



CODE OF ETHICS AND CONDUCT

**FUNDACIÓ INSTITUT D'INVESTIGACIÓ SANITÀRIA
PERE VIRGILI**

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1. PREAMBLE

The Code of Ethics and Conduct (*hereafter referred to as 'the Code'*) is a set of recommendations and commitments that summarizes the policies and practices in effect at the Pere Virgili Health Research Institute (IISPV) related to the behavior of people and the institution, which has been approved by the IISPV Board of Trustees on December 10th, 2019.

The Code establishes the criteria for action, the principles and values on which the operation of the IISPV is based on.

2. AIM

The purpose of this Code is to ensure the professional, ethical and responsible behavior of the IISPV and all its employees, collaborating and trainee staff (*hereafter Personnel*) in the development of its activities as an essential element of their business culture, having as an important basis both training as well as personal and professional growth.

To this end, the principles and values that govern the relations of the IISPV with its staff, employers and other companies and entities are defined.

The IISPV is committed to strictly comply with current laws and to respect the obligations and commitments assumed, maintaining a complete and honest behavior in all its actions, declaring its commitment to oppose any kind of wrongful or penal act.

The code of ethics and conduct:

- It facilitates the knowledge and application of the business culture of the IISPV, firmly based on the fulfillment of human and social rights.
- Establishes the principle of due diligence for the prevention, detection and elimination of irregular behavior, whatever their nature, taking into account risk analysis, definition of responsibilities, training of workers, relationship with third parties, and formalization of procedures, especially for the notification and the elimination of irregular behavior.

3. SCOPE OF APPLICATION

The Code of Ethics and Conduct applies to all people who are part of the IISPV, regardless of function, contractual modality, location or hierarchical level.

Since 2013, IISPV has made a commitment to apply the principles of the European Charter for Researchers and Code of Conduct for the Recruitment of Researchers (C&C), and has become part of the 4th Cohort of the Institutional Human Resources Strategy Group (HRS4R) of the European Commission in 2014. Later, it was recognized by the Commission with the HR Excellence in Research seal (June 2015) and started implementing policies and practices aligned with the principles described in the C&C.

The C&C includes a number of "**ethical principles**": researchers should adhere to recognized ethical practices and the fundamental ethical principles appropriate to their disciplines and to the ethical standards documented in the different national, sectoral or institutional codes of ethics.

The application of the Code, in whole or in part, may be extended to any natural person and/or legal entity related to the IISPV, when appropriate for the purpose and nature of the relationship.

The Code will be notified personally to the Directors and to anyone who represents them, when required by the nature of their relationship. A copy will be provided to staff upon joining IISPV and will be accessible on the IISPV website

4. VALIDITY

The Code of Ethics and Conduct will come into force on the date of its approval by the Board of the IISPV and will remain in effect until it has been modified due to the continuous evaluation process that will be carried out or possible modifications to the current regulations.

5. MISSION, VISION AND VALUES

The IISPV Strategic Plan, approved by the External Scientific Committee at the meeting 1/17 from 7/4/2017 details:

- **The mission:** to efficiently manage our own and external resources and provide the best service available to health professionals, through the promotion, consolidation and translation of research into the biosanitary field, improving the health and well-being of the population (preferably) of the Camp de Tarragona and Terres de l'Ebre.
- **The vision:** be a national and international center of reference in biomedical research and translation at the service of the population, and be an instrument for health centers in its own field.

The IISPV is a research center created in 2005 to manage biomedical and health research in the province of Tarragona. It is formed by: ICS Camp de Tarragona with the Hospital Universitari Joan XXIII de Tarragona, ICS Terres de l'Ebre with the Hospital Verge de la Cinta, the Hospital Universitari Sant Joan de Reus, the Pere Mata Group and the Universitat Rovira i Virgili.

6. GENERAL PRINCIPLES AND VALUES

The IISPV's principles and ethical values form the basis of the institution's activity and define an ethical commitment that includes these basic principles and standards for proper development.

These principles and values are:

1. **INTEGRITY** as ethical, honest and good faith behavior.
2. **RESPECT** for legality, human rights and ethical values.
3. **FAIR AND DECENT TREATMENT** for all natural or legal persons who have directly or indirectly any labor, economic, social and/or research relationship..
4. **ALL ACTIVITIES** will be carried out under an environmentally friendly and sustainable management of natural resources..

No IISPV person will be subject to discrimination based on race, physical disability, illness, religion, sexual orientation, political opinion, age, nationality or gender.

The IISPV prohibits any form of physical, sexual, psychological or verbal harassment or abuse of its staff, as well as any behavior that could result in an intimidating, offensive or hostile work environment.

Weekly working hours shall not exceed the legal limit established. The salary paid by the IISPV workers respects the Workers' Statute or, where applicable, the Agreement agreed with the workers and/or that regulation approved by the IISPV Board.

6.1 CUSTOMERS AND SUPPLIERS

The IISPV bases its relationships with customers and suppliers on legal, efficient and fair practices.

The purpose of the IISPV, in relation to its customers and suppliers, is to comply with the legal rules and keep them informed of this Code.

For the selection of suppliers, the IISPV will take into account Law 9/2017 of Public Sector Contracts (LCSP) and the subsequent modifications of this law. In accordance with the law, it will take into account, in particular:

- The price of the product or service offered by the provider.
- The analysis of the general profile of the supplier, public recognition, trajectory, responsiveness, geographical location, experience and compliance with quality standards.
- Supplier references.
- Character and way of work of the supplier.
- The human treatment and the quality of the service.

7. SPECIFIC PRINCIPLES AND VALUES

1. *Compliance with applicable law and internal regulations.*

All the subjects under effect by this code of ethics undertake to comply with the laws applicable to the IISPV (see section IX), established internal procedures, and the values and principles contained in this code of ethics.

All IISPV staff must adhere to the rules and procedures, as well as instructions that may be approved at any time. It agrees to report any breaches they detect in the foundation and research environment.

All staff needs to know the laws that affect their work, especially the promotion, development, and management of research and training in the field of research.

The institution will provide every means for all labor staff to know the internal and external regulations relevant to their functions.

In case of any lack of respect for the legality, the staff will have to inform the institution through the complaint channel detailed in point 29 of this section.

2. Prudence and responsibility in its actions.

There will be a thorough and exhaustive monitoring of the established internal procedures, on the prevention of occupational risks, legal regulations, etc. that the personnel subject to this code will be informed about by the institution.

3. Responsibility and concern with respect to the work environment and colleagues.

Being alert to alarming situations and/or emergencies, to warn / help / collaborate in any way possible, either due to a situation that affects the facilities or a colleague, following the instructions that the institution has provided in each case through the different protocols, if applicable.

The staff will behave respectfully with the IISPV facilities and those where the activity is carried out in the event that this facility and/or equipment is not owned by the IISPV.

4. Use of goods and services of the institution.

The institution will provide its employees with an email address with domain iispv.cat. It is the responsibility of the worker to make good use of the institution's resources.

The duty to keep the information confidential shall be maintained.

The institution provides to all staff every available means and resources for the smooth operation of the activity. The use of the institution's resources is associated with its mission and should never be used for interests that are incompatible with its functions and/or for particular benefits.

5. Teamwork and collaboration are shaped as instruments of opportunity for personal and professional growth.

In this sense, the older staff will support, to the best of their efforts, the newly hired staff. The recruiter will try to adapt to their work, facilitating the knowledge of the environment, the proper functioning of the facilities and the way of work within each department.

6. Equal opportunities, professional development and non-discrimination both in access to and promotion of work. Discrimination based on sex, race, religion, marital status, sexual orientation, etc. will not be admissible. In this sense, the IISPV has the following documents to take into account:

- El [IIPSV equality plan](#) and the [Protocol for the prevention of sexual harassment and violence at work](#).
- [Mark the differences: the representation of women and men in the language](#) (2005), Government of Catalonia. It collects different procedures and resources for the language that can allow us to choose from more than one possibility, according to criteria of functionality or style, when we propose to use a non-sexist language, respectful of the citizens as a whole and individual.

- [Guide to non-sexist uses of the language in texts of the Government of Catalonia](#) (2011), tool for facilitating language strategies in order to provide alternative options for the use of masculine as generic.
 - [IISPV Recruitment Policy](#) (2017). This document defines the different stages of the recruitment process.
 - [Career IISPV 2016](#), a document written in accordance with the guidelines established by the European framework of research careers and as an Institution accredited by the HRS4R (Human Resources Strategy for Researchers) defines the career for researchers.
 - [Program of IISPV's Consolidated, Emerging and Associated Research Groups](#). Document containing the definitions of each.
7. **Stimulus for innovation and efficiency** of the processes to offer a better service to the client and the society, and to promote the growth and sustainability of the foundation.
 8. **Quality** as the basis for operation and continuous improvement at the foundation.
 9. **Attitude of managers.** Managers need to be the reference model in their behavior and level of compliance with the code of ethics.
 10. **Transparency and impartiality in decision-making** in all areas of the foundation.

The transparency portal is the tool to exercise this transparency towards society. Internally, transparency and impartiality must also be guaranteed through internal communication and the defined processes that are used to make decisions.

11. **Corporate image and reputation** that the staff must consider in carrying out their activity. It is one of the most important assets of the institution. It is very relevant that the subjects to whom this code applies are aware of the impact that any improper action or behavior may have on the image and reputation of the foundation in the context of its work.

IISPV staff will respect and not misuse the institutional logo.

Scientific staff working and linked to the IISPV will include the name of the foundation at the signature of the articles, in accordance with the institutional instructions regarding the [IISPV's Affiliation and Acknowledgment Policy](#).

12. **Internal relations: Staff.**

The institution's staff is considered the most important asset of the foundation. The institution will promote the personal and professional development of its staff, the existence of a positive climate and respect among people. The staff will endeavour to maintain a both pleasant and safe work environment.

Any type of promotion will meet objective criteria and will be carried out transparently.

The foundation will ensure compliance with labour regulations.

Particular attention is paid to sensitivity and disability and this is why the foundation promotes the recruitment of affected staff and/or contracts for services and supplies at Special Work Centers.

13. *Hiring relatives.*

Relatives of staff will not be hired without these people having the capacity to perform the work for which they are hired, proving it in accordance with the requirements required for the job and always presenting themselves with a call for a job offer made public.

Fair decisions will be made and any favouritism with respect to family members will be avoided and the recruitment process will be executed following the procedure described in the foundation selection manual.

14. *External relations: Customers and Market.*

The entity and its staff will ensure that they provide authentic information on the activities, products and/or services offered in the market. It is strictly forbidden to provide clients with false information.

Any type of misleading advertising is prohibited, the information of other researchers will not be used as if it were their own, they will ensure secure payment methods, the security of the data and the prevention of fraud. The information that the personnel enters in the systems of the institution must be reliable.

15. *External relations: Providers.*

Ethics and respect will be the cornerstones of our relationship with our suppliers. These will be selected according to the objective criteria, transparent and with the aim of obtaining the best value for money, in accordance with the regulations in force in public procurement.

The code of ethics may be attached as an annex to the contract if it is deemed necessary for the type of service to be provided and failure to comply may result in the contract being rejected.

Suppliers must commit themselves to respecting human and labour rights at their company, and it is explicitly forbidden to accept, offer or request directly or indirectly gifts, favours, etc. that can influence purchasing decisions.

16. *Relations with institutions, authorities and officials.*

As a general rule, IISPV staff will not be able to offer, grant, request or accept, directly or indirectly, gifts, favours or compensation, of any nature or from any authority or official.

International regulations for the prevention of corruption and bribery will govern the relationships of members of the institution with other institutions, authorities and officials.

Any decision in this area will respect the regulations in force. Under no circumstances will the institution accept, offer, request gifts, favors, etc.

17. Conflict of interests.

IISPV staff should avoid situations that could lead to a conflict of personal interest between them and the IISPV.

The IISPV respects the privacy of its staff and their decisions. Within the framework of this policy of respect, the IISPV puts at your disposal the request for beneficial measures by both parties, always respecting the confidentiality and privacy of the affected people.

The IISPV considers that a conflict of interest can be a situation where the personal, economic or institutional interest of the entity's staff can improperly influence or interfere with the judgment, responsibility and decision-making of other persons of the IISPV.

The IISPV will take into account the following mechanisms:

- Management cannot take part in the decision-making or adoption of agreements in the matters in which they have or may have a conflict of interest with the IISPV.
- Likewise, they will not be able to participate in all types of business or financial activities that may jeopardize the objectivity of the IISPV.
- Any other person linked to the IISPV will inform the Board of Trustees of any conflict situation, direct or indirect, that they have with the IISPV.
- Before an agreement is reached in which there may be a conflict between personal interest and the interest of the IISPV, the person concerned will provide the IISPV body with relevant information and will refrain to take part, in this case, in both the deliberation and the voting. The institution considers that the relationship with the staff must have a base of loyalty and must be framed in compliance with the laws and policies of the institution.
- The staff will not be able to obtain particular benefits or provide services in companies that may influence and/or affect their research or tasks as IISPV staff, creating a conflict of interest between those of the IISPV and the company.

18. Policy of gifts, commissions or remuneration of third parties.

Giving or receiving gifts and invitations to third parties can only be done within the framework of the Code of Conduct for senior officials and management staff of the Administration of the Generalitat and its public sector entities, and other measures in the field of transparency, groups of interest and public ethics. This code is applicable to senior officers and senior management.

For the rest of the IISPV staff the request and/or acceptance of any type of payment, gift, commission, etc. is prohibited. from third parties, customers and/or suppliers. Everything within reasonable limits (non-venal courtesy samples and commemorative, official or protocol objects that may be given to you on the grounds of your charge) will be excluded from this ban.

19. Data protection policy.

IISPV staff have the obligation to protect the information and knowledge generated within their organization.

The staff will refrain from using for their own benefit any data, information or document obtained in carrying out their professional activity. Nor will it communicate information to third parties, except in compliance with regulations or when it has the proper consent. The information to which you have had or have access must be considered confidential and can only be used for the obtained purpose.

Confidentiality and diligence in the use of the data will preside over the actions of the recipients of this code. This principle must be respected even after the end of the employment or collaboration relationship.

The information of the foundation may not be used for personal benefit or outside the scope of the foundation's work.

Respect for the personal and family privacy of the people is required. Any incident related to the confidentiality of the data will be communicated to the person responsible for the protection of data of the foundation by email: pd@iispv.cat.

20. Industrial and intellectual property rights.

The IISPV is committed to protecting the intellectual and industrial property of its own or others. This includes, but is not limited to, copyrights, patents, trademarks, reproduction rights, design and specialized knowledge rights.

The IISPV has expressly prohibited the use of works, creations or distinctive signs of intellectual property of third parties.

All staff are committed to informing you of any information that requires protection, in order to take the appropriate measures. You also agree to report any irregularities in relation to the incorrect use of this information.

21. Occupational health and risk prevention policy.

The institution will make sure that its work environment is safe and that it complies with the existing safety and health regulations at work.

The IISPV complies with the regulations for the prevention and management of occupational risks and conducts the corresponding training and audits to identify the shortcomings and incorporate improvements.

22. Record of operations and information.

The institution will maintain an up-to-date financial and accounting record. Counterfeiting of documents and their distortion are not allowed. No expense will be contracted or paid with the Institution's funds without the authorization of the competent person and without corresponding to the founding purposes of the Institution.

23. Conservation of documents.

The institution complies with the legal and regulatory requirements, all records and information will be treated so that the information is always stored in an organized way.

24. Environmental commitment.

The institution is committed to ensuring respect for the environment, minimizing the impact on all its activities, and providing its employees with a safe and healthy work environment.

The IISPV promotes this culture to all its members and all have an obligation to know, assume and act in accordance with the established criteria. The actions are:

- Minimize CO₂ emissions.
- Reduce, reuse and recycle waste.
- Encourage responsible consumption of energy resources.
- Use, as far as possible, recycled and recyclable raw materials

The staff of the institution knows and at all times accepts the agreement with the criteria of respect for the environment and sustainability, making correct use of the resources and trying to carry out a good waste management both in the laboratory and in the equipped facilities such as the canteen and office.

25. Conciliation policy.

The institution maintains with its employees the commitment to promote the quality of life and that of their families. Facilitating the reconciliation of the needs of personal and family life is part of the entity's desire.

26. Code of conduct in research.

The CERCA Institution, of which the IISPV is a part, has developed a Code of Conduct, especially with regard to research activity, which is addressed to all directors and managers, as well as the rest of the scientific staff (own or attached), technical and administrative of the CERCA centers. The activity of the CERCA centers based on inter-institutional collaborations must also respect, in its basic aspects, the commitments of this code. The [CERCA Code of Conduct](#) is part of the IISPV Code of Conduct, after being approved by the IISPV Board of Trustees in December 2018.

The IISPV also has the [IISPV Code of Good Scientific Practices](#) (2009) and the [ICS Health Guide to Good Practice - IISPV](#) (2017). These documents define the behaviors that correspond to the development of the research itself (how the research is planned and developed, how its results are recorded and disseminated, and how the knowledge derived from the research is disseminated, applied and exploited). Its content continues to be valid and complements, where it does not contradict, the CERCA Code of Conduct.

27. Compliance with the code, control and disciplinary regime.

It is incumbent on the Compliance Officer and the Human Resources Unit to promote the dissemination of the content of the code of ethics. To promote its dissemination, training activities and internal communication will be encouraged.

Any breach of the Code of Ethics or any other internal policy or legal rule in the performance of the duties of the staff assigned to them, will be considered as a labor breach that can be sanctioned, following the procedure provided for in the agreement and other applying regulations.

Failure to comply with this Code of Ethics may lead to corrective sanctions apart from other criminal or administrative penalties. The sanctions are carried out in accordance with the provisions of the collective bargaining agreement and, in their absence, in the Workers' Statute.

The sanction will be effective for those who violate the Code of Ethics and for those who, by action or omission, have approved the wrongful behavior without reporting it to the corresponding body.

28. Advertising, updating and availability of the code of ethics.

The Code will come into force on the day of its publication and will be sent to all staff and will be valid until its cancellation is approved.

29. Channel of complaints and irregularities.

Any member of the institution, as well as its suppliers or third parties, may, in good faith, report any irregularity, breach or conduct contrary to the will of this code.

Filing a complaint can be done by sending a message to the email address: pd@iispv.cat

8. FINAL PROVISION

This Code of Ethics and Conduct will be subject to continuous evaluation and possible modifications to the current regulations.

Once approved, this code will be published on the institutional website and made known to all who are part of the IISPV.

The code of ethics must be expressly accepted by each of the recipients, who will have to commit to their fulfillment. The code of ethics must be disseminated to all persons within its scope and the evidence should be collected. All members of the foundation will confirm that they have access to the code of ethics and that they accept and understand its content.

No member of the institution, regardless of his position, is authorized to request from any other member of the institution the breach of this Code, as it is part of his obligations that he must fulfill as part of the staff.

9. APPLICABLE LEGISLATION

The IISPV, aware of its role as a social and public service agent, complies with the current legislation (<http://transparencia.iispv.cat/ca/>).

Document approved in Board of Trustees session: 10/12/2019