Endorsed by,
Scientific Council
Chair of the Scientific Council
Prof. Dr. Horia CHIRIAC

Aproved by,
General Director
Dr. Nicoleta LUPU
By Decision No. ……/……

HR EXCELLENCE IN RESEARCH

CODE OF ETHICS AND PROFESSIONAL CONDUCT IN SCIENTIFIC RESEARCH

National Institute for Research and Development for Technical Physics – Iaşi (INCDFT-IFT Iaşi)
2026

Table of Contents

1. GENERAL PROVISIONS 3
2. GLOSSARY OF TERMS IN RESEARCH ETHICS 4
3. FUNDAMENTAL PRINCIPLES OF ETHICS IN SCIENTIFIC RESEARCH 6
4. RULES AND STANDARDS OF ETHICS AND CONDUCT IN RESEARCH 7
5. BREACHES OF THE STANDARDS OF GOOD RESEARCH CONDUCT 11
6. CONFLICTS OF INTEREST AND EXTERNAL COLLABORATIONS 14
7. SANCTIONS 15
8. SPECIFIC STANDARDS OF ETHICS AND GOOD RESEARCH CONDUCT IN THE FIELD OF PHYSICS AND NATURAL SCIENCES 18
9. FINAL PROVISIONS 19

Chapter 1. GENERAL PROVISIONS

The Research Ethics and Conduct Code govern the standards of moral and professional conduct applicable to the research personnel of the National Institute for Research and Development for Technical Physics – IFT Iași (NIRDTP-IFT Iași).

Its purpose is to promote the values of integrity, responsibility, and excellence in scientific research, as a foundation for quality, credibility, and progress in scientific activity and innovation.

This Code complies with and is aligned with the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, documents of the European Commission on the basis of which NIRDTP-IFT Iași has obtained the "HR Excellence in Research" certification.

NIRDTP-IFT Iași promotes an organizational culture based on the values of HRS4R (Human Resources Strategy for Researchers) and it is committed to their continuous implementation in all human resources policies, including those related to ethics, integrity, and professional conduct.

This Code of Ethics complements the aspects related to institutional values set out in the Institutional Development Strategy and in the Internal Regulations of NIRDTP-IFT Iași.

The Code of Ethics is drafted in accordance with and takes into account the relevant national and international regulations in the field, European Union legislation and its standards regarding ethics in scientific research, namely:

- Government Decision No. 1311/1996 regarding the establishment of the National Institute for Research and Development in Technical Physics – IFT Iași (NIRDTP-IFT Iași), as subsequently amended and supplemented;
- Government Ordinance No. 57/2002 on scientific research and technological development, as approved by Law No. 324/2003, as subsequently amended and supplemented;
- Government Decision No. 745/2016 approving the Organization and Functioning Regulation of the National Institute for Research and Development in Technical Physics – IFT Iași (NIRDTP-IFT Iași);
- Law No. 183/2024 on the statute of research, development, and innovation personnel;
- Order of the Minister of Education and Research No. 6905/2025 approving the Codes of Ethics and Good Research Conduct for Research, Development and Innovation (RDI) personnel in research organizations, by field of research;
- Order of the Minister of Education and Research No. 6886/2025 approving the Code of Ethics and Professional Conduct for Research, Development and Innovation (RDI) personnel.
- The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers, as well as the Council Recommendation (C/2023/1640) on a European framework for attracting and retaining research, innovation, and entrepreneurial talents in Europe;
- Law No. 190/2018 on the measures taken for the implementation of EU Regulation no. 2016/679 regarding the protection of natural persons with regard to the processing of personal data and the free movement of such data;
- Law No. 53/2003 – the Labour Code, as subsequently amended and supplemented;
- The Collective Labour Agreement of NIRDTP-IFT Iași;
- General Secretariat of the Government Order No. 600/2018 approving the Internal Managerial Control Code for public entities, as subsequently amended and supplemented (Standard 1 – Ethics and Integrity).

Chapter 2. GLOSSARY OF TERMS IN RESEARCH ETHICS

For the purposes of this Code, the basic terms are defined as follows:

a. ***hostile action*** – facilitating any action undertaken to protect the institution or its members from negative consequences affecting the status of the research and development unit or institution. This may refer to recruitment, granting professional ranks, promotions, obtaining grants or contracts, collaborations, etc.;

b. ***allegation*** – the invocation of a theory, opinion, document, etc., to support a claim of fraud in scientific research;

c. ***inquiry*** – the initial stage of investigations into scientific research fraud, initiated following an allegation. The purpose of the inquiry is to determine whether the allegation has a factual basis and is conducted by a small number of persons;

d. ***arbitration*** – the resolution of a dispute concerning scientific research fraud by an arbitration committee. The arbitrator's decision must be respected within the research and development institution;

e. ***arbitrator*** – a legal or natural person with appropriate qualifications appointed to the arbitration committee, who must analyze and decide, in accordance with legal provisions, on the degree of culpability of the person accused of misconduct in scientific research;

f. ***self-plagiarism*** – the republication of substantial parts of one's own previous publications, including translations, without properly indicating or citing the original source;

g. ***good practice*** – compliance with the body of regulations governing good conduct in scientific research;

h. ***co-author of a publication*** – any person listed among the authors of a scientific publication;

i. ***scientific community*** – the group of scientific researchers within research and development units or institutions. In a broader sense, the totality of scientific researchers in a country, a region of the world, or worldwide;

j. ***fabrication of results or data*** – reporting fictitious results or data that are not the actual outcome of a research, development, and innovation (RDI) activity;

k. ***confidentiality*** – maintaining secrecy regarding ongoing or recently completed scientific research, the person accused of fraud, and the person making an allegation;

l. ***conflict of interest*** – a situation of incompatibility affecting a legal or natural person who has a personal interest that influences the impartiality and objectivity of their activities in evaluating, monitoring, conducting, reporting research and development activities, or obtaining research grants or contracts; personal interest includes any advantage;

m. ***error*** – an unintentional mistake resulting from insufficient information, inadequate professional practice, professional negligence, or excessive scientific enthusiasm; once discovered, the author is obliged to publicly acknowledge the error; in the case of published works, the correction must be made in the same journal, review, or publication in which it appeared;

n. ***evaluation*** – the assessment of scientific research results using qualitative and quantitative criteria, such as societal or environmental impact, the prestige of the journal, the number of citations, etc.;

o. ***falsification of results or data*** – the selective reporting or rejection of unwanted data or results, manipulation of representations or illustrations, alteration of experimental or numerical equipment to obtain desired data without reporting the alterations made, with the aim of distorting scientific truth;

p. ***scientific fraud*** – the deliberate act of fabrication, falsification, plagiarism, unlawful appropriation of scientific research results, or other practices that significantly deviate from those accepted by the scientific community that are intended to obtain scientific prestige, funding, project leadership, acceptance of research reports, etc.;

q. ***integrity*** – the policy of individual researchers, research and development units and institutions, as well as of associations involved in research and/or the exploitation of scientific results to respect human dignity, the intrinsic values of science, animals, and the environment;

r. ***investigation*** – the second stage of inquiries into fraud, following the inquiry phase and based on established facts;

s. ***authorship*** – the status of being the author of a scientific product;

t. ***plagiarism*** – presenting as a supposedly personal creation or scientific contribution, in a written work, including electronic format, texts, ideas, demonstrations, data, theories, results, or scientific methods taken from written works, including electronic formats of other authors, without acknowledging this and without referencing the original sources;

u. ***intellectual honesty*** – the rejection of falsification of scientific results, misappropriation of ideas or results of scientific research, non-disclosure of conflicts of interest, etc., with the purpose of not misleading the scientific community and not causing harm to society;

v. ***scientific product*** – a study of national interest, product (model, system, etc.), technology (methodology), publication, patent, computer program, etc., obtained as a result of scientific research activity;

w. ***intellectual property*** – all means through which an idea is disseminated (book, article, electronic medium, etc.), as well as the corresponding copyright; where applicable, intellectual property may also refer to doctoral theses; a work signed by multiple authors belongs to each of them; if an idea has not been disseminated through one of the aforementioned means, it does not constitute intellectual property;

x. ***responsibility*** – the responsibility of individual researchers, research and development units and institutions, as well as scientific publications, for maintaining research integrity;

y. ***sanction*** – a penalty applied to a legal or natural person who fails to comply with the regulations governing good conduct in scientific research, technological development, and innovation;

z. ***scientific standard*** – a norm or set of norms governing good conduct in scientific research;

aa. ***scientific value*** – the quality of a scientific product to contribute to the advancement of knowledge.

ab. **NIRDTP-IFT Iași** – National Institute for Research and Development in Technical Physics – IFT Iași

ac. **RDI** – Research, Development and Innovation

ad. **NECSTDI** – National Council for Ethics in Scientific Research, Technological Development and Innovation.

Chapter 3. FUNDAMENTAL PRINCIPLES OF ETHICS IN SCIENTIFIC RESEARCH

Researchers must adhere to strict ethical standards and conduct their activities with honesty, reliability, objectivity, impartiality and independence, open communication, due diligence, fairness, and responsibility toward future generations of science. These values form the foundation of responsible and trustworthy research, carried out without undue interference—an essential condition for achieving scientific excellence. On this foundation rests the responsibility of NIRDTP-IFT Iași researchers to act impartially and to fully comply with methodological requirements.

Researchers within NIRDTP-IFT Iași are required to observe the fundamental ethical principles and established ethical practices in their field(s) of activity, in accordance with applicable national, sectoral, and institutional standards.

All members of the scientific community have the responsibility to respect and promote the following principles:

1. **Honesty** – Truthfulness and fairness at all stages of research, from data collection to the reporting of results, in order to maintain trust in science;
2. **Reliability** – Ensuring the quality and consistency of the methods and data used, so that results are reproducible and trustworthy;
3. **Objectivity** – Study and interpretation of data and conclusions without personal influence or bias, relying exclusively on facts and evidence;
4. **Impartiality** – Avoiding of any subjective influence in the process of research, evaluation, or reporting of results;
5. **Independence** – Conducting research activities free from external pressures or interests that could affect scientific integrity;
6. **Open Communication** – Promoting transparency in the exchange of information and results, facilitating collaboration and verification by the scientific community;
7. **Due Diligence and Responsibility** – Adhering to ethical and professional standards, avoiding negligence, ensuring the quality of work, and taking responsibility for the long-term consequences of research on society and the environment;
8. **Prevention and Management of Conflicts of Interest** – Declaring and transparently managing personal or institutional interests that could influence the objectivity of scientific activity;
9. **Transparency in Declaring Interests** – Researchers have the responsibility to declare and transparently manage any personal, financial, or institutional interest that could influence the objectivity of their scientific activity;
10. **Responsibility Toward Future Generations of Science** – Fostering a culture of integrity in research, supporting early-career researchers, and promoting good practices for the sustainable and ethical development of science.

Chapter 4. RULES AND STANDARDS OF ETHICS AND CONDUCT IN RESEARCH

4.1. *Rules and Standards of Conduct in Research, Development and Innovation (RDI) Activities:*

a) Researchers have the obligation to present only authentic results and data obtained through experimental methods, calculations, numerical simulations, analyses, or correct and verifiable deductive reasoning. The fabrication or falsification of such results or data in any form is strictly prohibited.

b) Researchers must ensure the integrity of data and results by strictly prohibiting any falsification, alteration, or intentional manipulation of experimental data, as well as data obtained through calculations, numerical simulations, analyses, or deductive reasoning.

c) Any form of deliberate hindrance, obstruction, or sabotage of colleagues' research, development, and innovation activities is strictly prohibited, including the unjustified restriction of access to workspaces, damage to or manipulation of instruments, equipment, documents, software, electronic data, substances, or living materials necessary for carrying out RDI activities.

d) All researchers are required to cooperate fully and not to obstruct in any way the activities of ethics committees, analysis committees, or the National Council for Ethics in Scientific Research, Technological Development and Innovation (NECSTDI) in the investigation of breaches of good conduct in RDI activities.

f) All members of the research community are required to fully comply with the legal provisions and institutional procedures concerning good conduct in RDI activities, as established by the Code of Ethics, specific regulations, and the decisions of ethics committees, including the implementation of imposed sanctions. Failure to comply with these provisions constitutes a disciplinary offence.

4.2. *Rules and Standards of Conduct in Scientific Communication, Publication, Dissemination and Popularization Activities, Including Funding Applications Submitted Within Publicly Funded Project Competitions*

a) Plagiarism is prohibited in any form. Researchers are required to respect the copyrights and intellectual property rights of others by properly, fully, and accurately citing all sources used, regardless of the manner in which the information was obtained or incorporated.

b) Self-plagiarism is contrary to research ethics standards and is prohibited. The reuse of one's own previously published texts, data, or results without a clear indication of the source and without sound scientific justification is considered an unethical practice.

c) Authorship of a scientific publication must accurately reflect the actual contributions of all persons involved. Both the inclusion of individuals who have not made a significant contribution and the unjustified exclusion of individuals who have made a substantial contribution to the work are prohibited.

d) The inclusion of a person in the list of authors of a publication without that person's explicit, informed, and documented consent is prohibited. Co-authorship status may only be granted with the explicit consent of the person concerned.

e) The publication or dissemination, without authorization, of unpublished scientific results, hypotheses, theories, or methods is prohibited. Researchers are required to respect the right of legitimate authors to first publication and to maintain the confidentiality of information until its official dissemination.

f) The provision of false, incomplete, or misleading information regarding research, development, and innovation activities in funding applications, habilitation dossiers, or applications for competitions or examinations for RDI positions is prohibited. All candidates must adhere to the principles of transparency, accuracy, and honesty in the statements and documents they submit.

4.3. *Rules and Standards of Conduct in the Evaluation and Monitoring of RDI Activities*

a) Individuals involved in the evaluation processes are required to fully, accurately, and promptly disclose any situation involving a conflict of interest or incompatibility. Failure to disclose such situations, as well as participation in evaluations under conditions that violate the legal framework governing conflicts of interest or incompatibilities, constitutes a serious breach of conduct standards.

b) Any form of fraud in the evaluation process is prohibited, including the unjustified favoritism of certain candidates, the deliberate manipulation of evaluation criteria, unauthorized external interference, or the use of false or incomplete information to influence evaluation outcomes.

c) Evaluators are required to maintain the confidentiality of all information accessed during the evaluation process, including personal data, project proposals, the content of papers, or the identity of participants, both during and after the completion of the evaluation process.

d) Any form of discrimination within evaluation processes is prohibited. Evaluations must be conducted exclusively on professional and scientific criteria, in accordance with the principles of fairness and impartiality, without regard to age, ethnicity, sex, social origin, political or religious affiliation, sexual orientation, or any other discriminatory criterion, except the cases justified by affirmative measures provided for by law.

4.4. *Rules and Standards of Conduct for Leadership Positions in RDI Activities*

a) The abuse of authority to obtain, directly or indirectly, authorship or co-authorship status on scientific publications produced by subordinate personnel, without a genuine and significant contribution to the content of the work, is prohibited.

b) Researchers in leadership positions are required to observe fairness and legality in the allocation of resources. The abuse of authority to obtain salaries, remuneration, or other material benefits from research, development, and innovation projects led or coordinated by subordinate personnel is prohibited.

c) The abuse of authority for the purpose of obtaining material, financial, or authorship-related benefits within RDI projects carried out by subordinate personnel, for oneself or for one's spouse, relatives, or in-laws up to and including the second degree, is strictly prohibited and constitutes a violation of professional ethical standards.

d) Researchers must not abusively impose their own theories, concepts, or results on subordinate personnel. Respect for academic freedom, critical thinking, and scientific independence is a fundamental ethical obligation.

e) Any form of obstruction of the activities of ethics committees, analysis committees, or the National Council for Ethics in Scientific Research, Technological Development and Innovation (NECSTDI) during investigations concerning possible breaches of scientific good conduct is prohibited, including refusal to provide relevant information or documents or intimidation of participants in the process.

f) All members of the scientific community are required to fully comply with the legal provisions and institutional procedures governing good conduct in RDI activities, as established by Law No. 183/2024, the Code of Ethics, internal regulations, and the decisions of ethics committees. Failure to implement sanctions imposed by the competent bodies constitutes a serious breach of ethical responsibilities.

4.5. *Rules and Standards of Conduct Regarding Respect for Human Beings and Human Dignity, the Avoidance of Animal Suffering, and the Protection and Restoration of the Natural Environment and Ecological Balance*

Research, development, and innovation activities carried out within NIRDTP-IFT Iași must respect the fundamental values of human dignity, the welfare of living beings, and environmental protection. In this regard, personnel involved in RDI activities have the responsibility to act ethically and responsibly, in accordance with the following rules and standards:

a) Respect for Human Dignity – Researchers are required to respect the physical and psychological integrity, fundamental freedom, rights, and dignity of individuals directly or indirectly involved in research activities. The participation of human subjects in studies shall take place exclusively on the basis of free and informed consent, under conditions of confidentiality and safety.

b) Protection of Vulnerable Groups – In any case of research activities involving minors, persons with disabilities, individuals in vulnerable situations, or persons with limited legal capacity, additional protective measures shall be applied, subject to the approval of ethics committees and in accordance to national and international legislation.

c) Avoidance of Animal Suffering – Researchers who use animals in their research activities are required to apply the principles of the 3Rs: Replacement (substituting animal testing whenever possible), Reduction (reducing the number of animals used), and Refinement (improving conditions and methods to minimize suffering). All animal experiments must be approved by an ethics committee and comply with the legal standards governing animal welfare.

d) Environmental Protection – Research activities must be conducted with responsibility toward the environment, minimizing negative impact on ecosystems, natural resources, and biodiversity. Researchers are required to comply with regulations concerning pollution prevention, waste management, and the sustainable use of resources.

e) Obligation of Restoration and Compensation – Where research activities involve interventions in the natural environment, measures must be taken to restore any affected ecological balance, including compensation measures, reforestation, decontamination, or other forms of environmental restoration.

f) Ethical Responsibility Toward Future Generations – Researchers must promote responsible science that contributes to sustainable development, the protection of life, and the conservation of natural and biological heritage for present and future generations.

4.6. *Rules and Standards of Conduct Governing the Activities of the Ethics Committee of NIRDTP-IFT Iași*

The composition of the Ethics Committee is proposed by the Scientific Council and approved by the management of NIRDTP-IFT Iași.

The procedures carried out by the Ethics Committee and, respectively, by the Analysis Committee in the case of written complaints submitted by identified natural or legal persons, or initiated ex officio, are detailed below.

The Ethics Committee and the Analysis Committee shall maintain the confidentiality of the identity of the complainant.

The Analysis Committee shall prepare a report within 60 days from the date of receipt of the complaint. The report shall be approved by the Ethics Committee within 30 days of receiving the Analysis Committee's report, communicated in writing to the complainant, and published on the research organization's website within 10 calendar days from the date on which the Ethics Committee's decision becomes final through the absence of an appeal to the National Council for Ethics in Scientific Research, Technological Development and Innovation (NECSTDI), or from the date on which the NECSTDI decision resolving the appeal against the report approved by the Ethics Committee becomes final, or from the date on which a court judgment becomes final in administrative litigation proceedings concerning the annulment of the report approved by the Ethics Committee and/or the NECSTDI decision resolving the appeal against that report, as applicable.

The 10-calendar-day period shall be suspended for the duration required to obtain opinions, responses, or documents from the parties involved in the complaint.

The report shall remain published on the research organization's website for a period equal to the longest sanction imposed, but for no less than 2 years. Where breaches of the standards of good conduct in RDI activities are established, the report shall identify the persons found responsible and specify one or more of the sanctions provided for in Article 63 of Law No. 183/2024. Persons found responsible may include individuals other than those mentioned in the original complaint.

The Analysis Committee's report shall be reviewed and endorsed by the legal adviser of NIRDTP-IFT Iași. Legal responsibility for the decisions and activities of the Analysis Committee rests with NIRDTP-IFT Iași.

The Analysis Committee's report, once approved by the Ethics Committee, may be appealed to the NECSTDI by the person or persons found responsible or by the complainant. The Analysis Committee shall submit to the NECSTDI the entire documentation on which the contested report was based.

If no appeal is submitted to the NECSTDI within 20 working days from the date of communication (10 calendar days pursuant to Article 62(3) of Law No. 183/2024), the sanctions established by the Analysis Committee shall be implemented by the head of the research organization, as applicable, within 60 calendar days from the date of communication of the report.

The activities of the Ethics Committee of NIRDTP-IFT Iași shall be carried out in accordance with the principles of independence, impartiality, confidentiality, and responsibility, with the aim of promoting research integrity and ensuring an ethical environment within the institute.

a) **Independence** – The Ethics Committee shall perform its activities autonomously, free from external influences or pressures, including those from the institute's management or other interested parties. Committee members must act solely in accordance with ethical principles and the promotion of integrity in research activities.

b) **Impartiality** – Committee members must refrain from examining or resolving complaints in which they have a conflict of interest (for example, family relationships, direct supervisory

relationships, or personal involvement in the dispute). Any such situation must be declared openly and transparently.

c) **Confidentiality** – The Ethics Committee is required to ensure the confidentiality of the identities of persons involved in complaints, the content of the documents examined, and its internal deliberations. Information obtained through the Committee's activities may be used exclusively for the examination and resolution of cases within its competence.

d) **Fairness and Respect for the Rights of the Parties** – The Committee must ensure a fair procedure in which all parties involved have the opportunity to express their views. Any examination must respect the presumption of good faith and the right to a defense.

e) **Responsibility and Procedural Transparency** – The Committee's decisions must be well-reasoned, properly documented, and clearly formulated. The Committee is responsible for contributing to the prevention of ethical misconduct by issuing recommendations, guidelines, or proposals for improving the institutional ethical framework.

f) **Promotion of an Ethical Culture** – The Ethics Committee has not only a reactive role in resolving complaints but also a proactive mission in promoting integrity in research activities. In this regard, the Committee may carry out activities such as training sessions, ethics consultancy, information and awareness campaigns, and the issuance of prior ethical opinions for projects involving ethically sensitive issues.

g) **Compliance with National and European Legislation and Policies** – The Committee shall perform its activities in accordance with the provisions of Law No. 183/2024, the regulations of the National Council for Ethics in Scientific Research, Technological Development and Innovation (NECSTDI), the **ALLEA European Code of Conduct for Research Integrity**, as well as the principles of the **European Charter for Researchers** and the **Code of Conduct for the Recruitment of Researchers (HRS4R)**.

Chapter 5. BREACHES OF THE STANDARDS OF GOOD CONDUCT IN RESEARCH

5.1. Breaches of the Standards of Good Conduct in Research, Development and Innovation Activities

Breaches of the standards of good conduct in research, development, and innovation (RDI) activities, insofar as they do not constitute criminal offences under criminal law, include:

a) the fabrication of results or data and their presentation as experimental data, as data obtained through calculations or computer-based numerical simulations, or as data or results obtained through analytical calculations or deductive reasoning;

b) the falsification of experimental data, data obtained through calculations or computer-based numerical simulations, or data or results obtained through analytical calculations or deductive reasoning;

c) the deliberate hindrance, obstruction, or sabotage of the RDI activities of other persons, including through the unjustified restriction of access to research, development, and innovation facilities; the damaging, destruction, or manipulation of experimental apparatus, equipment, documents, computer programs, electronic data, organic or inorganic substances, or living materials required by other persons for carrying out, implementing, or completing RDI activities;

d) the obstruction of the activities of an Ethics Committee, an Analysis Committee, or the National Council for Ethics in Scientific Research, Technological Development and Innovation

(NECSTDI) during the examination of alleged breaches of good conduct in subordinate RDI activities;

e) failure to comply with the legal provisions and procedures intended to ensure adherence to the standards of good conduct in RDI activities, as provided by Law No. 183/2024, the Code of Ethics, and the Regulation on the Organization and Functioning of NIRDTP-IFT Iași, including the failure to implement sanctions imposed by the Ethics Committee or the NECSTDI.

5.2. *Breaches of the Standards of Conduct in Scientific Communication, Publication, Dissemination, and Popularization Activities*

Breaches of the standards of conduct in scientific communication, publication, dissemination, and popularization activities, including funding applications submitted within publicly funded project competitions, insofar as they do not constitute criminal offences under criminal law, include:

a) plagiarism;

b) self-plagiarism;

c) the inclusion in the list of authors of a scientific publication of one or more co-authors who did not make a significant contribution to the publication, or the exclusion of co-authors who made a significant contribution to the publication;

d) the inclusion in the list of authors of a scientific publication of a person without that person's consent;

e) the unauthorized publication or dissemination by authors of unpublished scientific results, hypotheses, theories, or methods;

f) the inclusion of false information regarding RDI activities in grant or funding applications, habilitation application files, or applications for competitions or examinations for research, development, and innovation positions.

5.3. *Breaches of the Standards of Good Conduct in Evaluation and Monitoring Activities*

Breaches of the standards of good conduct in the institutional evaluation and monitorization of research, development, and innovation activities, in the evaluation and monitorization of research, development, and innovation projects, and in the evaluation of individuals for the granting of grades, titles, positions, awards, distinctions, bonuses, attestations, or certificates in RDI activities, insofar as they do not constitute criminal offences under criminal law, include:

a) failure to disclose conflicts of interest or incompatibilities, or violation of the legal framework governing conflicts of interest and incompatibilities when conducting or participating in evaluations;

b) fraud in the evaluation process;

c) breach of confidentiality during evaluation activities;

d) discrimination during evaluations on the basis of age, ethnicity, sex, social origin, political or religious affiliation, sexual orientation, or other discriminatory grounds, except where affirmative measures provided by law apply.

5.4. *Breaches of the Standards of Good Conduct in Leadership Positions within RDI Activities*

Breaches of the standards of good conduct in leadership positions within RDI activities, insofar as they do not constitute criminal offences under criminal law, include:

a) abuse of authority to obtain authorship or co-authorship status on publications produced by subordinate personnel;

b) abuse of authority to obtain salaries, remuneration, or other material benefits from research, development, and innovation projects led or coordinated by subordinate personnel;

c) abuse of authority to obtain authorship or co-authorship status on publications produced by subordinate personnel, or to obtain salaries, remuneration, or other material benefits for a spouse, relatives by marriage, or relatives up to and including the second degree;

d) abuse of authority to unjustifiably impose one's own theories, concepts, or results on subordinate personnel;

e) obstruction of the activities of an Ethics Committee, an Analysis Committee, or the NECSTDI during the examination of alleged breaches of good conduct in subordinate RDI activities;

f) failure to comply with the legal provisions and procedures intended to ensure adherence to the standards of good conduct in RDI activities, as provided by Law No. 183/2024, the Code of Ethics, field-specific codes of ethics, the regulations governing the organization and operation of research organizations, or university charters, as applicable, including failure to implement sanctions imposed by ethics committees or by the NECSTDI.

5.5. *Breaches of the Standards of Good Conduct Concerning Respect for Human Beings, Animal Welfare, and Environmental Protection*

Breaches of the standards of good conduct regarding respect for human beings and human dignity, the avoidance of animal suffering, and the protection and restoration of the natural environment and ecological balance are detailed in the Code of Ethics or in field-specific codes of ethics, developed in accordance with the provisions of Article 57(a) and (b) of Law No. 183/2024.

5.6. *Situations Giving Rise to Ethical Liability by Association*

The following situations may also give rise to ethical liability by association for breaches of good conduct in RDI activities:

a) knowledge of misconduct committed by others and failure to notify the Ethics Committee or the NECSTDI;

b) co-authorship of publications containing falsified or fabricated data;

c) failure to fulfill legal and contractual obligations, including those arising from mandate agreements or funding contracts, in the exercise of leadership or coordination role within RDI activities.

5.7. *Breaches of the Standards of Good Conduct in the Activities of the Ethics Committee*

Breaches of the standards of good conduct in the activities of the Ethics Committee, insofar as they do not constitute criminal offences under criminal law, include the failure of the Ethics Committee at the research organization level to fulfill its legal obligations.

5.8. *Serious Breaches of Good Conduct in RDI Activities*

The following constitute serious breaches of good conduct in RDI activities:

a) plagiarism of the results or publications of other authors;
b) fabrication of results or replacement of results with fictitious data;
c) inclusion of false information in grant or funding applications.

5.9. *Situations That Do Not Constitute Breaches of Good Conduct*

Contradictory data, differences in theoretical, experimental, or practical approaches, citation errors of a material nature, differences in data interpretation, and differences of opinion are inherent aspects of research, development, and innovation activities and do not constitute breaches of good conduct.

Chapter 6. CONFLICTS OF INTEREST AND EXTERNAL COLLABORATIONS

6.1. Within the meaning of Law No. 183/2024 on the Status of Research, Development and Innovation Personnel, a conflict of interest refers to the following situations:

a) The simultaneous holding of positions by persons who are spouses, relatives by marriage, or relatives up to and including the third degree, such that each is in a direct position of management, control, authority, or institutional evaluation over the other at any level within the same research organization;

b) Participation as a member of doctoral committees, evaluation committees, or selection committees in situations where the decision affects spouses, relatives, or relatives by marriage up to and including the third degree;

c) Participation in the same committee established in accordance to law by persons who are spouses, relatives, or relatives by marriage up to and including the third degree;

d) Participation of a person who is a member of committees or councils of the competent ministry in the analysis of a situation related to the research organization of which that person is a member of the research community;

e) Other specific situations established by legal provisions applicable to evaluation procedures, including the information packages of project competitions, in compliance with the applicable legal regulations.

6.2. A person can not participate directly as an expert evaluator, or indirectly through decisions regarding the direct selection or exclusion of expert evaluators assigned to assess a research organization, a project, a proposal, or a candidate, if that person is included in the staff list of the evaluated research organization, project, or proposal, or in other projects or proposals submitted for funding under the same funding line, tender, or call for proposals, or if that person has the following relationship with the candidate or with persons included in the staff list of the evaluated projects, proposals, or research organizations: they are spouses, relatives by marriage, or relatives up to and including the second degree.

6.3. Within the meaning of Law No. 183/2024, the staff list of a project or proposal consists of the persons nominated in the project proposal or proposal submitted for evaluation, including the project director and, in the case of projects carried out in partnership among several research organizations, the project coordinators.

6.4. In INCDFT-IFT Iași, employees have the following obligations regarding the avoidance of conflicts of interest:
• To avoid any situation that involves or may generate conflicts between personal interests and those of the institute;
• To immediately declare any known or suspected conflict of interest;
• Not to allow loyalty, objectivity, and professional duties to be compromised by personal interests or family, financial, or professional relationships;
• To act at all times in the interest of INCDFT-IFT Iași in relations with third parties, partners, or external institutions.

6.5. External Activities and Compatibility:

a) Researchers and other employees of INCDFT-IFT Iași may carry out scientific, teaching, evaluation, or consultancy activities outside the institute only in compliance with applicable legal provisions and subject to prior notification and written approval from the institute's management, in accordance with the institute's internal procedure.

b) Unauthorized involvement in projects, collaborations, or external activities is prohibited where such activities:

- are using the resources, data, or infrastructure of INCDFT-IFT Iași without approval;
- overlap with working hours or interfere with professional duties;
- generate actual or potential conflicts of interest;
- compromise research impartiality or the interests of the institute;
- create situations of unfair competition with the institute's activities or projects.

6.6. Mechanism for Managing Conflicts of Interest:

a) Any employee of INCDFT-IFT Iași who becomes aware of a conflict of interest is required to report it in writing to the institute's management and/or to the Ethics Committee.

b) The Ethics Committee shall analyze the situation and issue a written recommendation regarding approval, rejection, or the implementation of measures to avoid the conflict.

d) The final decision shall be communicated to the person concerned and shall be recorded and archived by the Ethics Committee and/or the management of INCDFT-IFT Iași.

e) Failure to declare a known conflict of interest, unauthorized involvement in external activities, or influencing decisions for personal gain constitute serious breaches of ethical standards and may result in disciplinary measures in accordance to the law and applicable regulations.

f) Any person may submit a written report to the Ethics Committee of INCDFT-IFT Iași concerning potential breaches of integrity and professional conduct standards, in accordance with the Committee's Rules of Organization and Operation.

Chapter 7. SANCTIONS

7.1. For repeated breaches of good conduct in Research, Development and Innovation (RDI) activities, the management of INCDFT-IFT Iași shall apply one or more of the following sanctions to RDI personnel, in compliance with the provisions of Article 62 of Law No. 183/2024, depending on the seriousness of the misconduct and any previous commission of similar acts:

a) Written warning;

b) Permanent withdrawal and/or correction of all works published in violation of the rules of good conduct;

c) Reduction of the salary by up to 20% for a maximum cumulative period of 6 months, together, where applicable, with management, supervision, and control allowances, as well as bonuses related to the research and development position;

d) Suspension, for a fixed period ranging from one to five years, of the right to register for an examination or competition for obtaining a higher professional rank or a management, supervision, and control position, or to serve as a member of examination or competition committees;

e) Removal from a management position within the research organization;

f) Disciplinary termination of the individual employment contract.

7.1.1. In the cases provided for under Section 7.1 letters a)–e), the Ethics Committee shall submit to the General Director the Minutes of the investigation carried out, including the proposed sanction. The measures shall be implemented through a Decision issued by the General Director.

7.1.2. In the case provided for under Section 7.1 letter e), the General Director shall order, by Decision and in accordance with the procedure regulated by Law No. 53/2003, as subsequently amended and supplemented, the conduct of a prior disciplinary investigation.

7.2. For breaches of good conduct in RDI activities committed by RDI personnel, as provided for by Law No. 183/2024, as well as by other categories of personnel from the public or private sector benefiting from public research and development funds, once established and proven, the National Council for Ethics in Scientific Research, Technological Development and Innovation (CNECSDTI) may propose one or more of the following sanctions, depending on the seriousness of the misconduct and any previous commission of similar acts:

a) Written warning;

b) Permanent withdrawal and/or correction of all works published in violation of the rules of good conduct;

c) Withdrawal of the research and development professional rank obtained through a breach of good conduct, as established by the competent administrative court following notification for the annulment of the administrative act through which the professional rank was granted;

d) Removal from a management position and/or from the position of member of the Ethics Committee within the research organization;

e) Disciplinary termination of the individual employment contract in the event of a new disciplinary offense committed before the expiration of the limitation period applicable to the previous sanction;

f) Prohibition, for a specified period, from accessing public funding intended for RDI activities;

g) Suspension, for a period ranging from one to five years, of the right to register for an examination for obtaining a higher professional rank or for a competition for a higher-level position, management position, supervision and control position, membership in examination or competition committees, or membership in advisory bodies of the competent ministry;

h) Exclusion of the person(s) concerned from the project implementation team;

i) Termination of project funding;

j) Termination of project funding, with the obligation to reimburse the funds received.

7.2.1. For the implementation of the provisions of Section 7.2(c), the budget authorizing officer under whose coordination the research organization employing the person who committed the breach is placed shall, within 30 days of receiving the proposal from CNECSDTI, initiate administrative litigation proceedings for the annulment of the ministerial order or of the decision of the head of the research organization granting the research and development professional rank, where such order or decision has entered into civil circulation and generated subjective rights protected by law.
7.2.2. Within 30 days of receiving the proposal from CNECSDTI, the minister of the competent ministry shall revoke the ministerial order granting the research and development professional rank, or the head of the research organization shall revoke, by decision, the decision granting the research and development professional rank, provided that the act has not entered into civil circulation and has not generated subjective rights protected by law.
7.2.3. The sanctions provided for under Section 7.2 shall be implemented within 30 days from the date of issuance of the decision, as applicable, by: the competent ministry, the heads of contracting authorities providing public funding for research and development, the heads of research organizations, or other legally authorized bodies or persons.
7.2.4. Persons for whom it has been established that they committed one of the serious breaches of good conduct in RDI activities provided for in Article 52(8) of Law No. 183/2024 (Chapter 5.8 of this Code of Ethics) during the three years preceding registration shall be prohibited from applying for competitions or examinations for positions corresponding to RDI professional functions and ranks, whether for entry into the research system or promotion to a higher professional rank.
The sanctioning of breaches of good conduct in RDI activities is subject to the limitation and forfeiture periods provided by the applicable legislation in force.

7.3. For breaches of good conduct in RDI activities, the disciplinary sanctions provided for in this Code of Ethics shall apply, as well as the sanctions established by:

- Law No. 64/1991 on Patents of Invention, republished, as subsequently amended;
- Law No. 129/1992 on the Protection of Designs and Models, republished;
- Law No. 8/1996 on Copyright and Related Rights, as republished, with subsequent amendments and supplements.

Chapter 8. SPECIFIC STANDARDS OF ETHICS AND GOOD RESEARCH CONDUCT IN THE FIELD OF PHYSICS AND NATURAL SCIENCES

8.1. Research activities in the fields of physics and the natural sciences shall be conducted in accordance with the principles of verifiability, reproducibility, and traceability of research results, using experimental, theoretical, and computational methods validated by the scientific community.

8.2. Research, Development and Innovation (RDI) personnel shall ensure the preservation of primary research records, including laboratory notebooks, electronic files, databases, experimental results, models, and source code, for the period required by applicable legislation and the Institute's internal regulations.

8.3. In research involving numerical simulations, computational modelling, advanced data processing, and the use of digital research infrastructures, researchers shall document the parameters employed, software versions, and computational methodologies to ensure that the results can be independently reproduced and validated.

8.4. The research infrastructure, laboratories, experimental facilities, equipment, and information technology resources of the National Institute for Research and Development for Technical Physics Iași (NIRDTP Iași) shall be used exclusively for professional purposes and in compliance with occupational health and safety requirements, information security policies, and environmental protection regulations.

8.5. Researchers shall comply with the rules governing intellectual and industrial property rights, as well as the protection of confidential information and research results that may be eligible for patent protection, prior to their publication or dissemination.

8.6. The use of artificial intelligence (AI) systems, including tools for automated content generation, data analysis, modelling, or simulation, shall be permitted only where transparency is ensured and the researcher retains full responsibility for the resulting work. AI-generated or AI-assisted content shall be critically reviewed and validated before being incorporated into scientific outputs, and the use of such systems shall be appropriately disclosed whenever their contribution is significant.

8.7. The use of artificial intelligence systems for the fabrication, falsification, or manipulation of scientific results, for the unjustified attribution of authorship, or for concealing the actual contributions of authors is strictly prohibited.

8.8. RDI personnel shall promote open access to research results, in accordance with applicable legislation and the obligations arising from research funding agreements, while ensuring compliance with intellectual property requirements and the protection of confidential information.

8.9. In science communication and public engagement activities, researchers shall present information in an objective, accessible, and scientifically substantiated manner, avoiding the exaggeration of findings, speculative conclusions, or any communication liable to mislead the public.

8.10. Researchers responsible for leading RDI activities shall support the professional development of early-career researchers, foster mentoring, and contribute to the development of an organizational culture founded on integrity, collaboration, and scientific excellence.

8.11. The provisions of this Chapter shall be interpreted and applied in conjunction with Law No. 183/2024, Order of the Minister of Education and Research No. 6886/2025, Order of the Minister of Education and Research No. 6905/2025 approving the field-specific codes of ethics for research, development and innovation, The European Code of Conduct for Research Integrity (ALLEA), and all other applicable legal provisions and internal regulations.

Chapter 9. FINAL PROVISIONS

The Code of Ethics shall be disseminated in all laboratories and departments of INCDFT-IFT Iași, and the management shall take the necessary measures to ensure that the personnel under its authority are aware of and comply with the provisions of this Code.

This Code of Ethics supplements the provisions of the Institute's Internal Rules and Regulations.

The Ethics Committee shall draft and propose amendments or additions to this Code whenever legislative changes occur or whenever it considers that an update is necessary. Any amendments and additions shall be approved in accordance with the same procedure established for the adoption of this Code.

This Code of Ethics and Conduct in Research Activities was drafted by the Ethics Committee, endorsed by the Scientific Council, and approved by General Director's Decision No. ……../…….. This Code of Ethics and Integrity shall enter into force on the date of its approval by the General Director of INCDFT-IFT Iași.

Prepared by: **Ethics committee**
Chair – CS I (R4) Firuța BORZA
Member – CS I (R4) Tibor-Adrian ÓVÁRI
Member – CS II (R3) Marian GRIGORAȘ
Member – CS II (R3) Dumitru-Daniel HEREA
Member – CS III (R2) Mihai ȚIBU

Endorsed for compliance,
Legal Advisor
Andreea BORHAN