



**ISTITUTO  
ITALIANO DI  
TECNOLOGIA**

**CODE OF CONDUCT  
AND  
SCIENTIFIC CONDUCT**

**Of the Istituto Italiano di Tecnologia Foundation**

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## *Foreword*

Istituto Italiano di Tecnologia (hereinafter referred to as the “Foundation” or “Institute” or “IIT”) has deemed it appropriate to establish a set of rules which are set out in this Code of Conduct and Scientific Conduct (hereinafter the “Code”), divided into four sections: (i) general principles of behaviour also for the purposes of *Modello di Gestione, Organizzazione e Controllo (the IIT Organizational, management and control model)* pursuant to Legislative Decree 231/2001); (ii) guidelines for scientific conduct, (iii) principles relating to conflict of interest, (iv) the procedure for reporting violations of the Code.

The Code sets out the general principles and guidelines to be followed by all those who for various reasons relate to the Foundation (the “Recipients”).

This Code complements and does not replace the provisions set out in previously provided policies and procedures.

Any changes and/or additions to this Code must be made using same methods adopted for its approval.

Recipients of the Code are:

- members of Governing Bodies, whether monocratic or collegial, and of any organ or committee of any nature established with regards to the Foundation;
- employees, collaborators, and consultants, each in respect of the contractual nature of the relationship with the Foundation and in line with the level of autonomy of the respective responsibilities;
- third parties who maintain contractual relations with the Foundation which differ from those listed above.

“Recipients” are required to comply with the provisions of this Code to enable the Foundation to operate smoothly and further strengthen its reliability and reputation.

## **GENERAL PRINCIPLES**

Recipients of this Code are required to:

- operate with honesty and integrity, good faith and transparency in doing business among themselves, with public authorities, institutions, suppliers, individuals, institutions or companies with which the Foundation has contractual or employment relationships, acting with independence and impartiality and abstaining in cases of conflict of interest;
- observe the provisions of the legal system in which the Foundation operates, in compliance with the procedures, guidelines and information adopted from time to time and published by the Institute;

### ***Compliance with laws and regulations***

Recipients are committed to complying with the laws and regulations of the states in which the Foundation operates.

### ***Compliance with company procedures***

In the performance of their tasks, and compatibly with the respective contractual conditions, Recipients undertake to comply with IIT's statute, internal regulations, the IIT Organizational, management and control model, pursuant to Legislative Decree 231/01, and internal policies and procedures where applicable.

### ***Compliance with powers of attorney and mandate***

Recipients who perform actions on behalf of the Foundation by virtue of mandates or powers of attorney shall act within the limits and in accordance with said powers. They may not, outside of these limits, make commitments on behalf of IIT or pretend to be allowed to do so in the performance of their duties and functions.

### ***Legitimacy and fairness***

Recipients agree to perform each task assigned to them, operation and/or transaction in accordance with their respective proxies, powers of attorney and mandates so that it is always possible to carry out checks on the type of transaction/activity, on the reasons that led to the execution thereof and on the authorization to carry out the execution of such operations.

## ***Diligence***

Recipients with reference to the purchase of goods, services and works on behalf of the Institute, shall undertake to act in accordance with the principles of fairness, affordability, quality and legality and work with due diligence. The selection of suppliers for the Institute must be guided by the maximum competitive advantage for the Foundation ensuring, for all suppliers, impartiality and equal collaboration opportunities.

## ***Relations with supervising Ministries, public supervisory authorities, inspection bodies and institutions in general***

Relations with supervising Ministries<sup>1</sup>, public supervisory authorities and inspection bodies which may be appointed within the Institute and institutions in general are based on principles of transparency, timeliness, completeness, truthfulness and correctness of information.

Such information cannot be concealed or distorted, in accordance with current legislation, and should be communicated to all of the above-mentioned subjects.

The Foundation shall not hinder the performance of the functions of the aforementioned authorities. Nor shall it omit, expose in communications, and in the provided documentation, facts that are not true or conceal facts concerning its economic and financial situation.

## ***Work and economic relations with third parties***

In summary the obligation of loyalty, with respect to the aforementioned duties, involves for each employee that:

- *it is forbidden to sign an employment contract with third parties without the prior authorization of the Institution, save for that provided for by regulations in force;*
- *it is forbidden to carry out activities contrary to the interests of the Institution or incompatible with the duties of the office, for the performance of which the workers must devote their energies and act according to the terms and in the manner agreed in the employment contract.*

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<sup>1</sup> At the date of approval of this document: Ministry of Economy and Finance, Ministry of Education, University and Research.

## **SECTION I RULES OF CONDUCT**

### *Gifts and free services*

Recipients must never offer, promise, guarantee or accept gifts, compensation or any benefit when these are aimed at influencing decisions or gaining an unfair advantage, or when this could even risk giving such an impression.

The only exceptions to this rule are free services of reduced value and common hospitality of use within the context of professional relationships. Any other free service must be refused or returned and the circumstance must be made known to the recipient's manager and to the relative area as required by the relative protocol.

Offering or accepting money or discounts having monetary value is in all cases not permitted.

Even in countries in which offering gifts to clients or other individuals is customary or considered a sign of courtesy, such gifts or promises of gifts must be of an appropriate nature and not violate the law. Also in this case, said gifts must never risk being interpreted as a request for favours.

### *Taking part in conferences, seminars and training courses funded by suppliers of the Foundation*

Participation in conferences, seminars and training courses organised and funded by suppliers of one's own area/centre/line of research must be authorised beforehand by one's own superior or manager in order to assess any situation that might cause a conflict of interest in accordance with the relative procedure.

Members of the Council and external members of the Executive Committee are exempt from this procedure. However, they must inform the Foundation beforehand in the context of regular meetings.

In any case, all recipients of this Code must never accept invitations for participation in exchange for any form of direct or indirect financial support on behalf of supplying companies with regards to the Foundation, who organise or sponsor events (for example travel expenses and accommodation or free services or products of any kind).

### ***Financing of doctorate scholarships***

In carrying out its institutional objectives, the Foundation may make use of subjects external to the organization, including but not limited to, students enrolled in doctorate courses.

In the case in which there is a specific and concrete interest on the part of IIT to completely or totally finance scholarships, the Foundation will undersign a special agreement with the University in question which will specify that the funding is provided by the Foundation directly to the University, according to that provided for and established by the Agreement and, in any case in compliance with the Policies, Procedures and Guidelines of the Foundation.

### ***Protecting the assets of the Foundation***

The Foundation's assets consist of physical and intangible assets - the latter being the result of the work of all employees, collaborators, and consultants, information of strategic importance and a significant amount of confidential data linked to various research projects handled by employees, collaborators, and consultants to perform their tasks.

The protection of these assets is essential for the existence and the prosperity of the Foundation. The loss, theft or misuse of such assets may seriously damage the interests of the Foundation and, more generally at a higher level, the interests of institutional scientific research as a whole.

Every employee, collaborator, or consultant has, therefore, the responsibility to store and protect the assets and tools personally assigned to him/her for his/her job and should help to ensure the preservation of all the assets of the Institute. To this end he/she shall closely observe the operational and safety procedures set out by the Foundation.

At all times, documents pertaining to the activities of the Foundation, work tools and other tangible or intangible properties owned by the Foundation shall be used exclusively for the achievement of the institutional goals of the Foundation and in the manner laid down by it. Employees/collaborators/consultants shall not use them for personal purposes, nor shall they transfer them or make them available, even temporarily, to third parties.

### ***Use of confidential information***

Information and confidential documents, personal data of employees and third parties with whom the Foundation has contractual relations, work projects, know-how and technological processes are at all times to be stored and protected in an appropriate manner, by both third parties and colleagues who are not directly

involved. The material to which access is granted for business reasons must, however, be treated according to the instructions and procedures provided by the Institute.

Employees who become aware of third parties deliberately or fraudulently trying to obtain confidential information either reserved to the direct recipient of the request or otherwise, shall promptly inform the Foundation through their direct supervisor.

In particular, employees not expressly authorized in the manner and under the terms provided for by the rules in force concerning personal data protection, are forbidden to get knowledge of, record, treat and disclose personal data concerning other employees or third parties.

Those failing to comply with the above will be subject to the administrative and criminal sanctions established by the afore-mentioned legislation, as well as - for employees - to the disciplinary sanctions provided for by the Institute's staff regulation<sup>2</sup>.

### ***Communication within IIT***

The Foundation's internal and external communication must be clear, precise and truthful in order to avoid the dissemination of erroneous news or information or the occurrence of situations giving rise to liability of any nature and type for the Institute.

The provision of information to the public must be managed by the offices expressly responsible for this task.

### ***Relationships between employees, collaborators and consultants***

The relationships between employees, collaborators and consultants working for the Foundation should always be based on the principles of peaceful coexistence and must be managed in the mutual respect of the rights and freedoms of individuals.

In particular, there must be no discrimination or reprisals on the basis of race, religious or political belief, union membership, language and sex ("misconduct").

The term "misconduct" is used to define the act of intentionally offending, humiliating or discriminating against other people.

There is no exclusive or exhaustive description of all the actions that can be carried out to this end. Individual or multiple actions that could arise include but are not limited to:

- racial discrimination;
- gender discrimination;
- religious discrimination;
- sexual harassment;
- bullying.
- mobbing

The relationships between the levels of responsibility relating to the different hierarchical positions existing in the Foundation must be conducted with honesty and fairness and with due respect for professional confidentiality.

All supervisors shall exercise their powers in relation to the mandates and instructions received with objectivity and judicious balance, respecting the dignity of their employees and taking proper care of their professional growth.

All personnel of the various offices, in turn, must fully collaborate with their supervisors or coordinators, so that an accurate and unbiased assessment of their professional performances is possible.

### ***Transparency of accounts and corporate communications***

The Foundation requires that each operation be properly recorded.

Each operation must be supported by suitable documentation so that controls can be made to confirm the nature and reason of the operation identifying who authorized, performed, recorded and checked it.

Financial statements, reports and corporate communications required by law must be drafted in compliance with the provisions of the Italian Civil Code and other accounting principles and with clarity and transparency so as to represent a real and correct view of the assets and financial position of the Foundation.

Book entries are all entries representing numerical operations, including internal expenses.

All the staff of the Foundation involved in the process of preparation of the financial accounts shall: i) provide clear and comprehensive information, ii) ensure accuracy of data and date processing, iii) indicate the presence of conflicts of interest.

It is forbidden to hinder or obstruct the smooth conduct of the activities of Foundation bodies and auditors, collaborating, where required, in the performance of any form of control and audit required by law.

In particular, it is forbidden to carry out actions preventing or otherwise hindering control and revision activities through the concealment of documents or the use of other fraudulent means.

### ***Health and Safety at work***

IIT has always been committed to the promotion, dissemination and consolidation of safety culture, taking Italian Legislative Decree 81/2008 as the main reference as well as developing in its staff risk awareness and responsible behaviour. The Foundation is committed to preserving the health and safety of its workers as its primary goal is to protect its human, capital and financial resources. IIT does not accept any compromise regarding of the protection of the health and safety in the workplace.

IIT does not accept any compromise regarding protection of health and safety in the workplace.

Recipients must not expose other Recipients to unnecessary risks likely to cause damage to their health or physical safety.

All staff working for the Foundation is responsible for the proper management of and compliance with the principles laid down to protect health, safety and environment.

IIT undertakes, to the extent required by local regulations, to maintain a safety-conscious work environment and equip their employees, collaborators and consultants, depending on the activity they carry out, with all the equipment necessary to protect them from any risk or danger posed to their physical wellbeing.

To this end, IIT is required to inform all employees and collaborators of the conditions imposed by law and of practices and procedures relating to its health and safety policy. IIT is committed to maintaining its offices and operating systems in such a manner as to comply with all safety standards.

Employees and collaborators undertake, within the scope of the regulations regarding the carrying out of their duties, to comply with the conditions imposed by law and with every practice and procedure adopted by the Foundation.

Finally, IIT shall make periodic checks to ensure that all safety measures are effectively implemented and enforced and shall act promptly, should corrective action become necessary.

Employees and collaborators are required to report to the relevant officer on any safety- disregarding actions or conditions.

Any form of retaliation against employees and collaborators who raise matters of health and safety in good faith is strictly prohibited.

### ***Illegal immigration***

The Foundation undertakes, in accordance with the provisions of the Italian Immigration Law, to avoid business relations with persons without residence permit and activities in whatever way likely to favour the illegal access of immigrants to Italy.

### ***Environment and protection of animal species***

The Foundation pays special attention to environmental issues and undertakes to adopt strategies and techniques that improve the environmental impact of its activities in compliance with the applicable law taking into account the development of scientific research and experience.

The Foundation is committed to operating in accordance with the following principles in order to reduce environmental risks: i) the progressive integration of environmental aspects in its business activities, ii) implementation of all actions necessary to ensure compliance with and adjustment to the regulatory provisions in force; iii) constant update of staff on legislative and environmental legislation; iv) increasing staff members' awareness of and involvement in environmental issues. The Institute manages activities related to the testing of animal species in full accordance with applicable laws. The Foundation also promotes and encourages the preservation of animal species and strongly condemns killing, destroying, capturing or withholding of specimens of endangered animal species or specimens.

### ***Compliance and ethics relating to money***

It is forbidden to forge, circulate (buying and/or selling) banknotes, coins, public credit notes, stamps and watermarked paper.

It is forbidden to replace or transfer money, goods or other property resulting from criminal conducts or perform actions by means of money, goods and other property which may prevent the identification of their criminal origin.

It is forbidden to use such property or money in economic or financial activities.

### ***Computer Security***

It is forbidden to penetrate or remain unlawfully within a computer system or a telecommunication system protected by security measures.

It is forbidden to illegally obtain, to oneself or a third party's benefit, codes, passwords or other means enabling access computer system or a telecommunication system protected by security measures.

It is forbidden to illegally obtain, for oneself or for a third party's benefit, equipment, devices or programs in order to damage or disrupt the computer system or a telecommunication system of others.

It is forbidden to damage or disrupt someone else's computer system or telecommunication system.

It is not possible to intercept, prevent or interrupt computer or electronic communications unlawfully or to install ad hoc equipment to this purpose.

It is forbidden to destroy damage, delete, alter or suppress information, data or other IT programs.

Subjects who supply services relating to electronic signature certification are not allowed to issue said certificates by violating legal provisions.

### ***Protection of copyright***

The unauthorized public disclosure of original works protected by copyright or part of them through computer networks or connections of any kind is forbidden.

The content of a database cannot be reproduced on non-SIAE (Società Italiana degli Autori e degli Editori) sealed media, nor can it be transferred on to another medium, distributed, communicated, presented or shown to the public if this is done for lucrative reasons in violation of the author's exclusive right of execution and authorization. The extraction, re-use, distribution, sale or leasing of a database in violation of its owner's rights is forbidden too.

Unauthorized duplication, reproduction, transmission or public dissemination of an original work intended for television, cinema, sale or rental, discs, tapes, similar media or any other media containing phonograms or video recordings of musical, cinematographic or audio-visual works or sequences of moving images is forbidden. The unauthorized reproduction, transmission or public dissemination of literary, dramatic, scientific, educational, musical or musical-dramatic works, including multimedia or parts thereof, even if included in collective or composite works or databases, is also prohibited.

It is forbidden to sell, distribute, launch on the market, dispose of in any way, project, transmit or make heard in public the works referred to in the preceding paragraphs.

The activities described in the preceding paragraph are prohibited when their purpose is the creation of audios or videos not showing or showing a counterfeited SIAE seal, in those cases where the copyright mark is prescribed by law.

It is forbidden, in the absence of an agreement with the distributor, to transmit or distribute through any means an encrypted service received using equipment or parts of equipment for decoding restricted access transmissions.

In the case of production or import of materials not subject to SIAE seal in accordance with art. 181 bis of the Italian law on copyright, there is an obligation to inform SIAE of all necessary information for their clear identification within the terms indicated by the law.

### ***Possession of pornographic material***

Keeping inside the Foundation's premises, warehouses, outbuildings or any other place attributable to the Foundation pornographic material or virtual images of subjects under eighteen years of age is prohibited. Virtual images are understood to be images taken by a graphic technique not associated in whole or in part to real situations, where fictitious situations purport to look real.

### ***Internal Audits***

In order to ensure compliance with the law and all internal procedures, the Foundation provides an internal organization to ensure that: i) there is an adequate level of segregation of responsibilities, for which the execution of each process requires the joint support of different business functions, ii) all actions and operations which are carried out are suitably traced and it is possible to verify the decision-making, authorization and execution process, iii) each operation has adequate supporting documentation to allow at any time the performance of audits to certify the characteristics and motivations of the operations and identify the persons who authorized, performed, recorded and verified the transaction; iv) all the internal documentation is kept in an accurate, complete and updated manner in compliance with existing procedures.

### **Anti-corruption**

IIT undertakes to apply all necessary measures for the prevention of corruption, according to the prescriptions and actions provided for by Law 190/2012 and following amendments and integrations as adopted by the Foundation in the addendum to Model 231/01 regarding protection against corruption.

The Recipients of the present Code are required to respect the necessary norms for the prevention of illicit behaviour and the spreading of corruption within the organisation.

Each Recipient must collaborate individually with the Head of Corruption Prevention, as identified by the Foundation, assuring the latter all communication of data and information requested, and reporting, with the modality specified in section IV of the present Code of Conduct and Scientific Conduct, any alleged situations of illicit activity within the Foundation of which they are aware.

## **Transparency**

Transparency is a fundamental instrument for the prevention of phenomena of corruption, reducing the risk of the emergence of situations punishable by law.

All the Recipients of the present Code are obliged to adopt conduct which guarantees the transparent and correct management of scientific and administrative activity pursuant to the aforementioned legislative Decree 231/2001 and its relative addenda

The Recipients of the present code guarantee the carrying out of obligations of transparency conferred to the Foundation, according to the regulatory dispositions in force, each contributing to the elaboration, identification and transmission of data subject to the obligation of publication on the website and in other forms of publication provided for.

In order to guarantee the traceability and the sharing of information, the Recipients should use, where required, the information technology instruments provided by the Foundation, using the forms of storage defined by procedures.

### ***Privacy Obligations and Recipients' Responsibilities***

The Recipients of this Code must treat as confidential all technical, legal and scientific information, information relating to technology transfer development or, in general, any information concerning the activities of the Foundation they may become aware of while performing their duties or mandate.

“Confidential Information” includes, but is not limited to:

- i. any form of technical and/or scientific and/or commercial and/or economic and/or financial or legal information, including but not limited to any document, illustration, sketch or design, material, technical note, protocol, memo, convention, formula, sample or product prototype, at any point revealed during the Recipients' activities, communicated verbally, in writing or by any means, including electronically, by the Foundation directly or by their consultants;
- ii. agreements, correspondence, analyses, diagrams, studies and all documents compiled as part of the activities expected of the Governing collegial Bodies or those of the Foundation itself during the ordinary or extraordinary management of their own functions;
- iii. any analyses, extrapolations, summaries, documents, studies and/or deductions made for or on the basis of discussions had during meetings

of the Foundation's Governing Bodies or the various established committees;

- iv. any information (in writing, verbal, on an electronic platform or in any other form) that is not of public nature and that is confidential, along with any kind of information that concerns the activities of the Foundation and of its Governing Bodies such as, for example but not limited to, any formula, sample or product prototype, data a financial or commercial nature, information concerning personnel selection procedures of any level, intellectual property, products and/or services and, in general, relating to activities carried out by the Foundation;
- v. The Recipients shall fully indemnify the Foundation with regards to any loss, damage, cost or expense, including legal expenses, of any nature, whether they be direct or indirect, that may derive from violating obligations concerning confidentiality required by their duties or mandate. Without prejudice to any other right or remedy the Foundation might have, the Recipients acknowledge that damage compensation could not be an adequate remedy for violating this Code and that the Foundation, facing any form of violation of this Code, will have the right to request and follow through with other solutions such as precautionary actions, specific performance and other legal remedies.

## **SECTION II**

### **GUIDELINES ON SCIENTIFIC CONDUCT**

IIT (hereinafter “the Foundation” or “the Institute”), in order to promote the integrity and the intellectual and scientific honesty of its staff (employees, contractors, PhD students, affiliates, etc...), has developed these guidelines that, together with the national, European and international regulatory reference framework, constitute the general principles of conduct to be followed when carrying out any scientific research in which the Institute and its staff are involved.

#### ***DEFINITIONS***

*Misconduct in scientific research:* indicates creation, forgery or plagiarism when proposing, implementing and evaluating IIT-funded research activities.

(a) *Creation:* refers to the artificial creation of data or results of research activities.

(b) *Forgery:* refers to the manipulation of materials, tools or research processes, modification, tampering or omission of data and results with the aim of deliberate misrepresentation.

(c) *Plagiarism:* refers to the appropriation of ideas, processes, results or words of another person without giving him/her due credit. The causes that give rise to plagiarism include failure to understand the definition of plagiarism itself, propensity to manipulate a text, tight schedules, work overload, poor supervision of trainees and the underestimation of its severity. The sanctions inflicted to the individual accused of plagiarism include: official reprimand, revocation of scientific articles or funding, dismissal from the Foundation. Individuals holding whether direct or structural supervisory responsibilities failing to exert them properly may be placed under an observation period or be deprived of said supervisory responsibilities. This may in turn lead to a revision of said responsibilities within the working group.

In scientific communications, the non-reporting of any conflicts between the content of the publication, the effective result and value of the [research](#) and the professional interests of the [researcher](#), as well as the economic interests of those supplying funds for the researchers study, where explicitly requested (for example by scientific journals, organisations financing research, scientific companies that organise congresses etc.) represents a case of misconduct in research.

Misconduct in research does not include mistakes made in good faith or mere differences of opinion.

#### ***General principles***

Personnel involved in scientific research must guarantee:

- a. compliance with the general principles of good faith and correctness;
- b. compliance with the policies and regulations of the Institute in the management of intellectual property, technology transfer, spin-offs, industrial property, tenure track procedures;
- c. compliance with specific customary rules underlying each area of research as regards the acquisition, selection and processing of data;
- d. prohibition to engage in activities of misconduct in scientific research in accordance with the above-mentioned definitions.

### *Moral rights of intellectual ownership*

Intellectual ownership is an explicit way of assigning ownership and merit to intellectual work. Conducting a scientific experiment or any other research project involves many elements (formulation of a hypothesis, development or application of methodologies, collection of data, analysis of results, disclosure of the work). Since all these elements not only require technical skills but also intellectual contributions, they are appropriately recognized within the realm of intellectual ownership. However, intellectual ownership does not imply ownership in terms of exploitation and utilization rights of ideas, methodologies, research materials or data.

### *Attribution and regulation of intellectual ownership*

IIT is committed to enhancing the merit of those who are part of the Foundation and work to strengthen their cultural and professional background. For this reason it is also important to attribute intellectual ownership in the right way. This helps to shape the reputation of the individual researcher and of the institution and it is a way of giving the researcher due recognition and responsibility for his or her work as expressed in the scientific publications of which he or she is the author or co-author.

The identity of the authors of a publication and the order in which their names will appear shall be agreed upon, if possible, already during the planning phase of the research or in its initial stages. Without prejudice to the provisions on copyright and other rights related to it, legitimate authors of a scientific publication are all and only those who have made a significant contribution to the work itself.

The “significant contribution” and therefore the intellectual ownership of a scientific publication imply that the researcher has participated in at least one of the following activities:

1. formulation of the hypothesis underlying the research;
2. design of research and methodology;
3. data collection;

4. data processing and analysis;
5. interpretation of results;
6. drafting of significant parts of the text.

The researcher included in the list of authors must be involved in the process, including the final stage of approval and publication of the work. Moreover, he/she ensures the accuracy and integrity of the contents of the publication, to the best of his/her knowledge.

The mere fact that a researcher has contributed to attracting funds/grants or carries out a general supervision of the research group without actually working on the published work (“gift authorship”) does not by itself justify he/she owns said work from an intellectual point of view. Other minor contributions that do not justify intellectual ownership may be, for example, the provision of existing data, proofreading activities, administrative support, etc. although, aid contributions can be included in the acknowledgments, which sometimes are present in the final part of the publications.

Deliberate exclusion and/or lack of recognition of the contribution of authors is by itself a form of plagiarism.

### ***IIT Affiliation***

At the time of submission or publication of a scientific work the authors who must indicate their affiliation to IIT are the following:

researchers belonging to the scientific staff of IIT when one or more of the activities from 1 to 6 above need carrying out;  
researchers belonging to other bodies/institutes but having a formal collaboration with IIT whereby the right to state their affiliation to IIT in publications is explicitly declared. In this case the collaboration must be in force when one or more of the activities from 1 to 6 above need carrying out;  
subjects affiliated to IIT when one or more of the activities from 1 to 6 need carrying out, including PhD students whose scholarship is funded by IIT.

The affiliation must be reported in full and in Italian: “Istituto Italiano di Tecnologia”. This may be followed or preceded by details on the research line (name of line, acronym, ...), if deemed necessary by the authors. In cases 2 and 3 mentioned above, it is possible to indicate further affiliations referring to other Entities/Institutes.

### ***Collegiality in Research***

In the case of discrepancies with regard to the maintenance and deletion of research materials and data as well as related publications and/or inventions the commitment

of the professionals involved will inevitably be damaged. This negative situation may undermine the goodwill, productivity and reputation of the involved subjects, stretching as far as the community of colleagues as a whole.

The principle of collegiality must shape all research activities carried out by IIT in order to ensure that:

1. during the early stages of work research groups are committed to discussing and regulating methods of data processing, merit, publication, deletion of data and research materials as well as future research directions; the unit's objectives must be clear and shared among all members;
2. the best possible method is found to settle disputes internally between the parties in question, the laboratory or the head of unit;
3. the decisions referred to in paragraph 1 may be revised periodically and regularly, since areas of scientific research as well as the individual allocation of activities are subject to change.

### ***Storage of data and databases***

Key data must always remain within the laboratory and must be stored for as long as is reasonably necessary to make reference to them, for a minimum of 5 years from the first major publication or the completion of an unpublished study.

If a researcher or another research participant leaves the laboratory he/she works for, key data shall remain property of the Foundation and be stored within the Foundation.

Copies of laboratory notebooks, electronic media, source codes and other research documentation can be made available or deleted upon authorization by the function in charge of the research. However, original data must be preserved.

Storage data systems compliant with the regulatory provisions in force must be provided.

### ***“Resignation” of a Researcher***

“Resignation” from the research project by one or more research participants will compromise the integrity of the research.

It is the responsibility of the institution to establish appropriate cooperation agreements allowing the departing chief researcher to provide a continuous intellectual input to the projects in which he/she was involved. Generally, continuous participation should be encouraged even after “Resignation” is given as defined below.

### ***Responsibilities of Researchers after “Resignation” from the group***

When one or more researchers leave a group, tension can arise between them and the researchers who remain, as well as between these researchers and the funders

of the research project. However, a fair and open discussion on matters relating to future research efforts can significantly mitigate conflicts and give rise to opportunities for collaborative rather than competitive relations. Continuous intellectual input to the existing projects by the researcher who left the laboratory should be encouraged.

### ***Supervision in Research***

The supervisor in charge of research activities must make every reasonable effort to ensure that trainees and PhD students, are carefully supervised by their tutors (junior or senior researchers) as well as the whole scientific team. The complexity of scientific methods and the need to use caution when interpreting data that can be ambiguous require that the tutors play an active role in guiding new researchers. This is particularly appropriate in the case of a trainee with limited experience in the activities carried out in a scientific laboratory who joins a research unit. The main recommendations are shown here below:

1. The responsibility to supervise junior researchers must be specifically assigned to members present within each research unit.
2. The number of trainees per tutor must be kept low enough to allow close interaction for scientific exchange and control of research in all its phases.
3. The tutor must oversee the design of experiments and processes for data capture, registration, verification, interpretation and storage.
4. Collegial discussions between tutors and trainees within a research unit must be done regularly, in order to contribute to the scientific results of the members of the group and to provide a standard peer review of research activities.
5. The tutor must provide each researcher (be it a student, a postdoctoral researcher with a scholarship or a junior researcher) with the necessary means to conduct studies correctly when involving volunteers, hospital patients, animals, radioactive or other hazardous substances.

## **SECTION III**

### **GENERAL PRINCIPLES OF CONFLICT OF INTEREST**

#### *Conflict of interest*

The IIT Foundation, in line with the values of honesty and correctness, undertakes to implement the necessary measures in order to prevent and avoid phenomena of conflicts of interest.

Recipients, as identified in the relative Procedures for managing conflicts of interest, must retain a position of independence in the performance of their work to avoid making decisions or carrying out actions implying an actual or presumed conflicts of interest<sup>2</sup>.

Every situation which may lead to a conflict with the interests of the Foundation must be duly reported to the figure in charge of prevention according to the regulations of the Foundation. Subjects who find themselves in a situation of conflict must furthermore refrain from participating in decisions regarding which the aforementioned conflict may emerge.

Through specific Procedures, the Foundation guarantees the identification and the management of conflicts of interest, defining and presenting details of the entire procedure from the beginning until the end of the investigation.

#### *Ethics Committee*

Evaluations relating to conflict of interest issues concerning the Recipients, in the modality indicated by the Procedures regarding conflicts of interest, are conferred to a special Ethics Committee. The Ethics Committee consists of three independent external members with complementary and different competence appointed by the IIT Board upon the Chairman's proposal.

The Ethics Committee periodically reports to the Board on the activities undertaken.

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<sup>2</sup> Conflict of interest is considered as a situation arising when a subject has their own secondary interests or reports to a subject connected to said secondary interests, and said interests interfere with the primary interests of the Foundation in the framework of the relative processes.

### *Duty of non-competition*

Recipients undertake not to accept or conduct, for themselves or on behalf of third parties, be they physical persons or legal entities, any assignment for the carrying out of activities which are in competition with the activity of the Foundation.

### *Duty of abstention*

Each Recipient must refrain from taking part in the adoption of decisions of any type (i.e. assessments of researchers, the assigning of research funds, authorization to conduct missions, the assigning of machine time, etc.) and the performance of activities that may involve, directly or indirectly, interests, of their own or of Related Subjects, of an economic and non-economic nature.

The regulation of this obligation is set out in the special procedures which regards conflicts of interest.

Furthermore, with reference only to the search for and the selection of researchers, persons responsible for the lines of research are obliged to abstain whenever there are internal candidates afferent to their line of research.

Recipients must also refrain in the case of real reasons of opportunity or convenience.

In particular, Recipients are obliged to abstain from any external activity which may affect the activity of IIT if:

- They carry out activity for organisations or committees responsible for the financing, supervision or evaluation of the activities of IIT.
- They carry out activity for government committees or bodies and/or research centres which could be possible competitors of IIT in the participation for calls for national or international funding, or in any cases in which there is the presence of strategic alliances for the carrying out of research projects of common interest.
- They carry out activity for companies, bodies, and other institutions with which IIT could form relations of a commercial or financial nature, or of technological assistance and/or transfer of any kind..
- Hold similar management or government positions at IIT and at universities or research institutions active in the same scientific sectors of IIT at the same time.

The intention to abstain must be made in writing by the person who is in a position of conflict of interest and must be properly motivated.

### *Duty of transparency*

Employees are required to declare any conflict of interest that may link them to the scientific matter in the context of publications, research proposals or seminars.

If deemed necessary, the IIT Foundation reports to whom it may concern any non-declaration of conflict of interest.

Collaborators and Consultants undertake not to accept and in any case not to carry out either for themselves or for third parties, be they physical persons or legal entities, any assignment for the carrying out of activity which is in competition with the activity of the Foundation. Collaborators and Consultants also undertake to guarantee the impartiality of their work and to prevent potential conflicts of interest, also where these originate from contractual relations – both personal and through partnerships or corporations – with third parties who have relations of a commercial nature, or rather economical/financial obligations, with the Foundation.

Employees are required to regularly inform IIT of all ongoing remunerated or unpaid collaborations, as well as those terminated within the last two years, stating:

- a) if they, their relatives up to the fourth degree of kindred or cohabiting persons still retain economic or financial dealings with the subject with whom they have established the aforementioned collaborations;
- b) if these relations concern or have concerned individuals who may have an interest in activities or decisions relating to the fulfilment of their duties and practices in the work assigned to them.

The following activities are not relevant to the purposes of this paragraph:

- collaboration with newspapers, magazines, encyclopaedias and the like;
- economic exploitation by the author or inventor of intellectual works or industrial inventions other than those carried out in the interest of IIT;
- participation in conferences, seminars, with the exception of those organized and financed by suppliers or outsourcer (see Section I), or occasional teaching activities;
- assignments for which only the reimbursement of expenses is paid;
- assignments for the performance of which the Employee is given unpaid leave or secondment.

Staff members shall indicate, in particular, the economic and financial interests that may place them in a conflict of interest position with a given function. They shall also declare to the Ethics Committee if their relatives up to the fourth degree of kindred or cohabiting persons are engaged in political, professional or economic

activities entailing frequent contacts with Ministries having a supervisory role or their involvement in the decisions or activities of the Foundation.

### ***Related Activities***

Recipients must not accept from entities other than IIT fees or other benefits for the performance of actions or services falling within the duties or functions they have been tasked with.

Employees, save when provided for by regulations in force, shall not accept collaboration contracts with physical or legal persons who are having or have had economic interests in decisions or activities falling within their competence over the previous two years .

Collaborators are obliged to inform IIT if they have, or if they have had in the preceding two years, any role of collaboration with third parties who have, or who have had, interests in activities or regarding decisions relative to the role they have been entrusted with.

Recipients are furthermore invited to use the email address [transparency@iit.it](mailto:transparency@iit.it) to provide due communication regarding the emergence and/or default of causes and/or situations of conflict of interest, as well as to receive clarifications on this subject.

### ***Memberships in associations and organizations***

In compliance with current legislation all Recipients are required to report to IIT if they are members of any associations or organizations whose interests are affected by the duties they are tasked with by IIT.

The provisions of the preceding paragraphs do not apply if the Recipients are or become members of political parties or trade unions.

### ***Role incompatibility***

The Scientific Director, for the entire duration of their mandate, may never cover any executive role and may cover no more than two non-executive roles in companies with commercial objectives, except for cases in which conflicts of interest have been assessed. These roles must be communicated to the Executive Committee.

The Director General may never cover any executive role and may cover no more than three non-executive roles in companies with commercial objectives, except for

cases in which conflicts of interest have been assessed. These roles must be communicated to the Executive Committee.

Executive roles include but are not limited to the role of CEO, Administrative Board member, Board of Directors Chair with managerial powers, Advisory Board President, President of the Board of Auditors, Director General.

Non-executive roles or control roles include but are not limited to Board member, Advisory Board member, Board of Auditors member.

Recipients may still accept director roles in organisations without commercial objectives following, however, the rules defined by each individual employment contract.

Any roles that are exempt from the above regulations must be authorised explicitly by the Executive Committee, as is the case for any role in organisations without commercial objectives but which are relevant with regards to Politically Exposed Persons.

## **SECTION IV**

### **REPORTING VIOLATIONS TO THE CODE IN CASES OF SCIENTIFIC OR BEHAVIOURAL MISCONDUCT**

#### *General principles*

The principles set out in the present Code can be respected only with the joint efforts of all. It is the responsibility of every subject to adhere to the present code.

The Foundation allows the Recipients and every other person who participates in the research and administrative activities of IIT, both individually and in group, such as, but not limited to, doctoral students and guests who in any way and for whatever reason are in contact and/or collaborate with IIT, the opportunity to report any violations of the principles and rules contained within the Code, whether they relate to cases of behavioural or scientific misconduct, committed by the Recipients of the same Code.

The report must be sent to the Supervisory Board (SB) through the specially devoted web platform.

Reports can also be made anonymously and reports which are transmitted in other ways which differ from the specially devoted web platform are also taken into consideration, as long as they are circumstantial and based on precise and concordant facts.

#### *Jurisdiction regarding the report*

The SB, having received the reports, performs a preliminary investigation into the allegations and assesses whether the report is within its jurisdiction. Should this not be the case, it forwards the report to the subjects having jurisdiction.

The reports of violations of the principles contained in Section I (Rules of Conduct) and the circumstances where the fact being reported is assumed to be relevant as it constitutes a violation of the IIT Organizational, management and control model pursuant to Legislative Decree 231/2001, are within the jurisdiction of the SB.

The Ombudsperson examines the reports of violations of the principles and rules of the Code (Guidelines on Scientific Conduct) in Section II, in all cases in which the fact being reported can be qualified as scientific misconduct.

The Ombudsperson is chosen within IIT's scientific organisation among the academic-scientific personalities of relevance and with a significant experience concerning the functioning of a research institute. Within the scope of the activities to be carried out, the Ombudsperson may request the consultative advice of a

Lawyer external the IIT for a preliminary assessment of the legal aspects affecting the reports.

Reports relating to violations of the principles contained in the paragraphs on Anti-corruption and Transparency in the present Code, and cases in which the reported event is assumed to be a violation of the principles specified in the Addendum to the IIT Organizational, management and control model pursuant to Legislative Decree 231/2001, dedicated to measures for the prevention of corruption as specified in Law 190/2012, are the responsibility of the Head of Corruption Prevention.

Reports relating to violations of the principles concerning conflicts of interest are the responsibility of the Ethics Committee.

### ***Confidentiality***

The SB, the Head of Corruption Prevention and the Ombudsperson and the Ethics Committee ensure that they deal with reported issues with due discretion, and safeguard privacy, so that neither the identity of the complainant nor that of the Recipient of the report are disclosed to third parties without prejudice to those cases where there is due motivation. All the necessary measures will be implemented to ensure that the complainant is not subject to pressure and/or influence of any kind, caused by the mere fact of submitting his/her report. However, measures will be taken against anyone lodging reports which are seen as defamatory or unfounded.

### ***Management of reports***

The SB, the Head of Corruption Prevention, the Ombudsperson and the Ethics Committee, having received the reports, perform, each with their own procedure, an enquiry into the facts reported.

The modalities for managing the reports and any communications concerning the outcomes of the preliminary investigations to be submitted to the Executive Bodies are regulated by a specific procedure, in line with what provided for by the applicable regulations.

Having concluded the preliminary investigations, the SB, the Head of Corruption Prevention, the Ombudsperson and the Ethics Committee shall present their findings to the Executive Committee.

In cases of violation of the Code, the Executive Committee will make sure the relevant sanctions are applied.

The non-observance of the regulations of the Code by Recipients leads to different measures according to the role held by the Recipient with regards to the Foundation:

-the non-observance of the regulations of the Code by employees constitutes a breach of the obligations deriving from the working relationship with all legal contractual consequences;

-the non-observance of the regulations of the Code by components of organisations can lead to the adoption, by the Executive Committee, of measures deemed most suitable, or prescribed by Law;

-the non-observance of the regulations of the Code by collaborators, PhD students, consultants and suppliers is subject to sanctions in conformity with that provided for by relative contracts and/or mandates.