

Code of Conduct

This Code of Conduct is part of the DZIF compliance regulations and an integral part of our daily work. It reflects the values and principles that we uphold in our scientific activities. It serves as a binding guideline for general principles of conduct and standards of behavior and, together with the associated guidelines, is intended to promote a trusting, respectful, and responsible working environment and corresponding cooperation.

The translation of the "Code of Conduct" was generated automatically. The [German version ↗](#) is the legally binding one.

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1. Preamble

- 1 The German Center for Infection Research ("**DZIF**") is an association of research institutions ("**member institutions**") in Germany that brings together the expertise of outstanding researchers from all of its member institutions for the purpose of effective collaboration in research. The aim is to create a working environment characterized by trust, respect, innovation, cooperation, and responsibility.
- 2 Against this background, the DZIF has adopted rules (collectively referred to as the "**Compliance Rules**") which serve as binding guidelines for DZIF employees for cooperation within the DZIF, as well as with other DZIF member institutions or other institutions (including companies), and which supplement statutory compliance provisions. In addition, the compliance rules can and should serve as inspiration or a model for adopting corresponding guidelines for cooperation within one's own institution within the framework of the DZIF, as well as with the DZIF, other DZIF member institutions, or other institutions. Among other things, the local **Code of Conduct**, the [Compliance und Compliance Organization Policy ↗](#), and the [Responsibility Policy ↗](#) set out the standards of conduct that the DZIF expects its own employees to adhere to and that it requests all member institutions and their employees to adhere to. Some of these requirements are prescribed by law.
- 3 This **Code of Conduct** is part of this compliance framework and an integral part of our daily work. It reflects the values and principles that we uphold in our scientific activities. It serves as a binding guideline for general principles of conduct and standards of behavior and,

together with the associated guidelines, is intended to promote a trusting, respectful, and responsible working environment and corresponding cooperation.

2. Compliance responsibility

- 4 All employees are responsible for complying with legal, scientific, and ethical standards as well as the compliance rules and regulations. Executives bear special responsibility for ensuring that their teams comply with and implement the Code of Conduct and the guidelines.
- 5 Violations of legal regulations, this Code of Conduct, the associated guidelines, or other compliance regulations may result in civil claims for damages, labor law or disciplinary measures, or the initiation of criminal proceedings. In addition, the DZIF or its member institutions may face the partial or complete loss of funding, not only for the future but also retroactively.

3. Integrity and honesty

- 6 Integrity and honesty are the cornerstones of our work. All employees are required to perform their duties carefully, in compliance with the law, and without bias. It is particularly important that all actions are characterized by ethically correct behavior and that all employees take responsibility for themselves and others.

4. Respect, fairness, anti-discrimination, and anti-harassment

- ⁷ We demand and promote a respectful, fair, and non-discriminatory work environment in which diversity and inclusion are seen as enriching. No one shall be disadvantaged on the basis of their ethnic origin, culture, religion, worldview, age, sexual identity, gender, or disability. We expect all employees to respect the dignity, privacy, and personal rights of each and every individual in their work environment. Discrimination, harassment, or insults will not be tolerated.

5. Confidentiality and data protection

- ⁸ The protection of confidential information and personal data is a top priority. All data must be treated confidentially, securely, and in accordance with applicable laws. This applies in particular to personal data and scientific findings that have not yet been published.

6. Social responsibility

- ⁹ Our research and practice are consistent with the common good and ethical standards. Respect for human rights and fundamental freedoms is paramount in everything we do. We engage actively and objectively in public debate and make scientific findings accessible, unless this conflicts with the rights of third parties.

7. Use of resources

- ¹⁰ We are committed to the responsible and sustainable use of material, financial, and natural resources in order to promote sustainability and support environmental protection. This includes the efficient use of materials, energy, and time.

8. Good scientific practice

- ¹¹ All employees are expected to adhere to the standards of good scientific practice in research, in particular with regard to the highest level of care, recognized standards of methodology, transparency, and the obligation to ensure traceability. Research work must be planned, carried out, documented, evaluated, reported, and, if necessary, published with the appropriate care. Scientific misconduct such as plagiarism and data manipulation is strictly prohibited.

9. Workplace safety and behavior

- ¹² Creating a safe and healthy working environment is a top priority. Safe workplace equipment must be ensured at all times through safety precautions and regular risk assessments and reviews. Safety instructions and regulations must be strictly followed.

10. Cooperation and communication

- ¹³ Open, transparent, and respectful communication as well as effective cooperation among employees and with third parties are desired and encouraged. Employees should be able to express

their opinions freely and give and receive constructive feedback. External communication, especially communication in or via social media, must always be conducted in a responsible manner with regard to the interests of the DZIF and its member institutions.

11. Conflicts of interest

- 14 Conflicts of interest must be avoided. Employees must always separate their private interests from official matters.
- 15 A conflict of interest exists for persons who are involved in decisions of the DZIF or its member institutions or who can influence the outcome of a decision-making process and who have a direct or indirect financial, economic, or personal interest that could impair their impartiality and independence in the context of these decisions.
- 16 If conflicts of interest arise, they must be reported immediately to the relevant body (for the DZIF, see section 15 below).

12. Further education and training

- 17 Continuous training and further education for employees is supported and encouraged in order to expand their professional and personal skills and ensure scientific progress.

13. Whistleblower system

- 18 Our compliance rules can only be successfully implemented if problems are

communicated and addressed openly and clearly.

- 19 Any indications of misconduct, in particular violations of our values and rules, but also mere suspicions, must be reported, preferably through the channels set up for this purpose.
- 20 Violations can also be reported at any time via the DZIF e.V. whistleblower system. Further information can be found [here ↗](#), and the link to the electronic reporting form can be found [here ↗](#).

14. Final provisions

- 21 This Code of Conduct shall come into effect on July 1, 2025, and shall apply to all DZIF employees until further notice, regardless of the legal basis for their employment.
- 22 It shall be reviewed at regular intervals and as necessary to ensure that it remains up to date and appropriate, and shall be amended as necessary.

15. Contact person and contact details

- 23 If you have any questions about our Code of Conduct or our compliance regulations, please do not hesitate to contact our Compliance Department:

Phone: +49 531 6181 1152

E-Mail: compliance@dzif.de

Responsibility Policy

This **Responsibility Policy** is part of the DZIF compliance regulations. Compliance with this policy and the other DZIF compliance regulations helps to create a working environment characterized by trust, respect, innovation, cooperation, and responsibility, and is intended to ensure that all parties involved work and interact with each other in a respectful, honest, and responsible manner.

The translation of the "Responsibility Policy" was generated automatically. The [German version ↗](#) is the legally binding one.

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1. Preamble

- 1 The German Center for Infection Research ("DZIF") is an association of research institutions ("**member institutions**") in Germany that brings together the expertise of outstanding researchers from all its member institutions for the purpose of effective collaboration in research. The aim is to create a working environment characterized by trust, respect, innovation, cooperation, and responsibility.
- 2 Against this background, the DZIF has established rules (collectively referred to as the "**Compliance Rules**") which serve as binding guidelines for DZIF employees for cooperation within the DZIF, as well as with other DZIF member institutions or other institutions (including companies), and supplement statutory compliance provisions. In addition, the compliance rules can and should serve as inspiration or a model for adopting corresponding guidelines for cooperation within one's own institution within the framework of the DZIF, as well as with the DZIF, other DZIF member institutions, or other institutions. Among other things, our [Code of Conduct ↗](#), the local **Responsibility Policy**, and the [Compliance and Compliance Organization Policy ↗](#) set out the standards of conduct that the DZIF expects its own employees to adhere to and that it requests all member institutions and their employees to adhere to. Some of these requirements are prescribed by law.
- 3 This **Responsibility Policy** is part of this compliance framework. Compliance with this policy and the other compliance regulations of the DZIF helps to create a working environment characterized by trust, respect, innovation, cooperation, and responsibility, and is intended

to ensure that all participants work and interact with each other in a respectful, honest, and responsible manner.

2. General principles

- 4 Integrity, honesty, and ethical conduct are core principles that all employees and member institutions are expected to uphold. Respect, fairness, and non-discriminatory and non-harassing interactions are essential for good relations and constructive cooperation, with diversity and inclusion being viewed as assets. The responsible handling of confidential information, the protection of personal data, and the sustainable use of human and environmental resources are of utmost importance in order to ensure that our employees, business and research partners, and, last but not least, the public have confidence in us and our activities.

a. Integrity, honesty, and transparency

- 5 Integrity, honesty, and transparency are the cornerstones of all activities within the DZIF and within its member institutions, as well as in joint cooperation and collaboration with other partners. It is particularly important that all actions are characterized by open cooperation, honesty, integrity, and, above all, are supported by ethically correct behavior and the assumption of responsibility for oneself and others. For this reason, all employees are required to perform their duties with the utmost care and attention. This includes compliance with legal requirements and internal guidelines, as well as the obligation to make decisions based on facts and without bias. Against this background, all employees are committed to the highest standards of integrity and honesty in all their activities. In particular, scientific work, reports, and

results must be presented accurately and completely. Errors and violations must be reported immediately and dealt with transparently.

b. Respect, fairness, anti-discrimination, and anti-harassment

- 6 Respect and fairness are essential for successful, positive, and constructive collaboration. For this reason, we are actively committed to a workplace free of discrimination and harassment. We must always treat each other with respect and fairness. We promote and value diversity and an inclusive culture in which diversity is seen as an asset.
- 7 With this in mind, we treat each other with respect, regardless of hierarchy, position, or personal characteristics such as gender, ethnic origin, religion, age, sexual orientation, or disability.
- 8 This means:
 - **Equal treatment:** Any form of discrimination based on gender, ethnic origin, religion, disability, age, sexual orientation, or other personal characteristics is prohibited.
 - **Protection against harassment:** Employees have the right to work in an environment that is free from bullying, sexual harassment, or other forms of harassment. We provide a discrimination- and harassment-free environment.

c. Confidentiality and data protection

- 9 The trust of our employees, our business and research partners, and the general public depends crucially on how confidential and personal data and information are handled.

- 10 For this reason, all employees respect data protection and attach great importance to the security and confidentiality of the data processed, some of which is highly sensitive, and to the privacy of the individuals concerned. All confidential information obtained in connection with professional activities must be protected and treated as confidential. This applies in particular to personal data and scientific findings that have not yet been published. All those involved in a data processing process must ensure that personal data, research results, and other sensitive information are only accessed by authorized persons and only to the extent necessary, and are processed in accordance with applicable data protection laws. Such information may not be shared or disclosed to third parties without express permission and may not be used for unauthorized purposes.

- 11 Any breaches of data protection or confidentiality that nevertheless occur in individual cases must be reported immediately to the responsible department of the respective institution (for the DZIF, see section 6 below).

d. Social responsibility

- 12 The DZIF and its member institutions bear a special responsibility toward society and its members. Respect for human rights and fundamental freedoms is a basic prerequisite for all actions within the DZIF and its member institutions. The sense of responsibility within the DZIF and its member institutions extends to all aspects of social interaction, in particular:
 - **Common good:** Research and practice should always be in harmony with the public interest and the common good.

- **Ethical responsibility:** Research that could have potentially harmful or ethically questionable consequences must be examined particularly carefully and conducted responsibly.
- **Public engagement:** The DZIF encourages its member institutions to actively participate in public debate and make scientific findings accessible to society.
- **Communication on social media:** The employees of the DZIF and its member institutions also adhere to the general principles when communicating on social media and always communicate in a professional and respectful manner. Technical contributions should be transparent, accurate, and verifiable and must be reviewed prior to publication, whereby confidential information and third-party copyrights must always be observed. Offensive, discriminatory, and other inappropriate content is unacceptable and not allowed. Appearances on behalf of the respective workplace are only permitted if the person acting has been expressly authorized to do so.

e. Use of resources

- 13 The DZIF, its employees, and its member institutions and their employees also expressly assume responsibility for protecting the environment. They are aware of their special responsibility toward the environment, society, and their employees, and they demonstrate this responsibility in their daily work. The responsible use of their own resources and those of their business and research partners, such as materials, energy, and time, is mandatory:

- **Materials and equipment:** All material and technical resources of the DZIF

and all member institutions must be used efficiently and sustainably.

- **Financial resources:** Financial resources should be used responsibly and exclusively for legitimate, project-related purposes.
- **Environmental protection:** All employees and member institutions are encouraged to support environmentally friendly practices, such as reducing paper use, waste, and the efficient use of energy and water.

3. Scientific ethics

- 14 Good scientific practice is essential for reliable research results. For this reason, all researchers at the DZIF and all researchers at member institutions are expected to adhere to the highest standards of methodology, transparency, and traceability. Scientific misconduct such as plagiarism, data falsification, or unauthorized use of other people's work is strictly prohibited, and it is expected that all sources are correctly cited and data is presented without distortion. Ethical standards must be strictly observed in scientific publications.
- 15 Any violations of these principles that nevertheless occur in individual cases must be reported immediately to the responsible body (for the DZIF, see section 6 below).
- 16 Specifically, the following procedures and conduct must be observed to ensure appropriate scientific ethics within the DZIF and its member institutions:

a. Good scientific practice

- 17 Good scientific practice is the basis for trustworthy and robust research results. All employees and researchers at the DZIF and its member institutions are obliged to conduct their work in accordance with the highest standards of scientific methodology and practice. This includes diligence, transparency, and a commitment to the reproducibility of scientific work. This encompasses the careful planning, execution, documentation, and evaluation of experiments and studies. Errors in research must be reported correctly and corrected, and research results should be published in such a way that they can be reproduced.

b. Publication ethics

- 18 We expect our employees, our member institutions, and their employees to strictly adhere to ethical standards for scientific publications. This includes, for example, correctly listing all contributors and ensuring that everyone who has made a significant contribution is named as an author. Authorship should be handled fairly and transparently. Ghostwriting and the unjustified addition of co-authors are not permitted.
- 19 Furthermore, all publications must comply with the ethical guidelines of the respective scientific discipline. Research results must be published independently of the results in order to avoid distortion of the scientific literature.
- 20 Patent applications arising from or related to DZIF-funded programs follow the guidelines and procedures of the Patent Act and the current DZIF cooperation agreement.

c. Plagiarism and data manipulation

- 21 Plagiarism, data falsification, and other forms of scientific misconduct constitute serious violations of scientific integrity. Copying and unauthorized use of the work of others without proper citation is strictly prohibited. All sources must be properly cited, and data must be reported accurately and without distortion.
- 22 Similarly, the manipulation of data to distort results or support certain hypotheses is prohibited. All employees and researchers are obliged to ensure the originality of their work and to seek advice in case of uncertainty.

4. Workplace safety and behavior

- 23 The DZIF and all member institutions must observe and comply with the applicable labor law requirements. They ensure a safe and healthy working environment and assume responsibility for the health and safety of their employees. They maintain and promote an appropriate occupational safety management system that includes regular training on all essential occupational safety issues.
- 24 The DZIF and its member institutions also ensure that the working hours of their employees, including overtime, comply with applicable law. Remuneration and other benefits, such as social benefits and vacation, must also comply with the principle of fairness and at least the applicable legal requirements.

a. Work environment

- 25 A safe and healthy working environment is essential for the productivity, well-being and activities of all employees of

the DZIF and its member institutions. The safety and health of all employees of the DZIF and its member institutions is therefore a top priority. The DZIF and all member institutions are committed to ensuring a safe working environment that complies with applicable legal requirements and internal safety guidelines.

- 26 In turn, all employees are responsible for complying with safety instructions and regulations, wearing appropriate protective clothing if necessary, taking protective measures and ensuring that equipment is used properly:

- **Safety precautions:** Adequate safety precautions must be taken, reviewed and updated as necessary to minimize accidents and health risks. All applicable safety regulations and rules must be followed by those affected.
- **Equipment:** Workplaces must be ergonomically and safely equipped and work equipment must be used properly. Safety devices and equipment as well as emergency equipment must be accessible and functional at all times.
- **Risk assessments:** Regular assessments of working environments to identify and minimize risks must be carried out.

- 27 Any incident that could endanger the health and safety of employees must be reported immediately to the responsible persons and investigated.

b. Cooperation and communication

- 28 A harmonious and productive working environment is crucial for the success of the DZIF and its member institutions, as well as for collaboration and cooperation with third parties. This requires

effective collaboration and open, transparent and clear communication within the DZIF, within the member institutions and between them. The DZIF actively promotes such open and effective communication. After all, good cooperation based on trust is reflected in honest, open and transparent communication and mutual support. It is also important that employees and member institutions act responsibly towards the interests of the DZIF as well as their own and other member institutions. This also applies to publications on social media.

- 29 All employees of both the DZIF and the member institutions are therefore encouraged to communicate, work together, give constructive feedback and overcome communication barriers in the interests of good cooperation:

- **Teamwork:** Employees and member organizations should work together cooperatively to achieve common goals.
- **Open communication:** Difficulties or differences of opinion should be addressed openly and resolved constructively and respectfully.
- **Cultural sensitivity:** Cultural sensitivity is particularly important in an international and interdisciplinary environment.

c. Documentation

- 30 All relevant information and processes are carefully and sufficiently documented and archived by all employees of both the DZIF and the member institutions in order to ensure traceability and provability. Employees must ensure that records and reports prepared by them or otherwise under their responsibility are complete, accurate, truthful, timely and

in accordance with applicable rules and standards, regardless of who the information is intended for.

d. Conflicts of interest

- 31 Conflicts between the personal interests of individual employees of the DZIF or its member institutions and the interests of the DZIF and/or its member institutions must be avoided.
- 32 A conflict of interest exists for persons who are involved in decisions of the DZIF or its member institutions or who can influence the outcome of a decision-making process and who have a direct or indirect financial, economic or personal interest that could compromise their impartiality and independence in the context of these decisions. Conflicts of interest can exist, for example, if employees or persons close to them act as competitors, perform a secondary activity for another company or if they or persons close to them have a stake in a competitor or partner.
- 33 With this in mind, private interests must be kept separate from official business. Decisions, particularly in relation to research, funding, procurement or personnel matters, must be made impartially and transparently. Secondary activities that could lead to conflicts of interest should be approved and, if necessary, adjusted or terminated by those responsible.
- 34 Since such conflicts of interest can jeopardize the independence and credibility of the DZIF and its member institutions, all employees of the DZIF and its member institutions are obliged to disclose potential or actual conflicts of interest to the responsible body without delay:

- **Identification:** Employees and member institutions must identify potential conflicts of interest at an early stage and disclose them to the relevant contact persons (for the DZIF, see section 6 below).
- **Handling:** After disclosure, an appropriate plan must be developed to manage or eliminate the conflict of interest.
- **External activities:** All external activities that could potentially lead to a conflict of interest must be approved in advance.

e. Further education and training

- 35 Continuing education and training for DZIF staff and the member institutions is crucial for promoting scientific excellence and innovation. For this reason, the continuous training and further education of employees is supported and promoted in order to keep their skills and knowledge up to date, to expand their respective professional and personal skills and to ensure scientific progress. However, employees are responsible for their own professional development and should actively participate in further training programs or commit to them. Executives should also encourage and support employees to take part in further training measures.

5. Final provisions

- ³⁶ This Responsibility Policy comes into effect from 01.07.2025 and applies to all employees of the DZIF until further notice, regardless of the legal basis on which employment takes place.
- ³⁷ It is reviewed at regular intervals as well as on an ad hoc basis to ensure that it is up to date and needs to be adapted as necessary.

6. Contact persons and contact details

- ³⁸ If you have any questions about our **Responsibility Policy**, our compliance regulations or specific compliance topics, please do not hesitate to contact our Compliance Department:

Phone: +49 531 6181 1152

E-Mail: compliance@dzif.de

Contact person for data protection violations:

BREDEX GmbH

Lindentwete 1

38100 Braunschweig

Phone: +49 531 243300

E-Mail: edsb@bredex.de

Compliance and Compliance Organization Policy

This **Compliance and Compliance Organization Policy** is part of the DZIF Compliance Regulations. It describes the compliance organization and infrastructure of the DZIF in more detail, regulates the tasks and powers of the persons and bodies involved in the compliance Management System (CMS) and defines the principles and procedures intended to ensure that all legal, scientific and ethical standards are observed both at the DZIF and in its member institutions.

*The translation of the "Compliance and Compliance Organization Policy" was generated automatically.
The [German version](#) is the legally binding one.*

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1. Preamble

- 1 The German Center for Infection Research e. V. ("**DZIF**") is an association of research institutions ("**member institutions**") in Germany that brings together the expertise of excellent researchers from all its member institutions for the purpose of effective collaboration in the interests of research. The aim is to create a working environment characterized by trust, respect, innovation, cooperation and responsibility.
- 2 Against this background, the DZIF has established rules (collectively: "**Compliance Regulations**") which serve as binding guidelines for DZIF employees for cooperation within the DZIF and with other DZIF member institutions or other institutions (including companies) and supplement statutory compliance provisions. In addition, the compliance regulations can and should serve as a suggestion or model for adopting corresponding guidelines for cooperation within the DZIF and with the DZIF, other DZIF member institutions or other institutions. With our [Code of Conduct ↗](#), the local **Compliance Policy and Compliance Organization**, and the [Responsibility Policy ↗](#), we set out the standards of conduct that the DZIF expects its own employees to adhere to and that it requests all member institutions and their employees to adhere to. Some of these requirements are prescribed by law.
- 3 This **Compliance and Compliance Organization Policy** is part of these compliance regulations. It describes the compliance organization and infrastructure of the DZIF in more detail, regulates the tasks and powers of the persons and bodies involved in the compliance management system (CMS) and defines the principles and procedures that are intended to

ensure that all legal, scientific and ethical standards are observed both at the DZIF and in its member institutions.

2. Compliance management

- 4 An effective and efficient compliance policy and associated compliance management are essential for an effective compliance structure at the DZIF and its member institutions. Compliance management can ensure that all legal regulations, internal guidelines and ethical and scientific standards are adhered to, thereby preventing harm to our employees and institutions themselves.
- 5 The DZIF has set up a compliance function for this purpose. This is responsible for setting up, reviewing and adapting a set of rules, implementing control mechanisms and providing regular information and training to employees.
- 6 The compliance function is established at

Simone Friedrich

German Center for Infection Research
Inhoffenstraße 7
38124 Braunschweig
Phone: +49 531 6181 1152
E-Mail: compliance@dzif.de

- 7 The compliance function reports on its activities to the DZIF Management and Executive Board at least once a year.
- 8 In the event of grievances and violations, the DZIF, in consultation with the Executive Board and together with the respective member institution, will ensure that—as far as possible and within its area of responsibility—effective and efficient measures are taken and comparable violations are prevented in the future.

3. Compliance responsibility

- 9 We give employees as much personal responsibility and freedom as possible. In return, the DZIF expects all employees to be aware of their responsibility for their own conduct and to act accordingly. Every person associated with the activities of the DZIF is jointly responsible for the image and reputation of the DZIF and its member institutions.
- 10 Executives are responsible for ensuring compliance as a management task. In this respect, every executive is responsible for the employees entrusted to them. Due to their organizational and supervisory duties, they are responsible for ensuring that no violations of the law are committed in their respective areas of responsibility that could have been prevented or made more difficult by proper supervision. Even if individual tasks are delegated, the manager retains this responsibility. Executives should be role models and fulfill and demonstrate their function as role models in words and deeds.
- 11 Against this backdrop, all employees must be aware that a violation of laws or internal DZIF guidelines can not only jeopardize the reputation of the DZIF and its member institutions, but also their own reputation. In addition to internal sanctions under labor or employment law, which can lead to dismissal, such violations by employees can also result in criminal sanctions, such as a fine or imprisonment, and also trigger claims for damages by the center or third parties. In addition, the DZIF or its member institutions may be threatened with the partial or complete loss of funding, not only for the future but also retroactively.

4. Compliance communication

- 12 DZIF employees are regularly informed and trained about the legal and internal compliance requirements, both on an ad hoc and ad hoc basis.
- 13 The DZIF expects its member institutions to also regularly inform their employees accordingly.

5. Controls and audits

- 14 The DZIF can carry out audits at the DZIF to check adherence to the compliance guidelines both in the internal fulfillment of tasks and in cooperation with its member institutions, and to identify possible weaknesses.

6. Whistleblower system

- 15 In order to detect and clarify suspicious cases, all employees of the DZIF and the member institutions of the DZIF are expressly requested to report any violations of the law or compliance requirements, as well as any suspicions in this regard.
- 16 For this purpose, they can contact the DZIF Whistleblower Reporting Office and report—also anonymously—information on misconduct or compliance violations of which they become aware. All employees of the DZIF and its member institutions can find further information and the German and English reporting forms here:
[To the German reporting form ↗](#)
[To the English reporting form ↗](#)

7. Dealing with suspected cases

- ¹⁷ In the event of suspected compliance violations, an immediate and thorough investigation is initiated by the compliance function—also against the background of corresponding legal obligations—and the necessary and appropriate follow-up measures are taken to rectify violations and prevent future incidents. If necessary, legal action will be considered.
- ¹⁸ In the event of conflicts of interest, persons with conflicts of interest are not to be involved in the investigation. Concerns about conflicts of interest can be reported to the DZIF compliance function.

8. Final provisions

- ¹⁹ This Compliance and Compliance Organization Policy comes into effect from 01.07.2025 and applies to all DZIF employees until further notice, regardless of the legal basis on which they are employed.
- ²⁰ It is reviewed at regular intervals as well as on an ad hoc basis to ensure that it is up to date and needs to be adapted as necessary.

9. Contact person and contact details

- ²¹ If you have any questions about our **Compliance and Compliance Organization policy**, our compliance regulations or specific compliance topics, please do not hesitate to contact our Compliance Department:

Phone: +49 531 6181 1152

E-Mail: compliance@dzif.de
