

Regulation of IFAE's Ombudsperson

1. Institutional framework

In February 2016 IFAE declared its commitment to the principles of the *European Charter for Researchers* and of the *Code of Conduct for the recruitment of researchers*, the framework upon which it built its Human Resources Strategy that was later approved. Research freedom, professional responsibility, professional attitude, good practices in research, accountability, public engagement, and ethical principles such as non-discrimination and the recognition of the profession are amongst the principles embedded in these documents.

In this line, IFAE committed itself to establish, through an ombudsperson-like figure, processes for assessment, appeal, and complaint to deal with conflicts that may eventually arise. In accordance with this commitment, IFAE approved a *Protocol for dealing with, preventing and eradicating workplace harassment* (April 2016), it appointed a Gender Equality Committee that wrote down a *Gender Equality Plan* (May 2018) and periodically undertakes its follow-up, and signed I-CERCA's *Code of Conduct* (February 2019).

2. Function and scope of action

The function of the Ombudsperson is to deal with the doubts, conflicts and, eventually, with the appeals or complaints that may arise regarding personal or professional attitude of personnel from IFAE, regardless of their hiring institution, that could violate the ethical or behavioural principles IFAE abides by.

3. Principles

The ombudsperson will abide by the principles of neutrality, impartiality, equity, and confidentiality, both personal and institutional.

4. Action procedures

4.1. Under any circumstance the ombudsperson will act *ex officio*.

4.2 The action procedures for each type of incident will be regulated by a specific procedure. These procedures will also establish an alternative figure to the ombudsperson when there may be a risk of a conflict of interest.

- 4.3 The ombudsperson can request the assistance of CERCA's ombudsperson, respecting the principle of confidentiality.
- 4.4 As exceptional measure, for cases particularly serious or complex, IFAE's ombudsperson may report the incident to CERCA's ombudsperson and request its intervention. In this case, IFAE's ombudsperson shall previously deliver a written report to IFAE's director informing of this measure, the reasons to take it, and the information that will be put in knowledge of CERCA's ombudsperson.
- 4.5 For cases involving personnel hired by other institutions but ascribed to IFAE through an Agreement, the ombudsperson will also abide by the procedures that might be established in the Agreement. If an incident has to be reported to another institution, IFAE's ombudsperson shall previously deliver a written report to IFAE's director informing of this measure and of the information that will be put in knowledge of the other institution.

5. Appointment

- 5.1 The director of IFAE will appoint the ombudsperson.
- 5.2 The appointment will be for a two-year term.

Bellaterra, 1st January 2020



Ramon Miquel
Director of IFAE