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CODE OF ETHICS AND CONDUCT



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FOREWORD

1. The Code of Ethics and Conduct of Sapienza University of Rome (hereinafter also referred to as the "Code" and "Sapienza") is fundamentally inspired by the need to promote a revival in the orientation of the conduct of those who work and operate at Sapienza, towards the best pursuit of the care of the public interest, also in awareness of the founding social role of the university institution.
2. The adoption of the Code represents a general measure capable of preventing the risks of corruption, as well as one of the main actions to concretely implement the necessary corruption prevention strategies through its coordination with the Sapienza *Piano Integrato di Attività e Organizzazione* (PIAO) Section II - *Valore pubblico, performance e anticorruzione*, part on "*Rischi corruttivi e trasparenza*".

SECTION I PURPOSE AND FIELD OF APPLICATION

Article 1 Purpose and general provisions

1. This Code sets out the values and ethical ideals that must inspire the university community and defines its rules of conduct and of those who come into contact with Sapienza.
2. Sapienza recognises, protects and promotes the values of the Constitution of the Italian Republic, especially concerning to the development of culture and scientific and technical research (Article 9), freedom of teaching (Article 33), the right of the able and deserving to attain the highest level of studies (Article 34), as well as in Title I of Sapienza Statute.
3. The Code commits all members of the academic community (understood as the totality of the university components represented by lecturers, managers, technical-administrative staff and students) to behave in such a way as to disseminate the fundamental values of legality, solidarity and rejection of any discrimination; to ensure compliance with the principles of fairness, impartiality and protection of human freedom and dignity, freedom of teaching, research and study to develop and encourage loyal cooperation, the spirit of service and the sharing of the ideals promoted by Sapienza University of Rome (henceforth also Sapienza); to pursue and guarantee the criterion of merit; to promote the principle of quality assurance as a fundamental factor for the pursuit of the institutional mission of Sapienza.
4. The Code constitutes an integration and specification of the principles and rules set out in the "*Regolamento recante codice di comportamento dei dipendenti pubblici*", issued by Presidential Decree no. 62 of 16 April 2013 (hereinafter also the General Code).
5. This Code incorporates the provisions and principles contained in the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers, annexed to Recommendation 2005/251/EC of 11 March 2005, as well as the principles contained in the European Code of Conduct for Research Integrity (All European Academies federation - ALLEA, 2017).
6. The rules contained in the Code supplement Sapienza regulations set out in the Sapienza Code of Conduct against sexual harassment.
7. For further additions and clarifications, reference should be made to the Sapienza's general regulations, such as the "*Regolamento di Ateneo per i procedimenti disciplinari nei confronti dei professori e ricercatori, per il deferimento alla Commissione etica e per il funzionamento del Collegio di disciplina*", the "*Regolamento in materia di incarichi extra-istituzionali delle*



professoressa, dei professori, delle ricercatrici e dei ricercatori dell'Università La Sapienza di Roma " and the " Carta dei diritti e dei doveri delle studentesse e degli studenti".

8. The University Evaluation Committee (NVA) ensures that the contents of the Code are consistent with the performance measurement and evaluation system; it also supervises the implementation of the Code.

9. In this Code, the singular 'they' is used to refer to individuals whose gender is unspecified or irrelevant.

Article 2

Field of application

1. This Code applies to the entire university community, i.e. to academic staff (lecturers and researchers), managers, technical-administrative staff and students, within the limits of the specific provisions applicable to the respective categories of recipients. For the purposes of the Code, students are defined as those who are enrolled on degree programmes and/or benefit from Sapienza educational offer, including but not limited to PhD students, postgraduates, students enrolled at other universities, including foreign universities, who attend Sapienza for any reason for teaching and/or research purposes.

2. The provisions set out in Section III of the Code shall also apply, insofar as they are compatible, to all persons who have relations with Sapienza and, in particular, to collaborators or consultants, with any type of contract or appointment and for any reason whatsoever, including teaching assignments as per to Article 23 of Law No. 240/2010; to collaborators in any capacity whatsoever of companies supplying goods or services that carry out works in favour of the Administration; to holders of research grant contracts pursuant to Article 22 of Law No. 240/2010; to holders of study and research scholarships; to students with part-time collaboration contracts (150 hours) and to any other person to whom the legislation extends the implementation of Presidential Decree No. 62/2013 and related provisions or who has a formalised relation with Sapienza.

3. For the purposes of paragraph 2, a specific clause on the termination of the relation or termination of office in the event of a breach of the obligations arising from the Code, ascertained by the offices in charge, shall be included in the contracts or deeds of appointment, or in an additional covenant.

SECTION II

FUNDAMENTAL ETHICAL PRINCIPLES, INVESTIGATION OF BREACH AND PENALTIES

Article 3

Non- discrimination policy and culture of equal opportunities

1. Sapienza recognises equal dignity and respect for all members of the academic community and rejects all forms of prejudice and discrimination, direct or indirect, of individuals or groups, based on factors such as religion, gender identity, sexual orientation, conscience and personal beliefs, physical appearance and skin colour, language, ethnic or social origins, citizenship,



personal and health conditions, pregnancy, family choices, age and their role within the University.

2. Sapienza promotes a culture of equal opportunities and promotes specific actions aimed at avoiding or compensating for any disadvantages arising from discrimination.

3. Sapienza opposes any form of favouritism, i.e. any situation in which a member of the academic community takes undue advantage of their position or that of others to grant and/or obtain benefits, favour appointments and careers, not based on merit but because of ties of kinship, association or other improper affinities, in any case for reasons other than educational, scientific or professional qualities.

Article 4

Harassment and sexual abuse

1. Sapienza shall not tolerate harassment and sexual abuse, as they are offensive to human dignity. It shall ensure prompt and unconditional protection of victims through the Confidential Counsellor maintaining the confidentiality and preventing any possible retaliation.

2. Harassment and sexual abuse, are defined as requests for sexual favours, unwanted offers of sexual services, and/or degrading verbal and non-verbal attitudes or expressions concerning a person's sexuality. The power imbalance between the harasser and the victim constitutes an aggravating factor of harassment and sexual abuse.

Article 5

Fairness

1. The recipients of the Code are required to:

- a) imbue their relationships with other members of the university community and with those who have contact with Sapienza with principles of loyalty and mutual respect;
- b) carefully and correctly fulfil their teaching and student assistance duties;
- c) simplify access to information and promptly fulfil requests for access to administrative documents within the terms and according to the procedures laid down by the regulations in force;
- d) use the structures and human, technical and financial resources of Sapienza exclusively for purposes related to the pursuit of institutional activities;
- e) not to make undue use of the name, logo and institutional symbols of Sapienza;
- f) not to behave in such a way as to be detrimental to the image and prestige of Sapienza;
- g) not to entertain employment or collaboration relations with public or private entities whose interests conflict with those of Sapienza;
- h) not to engage in professional activities, except in the case of legal aid and without prejudice to the verification of the non-existence of conflict of interest profiles, in which the Sapienza;
- i) comply with the rules governing the management of institutional processes and the functioning of the structures of Sapienza;
- l) fulfil the obligations associated with their role and comply with the directives issued for this purpose by the Academic Senate.



Article 6

Transparency and impartiality

1. Sapienza shall promote transparency concerning all acts, as well as impartiality, objectivity and adequate justification of decisions.
2. The recipients of the Code are bound to refrain from any behaviour that may give rise to conflicts of interest, even potential ones; they shall ensure, in the performance of their duties, equality of treatment towards the recipients of the activities carried out, as well as impartiality in their actions.
3. The academic community members shall refuse donations, funding and other benefits that may constitute a violation of the principle of impartiality and shall refrain from using university resources for their own benefit or private profession.

Article 7

Freedom and personal dignity

1. The recipients of the Code are required to refrain from discriminatory behaviour which may offend the dignity and reputation of other members of the academic community.
2. The recipients of the Code shall not behave in such a way as to unduly interfere, under the authority of the position held, with the exercise of functions and duties that are the responsibility of others and shall not behave in a manner that conflicts with Sapienza's rules and regulations.

Article 8

Freedom in teaching, research and study

1. Sapienza shall promote freedom and autonomy in teaching, research, study and learning. Lecturers and researchers are required to carry out research activities and, to guarantee their widest possible transparency and in full compliance with the regulations in force on intellectual property, to promote the results of their studies and research, indicating the university structure to which they belong and any funding they have availed of.
2. Sapienza fosters the knowledge and skills necessary to promote respect for human rights, as well as full respect for the freedoms referred to in Paragraph 1, sustainable development, including through education aimed at sustainable development and lifestyle, human rights, gender equality, the promotion of a peaceful and non-violent culture, global citizenship and the appreciation of cultural diversity.
3. Lecturers and researchers ensure that the results of research activities are disclosed to society at large so as to support understanding and direct access to the benefits of science and technology, also in line with national policies on Outreach activities (*Terza missione*).
4. All lecturers also abide by the degree programme regulations in force, refrain from any behaviour restricting the full exercise of the right to study, and do not bind students to purchase study materials where a conflict of interest arises.

Article 9

Respect for confidentiality

1. This Code transposes the rules contained in EU Regulation No. 679/2016. In particular, all Sapienza members are required to:



- respect the confidentiality of persons or entities whose protected information is held by Sapienza;
- not to disclose confidential data or information relating to participation in academic bodies;
- consult only those acts, files, databases and archives to which they are authorised to have access, making use of them in compliance with their official duties and the rules on privacy.

Article 10

Detection of ethical breaches and sanctions

1. The ascertainment of ethical breaches referred to in the previous Articles shall be handled in the preliminary investigation phase by the *Commissione Etica di Ateneo* (Sapienza Ethics Committee), which, should it deem the violation, shall notify the Rector so that they may submit the matter to the Academic Senate, which shall decide on the issue.

2. The ascertained breach of the ethical rules set out in the Code shall give rise to the imposition of different sanctions, provided for by Sapienza Statute and of a non-disciplinary nature, in compliance with the principle of gradualness and taking into account the different components of the university community:

a) Academic staff: formal reprimand; suspension from the academic position or the position of responsibility held, for up to one year; disqualification from the academic position or the position of responsibility held; inability to hold academic positions or positions of responsibility for a period not exceeding five years; suspension for a maximum of three years from access to Sapienza's research and/or teaching funds.

b) Technical-administrative staff: formal reprimand; suspension from the position of responsibility held, for up to one year; disqualification from the position of responsibility held; disqualification from the position of representative of technical-administrative staff in Sapienza's governing bodies; inability to hold positions of responsibility, for a period not exceeding five years.

c) Students: formal reprimand; suspension up to a maximum of four months from university career; disqualification from the position of student representative in Sapienza's governing bodies;

SECTION III

RULES OF CONDUCT FOR TECHNICAL-ADMINISTRATIVE STAFF AND PERSONS WHO HAVE RELATIONS WITH SAPIENZA. GENERAL PRINCIPLES OF CONDUCT FOR ACADEMIC STAFF

Chapter I

General Principles and field of application

Article 11

General Principles

1. This Section, adopted to implement the provisions of Article 54, paragraph 5, of Legislative Decree No. 165 of 30 March 2001, specifies and supplements the contents and directives set



out in the Regulation on the *Codice di comportamento dei dipendenti pubblici* (Code of Conduct for Public Employees), issued by Presidential Decree No. 62 of 16 April 2013.

2. For the purpose of this Section, "Sapienza employee" shall mean the persons referred to in Article 12.

3. Sapienza employees shall observe the Constitution, conforming their conduct to the principles of good performance and impartiality of administrative action, and perform their duties in compliance with the law, pursuing the public interest without abusing the position or powers they hold.

4. The employee, as part of the university community, shall contribute to the pursuit of the institutional aims and strategic and operational objectives of Sapienza, according to the degree of responsibility established and the functions assigned to them, also respecting the principles of integrity, fairness, good faith, proportionality, objectivity, transparency, equity, reasonableness, and shall act in a position of independence and impartiality, abstaining in case of conflict of interest.

5. The employee shall not use for private purposes the information at their disposal for official reasons and shall avoid situations and conduct that may hinder the proper performance of their duties or harm Sapienza's interests or image.

6. In dealing with the recipients of the administrative action, the employee shall ensure equal treatment on equal terms, also refraining from arbitrary actions that adversely affect the users or lead to discrimination.

7. The employee shall show the utmost availability and cooperation with other public administrations.

Article 12

Field of application

1. This Section applies to permanent and fixed-term technical-administrative staff, managers and the persons referred to in Article 2(2) of this Code.

2. For personnel governed by public law pursuant to Article 3, paragraph 2 of Legislative Decree no. 165/2001 (academic staff), the rules of this Section constitute general principles of conduct, without prejudice to the provisions on duties of conduct contained in the corresponding regulations and taking into account the requirements of Sapienza Statute.

Chapter II

Rules of Conduct, Determination of Liability and Sanctions

Article 13

Gifts, payments and other benefits

1. Employees shall not request or solicit gifts or other benefits for themselves or others.

2. Employees shall not accept gifts or other benefits for themselves or others, except those of modest value occasionally given as part of normal courteous or institutional relations and within the framework of international custom. In any case, irrespective of whether the fact constitutes a crime, employees shall not ask, for themselves or others, gifts or other benefits, even if of modest value, as consideration for performing an act required by their role, from persons who may benefit from decisions or activities inherent to their office, nor from persons with respect to whom they are called upon to perform activities or powers inherent to their role.

3. An employee shall not accept from their subordinate, for themselves or others, directly or indirectly, gifts or other benefits, except those of modest value and shall not offer, directly or indirectly, gifts or other benefits to their subordinate, except those of modest value.



4. For the purposes of this Article, gifts or other benefits of modest value shall mean those of a value not exceeding 150 euros, even in the form of a discount; this amount refers to the maximum total value, per calendar year and for each employee, in the case of accumulation of several gifts. In any case, the employee may not receive, for themselves or others, sums of cash or any other payment instrument in lieu of money.

5. If the employee has received gifts and/or benefits outside the cases allowed by this Article and has been unable to materially refuse them for documentable reasons, they shall promptly notify their Head of Office in writing; if it is not possible to return such gifts and/or benefits, the employee shall deliver them to the Property, Assets and Bursar's Office under Sapienza's Property, Assets and Bursar's Area, for the subsequent activities falling within its authority.

6. Employees shall not accept collaborative assignments from private persons who have, or have had in the previous two years, a significant economic interest in decisions or activities pertaining to the office to which they belong. For the purposes of this paragraph, "collaborative assignments" means assignments of any type and for any reason whatsoever (including but not limited to assignments as consultants, experts, arbitrators, auditors, attorneys, etc.).

7. Communications relating to the hypotheses described in paragraph 5 shall be sent:

- to the Area Directors, Faculty Deans, Department Directors and Directors of Centres, by the personnel belonging to the respective structures;
- to the Director General by the Area Directors;
- to the Rector by the members of the Staff and Communication structures;
- to the Academic Senate and the Board of Governors where the Rector and/or the Director General are concerned.

The persons listed above, each within their respective spheres of competence, shall supervise the correct application of this Article.

Article 14

Participation in associations and organisations

1. In compliance with the rules in force on freedom of association, employees shall promptly inform their Area Director or the Dean of their Faculty, the Director of their Department and Centre and, for information, the Chief departmental administrative officer (RAD) of their membership or affiliation to associations and organisations, whether or not they are of a confidential nature, whose specific areas of interest may interfere with the performance of the activity of the structure to which the employee is assigned. This paragraph does not apply to political parties and/or trade union membership.

2. The communication in written form must contain the essential data concerning the association and the reasons for the potential interference. It must be made within 15 days of recruitment, assignment or knowledge of the possible interference and, in any case, within 60 days of the entry into force of the Code.

3. The employee shall not force other staff members to join associations or organisations or exert pressure for this purpose by promising advantages or envisaging career disadvantages.

4. Failure to provide the information referred to in this Article, which is late, incomplete or false, shall give rise to disciplinary liability.



Article 15

Disclosure of interests and partnerships

1. Upon being assigned to the structure, employees shall inform their Head, in the forms set out in Article 14 above, of all direct or indirect collaborative relationship with private persons, howsoever remunerated, which they have or have had in the last three years, specifying:
 - a) whether they or their relatives or relatives-in-law within the second degree of kinship, spouse or cohabiting partner still have financial relationships with the person with whom they have had the collaboration described above;
 - b) whether such relationships have taken place or are taking place with persons interested in activities or decisions concerning the office, limited to the files entrusted to them.
2. Failure to provide the information referred to in this Article, which is late, incomplete or false, shall give rise to disciplinary liability.

Article 16

Obligations to abstain and conflict of interest

1. The employee shall abstain from making and participating in the taking of decisions or activities that may involve their own interests or those of their relatives, relatives up to the second degree of kinship, spouse or cohabitants, or persons with whom they have regular contact, or of persons or organisations with whom they or their spouse have a pending lawsuit or serious enmity or significant credit or debit relationships, or of persons or organisations of which they are guardian, curator, attorney or agent, or of bodies, associations, including unrecognised associations, committees, companies or establishments of which they are directors or managers or executives.
2. The employee shall also refrain from making decisions or carrying out activities inherent to their duties in situations of conflict, even potential, with personal interests, those of their spouse, cohabitants, relatives, or relatives-in-law up to the second degree. The conflict may concern interests of any kind, even of a non-pecuniary nature, such as those arising, for example, from the intention to comply with political, trade union or hierarchical superiors' pressure.
3. The employee shall abstain in all other cases where there are serious reasons of self-interest and/or potential conflicts of interest.
4. Where an employee believes that there is a conflict, even potential, or perceives the risk of a conflict, between the activities of their office and personal interest of their own or of the other persons referred to in this Article, they shall promptly inform the Head of the structure to which they belong, in writing, attaching to the same any helpful information for assessing its relevance; the Head of the structure shall decide on the relevance of the conflict of interest, also deciding on abstention, and adopt the resulting measures.
5. Sapienza shall take the appropriate measures for keeping and archiving statements on employee abstentions in compliance with the legislation on personal data protection.
6. Failure to provide the information referred to in this Article, or late, incomplete or false notification, shall give rise to disciplinary liability.

Article 17

Prevention of corruption and protection of whistleblowers

1. Employees are required to observe the rules on corruption prevention and transparency and the prescriptions contained in the PIAO, Section II - *Valore pubblico, performance e anticorruzione*, part on "*Rischi corruttivi e trasparenza*" of Sapienza, and to cooperate with the Head of Corruption Prevention and Transparency.



2. In order to activate the system of confidentiality guarantees, guaranteed to the whistleblower by the rules laid down in Article 54 bis of Legislative Decree no. 165/2001 and subsequent amendments and additions, the employee shall report, in the interest of the integrity of the Administration, to the Head of the Corruption Prevention and Transparency any unlawful situations of which they have become aware because of their employment relation. This is without prejudice to the possibility of forwarding the report to the National Anti-Corruption Authority (*Autorità Nazionale Anticorruzione* - ANAC) and, in the presence of the necessary prerequisites, of reporting the fact to the judicial and/or accounting authorities.

3. The report is exempt from access under Article 22 et seq. of Law No. 241/1990 and subsequent amendments and additions and generalised civic access according to Article 5, paragraph 2 of Legislative Decree No. 33/2013 and subsequent amendments and additions.

4. On the modalities and procedure for reporting, please refer to the appropriate organisational act adopted by Sapienza.

5. An employee who considers that they have suffered discrimination as a result of a report made under this Article shall inform the ANAC, personally or through the most representative trade unions in the Administration, following the procedures expressly provided for in the organisational act referred to in paragraph 4.

Article 18

Reporting obligations in the event of initiation of criminal proceedings for acts of corruption

1. Any employee involved in criminal proceedings for corruption shall immediately notify their Head of structure, who shall assess whether the conditions exist for the adoption of a measure ordering their transfer to another office, pursuant to Article 16(1) (*I-quater*) of Legislative Decree no. 165/2001 and subsequent amendments and additions.

2. The employee shall be guaranteed the right to be heard. The procedure must be concluded within 5 days of receiving the communication, with a reasoned decision.

Article 19

Transparency and traceability

1. Employees shall base their activities on compliance with the principles of transparency and ensure accountability in decision-making processes, which must be guaranteed through adequate documentary support that allows for reproducibility, both to fulfil regulatory obligations and to ensure the end-user satisfaction.

2. Employees shall take particular care in carrying out transparent administrative action and in managing the contents of the information in their possession in order to avoid damage to the image of Sapienza, providing maximum cooperation in the processing, retrieval and transmission of data and documents subject to mandatory publication on the institutional site.

3. Sapienza University structures' Heads shall ensure the quality, integrity, constant updating, completeness, homogeneity, and easy accessibility of the information, data and documents subject to publication within their respective area of expertise in compliance with the regulations in force and with the information flow system aimed at publication set out in the PIAO, Section II - *Valore pubblico, performance e anticorruzione*, part on "*Rischi corruttivi e trasparenza*" of Sapienza University.



Article 20

Conduct in private relationships

1. In private relationships, even if with public officials in the performance of their duties, employees shall not misuse their position to obtain benefits, that are not their due, and shall refrain from conduct that could damage the image of Sapienza, even in virtual contexts (social networks, forums and the like).
2. The employee may not use Sapienza's name, brand and logo except for activities connected with the office held or for reasons inherent to the office held.
In particular, including but not limited to, the employee, in private relationships with other public bodies, shall not ask to speak to the hierarchical superiors of those who are dealing with a personal matter of theirs by virtue of their position; shall not divulge information or make comments detrimental to the dignity and reputation of colleagues; in private relationships with private bodies or individuals, shall not anticipate the content or outcome of proceedings in progress.

Article 21

Conduct on duty

1. Without prejudice to compliance with the time limits of the administrative procedure, an employee, unless justified for a reason, shall not delay the performance of activities or the taking of decisions falling within their area of expertise, nor shall they behave in such a way as to cause other employees to be responsible for such actions and decisions.
2. The employee shall use leave to abstain from work, however denominated, in compliance with the conditions laid down by law, regulations and collective agreements; they shall ensure effective presence on duty through the correct use of the attendance recording systems.
3. The employee shall use the provided spaces, furniture, equipment, computer tools, and telephones, with particular care and diligence and in the prescribed manner, without appropriating any property or using it for personal purposes. The employee uses the Administration's means of transport only for official duties, refraining from transporting third parties except for service reasons.
4. In particular, technical-administrative staff and managers who perform activities of a technical-professional nature, and those who perform legal activities and are registered in the special list of lawyers, are required to perform their specific functions, as well as those of assistance, representation and defence, exclusively in the interest of Sapienza. Similar conduct in the performance of their duties is required of the staff of the Public Relations and Information Office (URP) and of those who work in the Offices of direct collaboration with the political leadership.
5. Any employee who, in the course of their activity, obtains or generates intellectual property rights pertaining to Sapienza and susceptible to protection and exploitation shall promptly inform the Head of the structure and the Scientific Supervisor and, in any case, the appointed offices, following the provisions of the internal regulations on the matter, providing all the information necessary for possible protection. If the results of intellectual property are due to the employee in their own right under regulations in force, but there are obligations to communicate and recognise economic and patrimonial rights in favour of Sapienza (e.g. for the filing of patents in their own right), the employee is obliged to promptly communicate the activities carried out to protect them, and to recognise the economic rights due to Sapienza.



Article 22

Public Relations

1. In public relations, Sapienza's technical-administrative staff shall be recognised by visibly displaying their badge or other identification provided by the Administration unless otherwise stipulated to protect the workers' safety; they shall act in a spirit of service, fairness, courtesy and helpfulness and respond to users' requests as fully, accurately and promptly as possible, using the same means of communication for requests received by email.
2. If they are not competent for the matter or position held, the employee shall refer the person concerned to the official or office in charge; in the operations to be carried out and in the processing of files, they shall respect the chronological order, unless otherwise required by the service or otherwise prioritised by the Administration, and shall not refuse services to which they are bound on general grounds.
3. In the performance of their work, the employee shall ensure compliance with the time limits set out in the charter of services and quality standards and shall not make commitments or anticipate the outcome of their own or others' decisions or actions pertaining to the office, except in permitted cases.
4. The employee provides information and news concerning administrative acts or operations, whether in progress or concluded, and issues copies and extracts of deeds and documents according to their competency area in the cases provided for by the legal and regulatory provisions on access, always informing the persons concerned of the possibility of also contacting the Public Relations and Information Office.
5. The employee shall observe official secrecy and the regulations on personal data protection. If they receive requests for information, deeds and documents protected by official secrecy or the provisions on personal data, they shall inform the applicant of the reasons preventing the request from being granted.
6. The Public Relations and Information Officer:
 - always highlights suitable elements to identify the person responsible for the reply;
 - responds to email enquiries generally within 48 working hours;
 - in the event of different and additional requests that do not entail the activation of administrative procedures, provides prompt replies to them, unless there are justified reasons;
 - does not enter into commitments or anticipate the outcome of their own or other people's decisions or actions pertaining to the office, except where permitted.
7. Only persons authorised by the Rector may make public statements on behalf of Sapienza.
8. Without prejudice to the right to express opinions and disseminate information to protect trade union rights, employees shall refrain from public statements offensive to Sapienza.

Article 23

Special Provisions for Area Directors, Faculty Deans, Heads of Departments and Centres

1. Area Directors, Faculty Deans and Heads of Departments and Centres, within their respective spheres of expertise:
 - a) observe the disciplinary, transparency and anti-corruption rules, as well as those concerning absences and leaves of absence, situations of conflict of interest and incompatibility, even potential ones, and the accumulation of jobs and positions, also supervising compliance with them by their structure's staff units, highlighting any anomalies or deviations and, if necessary, promptly notifying them to the Head of Corruption Prevention and Transparency;



b) check that the use of leave of absence actually occurs for the reasons and within the limits provided for by law and by collective agreements, and supervise the correct clocking in of attendance by their employees, promptly reporting any improper practices to the disciplinary offices in charge;

(c) diligently perform the duties incumbent on them and pursue the objectives assigned to them by adopting appropriate organisational behaviour;

d) ensure a fair distribution of workloads within their structure, also taking into account what emerges from the surveys on organisational wellbeing referred to in Article 14(5) of Legislative Decree No. 150/2009, optimising work through dialogue and confrontation, as well as supervising and removing any anomalies or deviations on workloads;

e) before taking up their duties, inform the Administration of their shareholdings and other financial interests that may place them in a conflict of interest with the public function they perform, also declaring whether they have relatives and relatives-in-law up to the second degree, spouse or cohabiting partner, who exercise political, professional or economic activities that place them in frequent contact with the structure they are to direct or who are involved in the decisions or activities relating to the same.

2. For all matters not expressly provided for in this Article, please refer to Article 13 of the *Codice di comportamento dei dipendenti pubblici* set out in Presidential Decree No. 62/2013.

Article 24

Contracts and other negotiation agreements

1. In concluding agreements and negotiations and in entering into contracts on behalf of Sapienza, as well as in the execution phase thereof, employees shall not resort to mediation by third parties, nor shall they pay or promise to pay any third party any benefit by way of intermediation, or for facilitating or having facilitated the conclusion or execution of the contract. This subparagraph shall not apply to cases where Sapienza has decided to use professional brokering.

2. Employees shall not conclude, on behalf of Sapienza, tender, supply, service, financing or insurance contracts with companies with which they have entered into agreements or received other benefits in the previous two years, except for those concluded pursuant to Article 1342 of the Civil Code.

3. If Sapienza must conclude tender, supply, service, financing or insurance contracts with companies with which the employee has entered into private agreements or received other benefits in the previous two years, the employee shall abstain from participating in the adoption of decisions and activities relating to the execution of the contract, drawing up a written record of such abstention to be kept on file in the office.

4. Any employee who, in a private capacity, concludes agreements or negotiations or enters into contracts, except for those completed pursuant to Article 1342 of the Civil Code, with private natural or legal persons with whom they have entered into tender, supply, service, financing and insurance contracts on behalf of the administration in the previous two years, shall inform the Head of the relevant structure in writing.

5. If they find themselves in one of the situations referred to in paragraphs 2, 3 and 4

- the Area Director shall inform the Director General in writing;
- the Faculty Dean, the Director of the Department and the Director of the Centre, shall inform the Rector in writing;
- the Rector and the Director General shall inform the Academic Senate and the Board of Governors in writing.

6. Any employee who receives, from natural or legal persons involved in negotiation procedures in which Sapienza is a party, oral or written complaints on the work of the office or that of the employees assigned to it shall immediately inform, as a rule in writing, their hierarchical or functional superior.



7. Employees (lecturers and technical-administrative staff) and collaborators in any capacity whatsoever (research fellows, doctoral students, scholarship recipients) who also work for private companies, shall refrain from participating in procedures for the awarding of contracts for services and supplies tendered by Sapienza University.
8. Failure to provide timely, incomplete or false information on the circumstances referred to in this article shall give rise to disciplinary liability.

Article 25

Supervision, monitoring and training activities

1. As per Article 54, paragraph 6, of Legislative Decree No. 165/2001, Area Directors, Faculty Deans, Head of Departments and Centres, all persons in charge of organisational positions, the offices in charge of disciplinary proceedings, the Director General and the Rector shall oversee the application of Presidential Decree No. 62/2013 and of this Code, to the extent of their respective authorities.
2. The activities carried out pursuant to this Article shall also comply with the provisions of the PIAO, Section II - *Valore pubblico, performance e anticorruzione*, part on "*Rischi corruttivi e trasparenza*".
3. The Office for Disciplinary Proceedings (*Ufficio per i Procedimenti Disciplinari* - UPD), in addition to the disciplinary functions referred to in Article 55-bis *et seq.* of Legislative Decree no. 165/2001, is responsible for updating this Code in coordination with the Head of Corruption Prevention and Transparency, and for examining reports of breaches of the provisions of Presidential Decree no. 62/2013 and of this Code, as well as for collecting data on ascertained and sanctioned misconduct.
4. The Head of Corruption Prevention and Transparency periodically verifies the dissemination of knowledge of the provisions of Presidential Decree No. 62/2013 and this Code, availing themselves of the Heads of Structures for the annual monitoring of their implementation and taking care of the publication of the results of the monitoring on the institutional website and the communication thereof to the National Anti-Corruption Authority.
5. The Head of Corruption Prevention and Transparency, in ensuring the dissemination of knowledge of this Code, also makes use of notices and memos and organises training and refresh seminars in coordination with the Organisation and Development Area.

Article 26

Detection of liability and disciplinary sanctions

1. Violations of the obligations of conduct provided for by Presidential Decree No. 62/2013 and by this Code, as well as of the duties and obligations provided for by the PIAO, Section II - *Valore pubblico, performance e anticorruzione*, part on "*Rischi corruttivi e trasparenza*", constitute conduct contrary to official duties and are a source of disciplinary liability, ascertained at the outcome of the relevant proceedings, in compliance with the principles of gradualness and proportionality of sanctions, under the legislation in force and the national collective labour agreements.
2. Violation of the aforementioned obligations may also give rise to criminal, civil, administrative or accounting liability of the employee.
3. Behaviour contrary to the provisions of this Code, perpetrated by staff governed by public law as referred to in Article 3, paragraph 2 of Legislative Decree no. 165/2001 (lecturers and researchers) and the related applicable sanctions, shall be assessed following the provisions of the current "*Regolamento di Ateneo per i procedimenti disciplinari nei confronti dei*



professori e ricercatori, per il deferimento alla Commissione etica e per il funzionamento del Collegio di disciplina”.

4. The source of the disciplinary sanctions applicable in the event of violations committed by technical-administrative staff is that provided for by Law no. 300 of 20 May 1970 (*Statuto dei Lavoratori*) and by Legislative Decree no. 165/2001 (the so-called *Testo Unico sul pubblico impiego*) and by the contractual sanctions set out in the current *Contratti Collettivi Nazionali di Comparto*, specifically by the internal section called *Codice disciplinare*, to which we refer, where the employee's obligations are identified, and the related sanctions are listed.

5. Disciplinary liability for the violation of the obligations of conduct set out in this Code by technical-administrative personnel shall be ascertained by Sapienza's *Ufficio per i procedimenti disciplinari (UPD)* established pursuant to Legislative Decree no. 165/2001 and subsequent amendments and integrations.

6. The imposition of the milder sanction of a verbal reprimand and the related disciplinary procedure fall within the authority of the Head of the structure where the employee works.

7. The disciplinary sanctions that the UPD may impose on technical-administrative staff are as follows:

- censure (written reprimand);
- fine of 1 to 4 hours pay;
- suspension from service with deprivation of remuneration:
 - from 1 day and up to a maximum of 10 days;
 - up to a maximum of 15 days;
 - from a minimum of 3 days and up to a maximum of 3 months;
 - from 11 days up to a maximum of 6 months;
- dismissal with or without notice.

That is without prejudice to further obligations and hypotheses of disciplinary liability of public servants provided for by law and by collective labour agreement.

Chapter III

Use of information technology, media and social media

Article 27

Use of information technology

1. Sapienza University staff shall use the provided IT resources for institutional purposes only, in a responsible manner and ensuring their efficient and effective use.

2. Sapienza University does not allow the use of IT resources, hardware and software in ways that jeopardise the proper functioning of Sapienza's information systems and interfere with the activities of other users.

3. Sapienza staff are bound to the proper custody of passwords used to access IT resources, and attempts to access resources for which they are not authorised, through hacking, password forgery or other illegal or fraudulent means are prohibited.

4. Sapienza staff are bound to the correct and safe use of the workstation assigned for exclusive use for work activities, in compliance with the *Linee guida sulla sicurezza informatica e sul lavoro agile*, issued by Sapienza.

5. Violation of the provisions of this article shall give rise to disciplinary liability as per Article 26.



Article 28

Use of media and social media

1. Sapienza staff are bound to respect the mission and values of the University, refraining from any behaviour that might damage its reputation and good name.
2. Sapienza's brand/logo and name, as provided for in the current *Regolamento per l'utilizzo e la concessione in uso del marchio/logotipo Sapienza*, may only be used for institutional purposes. Under no circumstances may they be associated with private activities of university community members.
3. In personal communication activities, in particular in the use of social media, Sapienza staff undertake to use communication channels correctly, respecting the laws in force and the confidentiality of individuals, and not to damage the prestige of Sapienza, without prejudice to the constitutionally guaranteed freedom of expression.
5. Violation of the provisions of this article shall give rise to disciplinary liability as per Article 26.

SECTION IV

ACADEMIC STAFF - OBLIGATIONS OF CONDUCT IN TEACHING AND RESEARCH ACTIVITIES. ETHICAL ASPECTS IN RESEARCH AND OUTREACH ACTIVITIES

Chapter I

General principles and obligations of conduct in educational activities

Article 29

General Principles

1. Academic staff, in the exercise of their institutional duties, are bound to observe the rules of the university legal system and the European Charter for Researchers and to base their conduct on them.
2. Academic staff shall undertake to implement Sapienza's decisions and to fulfil their institutional responsibilities in accordance with the principles of impartiality, fairness, affordability, effectiveness, efficiency, correctness and transparency.
3. Without prejudice to the activities that are incompatible with the status of full-time lecturer or researcher at Sapienza, as set out in the specific regulations, lecturers and researchers, regardless of the type of their contract, may not carry out activities that may give rise to situations of conflict of interest, even potential, with Sapienza; in these cases, the lecturer or researcher is obliged to refrain from carrying out the activity, reporting any situation of conflict of interest, even potential, to the Head of the structure to which they belongs.

Article 30

Obligations of conduct in educational activities

1. The lecturer is guaranteed freedom of teaching in compliance with Article 33 of the Constitution and within the framework of the deliberations of their educational structure with regard to the coordination between learning outcomes and the individual cultural and professional reference profiles.



2. Lecturers are required to carry out their teaching activities (Ministerial Decree no. 270/2004), within the terms established by the resolutions of Sapienza's academic bodies, in compliance with the regulations in force and in accordance with the procedures established by the educational and coordination structures when approving the teaching programme, as well as with the current *Regolamento didattico di Ateneo* and *Regulations on the allocation, self-certification and verification of teaching and student service activities by professors and researchers*.

3. Lecturers' teaching duties include: assisting students with the content of their lectures and in the writing of papers and dissertations; participation in exam and degree boards; carrying out preparatory and remedial teaching and training activities, aimed at enabling the fulfilment of the additional educational obligation; carrying out the assigned courses personally and in compliance with their schedule; guidance and tutoring activities; carrying out internal organisational tasks and attending the meetings of the governing bodies. Any absences from lectures must be justified only by force majeure, health reasons and/or scientific or institutional commitments, and must be communicated promptly to the students and to the Heads of structure, in accordance with its regulations.

4. It is the duty of the lecturer to carry out the tests with a duly constituted board and on the basis of individual assessments, and to formalise the result recording, ethics in accordance with the procedures and timetables laid down in the *Regolamento didattico di Ateneo*;

5. Lecturers must not interpose personal interests in the performance of their institutional teaching duties and must refrain from situations of conflict of interest in the performance of exams or other teaching functions, including as members of committees.

Chapter II

Ethical and behavioural aspects in research and Outreach activities. Incompatibilities and conflicts of interest. Ascertainment of liability and sanctions

Article 31

Ethical aspects of research

1. Sapienza, in accordance with constitutional and statutory principles, recognises, promotes and protects the freedom and autonomy of thought and scientific research.

2. Research activity is the right and duty of every lecturer and must be inspired by the principles of respect for the dignity of all persons involved, professional ethics, responsibility, fairness, diligence and transparency. The research results should, directly or indirectly, contribute to the increase of knowledge and societal development and welfare. To this end, without prejudice to the intellectual property rights of the authors, Sapienza supports open access to scientific literature and research products, including through their durable preservation, in order to allow the exact identification of their contents and safeguard their integrity.

3. The research activity shall not pursue aims and objectives that conflict with the principles and values established by this Code and other ethics committees established by law or control bodies with authority in the field of ethics.

4. In the distribution of the resources allocated to the funding of research, Sapienza shall consider the needs and disciplinary specificities, the individual and group contribution made in the scientific field, with particular attention to early-career researchers, also ensuring that the principle of non-discrimination, whether direct or indirect, is observed, based on one or more factors, such as gender identity, sexual orientation, conscience and personal, political



and religious beliefs, physical appearance and skin colour, language, ethnic or social origins, citizenship, personal and health conditions, pregnancy, family choices, age, as well as the role they occupy within Sapienza.

5. Researchers are required to ensure scientific information's independence, accuracy and completeness.

6. The supervision of graduands and doctoral students entails a commitment to active research training and promoting their scientific independence.

7. Particular attention must be paid at all stages of research to the integrity of the study itself, inspired by the principles of reliability, responsibility, honesty and respect towards the researchers themselves, the research participants, the environment and society.

8. In particular, in planning and carrying out research, researchers must guarantee the right to confidentiality and protection of personal data of all subjects involved, the right to the physical and mental integrity of the human person, the right to non-discrimination, and the need to ensure high levels of health protection, including that of the researchers themselves. They must also take into account the interests of society, ecosystems, cultural and environmental heritage, responsibly assessing potential impacts, both direct and indirect, on the objects of research and, more broadly, on society and the environment.

9. Sapienza, given the social relevance of scientific research, is committed to ensuring the widest possible sharing and dissemination of research results and promotes access to knowledge and open science through all appropriate means.

10. Sapienza considers any form of scientific fraud [e.g. "fabrication" (the invention of data or other results), "falsification" (the modification, omission or suppression of data or results, or their manipulation), "plagiarism" (the appropriation of others' work or ideas)] to be unlawful, believing that such behaviour compromises Sapienza's reputation, undermines society's trust in the scientific community and wastes resources.

Article 32

Expected conduct in research

1. Sapienza is committed to ensuring high standards of rigour and integrity in research activity and expects all those involved in research to observe them.

2. The programming, planning, funding and conduct of the research activity and how the results are disseminated, applied and exploited must conform to the best principles recognised today in research ethics.

3. Sapienza and its community share a responsibility to promote and verify good practices, to create favourable conditions for a culture of professionalism and integrity to flourish, and to deal transparently and fairly with any violations.

4. Sapienza is also committed to ensuring the necessary infrastructure for maintaining, managing and protecting research data in all its aspects.

5. Responsibility, integrity, professionalism, fairness, trust and transparency are core values of Sapienza, and they constitute the foundations of this Code. Every community member must act according to these values, draw inspiration from them and feel responsible for promoting them.

Below are the expected behaviours in research based on the core values described in this Code.

6. Responsibilities

Researchers:

a) adhere to the principles of good scientific practice, both those recognised by the international scientific community for all those conducting research and those specific to different research areas;

b) undertake to consider the ethical, social, economic and ecological implications associated with their research work;

c) take responsibility for the results of their research and are open to public scrutiny;



- d) are fully responsible for what is contained in their scientific publications unless otherwise specified;
- e) handle research material (human, animal, cultural, biological, environmental, physical) with respect and care and in compliance with the relevant regulations in force and with any indications provided by the Sapienza Ethics Committee;
- f) are required to update their knowledge, ensuring the link between research and teaching;
- g) participate in the monitoring and individual evaluation of the research activity in a spirit of cooperation, certifying their scientific products in the institutional archives correctly and truthfully;
- h) when they are research coordinators or supervisors, they have to:
 - 1) promote conditions that enable each participant to operate with integrity and professionalism;
 - 2) enhance individual merits and define the responsibilities of each participant;
 - 3) encourage dialogue, cooperation, and development of ideas and personal skills, especially in the performance of scientific activities that require a multidisciplinary methodological approach;
 - 4) ensure proper management of the intellectual property of research results;
 - 5) respect the principle of non-discrimination, whether direct or indirect, on the basis of one or more factors, such as gender identity, sexual orientation, conscience and personal, political and religious beliefs, physical appearance and skin colour, language, ethnic or social origins, citizenship, personal and health conditions, pregnancy, family choices, age, as well as the role they occupy within the university.

7. Integrity

Researchers:

- a) do not alter or invent or attribute to themselves results that were not obtained from their own research activity;
- b) maintain, at every stage of their careers, appropriate attention to the issues of ethics and integrity of research, also transmitting its values to the young people who undertake the path;
- c) are committed to pursuing original research results and respecting intellectual property;
- d) always cite all sources in research products;
- e) if necessary, they promptly correct or retract the results of their own work, explaining the reasons for this;
- f) classify their own products by strictly applying the typological indications of ANVUR and/or other institutions where relevant;
- g) during the review and evaluation processes, they remain impartial and guarantee anonymity when requested;
- h) do not use for private purposes the means and information they have access to for professional purposes;
- i) sign a publication when they have contributed to its design or execution, or research results discussion.

8. Professionalism

Researchers:

- a) adhere to the highest standards of behaviour typical of their scientific community;
- b) take care of and document the steps in the processing of original data in order to ensure that the results obtained are reproducible;
- c) declare their role in the research activity, distinguishing when speaking in a personal capacity or on behalf of the university.

9. Fairness, trust, transparency

Researchers:

- a) ensure that access to data is 'as open as possible and as closed as necessary', that its management follows the principles of traceability, accessibility, interoperability and reusability, and provide transparent guidance on how to access it;
- b) clarify, when in charge of a research project, modalities and rules allowing access to the original research data or material by those who, having left the research group, request it;



- c) ensure that research results are public, except where there are confidentiality or contractual obligations;
- d) publish their results in accordance with the principles of open access while respecting, however, the publication practices of each discipline;
- e) recognise and trust the abilities of their colleagues and collaborators;
- f) are familiar with and observe Sapienza's PIAO, Section II - *Valore pubblico, performance e anticorruzione*, part dedicated to " *Rischi corruttivi e trasparenza* "
- g) at every stage of group research, if in charge, they foster a climate of collaboration, promote the recognition and enhancement of each researcher's merit and are required to comply with the principle of non-discrimination.

Article 33

Personal data storage and processing

1. Personal data must be stored and processed in compliance with the legislation in force and Sapienza's regulations. The names and contact details of the personal data controller and processor must be provided in advance.
2. The processing and storage of the personal data of participants enrolled in the study must preferably take place in coded or anonymous form. Suppose this is not possible due to the object or purpose of the research. In that case, the researchers must scrupulously comply with the regulations in force to allow the confidentiality of the persons involved to be respected.
3. Without prejudice to the principles of respect for human dignity and autonomy, where the research involves enrolled participants, the person in charge shall ensure compliance with current legislation on informed consent, with particular regard to subjects who are incapacitated or otherwise unable to give consent.

Article 34

Protection of animals involved in research

1. Sapienza members shall conform the research activities involving animals to the protection measures established by the regulations in force and to the concept of animal welfare, paying attention to updating the ethical, scientific and social debate on animal experimentation issues.

Article 35

Protection of intellectual property

1. Sapienza considers the achievement of excellence in research, knowledge and technology transfer as fundamental elements for the progress of the community and the improvement of the quality of life. The university community members share the objective of managing research results, intellectual property and technology transfer in the public interest. This objective is pursued in institutional activity, collaborations with public and private entities and exercising extra-institutional activities.
2. With regard to patents and other intellectual property rights, exploitation rights favour Sapienza and/or the individual inventors following the law, Sapienza regulations and the contractual relationship between inventors and Sapienza. Sapienza promotes the exploitation and management of intellectual property in collaboration with the inventors and compliance with the fair recognition due by law.



Article 36

Research findings and combating plagiarism

1. Sapienza community members are bound to respect the rules on intellectual property. The author of an intellectual work or a patent owned by Sapienza, which may be applied and exploited for the benefit of society, is obliged not to use it for private purposes, to observe the confidentiality of the results until their official disclosure and to work in collaboration with Sapienza University to manage the results in the public interest.
2. In collective scientific productions, the contribution of all research group members must be recognised and valued. Collaborators must not be excluded from the co-authors' list; conversely, those who have not made contributions must not be included.
3. Sapienza does not allow any form of plagiarism or intellectual dishonesty, whether intentional or resulting from negligent conduct or abuse of hierarchical position or academic influence. Plagiarism includes the partial or total attribution to oneself or the appropriation of the ownership of projects, ideas, research results or inventions belonging to others, as well as the attribution of the authorship of an original work to an author other than the real one. Plagiarism includes omission and falsification in the citation of sources and is independent of the language in which the scientific products are presented or disseminated.
4. Sapienza requires every community member to counter and report cases of plagiarism of which they become aware.

Article 37

Ethical aspects of Outreach activities

1. Sapienza, convinced that knowledge is an essential resource for the community's growth, considers dialogue with society and disseminating knowledge as fundamental objectives.
2. Sapienza supports open and participatory science and promotes scientific citizenship.
3. Outreach activities must contribute to the development of the community through the dissemination of knowledge, information, involvement, dialogue, debate and exchange of ideas.
4. Outreach activities must respect the principle of non-discrimination, whether direct or indirect, on the grounds of one or more factors, such as gender identity, sexual orientation, conscience and personal, political and religious beliefs, physical appearance and colour, language, ethnic or social origin, citizenship, personal and health conditions, pregnancy, family choices, age, as well as the role they occupy within Sapienza.

Article 38

Expected conduct in Outreach activities

1. Sapienza is committed to promoting actions in support of Outreach, understood as the set of activities concerning the development of the social, economic and cultural context to which Sapienza refers, the enhancement of research (e.g. third-party activities, patents, spin-offs, start-ups, technology transfer) the production of public goods (e.g. the management of cultural heritage and the protection of health through clinical trials), lifelong learning and public engagement, i.e. activities organised institutionally by Sapienza or its structures, on a non-profit basis and with an educational and/or cultural value aimed at a non-specialist public.
2. Below are the expected behaviours of all those who contribute to Outreach activities based on the founding values described in this Code: responsibility, integrity, professionalism, fairness, trust and transparency.



3. Responsibility

Researchers:

- a) when invited to provide contract and/or applied research activities, responsibly assess the consistency between the client's requirements and the expertise available;
- b) when involved in research activities that may have ethical implications, submit research protocols to the competent *Comitato Etico* in good time.

4. Integrity

Researchers:

- a) maintain an adequate focus on the issues of ethics and integrity in their Outreach activities, also transmitting their values to the young people who undertake the path.

5. Professionalism

Researchers:

- a) are aware of Sapienza's task in terms of public engagement and, when involved, contribute to the extent of their expertise to the success of its activities.

6. Fairness, trust, transparency

Researchers:

- a) use all collected data under privacy and confidentiality regulations;
- b) promote the various public engagement initiatives fairly, avoiding favouritism;
- c) comply with Sapienza's regulations on the disclosure of share of profit, remuneration and/or benefits deriving from spin-offs and/or start-ups and third-party activities.

Article 39

University spin-offs and start-ups, and subsidiary companies

1. The bodies and organisations referred to in Article 15 of the Statute, subsidiary and/or accredited, directly or indirectly controlled, are required to adopt rules of conduct in compliance with the principles referred to in this Code.
2. Members of the university community who carry out their activities in companies having the characteristics of university spin-offs and start-ups and in bodies in which Sapienza has a stake are required to comply with the rules of this Code.

Article 40

Incompatibilities and conflicts of interest in research and Outreach activities

1. Any member or collaborator of Sapienza University who finds themselves, in the performance of their research and Outreach activities, in a situation of incompatibility according to the regulations in force or a conflict of interest of any kind, even if potential or referable to third natural or legal persons with whom they are connected must refrain from any activity or from taking decisions or participating in the adoption of any decision, and to promptly inform, transparently and completely, the senior manager of the structure they belong to or at which they work, even occasionally, and to comply with the resulting decisions.
2. Researchers must comply with conflict of interest rules, avoid using contacts, information and research results for personal purposes and, when involved in spin-off and/or start-up activities, promptly declare any conflict of interest situation that could benefit the company.
3. In the event of procedures for the acquisition of research services and supplies, including in connection with funding involving consultancy and/or subcontracting, the person in charge of the research activities shall comply with the regulations in force concerning the adoption of measures to counter corruption, maladministration and conflict of interest.



4. Any researcher who is, under the above-mentioned rules, in a situation of conflict of interest is required to disclose it and abstain from participating in the procedure. Failure to abstain constitutes a source of disciplinary liability.

Article 41

Ascertainment of liability and disciplinary sanctions against academic staff

1. At least once a year, the Educational-area Board President or the Programme Coordinator shall verify the activities certified and signed by the lecturers providing teaching or service therein, whose declarations shall then be validated by the Department Director to which the lecturer belongs, who shall ascertain their compliance with the tasks assigned to them.
2. If it is ascertained that the aforesaid conformity is not met, the Department Director or the Educational-area Board President or the Programme Coordinator shall compulsorily inform the Dean of the Faculty of reference, who, after discussion with the lecturer concerned, shall forward all relevant reports to the Rector; the latter, after assessing the aforesaid reports, shall initiate the procedures provided for by the regulations in force concerning assessment and disciplinary profiles, informing the Dean thereof.
3. The assessment of the research activity is carried out based on the indicators in use in the international scientific community, taking into account the disciplinary areas' specificities, also in comparative terms between structures, groups of lecturers and individual lecturers.
4. Failure to fulfil the obligations of an educational and research nature constitutes grounds for disciplinary proceedings against the lecturer and researcher under Article 7 of the Sapienza Statute and the applicable regulations in force.
5. Breaches of the obligations of conduct on the part of academic staff that entail disciplinary liability are assessed by the Rector, who, apart from their direct jurisdiction as regards the knowledge of facts that may give rise to the imposition of censure, initiates disciplinary proceedings before the Disciplinary Board.
6. The disciplinary sanctions that may be imposed on academic staff are: censure, suspension from office and salary for up to one year, and removal from office without loss of the right to a pension or allowances; these sanctions are imposed by assessing the seriousness and/or habitualness of the violation or breach of official duties and conduct and taking into account the principles of proportionality and gradualness, in compliance with the provisions set out in the *Regolamento di Ateneo* for disciplinary proceedings against lecturers and researchers, for referral to the Ethics Committee and the functioning of the Disciplinary Board.
7. Anyone with knowledge of any conduct contrary to the obligations of this Code, engaged in by academic staff, can report it, in writing, to the Rector.

SECTION V STUDENTS

Article 42

General principles and fundamental protection

1. Sapienza works to enhance the merit of those who attend it for their cultural and professional training and requires their loyal cooperation in academic relationships with lecturers and fellow students;
2. Recipients of the provided public resources, as per Article 34 of the Constitution, have a duty to use them responsibly in pursuit of their commitment to study and training.
3. Students, regardless of their political opinions, cultural options and religious beliefs, have the right to use spaces for socialising, studying and collective discussion; to meet in



assemblies on Sapienza's premises; to associate and organise collectively in accordance with the laws of the State and the principles of tolerance and pluralism. Students must respect the spaces made available to them by Sapienza and maintain their functionality and decorum.

4. Students have the right and duty to participate in Sapienza's life and democratic governance by exercising the institution of representation in Sapienza's decision-making and steering bodies; student representatives must exercise their mandate with continuity and commitment.

5. Sapienza pursues a student policy aimed at fostering international mobility, enhancing students' skills, rewarding merit and commitment, encouraging excellence, removing obstacles to students' access to quality training within the timeframe set by the educational programmes, and promoting their integration into the world of work, also by activating appropriate teaching methods, such as tutoring and online teaching.

Article 43

Students' rights and duties and punishable behaviours

1. Students are entitled to:

- a) quality education, lectures and complementary training activities arranged according to the academic calendar and the Academic Senate's determinations;
- b) facilitated access to the Sapienza Library System and participation in scientific research initiation activities, including temporary mobility in training and research institutions, as well as international ones;
- c) have access to the scientific-educational skills present in other Programmes, both for study and dissertation purposes, as per Sapienza's General Academic Regulations;
- d) gather freely also for participation in university elections and manage common spaces identified for this purpose by the Board of Governors after consultation with the Academic Senate;
- e) be assessed impartially and know the results of their exams, as well as receive explanations on the assessment criteria
- f) submit individual study plans corresponding to their vocations and educational interests within the limits set by the regulations in force;
- g) freely choose the subject of their dissertation; their lecturers, having assessed the sustainability of their request also based on their own specific expertise, have to assign the dissertation requested by the student, who, in order to carry it out in the most thorough manner, may have access to all the necessary documentary material;
- h) autonomously promote training and cultural activities useful for the better pursuit of university education's general or educational objectives, which may, upon their request and subject to verification of the training objectives achieved, be recognised as training credits by the educational structures in charge.

2. Sapienza is committed to removing obstacles that limit or prevent access to the same rights by students with disabilities and supports the integration of students of different nationalities and cultures.

3. Students must:

- a) participate, under the terms governed by Sapienza's General Academic Regulations, in the training activities arranged by their structures, undergo the tests aimed at training credits, as well as those that make it possible to assess the quality of training also in comparative terms with similar educational structures, including international ones;
- b) take their exams fairly and loyally, taking into account the rules against the use of unauthorised mobile phones and electronic devices during the exams, whereas the lecturer may sanction misconduct by cancelling the exam;



c) carry out their dissertation or final exam through their personal commitment to the chosen topic, in full compliance with copyright rules and the ownership of intellectual works at all levels.

4. Student's profit must be assessed based exclusively on the achievement of the learning outcomes expected for the educational activity being examined. In any case, the Committee cannot examine the teaching material used by the student. If the exam outcome is not satisfactory for the student, the latter has the right to withdraw without any consequences for their academic curriculum.

5. Student duties and rights are set out in the "Student Charter of Rights and Duties", to which reference is made in addition to this article.

6. Behaviour that can be sanctioned includes acts carried out by students even outside the university premises and/or appurtenances when they are pertinent to being a university student and recognised as damaging to dignity and honour or likely to harm the image of Sapienza University, without precluding any sanctions provided for by law. In particular, the following constitute punishable conduct:

- a) lack of loyalty and fairness, deception and cheating, copying and forgery in exams, in participation in exercises and experiments and the preparation of texts and dissertations;
- b) falsifying documents certifying one's academic career or income situation;
- c) behaviours that do not respect the personal integrity and dignity of others, as well as the decorum of the places where teaching and research are carried out and/or where recreational, leisure, and cultural activities take place;
- d) damage to property belonging to Sapienza or third parties, even temporarily;
- e) the breach of obligations and/or commitments assumed towards Sapienza and duly signed in relation to the performance of recreational, leisure, and cultural activities;
- f) behaviours and/or the carrying out of activities aimed at preventing other students from exercising their legitimate rights on the university premises;
- g) violation of university regulations.

Article 44

Ascertainment of liability and disciplinary sanctions against students

1. Violation of the rules of this Section by students may give rise to disciplinary sanctions, according to Article 16 of Royal Decree-Law no. 1071/1935, as well as sector and internal regulations.

2. Ascertainment of the breach starts from reporting the relevant fact against the student, followed by the notification of the charges on which the Academic Senate decides, after preliminary investigation by the offices in charge; the Rector imposes the sanction once the proceedings are over;

3. The sanctions that may be imposed on students, which may also be cumulative, are reprimand; temporary disqualification from one or more courses; exclusion from one or more exams; temporary suspension from the University with consequent loss of exam sessions. Breaches of the duties referred to in paragraph 6, letters d) and e) of Article 41 of the Code oblige the student to pay compensation for all civil damages however they may occur, even if caused by third parties.

4. Anyone with knowledge of any conduct contrary to the obligations of this Code, engaged in by students, can report it, in writing, to the Rector.



SECTION VI ADVISORY AND VERIFICATION BODIES AND REFERRAL PROVISIONS

Chapter I Advisory and Verification Bodies

Article 45 *Commissione Etica* (Sapienza Ethics Committee)

1. The *Commissione Etica* (Sapienza Ethics Committee) has advisory functions; it also verifies the implementation of and compliance with this Code's ethical rules and interpretative practices.
2. The *Commissione Etica* designated by the Academic Senate and appointed by Rector's Decree after consultation with the Director General, comprises two academic staff representatives, two technical-administrative staff representatives and two student representatives, with equal gender representation. Academic and technical-administrative staff representatives may also be external to Sapienza.
3. The Commission is chaired by a President external to Sapienza, appointed by the Rector. The members of the *Commissione Etica* may form sub-committees if the need arises.
4. The *Commissione Etica*, based on specific non-anonymous reports from members of the academic community and/or directly interested third parties, ascertains compliance with the rules and ethical principles contained in this Code. It may request acts and documents from Sapienza central offices and structures for its activities.
5. At the end of its preliminary investigation, the Committee shall express a reasoned opinion on any ethical violations and, where such violations are even only in part present, it shall propose to the Rector - about the nature and seriousness of the facts reported - that a letter is sent to the person(s) concerned, or that disciplinary proceedings be commenced. The provisions of Article 9(5) and (6) of the current Sapienza Statute remain in force concerning cases of greater seriousness.
6. The Rector shall periodically inform the Academic Senate of the opinions received by the Committee and their decisions.

Article 46 Commission for Integrity in Research

1. The Commission for Integrity in Research was established by R.D. no. 2476/2020 for technical-scientific advisory functions in research integrity, as well as for ethical advice related to the analysis and management of possible cases of research misconduct.
2. The Commission for Integrity in Research's task is:
 - a. to provide the Rector with technical-scientific advice on issues within its area of expertise, including relations with similar bodies;
 - b. to draw up guidance and orientation documents, guidelines and ethical opinions on research integrity issues;
 - c. to propose, to the extent of its area of expertise, criteria, methods and procedures for the assessment and management of critical ethical issues arising in areas pertaining to research integrity;
 - d. to develop a plan for training, updating, prevention and verification of research misconduct;
 - e. to provide the Rector with ethical advice for the management of alleged cases of



research misconduct involving professors, students, technical-administrative staff, structures or resources of Sapienza;

f. to develop teaching materials and specialised documentation, contribute to the development of updated programmes on issues within its competence, and organise dissemination initiatives.

Article 47

Ethics Committee for Transdisciplinary Research

1. The Ethics Committee for Transdisciplinary Research, a body constituted and composed according to criteria of competence, transdisciplinarity and independence, has the task of providing opinions, evaluations, and verifications to the scientific heads of research, to the structures directly involved and to Sapienza's governing bodies in order to ensure that research is carried out following the ethical principles defined by international and national regulations and by the Statute and this Code. In particular, the Committee's task, whose Regulation was issued by R.D. no. 2014/2021, is:

- a) to provide the ethical analysis of research proposals and experimental protocols submitted for its review;
- b) to provide evaluations, should they be necessary to fulfil requests from national, E.U. or international institutions, as well as requests for funding calls;
- c) in collaboration with the Research Support and Technology Transfer Area, to prepare an information plan for Sapienza's staff and students to foster ethical awareness of the implications of research activities.

2. The Committee shall give its opinion - except in cases reserved by law for other ethics committees - on the following research topics:

- a) research involving human beings and not involving human health;
- b) research involving the collection of personal non-health data;
- c) research involving the use, production and collection of tissues, cells or organisms;
- d) research involving animals;
- e) experimentation with research prototypes, depending on the type of device and its intended use;
- f) software and artificial intelligence;
- g) research cooperation with third countries;
- h) research, technology, and information that could have dual use (civil or military);
- i) technology and information that could be used for unethical purposes;
- j) research that could harm the environment and endanger flora, fauna and protected species.

Chapter II

Transitional and final provisions

Article 48

Declarations

1. This Code entirely replaces Sapienza's Ethical Code. It incorporates the contents of the Code of Conduct for Sapienza University employees, adopted in implementation of Article 54, paragraph 5, of Legislative Decree no. 165/2001 and subsequent amendments.

2. In implementation of paragraph 1 of this article, Sapienza's Ethical Code, issued by R.D. no. 1636 of May 23, 2012, and the *Codice di comportamento dei dipendenti della Sapienza*



(Code of Conduct for Sapienza employees), issued by R.D. no. 1528 of May 27, 2015, are repealed.

Article 49

Transitional and final provisions

1. Disciplinary proceedings for the ascertainment of breach of ethical-behavioural rules, which have already been initiated against Sapienza lecturers, technical-administrative staff and students, shall continue and be concluded under the rules in force prior to the entry into force of this Code.
2. In order to guarantee the widest possible sharing, the updating of this Code envisages a public consultation phase involving stakeholders, including the most representative trade unions within Sapienza, associations and other forms of organisations representing particular interests, and subjects operating in the sector and benefiting from the activities and services provided by Sapienza.
3. For all matters not expressly provided for in this Code, reference is made to the provisions of the law, the applicable collective bargaining agreements and the internal statutory and regulatory provisions.
4. A special Rector's Decree shall issue this Code.
5. This Code shall be published on the institutional website of Sapienza by the first working day following the date of issue and shall enter into force on the fifteenth day following the date of issue.