



The Universidad Carlos III de Madrid Code of Ethics

Vice-Chancellor for Institutional Relations
and University Social Responsibility

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Chancellor's Introduction

CHANCELLOR'S INTRODUCTION TO THE UC3M CODE OF ETHICS

Since its creation, the Universidad Carlos III de Madrid has been promoting the ethical principles that derive from its mission as a public university focused on excellence in the expansion of knowledge, the comprehensive education of its students and active commitment to society's needs.

The recent approval of the 2030 Agenda for Sustainable Development by the United Nations indicates to us the path we need to follow as a public institution in order to attain a more just society and a more sustainable world. Within the framework of the achievement of the 17 Sustainable Development Goals, the Spanish Government has approved the Action Plan for the implementation of the 2030 Agenda "Towards a Spanish Strategy for Sustainable Development", the content of which was developed with contributions from Spanish universities through the Conference of Chancellors of Spanish Universities (CRUE in the Spanish acronym). In the contribution paper, the university community commits to placing "its resources and aptitudes at the disposal of the 2030 Agenda, as well as its area of influence in the service of sustainable global development, not only with respect to SDG 4, but rather all of the 17 goals established". Specifically, SDG 4 covers the necessary inclusion in the educational model of competencies related to ethical values in favour of social, environmental and economic sustainability.

Within this framework, the UC3M presents the Code of Ethics as a non-legal instrument. Therefore, its observance does not derive from obligatory compliance with legal regulations, but rather from the moral commitment of our university community to compliance with the ethical principles that should guide our behaviour and be accepted as guidelines that permeate all the objectives and aims. So far, the UC3M has in place regulations and declarations of an ethical nature concerning equality based on sex and gender, university social responsibility and sustainability, research, the Doctoral School and students. This text also serves as a framework for other instruments that may be developed in the future in response to the particular characteristics of certain ethical conflicts, activities or groups.

This Code of Ethics is the result of the proposal made by an expert Committee, coordinated by the Vice-Chancellor for Institutional Relations and University Social Responsibility and the Social Board of our University. This Committee was chaired by María del Carmen Barranco Avilés (Deputy Vice-Chancellor for Guidance) and was made up of representatives from various institutional bodies from the University (the university ombudsman, Emilio Olías Ruiz; the Secretary General of the Social Board, Rosario Romera Ayllón; the Deputy Vice-Chancellor for Equality, Rosario Ruiz Franco; the Deputy Vice-Chancellor for the Strategic Plan, José Antonio García Souto; and the Student Delegate, Adhik Kandeli Naidu Pérez de Arriclea); Directors of University Services (the director of the Equality Unit, Elena San Segundo Gómez de Cadiñanos, and the deputy director of the Research Service, Pilar de Cristóbal Varela); Professor Fernando Broncano Rodríguez; the doctoral student David Navarro; and representatives of civil society (Josep Joan Moreso, former Chancellor of the Pompeu Fabra University; Pedro Sainz de

Baranda, member of the UC3M's Social Board; and Juan Mora Sanguinetti, an economist from the Banco de España and former student of the UC3M). I would like to express my profound gratitude to all of the above for their generosity and their commitment to improving our University.

With this new tool, we wish to make the research and educational programme we conduct more transparent for society, and we hope that it will become an even more effective instrument in order to achieve the best possible University.

Juan Romo
Chancellor

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I. GENERAL PRINCIPLES

1. Human dignity, freedom and equality

All the persons who are part of the UC3M must act and make decisions in the academic field based on the commitment to human dignity and the principles of freedom and equality in diversity. All UC3M activities in the fields of research, teaching, management, study, university life and in general in everyday behaviour must be subject to these principles, under which academic freedom also proceeds.

2. Collegiality and trust

1. Collegiality means conceiving of the UC3M as a group of people who have equal consideration and respect in their activity. This college of people expresses itself in the climate of cooperation among equals which encompasses the entire university community.

2. The principle of trust establishes the obligation of loyalty which each one of the persons (or all the persons) from the university community has to the objectives of the institution and the personal effort for their attainment. In particular, it establishes the proper use of the spaces, time and resources of the UC3M; the creation of an atmosphere of cooperation at work and the subordination of personal legitimate interests to collective interests on occasions when there may be a conflict between the two.

3. Integrity, honesty, excellence, transparency and confidentiality

1. The UC3M upholds a professional ethic in all the functions of each of its members, which derives from the highest objectives of the institution and which is governed by the principles of honesty, integrity, excellence, transparency and confidentiality.

2. Honesty must be applied in the completion of the tasks entrusted to the different areas of research, teaching, management and educational learning. In particular, it is considered that behaviours such as the use of unauthorised sources, plagiarism and deception in research, teaching and learning activities do not respect the principle of honesty.

3. Excellence must be understood as the achievement of high levels of

performance and exigency in public service on the part of the entire university community. In terms of research and teaching, the work of University staff should - taking into account the available means – aim to apply quality standards both nationally and internationally and this should be reflected in the attainment of remarkable levels of new knowledge in the service of society. The principle of excellence is closely linked to the principle of evaluation, both internally and externally.

4. In accordance with the principle of integrity, UC3M staff must exercise their functions based on the most scrupulous respect for the public service that the UC3M provides, abstaining from managing the procedures for which they are responsible in such a way that it results in benefits for family members or friends, or privilege for holders of public office. They should also reject any gift, favour or advantageous service that goes beyond the usual, social and courtesy uses.

5. Persons from the university community, who must act with the utmost respect for the duty of transparency, must also refrain from disclosing documents, reports or data of whose confidential nature they are aware.

4. Responsibility and commitment to society

Persons who are part of the university community shall be guided by the principle of cooperation with society in its different spheres. By virtue of this principle, activities involving interaction with the social environment that put into practice the vocation of social service of the UC3M as a public institution should be promoted.

5. Ethical education

All persons in positions of responsibility within the institution, and especially teaching and research staff, will assume the particular responsibility of inculcating and promoting these values in the education of students, especially through the exemplariness of their daily practices.

II. PRINCIPLES RELATED TO THE TEACHING AND LEARNING PROCESS

6. Comprehensive education

The different agents that participate in the educational processes of the UC3M, from the Teaching and Research Staff and the Administration and Services Staff to the students themselves, must conduct their work guided by the concept of a comprehensive education, that is to say, an education which, together with the necessary disciplinary and professional training, encourages critical thinking, an open mind, social awareness and the intellectual understanding of the great cultural products of history and the present moment.

7. Rigour and quality of teaching

The persons and bodies involved are committed in their pedagogical activities to an education of the highest possible quality. All the persons and entities must care for the educational environment so that the classes and activities of teaching and learning are conducted with rigour, achievement of the goals and suitable didactic methodologies.

The creation of an environment which is respectful, tolerant and open to dialogue should be encouraged. As a consequence, any expression of discrimination, harassment or violence that may occur in the asymmetry that characterises, among others, the relationship between student and teacher, must be avoided.

In the same way, the collaborative spirit should be promoted in all areas of academic life, one which is not opposed to personal merit, but which is, on the contrary, a necessary component of education.

Special attention must be paid to the requirement to respect people's diversity in terms of beliefs, ideologies, sexual or gender orientation, and socioeconomic status.

8. Participation of students in university life

The persons that make up the university community should encourage the participation of students in the different levels of organisation that concern them, considering that critical thinking, deliberation concerning the aims of the University and decision-making skills are fundamental to education.

III. PRINCIPLES RELATED TO RESEARCH AND TRANSFER

9. Research freedom

The research staff, in line with Article 1 of the general principles of this Code of Ethics, will be free to conduct research and share the research findings.

10. Responsible research

The research carried out in the UC3M must be responsible research, aligned with the general principles that govern this Code of Ethics and with the principles outlined at European level, for example, in the Responsible Research and Innovation (RRI) initiative.

The research staff must plan their research activities in all its phases, from the initial concept to the dissemination to society of their findings. They must faithfully comply with their research obligations throughout the whole process, conducting an ethical and efficient management of the research funds available, with the scope and commitment established for each category and in accordance with the ethical standards which apply.

11. Scientific community

Research is not an activity that is conducted in isolation. The research staff must foster a climate of mutual trust in order to encourage the free exchange of ideas, to create and maintain a climate of cooperation and to enable each person to reach their full potential. In this way, the spirit of collaboration among interdisciplinary groups and research staff from other Spanish and foreign universities is strengthened, in line with the UC3M's international vocation.

12. Education of research staff

The research staff assumes the commitment to educate themselves and ensure their knowledge remains current. They must contribute to the education of each member of their research team and they will supervise trainee research staff. The commitment to education encompasses the research outline, methodology, use of equipment, data management, record keeping and publication. It also covers issues relating to regulations, confidentiality, data protection and respect for the intellectual property rights of third parties.

13. Publication, authorship and dissemination of research findings

Research staff should strive to publish and disseminate their research findings in keeping with the highest quality standards.

Authorship will be guaranteed provided that participation in the research has been sufficient for them to take public responsibility for the contents of the publication and to acknowledge their contribution thereto. The persons who conduct research tasks must take all necessary measures to ensure that neither they nor those who collaborate with them have engaged in plagiarism in obtaining or presenting their research findings.

The research staff must engage in a responsible manner in the processes of the publication and dissemination of their work.

14. Open access to research findings

The research staff should seek to make the findings of their research as widely and freely available as possible.

Therefore, the research staff must provide open access, whenever possible, to both their publications and data related to the research in which they participate, especially those financed with public funds, in accordance with the policy and institutional practice of Open Science.

15. Research Ethics Committee of the UC3M

The research staff, in line with the ethical principles applicable at

European level, must inform the Research Ethics Committee of the UC3M of their intention to carry out research related to the aspects specified in art. 4.6 of the Code of Good Practices for Research and Development of the UC3M.

IV. PRINCIPLES RELATED TO UNIVERSITY SOCIAL RESPONSIBILITY AND RELATIONSHIP WITH THE ENVIRONMENT

16. Relationship with the environment

All persons who are part of the university community must work to provide the best service to society and establish channels of assistance and collaboration with citizens, social organisations, companies and public administrations.

Likewise, they must make the transfer of knowledge one of their lines of action and pay special consideration to relations with other Universities, higher education centres and research centres, helping the UC3M to obtain full integration within the European Higher Education Area.

17. Conflicts of interest

Conflicts of interest arise in circumstances in which personal interests, directly or indirectly, are contrary to or clash with the interests of the University, interfere in the proper performance of their professional duties and responsibilities, or involve the person in any economic or academic transaction or operation of the University in which they have a personal interest.

In order to implement the principle of trust outlined in Article 2, potential conflicts of interest must be identified and addressed according to the following guidelines:

- I. Avoidance: whenever possible, conflicts of interest should be avoided.
- II. Communication: in the event that a conflict occurs, the person involved must communicate with absolute transparency the existence of this conflict to the persons in charge of the process concerned so that it can be dealt with.
- III. Disengagement: persons who are in a situation of conflict of interest will not participate in decisions regarding those who are in conflict.

18. Fundraising

The entire university community must foster, within its capacity and competencies, the raising of funds, both public and private, involving society, with the aim of improving the scientific and academic output of the UC3M. This activity must be carried out complying with the highest ethical standards, as established in this Code of Ethics.

19. Transparency

The entire university community must make responsible use of information and contact with the media.

20. Achievement of the Sustainable Development Goals

1. The Sustainable Development Goals must be borne in mind in the activity of the UC3M and in the implementation of this Code of Ethics. Each person from the university community, within their competences and capacity, must promote policies of social commitment, a healthy university and sustainable development.
2. The need to minimise any negative impact on the environment should inform persons who are part of the university community in their different roles. All activities and initiatives of the UC3M must contribute to the energy transition, to the effort to recycle materials and waste, to the promotion of austerity and energy saving practices. Specifically, research and experiments must be carried out with the utmost possible respect for the environment.

V. PRINCIPLES RELATED TO LABOUR RELATIONS AND INTERNAL ORGANISATION

21. General duty of UC3M staff

UC3M staff will exercise their functions according to the principle of dedication to public service, in full compliance with the law.

22. Access, promotion and working conditions

1. The persons responsible for access to employment, promotion, education and working conditions must act in favour of equal treatment and opportunities. In no case may there be any discrimination based on sex, age, nationality, race, disability, ideology, sexual orientation, gender identity and/or expression or any other personal or social status or circumstance.
2. The persons concerned must facilitate access to education for all University staff, bearing professional profile and individual capabilities in mind.
3. The organisation of work should promote a balance between work and personal life.

23. Right to privacy

Those who have access to personal data must maintain confidentiality, as a guarantee of the right to privacy, and will not misuse that data, especially when of a personal, economic, medical or psychological nature.

24. Safety, health at work and use of facilities

1. The persons responsible must ensure that occupational safety and health measures are complied with in accordance with current regulations on the prevention of occupational hazards. Likewise, training actions will be organised so that UC3M staff is aware of the existing regulations.
2. Each person who is part of the UC3M community must use the facilities responsibly as well as, in general, all physical and computer media made available to them.
3. Hazardous situations will be avoided following the regulations concerning the prevention of occupational hazards.

25. Freedom of expression and communication

1. Freedom of expression will be guaranteed in the field of labour relations. This principle applies both internally, with regard to relations within the university community, and externally, regarding relations of the university community with third parties and with the media.
2. All bodies should promote dialogue with students and representatives of the teaching staff, researchers and other personnel who serve the institution and should be open to their contributions and criticism for the improvement of the UC3M.
3. In no case will actions which may obstruct or impede the exercise of free expression be allowed in accordance with the principles contained in this code of ethics.

VI. IMPLEMENTATION OF THE CODE OF ETHICS

26. Compliance with this Code of Good Practices will be the responsibility of the Committees established in the UC3M in each area.

ANNEX

ETHICAL REGULATIONS AND DECLARATIONS

UC3M

-Sex and gender equality

- The UC3M's Second Gender Equality Plan (approved by the Governing Board in Session on October the 30th, 2017)
- Protocol for prevention and action against sexual and gender-based harassment within the UC3M, (approved by the Governing Board on March the 21st, 2013).
- Good practices for equal language treatment (approved by the Board of Directors on November the 25th, 2015)
- Good practices for equal image treatment (approved by the Board of Directors on November the 25th, 2015)

-Sustainability and University Social Responsibility

- Chancellor's Statement on the UC3M's Commitment in the area of socio-environmental sustainability.
- Chancellor's Message on University Social Responsibility in the UC3M

-Research

- Responsible Research and Innovation – RRI.
<https://ec.europa.eu/programmes/horizon2020/en/h2020-section/responsible-research-innovation>
- The UC3M's Code of Good Practices for Investigation and Transfer (approved by the Governing Board in session on December the 14th, 2017).
- Resolution of the Governing Board by which the UC3M's Research Ethics Committee is created (adopted in session on September the 25th, 2014).
- Regulations concerning the Organisation and Functioning of the UC3M's Research Ethics Committee (approved by the Governing Board in session on April the 27th, 2017).

-Doctoral School

- Code of Good Practices of the UC3M's Doctoral School (approved by the Governing Board in session on February the 7th, 2013)

-Students

- Letter of rights and duties of UC3M students (approved by the Governing Board in session on March the 4th, 2005)
- Good Practices Guide for UC3M students (approved by the Governing Board in session on November the 29th, 2012)
- Instruction from the Vice-Chancellor of Students, Social Responsibility and Equality, by which the operation of the Care Programme for Students with Disability and Specific Educational Support Needs is regulated (BOEL [Official Electronic Newsletter] of December the 15th, 2017)
- Instruction from the Vice-Chancellors of Studies and Students, Social Responsibility and Equality concerning the Legal Framework and Disciplinary Procedure applicable to students of the Universidad Carlos III de Madrid in the processes of academic evaluation (published in the BOEL of July the 21st, 2017)