



DESY Code of Conduct Supply Chain Act

Acting effectively and responsibly



Revision history

Date	Contributed by	Summary



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Vorwort des DESY-Direktoriums

DESY ist der Förderung der naturwissenschaftlichen Grundlagenforschung verpflichtet. Diese wird insbesondere durch die Entwicklung, den Bau und Betrieb von Beschleunigern und deren wissenschaftliche Nutzung, die Forschung mit Photonen und auf den Gebieten der Teilchen- und Astroteilchenphysik verwirklicht. Die Forschungsanlagen, die wir hierzu entwickeln und betreiben, stehen Wissenschaftlerinnen und Wissenschaftlern aus aller Welt offen [vgl. [Mission und Leitbild von DESY](#)].

Uns ist bewusst, dass unmittelbar mit unserem Handeln die Verantwortung für Mensch und Umwelt einhergeht. Aus diesem Grund haben wir Standards festgelegt, die uns helfen, unser Handeln stets sozial, ökologisch und ethisch auszurichten. Im beruflichen Alltag dienen allen Führungskräften und Beschäftigten hierfür sowohl die DESY-Grundsatzerklärung zu Menschenrechten und Umweltrisiken als auch der vorliegende Verhaltenskodex.

Wir, das DESY-Direktorium, bekennen uns uneingeschränkt zu verantwortungsvollem und gesetzmäßigem Handeln und richten unser Handeln nach sozialen, ökologischen und ethischen Grundsätzen aus.

Das DESY-Direktorium Hamburg, 23. November 2023

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FUNDAMENTAL RESPONSIBILITY

Compliance with the law

We are fully committed to acting responsibly and lawfully. We act in accordance with the applicable laws and official regulations. Failure to do so can have serious consequences, such as compensation for damages, reputational harm or even criminal prosecution.

Ethical principles

Our conduct is guided by the highest ethical standards. When faced with difficult scientific or social issues, our Ethics Committee helps us to find ethically sound options for responsible behaviour.

Societal and social responsibility

The responsibility and freedom of science are a cornerstone of any democratic system. An indispensable prerequisite for this is peaceful coexistence in accordance with the rules of international law. We therefore consider it our duty to work tirelessly to achieve this – at a global level and on our own research campus.

Respect for human rights

We respect the rights of all human beings. We assume responsibility within our own purview for ensuring that the personal integrity and dignity of all persons on the DESY campus are respected.

We are committed to complying with international standards and the principles of a liberal democracy, as well as the values associated with it. This includes compliance with our obligations of due diligence in observing human rights in accordance with Germany's Act on Corporate Due Diligence Obligations in Supply Chains (LkSG).

Equal treatment, non-discrimination and respect

We advocate a working environment in which people are valued and do not face any prejudices. Our successful collaboration benefits from the wide variety of personalities and nationalities from different educational backgrounds. Our aim is to value the potential of the diversity of society within and outside the organisation and to use it for the benefit of DESY.

We prevent and condemn any form of discrimination, harassment or abusive behaviour. We do not tolerate discrimination in the workplace. We do not treat our colleagues in a dismissive, intimidating or otherwise unacceptable manner.

Freedom of association

Our employees have the right to form and join associations that represent their social interests and their interests as employees.

EMPLOYEES

Leadership

We foster an organisational culture that is characterised by mutual respect and appreciation for each and every individual. We create the conditions for leaders and employees to recognise, share and live these values. In this respect, leaders have a special

obligation to create a positive and appreciative environment in which people can work together. Leaders serve as important role models and provide guidance for our employees. They play a decisive role in shaping the culture of cooperation at DESY.

Professional and personal development

DESY wants to attract the best minds in science and research, technology and administration to DESY and retain them – by offering attractive conditions and a wide range of opportunities for development.

DESY offers young scientists an international and interdisciplinary environment for ambitious scientific projects. We provide an attractive training and working environment for a variety of technical and administrative professions.

We adhere to the highest quality and strive to continuously improve our work. As motivated and achievement-oriented employees, we set great store by our professional and personal development and share our knowledge with others.

DESY promotes young scientists and the training of young people. We are particularly keen to arouse their enthusiasm for science and technology.

Appropriate remuneration

The remuneration of employees at DESY is based on collective agreements for the public sector (TV-AVH collective agreements including the TVöD federal pay scale). The individual occupations are assessed and employees are assigned to pay groups. Remuneration is based on pay scales. In the same way, we expect our partners to provide appropriate, non-discriminatory and fair remuneration.

OUR WORKING ENVIRONMENT

Health protection & workplace quality

Our employees are the most important asset for the successful future of DESY. We place the highest demands on workplace quality and health protection and guarantee a high standard of safety. We comply with the legal requirements and regulations for occupational health and safety.

We promote the physical, mental and social well-being of employees and their ability to maintain and fortify their own health.

Environmental protection and sustainability

Protecting the environment is a particular concern of ours. It is our responsibility to ensure that natural resources are conserved as well as possible in the context of our business activities and that any environmental impact is minimised. To this end, we pay close attention to the environmental compatibility and sustainability of the research carried out at our sites in Hamburg and Zeuthen.

We are aware of our special responsibility for the environment in our daily work and we align our behaviour accordingly. We use resources carefully and ensure that our behaviour is as environmentally friendly as possible.

Our actions are guided by social, ecological and ethical standards. We are committed to developing sustainable concepts in designing our research.



OUR INTEGRITY AND COMPLIANCE

We act in accordance with the applicable laws and official regulations as well as our internal regulations as pertaining to our respective area of work. We follow structured internal procedures to investigate any suggestions of violations. The standard used in any such review are the statutory and legal principles that apply. A range of different institutions are available within DESY, to which employees can turn confidentially or officially in order to report issues.

Corruption prevention

We reject all forms of corruption and bribery. As a recipient of institutional funding, DESY is obliged to apply the 'Federal Government Directive Concerning the Prevention of Corruption in the Federal Administration, No. 14' accordingly.

As a matter of principle, the acceptance of rewards, gifts and other personal benefits is prohibited. Possible exceptions have been defined and must be examined on a case-by-case basis. The acceptance of cash is always prohibited, regardless of the amount.

Funding & donations

DESY offers third parties the opportunity to present themselves publicly as sponsors, advertising partners or commercial organisers.

Since DESY receives financial backing, it is obliged to meet certain formal requirements. Transparency and clear standards must be observed when accepting services, in order to ensure and document the independence of publicly funded research.

Export controls

Exporting goods (including software and technology) and providing services (e.g. technical assistance) may be subject to certain restrictions (prohibition or obligation to obtain a permit) under national, EU or US export control laws. We comply with existing sanctions against certain countries and against certain (named) persons and organisations.

Money laundering

We do not tolerate any violation of anti-money laundering laws. In our dealings with customers and business partners, we make sure not to facilitate the concealment of illegal funds through our business activities.

Before entering into business relationships, we verify the identity and the bona fides of our business partners. When making payments to or receiving payments from third parties, we look out for and recognise the warning signs of money laundering. All business procedures are properly documented.

Our employees are alert to suspicious behaviour that might indicate money laundering.

Conflicts of interest

DESY's economic decisions must not be influenced by personal interests or private relationships. We are all required to display personal integrity. Conflicts of interest must be disclosed immediately in order to prevent any form of potential damage to the integrity of DESY.

Personal connections that may result from a secondary activity must not influence our main occupation. This applies in particular if persons related to us are personally or indirectly involved in tenders or procedures for awarding contracts.

COMPANY RESOURCES, INFORMATION and DATA

Data protection

We comply with data protection regulations and protect personal data. The data protection officer fulfils the duties arising from current data protection regulations.

IT security

Information technology is of central importance in order for DESY to fulfil its tasks. The range of IT applications includes the operation of the facilities, data analysis for the experiments, and administrative and infrastructure-related processes. We put in place appropriate security precautions and organisational structures to protect the IT infrastructure.

Confidentiality

We expect our employees to maintain confidentiality. We respect and protect DESY's intellectual property and internal confidential information with the necessary care.

Finances

Most of our work is publicly funded. We use the funds entrusted to us prudently and economically.

RESPECTFUL AND FAIR DEALINGS WITH THIRD PARTIES

Research collaboration

As a member of the Helmholtz Association of German Research Centres, we work closely with universities and non-university research facilities. We are embedded in regional, national and international research and maintain close relationships with organisations within society, the scientific community and the business community. We treat our partners with fairness and respect.

Fair competition

We select our suppliers and service providers on the basis of objective criteria and the best value for money. In doing so, it is essential that we comply with the requirements of public procurement laws. The behaviour we require in the context of any procurement is detailed in our Code of Conduct for Suppliers.

We comply with the applicable regulations and laws regarding the sourcing of minerals and materials from conflict regions and high-risk areas, as well as the sourcing of timber, and the Nagoya Protocol.

Dealing with authorities

As a publicly funded institution, we are committed to acting transparently at all times. We take our duty to observe due diligence in reporting and communicating with authorities, official bodies and institutions seriously. DESY is registered in the lobby register for



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Ein Forschungszentrum der Helmholtz-Gemeinschaft

the representation of interests towards the German Bundestag and the Federal Government, and is listed in the Transparency Register of the Federal Republic of Germany.