



LIBERA UNIVERSITA' INTERNAZIONALE DEGLI STUDI SOCIALI GUIDO CARLI

CODE OF ETHICS

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A. INTRODUCTION

A.1. DEFINITIONS

- “Candidates”: all of the potential candidates taking the admission tests for LUISS courses, including research doctorate programmes, graduate school programmes, master’s degree programmes and advanced courses and potential candidates sitting exams to qualify as a certified public accountant and accounting expert.
- “Business Customers”: the persons who wish to purchase and/or have already purchased advisory, advanced training (executive and postgraduate) and research services.
- “Code of Ethics”: this Code of Ethics adopted by Libera Università Internazionale degli Studi Sociali Guido Carli.
- “Legislative Decree No. 231/2001” or “LD 231/2001”: the legislative decree setting out the rules governing the administrative liability of legal persons, companies and associations including unincorporated bodies.
- “Addressees of the Code” or “Addressees”: Governance Bodies, Employees, Faculty, Students, Alumni, Candidates, Business Customers and Partners and, in any case, any other person that the University maintains that this Code of Ethics is applicable to and should be communicated to.
- “Universal Declaration of Human Rights”: declaration adopted by the UN General Assembly on 10 December 1948.
- “Employees”: all employees of Libera Università Internazionale degli Studi Sociali Guido Carli (excluding Tenured Faculty).
- “Faculty”: i) “Tenured Faculty”, meaning the faculty hired by LUISS from among those who passed a public competition held by LUISS or another university or who enjoy tenure pursuant to article 1, paragraph 12, of Law No. 230/2005; ii) “Contract Faculty”, meaning Italian or foreign scholars and experts, including those holding non-academic positions, with whom LUISS has signed contracts for teaching and/or research activities, visiting professors and, in any event, all faculty other than Tenured Faculty; iii) “Researchers”, meaning those that hold a private-sector permanent contract of employment as a researcher further to a comparative evaluation pursuant to article 1, paragraph 14, of Law No. 230/2005 and article 24 of Law No. 240/2010; and iv) “Research Grantees”, meaning those who have been awarded a research grant further to a comparative evaluation pursuant to article 51, paragraph 6, of Law No. 449/2007 and article 22 of Law No. 240/2010.
- “Confidential Information”: any information, data, knowledge, discovery, patented or patentable, know-how and, in general, any information of a technical, industrial, economic, commercial, administrative or other nature and likewise any drawing, document, magnetic support or sample of material, not public or publically available, relating to the University and/or third parties, that is made available to Addressees on paper, electronically or in any other form, including but not limited to:
 - information, documents, data or prospectuses of any type relating to the University’s current or future balance sheet situation or organisational structure;
 - information, data, prospectuses, estimates or studies of any nature relating to or in connection with the property used and/or owned by the University, the operating and management processes currently used or that will or could be adopted by the University (including possible estimates and provisional valuations of an operating-management type nature), the products and/or services offered or to be offered to customers and/or current or future commercial policies;
 - all information deriving from and/or in connection with the analysis, summary and/or studies, if any, that are prepared or drawn up by the University and/or Addressees following an examination of Confidential Information (including documents, activities and information, formal and informal, transmitted verbally or in writing after meetings, talks or conversations in person or by telephone).

- “Alumni”: those who have been awarded an academic qualification by LUISS including PhDs, graduate school diplomas, university master’s degrees and advanced course diplomas.
- “LUISS” or the “University”: Libera Università Internazionale degli Studi Sociali Guido Carli.
- “Guidelines”: the Guidelines for the construction of organisational, management and controls models pursuant to LD 231/2001 approved by the Confederation of Italian Industry (Confindustria) on 31 March 2008 as subsequently amended and updated.
- “Organisational Model”: the organisational, management and controls model pursuant to LD 231/2001 of which *inter alia* also the principles of ethics and standards of conduct contained in the Code of Ethics as well as the procedures and other rules of the University form an integral part.
- “Supervisory Body” or “SB”: the body established to oversee the functioning of and compliance with the Model and revisions thereof pursuant to LD 231/2001.
- “Governance Bodies”: the Board of Directors, the President of the Board of Directors, the Executive Vice President, the Vice President, the Executive Committee, the Academic Senate, the General Manager and the Rector.
- “P.A.” or “Public Administration”: all emanations of the State (including institutions and schools of all types and levels, educational institutions and independent businesses and agencies of the State), regions, provinces, municipalities, mountain communities and their consortia and associations, universities, independent social housing institutions, chambers of commerce, industry, crafts and agriculture and their associations, ministries, non-economic national, regional and local public bodies, national health service agencies, businesses and bodies, the National Agency for Collective Bargaining (ARAN) and the agencies referred to in Legislative Decree No. 300 of 30 July 1999 as well as all those who exercise public powers and/or public functions including but not limited to:
 - persons who exercise functions or perform activities equivalent to those of public officials or individuals charged with a public service;
 - members of the European Commission, the European Parliament, the European Court of Justice and the European Court of Auditors;
 - officials and other servants hired by contract pursuant to the Staff Regulations of Officials and the Conditions of Employment of Other Servants of the European Union;
 - persons seconded by the Member States or any public or private body to the European Union who exercise functions equivalent to those of officials and other servants of the European Union;
 - members and staff of bodies established on the basis of the Treaties of the European Union;
 - those who in the context of other Member States of the European Union exercise functions or perform activities equivalent to those of public officials or individuals charged with a public service;
 - officials of foreign States;
 - those who in the context of other foreign States or public international organisations exercise functions or perform activities equivalent to those of public officials or individuals charged with a public service.
- “Partners”: all workers other than Employees and Tenured Faculty who work for LUISS such as, for example, quasi-employees, independent contractors, collaborators, consultants and all other self-employed workers as well as persons – legal and natural – who contract with LUISS and, in any case, all persons (including suppliers and sponsors) with whom the University has and/or will have any form of relationship, de facto cooperation or specific contractual arrangement.
- “Offences”: the underlying offences to which the provisions of LD 231/2001 apply.

- “Disciplinary System”: the disciplinary system adopted by the University in order to punish breach of the procedures and other rules that constitute an integral part of the Organisational Model and the ethical principles and standards of conduct set out in this Code of Ethics.

- “Stakeholders”: all those who directly or indirectly entertain relations with the University as Employees, Faculty, Students, Alumni, Candidates and their relatives, Business Customers and Partners as well as the academic community, journalists, the media, the Public Administration and the authorities that the University deals with in the course of its business. More in general, stakeholders are any persons who in any guise have an interest in the very existence and operation of the University and whose interests influence or are influenced by the effects of what the University does.

- “Students”: all students enrolled at LUISS, whether undertaking their course of study within or outside the prescribed timeframe therefor, including those doing PhDs, attending graduate school, studying for a university master’s degree or taking advanced courses.

A.2. FOREWORD

LUISS Guido Carli is an independent university that pursues teaching and research in order to further knowledge, to train the managerial class and to prepare individuals for life and work.

The University's primary purpose is the creation and imparting of knowledge in the humanities, the promotion and organisation of research, cultural and professional education and the transfer of innovation in accordance with the highest international academic standards.

LUISS Guido Carli, with its headquarters in Rome, is a private university with legal personality and didactic, academic, administrative, organisational and disciplinary autonomy, pursuant to article 33 of the Italian Constitution and in accordance with article 1 of the Higher Education Consolidation Act, approved by Royal Decree No. 1592 of 31 August 1933, as amended, and article 1 of Law No. 243/1991. Supervision of the University is exercised by the Ministry for Education, Universities and Research.

The University is conscious of the importance of the social contribution of the educational activities that it undertakes. Therefore, it seeks to pursue the search for competitiveness on the market through a proper and functional use of its own resources fully in keeping with the quality of the social system and the surrounding environment.

In addition to the quality of the services offered and market competitiveness, the University aims to increase its capacity to generate value and create wellbeing for the community as a whole.

In view of the foregoing and ever apart from what the law actually requires, by means of this document the University wishes to set out the body of ethical principles and values that must inform its activities and the standards of behaviour and conduct of those who internally and externally operate within its sphere of action.

Accordingly, this Code of Ethics sets out the rights, duties and responsibilities of the University towards the Stakeholders as well as the principles observance of which is required of all those who cooperate with the University in the pursuit of the goals that the institution has set for itself.

A.3. ADDRESSEES

Save as may otherwise be expressly provided for in the articles hereunder, the ethical principles and the rules of conduct contained in this Code of Ethics must be observed and adhered to by Governance Bodies, Employees, Faculty, Students, Alumni, Candidates, Business Customers and Partners as well as any other person to whom the University considers that it should communicate the contents of this Code of Ethics (hereinafter also referred to collectively as the "Addressees").

A.4. PURPOSES OF THE CODE OF ETHICS

By means of this Code of Ethics, the University:

- sets out and discloses the values and ethical principles that inform its activities in relations with Stakeholders;
- specifies the ethical principles that Addressees must comply with.

In particular, this Code of Ethics:

- identifies the principles and rules of conduct that the University recognises as being a positive and ethical value in ensuring that its own activities and those of Addressees are informed by the notions of legality, efficiency, transparency, competence, integrity and propriety;
- recommends, promotes or prohibits certain conduct and/or behaviour over and above and ever apart from what may actually be required by law.

A.5. CODE OF ETHICS AND ORGANISATIONAL MODEL UNDER LEGISLATIVE DECREE NO. 231/2001

This Code of Ethics is drawn up also in conformity with the provisions of Legislative Decree No. 231 of 8 June 2001 on the “rules governing the administrative liability of legal persons, companies and associations including unincorporated bodies” and the Confindustria Guidelines for the construction of organisational, management and controls models.

A.6. CONTRACTUAL NATURE OF THE RULES AND PRINCIPLES OF THE CODE OF ETHICS, CONSEQUENCES OF BREACH AND DISCIPLINARY SYSTEM

In addition to complying with the general duties of loyalty, propriety and performance of their employment contract in good faith, Employees must adhere to the ethical principles and rules of conduct set forth in this Code of Ethics, observance of which is an essential part of their contractual obligations pursuant to and for the purposes of articles 2104 and 2105 of the Civil Code.

The principles and content of this Code of Ethics thus constitute illustrative examples of the duties of care, loyalty and impartiality that the law requires of Employees and that inform the proper performance of their work and behaviour in general vis-à-vis the University.

Breach by Employees of the rules and principles of this Code of Ethics will thus constitute a breach of the obligations incumbent on them under their contract of employment and/or wrongdoing for disciplinary purposes, with the consequences envisaged by law, the collective bargaining agreement for LUISS administrative personnel, the national collective bargaining agreement for managers in industrial enterprises, in so far as it is applicable, and, in any event, the Disciplinary System.

* * *

Breach by Tenured Faculty of the rules and principles of this Code of Ethics will entail the application of the sanctions specified in article 10 of Law No. 240/2010 should that breach have caused prejudice or a period of prejudice to the correct carrying on of university activities.

* * *

With reference to Contract Faculty, Researchers, Students, Business Customers and Partners, the ethical principles and the rules of conduct – that will be suitably referred to in the relevant contracts – constitute veritable contractual obligations, also in accordance with the principle of good faith in the performance of contracts.

* * *

The Board of Directors shall decide in relation to breaches of the rules and principles contained in this Code of Ethics by Employees, Faculty, Business Customers and Partners without prejudice to what the University’s Statutes may provide as regards the investigative functions expressly vested in the Disciplinary Board.

In case of breach of the rules and principles of this Code of Ethics by Students, the possible disciplinary sanctions envisaged by law shall be decided and imposed by the Rector.

* * *

Breach by Addressees of this Code of Ethics may lead to the consequences envisaged by the Disciplinary System and could also well entail cessation and/or termination of the relevant contractual relationships.

* * *

Should the Supervisory Body maintain that it would be helpful and/or necessary to assess the conduct breaching this Code of Ethics from an ethical standpoint, including as regards awareness and significance of the conduct concerned, it make propose to the Board of Directors that a ‘committee of three wise men’ be set up for the purposes of furnishing an opinion in the matter without prejudice to the application of the provisions of article 21 of the University’s Statutes.

A.7. PUBLICATION OF THE CODE OF ETHICS

This Code of Ethics is publicised through:

- (i) posting an up-to-date version online internally (Intranet) and externally (Internet);
- (ii) posting a copy in the workplace in the manner prescribed by article 7 of the Workers' Charter.

A.8. REVISIONS

The University may amend and/or update this Code of Ethics at any time in light of changes in circumstances and in the context in which it operates.

B. GENERAL PART

B.1. LUISS ETHICAL PRINCIPLES

LUISS is a community that contributes to forming people, educating them to know themselves through various academic disciplines and to be aware of their social responsibilities.

Conscious of the indispensable social and educational function of universities, LUISS requires all members of its own community, in the performance of their respective duties and having regard to their respective roles and degree of responsibility, to inform their own conduct by the following ethical principles – to protect single persons and safeguard the general interest – so as to foster the excellence of the University and constantly enhance its reputation and honour in Italy and the world.

B.1.1. Principle of legality

LUISS acts in a manner that respects dignity and fundamental human rights, such as those recognised in the Universal Declaration of Human Rights, and in any event in a manner that complies with the laws and regulations in force in the countries where it operates.

LUISS will not establish or continue relations with those who do not subscribe to the above principle.

B.1.2. Principle of integrity

LUISS pursues its objectives in keeping with the principle of integrity – understood in the sense of propriety, honesty and loyalty – in its internal and external relations so as to protect individual wellbeing and the environment.

B.1.3. Principle of transparency and professionalism

LUISS undertakes its activities in line with the principle of transparency and professionalism, the latter understood as a commitment to fulfilling its tasks and responsibilities with a degree of care suited to their nature.

B.1.4. Equality and non-discrimination

LUISS recognises the equal dignity of all of the persons involved in its own activities and does not discriminate on the basis of religious beliefs, political opinions, personal and social conditions, sex, sexual orientation and ethnic origin. Conscious of its educational and social function, the University promotes integration and dialogue among persons and various traditions and cultures on the basis of a recognition of equal consideration and respect for all individuals.

B.1.5. Confidentiality

LUISS undertakes to guarantee the confidentiality of the information in its own possession so as to protect the physical and moral integrity of the individual, safeguarding their private life.

B.1.6. Valuing of human resources

LUISS values the capacity and aptitude of its own human resources with a view to their human and professional growth, promoting the development of abilities, involvement in decision-making, a teamwork attitude and co-responsibility for the society of which everyone is an integral part.

B.1.7. Merit

LUISS recognises and values individual merit as an essential criterion for human and professional development. It considers that fostering merit and individual talent – through both single tasks and participation in teamwork – is a means of achieving growth, development and competitiveness for the benefit of the entire community.

LUISS also pursues its objectives informed by the principles of completeness, veracity and timeliness of communication with Stakeholders and the principles of impartiality and confidentiality in relations with the latter.

GENERAL RULES OF CONDUCT OF THE ADDRESSEES

In abiding by the ethical principles of LUISS listed above, Addressees must:

- adopt all measures necessary to prevent breach of the University's ethical principles and ensure that those principles are observed;
- comply with applicable laws and regulations and all decisions adopted by the relevant authorities regarding the University (including any that impose sanctions or bans);
- refrain from illegal or inappropriate behaviour;
- protect and value human resources, guaranteeing equal opportunities for human and professional development as well as working conditions that preserve individual dignity;
- responsibly use the University's resources so as to respect the environment and the rights of future generations and refrain from using those resources for purposes other than their proper ones;
- refrain from engaging in activities and/or behaviour conflicting with the tasks and responsibilities assigned to them;
- refrain from pursuing personal or third party interests to the detriment of the University's general interests;
- refrain from using the University's name and exploiting it to further personal or third party interests.

B.1.8. Research and Teaching

LUISS maintains that opening up the results of research and teaching constitutes a primary value and adopts as its own the principles of open access to academic literature, promoting the free dissemination online of the research results achieved at the University.

B.1.9. Rules of conduct in relations with the Public Administration

It is forbidden to commit any acts of bribery in relations with the Public Administration.

In particular, it is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of the University) directed and/or in any event aimed at offering or promising (or arranging to offer or promise) undue money or other things of value to any public officials or officials charged with a public service in order to induce those officials to perform, omit or delay an act of their office or to do something contrary to their official duties.

It is also forbidden for those who, in the exercise of functions within the University, are treated (also) as public officials or and/or officials charged with a public service (for example, Faculty):

- (i) to request, receive or accept money or other thing of value or a promise thereof from a private party to perform, omit or delay (or for having omitted or delayed) an act of their office or to do something contrary to their official duties;
- (ii) to abuse their position or powers to compel or induce anyone to unduly give or promise to give them or third parties money or other thing of value.

It is forbidden to engage in any deception (“artifice or trickery”), including keeping silent as to circumstances that must be disclosed, that is such as to induce others into error and cause damage to the Public Administration, thereby gaining an undue benefit (for example tax and social security relief or exemptions) for themselves or others (including the University). Without derogating from the generality of the foregoing, by way of mere example, any conduct (even if committed in the interests and/or for the benefit of the University) directed or in any event aimed at the following is expressly forbidden:

- (iii) preparing (or arranging for the preparation of) documents or data intended for use in a tender procedure containing untrue information in order to ensure that the University is awarded a contract;
- (iv) using (or arranging for the use of) forged seals in order to make it appear that taxes and charges have been paid;
- (v) entering into (or arranging for the entering into of) contracts for the supply of services to the Public Administration following false statements as to the fulfilment of the conditions and requisites envisaged for the performance of the agreed activities.

It is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of the University) directed and/or in any event aimed at:

- (vi) altering in any way the functioning of an electronic/telematic system or unduly intervening in any way concerning data, information or programs contained in an electronic/telematic system or pertinent thereto;
- (vii) altering computerised records of the Public Administration so as to make it appear that the requisites for participating in the tender have been fulfilled, producing documents certifying non-existent facts and circumstances or modifying data relating to the University that has already been submitted.

It is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of the University) directed and/or in any event aimed at:

- (viii) misappropriating, even partially, grants, subsidies or funding obtained from the Public Administration for the carrying out of works or activities of public interest or using such for purposes other than those for which they are given;
- (ix) using or submitting forged documents or declarations (written or oral) or ones that contain false statements or omit required information for the purposes of obtaining for oneself or others (including the University), undue grants, financing, soft loans or other funds from the Public Administration;
- (x) engaging in any deception (“artifice or trickery”) that is such as to induce others into error for the purposes of obtaining for oneself or others (including the University) a wrongful benefit to the detriment of others so as to obtain undue grants, financing, soft loans or other funds of the same type, howsoever called, awarded or disbursed by the Public Administration;
- (xi) obstructing the investigations of the judicial authorities and/or aiding or damaging one of the parties to criminal, civil and/or administrative proceedings.

B.1.10. Rules of conduct in governance matters

It is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of LUISS) directed and/or in any event aimed at:

- (i) recording (or arranging for the recording) in the financial statements, reports or other corporate communications prescribed by law addressed to shareholders or the public, of any material facts that are untrue (even though open to assessment) on the balance sheet, economic or financial situation of LUISS or omitting information on the situation whose disclosure is required by law;
- (ii) recording (or arranging for the recording) of any material facts that are untrue (even though open to assessment) concerning the balance sheet, economic or financial situation of the University in the context of communications addressed to public authorities with a view to obstructing the exercise of the latter’s functions;

- (iii) concealing (or arranging for the concealing) of facts pertaining to the balance sheet, economic or financial situation of the University that should have been communicated to public authorities with a view to obstructing the exercise of the latter's functions.

Addressees are always obliged to communicate and disclose any interest that they, on their own account or for third parties, have in any given transaction of the University, specifying the nature, terms, origin and scope thereof.

B.1.11. Provisions on combating terrorism, transnational offences and organised crime

It is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of the University) directed and/or in any event aimed at promoting, constituting, organising, participating in, financing or facilitating the activities of criminal associations (whether they operate on a national, international or transnational basis) or to engage in any act or conduct with “terrorist”¹ aims or, in any case, aimed at obstructing, damaging or destabilising the democratic order and public security.

B.1.12. Rules of conduct to protect human dignity and safety

It is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of the University) directed and/or in any event aimed at exercising (or arranging for the exercise of) powers injurious to the dignity of and/or respect for human beings.

Moreover, it is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of the University) directed and/or in any event aimed at violating labour laws and regulations.

B.1.13. Rules of conduct to protect property, systems and privacy

It is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of the University) directed and/or in any event aimed at:

- (i) unlawfully accessing a computerised or electronic system protected by security measures or remaining in it against the expressed or implied will of the person who has the right to exclude them;
- (ii) procuring, copying, disseminating, communicating or delivering codes, passwords or other means suited to accessing a computerised or electronic system protected by security measures or in any event providing indications or instructions in that regard;
- (iii) procuring, producing, copying, importing, disseminating, communicating, delivering or in any event making available to others of equipment, devices or software in order to illegally damage a computerised or electronic system or the information, data or programs contained therein or pertinent thereto or in order to facilitate the total or partial blocking or malfunctioning of the system;
- (iv) intercepting communications relating to a computerised or electronic system or exchanged between two systems, impeding or interrupting such communications or revealing all or part of the content of such communications to the public by any means;
- (v) installing equipment apt to intercepting communications relating to a computerised or electronic system or exchanged between two systems;
- (vi) destroying, damaging, deleting, altering or suppressing the information, data or software of others (including that that used by the State or other public body or pertinent to the latter or, in any event, of public utility);

¹ By conduct with terrorist aims is meant behaviour that, by its nature or context, may seriously damage a country or an international organisation where committed with the aim of seriously intimidating a population, unduly compelling a Government or international organisation to perform or abstain from performing any act or seriously destabilising or destroying the fundamental political, constitutional, economic or social structures of a country or an international organisation. Also included is any other conduct defined as terrorist or as committed with terrorist aims by conventions or other rules of international law binding on Italy.

- (vii) destroying, dissipating or damaging the real and personal property of others or making it impossible to totally or partially use such property;
- (viii) breaching the statutory obligations for the issuance of a qualified certificate (with reference to persons that provide electronic signature certification services).

B.1.14. Rules of conduct to protect public order

It is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of the University) directed and/or in any event aimed at:

- (i) instigating a witness in criminal proceedings not to make statements or to make false statements to the judicial authorities;
- (ii) aiding a person to elude investigation or location by the authorities.

B.1.15. Rules of conduct to protect property and anti-money laundering provisions

It is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of the University) directed and/or in any event aimed at:

- (i) acquiring, receiving or concealing money or the proceeds of any crime or, in any event, directly or indirectly aiding their acquisition, receipt or concealment;
- (ii) replacing or transferring money, property or other profits from a crime or carrying out any transaction in relation thereto so as to hinder the identification of their unlawful origin;
- (iii) investing money, property or other profits from a crime in economic or financial activities.

B.1.16. Rules of conduct to protect public confidence

Addressees (in particular all those who are public officials, persons charged with a public service or persons providing services of public necessity) are forbidden from engaging in any conduct (even if done in the interests and/or for the benefit of the University) directed at the commission of and/or that, in any event, constitutes:

- (i) forgery² of public or private documents, administrative certificates or authorisations, authenticated copies of public or private documents and certificates as to the content of other documents (including soft copies³);
- (ii) fraudulent misrepresentation⁴ in public documents or administrative certificates or authorisations (including electronic documents).

It is also forbidden to simulate a public or private document and issue it in legal form or issue a copy thereof that is different from the original.

* * *

Moreover, it is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of the University) directed and/or in any event aimed at:

- (i) spending or circulating counterfeit or altered money in Italy;
- (ii) counterfeiting or altering national or foreign trademarks and distinctive signs relating to industrial products or using counterfeit or altered trademarks and distinctive signs;
- (iii) counterfeiting or altering national or foreign patents, designs or industrial models or using counterfeit or altered patents, designs or industrial models;

² By forgery is meant the falsification of a document (in that it appears to have been drawn up by a person other than the one who appears to be the author thereof) or alteration of a document (in that after its drawing up it is altered by a person not entitled to do so).

³ By electronic document is meant a soft copy of legally relevant acts, facts or information.

⁴ By fraudulent misrepresentation is meant making untrue statements in a document.

- (iv) introducing into Italy industrial products bearing national or foreign counterfeit or altered trademarks and distinctive signs.

B.1.17. Rules of conduct to protect the environment

It is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of the University) directed and/or in any event aimed at:

- (i) polluting the air, soil, subsoil, surface water or ground water or harming protected flora and fauna other than as permitted;
- (ii) collecting, transporting, recovering, disposing of, trading in and dealing in waste in the absence of the prescribed authorisation, registration or communication or mixing waste in an unauthorised fashion.

B.1.18. Rules to protect copyright

It is forbidden to engage in any conduct (even if done in the interests and/or for the benefit of the University) directed and/or in any event aimed at:

- (i) making protected works or parts thereof available to the public without being entitled to, for any purposes and in any way;
- (ii) unlawfully duplicating software or importing, distributing, selling, holding for commercial or business purposes or hiring out software on media not marked by the Italian Copyright Collection Society (SIAE);
- (iii) arbitrarily removing or circumventing measures taken to protect software;
- (iv) copying on to media not marked by SIAE, transferring on to other media, distributing, communicating, presenting or exhibiting in public the content of a database, retrieving or reusing data from a database in breach of the applicable laws and regulations or distributing, selling or hiring out a database,
- (v) unlawfully duplicating, reproducing transmitting or disseminating in public by any means intellectual works or part thereof;
- (vi) introducing into Italy, holding for sale or distribution, distributing, offering for sale, hiring out, transferring in any way or disseminating among the public (including through radio or television) illegal duplications or copies of intellectual works;
- (vii) transmitting or disseminating through any means, without the consent of the lawful distributor, an encrypted service receivable through devices that can decode conditional access transmissions;
- (viii) introducing into Italy, holding for sale or distribution, distributing, selling, hiring out, transferring in any way, promoting for commercial purposes or unlawfully installing devices or special decoding elements that enable access to be gained to an encrypted services without paying the relevant fee;
- (ix) manufacturing, importing, distributing, selling, hiring out, transferring in any way, advertising for sale or hire or holding for commercial purposes any equipment, products or components or providing any services whose objective is to circumvent the technological measures devised to protect intellectual works or that are mainly designed, produced, adapted or created with the aim of making it possible to circumvent the said measures or facilitate that goal;
- (x) producing, offering for sale, importing, promoting, installing, modifying or using for public and private ends, for fraudulent purposes, devices or parts of devices that can decode conditional access audiovisual transmissions disseminated over the air, by satellite or by cable, in either analogue or digital form.

B.2. RULES OF CONDUCT OF ADDRESSEES IN RELATIONS WITH STAKEHOLDERS

B.2.1. Rules of conduct in relations with Students and student associations

The University pursues its own institutional purposes through offering Students high level education services in a manner that complies with competition law.

Consistent with the institutional purposes pursued, the University guarantees the right to study for all Students that have access thereto within the limits of applicable law. The selection of Students and the assessment of the results that they achieve during the course of their university studies are informed by the principles of objectivity, transparency, meritocracy and non-discrimination.

In its relations with Students the following are paramount objectives of LUISS:

- offering and providing high-level education/culture;
- satisfying Students' requests in so far as they are consistent with educational activities, constantly improving the level of the services offered;
- establishing relations with Students informed by trust, mutual cooperation, professionalism, honesty, propriety, transparency, willingness, respect and courtesy.

In the context of relations with Students and subject to complying with internal procedures, Addressees must:

- (i) ensure that their conduct is informed by the principles of professionalism, honesty, propriety, transparency, willingness, respect and courtesy in both the negotiations phase and when undertaking contractual commitments;
- (ii) seek to ensure maximum satisfaction for Students, providing the latter with *inter alia* true, exhaustive and accurate information on the products and services supplied so as to facilitate informed choices;
- (iii) ensure that Students are treated uniformly and avoid unwarranted discrimination in connection with physical condition, political opinions, nationality, religion, sex and sexual orientation, with no favouritism, cronyism or nepotism permitted;
- (iv) provide high quality services in line with the reasonable expectations of Students within the limits of the relevant contractual terms.

LUISS facilitates participation by Students in the life of the University also through granting them representation on some Governance Bodies or committees at the University as well as through promoting and supporting the student associations with social and cultural aims that may be set up by Students. LUISS may cooperate with such associations, including financially by awarding them grants.

B.2.2. Rules of conduct in relations with Faculty

LUISS affords utmost importance to the professionalism and competency of its Faculty.

Therefore, it recognises and assures freedom of teaching and academic research and adopts all the steps and measures necessary to enable Faculty to do their work in an optimum manner.

The University promotes study and research by Faculty and looks favourably upon such work also being done for third parties provided that it does not hinder performance of the teaching and research duties or other obligations that the Faculty owe to the University.

B.2.3. Rules of conduct in relations with Employees

The University avails of the services of Employees and/or other workers.

LUISS attributes utmost importance to its human resources, who constitute an indispensable factor for the very existence, development and success of the University itself. Accordingly, LUISS directly contributes to the development of the professionalism of its Employees, respecting their personalities and aspirations.

In labour relations the University values the abilities, potential and commitment of Employees and other workers, adopting objective assessment criteria in relation to their professional qualifications and individual capacity, offering equal opportunity for professional growth and economic advancement in line with the contribution made by each one.

The University does not tolerate any form of discrimination in connection with physical condition, political opinions, nationality, religion, sex and sexual orientation. No favouritism, cronyism or nepotism is permitted.

B.2.4. Rules of conduct in relations with Business Customers

The ethical principles and the rules of conduct envisaged for relations with Students extend – where applicable – also to relations with Business Customers.

Moreover, contracts entered into with Business Customers and any communications addressed to the latter are informed by criteria of simplicity, clarity and completeness, avoiding recourse to any misleading and/or unfair practices howsoever committed.

B.2.5. Rules of conduct in relations with Candidates

Consistent with the institutional purposes that it pursues, the University assures the widest participation in admission tests for enrolment at the University.

Selection of Candidates for those admission tests and the assessment of their results is done in line with applicable law and the relevant internal procedures.

In the context of relations with Candidates and subject to complying with internal procedures, Addressees must:

- (i) ensure that their conduct is informed by the principles of professionalism, honesty, propriety, transparency, willingness, respect and courtesy;
- (ii) seek to ensure maximum satisfaction for Candidates, providing the latter with *inter alia* true, exhaustive and accurate information on the services supplied so as to facilitate informed choices;
- (iii) ensure that Candidates are treated uniformly and avoid unwarranted discrimination in connection with physical condition, political opinions, nationality, religion, sex and sexual orientation;
- (iv) provide high quality services in line with the reasonable expectations of Candidates within the limits of the relevant contractual terms.

B.2.6. Rules of conduct in relations with Alumni

Consistent with the institutional purposes that it pursues, the University promotes job placement for Alumni through dedicated channels, subject to applicable law and the relevant internal procedures.

The above mentioned placement activities are done in keeping with the principles of objectivity, transparency, meritocracy and non-discrimination.

B.2.7. Safety in the workplace and on LUISS premises

The University promotes a safe and healthy working environment on its premises.

To that end the University:

- undertakes risk assessment⁵;
- combats risks at source;
- adopts appropriate occupational health and safety measures designed to avoid and/or reduce the associated risks;
- adapts the workplace, in particular, as regards the notion of workstation and choice of offices, equipment and

⁵ Pursuant to Legislative Decree No. 81/2008, by risk assessment is meant the overall documented assessment of all risks “to the health and safety of workers present in the organisation where they work, aimed at identifying the adequate measures of prevention and protection and at devising a programme of the measures apt to guarantee an improvement in levels of health and safety over time”.

methods of work and production, in order to ensure conditions that respect physical integrity, moral wellbeing and individual dignity, to attenuate monotonous and repetitive work and to reduce the effects of work on health;

- takes into account developments in the state-of-the-art;
- plans measures to prevent occupational accidents taking into account the state-of-the-art, the organisation of work, working conditions, social relations and the influence of working environment factors;
- informs Employees, other workers and Partners regarding all risks and in relation to the use of protective, health and safety equipment such that they are able to face up to the risk of injury in the workplace (that information is furnished where necessary also to Faculty, Business Customers, Students, Alumni and Candidates);
- gives priority to collective protective equipment compared to personal protective equipment;
- gives adequate instructions to Employees and other workers and, where necessary, also to Faculty, Students, Business Customers, Alumni and Candidates;
- devises specific objectives and plans for improvement, aimed at minimising occupational illness and accidents and guaranteeing occupational health and safety.

B.2.8. Occupational health and safety policy

The occupational health and safety policy, which constitutes an integral part of the Occupational Health and Safety Management System (SGSL), is attached as Annex 1 to this Code of Ethics.

B.2.9. Rules of conduct in relations with Partners

The University entertains relations with its Partners informed by compliance with law and the principles of this Code of Ethics, in particular adhering to the highest professional standards and best practice in matters of ethics, health and safety and respect for the environment.

The selection of Partners and agreement on the terms and conditions for the purchase of goods and services for the University:

- must be informed by the values of competency, inexpensiveness, transparency, competition, objectivity, propriety, impartiality, fair prices and quality of the goods and/or services;
- must take account of the overall terms of the offer in general and be based on a detailed assessment of the guarantees provided.

All Partners selected must have a good reputation, including from an ethical point of view.

Moreover, cooperation with Partners is to be pursued in order to constantly ensure satisfaction of the needs of the University and its customers in terms of quality and delivery times.

Negotiations and signing of contracts with Partners must always be based on extremely clear relations.

All fees and/or amounts paid in any guise to Partners must be adequately documented, be proportional to the activities carried out and be in line with market terms.

Addressees who deal with Partners must act in a professional and independent manner.

Addressees must also act without any conflict of interest that could influence their decisions in negotiations with Partners. Should any such conflict of interest exist, Addressees must declare it and immediately refrain from making decisions (see § B.2.16).

In particular, the University's bargaining power must not be used for personal ends. It is unethical and hence contrary to the principles set forth in this Code of Ethics to obtain any personal advantage from a Partner.

B.2.10. Rules of conduct in relations with the promoter

LUISS is promoted by Associazione per la Libera Università Internazionale degli Studi Sociali Guido Carli (ALUISS), which, as the promoter, assures the pursuit of the University's institutional purposes and provides the necessary services and means.

One of the central aspects that make LUISS' conduct ethical is observance of the principles of conduct designed to ensure that the above mentioned institutional aims are pursued in a manner that:

- (i) strengthens the solidity of the University from the standpoint of medium-to-long term market sustainability;
- (ii) safeguards the investments made by the promoter ALUISS.

B.2.11. Management of LUISS activities

LUISS activities aimed at pursuing the University's purposes must be lawful, coherent, appropriate, knowable and traceable through correct and adequate records.

B.2.12. Recording and traceability of transactions

All transactions must be correctly recorded, authorised, verifiable, lawful, coherent and appropriate.

Every transaction must be accompanied by supporting documentation (which may not be destroyed or deleted) so as to enable checks to be carried out at any time to establish the features and reasons for the transaction and to identify who authorised, carried out, recorded and checked the transaction itself.

Records must be kept for a minimum of 10 years unless otherwise provided for by law.

B.2.13. Budget

The budget is the tool used to adequately monitor the degree to which expected cost and revenue targets are met, is prepared by the University's administration and is approved by the relevant Governance Bodies.

Changes are not permitted except where envisaged by the relevant organisational procedure, which also governs budget management, and in any event subject to adhering to the resolutions adopted by the relevant Governance Bodies.

Any changes that are approved operate to update the budget.

B.2.14. Keeping of accounts and preparation of the financial statements

The process for gathering, handling, processing, presenting and checking accounting data must be done chronologically, clearly and at scheduled intervals and be informed by the principles of truth, propriety, completeness and transparency.

For any transaction carried out by the University that must be recorded in the accounts, the supporting documentation is to be conserved for the prescribed statutory period so as to enable one to:

- immediately establish to establish the features and reasons for the transaction;
- accurately reconstruct the timeline of the transaction, easily reconstruct the process in accordance with which the transaction was decided, authorised, carried out, recorded and checked and identify the various levels of responsibility and verification.

The financial statements must be drawn up in accordance with accounting law and standards and with the utmost care and professionalism.

To that end Addressees of the Code of Ethics, in so far as it concerns them, must act with propriety and transparency so as to guarantee the veracity, accuracy, completeness and clarity of the accounting and management data and information contained in the accounting records, the statutory financial statements and all of the other documents depicting the assets, liabilities, financial position and profit and loss of the University.

B.2.15. Invoicing and payment

Issuing and receiving invoices must be done in accordance with law and the University's own procedures.

Invoices must state the nature of the goods and services purchased and/or sold.

It is forbidden to issue or receive invoices and subsequently record invoices that are instrumental to partially or totally circumventing tax and criminal law.

In any event, it is forbidden to pay or receive sums that are not adequately backed up by the documentation required by law and the University's own procedures.

B.2.16. Conflicts of interest and declarations in that regard

A conflict between the personal interest of an Addressee and that of the University arises whenever conduct or a decision by an individual is potentially able to generate an immediate or deferred advantage for that individual or their relatives at the expense of the University's interest.

The conflict of interest may have a direct effect on the individual that is such as to be able to influence or, in any event, impair the latter's objective judgment to the extent of possibly undermining loyalty towards the University.

It is forbidden to pursue personal interests to the detriment of those of the University or to use the University's resources for personal or unauthorised purposes and likewise any information obtained during the course of one's duties.

Whoever maintains that they may have a conflict of interest – even just potentially – with that of the University must declare it before the conflict in question arises in order to allow the University to determine what steps to take. Should the conflict arise unbeknownst to the person concerned and/or without any action by them, the person must nonetheless bring it to the attention of the University as soon they become aware of it.

Before accepting any form of public and/or political office, Addressees must ensure that there can be no possibility of a conflict of interest with LUISS and that the proposed office cannot have an adverse effect on their relationship with the University.

Members of Governance Bodies, Employees and Faculty must refrain from engaging, on their own account or for third parties, in activities that compete with the commitments given to the University.

Without prejudice to applicable laws and regulations and the obligations thereunder, members of Governance Bodies and Employees must avoid any actual or potential conflict of interest with the University and, in any event, declare to whoever it may concern, the activities, the financial interest and external relations that could give rise to conflicts of interest or the semblance thereof⁶.

⁶ By way of mere example only, conflicts of interest for members of Governance Bodies and Employees (including management) include but are not limited to having a personal economic interest in a transaction that involves a Partner or Business Customer of LUISS such as:

- purchasing or holding an equity interest in a company that is a customer or supplier of the University or being appointed to a position in that company;
- making a personal loan to a Partner or a customer;
- obtaining a personal loan from a Partner or a customer on conditions that are more favourable than those normally available on the market;
- requesting a loan from a Partners or a customer which, on the basis of their bylaws, do not grant loans of any type to the public;
- being paid a commission for concluding a transaction between the University and a customer or a Partner in relation to which one has a personal or financial interest;

In particular, each member of the Board of Directors of the University must inform the other members of the Board of Directors of any interest that he or she, on his or her own account or for third parties, has in a given transaction of the University, specifying the nature, terms, origin and scope thereof. Executive directors must refrain from carrying out transactions entailing a conflict of interest, referring the matter back to the Board of Directors as a whole.

B.2.17. *Processing of the University's Confidential Information*

The University's Confidential Information is valuable property and its protection is essential for the University's growth and ability to compete.

Therefore, Addressees must not:

- reveal the Confidential Information to third parties and/or disseminate it except in cases where such has been authorised;
- utilise the Confidential Information for personal benefit.

Even after their relationship with the University ceases Addressees shall still be bound by their obligation not to disclose the Confidential Information until such time as it passes into the public domain.

B.2.18. *Processing of third parties' Confidential Information*

The University's ethical principles also require respect for the Confidential Information of third parties.

Therefore, Addressees must protect and not disclose that Confidential Information, processing it within the limits of the authorisation received in order to avoid an improper use thereof in any way or by any means.

B.2.19. *Rules of conduct in relations with the Public Administration*

Relations with the Public Administration must be entertained by Addressees in total and strict compliance with the applicable law, the ethical principles and rules of conduct set out in this Code of Ethics, the procedures and other rules adopted by LUISS (including internal regulations) and, in any event, in a manner that will never compromise the reputation and integrity of the University itself.

It is forbidden to engage in any conduct aimed at influencing the decisions of the Public Administration, including the offer or promise of an undue payment, gift of any type or other benefit for officials and representatives of the Public Administration except for token gifts subject in any case to compliance with the University's procedures in this regard.

Reference is expressly made to the principles of conduct set forth in § B.1.8 above.

B.2.20. *Rules of conduct in relations with political organisations and trade unions*

The University does not give contributions in any form, direct or indirect, to political organisations and trade unions or their representatives or candidates save for what is payable by law.

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- having a personal or financial involvement with an employee or representative of a Partner, a customer or a competitor of the University with whom one has duly come into contact while conducting the University's business;
 - obtaining – from a Partner or a customer – discounts or other economic advantages not available to the general public or those who occupy a similar position at the University;
 - an offer of work for a firm owned or managed by a relative or friend;
 - adopting decisions in favour of a spouse, relative or friend concerning their hiring as a possible Employee of the University or their promotion;
 - obtaining a job – including part-time – with companies and/or bodies that carry on business in competition with that of the University or in areas similar to that in which the University operates;
 - doing work on one's own account for customers, Partners or competitors.

Members of Governance Bodies and Employees must not use the University's Confidential Information, obtained by virtue of their position and role at the University, in order to obtain personal advantage.

Moreover, the University may cooperate, including financially, with parties, movements, committees, associations or other organisations of a political or trade union nature exclusively in relation to specific projects that meet the following requirements:

- aims connected to the institutional purposes of LUISS;
- clear and documentable use of the resources;
- express authorisation from the relevant Governance Bodies;
- notification of the Supervisory Body.

Any disbursed resources must be paid in a manner that strictly complies with applicable laws and regulations.

The relevant operations must be adequately documented.

Any contributions made by Employees and likewise any activities that they engage in are to be considered as being on a personal and voluntary basis.

B.2.21. Rules of conduct in relations with creditors

The University recognises and protects the interests of its creditors, if any, guaranteeing compliance with applicable law and the ethical principles and rules of conduct set forth in this Code of Ethics.

B.3. RULES OF CONDUCT FOR THE USE OF LUISS PROPERTY AND RESOURCES

B.3.1. Responsibility for LUISS property and resources

Addressees are responsible for all of the University's property and resources in their custody, with a duty to protect them against risk of loss and/or damage.

B.3.2. Use of LUISS property and resources

LUISS property and resources (including IT) must be used exclusively for the purposes for which they are intended and in accordance with the procedures and/or rules adopted by the University itself.

Addressees must take the necessary care to protect the University's property and resources, avoiding any improper use thereof that could cause damage and/or impair their functionality or, in any event, use thereof contrary to the University's interests.

Addressees must protect the University's property and resources so as to prevent the improper and/or fraudulent use thereof. Addressees may not use that property and resources for personal purposes or ones falling outside the scope of their appointment unless the University expressly authorises – in writing – such additional use.

B.4.3. Attention for the environment

LUISS respects the environment not only when providing services to Students and customers but also when carrying out all other activities.

Addressees must recognise that environmental protection is a primary value.

In particular, without prejudice to the prohibition laid down in § B.2.9, Addressees must do what is possible to actively improve the efficiency with which the University's property and resources are used and must use environmentally friendly products and/or services.

Addressees must moreover adhere to management instructions on reducing environmental impact.

C. SPECIAL PART - SPECIFIC RULES OF CONDUCT FOR SOME ADDRESSEES

Without prejudice to the rules of conduct set out in the preceding Chapter B (General Part) applicable in general to all Addressees, the following rules of conduct apply solely to the stated category of Addressees.

C.1.1. Rules of conduct for Candidates

Candidates are obliged to observe applicable laws and regulations and act in keeping with the principles of honesty, propriety and earnestness in the various selection phases and, in general, in relations with the University.

By way of example only, Candidates must provide true information relating to their curriculum vitae et studiorum in the context of applications to sit admission tests and abide by the instructions given by Faculty, Employees and other workers.

C.1.2. Rules of conduct for Students

Students must not act in a way that falsifies assessment and judgment as to their performance. Plagiarism in writing papers is a grave breach of this Code of Ethics.

Students must ensure that their conduct is informed by mutual respect and non-discrimination on the basis of physical condition, political opinions, nationality, religion, sex and sexual orientation.

Students are obliged to observe applicable laws and regulations and act in keeping with the principles of honesty, propriety, earnestness and cooperation.

Moreover, Students must not damage the facilities (including LUISS property, premises and resources) that they use and must abide by the instructions given by Governance Bodies, Faculty, Employees and other workers of LUISS or other university/institution where they are staying for a period of study.

C.1.3. Rules of conduct for Faculty

Faculty of any type must dedicate adequate attention to teaching, including continuous learning and fair assessment of Students.

LUISS recognises and values freedom of research and teaching. To ensure excellence in teaching, the University requires Faculty to ensure that the topics covered in courses always reflect, above all, state of the art in the discipline concerned and where possible take international academic debate into special account.

Faculty must refrain doing anything that could lead them, through Students, to gaining an undue advantage economically or otherwise.

Moreover, Faculty are obliged to observe applicable laws and regulations and, in any event, make sure that their behaviour towards Governance Bodies, Students, Employees, Business Customers and, where required, Candidates and Alumni, is informed by the principles of cooperation, objectivity, transparency, meritocracy and non-discrimination.

Professors and Researchers, including Research Grantees and Doctoral Students, undertake to ensure the maximum dissemination of the results of the research carried out at the University, conducting themselves in line with open access principles subject of course to complying with intellectual property constraints and confidentiality undertakings given in a business context.

C.1.4. Rules of conduct for Alumni

Alumni are obliged to observe applicable laws and regulations and act in keeping with the principles of honesty, propriety and earnestness in relations with the University, also in order to protect the latter's reputation and prestige in the sector that they work in. To enable the University to efficiently undertake job placement activities, Alumni must respect Governance Bodies, Faculty and Employees and cooperate with them.

C.1.5. Rules of conduct for Business Customers

Business Customers are obliged to observe applicable laws and regulations and act in keeping with the principles of honesty, propriety, earnestness and cooperation.

Moreover, Business Customers must not damage the facilities (including LUISS property, premises and resources) that they use and must abide by the instructions given by Faculty, Employees and other workers.

ANNEX 1

OCCUPATIONAL HEALTH AND SAFETY POLICY

LUISS is committed to improving health and safety in the workplace, investing human resources, equipment and funds to that end.

The University publishes this document and undertakes that:

- (i) right from the very start of any new activities or the review of existing ones, safety aspects will be considered as essential;
- (ii) all workers will be trained, informed and made aware of what is at stake so as to be able to do their jobs in safety and assume responsibility as regards occupational health and safety;
- (iii) all workers, commensurate with their attributes and duties, will participate in achieving the set safety objectives by ensuring that:
 - all applicable laws, regulations and procedures are complied with and likewise the relevant University standards;
 - the plant, equipment, workplace, operating procedures and organisational aspects are devised in a way that safeguards the health of workers, third parties and the community in which the University operates;
 - the information on risks within the University is given to all workers;
 - the training of workers is done and updated with specific reference to their job descriptions;
 - needs that emerge during the course of work are addressed rapidly, effectively and carefully;
 - cooperation is fostered among the various LUISS resources and likewise with business organisations and the relevant external bodies;
 - all applicable laws, regulations and procedures are complied with and likewise University standards;
 - University activities are undertaken also with the objective of preventing occupational accidents, injuries and illness and of guaranteeing occupational health and safety, and workplaces, plant and equipment are designed, used and maintained (including cleaned) bearing the foregoing in mind.