



# CODE OF ETHICS

## INSTITUTO DE ASTROFÍSICA DE CANARIAS CONSORTIUM

*Approved by the IAC Directorate at its meeting CD 40/21 of 10 November 2021*

This code represents a step further in the IAC's commitment to the ethical conduct and integrity that must govern the management and day-to-day running of the Instituto de Astrofísica de Canarias Consortium and all who form part of it.

It takes into account the main guidelines and principles of transparency, social responsibility, and good governance in establishing a working framework to guide the daily tasks of IAC personnel in their interaction with collaborators, users of installations and services, clients, suppliers, other administrations, and society in general.

The Code cannot be expected to cover all situations but is limited to setting down the standards of behaviour to be expected of all who form part of the IAC in the field of its professional activity. The Code likewise responds to our legally binding obligations *vis-à-vis* the responsibilities of juridical persons under criminal law.

On our behaviour as public employees and, above all, as ethical and responsible professionals depends the continuation of the IAC's status as a leading research centre. IAC members of staff have a number of responsibilities and obligations with regard to other administrations, the environment, society, and citizens in terms of the service they provide, for which reason they must constantly keep in mind the fulfilment of the provisions set out in this Code.

The primary objectives of the IAC and all its staff must be to ensure the proper performance of their daily duties and to maintain the high reputation of the IAC. To achieve these aims all personnel must know, apply, and adhere to the principles set forth herein and undertake to conduct themselves coherently and in alignment with the principles contained in this Code.

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## 1. REACH AND SCOPE OF APPLICATION

- a. This Code applies, without exception, to all IAC members of staff, regardless of their rank, duties, or mode of contract; to all work centres independently of their location; and to all installations for whose management the IAC is responsible.
- b. With regard to their responsibilities and duties, all staff shall adapt their actions and behaviour to the principles set out in this Code, promote its consultation, and adhere to the objectives and commitments stipulated therein.
- c. With regard to members of the Governing Council of the IAC, this Code is to be regarded as a point of reference complementary to standing regulations applicable to that body.

## 2. INTEGRITY, PROFESSIONALISM, AND RESPECT

- a. The code of conduct specified here establishes general guidelines of action to which personnel shall adhere in the performance of their professional activities.
- b. The conduct of IAC personnel shall at all times meet the criterion of professionalism, through diligent, responsible, and efficient performance of duties with a view to always improving standards of excellence.
- c. IAC professionals shall assume responsibility for their actions, which must always be ethically acceptable and within the law.
- d. Integrity, being the overarching criterion of good conduct, implies loyalty, honour, honesty, good faith, objectivity in the making of decisions, and adherence to the principles and values set out in this Code.
- e. IAC staff, according to their functions and responsibilities, are under the obligation to know, fulfil, and ensure adherence to internal policies, regulation, and procedures.
- f. Staff members who manage and direct teams, shall, by showing good example, additionally be responsible for ensuring that those who work under them understand and comply with the Code.
- g. Ignorance of this Code cannot be used as grounds for improper conduct.
- h. IAC staff are under no obligation to follow orders or instructions that contravene this Code or any legal regulations in force.
- i. The IAC undertakes to communicate, publicize, and make available to all staff the contents of this Code, and to ensure that newly incorporated members of staff have full access to its contents.
- j. The present Code is based on the following principles:
  - Respect for human rights
  - Non-discrimination in the workplace
  - The effective equality of women and men
  - The health and safety of all who work for the IAC
  - Respect for and encouragement of diversity and non-discrimination
  - Responsible interaction with the environment
  - Environmental protection
  - Transparency and zero tolerance of corruption
  - Respect for freedom of expression and authorial rights



### 3. MISSION, VISION, AND VALUES OF THE IAC

**Mission:** The IAC Consortium is a Public Research Organism of the General State Administration, as set down in Law 14/2011 of 1 June concerning Science, Technology, and Innovation, without prejudice towards its character as a consortium. Its aims, as listed in its Statutes (BOE of 21/12/2018), are the following:

- a) To carry out and encourage any kind of research in astrophysics or related fields, and to develop and transfer any technology deriving therefrom.
- b) To spread astronomical knowledge, participate in university teaching specializing in astronomy and astrophysics, and train and qualify scientific and technical staff in all fields related to astrophysics.
- c) To administer existing, newly incorporated, and future astronomical centres, observatories, and facilities, along with their ancillary services.
- d) To foster relations with the national and international scientific communities.

**Vision:** International leadership in astrophysics and space sciences through top-level scientific and technological activities; increasing the capacities of the Canarian Observatories as a true 'astronomical reserve' of international importance; and promoting astronomical outreach.

**Values:** The IAC's values relating to this Code are the following:

- The challenge of continuous improvement of performance, for which the trust and cooperation of staff are vital.
- Innovation and creativity in daily work to seek improvements in attaining greater effectiveness in the improvement of services offered, together with the competitive management of assigned resources.
- Effective equality of all women and men employed by the IAC, with an undertaking to comply with the IAC's equality policy.
- The health and safety of all persons lending their services to the IAC and to any others who from time to time access its installations.
- Transparency and good governance.
- Internal communication and training as the foundations for creating a culture in which full creative capacities and knowledge prevail.
- Proactive concern for citizenry though improvement of services offered.
- Social responsibility and respect for the environment.
- Appropriate use of new technologies, particularly social media, guided by social and individual responsibility.
- Participation, teamwork, and attention to initiatives of IAC members of staff.
- Compliance with the regulations and procedures of the IAC, while encouraging their updating in order constantly to improve procedures and services.
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## 4. GENERAL PRINCIPLES OF ACTION

### 4.1 Loyalty to the IAC

Work at the IAC must be conducted in an environment of loyalty, cooperation, and dedication in a productive and efficient manner, while contributing the fullest effort through participation. This goal shall be achieved through:

- Respect and faithful compliance with prevailing legal requirements as a guiding principle in all areas of IAC activity.
- Adherence to internal regulations of the IAC and to any other code of conduct or protocol applicable in the normal course of activity, while establishing, where necessary, more rigorous guidelines than contemplated in this Code.
- Responsible use of resources, avoiding any misuse, whether through physical actions or in ensuring the faithful and rigorous use of public information requiring the utmost confidentiality.
- The strict maintenance of confidentiality regarding any restricted information to which access is gained through the pursuance of one's professional activities, always abstaining from improper use of such information for personal profit or the benefit of third parties (information obtained on IAC premises being the sole property of the IAC as stipulated by current legislation).
- The preservation of knowledge generated within the IAC and making it available to knowledge management systems in the IAC so that it may be used to learn from previous experience.
- Acting in the the spirit of teamwork, thus contributing to improved productivity, making available to all who work at the IAC all the knowledge and resources within one's reach to help in fulfilling the aims of the centre.
- Taking personal responsibility for the development of one's own skills with the support of one's superiors.

### 4.2 Respect for human rights

- a. The IAC undertakes to respect internationally recognized human rights, including those rights set down in the International Charter of Human Rights and the principles relating to the rights established in the Declaration of the International Labour Organization (ILO) concerning the Fundamental Principles and Rights at Work and agreements deriving therefrom, together with any documents that serve to substitute, complement, or improve the rights here referred to.
- b. Human rights are recognized regardless of distinctions relating to status, power, wealth, sex, sexual orientation, religion, beliefs, ethnicity, or nationality, and do not depend solely on their recognition by prevailing juridical order.

The IAC shall encourage such initiatives and practices that promote respect for human rights as:

- Development of a policy and strategy to respect human rights.
- Respect for diversity, sexual orientation, gender identity, and freedom of worship.
- Rejection and prevention of any kind of harassment or discrimination regarding duties, sex, or matters relating to sex.
- The maintenance of a proper framework of health and safety in the workplace that provides safe and healthy working conditions, both in the workplace and during professional travel.



- c. The IAC shall act with transparency and responsibility to avoid:
- Direct complicity in dealing with a commercial firm or any other kind of entity that engages in human rights abuses.
  - Complicity through indirect gain by directly benefiting from issues involving human rights abuses committed by any third party .
  - Silent complicity in the systematic or continuous abuse of human rights in its dealings with foreign authorities.
- d. IAC personnel shall be under the obligation to:
- Communicate to their superiors or to the Code of Ethics Committee any case in which they detect abuse of, or complicity in the abuse of, human rights.
  - Comply with current legislation in the territorial location to which they may travel in order to carry out their duties.

#### **4.3 Non-discrimination in the workplace**

The IAC shall encourage the professional and personal development of its staff by ensuring equality of opportunities through active policies based on equality and merit, as demanded by any applicable legislation in force.

All forms of direct or indirect discrimination are forbidden. Consequently, the following shall be avoided:

- Direct discrimination: Norms or practices that take into account such criteria as age, race, colour, sex, religion, political opinion, nationality, social origin, or physical or mental incapacity shall be avoided. Such distinctions based strictly on matters relating to the inherent nature of the work in question shall not be considered discriminatory.
- Indirect discrimination: The following criteria shall be strictly respected:
  - Selection of staff shall be based on the merit, potential, capability, and experience of aspirants while keeping in mind individual and collective professional performance.
  - Training shall be based on professional career development in furtherance of the attainment of the objectives of the IAC.
  - There shall be no discrimination in the selection of staff with physical or intellectual impairments, account always being taken of suitability with respect to the installations concerned, and with due acknowledgement in the contracting of outside firms that these meet with legal requirements concerning social integration.
  - The principle of equality shall be respected regarding the terms and conditions laid down in work contracts.

The IAC undertakes to:

- Respect the constitutional principles of merit, ability, and equality with regard to access to jobs and professional advancement by always ensuring the absence of situations of unjust discrimination on the grounds of sex, sexual orientation, religion, race or ethnicity, origin, marital status, or social condition.
- Ensure that personnel involved in the processes contracting, hiring staff, or professional promotion are guided by objectivity in their actions and decisions, are open-minded with regard to diversity, and seek always to promote equality of opportunity.
- Maintain a policy of objective hiring of staff based exclusively on academic, professional, and personal merit, and on the needs of the IAC.
- Assess its staff rigorously and objectively, paying attention to their individual and collective professional performance.



- Encourage the training of personnel by stressing equality of opportunity and promoting professional career development, thereby contributing to the objectives of the IAC.

IAC staff shall adopt:

- A commitment not to undermine the individual career aspirations of other workers simply for reasons of personal competition.

**4.4 Respect for others**

A climate of respects and transparency shall prevail in order to promote, within a framework of equality of opportunities, the professional development of staff on the basis of their merits and skills. This aim shall be built on a foundation of common commitment towards teamwork in an atmosphere of respect for personal beliefs, freedom of expression, combining personal and family life with healthy and safe working conditions, and respect for personal privacy.

The IAC undertakes to:

- Respect personal and family life and seek equilibrium between both without restricting employment prospects, working conditions, and access to posts of greater responsibility.
- Ensure the effective application of a policy of sexual equality its protocol for preventing situations of sexual harassment or problems deriving from the sex of a person.
- Guarantee equality of opportunity to favour existing cultural diversity regardless of nationality, sex, age, or creed.
- Interpret hazard prevention in the workplace, and the health and safety of staff as a strategic and cross-cutting policy in the planning of activities.
- Respect the right to privacy of its professionals in all its aspects within the framework of data protection legislation.
- Amplify the use of computer systems as an integral pillar of all its processes in order to guarantee the integration, transparency, and consistency of the IAC's database of information.
- Recognize as key elements effort, personal achievements, and management of skills by considering the guidance and retention of knowledge through the transmission and securing of such knowledge within the organization.
- Continuously improve working conditions and foster a working atmosphere that favours motivation by creating and providing the tools necessary to achieve this goal.
- Preventing and ensuring, by all available means, any situation of harassment, abuse, discrimination, intimidation, disrespect, or lack of consideration.
- Respect the rights of unionization, association, and collective bargaining, along with the activities pursued by trade unions, with whom relations based on mutual respect shall be maintained.

IAC personnel shall undertake to:

- Familiarize themselves with the IAC's policy of sexual equality and the protocol for the prevention of situations of sexual harassment or problems arising from the sex of persons, and use any means that complements or substitutes them in order to ensure their effective application.
- Act in a spirit of collaboration, making available to other IAC staff members any knowledge, skills, and resources that they possess in order to contribute to the objectives and interests of the IAC.



- Act in a respectful, professional, and courteous manner in order to maintain a dignified, healthy, and secure working atmosphere.
- Maintain relations with fellow workers based on professionalism and respect for personal dignity, equality, and cultural diversity.
- Prevent, using all means at their disposal, any situation of harassment, abuse of authority, intimidation, disrespect, or lack of consideration, or ensure that such situations do not arise.
- Comply with and respect the rules and regulations concerning the prevention of hazards in the workplace by availing themselves of the resources designated by the IAC.
- Respect the rights of unionization and association exercised by members of IAC staff.
- Make proper use of IAC property and materials.

#### **4.5 Respectful relations with society**

Ever since its creation, the public image and good name of the IAC have together formed an intangible strategic benefit to its staff and to society at large.

The IAC must always strive to guarantee responsible relationships with interest groups and in the arena in which it conducts its activities by collaborating with collectives, entities, foundations, and institutions related to its activities. All such relationships shall be engaged in with entities of established reputation, always ensuring maximum transparency with regard to the scope of each initiative.

IAC personnel shall be committed to:

- Safeguarding the public image and good name of the IAC in all their professional activities.
- Striving to ensure that all the information that they impart be clear, exact, precise, and properly addressed to the correct internal or external destination.
- Taking due care, ever mindful of the public image of the IAC, that any information imparted within and outside the IAC conforms strictly to the principles and values of the IAC.
- Handling communications with due regard at all times for current regulations and guaranteeing the protection and confidentiality of any sensitive or strategic information.
- Communications on behalf of the IAC with the news media concerning its activities or strategies are the sole responsibility of the units and persons designated for that purpose, or of senior IAC representatives. Any such information imparted shall be prepared or authorized by appropriately designated persons. These restrictions of course do not stand in the way of IAC members of staff expressing an opinion before the news media on any aspect of their own work, or from giving private opinions.

#### **4.6 Care of the environment**

Respect for the environment must always be one of the principles underpinning any activity. The IAC shall put forward policies, strategies, and environmental management systems with a view to the preservation of the environment in the sphere of its activities, particularly at its Observatories. To this effect it shall:

- Fully respect in all its activities the rules and regulations in force concerning the protection of, and prevention of risks to, the environment.
- Inform staff of policies concerning the adoption good environmental practices and promote respect for the environment.



- Encourage the proper use of natural resources, efficiency in all processes, and the integration of environmentally friendly criteria in its activities, while minimizing any negative impacts.
- Demand compliance with applicable environmentally friendly procedures and requisites in its relations with contractors, suppliers, and collaborators.
- Make every effort to reduce the environmental impact on the surroundings of all IAC centres of activity, paying special attention to its Observatories.

The IAC shall give preference to the development and widespread use of the best available technologies, and to innovation in its processes and installations in a way that is respectful of the environment, and that prevents or minimizes risks thereto.

#### **4.7 Transparency and conflicts of interest**

- a. The IAC rejects any kind of corruption, bribery, or extortion and declares itself to be against any attempt to influence the actions of persons outside the IAC for the purposes of obtaining any kind of benefit through unethical practices; it likewise opposes any such practices being attempted against its staff. The IAC is committed to making every effort to:
  - Faithfully demonstrate its economic, financial, and patrimonial reality.
  - Shun any lack of honesty and demonstrate trustworthiness in all its communications.
  - Render a true account of all its financial transactions in its records regardless of their nature.
  - Act with loyalty in the pursuance of its professional duties, always keeping to the fore defence of the interests of the IAC, avoiding situations that might give rise to any conflicts of personal interests with those of the IAC, and notifying senior staff of any possible situations that might be a potential source of conflict.
  - Ensure that any information introduced into the databases of the IAC is rigorous and trustworthy.
  - Keep a constant lookout for cases in which there might exist any lack of integrity in the persons and entities with which the IAC maintains relations. In all cases of doubt, suspicion, bribery, or irregular payments IAC staff must inform their superiors or the Code of Ethics Commission.
- b. Conflicts of interest can occur when personal or private interests militate against or clash directly or indirectly with the those of the IAC. They interfere in the proper and objective performance of professional duties or personally implicate an employee in a given transaction or operation of the IAC.

Personal or private interests are considered to be those that imply any kind of professional or patrimonial gain for employees, their families, or third parties related to them. With regard to these types of conflicts of interest the guidelines listed below shall be followed:

- Act with professionalism, loyalty, and in defence of the interests of the IAC, with total disregard for personal or third-party interests, it being always forbidden to pursue personal or third-party interests at the expense of the IAC.
- Before taking any decision, immediately inform one's superiors of any circumstances that might affect one's ability to act independently.





- Any employee affected by a conflict of interests shall abstain from intervening in the taking of decisions or in the approval of any operation in which they themselves or their circle of family members or relations have a personal interest.

Conflicts of interest can also arise when the interests of the IAC clash with the interests of another entity with which it is involved. When this happens, the IAC shall inform the governing body of the entity concerned of any such conflict and shall abstain from voting at meetings on those points bearing any relation to the conflict.

- The IAC shall respect the participation of its personnel in other activities provided that these are legal and compatible in accordance with the relevant regulations, and that such participation does not constitute disloyal competition or clashes with their responsibilities as IAC personnel.
- Consequently, IAC staff shall undertake to act in accordance with the following principles with a view to avoiding conflicts of interest:
  - Act with loyalty towards the IAC, independently of personal or third-party interests, always alerting the IAC of any possible situations of conflict that may be incurred.
  - Abstain from participating or influencing the taking of decisions that might affect the IAC and from accessing any confidential information relating to such decisions.
  - Not take advantage of opportunities or confidential information of the IAC for personal gain or to benefit any other persons involved.
  - Comply with the conditions laid down by Law 53/1984 of 26 December concerning incompatibilities of personnel serving in public administrations.
  - With regard to agreements with other entities for the development of collaborative activities, specific clauses shall be included to ensure that suitable control systems be put in place, including the right of the IAC to audit the said systems when it is deemed opportune to do so.
- Presents, gifts, and favours:
  - Presents, gifts, and other favours shall be accepted only if their value is symbolic or economically insignificant, such as those of a promotional or advertising character, on the basis of generally understood courtesy or social practice. Such gifts shall be presented or received in a transparent and very occasional manner in the same spirit of courtesy and social practice. It is mandatory that any such practices should not be contrary to ethical values or current legislation.
  - It is forbidden to accept any kind of remuneration for services deriving from the performance of one's professional activity at the IAC. All acts of bribery or payment of commissions are absolutely forbidden, including the direct or indirect offer or promise of any kind of improper advantage, attempt at concealment, or influence peddling.
  - IAC personnel may not receive emoluments, however small the amount, in order to facilitate or speed up the course of a procedure. Apart from the consequences of failing to comply with this regulation within the framework of the disciplinary code, or any other consequences outside that code, any failure to comply with this regulation may considerably harm the reputation and good name of the IAC.
  - Any gifts of value received shall be placed at the disposition of the IAC, which shall keep a detailed register of all such gifts, duly recording the data of the physical or juridical person making the gift, its use, and final location.



- Likewise, IAC personnel may not directly or indirectly make or offer payments, gifts, or any form of compensation that are not proper to normal practice that might inappropriately influence the relations of the IAC with society.

#### **4.8 Confidentiality and the right to privacy**

- a. It is essential to guard the confidentiality of all information that personnel access in the course of their duties. Personnel shall therefore:
  - Maintain the strictest confidentiality when dealing with information in the course of their duties whose divulgation or publication might affect the IAC, even after terminating their employment contract with the IAC.
  - Ensure the protection of personal data that they store and interchange when exercising their duties, always respecting any relevant legislation when dealing with the personal data of clients, suppliers, or employees.
  - Not copy or transmit such information by any means without the express authorization of the IAC when it is of a confidential nature.
- b. Those employees having access to the personal data of other employees shall undertake to respect its confidentiality, unless otherwise granted consent by the interested party or under legal obligation.
- c. The handling and custody of personal data on any support for its subsequent treatment, registration, or possible commercial exploitation shall conform to the internal regulations of the IAC and the legislation in force.

#### **4.9 Utilization of available resources**

The resources of the IAC shall be utilized with all due care and rigour. At all times staff must:

- Be respectful and take care in the use of offices, spaces, installations, computer equipment, furniture, and other elements put at their disposal by the IAC. These resources must be used exclusively for professional purposes.
- Act diligently, responsibly, efficiently, and always focussed towards excellence, quality, innovation, and continuous improvement.
- Make proper use of the resources and means placed at their disposal, using these exclusively for activities in the interests of the IAC. These resources shall not be used for private gain.
- Make efficient use of resources and means, always choosing the most economical option to meet the planned requirements and aims.
- Making the most efficient use of work-related travel, always keeping a tight rein on expenditure according to the procedures and regulations in force.
- Avoid any practices, especially with regard to superfluous expenditure and activities, that diminish the creation of added value for the IAC.
- Make the best use of their working day in order to achieve their aims and pursue appropriate tasks.

#### **4.10 Responsible relations with third parties**

- Suppliers and collaborative entities are essential for achieving the objectives of the IAC, which shall do business with them in an ethical manner.
- The IAC shall promote and make known this Code to its suppliers, contractors, and collaborative entities with regard to its relationship with them.



- All suppliers must avoid participation in any kind of corruption, extortion, or bribery that might lead to affecting the principles of just commerce or result in public scandal that might affect the IAC.
- The IAC and its personnel shall base their relations with clients, suppliers, collaborators, and their consortial partners on the principles of integrity, professionalism, and transparency.
- As established in this Code, the IAC offers the possibility to communicate, confidentially and in good faith, with the Code of Ethics Commission if it finds itself in disagreement with the actions of any person at the IAC.
- IAC staff involved in the procedures of offering contracts for tender to suppliers and external collaborators shall be impartial and objective in complying with legal principles with regard to the making of contracts. All bidders and candidates shall receive equal and non-discriminatory consideration based on the principles of transparency and proportionality.
- Among the criteria of evaluation of proposals are to be counted measures of a social character in the workplace that favour the equality of women and men in compliance with Organic Law 3/2007 for the effective equality of women and men.
- Among the assessment criteria the commitment of both parties to the integration into the labour market of persons of functional diversity or at risk of social exclusion and the certification of contractors and suppliers according to international standards of entrepreneurial social responsibility are particularly valued.
- Safety shall be promoted in all areas of activity, including safety relating to civil protection systems and safety with regard to the protection and defence of users of our installations, with particular attention being given to the Observatories and their telescopic installations.
- Regulations and procedures concerned with safety shall be complied with rigorously and efficiently, thereby guaranteeing the safety of staff and users.
- No preferential treatment or favour shall be given to any supplier for personal reasons, friendship, or any other consideration. Equality of opportunity and loyal competition shall instead be the norm in contractual procedures.
- Situations that could affect objectivity shall be identified and avoided, any processes that might produce a clash of interests with the IAC being firmly avoided.
- All interested parties in contractual procedures shall be treated with attention, respect, and diligence, with due regard for equal conditions, and in accordance with the principle of free participation and the exercise of rights granted by legislation.
- Interested parties in contractual procedures shall be properly informed, quickly and transparently, concerning questions that affect them in relation to any procedures in which they are involved.
- In contractual procedures the necessary measures shall be encouraged to ensure the application of criteria of environmental protection and social responsibility of suppliers.
- Those who have access to suppliers' data in the course of their duties shall respect the confidentiality of such information and comply, to the extent specified, with the terms of the legislation on the protection of personal data.



## 5. RESEARCH ACTIVITY

### **5.1 Freedom, responsibility, and professionalism**

Research staff shall orientate their investigations towards scientific knowledge with full freedom of thought, expression, and free choice of methods for solving problems while nevertheless respecting recognized ethical principles and practices. They must, however, accept limitations on that liberty which might arise owing to certain circumstances inherent to a given line of research (including supervision, guidance, or management), such as questions relating to budgets, organizational structure, working conditions, etc.

Research staff must comply with legislation relating to intellectual property and avoid plagiarism. Validation and analysis should not be interpreted as plagiarism when the data being confirmed or analysed are properly cited.

Research staff must be familiar with strategic objectives in their field of endeavour and possible sources of funding, and they must inform the IAC, funding agency, or their supervisors of any delay, redefinition, or cancellation of the project for any reason.

Research staff have a responsibility to the IAC, funding agencies, public or private entities, and to society in general to ensure efficient use of public funds. Their actions shall be guided by the principle of competence, transparency, and efficiency, and they shall cooperate with authorized assessments of their activities.

### **5.2. Good practices in research, publishing, and exploitation of results**

Research personnel shall:

- Always adopt safe working methods in compliance with legislation relating to workplace hazards, data protection, and confidentiality.
- Protect themselves from loss of information and knowledge by adopting the necessary measures for that purpose.
- Endeavour to ensure that the results of their work have positive repercussions on society, for which purpose their work shall be published and, where possible, exploited through patents.

The results of research shall be made known to society in a way that is accessible and understandable to a non-specialist public, thus enabling citizens to approach, understand, and embrace science, and leading to an improvement in general and scientific knowledge.

### **5.3. Methods of assessment, recruitment, and selection**

The IAC shall introduce systems for the evaluation of its research workers that involve the participation of experienced researchers in order periodically to adjudicate professional output in a transparent manner.

Selection processes shall be guided by the constitutional principles of merit, skill, and equality, and shall be open, efficient, transparent, sufficient, up to internationally approved standards, and suited to the post offered. Job offers must give a description of the knowledge required and the duties involved.

Selection committees shall consist of experts, be balanced in terms of sex, and be formed through a process of selection.

All selection processes must explicitly state the criteria of selection, the progress of the selection process, and the number of posts offered.



#### **5.4. Evaluation of merit**

Aspirants must be able to obtain information on their strong and weak points through the publication of the assessment of their merits in selection procedures.

The IAC shall ensure in its job advertising campaigns that the overall experience of candidates is taken into account. Merit must be judged qualitatively, as well as quantitatively, by taking into account outstanding results in a varied career. Bibliometric indicators must be assessed in conjunction with more wide-ranging criteria, such as teaching experience, supervision of staff, teamwork, knowledge transfer, project management and innovation, and science popularization activities. Where a candidate has business experience this should also be taken positively into account.

Career breaks and alterations in the chronological sequence of studies rather than being penalized shall be viewed as an evolution and consequently as a valued contribution to the professional development of a research worker. Aspirants shall provide CVs based on their experience and skills of relevance to the post they are seeking.

Career interruptions deriving from maternity or child care up to the age of three years may not be a reason for penalization, whether direct or indirect.

Any history of mobility, whether abroad or in another region, or change of sector (private or public), or from one discipline to another, whether as part of initial training or at a stage following a research career, as well as virtual mobility, shall be considered a valued contribution to professional development.

The IAC shall preferentially assess merits, and academic and professional titles, including any informal qualifications, especially in the context of international and professional mobility.

#### **5.5. Post-doctoral research staff**

##### **a. Working conditions**

The IAC shall ensure that working conditions favour research and stimulate training, offering resources, equipment, installations, and opportunities to perform the agreed programme of work. It shall also foster collaboration through research networks while respecting at all times any national or sectorial regulations with regard to health and safety.

The IAC shall ensure that working conditions for research staff, including those for disabled researchers, are sufficiently flexible to guarantee scientific success. Working conditions that enable both men and women to reconcile their professional and family lives shall be implemented.

##### **b. Intellectual property rights**

The IAC must ensure that its personnel benefit from the subsequent exploitation of their RDi results through legal protection, particularly in terms of adequate protection of their intellectual property and authorial rights.

Coauthorship shall be viewed positively in the assessment of personnel as constructive collaboration in the course of research activity. The IAC shall develop strategies, practices, and procedures to provide researchers, including those at the start of their careers, with a proper framework in which they may enjoy their rights to be recognized and/or cited in the context of their true contributions as coauthors of articles, patents, etc., or to publish the results of their own research independently of their supervisor.

##### **c. Training**

Research personnel, whatever their status, shall continuously improve their performance by updating and widening their skills and knowledge.



The IAC shall ensure that research staff, whatever stage they have reached in their career and regardless of the nature of their employment contract, shall have the opportunity to better their employment prospects through measures that encourage the development of the technical skills and knowledge. The success of these measures, with regard to their accessibility, level of participation, and effectiveness, shall be periodically reviewed.

#### **d. Supervision**

The IAC shall ensure that new research personnel can refer the results of their research activities to a clearly identified person. Supervisors who are sufficiently expert in the area of research to be supervised who have sufficient time, knowledge, experience, specialist knowledge, and the degree of commitment necessary must be suggested to the student under training in order to provide adequate support concerning the procedures of consultation and revision in order to guarantee suitable progress.

### **5.6. Predoctoral research staff**

#### **a. General recommendations**

The IAC shall:

- Foster a cordial relationship among the various agents involved in the tasks of supervising and defending the doctoral thesis.
- Guarantee that the primary tasks of doctoral students are related to their doctoral thesis.
- Create optimum conditions for the future scientific career path of the student with a view to his or her future employment.
- Ensure that the number of doctoral students under the wing of a supervisor/tutor is suited to and compatible with his or her capacity, obligations, and commitments.
- Resolve any possible differences between the various agents involved by encouraging strategic actions aimed at improving the situation.
- Safeguard the fulfilment of intellectual property rights and research results as established by community, national, and IAC regulations.
- Arbitrate on ethical and legal questions regarding discipline, respect for the dignity of persons, and the prevention of any kind of harassment in the workplace or concerning sex or discrimination.
- Not give preferential or discriminatory treatment to a doctoral student on personal grounds, always guaranteeing equality of opportunity and loyalty throughout the period of predoctoral research.

#### **b. Recommendations for thesis supervision**

The thesis supervisor has the highest responsibility for ensuring the proper performance by the student of research tasks, for the coherence and suitability of training activities, for the impact and novelty of the doctoral thesis in the field concerned, and for the guidance and suitable planning of the thesis. The thesis supervisor will have to fulfil all the prerequisites laid down in the regulations governing doctoral studies. Supervision consists in offering intellectual, training, and administrative support to a doctoral student with a view to the completion of his or her studies.

For that reason the thesis supervisor must:

- Have a criterion for selecting predoctoral staff. Academic commissions must agree on, make known, and apply the specific criteria of the doctoral programme relating



to the selection of predoctoral staff, the head of the commission being able to set forth, where necessary, further criteria with specific reference to the selection process.

- Inform the doctoral student of the expectations of the supervisory team concerning all aspects relating to the research.
- Define the level of competence, skills, and attitudes that it is desired that the student attain during the period of training.
- In cases where more than one supervisor is involved, it shall be clearly established from the outset who shall be responsible for which facet of supervision, and the role of each supervisor shall be agreed with the student.
- Maintain a professional, clear, realistic, and constructive relationship with predoctoral staff and other personnel involved in the programme.
- Ensure an exemplary and high ethical, academic, and professional level of conduct with reference to the doctoral student that also extends to the use of the results obtained from the student's research.
- Be familiar with regulations and administrative structures, as well as with the doctoral programme, projects, or teams that might be of relevance to the student.
- Where appropriate, make an assessment of any complementary educational activities necessary for the training of the student (whether organized as part of or outside the doctoral programme).
- Stay in regular contact with the student according to the needs arising from the progress of the research in its various phases, always being ready to answer questions and resolve difficulties raised by the student within a reasonable time.
- Programme regular meetings to track the progress of the research in accordance with milestones previously agreed with the student and in accordance with regulations.
- Encourage the student to put in writing the results and progress made during the research—whether in the form of a laboratory notebook, report, folder, etc.—and revise the material accumulated with a view to making further opportune observations.
- Ensure that the student is aware of any deadlines and takes responsibility for preparing however many reports may be required with regard to the progress of the research.
- Advise and give support to the student on the following questions: the subject of the research, the working schedule, annual reports, the level of quality for the award of a doctoral degree, the level of ethics required of any doctoral student, and funding opportunities to support the research (grants, research contracts, subsidies, etc.).
- Maintain high ethical and academic standards, making the student aware of any pertinent regulations, guidelines, and codes of conduct, including health and safety regulations, procedures, and duties in the workplace.
- Guarantee that the student's research work is original and meets academic standards. The academic commission for the doctoral programme must be informed of any case where there might be indications of plagiarism or infringement of intellectual property rights.



- Encourage the student to publish papers and participate in conferences, seminars, and talks in accordance with the norms and practices of each scientific or academic discipline, and help the student, where necessary, to seek sources of funding to help pursue these activities.
- Offer guidance to the student on the various professional options available on completion of the thesis.
- Restrict the research work of the student to topics related to the contents of his or her thesis.

### **c. Tutoring**

The tutor is a researcher responsible for adaptation of training and research activity at the beginning of the doctoral programme. His or her role is an assessorial one in the evaluation of the student's success in research. The tutor shall:

- From the moment of the student's incorporation into the doctoral programme, assess and inform him or her of the operation of the programme and of the training activities on offer.
- Know the expectations, preferences, aptitudes, and skills of the doctoral student in order to provide suitable guidance.
- Report, assess, and consult on administrative questions related to the doctoral programme.
- Make a proper assessment of the student with regard to the satisfactory use and exploitation of available research resources.
- Act as intermediary between the student and supervisor, and try to mediate regarding any problems or questions that may arise.
- The supervisor, tutor, and doctoral student shall reach an agreement with regard to the relationship and attributes of each for the duration of the doctoral studies.

### **d. Predoctoral researchers**

Doctoral students shall take responsibility for their research work, and it is expected that they shall make the necessary effort suited to their academic level to achieve the competence and skill required for high quality scientific research. To attain these objectives, students must:

- Comply with internal IAC regulations, particularly with regard to hazard prevention in the workplace, data protection, confidentiality, and intellectual property.  
Know the regulations of the doctoral programme and other research documentation of the IAC and the University, together with any administrative requirements.
- Understand and comply with the expectations of thesis supervisors and research teams regarding their research work, as well as make known their own expectations.
- Maintain a professional relationship with their supervisors and other members of staff involved in overseeing theses or research projects.
- Undertake to complete their training in a continuous manner through activities included in the programme or otherwise agreed by their supervisors.
- Students must undertake to become involved in taking the initiative in identifying problems (technical, personal, etc.) arising in the course of their research and propose solutions to be considered by their supervisors.
- Develop proper human relationships that contribute to the smooth flow of work.





- Develop a working schedule for their thesis, making yearly assessments (including reports on projects and to funding bodies).
- In a transparent and active manner, attend and participate in periodic meetings with their supervisors, research team, etc.
- Seek to publicize their results and research activities under the direction of their supervisors, chiefly through thesis outlines, scientific papers, social media, talks, and conferences.
- Seek to set up networks through brief stays at national and international research centres.
- Seek to acquire cross-cutting skills, such as those relating to communicating in one's native and foreign languages, digital skills, teamwork, project management, etc.
- Participate in knowledge transfer programmes and other professional outlets.

#### **e. Other agents involved**

Many other professionals are directly or indirectly involved in the process of training doctoral students. It will be necessary for these professionals to collaborate in integrating students into the University environment and the doctoral programme by making available the means and resources for their activities, while encouraging cordial relations and assessment of the students throughout their entire training.

## **6. USE OF IAC COMPUTER RESOURCES**

The Code of Conduct concerning the use of the computer resources of the IAC, approved and revised by the Directorate of the IAC on 13 February 2013 (CD 3/13), is incorporated into this Code of Ethics.

- The general principle guiding this Code rests on the notion that the computer resources placed at the disposal of IAC users are either the IAC's own property or are made legally available to it and must therefore be for the user's exclusive use and must be used to serve the purposes of the IAC within the framework of the activities and functions corresponding to each user.
- Within the framework of the general principle just referred to, the IAC shall set up and make use of control, monitoring, and auditing systems. The selection and use of such systems shall be effected while always seeking to guarantee the rights of users and with enough publicity for users to be aware of the range and kinds of actions.
- Computer resources are granted and withheld at the discretion of the IAC in accordance with the requirements and needs of each employee and/or according to the functions to be carried out by each user.
- It is not permitted to use IAC computer resources for purposes other than the tasks or activities that the user performs at, or on behalf of, the IAC.
- Electronic mail accounts, as well as the user profiles established on computer equipment at the IAC, are personal and non-transferable.
- Navigation on the Internet and the use of electronic mail accounts for personal purposes are forbidden, except in occasional circumstances in accordance with the regulations laid down in this Code.
- It is forbidden to use the computer resources of the IAC for the transmission, creation, or storage of any kind of content that may offend the dignity, or contravene the fundamental



rights or public liberties, of any person, or which involve discrimination or disparagement on the grounds of birth, race, sex, religión, opinion, or any other personal or social condition or circumstance.

- The databases of the IAC that contain or could contain personal data are to all intents and purposes considered as inaccessible sources; therefore, those users accessing them are obliged by law to safeguard them, prevent their diffusion, and keep them in the strictest confidence.
- It is prohibited to introduce or install computer programs, or to insert any physical device, software, or sequence of characters that might cause any kind of alteration or harm to the computer systems of the IAC.
- The data generated in the course of working, professional, research or any other kind of activity are covered by the regulations governing each use.
- For that reason, the unauthorized deletion of data and elimination or destruction of documents, whichever support they may be stored on, as well as the destruction or disabling of any computer resource, may be considered a criminal act.
- Within the scope of its activities and functions, the IAC must provide complete and accurate information on the sources and references contained in any information that it presents in cases where does not have ownership of such information.
- It is totally forbidden to record elements that are subject to restrictions on intellectual property rights (music, films, computer programs, etc.) on any IAC computer unless there exists a prior agreed licence or express authorization on the part of the owner of those rights.
- In order to check whether the regulations presented here are being complied with, the IAC may, at any time and with complete freedom in accordance with existing legal provisions, carry out reviews, audits, examination, and investigations into the use of computer resources by users.

## 7. ACCEPTANCE AND FULFILMENT OF TERMS

The IAC shall adopt what it deems to be opportune measures to bring the present Code into effect by duly publicizing it and resolving any issues that its implementation might raise.

All IAC personnel must comply with this Code of Ethics and nobody is authorized to ask an employee to breach the terms of this Code or can justify any conduct that contravenes it.

Where there exists any indication of non-compliance, a person in authority or the Code of Ethics Commission may be immediately contacted. Such information shall be held in the strictest confidence and the anonymity of the informant guaranteed. The IAC undertakes not to take any kind of direct or indirect reprisals against any professional reporting a supposed irregularity.

With regard to the values, principles, and norms contained herein, this Code, where applicable, shall likewise also indirectly apply to other groups of persons interacting with the IAC.

It is the responsibility of staff in relation to the Code of Ethics to:

- Read, understand, and comply with the Code of Ethics and make decisions based on it.
- Help to publicize it in the workplace and among users and collaborators.
- Participate in training activities organized by the IAC concerning the Code.



## 8. CODE OF ETHICS COMMISSION

The Code of Ethics Commission is composed of seven members designated by the Directorate of the IAC. Two voting members shall perform the functions of Chairperson and Secretary. One voting member shall represent trade union organizations present at the IAC (having previously chosen by those organizations to act as their representative).

Depending on the topics to be addressed at meetings of this Commission, and on the understanding that such collaboration is necessary for the proper exercise of its functions, representatives of interest groups within the IAC may be present but may not vote on any issues raised.

The main functions of the Code of Ethics Commission are to:

- Act to encourage the publicizing, knowledge of, and compliance with the Code, and further develop it while giving considered interpretation of its regulations and supervising its application.
- Establish and manage a channel for consultation, notification, and reclamation.
- To transfer claims of possible non-compliance to the person concerned for investigation and resolution of any issues or consultations that may arise through the channel referred to previously.
- Periodically review the Code with the aim of adjusting its requirements to the needs of the centre and its relation to the working environment and interest groups, taking into consideration suggestions and proposals made by IAC personnel.
- Any revision or update of this Code of Ethics shall require the approval of the Directorate of the IAC.
- Evaluate and make an annual report on the degree of compliance with the Code. The report shall be communicated to the Governing Council of the IAC, the Director, the General Services Administrator, and the members of the Directorate of the IAC.

## 9. COMMUNICATING WITH THE CODE OF ETHICS COMMISSION

The electronic mail address [codigoetico@iac.es](mailto:codigoetico@iac.es) shall be the communication channel allowing any interest group at the IAC (employees, clients, suppliers, and representatives of society in general) to raise concerns or make suggestions over instances of possible misconduct or any breach of the regulations set out in the present Code to members of the Code of Ethics Commission.

The Commission shall handle all enquiries and shall investigate potential violations of the Code under a commitment to strict confidentiality.

## 10. TERM OF VALIDITY

The present Code of Ethics has been approved by the Directorate of the IAC at its meeting (CD40/21) of 10 November 2021 and is now fully in force pending any future modification.

Any updates to the Code of Ethics shall be approved by the IAC Directorate at the non-binding request of the Code of Ethics Commission.



## **SEXUAL EQUALITY**

**In conformity with current regulations concerning the effective state of equality between women and men, and in order to promote sexual equality, all mention in this Code of hitherto exclusively male persons, collectives, or posts shall be understood to refer inclusively to both women and men.**