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1 Introduction

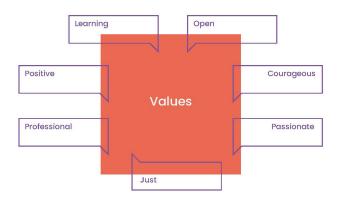
This document contains the Rutgers' Code of Conduct. It describes Rutgers' core values and the behaviour Rutgers stands for. We hold ourselves and each other accountable for both the performance of our duties and personal presentation in a manner that is in keeping with the values described.

House of Values

The Rutgers' House of Values is the base for this Code of Conduct. These values show us the strengths of our organisation and the standards we seek to live up to.

Our behaviour aims to reflect our *overall value* just, always. This means that we do justice to the people and organisations with and for whom we work.

The figure below shows all values Rutgers stands for:



Integrity Framework

This Code of Conduct is part of the Rutgers Integrity Framework. This framework consists of two pillars, the preventive process and the compliance practice. These two pillars are interdependent and mutually reinforcing.

In the preventive process, moral learning ensures that difficult decisions are weighed up properly. The practice of moral deliberation and judgement, in which all Rutgers staff members are trained, gives staff members the opportunity to learn from (past) decisions and help them make moral decisions in the light of this Code of Conduct. Our moral learning is complemented by continued communication and training.

Furthermore, the compliance practice prevents violations of the Code of Conduct and ensures institutional response should a violation take place. Part of this is the *Rutgers Reporting Procedure*. This is complemented by Rutgers accounting for its handling of Integrity by reporting publicly and to its donors about its Integrity policy and practice.

Purpose and scope of the Code of Conduct

The purpose of the Code of Conduct is to serve as a guide for the behaviour of everyone working for or on behalf of Rutgers. This means the Code of Conduct is applicable to salaried employees, volunteers, interns, consultants engaged on a temporary basis, trainees; i.e. everyone who performs work on Rutgers' behalf, regardless of the type of contract involved or the location where the work is carried out.

Rutgers expects everyone who works for, or on behalf of Rutgers to observe the Code of Conduct in any situation where they might be considered acting in the capacity of a representative of Rutgers. If in any doubt it is always possible to contact the management or integrity officer for advice or for organising a moral deliberation.

Should an employee, a volunteer, partner or anyone else outside Rutgers feel that the behaviour of or statements made by an employee or anyone else performing activities on Rutgers' behalf is not in accordance with this Code of Conduct, then Rutgers kindly requests them to take action. This can be in the form of addressing colleagues or a manager, reporting concerns, suspicions, incidents and accusations involving a breach of this code of conduct. Details of how to report a violation are contained in the *Rutgers Reporting Procedure*.

In the case of a report of misconduct, the integrity officer will investigate this report following the procedure as laid down in the Rutgers Reporting Procedure. Possible disciplinary measures may extend as far as termination of one's contract.

When in doubt about using the Reporting Procedure or for other advice around integrity cases, it is always possible to seek advice from the Integrity Officer or the external person of trust.

Zero tolerance for inaction

Rutgers notes that many integrity violations are due to ignorance about the rules, clumsiness or, most often, temptation created by a specific situation. Rutgers also realises that a repressive, blanket zero tolerance approach may erode an Integrity system based on reporting. And that, in a value-driven organisation like ours, violations of the Code of Conduct may bring a sense of upset and prompt a desire for retribution. Rutgers therefore opts to acknowledge that violations are to occur, and for zero tolerance to inaction instead. This puts the responsibility on every one of us to react to signals of possible breaches of this Code of Conduct.

Any doubts?
Seek advice from the
Integrity Officer or the
external person
of trust.

Each and every one of us is responsible to react to signals of possible breaches of this Code of Conduct.

2 Code of Conduct

This document contains the Rutgers' Code of Conduct. It describes Rutgers' core values and the behaviour Rutgers stands for. We hold ourselves and each other accountable for both the performance of our duties and personal presentation in a manner that is in keeping with the values described.

Use of position

Corruption & (sexual) exploitation

Rutgers acknowledges that corruption erodes trust, weakens democracy, and further worsens inequality, poverty, social division, and the environmental crisis.

As a person who works for and on behalf of Rutgers I will therefore:

- use the power I have, based on either my hierarchical position or by working for or on behalf of Rutgers with due care and in the interest of the fulfilment of Rutgers' mission.
- refrain from using a position of vulnerability, differential power, or trust for sexual purposes or other gain.

Conflict of Interest & partiality

Rutgers strives to build relationships that are based on professionalism, trust and integrity.

As a person who works for and on behalf of Rutgers I will therefore:

- 1. ensure that my personal behaviour does not compromise my role within the organisation.
- act with transparency on any potential conflict between my personal interests and those of the organisation.
- 3. do nothing that might affect the integrity of the organisation.
- 4. report ancillary or parallel activities to my manager at the earliest possible moment. My manager and I will jointly assess whether there is (an appearance of) a conflict of interest and record agreements in my employee file. This could mean I might have to review or stop the ancillary or parallel activity or transfer some of the tasks at Rutgers to a colleague.
- not attempt to further my personal interests either by abusing Rutgers' position to influence a person or organisation or by offering anyone personal benefits.
- 6. not make private use of the organisation's

- property, facilities, services or financial resources unless when agreements have been made about this.
- 7. not give preferential treatment to close contacts in my network.
- not directly or indirectly offer, request or accept any gift or favour – either personally or on others' behalf – worth more than € 50.

Use of resources

Preventing fraud and bribery

Rutgers strives to build relationships with donors, partner organisations, suppliers, governments, public officials, politicians and other stakeholders that are based on professionalism, trust and integrity. Rutgers has a zero-tolerance policy regarding all forms of fraud and corruption.

As a person who works for and on behalf of Rutgers I will therefore:

- not play any active or passive role in bribery or froud
- 2. seek to bring someone along as a witness to assist me in critical situations.

Proprietary Rights

As a knowledge institute, Rutgers strives to have our research and knowledge available for everyone. We aim to be transparent and open about our learnings so others may learn from our experience.

For most programmes, Rutgers works in alliances. In these alliances, arrangements will be made around property rights for all materials created, compiled or produced during or after the programme. For other materials, proprietary rights lie with Rutgers.

As a person who works for and on behalf of Rutgers I will therefore:

- obtain approval for publishing articles and reports related to Rutgers from my manager prior to publication.
- uphold scientific standards and codes as well as Rutgers values when it comes to research

- and publications. If I feel there are conflicting interests, I will discuss these with my peers or my manager.
- give credit to the people who contributed to a scientific publication and respect their moral proprietary rights.

Interpersonal relations

Safe environment

Rutgers is committed to creating a safe environment for people who engage with us and our work, for our partners and ourselves.

As a person who works for and on behalf of Rutgers I will therefore:

- treat everyone in an open and professional manner, respecting differences in culture, religion and political opinion.
- respect everyone's rights, integrity and dignity and keep their interests in mind regardless of the gender(s) they identify with or express, sexual orientation, race/ethnicity, age, language, social class, socioeconomic status, origin, cultural background, education, religion, health condition or (dis)ability.
- treat the people I work with and for (either directly and indirectly) in a respectful manner.
 I am aware of my responsibility to prevent abuse and to protect children, young people and (vulnerable) adults.
- commit myself to create a working environment that is professional and devoid of microagression, intimidation, hostility or other infringements which may affect an individual's performance or dignity.
- refrain myself from inappropriate behaviour in any way, such as transgressive behaviour, (sexual) abuse or harassment, bullying, (micro) aggression, violence or discrimination, be it verbal, physical or visual.
- 6. give due consideration to social and legal norms of the contexts Rutgers works in or on.

Alcohol, drugs and weapons

Working under the influence of any substance, including drugs and alcohol, may jeopardize our focus and effect our ability to conduct our work safely and effectively, with potential impact on our work and partners.

As a person who works for and on behalf of Rutgers I will therefore:

- not consume drugs or excessive amounts of alcohol, nor be under the influence of alcohol or drugs during the performance of work for Rutgers.
- pay due consideration to legislation, culture and customs pertaining to alcohol and drugs consumption in the country in which I work. No alcohol or drugs should be consumed if this is contrary to local custom and/or legislation.
- not store or use any weapon whatsoever in the Rutgers office or places of work both in the Netherlands as well as abroad.

(Social) Media

Contact with the media, including requests for personal interviews or comments, is coordinated by the communications department at the head office in Utrecht, in accordance with the spokespersons' procedure. At the same time, Rutgers encourages its staff to be ambassadors for our values and goals on social media.

As a person who works for and on behalf of Rutgers I will therefore:

 act as an ambassador of the values and goals of Rutgers on (social) media; when in doubt, I will discuss this with my manager.

Attention for privacy

Rutgers handles all data from employees, partners and stakeholders in a reliable, honest and meticulous manner in accordance with privacy laws and regulations (GDPR). Data on staff members is only made available as far as necessary and only to those persons for whom this is relevant.

As a person who works for and on behalf of Rutgers I will therefore:

- only use personal data for the purpose for which it has been provided and ensure that it is not retained for longer than necessary.
- not share or disseminate information within or outside of Rutgers that clearly is or could be confidential in nature, without the express consent of the sender. Exceptions include violations of this Code of Conduct and violations of Dutch law.

Final remarks

Rutgers has zero tolerance for inaction. Everyone has the obligation to take appropriate action in the face of possible breaches of this Code of Conduct. Rutgers will do its utmost to make sure that anyone reporting, testifying or otherwise collaborating to uphold this Code of Conduct can do so without fear of reprisal or retribution.

As a person who works for and on behalf of Rutgers I will therefore:

- take action, be it in the form of addressing colleagues, a manager, reporting concerns, suspicions, incidents and accusations involving a breach of this Code of Conduct. Details of how to report a violation are contained in the Rutgers Reporting Procedure.
- give my full and confidential cooperation to any Rutgers investigation into suspicions or allegations of a violation of this Code of Conduct.



3 Definitions

Inappropriate conduct

The term inappropriate conduct refers to behaviour by an employee or a group of employees, which another employee may perceive as hostile, humiliating or give my full and confidential cooperation to any Rutgers investigation into suspicions or allegations of a violation of this Code of Conduct.

This rather loose definition of the term leaves adequate scope for the subjective perception of the victim. Rutgers consciously opted for this definition of the term 'inappropriate conduct' for the simple reason that behaviour which one employee may perceive as 'inappropriate', may be viewed as 'appropriate' by another employee. This approach offers employees the opportunity to indicate their own boundaries in their interaction with colleagues or superiors.

The 'Rutgers Complaints Scheme' explains who an employee should approach for support if they have witnessed any of the inappropriate behaviour described below and how to submit a complaint.

Inappropriate conduct refers to sexual harassment, discrimination, aggression, and violence, including bullying, as referred to in the Working Conditions Act (Arbowet). Descriptions of the various forms of inappropriate conduct follow.

Sexual exploitation, abuse and harassment

Rutgers distinguishes the following forms of misbehaviour:

Sexual Exploitation: Any actual or attempted abuse of a position of vulnerability, differential power, or trust for sexual purposes. This includes profiting momentarily, socially, or politically from sexual exploitation of another. This includes requests for sexual images, or the use of (the threat of) sharing of sexual images for personal profit. Transactional sex is not considered exploitation per se, unless it is had with minors.

Sexual Abuse: The actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions. It should cover sexual assault (attempted rape, kissing/touching, forcing someone to perform oral sex or touch) as well as rape and sharing of sexual images online or in person.

Sexual Harassment: A continuum of unacceptable and unwelcome behaviours and practices of a sexual nature. These include, but are not limited to, sexual suggestions or demands, requests for sexual favours and sexual, verbal or physical conduct or gestures, that are or might reasonably be perceived as offensive or humiliating.

Bullying

Inappropriate behaviour need not necessarily be of a sexual nature. It can also occur in the form of psychological or physical bullying and intimidation. The Working Conditions Act also covers bullying. It is defined as follows: 'all forms of intimidating behaviour of a structural nature, by one or more employees (colleagues, superiors) targeted at a particular employee or group of employees who are incapable of protecting themselves from this kind of behaviour.'

A major aspect of bullying at work is the repetition of such behaviour throughout a certain period of time. The isolated incidence of this type of behaviour does not constitute bullying therefore. While there are many characteristics of such behaviour, it generally consists of words, gestures, acts or threats. This is not an exhaustive list, however. It is often the perpetrator's deliberate intention to hurt and humiliate another person. Bullying may therefore comprise the following:

- hurtful words.
- gestures.
- iokes.
- cartoons.
- images.
- posters.
- email jokes or messages.
- physical contact or attacks.

Aggression and violence

Extreme forms of intimidation include aggression, or even go so far as the use of violence. The Working Conditions Act defines aggression and violence as follows: 'Incidents in which an employee is psychologically or physically harassed, threatened or attacked in circumstances which are directly associated with the performance of work.' Aggression and violence can be categorised as follows: verbal violence (such as being sworn at or insulted), physical violence (such as being kicked, punched, pushed, struck with a weapon, or having one's property damaged) and psychological violence (such as being threatened, intimidated, coerced, and intrusion on one's private life).

Discrimination

Discrimination means that a person does not receive equal treatment in identical circumstances. The legal definition of discrimination is as follows: 'Discrimination or discriminatory is any form of distinction, any exclusion, restriction or preference which is either designed to or may result in diminishing or the denial of the recognition of, or the opportunity to exercise one's equality by virtue of the Human Rights and Fundamental Freedoms in the field of political, financial, social or cultural matters, or in other areas of social life.'

Differences in culture, religion and political persuasion also have to be respected. We shall neither tolerate anyone being subjected to expressions, acts or decisions, in any form whatsoever, which may be hurtful to people on the basis of their race, gender, age, religion, sexual orientation, physical or mental health situation and/ or personal preferences, nor any distinction being made according to these factors (race, religion, etc.).

Gift

The term 'gift' in this Code of Conduct is defined as any material object, in either monetary or non-monetary form, which is given for the specific purpose of benefitting the giver and the recipient. This does not include gifts which are customary in our professional field and which are not of considerable financial value. If you have any doubt whatsoever in this regard, you should consult your manager or the Executive Director. In exceptional

cases – with the prior approval of the Executive Director – gifts may be accepted as a gesture of politeness, or if acceptance serves a humanitarian/ communal purpose.

Fraud, bribery and corruption

Fraud includes:

- errors in the activities carried out due to lack of clarity or mistakes, resulting in rules being inadvertently violated.
- 2. cheating aimed at:
 - unfair or illegal financial or personal gain.
 - deliberately causing damage to another party through unlawful allocation of money, abuse of power, secret agreements, misrepresentation or infringement of someone's rights.

Abuse of power, bribery and corruption refer to misuse of authority for personal gain or attempting such misuse. This includes offering, promising, giving, accepting or requesting money, gifts or other private benefits in exchange for an illegal activity, abuse of power or other improper behaviour while carrying out the relevant activities.

Corruption is defined as abuse of power for private gain. It can also entail nepotism or favouritism arising from a conflict of interest. Fraud and corruption are not necessarily aimed at the financial or material gain of one person. These practices may also involve intangible benefits such as status or information and can benefit an individual as well as a group.

The Code of Conduct is to serve as a guide for the behaviour of everyone working for and on behalf of Rutgers.