

## **CODE OF PROFESSIONAL BEHAVIOUR**

### **KEY PRINCIPLES**

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Market Research depends upon the willing co-operation of the public and the business community. This co-operation is based on public and business confidence that market research is carried out honestly, objectively and without unwelcome intrusion or disadvantage to respondents. The purpose of market research is to collect and analyse information and not to directly sell or promote goods or services, influence Respondents' opinions or engage in other non-research activities. It is in this spirit that the Code of Professional Behaviour has been devised.

The general public, business community and other interested parties are entitled to complete assurance that every market research project is carried out strictly in accordance with this Code and that their rights of privacy are respected.

The key principles of professional market research have been taken from the full text of the Code of Professional Behaviour of the AMSRS and are binding on its membership. This summary of key principles cannot be taken as a substitute for the full Code.

### **RESPONSIBILITIES TO RESPONDENTS**

- Respondents' identities must not, without their consent, be revealed to anyone not directly involved in the market research project or used for any non-research purpose.
- Nobody shall be adversely affected or harmed as a direct result of participating in a market research study.
- Respondents must be able to check without difficulty the identity and bona fides of Researchers.
- Respondents' co-operation in a market research project is entirely voluntary at all stages; they must not be misled when being asked for their co-operation.
- No child under 14 years shall be interviewed without parents'/guardians'/responsible adults' consent.

### **RESEARCHERS' PROFESSIONAL RESPONSIBILITIES**

- Researchers must not, whether knowingly or negligently, act in any way that could bring discredit on the market research profession or lead to loss of public confidence.
- Researchers must always strive to design research which is cost-efficient and of adequate quality, and then to carry this out.
- Researchers must not undertake non-research activities (e.g. telemarketing, list building) and research activities simultaneously.

### **RESEARCHERS' AND CLIENTS' MUTUAL RIGHTS AND RESPONSIBILITIES**

- Market research must always be conducted according to the principles of fair business practice.
- Researchers must ensure that Clients are aware of the existence of the Code and of the need to comply with its requirements.
- Information about Clients' businesses, their commissioned market research data and findings remain confidential to the Clients unless both Clients and Researchers agree the details of any publications.
- Researchers must provide Clients with all appropriate technical details of any research project carried out for those Clients.

The research findings must always be reported accurately and never used to mislead anyone in any way.

## **INTRODUCTION**

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Effective communication between the suppliers and consumers of goods and services of all kinds is vital to any modern society. Growing international links make this even more essential. For a supplier to provide in the most efficient way what consumers require, he/she must understand their differing needs; how best to meet these needs; and how he/she can most effectively communicate the nature of goods or services he/she is offering.

This is the objective of market research. It applies in both private and public sectors of the economy. Similar approaches are also used in other fields of study, for example, in measuring the public's behaviour and attitudes with respect to social, political and other issues by Government and public bodies, the media, academic institutions etc. Market and social research have many interests, methods and problems in common although the subjects of study tend to be different.

Such research depends upon public confidence: confidence that research is carried out honestly, objectively, without unwelcome intrusion or disadvantage to Respondents, and based upon their willing co-operation. This confidence must be supported by an appropriate Code of Professional Behaviour that governs the way in which market research projects are conducted.

The first Code of Marketing and Social Research Practice was published by the European Society for Opinion and Market Research (ESOMAR) in 1948. This was followed by a number of Codes prepared by national market research societies and by other bodies such as the International Chamber of Commerce (ICC) that represents the international marketing community. In 1976 ESOMAR and the ICC decided that it would be preferable to have a single International Code instead of the differing ones, and a joint ICC/ESOMAR Code was therefore published in the following year (with revisions in 1986).

Subsequent changes in the marketing and social environment, new developments in market research methods and a great increase in international activities of all kinds including legislation, led ESOMAR to prepare a new version of the International Code in 1994. This new version sets out as concisely as possible the basic ethical and business principles that govern the practice of market and social research. It specifies the rules that are to be followed in dealing with the general public and with the business community, including Clients and other members of the profession.

Members working for the Australian Bureau of Statistics are constrained by Australian Law under clause A2. They are exempt from conflicting parts of section B while in the employ of the ABS.

After a review of the Code, AMSRS adopted the ICC/ESOMAR Code in 1995 as the AMSRS Code of Professional Behaviour. The associated Notes on how the Code should be applied have been modified for Australian market and social research practice. Both the Rules and the Notes were amended in early 2003 to reflect the full introduction of the Privacy Act 1988 (Commonwealth) to all businesses operating in Australia.

## **THE CODE**

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This Code sets out the basic principles that must guide the actions of those who carry out or use market research. Individuals and organisations that subscribe to it must follow not just the letter but also the spirit of these rules.

No Code can be expected to provide a completely comprehensive set of rules that are

applicable to every situation that might arise. Where there is any element of doubt people should ask for advice and meanwhile follow the most conservative interpretation of these principles. No variation in the application of the rules in Australia is permissible without explicit authorisation by the AMSRS.

Individuals are always responsible for ensuring that the other people in their organisation who, to their knowledge, are concerned in any way with market research activities are aware of, and understand, the principles laid down in this Code. They must use their best endeavours to ensure that the organisation as a whole conforms to the Code.

Acceptance of this Code is a condition of membership of the AMSRS. Members should also familiarise themselves with the Notes and Guidelines which help in interpreting and applying the Rules of this Code.

## DEFINITIONS

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a) **Market research** is a key element within the total field of marketing information. It links the consumer, customer and public to the marketer through information which is used to identify and define marketing opportunities and problems; generate, refine and evaluate marketing actions; improve understanding of marketing as a process and of the ways in which specific marketing activities can be made more effective.

Market research specifies the information required to address these issues; designs the method for collecting information; manages and implements the data collection process; analyses the results; and communicates the findings and their implications.

Market research includes such activities as quantitative surveys; research; media and advertising research; business-to-business and industrial research; research among minority and special groups; public opinion surveys; and desk research.

In the context of this Code the term market research also covers social research where this uses similar approaches and techniques to study issues not concerned with the marketing of goods and service. The applied social sciences equally depend on such methods of empirical research to develop and test their underlying hypotheses; and to understand, predict and provide guidance on developments within society for governmental, academic and other purposes.

Market research differs from other forms of information gathering in that the identity of the provider of information is not disclosed. Database marketing and any other activity where the names and addresses of the people contacted are to be used for individual selling, promotional, fundraising or other non-research purposes can under no circumstances be regarded as market research since the latter is based on preserving the complete anonymity of the Respondent.

b) **Researcher** is defined as any individual, research agency, organisation, department or division that carries out or acts as a consultant on a market research project or offers their services to do so.

The term includes any department, etc. which belongs to the same organisation as that of the client. A Researcher linked to the Client in this way has the same responsibilities under this Code, vis-à-vis other sections of the Client organisation, as does one who is completely independent of the latter.

The term also covers responsibility for the procedures followed by any subcontractor from whom the Researcher commissions any work (data collection or analysis, Respondent recruitment, supply of Respondent lists, printing, professional consultancy etc.) that forms any part of the research project. In such cases the Researcher must ensure that any such subcontractor fully conforms to the provisions of this Code.

- c) **Client** is defined as any individual, organisation, department or division (including one which belongs to the same organisation as the Researcher) which requests, commissions, sponsors or subscribes to all or any part of a market research project.
- d) **Respondent** is defined as any individual or organisation from whom any information is sought by the Researcher for the purposes of a marketing project. The term covers cases where information is to be obtained by verbal interviewing techniques, postal and other self-completion questionnaires, mechanical or electronic equipment, observation and any other method where the identity of the provider of the information may be recorded or otherwise traceable.
- e) **Interview** is defined as any form of direct or indirect contact (using any of the methods referred to in the definitions above) with Respondents where the objective is to acquire data or information that could be used in whole or in part for the purposes of a market research project.
- f) **Record** is defined as any brief, proposal, questionnaire, Respondent list, Respondent identification, check list, record sheet, audio or audio-visual recording or film, tabulation or computer printout, EDP disc or other storage medium, formula, diagram, report etc. in respect of any market research project, whether in whole or in part. It covers records produced by the Client as well as by the Researcher.

## **RULES**

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### **A. GENERAL**

1. Market research must always be carried out objectively and in accordance with established scientific principles.
2. Market research must always conform to the national and international legislation which applies in those countries involved in a given research project.

### **B. THE RIGHTS OF THE RESPONDENTS**

3. Respondents' co-operation in a market research project is entirely voluntary at all stages. They must not be misled when being asked for their co-operation.
4. Respondents' anonymity must be strictly preserved. If the Respondent on request from the Researcher has given permission for data to be passed on in a form which allows that Respondent to be personally identified:
  - a) the Respondent must first have been told to whom the information would be supplied and the purposes for which it will be used, and also
  - b) the Researcher must ensure that the information will not be used for any non-research purpose and that the recipient of the information has agreed to conform to the requirements of this Code.
5. The Researcher must take all reasonable precautions to ensure that Respondents are in no way directly harmed or adversely affected as a result of their participation in a market research project.
6. The Researcher must take special care when interviewing children and young people. The informed consent of the parent or responsible adult must first be obtained for interviews with children.
7. Respondents must be told at the beginning of the research if observation techniques or recording equipment are being used, except where these are used in a public place. If a Respondent so wishes, the record or relevant section of it should be destroyed or deleted. Respondents' anonymity must not be infringed by the use of such methods.
8. Respondents must be enabled to check without difficulty the identity and bona fides of the Researcher.

### **C. THE PROFESSIONAL RESPONSIBILITIES OF RESEARCHERS**

9. Researchers must not, whether knowingly or negligently, act in any way that could bring discredit on the market research profession or lead to a loss of public confidence in it.
10. Researchers must not make false claims about their skills and experience or about those of their organisation.
11. Researchers must not unjustifiably criticise or disparage other Researchers.
12. Researchers must always strive to design research that is cost efficient and of adequate quality, and then to carry this out to the specifications agreed with the client.
13. Researchers must ensure the security of all research records in their possession.
14. Researchers must not knowingly allow the dissemination of conclusions from a market research project that are not adequately supported by the data. They must always be prepared to make available the technical information necessary to assess the validity of any published findings.
15. When acting in their capacity as Researchers the latter must not undertake any non-research activities, for example, database marketing involving data about individuals which will be used for direct marketing and promotional activities. Any such non-research activities must always, in the way they are organised and carried out, be clearly differentiated from market research activities.

#### **D. THE MUTUAL RIGHTS AND RESPONSIBILITIES OF RESEARCHERS AND CLIENTS**

16. These rights and responsibilities will normally be governed by a written contract between the Researcher and the Client. The parties may amend the provisions of Rules 19-23 below if they have agreed to this in writing beforehand; but the other requirements of this Code may not be altered in this way. Market research must always also be conducted according to the principles of fair competition, as generally understood and accepted.
17. The Researcher must inform the Client if the work to be carried out for that Client is to be combined or syndicated in the same project with work for other Clients but must not disclose the identity of such Clients.
18. The Researcher must inform the Client as soon as possible in advance when any part of the work for that Client is to be subcontracted outside the Researcher's own organisation (including the use of any outside consultants). On request, the Client must be told the identity of any such subcontractor.
19. The Client does not have the right, without prior agreement between the parties involved, to exclusive use of the Researcher's services or those of his/her organisation, whether in whole or in part. In carrying out the work for different Clients, however, the Researcher must endeavour to avoid possible clashes of interest between the services provided to those Clients.
20. The following records must remain the property of the Client and must not be disclosed by the Researcher to any third party without the Client's permission:
  - a) market research briefs, specifications and other information provided by the Client.
  - b) the research data and findings from a market research project (except in the case of syndicated or multi-client projects or services where the same data are available to more than one Client).

The Client has however no right to know the names and addresses of respondents unless the latter's explicit permission for this has first been obtained by the Researcher (this particular requirement cannot be altered under Rule 16) or the information relates solely to the individuals research status and cannot be:

- a) Linked in any way to an individuals' research data or enable identification; or
- b) Use of the data must be restricted to managing frequency of research contact

21. Unless it is specifically agreed to the contrary, the following records remain the property of the Researcher:

- a) market research proposals and cost quotations (unless these have been paid for by the Client). They must not be disclosed by the Client to any third party, other than to a consultant working for the Client on that project (with the exception of any consultant working also for a competitor of the Researcher). In particular, they must not be used by the Client to influence research proposals or cost quotations from other Researchers.
- b) the contents of a report in the case of syndicated and/or multi-client projects or services where the same data are available to more than one Client and where it is clearly understood that the resulting reports are available for general purchase or subscription. The Client may not disclose the findings of such research to any third party (other than to his/her own consultants and advisers for use in connection with his/her business) without the permission of the Researcher.
- c) all other research records prepared by the Researcher (with the exception in the case of non-syndicated projects of the report to the Client, and also the research design and questionnaire where the costs of developing these are covered by the charges paid by the Client).

22. The Researcher must conform to currently agreed professional practice relating to the keeping of such records for an appropriate period of time after the end of the project. On request the Researcher must supply the Client with duplicate copies of such records provided that such duplicates do not breach anonymity and confidentiality requirements (Rule 4); that the request is made within the agreed time limit for keeping the records; and the Client pays the reasonable costs of providing the duplicates.

23. The Client's identity should be revealed to participants as soon as practicable in the course of the interview, except when the Researcher and the Client decide there is a valid reason (e.g. methodological, legal) not to do so. The Researcher must not disclose any confidential information about the Client's business to any third party without the Client's permission.

24. The Researcher must on request allow the Client to arrange for checks on the quality of fieldwork and data preparation provided that the Client pays any additional costs involved in this. Any such checks must conform to the requirements of Rule 4.

25. The Researcher must provide the Client with all appropriate technical details of any research project carried out for that Client.

26. When reporting on the results of a market research project the Researcher must make a clear distinction between the findings as such, the Researcher's interpretation of these, and any recommendations based on them.

27. Where any of the findings of a research project are published by a Client the latter has a responsibility to ensure that these are not misleading. The Researcher must be consulted and agree in advance the form and content of publication, and must take action to correct any misleading statements about the research and its findings.

28. Researchers must not allow their names to be used in connection with any research project as an assurance that the latter has been carried out in conformity with this Code unless they are confident that the project has in all respects met the Code's requirements.

29. Researchers must ensure that Clients are aware of the existence of this Code and of the need to comply with its requirements.

## **E. IMPLEMENTATION OF THE CODE**

Queries about the interpretation of this Code, and about its application to specific problems, should be addressed to the National Secretariat of the AMSRS.

Any apparent infringement should in the first place be reported immediately to the National Secretariat of the AMSRS.

The AMSRS, as appropriate, will then investigate the complaint and take such further

action as may be called for. This action can include suspension or withdrawal of membership of the AMSRS.

The AMSRS is currently reviewing the complaints procedures that are part of the Articles of Association of the AMSRS.

## **Notes on how the CODE OF PROFESSIONAL BEHAVIOUR should be applied**

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These Notes are intended to help users of the Code to interpret and apply it in practice. Any query or problem about how to apply the Code in a specific situation should be addressed to the National Secretariat of the AMSRS.

The Notes, and the Guidelines referred to in them, will be reviewed and reissued from time to time. The Notes and the Guidelines will continue to be updated when it is necessary to take account of changing circumstances or important new issues.

**SECTION B** All Respondents are entitled to be sure that when they agree to co-operate with this Code that the Researcher will conform to its requirements. That in any market research project they are fully protected by the provisions that apply equally to Respondents interviewed as private individuals, and to those interviewed as representatives of organisations of different kinds.

(RULE 3) Researchers and those working on their behalf (e.g. interviewers) must not, in order to secure Respondents' co-operation, make statements or promises that are knowingly misleading or incorrect – for example, about the likely length of the interview or about the possibilities of being re-interviewed on a later occasion. Any such statements and assurances given to Respondents must be fully honoured.

The source of the research sample (e.g. customer records, information or lists collected by Researchers, publicly available lists such as a telephone directory or electoral roll, random digit dialing, door knocking) must be revealed to Respondents, or be able to be reasonably inferred by Respondents, except when the Researcher and Client decide there is a valid reason (e.g. methodological, legal) not to do so.

Information about what constitutes a valid reason to withhold from Respondents the source of the sample can be found in the Market and Social Research Privacy Principles\*. If in doubt, queries can be directed to the AMSRS. Where a Researcher is relying on such an exception to depart from the general rule, he or she should make a written record of the reasoning behind this decision.

(FOOTNOTE)\* The Market and Social Research Privacy Principles apply if the Researcher is a member of AMSRO. If not, the National Privacy Principles apply.

Protocols for revealing the source of the sample should be agreed in advance and made clear in the instructions to interviewers or recruiters. This should include whether the source of the sample may be revealed, if so, at what point during the research it would be acceptable to reveal it and procedures for dealing with Respondents' requests for such details.

Respondents are entitled to withdraw from an interview at any stage and to refuse to co-operate further in the research project. Any or all of the information collected from or about them must be destroyed without delay if Respondents so request.

(RULE 4) All indications of the identity of Respondents must be permanently removed from the records of information they have provided as soon as they are no longer necessary for research purposes. If information exists in a physical form that makes the removal of the identity of Respondents impracticable (e.g. on paper), the information should be recorded in another medium and the original records destroyed. Research

records should be designed in a manner that makes de-identification practicable.

Where it is necessary to retain identifying details, they must be stored securely and separately from other information the Respondent has provided (e.g. with the linkage maintained by the use of an intervening variable). Access to such material must be restricted to authorised research personnel within the Researcher's own organisation for specific research purposes (e.g. field administration, data processing, panel or "longitudinal" studies, or other forms of research involving recall interviews).

To preserve Respondents' anonymity not only their names and addresses but also any other information provided by or about them that could in practice identify them (e.g. their Company and job title) must be safeguarded.

These anonymity requirements may be relaxed only under the following safeguards:

(a) where the Respondent has given explicit permission for this under the conditions of 'informed consent' summarised in Rule 4(a) and (b).

(b) where disclosure of names to a third party (e.g. a sub-contractor) is essential for any research purpose such as data processing or further interview (e.g. an independent fieldwork quality check) or for further follow-up research. The original Researcher is responsible for ensuring that any such third party agrees to observe the requirements of this Code – in writing, if the third party has not already formally subscribed to the Code.

These anonymity requirements relate to any records from which the identity of the Respondent is apparent, or can reasonably be ascertained, including a Respondent's photograph, verbatim quotes and audio or video taped interviews.

Permission to observe an interview/group discussion by a third party must be gained from the Respondent in accordance with Rule 4.

The definition of 'non-research activity', referred to in Rule 4(b), is dealt with in connection with Rule 15.

In the case of customer satisfaction surveys, where a major objective of the research is to improve the handling of customers' difficulties or complaints, identified information about an individual Respondent's problems may be passed to the client provided that the Respondent has explicitly agreed to this and/or asked for this to be done.

*Particular issues that arise in the case of 'Mystery Shopping' are addressed in the 'ESOMAR Guideline on Mystery Shopping'*

(RULE 5) The Researcher must explicitly agree with the Client arrangements regarding the responsibilities for product safety and for dealing with any complaints or damage arising from faulty products product misuse. Such responsibilities will normally rest with the Client, but the Researcher must ensure that products are correctly stored and handled while in the Researcher's charge and that Respondents are given appropriate instructions for their use.

More generally, Researchers should avoid interviewing at inappropriate or inconvenient times. They should also avoid the use of unnecessarily long interviews. In order to minimise the intrusiveness of market research interviewing, to secure the continuing cooperation of the public and to limit the effects of interview length on data quality, it is advisable that the guidelines for good interviewing practice be observed.

*For more detailed information refer to the 'AMSRS guideline on interview length'.*

It should be made clear to Respondents at the beginning of a research exercise that they may withhold information at any time. This is a legal requirement in any research exercise that involves the collection of as "sensitive information" as defined by the Privacy Act. It is also advisable that appropriate measures are taken to ensure that Respondents who are concerned about the nature of any questions or disturbed by them can be offered the appropriate help.

(RULE 6) Children are defined as being 'under 14 years' and young people are defined as being '14 – 17 years'. In the case of young people, where the information to be collected is "sensitive information" as defined by the Privacy Act, Researchers must seek the consent of a responsible adult.

Researchers may wish to seek the guidance of the AMSRS Ethics Committee or State Government Privacy Committees when considering whether such permission is justified.

Where the research involves any subjects or circumstances that might reasonably be judged to be of concern to parents or guardians of the young person (e.g. violence, drug taking), but does not include "sensitive information" as defined by the Privacy Act, it is advisable to seek the consent of a responsible adult.

(RULE 7) A 'public place' is defined as one to which the public has free access and where an individual could reasonably expect to be observed and/or overheard by other people present, for example in a shop or in the street.

The requirement to destroy or delete records does not apply if the destruction, deletion or de-identification would involve the destruction or deletion of information relating to other individuals.

(RULE 8) The name of the Researcher's organisation must be made available to the Respondent at the time of the interview. Respondents must also be told or be able to find, without difficulty or expense, the contact details of the Researcher. A telephone number (e.g. AMSRS Survey Line) must be provided so that Respondents can check the Researcher's bona fides without significant cost to themselves.

**SECTION C** This Code is not intended to restrict the rights of Researchers to undertake any legitimate market research activity and to operate competitively in so doing. However, it is essential that in pursuing these objectives the general public's confidence in the integrity of market research is not undermined in any way. This Section sets out the responsibilities that the Researcher has towards the public at large and towards the market research profession and other members of this.

(RULE 14) The kinds of technical information that should on request be made available include those listed in the Notes to Rule 25.

(RULE 15) The kinds of 'non-research activity' which must not be associated in any way with the carrying out of the market research include:

- enquiries whose objectives are to obtain personal information about private individuals per se, whether for legal, political, supervisory (e.g. job performance), private or other purposes
- the acquisition of information for use for credit rating or similar purposes
- the compilation, updating or enhancement of lists, registers or databases which are not exclusively for research purposes (e.g. which will be used for direct marketing)
- industrial, commercial or any other form of espionage
- sales or promotional approaches to individual Respondents
- the collection of debts
- fund-raising
- direct or indirect attempts, including by the design of the questionnaire, to influence a Respondent's opinions, attitudes or behaviour on any issue, such as push polling.

Certain of these activities – in particular the collection of information for databases for subsequent use in direct marketing and similar operations – are legitimate marketing activities in their own right. Researchers (especially those working within a client company) may often be involved with such activities, either directly or indirectly. In such cases it is essential that a clear distinction is made between these activities and market research

since by definition market research anonymity rules cannot be applied to them.

Situations may arise where a Researcher wishes, quite legitimately, to become involved with marketing database work for direct marketing (as distinct from market research) purposes. Such work must not be carried out under the name of market research, and should avoid the use of names associated with market research organisations.

*For further information refer to the 'AMSRS policy in Telemarketing'.*

**SECTION D** This Code is not intended to regulate the details or business relationships between Researchers and Clients except in so far as these may involve principles of general interest and concern. Most such matters should be regulated by the individual business Contracts. It is clearly vital that such Contracts are based on an adequate understanding and consideration of the issues involved:

(RULE 18) Although it is usually known in advance what subcontractors will be used, occasions do arise during the course of a project where subcontractors need to be brought in, or changed, at very short notice. In such cases, rather than cause delays to the project in order to inform the Client it will usually be sensible and acceptable to let the Client know as quickly as possible after the decision has been taken.

(RULE 20) The transfer of information about Respondents is permissible between a Researcher and the Client where the intent of this is to limit research contacts by means of maintaining records about participation. This should not be done where this practice would allow personalised information to be extrapolated or where any research data gathered about an individual may be appended or inferred by the transfer

(RULE 22) The proposed period of time for which the Researcher should keep research records will vary with the nature of the information (e.g. whether they are identified or de-identified), the nature of the project (e.g. ad hoc, panel, repetitive) and the possible requirements for follow-up research or further analysis.

Researchers may retain information in an identified form only while the details of the identity of the Respondent continue to be necessary for research purposes.

In the case of de-identified information, the period of time for which records should be kept by the Researcher normally will be longer for the stored research data resulting from a survey (tabulations, discs, tapes, electronic files, etc.) than for primary field records (the original completed questionnaires and similar basic records. Records should be kept in a manner in which it should be possible to reconstruct all the information originally collected with the exception of any personal identifiers. The period for which records will be kept must be disclosed to, and agreed by the Client in advance.

In default of any agreement to the contrary, in the case of ad hoc surveys the normal period for which the primary field records should be retained is one year after completion of the fieldwork while the research data should be stored for possible further analysis for at least two years.

(RULE 23) The Client's identity (or, in the case of syndicated or omnibus studies, the fact that there are a number of different Clients) must be revealed to Respondents, or be able to be reasonably inferred by Respondents, except when the Researcher and Client decide there is a valid reason (e.g. methodological, for example longitudinal studies, legal for example where the Client is exempt from the provisions of the Privacy Act) not to do so. However, this should not be done without the Client's knowledge.

Information about what constitutes a valid reason to withhold from Respondents the source of the sample can be found in the Market and Social Research Privacy Principles\*. If in doubt, queries can be directed to the AMSRS. Where a Researcher is relying on such an exception to depart from the general rule, he or she should make a written record of the

reasoning behind this decision.

(FOOTNOTE)\* The Market and Social Research Privacy Principles apply if the Researcher is a member of AMSRO. If not, the National Privacy Principles apply.

Protocols for revealing the Client's identity should be agreed in advance and made clear in instructions to interviewers or recruiters. These should include whether the Client's identity may be revealed: if so, at what point during the research it would be acceptable to reveal the Client's identity and procedures for dealing with Respondents' requests for the Client's identity when it would be unacceptable to reveal it.

For the purpose of Rule 23, 'Client' refers to the sponsor of the research project.

(RULE 24) On request, the Client or his/her mutually acceptable representative may observe a limited number of interviews for this purpose. In certain cases, such as panels, or in situations where a Respondent might be known to (or be in subsequent contact with) the Client, this may require the previous agreement of the Respondent. Any such observer must agree to be bound by the provisions of this Code, especially Rule 4.

The Researcher is entitled to be recompensed for any delays and increased fieldwork costs which may result from such a request. The Client must be informed if the observation of interviews may mean that the results of such interviews will need to be excluded from the overall survey analysis because they are no longer methodologically comparable.

In the case of multi-client studies the Researcher may require that any such observer is independent of any of the Clients.

Where an independent check on the quality of fieldwork is to be carried out by a different research agency the latter must conform in all respects to the requirements of this Code. In particular, the anonymity of the original Respondents must be fully safeguarded and their names and addresses used exclusively for the purposes of back-checks, not being disclosed to the Client. Similar considerations apply where the Client wishes to carry out checks on the quality of data preparation work.

(RULE 25) The Client is entitled to the following information about any market research project to which he/she has subscribed:

1. Background

- for whom the study was conducted
- the purpose of the study
- names of subcontractors and consultants performing any substantial part of the

work

2. Sample

- a description of the intended and actual universe covered
- the size, nature and geographical distribution of the sample (both planned and achieved); and where relevant, the extent to which any of the data collected were obtained from only part of the sample

- details of the sampling method and any weighting methods used
- where technically relevant, a statement of response rates and a discussion of any possible bias due to non-response

3. Data Collection

- a description of the method by which the information was collected
- a description of the field staff, briefing and field quality control methods used
- the method of recruiting Respondents including number of callbacks used to contact selected Respondents; and the general nature of any incentives offered to secure their co-operation
  - when the fieldwork was carried out
  - (in the case of 'desk research') a clear statement of the sources of the information and their likely reliability

#### 4. Presentation of Results

- the relevant factual findings obtained
- the bases of percentages (both weighted and unweighted)
- general indications of the probable statistical margins of error to be attached to the main findings, and of the levels of statistical significance of differences between key figures

- the questionnaire and other relevant documents and materials used including data maps and associated documentation, if the data is being provided in an electronic form (or, in the case of a shared project, that portion relating to the matter reported on).

The Report on a project should normally cover the above points or provide a reference to readily available separate documents that contain the information.

(RULE 27) If the Client does not consult and agree in advance, the form of publication with the Researcher the latter is entitled to:

(a) refuse permission for his/her name to be used in connection with the published findings and

(b) publish the appropriate technical details of the project (as listed in the Notes to Rule 25).

(RULE 29) It is recommended that Researchers specify in their research proposals that they follow the requirements of this Code of Professional Behaviour and that they make a copy available to the Client if the latter does not already have one.

*Particular issues that arise in the case of Respondent recruitment and the supply of lists are addressed in the 'AMSRS Guidelines on Qualitative Research Recruitment'.*