

The disciplinary sanctions for acts of illicit academic conduct, as well as the definition and regulation of the procedures to adopt shall be handled in compliance with general law, the student's disciplinary regulations and further relevant regulation.

CHAPTER III

ETHICAL CONDUCT IN RESEARCH

The code applies to all the people involved in activities of research at the University or in collaboration with it, namely to the teaching and research staff, to non-academic staff as well as students and research grant holders.

The code aims to highlight the principles of best practices in the field of research, and to draw attention to typified cases of misconduct, which must be prevented and abolished.

As a fundamental principle, it should be understood that ethics in research always implies the respect for the dignity of the human person, for the progress and valorisation of knowledge, for the quality and originality of research, for the scientific truth and freedom of research.

III.1. General principles of best practices and ethical values

All those engaged in research have special responsibilities to society, the University, funding entities and the research team involved.

The values of intellectual honesty, authenticity, objectivity, respect for intellectual property, methodological and experimental rigour, unbiased analysis of data, as well as the non-violation of the rights and dignity of human or animal subjects are all crucial to preserve the credibility and quality of research.

The most experienced researchers have a key role not only in the scientific supervision and guidance of their younger counterparts but also in the creation and maintenance of an ambience exuding integrity, rigour and critical thinking.

It should also be noted, however, that all researchers regardless of their experience or qualifications are required to maintain high standards of integrity compatible with a conduct that abides by the following principles and attitudes:

- a) to ensure an ethical basis for all activities of research;
- b) to ensure that all research is conducted in compliance with the safety norms and protocols for people and goods;
- c) to manage with transparency, justice and thrift the financial means delivered by the funding entities in order to ensure the success of the project within the target date;
- d) to properly supervise the work developed by the students attending study cycles leading to the master's and doctor's degrees, as well as post-doctoral grant holders and other researchers;
- e) to keep appropriate records that allow for the verification of the research results;
- f) to ensure confidentiality in order to protect intellectual property, whenever such is applicable;

- g) to ensure that the referencing of the sources used in the production of scientific work is rigorous and comprehensive;
- h) to safeguard respect for copyright, making adequate mention of the sources used in the work;
- i) To ensure the correct inclusion of the names of the authors and co-authors in the respective publications, as well as the due acknowledgement of other collaborators, where justifiable;
- j) to safeguard the principle of freedom of research.

III.2. Cases of misconduct

Situations that violate the integrity of the researcher and are therefore liable to penalties are typified non-exhaustively below:

- a) the practice of plagiarism;
- b) the appropriation of someone else's intellectual creations, protected by the rules of intellectual property, without legal consent;
- c) the fabrication of results or their falsification;
- d) the use of false curricular information;
- e) the presentation of the same work, wholly or partly, in later publications without explicit mention to the original source and the replicated parts;
- f) the intentional distortion of results to support a particular guideline of the work or to satisfy other interests than the scientific truth;
- g) the participation in jury panels of recruitment competitions, of promotion in academic and professional careers or of assessment of funding applications in which there might be potential conflicts of interest.

CHAPTER IV

ETHICAL CONDUCT IN RESEARCH WITH HUMAN BEINGS OR ANIMALS

As a general rule, research with human beings or animals should be performed in compliance with the Ethical Conduct in Research included in chapter III.

Similarly, research must be scientifically justified, meet the necessary criteria of scientific quality and be conducted in compliance with the relevant obligations and professional norms under the supervision of duly qualified researchers and/or medical practitioners.

It should further be noted that the necessary information for the ethical assessment of a research project must be provided in writing to the competent ethical body(ies) as stipulated by the applicable legislation or

competent body. For that purpose, the University of Minho Ethics Committee, through the Subcommittee of Ethics for the Life and Health Sciences, shall release a guide with the procedures and all the documents to submit to the University of Minho Ethics Committee.

IV.1. Research with human beings

IV.1.1. Rules of ethical conduct and best practices in research with human beings

In cases where research is conducted with human beings, rules of ethical conduct and best practices must be safeguarded in order to comply with the principles of the Declaration of Helsinki¹ and the Oviedo Convention², the guidelines for human experimentation set out in The Nuremberg Code³, the Convention on Human Rights and Biomedicine⁴, the guidelines of the Council for International Organizations of Medical Sciences (CIOMS) in collaboration with the World Health Organization (WHO)^{5,6}, the Guide to Good Clinical Practice⁷ and the basic ethical principles identified in The Belmont Report⁸ for the protection of human subjects in biomedical and behavioural research. The following European Union (EU) directives for clinical studies should be further observed: Directive 95/46/CE⁹, of 24 October 1995 (issued by the European Parliament and the European Council on the protection of people regarding the treatment of personal information and the free circulation of such data); and Directive 93/88/CEE¹⁰, of 12 October 1993, which amends Directive 90/679/CEE, of 26 November 1990 concerning the protection of workers against the risks arising from the exposure to biological agents while at work.

¹ *World Medical Association. Ethical principles for medical research involving human subjects. Helsinki 1964 (revision 2008).* Available at: <http://www.wma.net/en/20activities/10ethics/10helsinki/index.html>

² *Council of Europe. Additional Protocol to the Convention on Human Rights and Biomedicine, concerning Biomedical Research (Oviedo Convention).* Available at: <http://conventions.coe.int/Treaty/EN/Treaties/html/195.htm> e <http://dre.pt/pdf1sdip/2001/01/002A00/00140036.pdf>

³ *The Nuremberg Code.* Available at: <http://ohsr.od.nih.gov/guidelines/nuremberg.html>

⁴ *Convention for the protection of Human Rights and Dignity of the Human Being with regard to the Application of Biology and Medicine: Convention on Human Rights and Biomedicine (Council of Europe 1997). Resolution of the National Assembly no. 1/2001, of 3 January, Official Gazette – A, no. 2.* Available at: <http://dre.pt/util/getpdf.asp?s=dip&serie=1&iddr=2001.2A&iddip=20010014>

⁵ *Council for International Organizations of Medical Sciences and World Health Organization. International Ethical Guidelines for Biomedical Research Involving Human Subjects. Geneva, Switzerland: CIOMS, 2002.* Available at: http://www.fhi.org/training/fr/retc/pdf_files/cioms.pdf

⁶ *Council for International Organizations of Medical Sciences and World Health Organization. International Ethical Guidelines for Epidemiological Studies. Geneva, Switzerland: CIOMS, 2008.* Available at: <http://www.ufrgs.br/bioetica/cioms2008.pdf>

⁷ *Good Clinical Practice, European Medicines Agency, 2000.* Available at: http://www.ema.europa.eu/docs/en_GB/document_library/Scientific_guideline/2009/10/WC500004343.pdf

⁸ *The Belmont Report.* Available at: <http://ohsr.od.nih.gov/guidelines/belmont.html>

⁹ *Directive 95/46/EC of the European Parliament and of the Council of 24 October 1995. Official Journal L 281.* Available at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:31995L0046:EN:HTML>

¹⁰ *Council Directive 93/88/EEC of 12 October 1993 amending Directive 90/679/EEC. Official Journal L 281.* Available at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:31993L0088:EN:HTML>

Research conducted in human subjects should further attempt to abide by and fulfil the requirements established by the Regional Health Administration of the North (ARS)¹¹, the European Commission¹² and the United Nations Educational, Scientific and Cultural Organization (UNESCO)¹³.

The recommendations of the Nuffield Council on Bioethics¹⁴ and of the WHO on ethical matters pertaining to health-related research in international settings¹⁵ are equally relevant in studies conducted at international level and/or in developing countries.

The best practices identified above require responsibilities, safeguards, care and special methodologies, including the following principles:

- a) the interest and well-being of the human subject must prevail over the interest of science;
- b) research on human beings shall only be initiated where there is no comparably effective alternative;
- c) research must not involve disproportionate risks or expenses with regard to the potential benefits and must prevent or minimise situations of discomfort as well as physical and psychological suffering of the subjects under investigation;
- d) research shall only be conducted if approved by the competent ethical body(ies) after an independent examination of its scientific merit;
- e) no research on human beings shall be conducted absent informed consent, freely expressed, specific and documented. Voluntary and informed consent should therefore be previously requested from the subjects under investigation for the questionnaires, tests or experiments to be carried out;
- f) confidentiality of the personal information collected during the research must be ensured. These data should not be retained for a period of time longer than necessary, in agreement with the opinion of the competent ethical body(ies) and or relevant laws and directives, after which time they are to be destroyed. Any information of a personal nature gathered during the course of the

¹¹ Regional Health Administration of the North (ARS Norte). Road map for the analysis of clinical research projects by an Ethics Committee for Health Issues. Available at: http://portal.arsnorte.min-saude.pt/portal/page/portal/ARSNorte/Comiss%C3%A3o%20de%20C3%89tica/Ficheiros/Documento_Guia_Analise_Projectos.pdf

¹² European Commission. *Ethics for researchers. Facilitating research excellence in FP7*. European Commission, 2007. Available at: <ftp://ftp.cordis.europa.eu/pub/fp7/docs/ethics-for-researchers.pdf>

¹³ United Nations Educational, Scientific and Cultural Organization *Report of the International Bioethics Committee of UNESCO on Consent*. UNESCO, 2008. Available at: http://ethics.iarc.fr/Documents/IBC_consent.pdf

¹⁴ Nuffield Council on Bioethics. *The ethics of research related to healthcare in developing countries*. Available at: <http://www.nuffieldbioethics.org/sites/default/files/Ethics%20of%20research%20related%20to%20healthcare%20in%20developing%20countries%20I.pdf>

¹⁵ World Health Organization. *Casebook on Ethical Issues in International Health Research*. WHO, 2009. Available at: http://whqlibdoc.who.int/publications/2009/9789241547727_eng.pdf

research shall be considered confidential and handled in compliance with rules concerning the protection of data and private life;

- g) further safeguards should be taken into account when the research concerns vulnerable groups such as children, pregnant women, the elderly or persons with disabilities or infectious, contagious or oncological diseases. The information provided upon collection of the informed consent must be very clear regarding not only the confidentiality of the data and anonymity of the participants, but also possible suffering and stress-related consequences for humans;
- h) if the research results in relevant information for the present or future health or quality of life of the participants, that information should be conveyed to them at a health care or counselling facility;
- i) a guarantee of insurance should be provided against the risk of accidents, physical or psychological damage that the human subjects may experience as a result of the research conducted.

IV.1.2. Cases of misconduct in research with human beings

In case of research on humans, whenever an anomaly is detected it should be assessed so that precautions may be taken to prevent its occurrence, thus ensuring the protection of the research participants. Continuous or serious anomalies should be reported to the national regulatory authorities or equivalent competent authorities, as defined in Directive 2001/20/EC, of 4 April concerning the implementation of good clinical practices in clinical trials by the member states.

The suspension of a clinical trial may occur, inter alia, under the following circumstances: (i) death of a participant; (ii) unacceptable change in the trial period; (iii) serious or frequent adverse events, particularly if the results of the study cause the ethics committee (or competent authority) to question and reassess the risk-benefit balance or the nonconformity of the researcher¹⁶. Such suspensions presuppose a revision of all the scientific information, as well as the safety and well-being of all the participants involved in the study.

IV.2. Research with animals

IV.2.1. Rules of ethical conduct and best practices in research with animals

Whenever animals are used in research for experimental and other scientific purposes, the national legislation in force shall be observed: Decree-law 129/92 of 6 July¹⁷, Ordinance 1005/92 of 23 October¹⁸;

¹⁶ Johan PE Karlberg and Marjorie A Speers. *Clinical Trials Centre and Association for the Accreditation of Human Research Protection Programs. Reviewing Clinical Trials: A Guide For The Ethics Committee. 2010.* Available at: http://www.pfizer.com/files/research/research_clinical_trials/ethics_committee_guide.pdf

¹⁷ Decree-law 129/92, of 6 July, Official Gazette no. 153, Series I - A. Available at: <http://dre.pt/pdf1sdip/1992/07/153A00/31973198.pdf>

¹⁸ Ordinance 1005/92, of 23 October 1992, Official Gazette no. 245, Series I - B. Available at: <http://dre.pt/pdf1sdip/1995/05/114B00/29802981.pdf>

Ordinance 466/95 of 17 May¹⁹; Decree-law 197/96 of 16 October²⁰ and Ordinance 1131/97 of 7 November²¹. One should further observe the new European Directive 2010/63/EU of 22 September 2010²² concerning the protection of animals used for scientific purposes, which is expected to be transposed to national legislation in 2013. The enforcement of the provisions laid down in Annex I of Ordinance 1005/92 of 23 October reflects in the implementation of the best practices referred to in the Recommendation of the European Commission no. 2007/526/CE of 18 July²³, which includes guidelines resulting from the latest revision of appendix A of the European Convention for the Protection of Vertebrate Animals used for experimental and/or other scientific purposes (Convention ETS 123²⁴). The use of animals for scientific purposes is further governed by the internal regulation of UMinho's research centres, which are licensed for the practice of animal breeding and/or experimentation. The following principles of best practices are of particular note in the context of research with animals:

- a) animals are not subject to conditions of unnecessary discomfort or suffering during their transportation to the laboratory and, whenever possible, during the process of experimentation;
- b) the application of the Three Rs principles by Russel and Burch (Reduction, Replacement, Refinement) will be promoted, with the substitution of live animals for alternative methods whenever possible;
- c) all those involved in animal experimentation must have proper training, according to the criteria established by the Portuguese National Authority for Animal Health (DGAV), and the respective legal accreditation awarded by this organization;
- d) in the event that the training requirements mentioned in the previous items are not met, people should be supervised during animal experimentation by duly accredited professionals;
- e) animal experimentation can only take place in spaces licensed by DGAV;
- f) the execution of research projects and teaching activities involving animals must be previously authorised by the national competent authority (DGAV);

¹⁹ Ordinance 466/95, of 17 May 1995, Official Gazette no.114, Series I – B. Available at:

<http://dre.pt/pdf1sdip/1995/05/114B00/29802981.pdf>

²⁰ Decree-law 197/96, of 16 October 1996, Official Gazette no. 240, Series I – A. Available at:

<http://dre.pt/pdf1sdip/1996/10/240A00/36193619.pdf>

²¹ Ordinance 1131/97, of 7 November 1997, Official Gazette no. 258, Series I- B. Available at:

<http://dre.pt/pdf1sdip/1997/11/258B00/61126113.pdf>

²² Directive 2010/63/EU of the European Parliament and of the Council, of 22 September 2010, on the protection of animals used for scientific purposes, Official Journal L276. Available at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2010:276:0033:0079:EN:PDF>

²³ *Commission Recommendation 2007/526/EC of 18 June 2007 on guidelines for the accommodation and care of animals used for experimental and other scientific purposes*, Official Journal L197. Available at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2007:197:0001:0089:EN:PDF>

²⁴ *European Convention for the Protection of Vertebrate Animals used for Experimental and other Scientific Purposes, CETS No.: 123, 1986* (text amended according to the provisions of the protocol (ETS No. 170) as of its entry into force on 2 December 2005). Available at: <http://conventions.coe.int/Treaty/en/Treaties/html/123.htm>

- g) the coordinating researchers of the projects referred to in the previous item may request that the projects be assessed by the University of Minho Ethics Committee, which shall issue an opinion to accompany the file to be submitted to DGAV. This must be done within the deadlines established in the guide of procedures of the Ethics Sub-committee for the Health and Life Sciences;
- h) the opinion mentioned in the previous item, duly codified by the University of Minho Ethics Committee with a single identification number, can also be used for the submission of scientific publications within the scope of the project entitled "formal agreement opinion issued by the Ethics Committee with regard to the animal experimentation procedures used for the publication".

IV.2.2. Cases of misconduct in research with animals

With respect to animal experimentation, each and any noncompliance with best practices and the respective legislation mentioned in the present chapter entails the consequences stipulated in Decree-law 129/92 of 6 July or further applicable regulations and legislation.