

Statutes of the Research Institute For Sustainability – Helmholtz Centre Potsdam

(As adopted by the GFZ Board of Trustees on 17.11.2022)

Preamble

The Research Institute For Sustainability – Helmholtz Centre Potsdam (hereinafter referred to as the "Institute") conducts research with the goal of investigating, understanding, advancing, and guiding transformation processes towards sustainable societies in Germany and globally. Its research approach is transdisciplinary, transformative, and co-creative: The Institute collaborates with actors from science, policymaking and public administration as well as business and civil society to develop a common understanding of sustainability challenges and generate potential solutions. The Institute's mission, research goals, and advisory activities require that it maintains its distinct identity and independent standing (so that it is perceived as an honest broker) and that it is empowered to select research topics relevant to politics and society within the framework of the Helmholtz Association's Program-oriented Funding (PoF). Distinct governance structures are necessary to achieve this. The following statutes set out the regulations for this and aim to reflect the Institute's particular mission.

The Institute is a part of the Helmholtz Centre Potsdam – GFZ German Research Centre for Geosciences (hereinafter referred to as "GFZ"). The Institute makes a discernible contribution to the goals of the Helmholtz Association with its research approach. The Institute is integrated into the Helmholtz Association's Program-oriented Funding (PoF). During a transition period from 2023 until the launch of PoF V in 2028, its research activities will be successively integrated into the PoF, with the Institute's special transformative and transdisciplinary approach forming an important element of the future PoF. From the fifth PoF funding period onward, the Institute will actively contribute to the research areas "Earth and Environment" and "Energy" in particular. Participation in or collaboration with other research areas is encouraged.

§ 1 - Name, structure, and location

1. The Institute bears the German name "Forschungsinstitut für Nachhaltigkeit – Helmholtz-Zentrum Potsdam" and is a legally dependent institution of the GFZ. The acronym "RIFS" derives from the Institute's English name: "Research Institute For Sustainability – Helmholtz Centre Potsdam".

2. The Institute conducts its research and consulting activities independently within the thematic framework of the Helmholtz Association's Program-oriented Funding, the Articles of Association of the GFZ, and these statutes.
3. The Institute receives institutional funding in accordance with the terms of the Helmholtz Association as a facility of the GFZ.
4. The Institute has its own Institute Leadership, Advisory Board, and Research Integration Committee (RIC) and is divided into several research areas and research groups below the management level.
5. The Institute maintains a Fellow Programme. In order to support its activities in transdisciplinary research, consulting and policy advice, which require close engagement with political and societal actors, the Institute also maintains internal units for press and communications, event management, and strategic science management. These units work in close consultation with the corresponding GFZ organizational units. The details of this are regulated in the Rules of Procedure.
6. The existing governance structures of the GFZ are responsible for all administrative matters and issues relating to the broader scientific administration of the centre. The general regulations of the GFZ apply with respect to the cooperation of the Institute Leadership and the administration and Executive Board of the GFZ. If necessary, the existing regulations will be amended to take into account specific characteristics of the Institute.
7. The Institute is located in Potsdam at Berliner Str. 130 and the affiliated building at Helmholtzstraße.
8. In consultation with the GFZ, the Institute will use its own corporate design (and e-mail addresses) in its external communications and presentation, whereby it shall be clearly identified as a legally dependent institution of the GFZ.

§ 2 - Purpose of the Institute

1. The purpose of the Institute is to conduct transdisciplinary and transformative sustainability research, to develop and test co-creative processes of policy and societal consulting, and to facilitate scientific exchange at the national and international levels by various means, including through its Fellow Programme. The Institute promotes the training and professional development of early career scientists, the transfer of knowledge to business, politics and society, and equal opportunities.

2. It achieves its purpose in the following ways in particular:

- a. through excellent research focussed on transformation as well as applying inter- and transdisciplinarity, in cooperation with and supported by Helmholtz-Association centres, especially in the research fields "Earth and Environment" and "Energy";
- b. by supporting existing research activities of the Helmholtz Association, especially in the research fields "Earth and Environment" and "Energy", both through its own research contributions and through the methodologically founded and science-based transdisciplinary approach practiced at the Institute and applied in advisory activities engaging with actors from politics, business and society;
- c. through the involvement of domestic and international Fellows, who make significant contributions to transformative and transdisciplinary research relating to topics addressed at the Institute;
- d. by initiating co-creative and transformative dialogues with business, policymakers, and society;
- e. by forging strategic partnerships with selected universities, non-university research facilities as well as with non-scientific institutions from politics, business and civil society;
- f. through the communication of its research results as well as independent contributions to transformation processes to the public and political sphere.

§ 3 Financing

1. The Institute shall have at its disposal the funds specified in its own subsidiary budget. Central services provided by the GFZ to support the Institute's research activities shall also be financed through the subsidiary budget.
2. The Institute may participate in the special programmes and calls for proposals of the Helmholtz Association.
3. The Institute shall raise further third-party funds to the extent that this is compatible with the purpose of the Institute and the Articles of Association of the GFZ. Own contributions required for such projects are to be met through the subsidiary budget.

§ 4 - The Institute Leadership

1. The Institute Leadership consists of two Institute Directors: a scientific director with expertise in the natural sciences and a scientific director with expertise in the social sciences.
2. The Institute Leadership shall recommend to the Executive Board of the GFZ that one of the two scientific directors shall act as the Institute's spokesperson. This appointment shall be for a period of two years. The appointment may be renewed. The responsibilities, rights, and duties of the spokesperson are regulated in the Rules of Procedure.
3. The Directors of the Institute shall be appointed by the Executive Board of the GFZ for a term of five years with the prior consent of the Board of Trustees. The scientific directors may be re-appointed. If a scientific director is not appointed within the foreseen period or if an appointed director takes up their post later than scheduled, the previous director shall remain in office for as long as necessary, provided they are available to do so.
4. The appointment of the Institute's scientific directors is prepared by a recruitment committee, analogous to the procedure for university appointments. The Institute's Advisory Board, represented by the chairperson or a member appointed by the Advisory Board, shall be given the opportunity to comment on appointments. A joint appointment with a university will be sought.
5. The spokesperson shall attend the meetings of the Board of Trustees of the GFZ as a guest if and insofar as the interests of the Institute are affected and the Board of Trustees does not rule otherwise in individual cases.
6. The spokesperson shall be assisted in the management of the Institute's business by an Administrative Officer ("*Institutsreferent*in*") employed by the Institute.
7. The two directors of the Institute are members of the GFZ's Directorate (*Direktorium*). If the total number of directors in the GFZ Directorate falls below eight persons (excluding IASS directors), then only the spokesperson of the IASS will be a member of the Director's Meeting.
8. The Institute Leadership shall adopt Rules of Procedure subject to the approval of the Executive Board of the GFZ.

§ 5 - Responsibilities of the Institute Leadership

1. The Institute Leadership elaborates the thematic focus of the Institute and the goals of its various transdisciplinary and transformative activities for policy and societal consulting. It decides on research proposals and on the selection procedure for the appointment of the Fellows.
2. The Institute Leadership is responsible for and guides the Institute's activities in the field of transdisciplinary and transformative policy and societal consulting. This includes the various platforms to facilitate dialogue between science and society managed by the Institute (Science-Society Platforms).
3. The Institute Leadership is tasked with preparing the Institute's research programme and future updates, with the support of the Advisory Board and RIC, and in consultation with the Executive Board of the GFZ. The programme shall be coordinated with partners from the Helmholtz Association and future amendments will be incorporated by the GFZ into its planning for the POF programme.
4. The Institute Leadership may allocate funds from the Institute's subsidiary budget in accordance with the GFZ's regulations governing signatures and representation. The Institute Leadership is directly responsible to the Executive Board of the GFZ for the management of the subsidiary budget.
5. The following matters pertaining to the Institute shall be administered independently by the Institute Leadership (details are regulated in the Rules of Procedure):
 - a. Recruitment of all employees at the Institute, taking into account the GFZ's regulations governing signatures and representation.
 - b. Authority to issue instructions to employees of the Institute as well as the authority to sign documents in accordance with the provisions of the GFZ's regulations governing signatures and representation.
 - c. The organization of the Institute, coordination of research activities and scientific integration within and outside the Institute, in coordination with the overall strategy of the GFZ, the Helmholtz Association's Program-oriented Funding (PoF) and the decisions and recommendations of the oversight committees (in particular the Board of Trustees and the Institute's Advisory Board).
 - d. The initiation of cooperation agreements with external research institutions and scientific, political, or civil society organisations and associations.
 - e. External communications and presentation of the Institute in close coordination with the GFZ's Press & Public Relations unit.

- f. Preparation of the annual subsidiary budget and medium-term financial planning for a five-year period (actual term may vary).
- g. Decision-making with regard to the exploitation of intellectual property created at the Institute.
- h. Preparation and submission of written reports to the organs of the GFZ, in particular to the Board of Trustees.
- i. Programme- and centre-specific evaluation of research in the context of the Helmholtz Association's Program-oriented Funding, whereby the special, transdisciplinary and transformative character of the Institute shall be taken into account and distinct criteria for the evaluation of the Institute developed in cooperation with the GFZ.

§ 6 - The Advisory Board

1. The Institute maintains its own externally staffed Advisory Board. The Advisory Board advises the Institute Leadership on the fundamental orientation of the Institute, the research programme, the further integration into the Helmholtz Association's Program-oriented Funding (PoF), on the appointment of Fellows and the orientation of transdisciplinary and transformative policy and societal advice, and on cooperation with national and international institutions.
2. The Advisory Board bears substantial responsibility for ensuring the quality of scientific work at the IASS.
3. The Advisory Board consists of up to ten persons who are not employees of the Institute or the GFZ. The majority of its members are scientists. In order to reflect the transdisciplinary character of the Institute, the Advisory Board also includes prominent practitioners from outside the scientific community. In addition, to maintain and strengthen the Institute's links with the Helmholtz Association, at least one position on the Institute's Advisory Board should be filled by a representative from another Helmholtz Centre.
4. The members of the Advisory Board are appointed for a term of four years by the Executive Board of the GFZ on the recommendation of the Institute Leadership. These appointments may be renewed.
5. The Advisory Board shall elect a chairperson and a co-chairperson from among its members.

6. The chairperson of the Institute's Advisory Board shall attend the meetings of the GFZ's Scientific Advisory Council as a guest. Likewise, the chairperson of the GFZ's Scientific Advisory Council shall attend the meetings of the Institute's Advisory Board as a guest. The GFZ's Executive Board may attend the meetings of the Institute's Advisory Board as a guest.
7. Advisory Board meetings are convened by the Institute Leadership in consultation with the chairperson at least once a year. Minutes shall be taken for all meetings of the Advisory Board.
8. The Chair and the members of the Advisory Board perform their functions in a voluntary capacity.

§ 7 - Research Integration Committee (RIC)

1. The Research Integration Committee (RIC) supports and advises the Institute Leadership on issues relating to research and policy and societal consulting, including the development of the research programme and subsequent amendments.
2. The RIC consists of the Area Speakers of the Institute's research areas, along with the respective leaders of the Institute's strategic science management team, Fellow Programme and Press & Communications unit, as well as the Institute Leadership, which attend as guests.

§ 8 - Fellows

1. The Institute maintains its own Fellow Programme. Depending on the available positions and funding, the Institute Leadership may invite established researchers and other persons from the business sector, politics, civil society and culture to the Institute as Fellows for a period of one year (in exceptional cases fellowships may span up to two years). The further details of this are governed by the Institute's Fellow-Programme concept.
2. Decisions to issue invitations should take account of the Institute's international character. Care should be taken to ensure both a balanced mix of age groups and gender parity among the Fellows.
3. Depending on the funding and space available, the Institute shall provide its Fellows with work space and, if necessary, housing in Potsdam and funding for research-related travel and support staff. Funding from the Institute's subsidiary budget may be used to pay Fellows a stipend, honorarium, and/or a sum to cover costs that they or their home



institutions incur in connection with their stay in Potsdam. Agreements in this regard must be concluded with the GFZ, represented here by the Institute Leadership, and must be in writing.

§ 9 - Entry into force and amendments

1. These Statutes shall enter into force upon signature on 01.01.2023 and shall be made accessible to all employees via intranet.
2. Amendments to the Statutes shall be decided by the GFZ Executive Directors in consultation with the Institute Leadership and with the prior approval of the GFZ's Board of Trustees.

Signatures

Potsdam, 17.11.2022

Potsdam, 17.11.2022

Executive Board

Institute Leadership

Helmholtz Centre Potsdam

Research Institute For Sustainability

GFZ German Research Centre for

Helmholtz Centre Potsdam Geosciences