



**INTERNAL INFORMATION  
SYSTEM POLICY**

**ETHICAL CODE**

**INSTITUTO TECNOLÓGICO DE LA  
ENERGÍA**

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Approved by the: Governing Council  
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## 1. Introduction

In accordance with the Code of Ethics in place at the Instituto Tecnológico de la Energía (hereinafter referred to as, **"ITE"** or the **"Organisation"**), the Organisation's commitment is to bolster ITE's standing through daily endeavours and actions framed within the stance of ethics and integrity. In this regard, with the aim of identifying any type of incident or irregularities that contravene the Code of Ethics and any other applicable regulation, either internally or externally enforceable, staff at ITE are duty bound to notify of such actions.

To accomplish this, ITE is backed by an Ethical Channel through which the disclosure of incidents and irregularities has been enabled since 2017 onwards. ITE's Ethical Channel is housed within the Internal Information System implanted within the Organisation, in such a way that this document is devised as the Corporate Policy for the Internal Information System (hereinafter referred to as the **"Policy"**) therein setting forth its principles and guarantees, as well, specifically, the Ethics Channel.

At ITE, we have enabled diverse avenues of communication with our internal and external stakeholders as a means of instilling thus a culture of open, transparent and trustworthy communications amongst people, fostering this culture of communications as a basic element of our Internal Information System and Crime Prevention Model.

Nonetheless, any notification or complaint, regardless of the channel through which it has been disclosed, will be handled in accordance with the provisions contained in the Policy and the Internal Information System Procedure, whenever such notifications or complaints are found to be within the material scope of this Policy.

With regard to all of the foregoing, ITE shall be held liable for compliance with the principles and guarantees set forth in this Policy, and specifically the protection of the complainant in good faith under the terms stated in the actual Policy and its implementing regulations, alongside any other duly applicable legislation.

## 2. Scope of application

### 2.1 Personal scope of application

This Policy is applicable to all persons who form part of ITE. In view of this, it is a duty of all board members, executives, employees or persons who have a hierarchical dependency relationship with ITE, regardless of their functional hierarchical or territorial position in which they operate (**"Personnel"**), to notify of any irregularity or act that contravenes legality or the internal regulations of which they are made aware using the Ethical Channel.

Furthermore, any person (legal or natural) who has had, has or may have a professional relationship (or within the framework of a professional setting) with ITE (**"Third Parties"**) is encouraged to use the Ethical Channel likewise in cases regulated by this Policy and its development Procedure, as a formal mechanism and regardless of whichever any other means of communication are made available to Third Parties.



## 2.2 Material scope of application

Pursuant to this Policy, the Personnel and all Third Parties may disclose their knowledge or grounded suspicion of irregular conduct or that which may entail a **breach of current legislation in force, of our Code of Ethics, along with the rest of ITE's internal regulations**. Additionally, the Ethical Channel may similarly be used to put forward doubts or queries in this regard.

Specifically, the above will be applicable to any communication listed in Article 2 of Law /2023, passed on 20 February, considering Law in the European Union, any behavioural type that may be deemed as constituting a serious or very serious administrative or criminal infringement, including those related to Public Finances and Social Security, as well as in the employment sphere involving breaches of occupational health and safety in the workplace.

The channels that comprise the Internal Information System must not be used to disclose interpersonal information<sup>1</sup> that does not entail breach and/or refer to personal and private matters between persons, nor sharing items that are wholly available for the general public, or which tantamount to little more than spreading gossip.

It is wholly forbidden to report false events knowingly, with the perpetrator being held liable for their legal consequences in this scenario.

Any notifications, whenever they are included in the objective sphere of this Policy, shall be treated with the protection measures and guarantees offered by the Internal Information System.

## 3. Mechanisms to notify of queries or reports at ITE: Ethical Channel

At ITE, we boast multiple means of communication for our Personnel and Third Parties to foster a dialogue-based culture as the grounding for our Internal Information and Compliance Systems. In the forthcoming section, these means of communication for reporting and/or making queries in place at ITE are duly outlined:

- **Ethical Channel:** online platformed hosted at <https://ite.whistleblowernetwork.net/frontpage> provided by a specialist technological firm and available on ITE's webpage and intranet, in a standalone and easily accessible section. The platform is equipped with measures to conserve the security and integrity of information and the processing of personal data.
- **By ordinary mail** at the postal address Avda Juan de la Cierva 24 (46980 - Paterna) - VALENCIA (Technological Park) addressed to the Ethics Committee.
- **By e-mail** ([comiteetico@ite.es](mailto:comiteetico@ite.es)) addressed to the Ethical Committee.
- **Face-to-face meeting:** there is also the possibility of notifying of any conduct verbally upon request lodged by the reporting party to the Head of the Internal Information System within a term of 7 days following the request placed via the Channel's platform.

Disclosure on matters of direct or indirect discrimination, moral or psychological harassment or persecution of a sexual nature or grounded on sexual orientation (as is duly stated in Organic Law 3/2007, for the effective equality between women and men, plus Law 15/2022, on equality of treatment and discrimination) may be notified of via the Ethical Channel's platform by email addressed to [comiteetico@ite.es](mailto:comiteetico@ite.es) or directly by contacting

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<sup>1</sup> In accordance with employment case law, interpersonal conflict is understood to mean any situation involving contradiction between the interests of two or more persons that transcends the employment relationship.



any member of the Ethical Committee and/or said Ethical Committee verbally or in writing, with the foregoing being handled in accordance with the procedures set forth in the "Action Protocol in the event of Harassment".

Regardless of the means used to report the incident, the investigation conducted by ITE will meet all the principles and guarantees laid down in this Policy and will be undertaken in compliance with the provisions stated in the Procedure.

Notwithstanding the foregoing mechanisms to notify of irregularities, the Government or Public Sector Administration may provide official channels made available to the public. In the case of the European Union, Member States have appointed the duly empowered authorities to whom regulatory breaches may be reported, either directly or via communication through ITE's Internal Information System. All persons and Third Parties are informed in a clear manner on the external channels available on the ITE webpage and the Ethical Channel (as their existence and/or means or channels of communication are established and/or disclosed).

#### 4. Principles and guarantees of the Ethical Channel's Internal Information System

- **Legality and integrity:** the Ethical Channel and the processing of communications and notifications, from whichever means these are sent to submit a complaint or query, will be handled fully at all times and be governed by the applicable legislation in force, ITE's Code of Ethics, this Policy and the Procedure that implements the latter.
- **Transparency and accessibility:** the Ethical Channel, alongside any other channels that eventually comprise the Internal Information System, shall be easily accessible and be given sufficient disclosure. The channels will be accessible by Personnel at ITE and Third Parties, both for legal as well as natural persons, through the corporate webpage and intranet in place at ITE, in a standalone and easily identifiable section.

The regulation of the Internal Information System and Ethical Channel, including this Policy and the Procedure that implements the latter shall be public and accessible via the web, intranet and the Ethical Channel's platform at ITE.

- **Independence and impartiality:** the System Officer will act at all times in an independent and impartial manner, upholding to the maximum applicable legislation and internal regulations in place at ITE.
- **Traceability and security** the communications regulated through this Policy will be recorded and processed in accordance with its terms and Management Procedure established for the Ethical Channel. Specifically, communications submitted to the Channel are recorded on the online platform, thereby keeping a record of all communications received and actions performed. Furthermore, the platform saves all interactions carried out in each dossier, conserving thus the integrity, confidentiality and availability of the information.

In the event that the System Officer receives a complaint or query from a means other than the Ethical Channel, this will be recorded manually in the system with the aim of registering all communications in matters of compliance. Likewise, if anybody at ITE received a communication falling within the purview of this Policy, they must notify of it immediately to the System Officer, similarly safeguarding the maximum level of confidentiality with regard to the events and facts, the notifying person and other persons involved. Failure to uphold this duty may be deemed a serious breach and may entail the application of the relevant disciplinary or corresponding consequences.



- **Anonymity:** anonymity is guaranteed to whomsoever does not wish to disclose their identity when reporting a complaint via the Ethical Channel on the online platform, which is equipped with a secure and encrypted communication mechanism between the person and System Officer. Alongside this, as applicable, anonymity is ensured whenever the reporting party makes use of the means necessary when using the different options on the Channel to lodge the communication, given that ITE shall make no endeavours to verify their identity in a proactive manner.
- **Confidentiality:** any information that is provided will be processed with the maximum levels of confidentiality. Said information may solely be accessed by the System Officer and other duly authorised persons, in accordance with this Policy and the Ethical Channel's Management Procedure.

Data may solely be disclosed in the event of legal requirements or a prior request made by a judicial authority, Tax Ministry or empowered administrative authority within the framework of a criminal, disciplinary or sanctioning investigation, or whenever the System Officer deems it necessary to disclose the communication to the Human Resources Division for the application of sanctioning measures, or indeed to other departments or persons with a view to investigating the facts, aiming to preserve the identity of the reporting party in any event.

- **Good faith:** the information provided must be disclosed in good faith, which entails that we must believe that what is being communicated is truthful, regardless of whether this information is later proven to be unfounded upon verification.
- **Upholding the principles that gave rise to the legal framework:** ITE guarantees the right of information, the right to defence, the right of presumption of innocence and the right to honour all people who are the subject of complaints lodged and/or involved in these. The reported person is entitled to know the actions or omissions (breaches) they have supposedly committed through a concise outline of the facts, while having the right to be heard at any given time, in the manner in which it is deemed most suitable in order for the investigation to reach a satisfactory conclusion.
- **No reprisals, protection of the reporting party and other persons involved in or linked to the same:** whenever the complaints are lodged in good faith, disciplinary actions will not be embarked upon against those who collaborate in the detection, communication and handling of irregularities via the Internal Information System. ITE will safeguard, furthermore, in order for the reporting party and other persons involved in or linked to the same to receive the protection necessary in accordance with the applicable internal and external regulations in force, meaning it will sanction those persons whose intention it is to commit any action considered as a reprisal, whether these be legal and/or natural persons, or which entail a breach of the duty of confidentiality.
- **Protection of data of a personal nature:** in any event, the internal regulations on matters of data protection will be upheld, being governed by the internal legislation in matters of privacy with regard to the processing of data obtained through the Internal Information System, and specifically, the Ethical Channel.



## **5. Officer for the Internal Information System and the Ethical Channel. Self-governance and Independence in management matters**

ITE's Governing Council appoints an Officer for the Internal Information System to sit on the Ethical Committee, who will perform its operations. Nonetheless, for the proper undertaking of this duty, the Committee has delegated the handling and processing of investigation dossiers to one of its members, namely the Compliance Officer. The System Officer will act using the powers granted to it and independently with regard to the other bodies in place at the ITE and shall be provided with the staffing and material means necessary to perform its duties.

## **6. Approval, publication, entry into force and review**

This Policy has been approved by the Governing Council at ITE. The aforesaid body drives and approves this Policy, thus fulfilling its function to set forth the grounding necessary for suitable and efficient handling of the Internal Information System while fostering compliance with the principles and guarantees stated in this Policy.

The Policy has been published on the corporate web and intranet at ITE. Furthermore, it will be forwarded to ITE'S Personnel and disclosed, insomuch as this is deemed applicable, to Third Parties linked to ITE.

This Policy will be reviewed, updated, approved and disclosed on a periodic basis, and whenever it is deemed timely to perform any modifications hereto.



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