

## **Code of Conduct – Expeditions**

### **PURPOSE**

Being part of an expedition on land, in the air, or at sea exerts great demands on every participant in many ways. The purpose of this Code is to underscore important principles and expectations with regard to personal and professional conduct and behaviour for all AWI expedition participants. This includes compliance with policies, rules, instructions and guidelines concerning professional and social interaction, scientific practice, health and safety, environmental protection and (social) media. Since expeditions take place in a harsh environment, often far away from other ships, stations or settlements, the regulations below are mandatory and need to be complied with at all times. This is for your own safety, for the safety of others and for the safe and successful expedition execution.

### **SCOPE**

All expedition participants led by AWI (e.g. research associates, scientists, students, technical staff, collaborators and visitors), must understand and comply with this Code of Conduct and the related policies referred to herein. Additional stringent requirements imposed by third parties (e.g. employing organizations, vessel or station management), also apply in full effect.

### **RELATED POLICY DOCUMENTS**

- Sexual Misconduct Policy
- Alcohol and Drug Policy
- Relevant Media Policy (if applicable)
- Relevant Scientific Data Policy (if applicable)
- Relevant Smoking Policy (if applicable)

### **1. General Behaviour**

- 1.1 Conduct yourself with integrity, objectivity and honesty. Seek to create an atmosphere based on trust, co-operation and mutual respect, both during professional and private interactions.
- 1.2 At all times, expedition participants must comply with the instructions given by the Chief Scientist, the Head of Expedition or of Station, or the Ship or Flight Captain who are the main authorities with regard to organization and safety of work, personnel and environment.
- 1.3 You have a personal responsibility to prevent your behaviour having an unfair or discriminatory effect on others. Any form of discrimination (based on ethnic background, gender, religion or belief, age, disability and sexual orientation and identity) will be considered as potential disciplinary offence.
- 1.4 You must be aware of all levels of intentional and non-intentional sexual misconduct (including, but not limited to verbal or physical harassment, sexual assault, stalking). Such behaviour is strictly forbidden. You are expected to react if you witness inappropriate behaviour by others. Intervene directly and/or bring it to the attention of the Chief Scientist, the Head of Expedition or of Station, or the Ship or Flight Captain. AWI nominates Persons of Confidence on all larger expeditions to help mediating conflicts at an early stage.
- 1.5 Disruptive, unethical or illegal conduct will not be tolerated. Allegations of such conduct will be investigated thoroughly and addressed accordingly.

### **2. Professional Conduct**

- 2.1 All expedition participants should act in such a manner which supports the mission, promotes science and the integrity of AWI and other institutions involved. This also includes the responsible use of all resources. Conversely, you have the duty not to bring AWI or any other institution into disrepute by your actions (or inactions),

statements or neglect of responsibilities. Respect “Intellectual Property Rights” (IPR) of expedition participants including inventions, technical prototypes, software and scientific results in the course of the joint expedition work. Knowledge gained during joint expeditions does not entitle you to use such IPRs without prior agreement of the owner. Concomitantly it is important to inform colleagues of the specific need for confidentiality where necessary.

- 2.2 The provision and use of data acquired during AWI expeditions is subject to the respective “Scientific Data Policy”.
- 2.3 The research and publication activities of AWI employees must comply with the standards for “Good Scientific Practice” set by the Deutsche Forschungsgemeinschaft (DFG, German Research Foundation).
- 2.4 All participants must observe the “Guidelines for Responsible Science at AWI”. Research projects of AWI employees with a potential risk in this regard must be reported to the AWI’s Risk Assessment Committee by the scientists involved, in consultation with their Section Head.

### **3. Alcohol and Drug Misuse**

- 3.1 The possession, use or sale of illegal drugs (as defined in the German Narcotics Legislation) is prohibited at all times.
- 3.2 Legal drugs such as alcohol should be consumed responsibly and with due consideration of others. The consumption of alcohol is only permitted during off-duty periods on our station, ship and land campaigns. When reporting to work, you must be sober. Blood alcohol concentration (BAC) cannot exceed 0.3 ‰. Even when off-duty, you must be able to respond in the event of an emergency and muster as required. Always keep in mind that alcohol might additionally have a negative influence on your social and professional behaviour.
- 3.3 Violation of regulations can result in consequences such as the termination of research work or dismissal. The Chief Scientist, the Head of Expedition or of Station, Ship or Flight Captain have unrestricted authority to issue directives on drug abuse and alcohol use to all expedition participants and may lawfully delegate this authority to the deputy Expedition Leader as required.
- 3.4 AWI regulations do not relieve participants from stricter policies issued by their own institutions or companies. The shipping companies F. Laeisz and Briese as well as AWI will fully cooperate with the relevant authorities in the prosecution of anyone who fails to cooperate with the requirements set forth.
- 3.5 If, in the opinion of a participant, a colleague presents as being intoxicated or under the influence of drugs, the witnessing participant should bring this to the attention of the Chief Scientist, the Head of Expedition or Station and Ship or Flight Captain who may require, and has the right to request and conduct, blood alcohol and/or drug tests should it be deemed necessary for ensurance of ship and crew safety. Such tests may be administered by the medical personnel.

### **4. Health and Safety**

- 4.1 Act and behave responsibly at all times, even when off-duty, in the knowledge that it is everyone’s responsibility to provide a safe living and working environment.
- 4.2 You have the responsibility to take care of your own health and safety, and the duty to act as a responsible team member who also takes care for the health and safety of others.
- 4.3 You are always required to wear the provided Personal Protective Equipment (PPE) for duties, accordingly. Report if the PPE is not suitable or shows any sign of damage.  
On board of ships, planes and in stations and camps, smoking poses a high risk to health and safety. It is our goal to maintain a safe and productive work environment for everybody by preventing accidents or other dangerous incidents that may result from smoking. The prevention of passive smoking has a high priority on all expeditions. It is strictly forbidden to smoke in boats, zodiacs, helicopters or airplanes. Smoking on ice or during any sampling on land or at sea can contaminate

or destroy scientific samples, it may therefore be prohibited in or restricted to defined areas. Smoking is regulated specifically for each expedition platform. You are required to inform yourself about permission to smoke and smoking zones and to comply to the rules.

## 5. Environmental Protection and Sustainability

- 5.1 You must work to protect the environment by minimising use of resources, including energy, by avoiding pollution, and by preventing disturbance to flora & fauna and other environmental risks and impacts in compliance with national and international environmental legislation (e.g. Antarctic Treaty requirements).
- 5.2 Your overall guiding principle should be to leave as little traces as possible!
- 5.3 Take action if you see someone not behaving according to the rules and unnecessarily disturbing or polluting the environment (e.g. by taking action yourself or informing the expedition leader, trusted persons or others).

## 6. Media Contact & Confidentiality

- 6.1 The transfer of scientific knowledge and information, scientific communication and outreach activities are important science activities. Your expedition will have a media communication strategy, to encourage exchange with others. You are asked to inform yourself of this strategy and the associated channels of communication and to support the planned activities when possible.
- 6.2 While doing this, you are asked to respect the confidentiality of personal and privileged information. Do not pass confidential information to the media or other external parties, unless within the scope of employment duties or as otherwise authorised to do so.
- 6.3 In the case of accidents or other sensitive situations, the Chief Scientist, the Head of Expedition or Station and the Ship or Flight Captain may ask for a communication moratorium to protect the privacy of inflicted persons. You will be properly informed in such cases and must comply.
- 6.4 Information obtained in the course of work must not be used for personal gain or benefit without prior authorisation of the AWI or other responsible institutions.
- 6.5 The protection of personal data must be guaranteed; and any disclosure of personal data must comply with the General Data Protection Regulations (of the EU).

## 7. Disciplinary Sanction

A breach of this Code of Conduct or related policies listed above may result in disciplinary action for AWI employees. Where such breaches involve staff working for the AWI or another organisation associated with the expedition, such breaches will be reported to the relevant level of management or external body, as appropriate. If a criminal offence is suspected, the matter will be reported to the Police and other relevant authorities.

## 8. Compliance

It is a requirement that everyone deployed on AWI expeditions, whether a member of staff, contracted, or a third party under AWI jurisdiction and supervision, signs this Code of Conduct and adheres to its provisions. Failure to do so may lead to AWI withdrawing you from the program and/or instigating disciplinary proceedings.

I, the undersigned, have read and understood the information contained in the AWI Code of Conduct and agree to abide by its contents as well as the related policy documents and the obligations contained therein.

Signature: ..... Date: .....

Print Name: ..... Job Title: .....