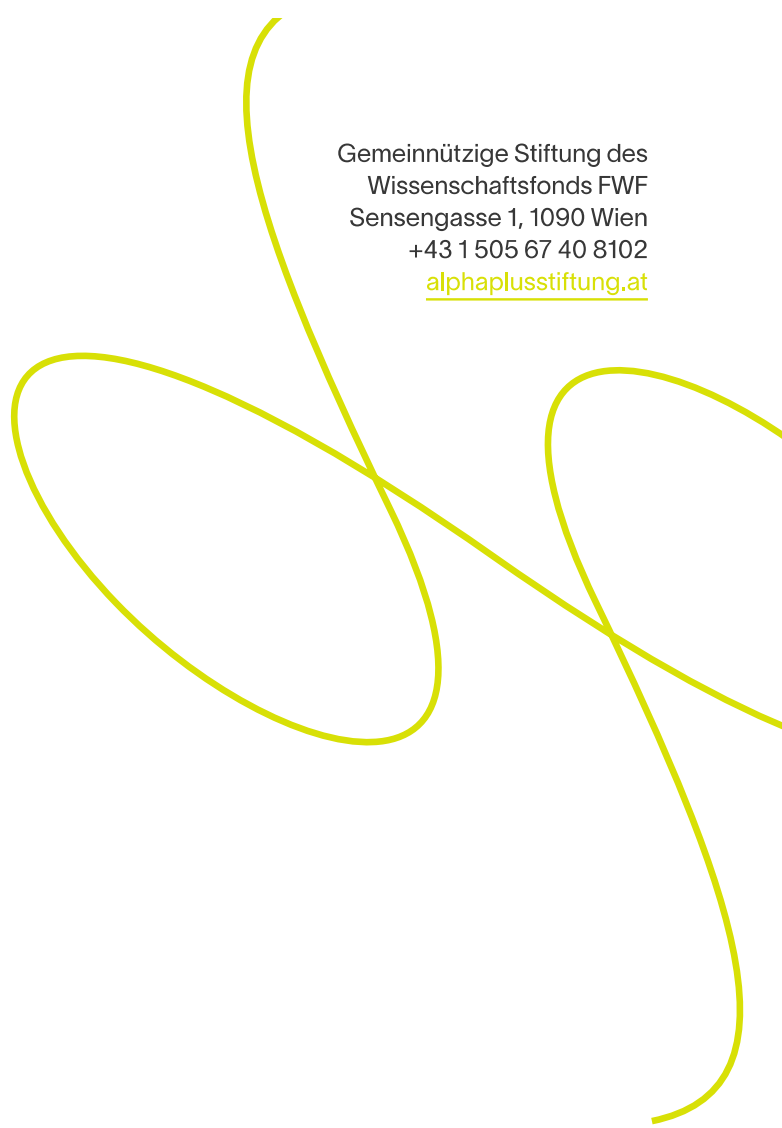


alpha⁺

Wo Neues beginnt.

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Code of Conduct of the alpha+ Foundation for the Raising of Private Funds for Research

Vienna, 20 January 2020

FWF

Der Wissenschaftsfonds.

§ 1 Preamble

This Fundraising Code of Conduct is a voluntary self-commitment made by the “alpha+ Non-Profit Federal Foundation of the Austrian Science Fund FWF” (hereinafter referred to as “alpha+ Foundation”) for the raising of private funds.

§ 2 Objectives

The top priority is to maintain the reputation and the integrity of the alpha+ Foundation and the FWF. The independence of the alpha+ Foundation is to be ensured at all times. The alpha+ Foundation treats all existing and prospective contributors (hereinafter referred to as “donors”) with respect and appreciation in the interests of a long-term and trusting relationship. Furthermore, the alpha+ Foundation guarantees an effective and appropriate use of the funds donated or endowed. In all its fundraising activities, the alpha+ Foundation observes the “Code of Conduct für Fundraising an Hochschulen, Forschungs- & Forschungsförderungseinrichtungen” (Code of Conduct for Fundraising at Universities, Research Institutions, and Research Funding Organisations)¹ and the “International Statement of Ethical Principles in Fundraising”.²

§ 3 Fundraising Principles

1. The fundraising activities of the alpha+ Foundation
 - a. are transparent and accurate,
 - b. provide comprehensive and detailed information on the intended use of the funds raised,
 - c. respect the needs and interests of donors.
2. All the persons of the alpha+ Foundation involved in fundraising
 - a. feel committed to this Code of Conduct,
 - b. act with fairness and integrity,
 - c. strive to comply with the relevant ethical guidelines and standards.

¹ The code of conduct was published in July 2017, reissued in 2019, and is available here: https://www.fundraising.at/wp-content/uploads/2019/12/CodeofConduct_2019_v04.pdf

² Available here: <https://efa-net.eu/wp-content/uploads/2018/10/international-statement-of-ethical-principles-in-fundraising-july-2018.pdf>

3. The persons responsible for fundraising are not paid on the basis of the number or amount of funds raised. This also applies to any and all bonuses.
4. The personal data of donors are subject to the European and Austrian data protection regulations and are handled confidentially.

§ 4 Conduct Requirements of Fundraisers

1. The name and contact details of the alpha+ Foundation and the intended use of funds are disclosed to donors during the initial contact and any resulting communication.
2. Upon request, donors receive the following information completely and truthfully:
 - a. the activity report of the alpha+ Foundation including the financial report,
 - b. information regarding tax deductibility of donations and, if applicable, a confirmation of donation from the alpha+ Foundation and the FWF,
 - c. information on the legal position and responsibilities of the contact person within the alpha+ Foundation and the FWF,
 - d. a copy of this Code of Conduct.
3. All requests for anonymity expressed by donors can be respected.
4. The privacy of donors will be respected. Any documentation of donor data will be handled confidentially. Upon request, donors will be provided with information about these records and will be granted access to them.
5. Donors will be treated with respect. Any requests by donors regarding changes to the frequency or method of contact will be respected.
6. The alpha+ Foundation will answer complaints from donors in a timely and adequate manner.
7. Dedicated donations will be used exclusively for their intended purpose. If changes to the agreed project occur, or the agreed purpose of the donation ceases to exist, the alpha+ Foundation shall contact the donor(s) to agree on alternative purposes or return the donation. If donations cannot be used entirely for the intended purpose, an alternative use for the excess funds or a possible refund will be agreed on with the donor(s).
8. The alpha+ Foundation reviews all donations with regard to their compliance with this Code of Conduct and reserves the right to refuse donations if they do not comply with this Code of Conduct.

§ 5 Financial Responsibility

1. All donations serve the purpose of promoting the objectives defined in the alpha+

Foundation's Declaration of Establishment and are posted to an account of the alpha+ Foundation.

2. The key fundraising data are listed separately in the alpha+ Foundation's financial report and include:
 - a. the total revenue from fundraising,
 - b. the total expenditure for fundraising.
3. Donations to the alpha+ Foundation can be used to cover both direct and indirect costs. An overhead rate is allowed for indirect costs. The current practice of the alpha+ Foundation nevertheless requires that any donation be used entirely for the benefit of research and the administrative costs are borne by the alpha+ Foundation or the FWF as its vicarious agent ("Erfüllungsgehilfe").

§ 6 Guidelines Regarding the Acceptance of Donations

The following guidelines for the acceptance of donations are intended to protect the reputation of the alpha+ Foundation and the members of its bodies from any damage that could result from the acceptance of inappropriate donations. They also provide clarity and transparency for internal and external stakeholders:

1. Responsibility for the acceptance of donations

The alpha+ Foundation has implemented governance structures for its fundraising. The Executive Board of the alpha+ Foundation is responsible for overseeing the fundraising. Other persons and entities involved within the alpha+ Foundation are clearly defined and will be disclosed upon request. The final decision on whether to accept or refuse a donation to the alpha+ Foundation is made by the Chairperson of the alpha+ Foundation in consultation with the President of the FWF.
2. Fundraising staff members confer with the Executive Board of the alpha+ Foundation on a regular basis. Should any doubts arise regarding these guidelines, the Executive Board of the alpha+ Foundation shall report these to the FWF Executive Board, if necessary.
3. The following criteria are used to decide on whether or not to accept a donation:
 - a. compatibility of the donation with the objectives of the alpha+ Foundation and the FWF;
 - b. indications that the offered donation comes from a source that can be traced back entirely or partly to one of the following activities:
 - i. tax evasion;
 - ii. fraud or other criminal activities;
 - iii. violation of human rights or violation of other international

- conventions of the Republic of Austria;
 - iv. restriction of the freedom of research;
 - c. The activities of the alpha+ Foundation are devoted exclusively to peaceful objectives, should serve civilian purposes, and are intended for civil use;
 - d. suspicion of unlawful consequences resulting from the receipt of an offered donation.
4. If doubts arise due to the evaluation of the criteria according to Section 6 Item 3, the alpha+ foundation must resolve all doubt with all the means at its disposal (if need be, with the assistance of external consultants) or the donation must be refused.
5. The foundation especially does not accept donations if acceptance would
- a. interfere with the alpha+ Foundation achieving its objectives,
 - b. adversely affect the relationship to other partners and stakeholders,
 - c. involve donors calling for restrictions or obstacles to the publication of the research outcomes ("open access" requirement),
 - d. result in an unacceptable conflict of interest or
 - e. damage the reputation of the alpha+ Foundation and the FWF.