



CIDOB CODE OF ETHICS



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Message from the CIDOB Board

Barcelona Centre for International Affairs (hereafter “CIDOB” or “the institution”) is a private foundation based in Barcelona that was created in 1973 in the form of an association. In 1979 it became the current foundation.

Josep Ribera, CIDOB’s founder, identified one of its objectives as “facilitating better knowledge among all peoples through study and information, and thereby helping to achieve a new legal, political, economic and cultural order at international level. After more than 40 years of development and momentum, CIDOB has become a research centre of excellence and international renown the focus of whose study is currently the analysis of international relations and the global issues that affect governance at its different levels, from the international to the local.

Today, CIDOB is a global leader that acts as hub stimulating the growing internationalisation of Barcelona, Catalonia and Spain, as well as all the actors that make up its economic and social fabric. The institution’s influence on the debates that inform decision-making processes in the political, economic and social fields should also be noted. CIDOB is today recognised as one of the world’s leading think tanks in the international relations field.

In line with this excellence, CIDOB’s management and governance bodies must ensure that the aforementioned objectives are achieved by means of resources and tools that adhere to principles and values such as independence, humanism, rigour, transparency and ethics.

CIDOB seeks in this document to establish the guidelines that must be followed to achieve its foundational goals, which is to say, the behaviour that should be encouraged and that which must be avoided.

Thus, the institution’s decision-making, as well as that of all its members, will always be guided by a single line of action based on solid ethical principles and regulatory compliance that respects research best practices and works to improve people’s quality of life.

This document also establishes the creation of an Oversight Body (Ethics and Security Committee) to supervise compliance with this Code of Ethics, as well as with other rules, both legal and voluntary, that CIDOB may follow.

In accordance with the foregoing, as the foundation’s highest regulatory level, CIDOB will publish this Code of Ethics and make it available to those who are subject to it, thereby ensuring its proper communication and respect for and compliance with it.

The board of the CIDOB Foundation

I. CIDOB's mission

CIDOB's foundational goal, as stated in its statutes, is to promote good global governance based on democratic governments and administrations that guarantee people the basic elements of a life lived in freedom, as well as to facilitate dialogue that takes in all differences. To this end, its aims are:

- To study and inform in the field of international relations, with particular attention given to countries engaged in processes of political and social change and those in our immediate surroundings.
- To produce information and studies that promote improved international knowledge and thereby contribute to achieving a fairer political, economic, institutional and cultural order.
- To promote and carry out projects with other centres and foundations involved in documentation, information and study in the international relations field.

II. Purposes of the Code of Ethics

The purposes of this Code of Ethics are the following:

- a) To establish the ethical criteria for the institution's activity, its values and the performance standards that must be observed by those subject to this Code of Ethics.
- b) To provide tools to help resolve any ethical or regulatory conflict that may arise as those subject to the code carry out their duties.
- c) To consolidate a valid, effective culture of regulatory compliance at CIDOB.

III. Definition, areas of application and binding nature of the Code of Ethics

By means of this Code of Ethics and all the rules deriving from it, CIDOB establishes standards of conduct that may guide the institution's decision-making and that of its members, as well as its everyday professional activity.

The code's fields of application are the following:

- a) **Personal.** This Code of Ethics applies to all members of CIDOB, whether they are connected to it or represent it before third parties. It also applies both when they act individually and in consortium. This applicability has effect regardless of the post or position occupied by the person in question (board member, managerial staff, worker, trainee, institutional role, researcher, associate or partner).

All must, therefore, know and respect the provisions.

- b) **Geographical.** This code is effective in all geographical areas (local, national and international) where CIDOB operates.
- c) **Relational.** All third parties with professional or commercial relations with CIDOB are also bound by this code in all applicable cases. In the event that the mentioned third party has their own code of ethics defending ethical principles, values and performance standards equivalent to those of CIDOB, this may also be acceptable.

Binding nature of the Code of Ethics

All those who are subject to the Code of Ethics and all the regulations deriving from it are obliged to respect it and comply with it, regardless of their post at CIDOB or their relationship with it. For this reason, board members and senior managers must show strong ethical leadership and respect and act as examples. This means that they must ensure that the members of the institution comply with this code, while leading compliance with it and strict respect for it.

Thus, as it constitutes the institution's highest regulatory level, any breach or failure to respect the Code of Ethics – or any rule deriving from it – will be subject to the sanctions regime legally established at the time and the institution's collective agreement. This is without prejudice to any proceedings of a civil, criminal or other nature to which CIDOB or third parties also affected by the breach mentioned are subject.

All of the foregoing also applies in relation to the provisions of the Code of Ethics of Catalan Foundations of the Catalan Foundation Coordinator, and the European Code of Conduct for Research Integrity published by ALLEA (All European Academies), in all matters that apply to the institution, as CIDOB's activity is also subject to their content.

IV. CIDOB's ethical criteria, values and performance standards

In the performance of their duties, all members of CIDOB will ensure the ethical criteria, the foundational values (general and in the field of research) and the following performance standards are observed:

a) Ethical criteria

- **Legality.** In its operations, the institution will always comply with the legal system in force at any time.
- **Transparency.** CIDOB's activity will be conducted in a transparent way, adapting to the applicable transparency regulations and complying with standards on the access to public information and good governance.
Similarly, it must subject its activity to an external audit of its accounts, as well as to an evaluation of results process in order to be accountable to the board, to institutions and to the wider civil society.
- **Independence.** The research the institution carries out must always have a scientific basis, with all the existing elements properly assessed and weighed in order for independent conclusions to be reached.
- **Efficacy and efficiency in the use of resources.** The resources received must be managed in accordance with principles of efficiency, equity and efficacy.
- **Social responsibility in the field of defending human rights.** The institution will also assume its social responsibility in terms of defending human rights through the studies and investigations it carries out, in accordance with the Universal Declaration.

b) General values

- **Humanist values.** CIDOB will always put people at the centre of its research.
- **Democratic pluralism.** The research work carried out within the institution will always respect democratic pluralism.
- **Non-discrimination.** All members of CIDOB will always be treated equally and no form of discrimination will be tolerated. In no case shall a person's gender, sexual identity, race, religion, political or trade union ideas, social situation, disability or any other personal condition be reason for evaluation, either directly or indirectly, in the workplace or in their work, in job applications or decisions on promotions, dismissal, transfers or salaries.

- **Gender equality.** CIDOB will promote gender equality, so that not only is it respected *ad intra* the institution, but also *ad extra*, in its relations with third parties. CIDOB has a strong commitment to promoting non-discrimination for gender reasons in all areas, stages and circumstances of life.
- **Meritocracy.** CIDOB will advocate a culture of merit, effort and professional improvement that will influence all of the institution's areas and levels. This will apply to its recruitment policy in the favouring of equal opportunities.
- **Economic and environmental sustainability.** The institution will operate in accordance with the parameters of economic and environmental sustainability good practices.
- **Quality of services provided.** The studies CIDOB makes, whether at the request of a third party or on its own initiative, will always reflect the highest standards of quality in terms of their execution and will respect all the standards the institution is obliged to observe. In this sense, all the projects undertaken will be led by a person who will oversee the quality of the study, as well as the fulfilment of the narrative and financial requirements established for the project.
- **Collective good.** CIDOB's research work, whether developed by its members or collaborators, will always work towards the public good.

c) Specific values in the research field

- **Innovation.** The institution's main objective is its research, the results of which must be innovative and critical.
- **Professionalism and rigour.** CIDOB's research and development work will always be carried out with the utmost professionalism and rigour, to a level that matches the excellence attributed to the institution. To this end, staff will receive the necessary training and resources, as well as a Master Plan through which the organisation's objectives and lines of research are established.
- **Scientific excellence.** In order to support the scientific excellence of CIDOB's researchers, the institution will encourage their participation in high-level congresses, as well as the publication of their work in magazines and media of recognised prestige. It will also encourage the development of training activities.
- **Authorship.** CIDOB publications will always reflect the real authorship of their research, according to the contribution made by their authors or in alphabetical order.
- **Open access.** CIDOB will encourage unrestricted access to its publications. It will also seek to facilitate the availability of the results of its research projects.
- **Best value for money.** In carrying out its work, the institution will give consideration to the most advantageous balance between cost, quality and sustainability.
- In its research, the institution will also respect the values of **reliability, honesty, respect and responsibility**, as set out in the European Code of Conduct for Research Integrity.

These values will be duly recognised in the Research Code of Ethics produced by CIDOB.

d) Performance Standards

RULES ON INTERNAL CONDUCT

• Working environment and safety at work

CIDOB's working activity will be conducted according to the following principles:

- Responsible working practices will be established in order to create a good working environment.
- Legal provisions, collective agreements and individual contracts that recognise the rights of its workers will be respected.
- Regulations on occupational risk prevention will be respected in accordance with the institution's Health and Safety Manual.
- Employees will be provided with the means necessary for the proper performance of their duties and an environment free from health risks will be guaranteed in all CIDOB facilities.

- It will attend to the proposals made by workers' delegates as guarantors of the proper application of the collective agreement and of good working relations, and ensure they are properly evaluated.
- No hostile or humiliating treatment of any worker or collaborator will be permitted.
- All forms of sexual, occupational and personal harassment remain prohibited.
- As far as possible, it will facilitate work-life balance and flexible working without detriment to professional promotion.
- It will respect freedom of association and the right to collective bargaining, as well as the right to strike.
- Job offers published will adhere to the criteria of commitment and transparency, as will any employment contracts signed.

- **Intellectual and industrial property**

CIDOB's foundational goals are based on the creation of intangible assets through the promotion of research and innovation.

In the performance of any research task undertaken by the institution, particular care must be taken when using artistic, scientific or literary works, and the intellectual property rights of third parties must be respected at all times.

Where applicable, permission should always be obtained from the owners or assignees of rights for the use of any works in the completion of research tasks.

Industrial property rights must also be respected.

Members of CIDOB are forbidden from using unlicensed computer programmes. They are also prohibited from accessing websites that contain inappropriate or offensive content unless it is necessary for research purposes.

- **Conflicts of interest**

It will be understood that a conflict of interest may result when the personal interests (of an economic or personal nature) of anyone subject to the code and the interests of the institution come into conflict.

All CIDOB members must prioritise their professional responsibilities, giving priority to the well-being and interests of the institution over any staff or third parties with whom they may have a relationship.

Those subject to this Code of Ethics must avoid entering into situations that may produce a conflict of interest. When this is not possible, CIDOB's Oversight Body must be immediately informed in writing. They will assess whether a conflict exists and, if necessary, take the solution that best suits the institution.

In no case shall the person affected by the conflict of interest participate in the decision-making process on the issue and they must also refrain from influencing the persons responsible for taking the decision. All members of CIDOB are responsible for avoiding potential conflicts of interest.

- **Gifts and hospitality**

The members of the institution are not permitted to accept gifts, benefits or hospitality from third parties with whom they maintain or may maintain professional relationships. There may be exceptions in cases where:

- The gift or hospitality is not in the form of money or may not easily be converted into money.
- The gift or hospitality itself has a symbolic, residual or negligible value, meaning that it would not influence the recipient's decision-making capacity (e.g.: corporate promotional gifts).
- The gift or hospitality has legal effect and forms part of an act of courtesy or a socially appropriate commercial practice.
- It has not been requested by the recipient.

In the event that members of the institution receive or are offered gifts that exceed these limitations, they must be refused and, moreover, CIDOB's management or Oversight Body must be informed.

Offering money, gifts or benefits of any kind to customers, suppliers, civil servants and, in general, to any third party, for themselves or their circle is also prohibited in order to avoid compromising integrity and impartiality.

Giving gifts and hospitality to representatives of public administrations is also expressly prohibited.

- **Travel and travel by invitation**

Members of CIDOB may only accept travel invitations from third parties when they are exclusively justified by duties relating to professional projects and when aimed at promoting the institution's foundational goals.

Where possible, the institution's management should be informed and the travel should be handled by them.

- **Professional activities beyond those of the Foundation**

Using the institution's name, CIDOB staff may engage in academic, professional or collaborative activities with other entities (such as conferences, teaching, and writing reports or articles for publication in the media), provided the institution is given prior notification. Similarly, the institution must be informed of the entity with which the collaboration is to take place, the location and conditions in which it will take place, and the hours dedicated to the activity.

In the performance of the aforementioned activities, in all cases, CIDOB's interests must always prevail. Such activities must not impede the proper pursuit of the institution's research objectives and/or the duties of its staff.

- **Relations with suppliers**

Relations with suppliers will always be based on objective, impartial criteria that ensure equality of competition.

CIDOB will ensure it is cognizant of the operations of its suppliers so that it can ensure that they also respect their values and performance standards.

- **Collaborative relations with companies, professionals, politicians, the third sector, universities, research centres and other foundations**

All of CIDOB's professional activities with any collaborator must respect objective, impartial criteria that also ensure equality of competition.

These relationships must always be framed by the pursuit of the foundational goals.

Efforts will be made to encourage and participate in shared projects, and thereby promote possible collaborations. In this sense, networking should be encouraged to generate synergies that facilitate better use of resources and, consequently, better results.

The institution will also ensure that its partners comply with the values and principles of this Code of Ethics.

- **Financial transparency and relations with the tax and social security authorities**

CIDOB will promote the financial transparency of its organisation. This means that it will portray the reality of its financial, asset and economic position in accordance with general accounting principles. Its financial and accounting statements will always be available on its website for verification and analysis.

CIDOB commits to meeting its obligations in this matter and to developing the following good tax practices with the tax authority, as well as with social security services, whether at state, autonomous community or local level:

- It will declare its obligations to the public treasury correctly.
- It will meet all its social security obligations without, in any case, obtaining deductions or undue benefits.
- It will submit its annual accounts for external auditing.
- It will present its audited annual accounts to the Foundation Protectorate.
- It will keep paper records of non-digitised information for the time required by law and will not destroy documentation that may be relevant to administrative or judicial processes.
- When required it will collaborate with the competent authorities in inspections or administrative checks or by providing any documentation requested, which will be fully submitted in a clear way.
- It will take the measures necessary to prevent the institution's structure from being used for money-laundering and/or funding terrorism.
- As far as possible, it will limit the use of cash in the payments it makes.
- It will justify the subsidies received in accordance with the required regulations and obligations.
- It may adhere to the Spanish Tax Administration's "Code of Good Tax Practices" in order to increase legal security within its structure and to apply responsible tax policies.

- **Information for internal and confidential use**

The information owned by the institution that is not public shall be considered to be of internal use and will, in all cases, be subject to professional secrecy without its contents being supplied to third parties. This information may also be classified as confidential.

The requirement for professional secrecy may be waived by the CIDOB management in accordance with applicable regulations, and may cease to be applicable if required by a legal body or an administrative authority.

In their relations with third parties, CIDOB members are responsible for duly protecting the information to which they have access due to their position.

- **Recovery of resources and economic management**

CIDOB must ensure that all the resources it obtains for pursuing its foundational goals, including membership fees, donations and subsidies, are collected in accordance with transparent, objective and revisable criteria.

It must also ensure that the resources received are used solely for the purposes and activities for which they have been granted, as well as that their granting does not involve processes in which deception or the concealment of information may occur.

The institution must establish models for managing financial resources that avoid the commission of criminal behaviour and produce sound financial management of the resources received.

- **Environment**

CIDOB must operate within the parameters of good environmental practices. Specifically, it must ensure:

- Materials are reused and recycled.
- The natural environment is respected and the consumption of resources is minimised, and that it works towards sustainability.
- Ecological measures are promoted such as energy saving and environmental protection.

- **Protection of personal data**

The institution will always act in compliance with the regulations on the protection of personal data in force at any time.

- **Use of IT tools and resources**

The material resources CIDOB makes available to its members are provided for the performance of their professional tasks. In no case may they be used for personal ends. These resources must also be used efficiently and responsibly.

The institution may carry out monitoring of its members' computer equipment, including their work e-mail.

RULES ON EXTERNAL CONDUCT

- **Institutional relations with national and international public administrations and with the Administration of Justice (with specific reference to the Protectorate of Foundations)**

All the relationships CIDOB engages in with national and international public administrations and institutions, as well as with the Administration of Justice will be guided by respect for legality, transparency and collaboration. When such relationships are necessary, they will be conducted only by the people designated for those purposes by the institution.

- **Protectorate of Foundations**

The Protectorate and the foundations share the right and the duty to work in the general interests of society. For that reason, CIDOB will request that the Protectorate oversee its proper functioning, and will accept the requirements the Protectorate makes of the institution. CIDOB will always cooperate with requests for information made by the Protectorate.

- **Government of Catalonia**

CIDOB is part of the European System of Accounts (ESA) of the Government of Catalonia, and will therefore fulfil, as periodically required, its obligations to transfer information to the state public accounts department on the execution of the institution's budget and its level of indebtedness.

- **Sources of funding for public and private projects**

In the framework of carrying out its research projects, CIDOB has relationships with both public and private sources of funding. These relationships should always be guided by transparency, objectivity, professionalism and legality, and in the presentation and execution of research projects all of these criteria must be respected.

- **Social networks**

CIDOB will use social networks to help its content reach civil society and the academic, political and economic worlds, contributing independent analysis that leads public debate, which is, in turn, able to influence the international action of the different political actors.

When CIDOB members use social networks, they will do so respecting the institution's values.

- **Relations with print, radio and audiovisual media**

CIDOB's media participation must always be impartial, truthful and objective, and the person designated for this purpose must always be informed.

No confidential information about the institution or the foundation's activity will be published or communicated in any case, unless authorised by the management.

Likewise, any member who is invited to give interviews, statements, or similar on CIDOB's research tasks must inform the institution's head of communication.

- **Website**

CIDOB's up-to-date official website provides abundant information about its activity, internal organisation and way of working. It presents the projects carried out, publications and the agenda of past and future activities.

It also has a transparency portal that provides economic and budgetary information, where the economic sums received during past financial years are shown, as well as the budgets of the years to come.

V. Ethics and Security Committee

The bodies with the highest responsibility for regulatory compliance are the Board, the management and the Ethics and Security Committee – as Oversight Body.

CIDOB's Board and management must show ethical leadership and a commitment to the culture of best practices within the institution. In this way, the organisation will be able to align its activity with these parameters.

The **Board and Management** must therefore act as examples, showing their commitment to implementing and respecting this code and other rules that may derive from it.

Along with the two bodies previously mentioned, the **Oversight Body** will be CIDOB's highest authority for supervising the effective operation and compliance with this Code of Ethics and other monitoring tools that may be developed at the institution. It is a permanent body linked to the institution's Board, but is independent in nature.

VI. Communication and Ethics Mailbox

A Communication and Ethics Mailbox will be established by the institution for receiving messages raising concerns about breaches or potential breaches of the law, this Code of Ethics or any rule deriving from it. It may also be used to submit proposals for the improvement of any of the institution's monitoring tools, as well to resolve doubts about regulatory compliance.

The obligation to warn of all instances of non-compliance or potential non-compliance encountered applies at all levels of the institution.

The means of communication for this Ethics Mailbox may be via the institution's internal communication system, e-mail, post or the telephone.

The Oversight Body will be responsible for developing and overseeing the Ethics Mailbox, as well as for handling the messages sent to it, although this management may be outsourced.

Those who raise concerns in good faith must have their confidentiality and indemnity guaranteed and they must not, in any case, receive reprisals of any kind. The right of the parties involved in the dispute to defend themselves must also be guaranteed.

Any complaints received anonymously will also be processed.

VII. Sanction procedure

This code forms part of the institution's labour relations regulations. Compliance with its provisions is considered to be an essential obligation of the members of the institution.

CIDOB will oversee its observance and investigate any breaches it learns of by any of its members.

As a result of this, a finding of non-compliance with this Code of Ethics, any other applicable rules or those of a legal nature, will entail the initiation of a sanction procedure.

In all cases, this procedure will be carried out within the parameters of proportionality, with respect for the right to privacy and the presumption of innocence, as well as the rights of the person under investigation to defend themselves.

These violations will be sanctioned in accordance with the criteria established by the regulations in force at the time and the corresponding collective agreement that applies to CIDOB (see article 34 of the agreement).

When the infringement is committed by a third party that does not have a formal working relationship with CIDOB, the termination of this relationship may be agreed without the institution being penalised, as compliance with this code and other rules that derive from it constitute an essential requirement for the continuation of the contractual or professional relationship in question.

VIII. Communication and dissemination of the Code of Ethics

All those who are subject to this Code of Ethics must be aware of its contents. For that purpose, it will be published on the institution's website.

CIDOB will also provide relevant training and will be responsible for making all its members aware of the Code.

The Oversight Body will ensure that those subject to the Code have read and understood it, and undertake to comply with it.

The institution will retain sufficient evidence of the effective delivery of the Code to those subject to it, as well as of any training carried out.

IX. Antecedents, approval and entry into force of the Code of Ethics

Background

The table below shows the different versions of this document that have been produced, their date and the subsequent modifications made to each of the versions of the document:

Version	Date	Changes
1.0	June 2018	Initial version
2.0	28 th June 2019	Revision of the entire document in order to add certain aspects not provided for in the first version and to improve the description of the institution's principles and values.

Approval and entry into force

This Code of Ethics was approved by CIDOB's Board on 28th June in its capacity as the institution's

governing body. The date of the Code's approval is recorded in the minutes of the meeting, and is considered the date of the document's entry into force.

X. Update, improvement and amendment of the Code of Ethics

Update and improvement

This Code of Ethics will be updated and reviewed when the need arises, in order to include the improvements that are considered necessary to define the ideal conduct to promote within the institution and ensure that its content is always in line with possible legislative and jurisprudential changes or those that may result in the institution itself.

Amendment

The Board may amend the Code of Ethics on its own initiative and/or at the proposal of any of its recipients.

In all cases, appropriate modifications will be proposed in the following circumstances:

- When infractions of the Code of Ethics or of the regulatory body that develops it arise.
- When significant changes occur within the institution or in its activity.
- When changes occur in the institution's control structure.

XI. Acceptance of those subject to the Code of Ethics

All of those subject to this code must carry out their work responsibly and, in their activity, protect the institution's prestige and reputation.

In particular:

- Those subject to the code must know its provisions, as well as other rules that may arise from it. Acceptance of the code is therefore required of everybody who joins CIDOB.
- For those who are already members of CIDOB, an addendum may be placed in their employment contracts or their express acceptance of the Code of Ethics may be requested.
- Third parties that maintain commercial or professional relations with the institution must also accept the Code of Ethics.
- Failure to comply with these obligations by third parties may be construed as a serious breach of the contract between the parties, which may result in termination of the contractual relationship without CIDOB being penalised.
- If they become aware of a breach of the code or other regulations that arise from it, they must inform their superiors or the Oversight Body.

In this regard, CIDOB will supervise the acceptance of the Code of Ethics, both internally and externally, whenever necessary.

ANNEXES

Acceptance of the Code of Ethics (internal)

By signing this document I certify that I have received, read and understood the Code of Ethics of the Barcelona Centre for International Affairs (CIDOB), (version 2.0). With this signature I commit myself, to respect it and comply with it.

I also understand that incompliance with its contents could lead to disciplinary action being taken by CIDOB.

Through this document I also agree to keep up to date with changes to the code, and to read future amendments that may be made.

DATE:

NAME/ID No.:

SIGNATURE:

Acceptance of the Code of Ethics (external)

By signing this document I certify that I have received, read and understood the Code of Ethics of the Barcelona Centre for International Affairs (CIDOB), (version 2.0). With this signature I commit myself, at the same time, to respect it and comply with it.

I understand that incompliance with its content could lead to a serious breach of our contractual relationship that could lead to its termination without CIDOB being penalised.

Through this document I also agree to keep up to date with changes to the code, and to read future amendments that may be made.

DATE:

NAME/COMPANY/Tax ID No.:

SIGNATURE:

CIDOB

BARCELONA
CENTRE FOR
INTERNATIONAL
AFFAIRS

2019