



## **PROTOCOL ON TRANSPARENCY AND GOOD GOVERNANCE**

Transparency as a paradigm and transversal value of society and as an ethical commitment to respect for the equality of all persons and legal security, and as an affirmation of institutional neutrality, as well as the publicity, truthfulness and clarity of corporate information, must be expressly guaranteed by the governing bodies and management of the Catalan Association for Arbitration ACA-TAB, especially in the following areas:

- a) Institutional organisation and administrative structure.
- b) Decisions and actions, except those that are subject to the duty of confidentiality specific to specific cases within the arbitration proceedings.
- c) Economic, accounting and budgetary management.
- d) The conflicts of interest of the natural persons who make up the governing bodies, of the arbitrators and of the employees.
- e) Contracts and agreements.
- f) Statistical data

This protocol, which is made up of eleven clauses, establishes the guidelines for transparency and good governance of the TAB.

**FIRST.-** Within 30 days of their appointment, all individuals who are members of the Board of Directors and who are members of the TAB shall send management a complete list of the following, for the purposes of possible conflicts of interest:

- a) All public or private positions they hold or have held in the last two years.
- b) The name or company name of all the legal entities of which they are a director or partner and their corporate purpose.

The same list shall be sent to the management of all employees within 30 days of their recruitment.

**SECOND.-** The names and surnames of all the members of the bodies of the Association, the organisation chart, the institutional organisation and the work-administrative structure shall be made public on the corporate portal and shall be kept permanently updated.

**THIRD.-** The list of TAB arbitrators, which shall be kept permanently updated, shall be published on the corporate website.

**FOURTH.-** The functions and the names and surnames of the members of all the Association's commissions shall be made public on the corporate website and shall be kept permanently updated.

**FIFTH.-** The text of the Articles of Association, the Rules of procedure(s), the appendices to the Rules of procedure(s) and the TAB fees, which shall be kept permanently updated, shall be made public on the corporate website.

**SIXTH.-** All protocols, such as the present one, which are approved by the Board of Directors, shall be published on the corporate website and shall be kept permanently updated.

**SÉPTIMA.-** All agreements signed by the Association shall be listed on the corporate website, stating the name or company name of the signatory entities, the object or purpose of the agreement, the date of signature and the duration of the agreement.

**EIGHT.-** The Association shall maintain a mailbox in person and another on the corporate website, through which any person may formulate complaints or denunciations, anonymous or otherwise, addressed to the Board of Directors.

**NINTH.-** The Association's governing bodies and management shall at all times guarantee public access to the information mentioned in this protocol and the right to seek and request complementary information and to receive a reasoned response.

**TENTH.-** The governing bodies of the Association and the management shall at all times guarantee restricted access for the arbitrators, the lawyers with accredited representation and the parties to all information relating to the arbitration proceedings in which they are interested and the right to seek and request additional information and to receive a reasoned response. The rapporteurs will have access to all the files in process, except those in which they have a conflict of interest.

**ELEVENTH.-** The natural persons who make up the bodies of the Association and the labour-administrative structure, by accepting the position or employment contract, undertake to:

- a) To carry out their activity with the utmost diligence and with full respect for the regulations governing incompatibilities and conflicts of interest.
- b) Refrain from carrying out any activity that may conflict with the interests of the Association.
- c) Not to accept any gift or service that goes beyond the usual social and courtesy customs, which may be given by reason of their position or job in the Association.

This protocol was approved by the Board of Directors on 6 July 2022.