

# Code of Conduct



## Foreword by the Board of Directors

This Code of Conduct comprises the value system of the HZB. It is the yardstick for all internal regulations and the conduct of all managers. The term “manager” refers to all persons responsible for staff or projects, e. g. heads of organisational units or project leaders.

As a superordinate set of rules, the Code of Conduct is a component of the Compliance Management System. It provides orientation with regard to lawful and responsible conduct and summarises the HZB’s expectations of the conduct of all managers and employees with regard to our values and regulations.

All employees represent the HZB through their conduct and thus have a decisive influence on its external reputation and its internal culture. Therefore, each and every one of us is required to comply with this Code of Conduct.

Our actions are based on the central values of respect, diversity, openness, reliability, integrity and commitment. We want to make these values the basis of our daily work. The Code of Conduct, together with our regulations, provides us with a reliable orientation framework.

The Board of Directors is explicitly committed to these principles of conduct and expects all employees of the HZB to also act accordingly.

Prof. Dr. Jan Lüning

Prof. Dr. Bernd Rech

Thomas Frederking



## Social responsibility

At the HZB, we combine cutting-edge research with the operation of modern, complex infrastructures, which we also make available to the national and international research community and to industry. In this way, we are creating a unique research environment to help solve major societal challenges, such as the transition to renewables (“Energiewende”). The networking of the HZB with numerous university and non-university institutions on a regional, national and international level is particularly important to us.

As a research institution of public interest and as a publicly financed company, we are aware of our social responsibility and our function as a role model. We bear responsibility towards society, our funding bodies, employees, business and cooperation partners and the environment.

The HZB has established procedures and processes to ensure responsible handling of the resources entrusted to us, especially in the case of finance-intensive and technologically challenging large-scale projects. This includes a comprehensive project management manual, the establishment of steering committees and support from external specialists.

The HZB has particular responsibility for the operation and upcoming decommissioning of the neutron source BER II, which as a nuclear facility is subject to nuclear legislation. Our goal is to dismantle the research reactor safely, sustainably, completely, economically and quickly. Safety is of the highest priority. We strive for a mutually agreeable process of decommissioning and dismantling, engaging with both our employees and the local population, including residents, local politicians, environmental associations and initiatives.

## Respect, equal opportunities and diversity

We promote and expect appreciative and respectful interaction with each other. In the selection and further development of our employees, we are committed to equal opportunity and do not tolerate any discrimination, in particular on the basis of ethnic or social origin, nationality, skin color, gender, disability, illness, religion or belief, age, sexual orientation and identity.

Furthermore, HZB sees itself as the community of its employees, who contribute to the diversity of our organization with their individual personalities, life situations, experiences and backgrounds.

This claim requires considerate cooperation, characterized by mutual acceptance. Sexism, racism, discrimination, mobbing and sexual harassment are explicitly not tolerated in any form at HZB.

We assess our employees on the basis of their performance and competences and provide them with honest and appreciative feedback.

For questions or suggestions on these topics please contact the suitable HZB contact persons. You will find an overview of contact persons **here**.

## Leadership culture

Our managers have a particular responsibility to act as role models, and we expect them to demonstrate the highest standards of integrity, uprightness and professionalism. Managers

fulfill organizational and supervisory duties for their area and, within the scope of their activities, prevent breaches of rules and unacceptable behavior.

We maintain an open error culture in which we understand errors as necessary elements of continuous improvement processes. Errors are not taboo for us; but rather sources of knowledge to focus on eliminating their sources and origins in the sense of quality management.

Our managers value their employees and ensure, in their area of responsibility, an open working atmosphere and good working. Key tools for such a successful and responsible leadership are the HZB Leadership Guidelines and the Annual Feedback Talks.

For further questions please contact the **Personnel and Social Affairs Department** or further suitable **HZB contact persons**.

### Work-Life-Balance

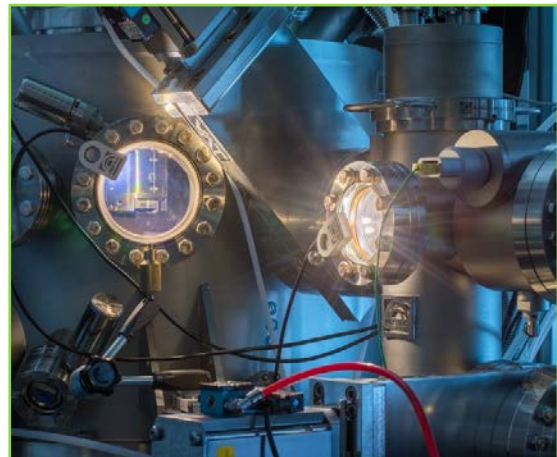
We support a work culture that maintains physical and mental health.

We support the compatibility of work and private life, which we promote with an appropriate working environment in which family is valued positively. In return, the HZB has repeatedly received the “berufundfamilie” certificate from the Hertie Foundation.

For further questions please contact the **Office for Work and Life (OWL)** or further suitable **HZB contact persons**.

### Safety at work

Occupational safety and health protection have the highest priority. The HZB observes the applicable occupational safety standards and specifications. All employees have a right to a safe and healthy working environment and contribute to this by acting responsibly. Occupational accidents, occupational diseases and work-related health risks are prevented through regular training and instruction as well as through safety and occupational health measures.



For further questions please contact the **Safety Officer**, the **Occupational Safety Specialist**, the **Radiation Protection Officer at HZB Campus Lise Meitner**, the **Radiation Protection Officer at HZB Campus Wilhelm Conrad Röntgen**, the **Radiation Protection** and the **Works Council**.

### Employee representation

In their interactions with the works council, the Board of Directors and managers cultivate an open and trusting cooperation, a constructive dialogue and a fair balance of interests. Works Council participation rights are observed.

For further questions please contact the **Works Council**.

## Sustainability and environmental protection

Responsibility towards our environment and climate protection is also part of the HZB's self-image.

This not only implies compliance with environmental laws, but also that we always strive to protect natural resources and find environmentally friendly, sustainable solutions for all aspects of our work. As a centre that conducts its own research into renewable energy technologies, the HZB also strives to comprehensively and lastingly embed the issues of sustainability and transition to renewables in all their diversity at the HZB.

The HZB sees sustainability as a process that is constantly evolving and has set itself the ambitious goal of becoming CO<sub>2</sub>-neutral by 2035.

The Environmental Team, in which all interested employees can participate, takes up the ideas and suggestions of the employees. The Environmental Working Group institutionally anchors the topics of ecology and the environment at HZB and makes recommendations to the Board of Directors.

Employees are able to contribute ideas for a variety of issues, including the improvement of work processes and procedures, cost reductions and the improvement of environmental protection within the framework of the works agreement "**Company Suggestion Scheme**".

For further questions on sustainable action please contact the **Sustainability Officer**. For further questions on energy please contact the **Energy Manager**.

For further questions on the company suggestion scheme please contact the **Board of Directors** or the **Works Council**.

## Compliance

Compliance stands for observance to legal and internal regulations. It serves to protect the company and its employees. We all strive to comply with external requirements such as laws, guidelines, regulations, ordinances, professional standards, norms, as well as our internal rules. In this way, all employees are to contribute to the HZB's compliance culture.

New employees are provided an information sheet (**Information Sheet Compliance Issues**) on the most important regulations and compliance topics.

Advice and support on compliance issues is provided by the **Compliance Management Department**. You will find all internal regulations on the Intranet on the page for the **Regulations** or on the pages of the responsible departments.

All employees can turn to their superior or to a central representative or officer. Rule violations or misconduct can also be reported via the **Whistleblower System** of the HZB.

## Rules of good scientific practice

The HZB is guided by the recommendations of the German Research Foundation (DFG) for safeguarding good scientific practice.

All employees working in the scientific field must base their scientific activity on the rules for safeguarding good scientific practice in order to avoid damage to science and the HZB. These rules apply to all scientific work in which HZB employees are involved. The rules are an important part of the training of young scientists and require particular responsibility on the part of managers. For questions and in case of conflict, the persons of trust nominated by the HZB - the ombudspersons - are at your disposal.



Further information can be found in the **Rules of good scientific practice and academic misconduct procedure** as well as on the Intranet page of the **Ombudspersons**.

Furthermore, it is possible to contact the ombudspersons of the DFG ([http://www.dfg.de/dfg\\_profil/gremien/gremium/index.jsp?id=21827833](http://www.dfg.de/dfg_profil/gremien/gremium/index.jsp?id=21827833)).

### Conflicts of interest

Situations that could lead to personal conflicts of interest should be avoided. We therefore strive to strictly separate private and professional interests in order to avoid collisions in the first place. Should situations of conflicts of interest nevertheless arise, these must always be reported. This also includes secondary activities and participations in other companies.

The **Corruption Prevention Guideline** provides further information. For further questions please contact the **Compliance Management Department** or the **Personnel and Social Affairs Department**.

### Prevention of corruption

All employees are encouraged to support the HZB in discovering and solving corruption. This also includes, for example, recognising faulty processes, organisational structures and incentive systems that facilitate corruption. If there are indications of suspected corruption, the anti-corruption officer and their superior must be informed immediately. The acceptance of gifts and rewards is subject to value limits, disclosure requirements and approval requirements laid down in the internal corruption prevention guideline.



The **Anti-Corruption Officer** provides advice and support in this regard. For notifications on the subject of corruption, the **Whistleblower System** of the HZB is also available.

The relevant documents are the **Corruption Prevention Guideline** and the **Guideline of the Federal Government on the Prevention of Corruption in the Federal Administration** (Intranet regulations).

## Customs and export control

We are obliged to comply with all regulations, laws and codes for the import and export of goods, services and information.

Particularly customs legislation and related provisions require a precise description of the goods to be imported; furthermore, depending on the import arrangements, certain customs formalities must be taken into account during the subsequent handling of the imported goods. All information provided under the customs procedure must be truthful and complete.



The Foreign Trade and Payments Act as well as other EU regulations provide for licensing requirements for exports and the transfer of knowledge to individual countries, economic areas or to persons and associations, or prohibit them. This is intended to prevent the uncontrolled distribution of strategically important goods (such as so-called dual-use goods, i.e. goods, software and technologies that can be used for both civilian and military purposes).

Guests and users of our infrastructure are also subject to the relevant laws and regulations. The transfer of expertise may also be subject to export control provisions.

Further information on this topic can be found in the process descriptions for the **Shipment of Goods Abroad** as well as **Submitting and Processing Guest Applications**.

For further questions please contact the **Export Officers** and the **Customs Officer**.

## Procurement

The HZB cooperates with trustworthy and efficient suppliers and service providers who are carefully selected according to objective criteria. No competitor may be unfairly favoured or hindered when contracts are awarded. Agreements restricting competition must be avoided.

In principle, orders may only be placed by the HZB's purchasing department. Communication with potential suppliers during a procurement



procedure may only take place in close coordination with the Purchasing and Materials Management department.

The relevant directives are the **Signature Regulations** and the **Procurement Policy** of the HZB. For larger procurement projects, the Purchasing and Materials Management department should be consulted at an early stage.

For further questions please contact the **Purchasing and Materials Management Department**.

## Protection of company property

We handle equipment and all other assets owned by the HZB with the utmost care and use them only for their intended purpose. In doing so, we ensure targeted, efficient and operational use. When using funds, we observe the principles of economic efficiency and expediency.

## Handling information and working documents

Confidential information must not be disseminated within the HZB or to the public. We must be extremely sensitive when exchanging confidential information with third parties. Expertise developed in the HZB and expertise of third parties must be adequately protected, e.g. by means of confidentiality agreements in R&D contracts, cooperation agreements and contracts with industry. Under certain circumstances, the transfer of expertise may also be subject to export control provisions (see above).



Working documents must be retrievable and stored in a suitable electronic system. Central storage ensures a smooth and loss-free exchange of information and documents within a defined circle of authorised persons and provides transparency and traceability of processes.

For further questions regarding cooperation agreements and confidentiality agreements please contact the **Legal Affairs and Contracts Department**.

## Industrial property rights

The HZB recognises the intellectual property of its business and cooperation partners. We respect their industrial property rights, such as patents or trademarks. We observe the licence conditions of the software we use. We protect the HZB's own knowledge accordingly. Inventions by HZB employees in the course of their research activities are immediately reported to the Patents Working Group (Legal Affairs and Contracts Department). The HZB remunerates utilised inventions in accordance with legal requirements and internal regulations.

Further information can be found in the **Regulation Property Rights Strategy**, the **Guideline for Inventors** as well as **HZB Guideline for Technology Transfer**.

For further questions please contact the **Legal Affairs and Contracts Department**.

## Data protection

We respect the right of each and every individual to the protection of their personal data. The data protection regulations and specifications must be complied with when processing



personal data of employees and partners of HZB. The HZB is committed to the principle of economical data storage. The right of data subjects to information, blocking and deletion of data is safeguarded.

For further questions please contact the **Data Protection Officer** of the HZB.

## IT security

Electronic data processing systems are indispensable in everyday working life. Interference with these systems or their malfunction can have a considerable influence on the workflows. We have adopted an IT usage policy and have also taken appropriate measures and issued rules to ensure the confidentiality, integrity and availability of electronically stored information.

Particular attention should be paid to the **Operating agreement on the usage of IT equipment**, the **Policy for ensuring information security**, the **Guideline for external access to internal data via dedicated web servers** and the **Guideline for Intranet/Internet pages of the HZB**.

For further questions please contact the **IT Security Officer**.



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