

GUIDING PRINCIPLES AT THE

FZI

RESEARCH INSTITUTE
FOR INFORMATION SECURITY



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— Foreword

Dear colleagues, ladies and gentlemen,

Research is the engine of the future. As a non-profit foundation under civil law, the FZI Research Center for Information Technology stands for applied research and technology transfer. Since our founding in 1985 we conduct research in various topics related to computer science. Through innovative research at the highest level and open-mindedness towards technical innovations, we would like to continue to inspire with new ideas and solutions in the future.

In doing so, we want to shape the future responsibly. We at the FZI are happy to make our contribution to the common good. We do it out of conviction and with a view to the generations that will follow us.

Those who shape the future need a clear orientation. Together, we shape the culture of the FZI. In our daily collaboration – with each other and with our partners – we are guided by clear values and convictions.

The Code of Ethics developed by the Board of Executive Directors together with the researchers and employees of the research center summarizes the convictions for which the FZI stands. We want to continue to fill these values with life and protect them.

That is why we have given ourselves rules in the form of a Code of Conduct that is binding for all colleagues at the FZI. Lawful and value-oriented action creates the basis of trust for our cooperation, both at the FZI and with our partners in companies and public institutions.



The Board of Executive Directors of the FZI (from left to right):

**Prof. Dr.-Ing. J. Marius Zöllner, Jan Wiesenberger,
Prof. Dr. Andreas Oberweis**

The FZI's Code of Ethics and Code of Conduct form the main pillars of our Guiding Principles (see „Structure of our Guiding Principles“ graphic on the right). They are supplemented by our Leadership Principles, which are based on the same standards. They underline the special importance of managers as role models.

These three guiding principles of the FZI formulate our self-understanding, shape our cultural mission statement and give us orientation for our actions. At the same time, they protect us from risks and thus secure the further development and future of the FZI.

Karlsruhe, September 2019

VISION

Every innovation for the well-being of society contains research and knowledge from the FZI.

MISSION

„We are the leading independent institute for cutting-edge applied research and research transfer in the field of information and communications technology in response to the societal challenges worldwide, today and tomorrow.“

LEADERSHIP PRINCIPLES

CODE OF CONDUCT

CODE OF ETHICS

[Foundation purpose / statute](#)
[General social legal framework](#)

CODE OF ETHICS

- 8 Research and knowledge for the common good
- 8 Professional excellence, interdisciplinarity, and creativity
- 8 Independence, initiative, and responsibility
- 8 Transparency, openness, and trust
- 9 Appreciation, respect, and fairness

WANG MIR

WO
Woher kommen wir,
wenn die
Computer
unsere Autos
fahren?

HAN

WO
Woher kommen
die Maschinen?
Maschinen
Forschungs-
Ingenieure
forschen?

NaWik

Wissenschaft
Vorstandsliebe

RISK

Riskokommunikation
zur Künstlichen Intelligenz



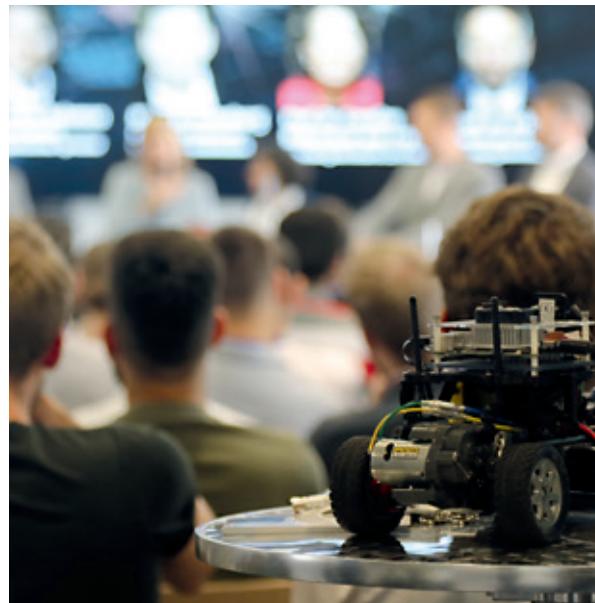
— Code of Ethics

Research and knowledge for the common good

We explore the potential of digital technologies and develop innovative applications for business and society at the highest international level. In doing so, we attach great importance to foresighted consideration of the possible consequences of our research. We are committed to acting sustainably in ecological, social, and economic terms. With each of our innovations, we strive to add value for society.

Professional excellence, interdisciplinarity, and creativity

As enthusiastic problem solvers, we shape the digital world of tomorrow and build bridges between science, business, politics, administration, and citizens. The highest scientific standards combined with interdisciplinarity and diversity are the basis for our innovative capacity and performance.



Thanks to the latest methods and technologies, state-of-the-art laboratories and test fields, as well as our network of innovative partners, we can test creative ideas directly in practice. This research and working environment offers colleagues ideal conditions for a professional future in specialist and management positions and in their own companies.

Independence, initiative, and responsibility

As a non-profit foundation under civil law, we are committed to the common good. We maintain our legal, economic and moral independence and rely on the initiative and integrity of all our colleagues. We accept our responsibility: We play an active role in shaping debates on the opportunities and risks of technological innovations and back up our words with action.

Transparency, openness, and trust

We communicate with each other and our partners on an equal footing, focusing on openness and willingly accepting constructive criticism. For us, transparency means that decisions are understandable. Cooperation at the FZI is characterized by trust, commitment and willingness to help and is geared towards clearly defined goals. Team spirit is actively lived at our company: We can rely on and stand up for each other.

Appreciation, respect, and fairness

We show the same respect and appreciation to our colleagues, partners and clients, and are guided by the principles of equal opportunity and fairness.

We are united by our enthusiasm for digital technologies of the future. For individual professional and personal development, we rely on a flexible and family-friendly working environment



CODE OF CONDUCT

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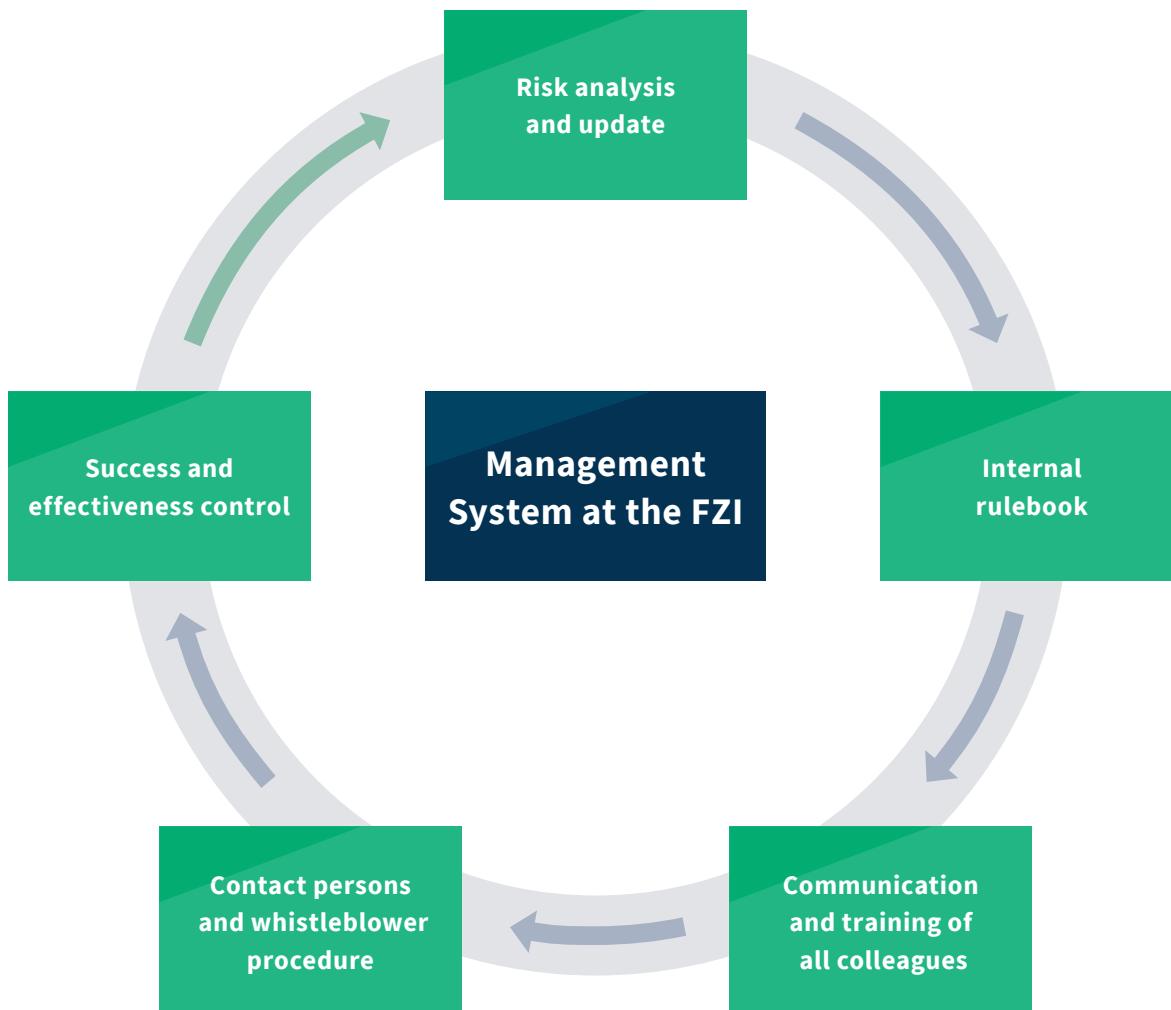
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Contact persons and whistleblower procedures**



„This Code of Conduct is the compass for
our research and actions.“

— Code of Conduct



I. Compliance as a compass

Compliance stands for adherence to laws, guidelines and self-imposed regulations. Internal compliance guidelines and measures set binding standards for all employees to support lawful conduct, raise awareness of the right thing to do, and prevent situations that could jeopardize the reputation of an institution.

One of our compliance measures is the Code of Conduct presented here. It is binding for all colleagues – regardless of their position and role. It is intended to support employees, managers, directors and board members alike in complying with our principles in their day-to-day work. This Code of Conduct is based on the FZI's Code of Ethics and – together with other internal guidelines and company agreements – forms the basis for lawful behavior at the FZI and towards our partners.

In addition, other more specific guidelines – like the Privacy Policy – round off the regulations already addressed in this Code of Conduct.

II. Economic independence

The FZI is a knowledge transfer institution and thus a link between business, public institutions, universities and other research institutions. As a non-profit foundation under civil law, we are committed to the common good and our independence. To maintain this independence, we do not enter any cooperative ventures that involve more than one-eighth of our total annual budget or that could entail a similar risk of economic dependency.

III. Demand on our partners

This Code of Conduct expresses the high level of compliance we expect of ourselves. We insist on the same basic attitude from our partners regarding the provisions set out in this policy. We encourage our partners to take these into account in their own corporate policies.



— Code of Conduct

IV. Justice and law as a minimum requirement

The following principles apply as minimum standards to protect the integrity of the FZI, our partners, and all employees.

— Respect human rights

Research and science serve to increase knowledge and contribute to the progress of society. However, this must not be done without restrictions, especially not without taking into account the common good. We are committed to fair working conditions and do not tolerate any conduct that disregards human rights.

Compliance with the United Nations Universal Declaration of Human Rights is a minimum standard for our research.

In all research work, we question the purpose of the research and what the resulting prototypes or results should or could be used for. We assess any corresponding risk to the common good and base our further actions on this assessment.

— Cultivate diversity and variety

We respect and appreciate each other in all our differences. Against this background, we create an environment free of discrimination at the FZI. In particular, we do not tolerate any discrimination based on gender, national, social or ethnic origin, religion or ideology, disability, age or sexual orientation.

At the FZI there is a complaints office for social disputes and discrimination.

— Make factual decisions without bias

We carefully separate personal and business interests. We are therefore required to make decisions that may influence business activities in any way objectively. In the event of uncertainty regarding situations in which there is the appearance of a possible conflict of interest, the matter is clarified and resolved by the responsible persons in accordance with Section VI.

More details regarding grants, invitations, gifts and other personal benefits are governed by our Grants Policy.

— Prevent corruption and money laundering

We do not tolerate any form of corruption and firmly reject any kind of bribery. The business position of any employee shall not be abused in order to demand, accept, obtain or be granted unfair advantages (e.g., objects, financial benefits or illegal privileges). The same applies to offering, promising and granting such advantages.

In addition to complying with legal regulations against corruption, we also comply with laws and regulations to combat money laundering. In this context, the identity and reliability of our business partners is also important to us. To take preventive action against money laundering, we attach great importance to transparent and open payment flows. This is intended to prevent the origin of illegally acquired money from being concealed and avoid funds originating from criminal acts from being brought into the legal economic cycle.

— Advocate fair competition

All players benefit equally from fair competition. Distortions of the market through cartels, price agreements or inadmissible market dominance lead to unfair decisions in the economy. We therefore neither tolerate nor support agreements that restrict or distort competition. We spar with our competitors without agreeing on prices, conditions, and capacities in violation of the law and thereby influencing competition.

— Ensure careful handling of third party funds

Third-party funds are handled transparently and appropriately. In doing so, we observe the principle of economic efficiency and economy in the use of funds. We conscientiously observe the provisions of public procurement law insofar as the conditions of funding require compliance.

— Guarantee safety

The physical integrity and health of our employees is a priority. We therefore ensure that occupational health and safety conditions are in line with the applicable regulations and our internal rules. A constant review and adjustment of working conditions is a basic prerequisite for a safe and healthy working environment. This is supplemented by counseling and training opportunities on our well-being in the workplace.

- Our company physicians offer preventive medical examinations tailored to the respective field of work (e.g., occupational health screening for VDU work).
- When equipping workplaces, we attach great importance to ergonomics. For this reason, we continuously seek advice from external safety engineers and occupational physicians, especially with regard to the orientation of the screens and the design of the work rooms.



— Conserve resources

Our research is committed to the principle of sustainability. The protection of the environment and the careful use of natural resources set important standards for research and development at the FZI and employee conduct in their daily work.

— Code of Conduct

— Protect personal data

The protection of individuals regarding processing personal data is a right enshrined in the Charter of Fundamental Rights of the European Union. To guarantee this right, we place strict requirements on protecting our employees' data and the handling of personal data within the scope of projects. To be able to always guarantee data protection technically and organizationally, we at the FZI have drawn up our own guidelines and established suitable structures. In addition, we strive to continuously review and develop our internal processes to protect personal data.

Our privacy policy applies.

— Maintain confidentiality and safeguard intellectual property

We do not pass on information that is intended for us only. This includes in particular company or business secrets, as well as information subject to secrecy due to contractual agreements or corresponding labeling. We use intellectual property only within the legal framework and contractual agreements. A definition of confidential information can be found in the respective contracts.

V. Freedom needs limits

Even minor violations of applicable compliance regulations or legal provisions can have serious consequences: Reputational damage and liability losses for the FZI, the Board of Executive Directors and the employees are the result. Violations of this Code of Conduct are therefore consistently prosecuted and appropriately sanctioned. Depending on the seriousness of the breach, there may be the threat of measures under labor law, including termination of the employment relationship, as well as liability for damages and even criminal penalties.

VI. Appeal for openness – Contact persons and whistleblower procedures

Every employee represents the FZI with their conduct and actions. Regardless of careful behavior, we may find ourselves in a situation in our daily work where we cannot decide without harboring doubts. If we are uncertain about a suspicion or a violation, we speak openly about it and contact our respective supervisors or the persons responsible for compliance. The contact persons should help identify possible violations in good time and prevent misconduct. In cases involving data protection law, we contact the data protection officer. If employee interests are affected, the workers council can also be consulted.

To support law-abiding conduct by all FZI employees, a compliance organization is created that is headed by a compliance officer. This is regulated in a compliance organization guideline.



In addition, we offer both internal employees and external personnel the opportunity to report potential violations anonymously in a secure and confidential manner. For this purpose, an experienced compliance expert is available as an external contact and ombudswoman.

Contact details for the whistleblower procedure, the compliance officer, and other contact persons can be found in the portal or on our homepage.

LEADERSHIP PRINCIPLES

- 23 We actively shape cooperation**
- 23 We foster employee development**
- 24 We communicate from the heart and with an open ear**
- 24 We decide with a sense of proportion in the spirit of the FZI**



— Leadership Principles

We are convinced that the FZI achieves its best results when we inspire ourselves and others with our work. As leaders, we assume a central role.

In line with our foundation's mission, we make sure that good ideas are implemented to achieve the goals we have set ourselves and benefit society. Within this framework, we provide creative freedom for all employees, in which the power of innovation can flourish based on scientific and professional knowledge and where excellence can unfold.

Good leadership means taking responsibility, making decisions and reflecting on one's own actions. Our Leadership Principles provide guidance in this regard and create the essential conditions for the growth and further development of the FZI. In addition to the Code of Conduct and the Code of Values, they offer security when making decisions. At the same time, they leave sufficient room for maneuver to promote creativity and agility while driving change. They also ensure an improvement in the relevant framework conditions, such as work-life balance.

The Leadership Principles formulated in these guidelines define the attitude that employees and managers can expect from each other. The managers undertake to constantly reflect on their behavior and adjust it if needed.

We rely on a trust-based management culture that is characterized by integrity and mutual appreciation. By living our shared values in our day-to-day work and representing them to the outside world, we make a significant contribution to the FZI's good reputation.

With these Leadership Principles, we are laying a foundation stone that we are consistently working to implement. In a continuous process, we are working together to further develop these management guidelines on this basis.

We actively shape cooperation

Our cooperation requires honesty towards others and ourselves, but also tolerance and understanding for other points of view. We create an environment from which we work for a fair and transparent distribution of tasks.

We are open to different perspectives and include them in finding solutions. We regard the diversity of our employees as an enrichment and therefore promote their interdisciplinarity. We face conflicts constructively and use them as an opportunity to improve cooperation. We attach particular importance to confidentiality and the protection of privacy. We are committed to a healthy, family-friendly and safe working atmosphere.



We foster employee development

We owe the success of the FZI to the knowledge, experience and commitment of all our employees. We offer scope for design and participation so that our colleagues can further develop their skills and opportunities. In particular, we actively encourage the initiative and commitment of all employees to contribute their knowledge and experience. We also invest in individual, personal and team-oriented training and further qualification.

Through personal feedback, we foster our employees rather than just demanding performance. We motivate through recognition, but also with constructive criticism.



— Leadership Principles

We communicate from the heart with an open ear

We maintain appreciative, transparent and open communication, and lead by example. We actively engage in respectful dialogue with our employees and with each other. We exchange information on relevant developments within the legal framework, assign clear responsibilities with clear targets, and enable result-oriented solutions from employees. If we identify challenges, we address them in a clear and timely manner and intervene in a supportive way.



We decide with a sense of proportion in the spirit of the FZI

Leading means setting an example. Mutual trust promotes the courage to take responsibility, to make decisions within one's authority in the spirit of the FZI and to be consistent in one's actions. The Code of Conduct provides dependable support in this regard. We make reliable statements and keep our word. We stand loyally behind the actions of our employees and view mistakes as an opportunity to build on our experience.



— Legal Notice



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