
Directive S2023-02

6 January 2023

Ethics Commission – definitions and rules of procedure

Article 1

Definition of the function and activities of the Ethics Commission

1. The Ethics Commission (EC) is a body appointed by the Director of IOCB. The EC receives and reviews matters concerning violations of the Code of Ethics for Researchers of the Institute of Organic Chemistry and Biochemistry of the CAS (hereafter IOCB), published as Directive No. S2023-01.
2. Submissions to the EC must be made in writing only (in letter or electronic form). Contact information for the EC can be found on the IOCB intraweb. Submissions should be signed, and the whistleblower should clearly formulate the manner in which the Code of Ethics has been violated.
3. The EC may be contacted directly, though it is recommended that whistleblowers first consult a submission to the EC with their manager or with an Ethical Proxy.

Article 2

EC structure

1. The EC comprises no fewer than three members, who are appointed and dismissed by the Director of IOCB. The Director also names the chairperson of the EC. Members of the EC, at least two of whom are external, serve five-years terms.
2. Members confirm their appointment to the EC with a written consent, whereby they acknowledge their commitment to confidentiality regarding all confidential or otherwise sensitive information in cases under review.
3. The EC may, at its own discretion, invite independent experts to participate in reviews as ad hoc members.

Article 3

Principles governing the work of the EC

1. The EC convenes as necessary, though it must meet at least once per year. Meetings are convened and presided over by the chairperson or a member authorized by the chairperson. The chairperson is required to convene the EC any time a permanent member requests a meeting.
2. The EC reviews matters submitted by IOCB employees concerning violations of the Code of Ethics. Submissions to the EC are made in writing and presented to the chairperson. The chairperson informs the other members of the EC about the contents of the submission and may propose a rapporteur within the commission to assess the admissibility of the submission.
3. The EC reviews each submission at its earliest meeting. Matters are typically reviewed within three months of submission. If a matter is not reviewed in this timeframe, the EC will inform the

whistleblower as to an extended review period. In cases where there is reason to believe a serious violation of the Code of Ethics has occurred, the matter will be given priority and will be reviewed on the earliest possible date. Any obviously unsubstantiated submission not relating to the Code of Ethics will be deferred. Other admissible matters will be reviewed, and the EC will make a decision regarding the manner in which they are to be addressed.

4. The EC will send the whistleblower a written statement typically within six months. If this timeline cannot be met, the EC will inform the whistleblower (and other involved parties) as to the reasons for the delay and will provide an updated timeline for the proceedings.

5. Each member of the EC, including the chairperson and ad hoc members, has one vote, and an absolute majority is required to pass a motion for a resolution. If necessary, EC members may agree to vote per rollam.

6. The statement of the EC containing its opinion is sent to the whistleblower, other involved parties, and the Director of IOCB. The chairperson of the EC and the Director of IOCB will then decide if the statement is to be made public.

Article 4

Role of the whistleblower

1. If a submission is deemed serious and credible, the whistleblower is entitled under labour law to protection against retaliation.

2. Submissions to the EC may be made anonymously, but this may hinder the process of identifying a solution and may even lead to the matter being deferred.

3. The provision of all relevant materials and evidence can facilitate the proceedings.

4. A knowingly false submission with the intention of causing harm to an individual or group of individuals will result in employment consequences for the whistleblower.

Article 5

The EC in relationship with other ethics bodies of IOCB and the CAS

1. The handling of ethically problematic situations at IOCB takes place at three levels. Firstly, a whistleblower should approach their manager about the matter in question. If for any reason the whistleblower does not wish to do so, they may contact an Ethical Proxy. Particularly in cases where there is a strong suspicion of a violation of the Code of Ethics, the matter may be submitted, in writing, to the Ethics Commission.

2. The EC does not serve to hear appeals to decisions made by other ethics bodies within the CAS. An earlier review of a matter by another body does not preclude its submission to the EC.



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