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“MIHAI VITEAZUL” NATIONAL INTELLIGENCE  
ACADEMY

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**REGULATIONS  
ON THE FUNCTIONING OF  
“MIHAI VITEAZUL” NATIONAL INTELLIGENCE ACADEMY  
UNIVERSITY ETHICS COMMISSION**

Adopted at the University Senate meeting on November 8, 2024

- Bucharest, 2024 -

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## LEGAL BASIS

1. Romanian Constitution;
2. Law of higher education No. 199/2023, with subsequent amendments and completions;
3. Law No. 183/2024 on the Status of Research, Development, and Innovation Personnel;
4. Government Decision No. 305/2024 on approving the Framework Code of Academic Ethics and Deontology;
5. Law No. 8/1996 on Copyright and Related Rights, republished, with subsequent amendments and completions;
6. Order of the Ministry of Education No. 6869/2024 on approving the Framework Regulations on the Organization and functioning of university ethics commissions;
7. The University Charter of “Mihai Viteazul” National Intelligence Academy, approved by ANIMV Senate Decision No. 1 of October 4, 2024.

## **CHAPTER I ESTABLISHMENT, STRUCTURE, AND RESPONSABILITIES OF THE UNIVERSITY ETHICS COMMISSION**

**Art. 1 - (1)** Within “Mihai Viteazul” National Intelligence Academy, hereinafter referred to as ANIMV, functions the University Ethics Commission, which ensures compliance with the norms of professional ethics and deontology of the ANIMV academic community, in accordance with the principles set out in the Code of Academic Ethics and Deontology. The University Ethics Commission acts independently of any other structure or person within ANIMV.

**(2)** The term of office of the University Ethics Commission is four years.

**(3)** The members of the Commission are persons of professional prestige, who have not breached university ethics and deontology norms. The structure and composition of the University Ethics Commission are proposed by the Board of Trustees of ANIMV, endorsed by the ANIMV Senate, and approved by the Rector. The composition of the University Ethics Commission consists of a maximum of 75% teaching and research staff and a minimum of 25% students.

**(4)** To formulate the proposal regarding the composition of the Commission, the Board of Trustees publicly informs the academic community, and individuals interested in serving on this Commission may submit a written request to the Rector.

**(5)** The following persons may not serve on university ethics commissions:

**a)** those holding the position of rector, senate chairman, vice-rector, dean, vice-dean, general administrative director, deputy general administrative director, department director, or director of a research and development unit within ANIMV;

**b)** those who have violated the norms of professional ethics and deontology.

If a person validated by the University Ethics Commission is in this situation, they have 15 working days to resolve the incompatibility.

**(6)** Student representatives on the University Ethics Commission are elected by the students who are members of the ANIMV Senate.

**(7)** Members of the commissions who commit acts incompatible with their position are replaced in accordance with the procedure followed for their appointment.

**(8)** In the event that a member is removed or resigns from the Commission, another member is appointed within 15 working days in accordance with the provisions of paragraphs (4) and (5) of this article.

**(9)** By the decision provided for in paragraph (5) of this article, a secretary is also appointed for each commission, who is not a member of the Commission and keeps records of the Commission's documents, ensures communication between the Commission and the persons involved in the matters referred to the Commission, and drafts the minutes of the Commission's meetings. The Commission Secretary does not have the right to vote.

**(10)** Various persons may attend the meetings of the University Ethics Commission as guests, including the Legal Advisor of ANIMV.

**Art. 2** The duties and powers of the University Ethics Commission are:

- a) monitors compliance with the Code of Academic Ethics and Deontology within ANIMV;
- b) ensures the implementation of orders of the Minister of Education regarding compliance with the legal framework in the field of university ethics and deontology;
- c) receives, analyses, and resolves allegations of deviations from the norms of university ethics and deontology, based on complaints or on its own initiative;
- d) contributes to the development of the Code of Academic Ethics and Deontology by submitting proposals to the University Senate for adoption and inclusion in the University Charter;
- e) prepares an annual report on the state of compliance with the norms of university ethics and deontology, which is submitted to the Rector and the ANIMV Senate and constitutes a public document;
- f) carries out prevention activities regarding violations of university ethics and deontology norms;
- g) monitors the delivery of courses on academic ethics and integrity within university study programs;
- h) proposes for adoption to the ANIMV Senate the Regulations on the organization and functioning of ANIMV Ethics Commission;

- i) collaborates with the national advisory commissions referred to in Article 154(2) of the Law of higher education No. 199/2023, with subsequent amendments and completions;
- j) conducts checks, interviews, and investigations to gather information regarding the situations that are the subject of the complaints;
- k) other duties expressly assigned by law to the Commission or established in accordance with the University Charter.

**Art. 3** The norms of university ethics and deontology include:

- a) norms of ethics and deontology in university teaching and research activities;
- b) norms of ethics and deontology in scientific communication, publication, dissemination, and outreach;
- c) norms of ethics and deontology in the performance of management duties;
- d) norms of ethics and deontology regarding respect for human life and dignity;
- e) norms of ethics and deontology applicable to students, doctoral students, postdoctoral researchers, or other categories of trainees.

**Art. 4** In university teaching and research activities, the norms of ethics and deontology require teaching and research staff:

- a) to report real results or data from their own research and development activities;
- b) to report experimental data, data obtained through computer calculations or numerical simulations, or data or results obtained through analytical calculations or deductive reasoning, as the result of their own activity;
- c) to refrain from any activity that hinders, impedes, or sabotages the teaching or research activities of others, including by unjustifiably blocking access to spaces designated for university research, by damaging, destroying, or tampering with experimental apparatus, equipment, documents, computer programs, electronic data, organic or inorganic substances, or living matter necessary for other persons to carry out, perform, or complete teaching or research activities;
- d) to comply with the legal provisions regarding conflicts of interest and incompatibilities set out in Articles 20 and 21 of the Framework Code of Academic Ethics and Deontology, and disclose any conflicts of interest or incompatibilities in the evaluation activity;
- e) to respect confidentiality in evaluation;
- f) to refrain, during evaluations activities, from any discriminatory acts, based on the criteria set out in Article 2(1) of Government Ordinance No. 137/2000 on preventing and sanctioning of all forms of discrimination, republished, with subsequent amendments and competitions;

g) to be objective in conducting assessment procedures. In teaching activities, the assessment and grading of the academic performance and achievements of direct beneficiaries must comply with the higher education institution's grading policies and pre-established grading criteria;

h) not to plagiarize, with the obligation to cite all bibliographic sources used;

i) to comply with the legal provisions and procedures regarding academic ethics and deontology set out therein and in the codes of university ethics and deontology;

j) to enforce the sanctions, establish by university ethics commissions, the National Council for Attestation of University Titles, Diplomas, and Certificates (CNATDCU), or, where applicable, by the National Ethics Commission of University Management (CNEMU);

k) to comply with applicable legislation regarding research conducted on human subjects or through experiments involving animals, as well as any other matters pertaining to research ethics;

l) to acknowledge in the research results all persons who gave their consent and were involved in the development of the research or intellectual creation, as they are entitled to all rights arising therefrom.

**Art. 5** In the scientific communication, publication, dissemination, and outreach activities, the norms of ethics and deontology require all members of the academic community to:

a) obtain a person's consent for inclusion in the list of authors of a scientific publication;

b) publish or disseminate unpublished scientific results, hypotheses, theories, or methods with the consent of all authors;

c) provide accurate and truthful information in grant of funding or funding applications, as well as habilitation application files, and in applications for teaching or research positions;

d) accept and acknowledge in the research results as authors only those persons who effectively participated in its preparation, as well as acknowledge, after obtaining their consent, all individuals involved in the research development process.

**Art. 6** In the exercise of duties and powers related to management positions, the norms of ethics and deontology require personnel holding such positions to:

a) comply with the legal framework governing public accountability;

b) refrain from invoking their position to claim authorship or co-authorship of publications by subordinates;

- c) prohibit the use of authority to obtain salary, remuneration, or other material benefits from research and development projects led or coordinated by subordinates;
- d) prohibit the use of authority to obtain authorship or co-authorship of publications by subordinates, or to obtain salary, remuneration, or other material benefits for spouses, in-laws, or relatives up to and including the third degree;
- e) prohibit the obstruction of the activity of the University Ethics Commission or any analysis committee during the investigation of deviations from university ethics and deontology;
- f) comply with the legal provisions and procedures concerning university ethics and deontology set out in the present Regulations and in the university ethics and deontology codes;
- g) enforce the sanctions established by the university ethics commissions, by the CNATDCU, or, as the case may be, by the CNEMU.

**Art. 7** The norms of ethics and deontology concerning respect for human life and dignity require members of the academic community to:

- a) respect the right to education of the direct beneficiaries;
- b) respect the rights of all members of the academic community;
- c) refrain from verbal or physical aggression and humiliating treatment toward both the direct beneficiaries of education and other members of the academic community;
- d) prohibit the solicitation, acceptance, or collection of money, gifts, or the provision of certain services for the purpose of obtaining preferential treatment or other advantages;
- e) respect for the dignity of the direct beneficiaries of the right to education and for the prestige of the profession;
- f) recognize the profession, the responsibility and trust conferred by society, as well as the internal obligations arising from this trust;
- g) prohibit any form of exploitation, harassment of any kind, or discrimination on the grounds of political affiliation, race, religion, sex, sexual orientation, national origin, marital status, disability and/or medical condition, age, citizenship, or other arbitrary or personal grounds;
- h) respect, honesty, integrity, solidarity, cooperation, fairness and equity, tolerance, mutual support, confidentiality, fair competition, and collegial relationships.

**Art. 8** In their capacity as students, doctoral students, postdoctoral researchers, or trainees, the norms of ethics and deontology require them to:

- a) respect the copyrights of others in their works;

- b) prepare and defend original coursework and original theses;
- c) respect the general norms of ethics and deontology of the academic community.

**Art. 9** Incompatibility arises in the following situations:

- a) a person holds or concurrently exercises the management positions such as rector, vice-rector, dean, vice-dean, department director, or director of a research-development, design, or micro-production unit, director of a university branch/extension, or the position of senate chairman, and a leadership position set out in Article 131(2) of the Law of higher education No. 199/2023, with subsequent amendments and competitions;
- b) a person holds or exercises one of the leadership positions of rector, vice-rector, dean, vice-dean, or department director and is appointed or elected to the position of minister, secretary of state, mayor, deputy mayor, or president of the county council;
- c) an authorizing officer at a higher education institution concurrently holds or performs another position as an authorizing officer at a central or local public institution;
- d) a person concurrently holds the position of member of the Board of Trustees of a public higher education institution and the position of member of the Board of Trustees of partner or shareholder in a commercial company established by the public higher education institution under the conditions set out in Article 16(1) of Law of higher education No. 199/2023, with subsequent amendments and completions.

**Art. 10** The following situations constitute a conflict of interest:

- a) the simultaneous holding of positions by persons who are spouses, in-laws, or relatives up to and including the third degree, where one person is in a direct position of management, control, authority, or institutional evaluation over the other at any level within the same institution of higher education;
- b) serving as a member of doctoral commissions, evaluation commissions, or competition commissions, where the decision concerns spouses, relatives, or in-laws up to and including the third degree;
- c) the participation of a person, within the same commission established in accordance with the law, of persons who are spouses, relatives, or in-laws up to and including the third degree;
- d) the participation of a person, who is a member of commissions of the Ministry of Education, in the review of a matter related to the institution of which they are a member of the academic community.

**Art. 11 - (1)** Persons in a situation of incompatibility have 15 working days to resolve the situation of incompatibility, including through suspension from one of the positions.

**(2)** In the event of a conflict of interest, the faculty or research staff member is required to cease any activity set out in Article 10(a)–(c) of the present Regulations and to immediately inform the immediate supervisor to whom they report. The latter is required to take the necessary measures to ensure the impartial performance of the specific activities within no more than 3 working days from the date of becoming aware of the situation.

**(3)** In the cases set out in paragraph (2) of this article, upon the recommendation of the immediate supervisor to whom the teaching or research staff member in question reports, another person with the same qualifications and level of experience shall be appointed.

**(4)** In the event of a conflict of interest as set out in Article 10(d), the person concerned is required to abstain from participating in the commission's decision-making regarding the matter subject to which the conflict of interest relates. In such cases, the abstention is not considered in determining the outcome of the vote.

**Art. 12** Persons who have been or are members of the academic community and have engaged in deviations from the norms after the effective date of this normative act shall be held liable under civil, administratively, professionally, or disciplinarily, as applicable.

**Art. 13** The deviations from the norms of ethics and deontology in university teaching and research activities, set out in Article 4, are as follows:

a) fabricating results or data and presenting them as experimental data, as data obtained through computer calculations or numerical simulations, as well as data or results obtained through analytical calculations or deductive reasoning;

b) falsifying experimental data, data obtained through calculations or numerical computer simulations, as well as data or results obtained through analytical calculations or deductive reasoning;

c) deliberately hindering, obstructing, or sabotaging the teaching or research activities of others, including by unjustifiably blocking access to spaces designated for university research, by damaging, destroying, or tampering with experimental apparatus, equipment, documents, computer programs, electronic data, organic or inorganic substances, or living matter necessary for other persons to carry out, conduct, or complete teaching or research activities;

d) violating the legal provisions on conflicts of interest and incompatibilities set out in Articles 9 and 10, and failing to disclose situations of conflict of interest or incompatibility in the evaluation process;

e) breach of confidentiality during the evaluation;

- f) discrimination, in the context of evaluations, based on the criteria set out in Article 2(1) of Government Ordinance No. 137/2000, as amended and supplemented;
- g) cheating on an assessment;
- h) plagiarism;
- i) failure to comply with the legal provisions and procedures regarding university ethics and deontology, as set out in this normative act and in the codes of academic ethics and deontology, which are part of the University Charter, as applicable, including failure to enforce sanctions established by University Ethics Commissions, the CNATDCU, or, as applicable, the CNEMU;
- j) compromising the integrity of the evaluation process by failing to comply with the evaluation methods set out in the course syllabus, as well as by a faculty member examining a person who is their spouse or a relative up to the third degree, without prior notification of the faculty administration in order to identify possible solutions that would guarantee the integrity of the evaluation.

**Art. 14** The deviations from the norms of ethics and deontology in scientific communication, publication, dissemination, and outreach, as set forth in Article 5, are as follows:

- a) the inclusion of a person in the list of authors of a scientific publication without that person's consent;
- b) the unauthorized publication or dissemination by authors of unpublished scientific results, hypotheses, theories, or methods;
- c) the inclusion of false information in grant or funding applications, in application files for habilitation, teaching or research positions;
- d) failure to cite all sources used;
- e) the omission of persons involved in the research or creative work, thereby preventing them from benefiting from all rights arising therefrom;
- f) failure to mention the funding sources of research projects in the case of all results arising from those projects.

**Art. 15** Deviations from the norms of ethics and deontology in the performance of powers and duties related to management positions set out in Article 6 include:

- a) violation of the legal provisions governing public accountability;
- b) abuse of office to obtain the status of author or co-author of publications by subordinates;
- c) abuse of authority to obtain salary, remuneration, or other material benefits from research and development projects led or coordinated by subordinates;

- d) abuse of authority to obtain the status of author or co-author of publications by subordinates or to obtain salary, remuneration, or other material benefits for spouses, in-laws, or relatives up to and including the third degree;
- e) obstructing the activity of an ANIMV University Ethics Commission or an ANIMV committee for analysis during an investigation into deviations from the university ethics and deontology;
- f) failure to comply with the legal provisions and procedures regarding university ethics and deontology provided for by law and in the codes of university ethics and deontology, which are part of the University Charter, as applicable, including failure to enforce the sanctions established by the ANIMV University Ethics Commission, the CNATDCU, or, as applicable, the CNEMU.

**Art. 16** Deviations from the ethics and deontology norms regarding respect for human life and dignity, as set out in Article 7, are as follows:

- a) deviations that undermine the rights protection of direct beneficiaries of the right to education;
- b) deviations that undermine the dignity of the direct beneficiaries of the right to education and the prestige of the profession;
- c) deviations that undermine the recognition of the profession, the responsibility, and trust conferred by society, as well as the internal obligations arising from this trust.

**Art. 17** Deviations from the ethics and deontology norms applicable to students, doctoral students, postdoctoral researchers, or other categories of learners include the following:

- a) deviations from the ethics and deontology norms applicable to students, doctoral students, postdoctoral researchers, or other categories of learners set out in Article 8;
- b) affecting the integrity of the evaluation process through the use by the persons being evaluated of materials used in the evaluation process that were not prepared by them, or the use of the same materials by them for different evaluations, as well as through the failure to disclose a family relationship up to and including the third degree with the evaluating faculty member.

**Art. 18 - (1)** The types of sanctions applicable to teaching, teaching support, and research staff—including those in management positions—for violations of norms of ethics and deontology are:

- a) a written warning;
- b) withdrawal and/or correction of all works published in violation of university ethics and professional conduct standards;
- c) removal from the management position;

- d) a ban, for a specified period, on access to competitive public funding;
- e) suspension, for a fixed period of between one and five years, of the right to apply for competitions for higher-level or managerial positions, as well as of the right to serve as a member of selection commissions;
- f) dismissal from teaching or research positions.

**(2)** The types of sanctions for violating university ethics and deontology norms, applicable to students, doctoral students, postdoctoral researchers, or other categories of trainees, are:

- a) a written warning;
- b) invalidation of assessment results;
- c) expulsion;
- d) other sanctions set out in the Code of Academic Ethics and Deontology of the higher education institution.

**Art. 19** For failure to comply with the norms of academic ethics and professional conduct, the Ministry of Education may take measures in accordance with the Law of higher education No. 199/2023, with subsequent amendments and completions.

**Art. 20** Organization of the University Ethics Commission

**(1)** The Commission meets as often as necessary, and if a notification is submitted, it will convene within no more than 5 business days of its registration.

**(2)** The Commission may initiate proceedings on its own initiative. Own initiative may occur when one of its members brings to the Commission's attention, either verbally or in writing, a situation that constitutes a deviation from university ethics. The Commission may initiate proceedings on its own initiative regarding deviations from academic and research ethics and integrity committed by tenured members of ANIMV, with permanent employment contracts, ANIMV, and by students enrolled in undergraduate, master's, and doctoral degree programs, as well as in postgraduate and postdoctoral programs, with study contracts.

**(3)** A quorum is established when at least two-thirds of the commission members are present, including at least one student representative.

**(4)** At the first meeting of the Commission following its establishment, the members shall elect a chairman by vote. The term of office for the Chairman of the ANIMV University Ethics Commission is two years, with the possibility of extension for an additional two years. The Chairman represents the Commission in its dealings with the ANIMV management, the ANIMV Senate, and other institutions.

**(5)** If the Chairman of the Commission is temporarily unable to exercise their duties, these will be assumed by a member of the Commission, designated by a vote of its members.

**(6)** Commission meetings may be recorded if all participants consent. Meetings may take place with all members present in person, online, or in a hybrid format.

**(7)** Membership is forfeited as a result of unexcused absence from three commission's meetings during an academic year or as a result of revocation. Revocation may occur following a final determination of a violation of the norms of university ethics and deontology. The Chairman of the Ethics Commission proposes the revocation, which is approved by the Commission through a vote of the members, excluding the member in question. If the Chairman of the Commission is the member in question, any member may request the revocation. The revocation is communicated to the Board of Trustees, the Senate, and the Rector of ANIMV.

In this case, the Chairman of the Commission shall request the management of ANIMV's educational and research units to appoint another member in accordance with the procedure set out in Article 1, paragraphs (4) and (5) of the preset Regulations, within a maximum of 15 working days from the date of the request. Their term of office shall be aligned with that of the other members of the commission and shall continue until the appointment of a new commission.

**Art. 21** The ANIMV University Ethics Commission reviews notifications regarding acts that may constitute deviations from university ethics and deontology. Any person may notify the ANIMV University Ethics Commission regarding an act that may constitute a deviation from the university ethics and deontology. The complaint is submitted in writing or online and is registered with the ANIMV Registry, regardless of whether it is admissible or inadmissible. The registration number of the complaint is communicated to the complainant at the contact address provided.

**Art. 22 - (1)** To be admissible, the complaints set out in Article 21 must cumulatively contain the following:

- a) the signature of the person filing the complaint;
- b) the identification details of the person filing the complaint: the full name of the natural person or the name of the legal entity, their address, and, where applicable, a mailing address, which may also be an email address;
- c) a substantiated explanation regarding the allegations of failure to comply with norms of professional ethics and deontology, including specific examples and outlining the supporting arguments and sources of documentation.

**(2)** Complaints that do not meet the admissibility criteria set out in paragraph (1) of this article shall be rejected as inadmissible by the ANIMV University Ethics Commission. The rejection shall be communicated within 5 business days to the address indicated in the complaint. A person who has not filed an admissible complaint has the right to resubmit the complaint in accordance with the provisions of Article 22(1).

**(3)** Anonymous notifications and complaints are not taken in consideration.

**(4)** The identity of the complainant shall be kept confidential. At the ANIMV Registry, in the incoming register, under the heading "depositor/complainant", "anonymous" shall be

entered. The complaint is forwarded by the Registry to the Commission's Secretariat. Incorrectly filed complaints are redirected to the Registry within a maximum of two business days.

**(5)** Failure to comply with the provisions regarding the confidentiality of the complainant's identity constitutes a disciplinary offense.

**(6)** The ANIMV University Ethics Commission investigates alleged deviations from the university ethics and deontology norms and issues a decision within 45 calendar days following receipt of the complaint, in the form of a reasoned decision based on a report, which is communicated to the person under investigation and to the person who filed the complaint. The decisions of the Ethics Commission are published on the ANIMV website.

**Art. 23 - (1)** During the investigation procedure, the members of the Commission determine the procedure to be followed. The person under investigation is summoned in writing by the Chairman of the Commission, specifying the subject, place, date, and time of the meeting.

**(2)** Failure of the person under investigation to appear at the scheduled meeting, without an objective reason communicated in writing, entitles the Commission to continue its review in order to resolve the complaint.

**(3)** If the person against whom the complaint was filed acknowledges the facts alleged in the complaint, the Commission may render a decision based on the complaint and the written statement of the respondent.

**(4)** The Commission may additionally summon any other person deemed to have relevant information for the purpose of investigating the case. Attendance at hearings is mandatory, and failure to appear without a valid reason may be considered a disciplinary offense for staff of the institution of higher education.

**(5)** The members of the Commission are required to analyze the reported facts objectively and impartially. Any member has the right to ask questions of the persons being heard.

**(6)** If the complainant or the respondent requests that a member of the Commission be excluded from hearing and reviewing the complaint, due to a conflict of interest, that member shall be permitted or required to recuse themselves from the investigation of the notification/complaint, depending on the merits of the request. The Commission will decide by vote, without the member in question, on the request for the member's exclusion. If the request is admitted, the member will not participate in the review of the case or in the vote. In the event of incompatibility or a conflict of interest, any member of the Ethics Commission may request to recuse themselves.

**(7)** It is prohibited to express, either on or off campus, any opinion regarding the guilt of the person under investigation prior to the final decision establishing the existence of the deviation.

**(8)** Allegations of plagiarism are reviewed in accordance with the legal provisions in force at the time the doctoral dissertation was written, which served as the basis for the issuance and conferral of the doctoral degree and the doctoral diploma.

**Art. 24 - (1)** The person against whom the complaint is filed has the right to know the full contents of the case file. The contents of the case file are made known to the respondent by the Secretary of the Commission, upon signature.

**(2)** For their defense, the respondent has the right to request in writing or to submit additional documents and information, as well as to propose witnesses, prior to the hearing or during the hearing to which they have been summoned.

**(3)** The Commission, by vote, may accept or reject the complaint.

**(4)** The review procedure concludes with the adoption of a decision on admission or dismissal the case, which addresses the merits of the complaint and is supported by factual and legal grounds.

**(5)** Persons interviewed during the investigation, who are to give oral testimony before the Commission—which will be transcribed by the Commission Secretary and signed by them on each page (either in hard copy or electronically)—will be notified in a timely manner of the date and location of the hearing, and their attendance is mandatory.

**(6)** Witnesses answer the Commission's questions, and after the hearing, they leave the room and are not be permitted to intervene in any way during the hearing.

**Art 25 - (1)** If, following the hearing of the respondent/complainant/witnesses, it becomes necessary to supplement the case file with new evidence, the Commission may postpone the review of the allegations to another hearing, taking steps to supplement the case file.

**(2)** The members of the Commission shall retire for deliberation and to adopt a decision once the Chairman declares the proceedings closed.

**(3)** In reaching its decision, the Commission considers the documents in the case file, the nature and severity of the offense, the circumstances under which the act was committed, and the prior conduct of the person in question.

**(4)** Each member of the Commission shall propose one of the sanctions provided for by applicable law. Sanctions shall be proposed only in direct proportion to the severity of the offense committed and the damage caused.

**(5)** The Commission's minutes are signed by all members present. Signatures may be provided both physically and electronically.

**(6)** The Commission's decision, signed by the Chairman, constitutes an administrative act and must explicitly state in its text the facts that led to the sanctioning of the person concerned, the legal basis, and the reasons why the University Ethics Commission rejected the arguments put forward by the author of the complainant. The decision must be drafted on the date it is issued.

**(7)** Based on the decisions of the University Ethics Commissions, higher education institutions impose sanctions on teaching, teaching support, and research staff, including those in management positions, in accordance with Article 18.

**(8)** Sanctions are enforced by decision of the Rector.

**Art. 26** The decisions of the University Ethics Commission are reviewed by the legal advisor of the higher education institution. Legal responsibility for the decisions and activities of the University Ethics Commission rests with the higher education institution.

**Art. 27** The decisions of the ANIMV University Ethics Commission are published on the ANIMV website, in compliance with personal data protection laws, by anonymizing, where applicable:

a) the person who filed the complaint;

b) the person against whom the complaint was filed, if that person submits an explicit request for anonymization;

**Art. 28** Appeals against decisions on admission or dismissal may be filed within 30 calendar days of their notification and, depending on the subject matter, may be submitted to:

a) the National Ethics Commission for University Management;

b) the National Council for Attestation of University Titles Diplomas, and Certificates;

c) the National Council for Ethics of Scientific Research, Technological Development and Innovation.

**Art. 29 - (1)** If the decision of the University Ethics Commission is not appealed within the time limit set out in Article 11, it becomes binding on the person under investigation and on ANIMV.

**(2)** Within 30 calendar days of the decision of the University Ethics Commission becoming final and binding, it shall be implemented by ANIMV. The parties involved shall be notified of this.

**(3)** If the Commission finds that plagiarism has occurred in a doctoral dissertation, the provisions of Article 172, paragraphs (8) through (11) of the Law of higher education No. 199/2023, with subsequent amendments and completions, shall apply, as appropriate.

**Art. 30** The ANIMV University Ethics Commission guarantees the right of every person to receive impartial, fair, and objective treatment.

## **CHAPTER II ESTABLISHMENT, STRUCTURE, AND RESPONSIBILITIES OF THE RESEARCH ETHICS SUBCOMMITTEE**

**Art. 31 - (1)** A subcommittee dedicated to research ethics operates within the University Ethics Commission. It aims to implement ethics policies in research, in accordance with the regulations on scientific research ethics.

**(2)** The activity of this subcommittee focuses on the following issues:

- a) publication and authorship;
- b) respect for the dignity of research participants;
- c) research data management;
- d) collaboration;
- e) conflicts of interest;
- f) fraud;
- g) ensuring effective research environments;
- h) prevention of harm in research and innovation.

**Art. 32 - (1)** Any member of the ANIMV academic community—including students enrolled in any level of study, faculty members, research staff, and instructors—may submit a request for an ethical review of a research project.

**(2)** The Application (Appendix 1) is addressed to the Chairman of the Ethics Commission and must be accompanied by a dossier consisting of: The Research Presentation (Appendix 2); The Research Self-Assessment Form (Appendix 3); The Research Presentation Form Addressed to Research Participants (Appendix 4); The Informed Consent Form (Appendix 5).

**(3)** The Application and supporting documents are submitted to the ANIMV Secretariat for registration, addressed to the Secretary of the University Ethics Commission.

**Art. 33 - (1)** The Secretary notifies the Chairman of the University Ethics Commission, who convenes the Commission within 5 business of the case file being registered. The University Ethics Commission reviews the admissibility of the application and, if it determines that the matter falls within the jurisdiction of the Research Ethics Subcommittee, forwards it to the subcommittee for review.

**(2)** The membership of the Research Ethics Subcommittee is determined at the first meeting of the University Ethics Commission following its appointment. The Chairman of the University Ethics Commission proposes, based on opinions the expressed by members of the Ethics Commission, the members of the Research Ethics Subcommittee, who are faculty members and researchers. These are voted on by the other members of the Ethics Commission, faculty members, and researchers. The student representative on the Research Ethics Subcommittee is elected by the student representatives on the Ethics Commission. This person is, as a rule, enrolled in a master's or doctoral program.

**(3)** The Research Ethics Subcommittee may not include individuals who are involved in the research proposal to be evaluated or who are in a situation of incompatibility or conflict of interest, as set out in the Code of Academic Ethics and Deontology. The appointed members of the Research Ethics Subcommittee shall sign an Affidavit stating that they are not in a situation of incompatibility and/or conflict of interest regarding the review of the respective research proposal (Annex 6).

**(4)** The Research Ethics Subcommittee on has 5 working days to review the application and draft a recommendation, which will be submitted to the ethics committee. Recommendations may be:

- a) validation of the research from an ethical standpoint without changes or with minor changes;
- b) forwarding findings to the researcher in question if major modifications are required.

The subcommittee on research ethics may invite the researcher to present their research proposal at a meeting.

**(5)** In the case of point (a), the University Ethics Commission issues a decision validating the research from an ethical standpoint. The recorded decision is forwarded to the researcher through the Secretary of the University Ethics Commission.

**(6)** In In the case of point (b), the Secretary of the Ethics Commission shall inform the researcher of the necessary changes, as set forth in the minutes of the Research Ethics Subcommittee. The researcher has 5 business days to make the changes and resubmit the new documents to the Commission through the Secretary. The Secretary forwards the new documents to the Ethics Subcommittee, which has 3 business days to review the changes and issue a recommendation. Recommendations may be:

- a) approval of the research from an ethical standpoint without changes or with minor changes;
- b) the submission of findings to the researcher in question if major changes are required.

**(7)** The Research Ethics Subcommittee forwards the proposal to the Ethics Commission.

**(8)** The process is repeated as many times as necessary to ensure the research is ethically sound.

**APPLICATION**

**for the evaluation of the research proposal [Title] from the perspective of research ethics**

I, the undersigned \_\_\_\_\_ a student enrolled in the undergraduate university studies/master's/doctoral program/faculty member at ANIMV/researcher at ANIMV/ instructor at ANIM, request the review of the research proposal with the title \_\_\_\_\_ by the Research Ethics Subcommittee of the ANIMV University Ethics Commission and Deontology.

I declare on my own responsibility that:

- I have read the ANIMV Code of Academic Ethics and Deontology;
- I have read the ANIMV Regulations on the functioning of ANIMV University Ethics Commission;
- The information I have included in the appendices fully reflects the content of the research proposal, and all information provided therein is accurate.

I hereby consent to the processing of the information and data contained in this file by the ANIMV University Ethics Commission, in accordance with Law No. 190 of July 18, 2018, on measures for the implementation of the Regulations (EU) 2016/679 of the European Parliament and of the Council of April 27, 2016, on the protection of natural persons with regard to the processing of personal data and on the free movement of such data, and repealing Directive 95/46/EC, also known as the GDPR (General Data Protection Regulation).

Date

Signature

## Research Presentation

First and last name of the applicant(s):

Email address of the contact person:

Applicant's status (student enrolled in a degree program, faculty member, researcher, instructor):

Department (within the faculties, doctoral school, research units):

*For students only:*

First and last name of the coordinator:

Coordinator's email address:

*For research conducted as part of projects funded by sources external to SRI:*

Project title:

Project ID:

Title of the research proposal:

Description of the research proposal:

- Purpose and objectives
- Research questions/hypotheses
- Research Method

*Applicants should answer the following questions:*

Will the research proposal involve collecting data from human participants?

Yes/No/Not sure

If the answer is "yes", please answer the following questions:

What socio-demographic characteristics are you considering?

How large do you plan for the target group to be?

How will the target group be recruited?

What will participants be required to do?

Will they be offered rewards/incentives/benefits? If so, what will these consist of?

How will participants benefit from your research?

Will participants' identities be recorded in any documents (e.g., consent forms, recordings, transcripts, etc.)?

If so, how will you ensure the anonymization of participants' data?

If so, how will you manage and store participants' data?

### Research Self-Assessment Form

If the research proposal involves human participants, the applicant will answer the following questions regarding data collection:

	Yes	No	I'm not sure
<p>1. Is there a risk of causing harm to participants—physically, psychologically, legally, economically, socially, etc.?</p> <p><i>If your answer is “yes” or “I’m not sure,” please explain the following:</i></p> <ul style="list-style-type: none"> <li><i>The conditions under which the research is conducted that could cause harm to participants and in what way (physical, psychological, legal, economic, social, etc.);</i></li> <li><i>The reasons why these risks cannot be avoided;</i></li> <li><i>The safety measures you intend to implement to minimize these risks.</i></li> </ul>			
<p>2. Does your research involve participants from vulnerable or at-risk groups (e.g., children, older adults, people with dementia or other neurodegenerative diseases, members of discriminated groups, people with disabilities, people with mental illnesses, people who are unable to give informed consent, or educationally or economically disadvantaged minorities)?</p> <p><i>If your answer is “yes” or “I’m not sure,” please explain the following:</i></p> <ul style="list-style-type: none"> <li><i>The type of vulnerability;</i></li> <li><i>The safety measures you intend to implement to protect vulnerable groups (e.g., avoiding stigmatization, providing additional information in various formats to ensure informed consent, offering points of contact with specialized support for managing stress related to the situation, protecting privacy, providing compensation.)</i></li> <li><i>If participants are unable to give their direct consent, explain how and by whom consent will be provided.</i></li> </ul>			
<p>3. Could your research lead to the identification of participants even if they have not given their direct consent to this effect?</p> <p><i>If your answer is “yes” or “I’m not sure,” please explain the following:</i></p> <ul style="list-style-type: none"> <li><i>How participants’ identifying information will be anonymized (e.g., pseudonyms, codes, etc.);</i></li> </ul>			

<ul style="list-style-type: none"> <li>• <i>How participants' identifying information will be stored (online or offline);</i></li> <li>• <i>The individuals who will have access to participants' identifying information;</i></li> <li>• <i>The period for which participants' personal data will be stored;</i></li> <li>• <i>The method by which archives containing participants' personal data will be destroyed (e.g., deletion of data in the case of digital storage or physical destruction of documents containing such data);</i></li> <li>• <i>The persons who may request access to participants' personal data (exclusively the researcher and their team).</i></li> </ul>			
<p>4. Does your research involve the collection of Special Categories of Personal Data (race, ethnicity, political and/or religious and/or philosophical beliefs, membership in trade unions and/or political parties and/or activist organizations, health status, sexual orientation, genetic information, biometric identification data)<sup>1</sup>?</p> <p><i>If your answer is "yes" or "I'm not sure," please explain the following:</i></p> <ul style="list-style-type: none"> <li>• <i>The reason for collecting this data in relation to the research being conducted;</i></li> <li>• <i>How participants' data will be anonymized (e.g., pseudonyms, codes, etc.);</i></li> <li>• <i>How participants' data will be stored (online or offline);</i></li> <li>• <i>The individuals who will have access to participants' data;</i></li> <li>• <i>The duration for which participants' data will be stored;</i></li> <li>• <i>How the archives containing participants' data will be destroyed (e.g., deleting data, if digitally stored, or physically destroying documents containing such data);</i></li> <li>• <i>The individuals who may request access to participants' data (exclusively the researcher and their team).</i></li> </ul>			
<p>5. Does your research involve omitting information about the nature of the research from the consent form that participants will sign?</p> <p><i>If your answer is "yes" or "I'm not sure," please explain the following:</i></p> <ul style="list-style-type: none"> <li>• <i>The nature of the omitted information;</i></li> <li>• <i>The reason why that information is omitted; and the necessity of omitting the information for the optimal conduct of the research;</i></li> </ul>			

<sup>1</sup> In accordance with the GDPR.

<ul style="list-style-type: none"> <li><i>The extent to which the information initially omitted will be disclosed to participants at a later date following the completion of the research.</i></li> </ul>			
<p>6. In your research, will you allow participants to withdraw at any time? If your answer is “yes” or “I’m not sure,” please explain the following:</p> <ul style="list-style-type: none"> <li><i>The reason why it is absolutely necessary for all enrolled participants to complete the study.</i></li> <li><i>How you will use the data already collected from participants who withdrew.</i></li> </ul>			
<p>7. In your research, do you intend to provide false or misleading information to participants? If your answer is “yes” or “I’m not sure,” please explain the following:</p> <ul style="list-style-type: none"> <li><i>The nature of the false/misleading data</i></li> <li><i>The reason why it is absolutely necessary to provide false/misleading data;</i></li> <li><i>The extent to which false or misleading information may affect participants physically, psychologically, legally, economically, socially, etc.;</i></li> <li><i>The information you will provide to participants regarding the false/misleading information provided and the stage of the research at which you will provide this information.</i></li> </ul>			

The applicant must answer the following questions regardless of the nature of the proposed research:

	Yes	No	I’m not sure
<p>8. Are other national or international institutions involved in your research? If your answer is “yes” or “I’m not sure,” please explain the following:</p> <ul style="list-style-type: none"> <li><i>Which other institutions are involved?</i></li> <li><i>Will each participating institution conduct an ethical review of the research proposal? If not, will this review be used to validate the entire research project?</i></li> </ul>			
<p>9. Does your research involve risks to the researchers involved, beyond those inherent in their usual activities? If your answer is “yes” or “I’m not sure,” please explain the following:</p> <ul style="list-style-type: none"> <li><i>The nature of the risk;</i></li> </ul>			

<ul style="list-style-type: none"> <li><i>The reasons why it cannot be avoided;</i></li> <li><i>The risk mitigation measures you intend to take.</i></li> </ul>			
<p>10. Does your research pose any risks to the environment? <i>If your answer is “yes” or “I’m not sure,” please explain the following:</i></p> <ul style="list-style-type: none"> <li><i>The nature of the risk;</i></li> <li><i>The reasons why it cannot be avoided; the risk mitigation measures you intend to take.</i></li> </ul>			
<p>11. Does your research involve the use of commercial data that could be sensitive? <i>If your answer is “yes” or “I’m not sure,” please explain the following:</i></p> <ul style="list-style-type: none"> <li><i>The types of commercial data you will use;</i></li> <li><i>The reasons why the use of commercial data is necessary;</i></li> <li><i>How you intend to protect the commercial data.</i></li> </ul>			
<p>12. Does your research involve collecting data from social media? <i>If your answer is “yes” or “I’m not sure,” please explain the following:</i></p> <ul style="list-style-type: none"> <li><i>The reason for collecting this data in relation to the research being conducted;</i></li> <li><i>How the identifying data associated with the social media pages from which data is collected will be anonymized (e.g., pseudonyms, codes, etc.);</i></li> <li><i>How the collected data will be stored (online or offline);</i></li> <li><i>The individuals who will have access to the collected data;</i></li> <li><i>The duration for which the collected data will be stored;</i></li> <li><i>How the archives containing participants’ data will be destroyed (e.g., deleting data, if digitally stored, or physically destroying documents containing such data);</i></li> <li><i>Individuals requesting access to the collected data (limited to the researcher and their team).</i></li> </ul>			

Do you need a formal decision from the ANIMV University Ethics and Professional Conduct Committee stating that the research proposal complies with research ethics?

YES	NO
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**Research Presentation Form Addressed to Research Participants  
[Research Title]**

**Number of the Decision of the University Ethics and Deontology  
Commission approving the research [ ]**

**1. Introductory paragraph**

*Explain to the potential participant the request to participate in an empirical research study.*

*Example:*

*You are invited to participate in an empirical study. Before deciding whether you wish to participate, it is important to understand what the study will involve and what it entails. Please read the information below carefully. You may ask the researcher any questions if anything is unclear or if you would like additional information.*

**2. Why is this research being conducted?**

*Briefly describe the purpose, usefulness, relevance, and objectives of this research. Use language that is accessible to potential participants. Include information that may be relevant to potential participants.*

**3. Why was I invited to take part in this research?**

*Explain how potential participants were identified and list the inclusion and exclusion criteria for the target group. Indicate the approximate total number of research participants.*

**4. Is participation mandatory?**

*It is important for participants to understand that they have the option to choose whether or not to participate. It must be stated that participants have the right to withdraw from the study at any time; if they cannot withdraw, you must explain why they do not have this option.*

*The deadlines for enrollment and withdrawal must be clearly stated, and if they withdraw after the study begins, what will happen to the data collected up to that point.*

**5. What will happen if I participate in the research?**

*In this section, you should explain what participation entails for those who agree to take part. You should include:*

- Where will the research take place?*
- How will they give their consent?*
- How long will the research take?*

- *What activities will participants be asked to perform as part of the research (including what topics will be covered during the activities)?*
- *To what extent will the activities be recorded via video, audio, or photos?*
- *Will the research activities be repeated, and if so, how often?*
- *Whether participants can take breaks during the activities*
- *Whether additional sessions (e.g., feedback) will be necessary after the research is completed*

**6. What potential disadvantages and/or risks might arise from participating in the research?**

*Potential disadvantages and risks must be clearly explained, and the measures that will be taken to mitigate them must be presented.*

**7. What benefits might I gain from the research?**

*If any exist, they must be clearly presented.*

*If there are none, this must be explicitly stated.*

**8. (optional, if applicable) Will I receive financial or other compensation?**

*Financial or other forms of compensation must be explicitly disclosed.*

**9. What information will be collected, and why is that information relevant to achieving the stated research objectives?**

*All categories of data to be collected must be disclosed, including special categories of personal data (race, ethnicity, political and/or religious and/or philosophical beliefs, membership in trade unions and/or political parties and/or activist organizations, health status, sexual orientation, genetic information, biometric identification data).*

*The following must be specified:*

- *How participants' data will be anonymized (e.g., pseudonyms, codes, etc.);*
- *Where will participants' data be stored (online or offline)?*
- *Who will have access to participants' data?*
- *How long will participants' data be stored?*
- *How the archives containing participants' data will be destroyed (e.g., deleting data in the case of digital storage or physically destroying documents containing such data);*
- *Who can request access to participants' data (exclusively the researcher and their team)?*

**10. Will the research be published? Can I be identified from the published research materials?**

*It must be specified whether and in what form the research results will be published (if applicable) and to what extent the identity of the participants can be inferred from the published materials.*

**11. What is the source of funding for the research (if applicable)?**

*Information regarding the funding source is provided for research projects funded by sources external SRI.*

**12. Who can I contact if I encounter problems during the research or wish to file a complaint?**

*If you encounter any issues during your research or wish to file a complaint, you may contact \_\_\_\_\_ [the student coordinator; the research project director; the Academy's Secretariat, for the attention of the University Ethics and Deontology Commission].*

**Additional information and contact details:**

*Include the contact information of the person conducting the research. For students conducting research, include the contact information of the coordinator. For research conducted as part of a project, also include the contact information of the project manager or the ANIMV project coordinator.*

## The Informed Consent Form

*The purpose of the consent form is both to ensure that a participant has understood the key aspects of participating in the research and to provide a record of their consent. The form must be written in language that is easy to understand. The participant must be given a copy of the completed form, and the researcher must retain the signed original.*

*The following template can be adapted to suit the research proposal, for example by adding or removing sections. It may be clearer to use separate sections to request consent for data that may carry different risks of disclosure, for example, special categories of personal data (race, ethnicity, political and/or religious and/or philosophical beliefs, membership in trade unions and/or political parties and/or activist organizations, health status, sexual orientation, genetic information, biometric identification data), anonymized interview transcripts, audio recordings, videos, photographs, direct quotes, data archiving, and data reuse. Participants should be clearly informed which statements are optional. Don't forget to delete the placeholder text and update the footer details to be specific to your research.*

### Consent to Participate in [Study Title]

Number of the decision by the University Ethics and Deontology  
Commission approving the research [\_\_\_\_]

***Purpose of the study: Enter a sentence to summarize the study***

	Please check each box if you agree with the statement
I confirm that I have read and understood the information in <u><i>The Research Presentation Form addressed to Participants in the [research title] Study</i></u> . I had the opportunity to review the information, ask questions, and received satisfactory answers.	
I understand that my participation is voluntary and that I am free to withdraw at any time [until dd/mm/yyyy] without giving any reason.	

[If applicable] I understand the possible risks/disadvantages of participating in the research.	
[If applicable] I understand the potential benefits of participating in this research.	
I understand who will have access to the personal data provided, how the data will be stored, and what will happen to the data at the end of the research.	
I understand [that I will not be/to what extent I might be] identifiable in any publication or [list other research outputs here, e.g., reports for specific organizations, presentations, videos, websites].	
[If applicable] [Optional:] I agree to be recorded [audio/video].	
[If applicable] [Optional:] I agree to have my photograph taken.	
[If applicable] I understand how [audio/video recordings/photographs] will be used in the research findings.	
[If applicable] Use of quotes: Please indicate your preference (select one option): a) I do not wish to be quoted, or b) I agree to the use of quotes in the research findings as long as I am not identifiable, or c) [If applicable] I agree to the use of direct quotes, attributed to my name, in the research findings.	
[If applicable] I give you permission to contact me again to clarify the information.	
I understand how to raise an issue or file a complaint.	
I agree to participate	

[If applicable] Optional: I agree that my personal contact information may be stored in a secure database so that researchers can contact me regarding future studies.

YES/NO

\_\_\_\_\_ dd / mm / yyyy  
\_\_\_\_\_

Participant's name

Date

Signature

\_\_\_\_\_ dd / mm / yyyy  
\_\_\_\_\_

Name of the person receiving the consent

Date

Signature

**Affidavit**

I, the undersigned \_\_\_\_\_, as a member of the ANIMV University Ethics and Deontology Commission, and as a designated member of the Research Ethics Subcommittee appointed to review the Application titled \_\_\_\_\_, registered under number \_\_\_\_\_ being aware of the provisions of Art. 292 of the Criminal Code regarding false statements and of the provisions of Art. 201, para. (4) of the Law of higher education No. 199/2023, with subsequent amendments and completions, I declare that I am not in any situation of incompatibility for participation in the review process, in accordance with legal provisions.

Date

Signature