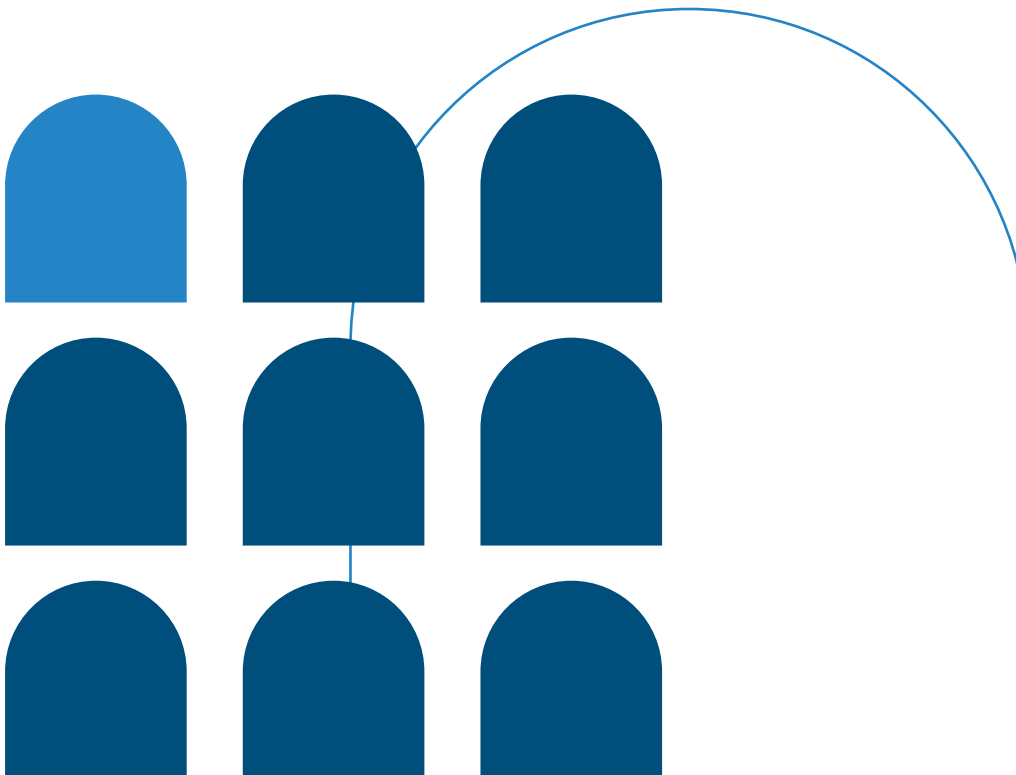


CODE OF ETHICS IN ACADEMIC CONDUCT AND RESEARCH

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I. INTRODUCTION

Starting with the notion of academic freedom as the leading principle of our research, at all levels, the European University Institute is committed to promoting and maintaining the highest standards of integrity and accountability in the conduct of academic research and to embed and endorse a culture of honesty and transparency in all its institutional activities.

In undertaking this commitment, academic freedom is a core value to be safeguarded and sustained. The Institute is dedicated to guaranteeing a free academic environment to conduct research, to teach, to speak and to publish, subject to the norms and standards of scholarly inquiry, without interference or penalty, wherever the search for truth, knowledge, scholarship and/or understanding may lead.

The EUI is a publicly financed institution whose funding enables it to provide essential research resources to its scholarly community. It requires its members to adhere to the terms and conditions governing access to such resources, be they on paper or in digital format.

The EUI supports the principle of Open Access and invites its members to facilitate the widespread dissemination of their published research by reporting and depositing their publications with the Institutional Repository of the EUI (Cadmus). The Institute invites all its members to abide by the highest standards of integrity in their conduct of academic research and/or support to academic research activities.

The first part of this document provides recommendations on best practices in academic research at the EUI, the second part defines the tasks and composition of the EUI's Ethics Committee, while the third part defines academic misconduct and regulates the EUI procedures for investigating such misconduct and determining appropriate sanctions.

II. BEST PRACTICES IN ACADEMIC CONDUCT AND RESEARCH

A. ACADEMIC FREEDOM, INTEGRITY AND RESPONSIBILITY

Academic freedom is the freedom to teach study and pursue knowledge and research without unreasonable interference or restriction from the law, institutional regulations or public pressure. Its basic elements include the freedom of scholars to inquire into any subject that evokes intellectual concern or curiosity, to present findings, to publish data and conclusions without control or censorship and to teach (whilst respecting relevant EUI regulations) in the manner they consider professionally appropriate.

At the same time, integrity, accountability and responsibility in conducting academic research form the cornerstone of any academic enterprise and violations of recognised academic research standards represent serious offences to the Institute's academic community and are considered injurious for its credibility and authority as an institution that promotes excellence in academic research in Europe.

Academic integrity requires that academic research follows elevated professional standards, including appropriate research design and frameworks, adheres to high levels of research ethics and abides by the requirements set out by professional and regulatory research guidance and research ethics frameworks issued in appropriate areas.

Principles and Values of Academic Integrity

Academic integrity is defined in terms of the commitment to the values of honesty, trust, fairness, respect, responsibility, legality and dissemination

Honesty: An academic community should advance the quest for truth, knowledge, scholarship and understanding by requiring intellectual and personal honesty in learning, teaching and research.

Trust: An academic community should foster a climate of mutual trust to encourage the free exchange of ideas and enable all to reach their highest academic potential.

Fairness: An academic community should seek to ensure fairness in institutional standards, practices and procedures as well as fairness in interactions between members of the community.

Respect: An academic community should promote respect among students, staff and faculty: respect for self, for others, for scholarship and research, for the educational process and intellectual heritage.

Responsibility: An academic community should uphold high standards of conduct in learning, teaching and research by requiring shared responsibility for promoting academic integrity among all members of the community.

Legality: An academic community should observe relevant legal norms related to the conduct and publication of research particularly in relations to copyright, the intellectual property rights of third parties, the terms and conditions regulating access to research resources and the laws of libel.

Communication: An academic community should seek to make the results of its research as widely and as freely available as possible. For more information about open access policy, see section D below.

B. INSTITUTIONAL RESPONSIBILITIES

The President, the Provosts, the Dean of Graduate Studies, the Heads of Departments, the Directors of Graduate Studies, the Academic Director of the Max Weber Programme and other fellowships, the Directors of the Academy of European Law, the Robert Schuman Centre and the Florence School of Transnational Governance are responsible for promoting and endorsing a transparent academic environment conducive to the application of the high professional and ethical criteria of best practices for academic research.

Faculty are expected to create and sustain a climate of mutual co-operation that facilitates the open exchange of ideas and the development of academic research skills. They are also expected to ensure the provision of appropriate supervision and direction for students and early-stage researchers, in accordance with the nature of the individual academic discipline and associated mode of research.

The European University Institute is committed to providing appropriate supervision to students and early-stage researchers. Supervisors are expected to adhere to the [Code of Practice for Doctoral Supervision at the EUI](#), which delineates the supervisory relationship, the assessment of research progress, and the procedures to resolve problems in the supervisory relationship.

In line with its commitment to academic integrity and ethical standards, the European University Institute has adopted specific [Guidelines for the Responsible Use of Artificial Intelligence for Research](#). These guidelines

outline principles of literacy, individual responsibility, and disciplinary diversity in AI use. All members of the EUI academic community are expected to be familiar with these guidelines and to adhere to them in their research and supervision activities.

The EUI has also adopted the [Code of Practice on Freedom of Expression](#) to ensure that learning and research thrive in a peaceful environment which supports freedom of thought and expression, while respecting others' rights. The Principal Investigators (PIs) and Academic Assistants/Research Fellows (AAs/RFs) at the EUI involved in a research project shall formalise a written agreement outlining their shared expectations regarding the research elements of their collaboration. This agreement will be submitted to the HR service no later than two months after the start of the contract. The HR service provides a draft model agreement that can be used for this purpose and informs the parties about a neutral and confidential mediation service available for addressing concerns about the agreement. The Chair of the Ethics Committee and the Director of the Academic Service provide the mediation service.

C. TRAINING

The Academic Units should ensure that EUI scholars undertake appropriate training in research design, methodology, regulatory and ethics approvals and consents, equipment use, confidentiality, data management, record keeping, data protection and publication, the appropriate use of licensed research resources and respect for the intellectual property rights of third parties. The Institute is also committed to preparing its professional staff involved in record keeping and the implementation of the [EUI Data Protection Policy](#) and expects them to fully respect the principles and rules of the Code of Ethics in Academic Conduct and Research.

D. PUBLICATION PRACTICE AND AUTHORSHIP, NOTIFICATION, ARCHIVING AND DEPOSITING COPIES OF RESEARCH PUBLICATIONS WITH THE INSTITUTIONAL REPOSITORY (IR)

The European University Institute encourages the publication and dissemination of results of high-quality research. It also expects that the

EUI academic community will engage in the process of publishing and dissemination of their work responsibly and with an awareness of the consequences of any such dissemination in the wider media. Results should be published in a form appropriate to the academic discipline. The Institute requires that all individuals listed as authors accept responsibility for the contents of the publication and can identify their contribution to it. Authors should have participated sufficiently in the research to take public responsibility for the content.

The Institute does not recognise the practice of honorary authorship.

OPEN ACCESS POLICY

Open Access (OA) is free, immediate, online access to the results of scholarly research, and the right to use and re-use those results as you need. The basic idea of OA is simple: make research literature and outputs available online without price barriers and without most permission barriers.

The EUI supports the principle of Open Access and invites the academic community to facilitate the widespread dissemination of their published research by reporting and self-archiving their publications with Cadmus, the EUI Research Repository (green OA) and publishing OA articles in journals (gold OA).

The EUI Open Access Policy can be found [here](#).

III. THE ETHICS COMMITTEE

A. TASKS OF THE ETHICS COMMITTEE

- To provide advice and guidance to the EUI academic community on all matters pertaining to academic research ethics.
- To advise the Academic Council on compliance with the 'Code of Ethics in Academic Conduct and Research' of the various academic activities at the EUI.
- To provide guidance and academic support to scholars on ethical issues in respect of teaching, research and other academic activities. On an entirely voluntary basis, EUI scholars may ask the Ethics Committee for consultation on ethical aspects of their research.
- To confirm to external parties on behalf of the EUI compliance with ethical standards in respect of research projects undertaken by scholars at the EUI. The Committee is only convened at the explicit request of scholars needing an assessment of the ethical dimensions of a research project.
- To advise the Executive Committee and the Academic Council on any policies that may be required in relation to accepting funds from particular sponsors of research.
- To act as an investigative/consultative body for any disputed matter concerning research ethics and academic conduct.
- To make recommendations to the internal EUI Disciplinary Committee on what action, if any, should be taken as a result of the investigations.

B. APPOINTMENT AND COMPOSITION OF THE ETHICS COMMITTEE

COMPOSITION

The Committee shall be composed of the following members:

Voting members

- The Provost overseeing ethics in academic conduct and research as ex officio voting member.
- The Chair of the Ethics Committee.
- Faculty members (at least one from each EUI Academic Unit).

- Two PhD Researchers.
- One Academic Assistant or Research Fellow.
- One Post-doctoral Fellow.

Ex officio members of the Committee with voice but no vote:

- The Legal Advisor and the Data Protection Officer as advisor(s) to the Committee.
- A representative from the Library as advisor to the Committee.
- The Director of the Academic Service as advisor to the Committee.

APPOINTMENT

Members of the Ethics Committee are appointed by the Academic Council upon nomination by the President in consultation with the Provost overseeing ethics in academic conduct and research.

The nomination of faculty members of the Committee should endeavour to cover all the four disciplines of the EUI, counting also the discipline covered by the Provost and the Chair. Whenever possible, gender balance will be taken into consideration in the nomination of the members of the Ethics Committee.

Other voting members are nominated upon proposal by the respective Reps. The postdoctoral fellow shall be from a one or more-year post-doctoral fellowship programme, such as the Max Weber Programme or others.

The members' mandate, except for ex officio members and the Chair, is for two years – renewable once.

In case of conflict of interest, members of the Ethics Committee shall be temporarily replaced by substitutes nominated by the President in consultation with the Provost overseeing ethics in academic conduct and research.

In case of unavailability of the Provost overseeing ethics in academic conduct and research, the second Provost may be consulted by the President and participate in the Ethics Committee.

CHAIR OF THE ETHICS COMMITTEE

The Chair of the Ethics Committee is responsible for overseeing the ethical review process for research. They lead the committee in reviewing proposals, providing guidance to EUI scholars, and resolving ethical dilemmas. Additionally, the Chair presides over Sub-Investigation Panels in cases where the Ethics Committee is entrusted with an investigation procedure.

Together with the Provost overseeing ethics in academic conduct and research, the Chair fosters a culture of integrity and responsible research and academic conduct while ensuring continuous ethical education within the EUI.

The Chair is appointed by the Academic Council upon nomination by the President in consultation with the Provost overseeing ethics in academic conduct and research, from among the full-time faculty at EUI.

The mandate of the Chair is up to three years, renewable.

The Chair holds a casting vote.

SECRETARIAT

The Academic Service acts as secretariat of the Ethics Committee managing ethics review procedures and investigation procedures.

IV. MISCONDUCT IN ACADEMIC RESEARCH

A. DEFINITION OF RESEARCH MISCONDUCT

Misconduct in academic research implies (but is not limited to) fabrication, falsification, plagiarism or deception in proposing, carrying out or reporting results of research and deliberate, dangerous or negligent deviations from accepted practice in carrying out research. This includes failure to follow an agreed protocol when this failure results in unreasonable risk or harm to persons, the environment, and when it facilitates misconduct in research by collusion in, or concealment of, such actions by others. Misconduct also includes any plan or attempt to engage in any of these practices. It does not include honest error or honest differences in interpretation or judgment in evaluating research methods or results, or misconduct unrelated to research processes and already covered by the [EUI Policy on Harassment, Sexual Harassment and Bullying](#).

Misconduct includes (and is not limited to) the following acts:

Plagiarism: The deliberate copying of ideas, text, data or other work (or any combination thereof) without due permission and acknowledgement.

Self-Plagiarism: Republishing or reusing one's own previously published work without disclosure.

Piracy: The deliberate exploitation of ideas from others without proper acknowledgement.

Abuse of Intellectual Property Rights: Failure to observe legal norms regarding copyright and the moral rights of authors.

Abuse of Research Resources: Failure to observe the terms and conditions of institutionally licensed research resources.

Defamation: Failure to observe relevant legal norms governing libel and slander.

Misinterpretation: The deliberate attempt to represent falsely or unfairly the ideas or work of others. It also refers to the deliberate or reckless presentation of false, misleading, or distorted information in research activities, publications, or professional settings. This is a serious form of academic misconduct that undermines research integrity and public trust.

Personation: The situation where someone other than the person who has submitted any academic work has prepared (parts of) the work.

Fabrication and Fraud: The falsification or invention of qualifications, data, information or citations in any formal academic exercise.

Sabotage: Acting to prevent others from completing their work. This includes stealing or cutting pages out of library books or otherwise damaging them; or willfully disrupting the experiments of others; or endangering institutional access to licensed research resources by willfully failing to observe their terms and conditions.

Professorial misconduct: Professorial acts that are arbitrary, biased or exploitative of junior scholars.

Improper Authorship: Including individuals as authors who did not contribute significantly or excluding those who did.

Data Mismanagement: Failing to properly collect, store, or share research data, including selective reporting of results.

Conflicts of Interest: Failing to disclose personal, financial, or professional conflicts that could influence research integrity.

Retaliation against Whistleblowers: Punishing individuals who report suspected misconduct.

Denying access to information or material: To deny others access arbitrarily to scholarly resources or to deliberately and groundlessly impede their progress.

Misconduct in formal examinations: Includes having access, or attempting to gain access during an examination, to any books, memoranda, notes, unauthorised electronic devices or any other material, except those authorised and/or provided by the invigilator or Academic Unit. It also includes aiding or attempting to aid another candidate or obtaining or attempting to obtain aid from another candidate or any other communication and conversations that could have an impact on the examination results.

B. LEVELS OF VIOLATIONS OF GOOD ACADEMIC PRACTICE

Two levels of violations of good academic practice can be distinguished.

1. MINOR VIOLATIONS:

Minor violations may occur because of inexperience or lack of knowledge of the principles of academic integrity and are characterised by the absence of dishonest intent on the part of the person committing the violation. They may result from:

- a. weak procedures and methods which may jeopardise the integrity*

- of the research but are not undertaken deliberately or recklessly*
- b. *weaknesses which present no major risks to either subjects or policies which they may influence*

On the whole, these minor violations can be seen as failings which may reflect only poor, rather than unacceptable practices and therefore mainly require further training and development rather than any formal disciplinary action.

Examples of minor violations include:

- *Minor plagiarism defined as a small amount of paraphrasing, quotation or use of diagrams, charts etc. without adequate citation. Minor plagiarism may result from poor scholarship (i.e. when a student, through inexperience or carelessness, fails to reference appropriately or adequately identify the source of the material which they use).*
- *Inaccurate claims to experience, qualifications or contributions in a context where the person committing the violation cannot expect major benefits (such as winning a competition for a prize or job).*
- *Inaccurate representation of findings without deliberate distortion.*
- *Lack of diligence in declaring relevant conflicts of interest.*

Such violations may present no risks to subjects, the wider community or the environment, but they may warrant some penalty or sanction at institutional level.

2. MAJOR VIOLATIONS:

Major violations are breaches of academic integrity that are more serious in nature or that affect a more significant aspect or portion of the academic work compared with minor violations.

Key examples are:

- *Deliberate, reckless or grossly negligent conduct which would clearly pose a significant risk in one form or another to the integrity of the research.*
- *Conduct that may pose risks to subjects, the wider community, the environment, or to the research reputation of the institution and research in general.*
- *Major plagiarism defined as:*
 - *extensive paraphrasing or quoting without proper citation of the source;*
 - *lifting directly from a text or other academic source without reference;*
 - *the use of papers (or parts thereof) from essay banks, either downloaded from the internet or obtained from other sources;*

- *presenting another's designs or concepts as one's own;*
- *continued instances of what was initially regarded as minor plagiarism despite warnings having been given.*

Other examples of major violations are:

- *The willful destruction of data (except where required by the legitimate data provider or where norms of privacy might otherwise be endangered).*
- *Fabrication or falsification of data.*
- *Falsification of ownership.*
- *Defamation.*
- *Systematic abuse of the terms and conditions of licensed research resources.*
- *Other systematic violation of the intellectual property rights of third parties.*

The EUI is committed to fully investigate serious violations of academic misconduct by any academic member of the EUI community.

C. PROCEDURES FOR INVESTIGATION OF RESEARCH MISCONDUCT

1. INSTIGATION OF PROCEEDINGS

Without prejudice to the right and duty of Academic Units to address and assess issues of plagiarism in the course of the regular assessment of any academic product presented by an EUI scholar, any person may submit a complaint about academic misconduct to the President or the Provosts. Such complaints need to be supported by sufficient evidence. The EUI President in consultation with the Provost overseeing ethics in academic conduct and research will decide whether the allegation is serious enough to warrant an investigation by the Ethics Committee. If the allegation concerns a Master student, PhD Researcher, Post-doctoral fellow, Academic Associate or Research Fellow, the President may also delegate this task to the Chair of the Ethics Committee.

The initiator of the allegation shall be asked to set out in writing the basis of the allegation.

The Ethics Committee may carry out:

- a preliminary investigation to ascertain whether there is sufficient substance to the allegation to warrant a more thorough investigation;
- a formal inquiry which may include the consultation or involvement of external experts when needed.

The Library Director has the right to investigate any suspected abuse of institutionally licensed research resources and to suspend any user from continued access to all resources, digital or paper, pending a full investigation. The Library Director will also register a complaint with the Ethics Committee when appropriate.

2. INVESTIGATION

Appointment of a Sub-Investigation Panel of the Ethics Committee

A Sub-Investigation Panel is appointed by the Chair of the Ethics Committee to conduct inquiries into allegations of research misconduct or ethical breaches. It is composed of selected members of the Ethics Committee based on their expertise and to ensure balanced representation and subject matter expertise.

Role and Responsibilities

- Conducting a preliminary review: assessing the credibility and seriousness of the allegation.
- Gathering evidence: reviewing relevant research data, documents, and witness statements.
- Interviewing parties involved: engaging with complainants, respondents, and other relevant stakeholders.
- Ensuring confidentiality: maintaining strict confidentiality throughout the investigation process.
- Drafting findings and recommendations: submitting a report to the full Ethics Committee with conclusions and suggested actions.

Decision-Making and Reporting

The Sub-Investigation Panel does not make final recommendations to the President but presents its findings to the Ethics Committee for deliberation. The President will be informed after deliberation by the Ethics Committee, also in case of a finding of 'no case to answer'.

Where possible, the investigation will include examination of all relevant documentation, including, but not limited to: relevant research data; laboratory notebooks; computer files; other materials; proposals; publications; correspondence; and memoranda, insofar as this is necessary for the investigation and compatible with the EUI Data Protection Policy.

The Chair of the Ethics Committee may invite internal or external experts who are not involved in the disputed matter and who are not members of the Committee to attend meetings. They may be heard or participate in discussions but have no vote.

Interviews shall be conducted with the complainant and the respondent. Other individuals involved in making the allegations and individuals who might have information regarding key aspects of the allegations may also be heard by the Sub-Investigation Panel of the Ethics Committee.

The respondent has the right to be assisted or represented by a member of the EUI community of their choosing.

Details of the allegations and the investigation will be made available only to the Ethics Committee. All individuals interviewed during the investigation will be asked to respect the confidential nature of the investigation.

3. INVESTIGATION REPORT AND RECOMMENDATIONS

The Sub-Investigation Panel of the Ethics Committee will produce a report stating:

- the procedures under which the formal investigation was conducted;
- how and, where appropriate, from whom information was obtained;
- the findings of the committee and the basis for these;
- a summary of the views of the respondent;
- and a description of any recommendations made by the committee.

The respondent will receive a copy of the investigation report and have an opportunity to comment on it. Comments may be submitted to the Ethics Committee and will be attached as an addendum to the investigation report.

In case there is a need to protect individuals involved in the procedure, the Sub-Investigation Panel may produce a version of the report anonymising these individuals. The anonymised report must summarize all findings and statements accurately and in a manner that respects the respondent's right to a fair procedure. The respondent shall be given access to this version of the report.

If disciplinary actions are recommended, the Ethics Committee will communicate to the internal EUI Disciplinary Committee or other relevant disciplinary bodies - what action, if any, should be taken as a result of the investigation. Based on the investigation report and recommendations of the Ethics Committee, the EUI Disciplinary Committee – or other relevant disciplinary

bodies¹ - may decide on sanctions (when considered appropriate).
The respondent has a right of appeal, against the decision and/or sanctions made by the Disciplinary Committee as specified in the Disciplinary Regulations.

1 Disciplinary proceedings for administrative staff are set out in the HC Decision 6/2014 laying down the Service Rules of Administrative Staff- annex 9: www.eui.eu/Documents/ServicesAdmin/PersonnelService/RulesRegulations/StaffRules_ADMIN.pdf

Disciplinary proceedings for teaching staff are set out in the HC Decision 7/2014 laying down the Service Rules of the Teaching Staff – chapter 9b (lastly amended by HC Decision 5/2020): www.eui.eu/Documents/ServicesAdmin/PersonnelService/Rules-Regulations/StaffRules_TEACHING.pdf

Disciplinary proceedings for learning categories (doctoral and LLM researchers, master students, fellows and visiting students) are set out in the Disciplinary Regulations: www.eui.eu/Documents/ServicesAdmin/DeanOfStudies/DisciplinaryRegulations.pdf

D. SANCTIONS

Sanctions, as recommended by the Ethics Committee and as decided by the Disciplinary and/or Disciplinary Appeals Committee, may include (but are not limited to):

- resubmission of an assignment or academic work;
- a failing grade for the examination or specific assigned exercise; or a failing grade for the course as a whole, depending on the importance of the work to the overall course grade;
- a letter of reprimand, issued by the chair of the Disciplinary Committee, which may or may not be recorded on the scholar's file;
- suspension from the programme;
- suspension of grant/contract;
- revocation of a degree or certificate (see EUI Academic Rules and Regulations under 9.15).

Any sanctions are without prejudice to the academic assessment of a EUI scholar's work by the Academic Unit in question, and to the decisions by the Entrance Board.

ANNEX

The team that developed the original document in 2010, that is at the basis of this policy, consulted and benefited from policy documents on best practices in academic research in the following institutions:

- Center for Academic Integrity. (2000). Fundamental Principles for Academic Integrity.
- Encyclopedia Britannica on academic - freedom
- King's College London. (2004). Guidelines on Good Practice in Academic Research.
- London School of Economics – Disciplinary Regulations for Students.
- Research Councils UK. (2008). Code of Conduct and Policy on the Governance of Good Research Conduct. Public Consultation Document.
- RUTGERS the State University of New Jersey. (2008). Rutgers University Interim Academic Integrity Policy.
- Sussex 'Examination and Assessment Handbooks/ Postgraduate 2007/2008'
- University of Exeter. (2002). Code of Good Practice in the Conduct of Research. Research Committee.
- University of Liverpool. (2012-13). Code of Practice on Assessment.
- University of Oxford. (2009). Academic Integrity in Research: Code of Practice and Procedure.
- University of Westminster. (2008). Code of Research Good Practice 2008/2009 Academic Year.
- Wellcome Trust. (2005). Guidelines on Good Research Practice.

IUE 336/25 (CA 315) replaces the previous versions of the Code of Ethics: IUE 263/22 (CA 249) rev. 1, IUE 263/22 (CA 249), IUE 179/21 (CA 178); IUE 254/19 (CA 252); IUE 533/17 (CA 480) rev.1 and IUE 80/2/13 (CA79) rev.2.

