



TECHNISCHE  
UNIVERSITÄT  
WIEN



# Code of Conduct

for cooperating with sponsors and donors

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## PREAMBLE

TU Wien is a world class, modern research university which, in line with its mission statement 'Technology for People', pursues research and teaching at the highest level. The major strength of TU Wien lies in the combination of basic and application-oriented research and the creation of value networks within the university which allow the knowledge triangle of research – teaching – innovation to flourish and continue to develop. For this reason it is necessary to work constantly on the framework conditions. This also means tapping into other means of financing, in addition to state funding, which can provide new challenges to industry, the economy and society and go beyond the existing commitments in order to succeed in research competition on an international level.

This code of conduct establishes the practices for contributions/donations and the resulting collaborations with non-governmental donors and sponsors. In addition, it conveys the attitude and values which TU Wien places on itself and, at the same time, expects from its donors in this context. Accordingly, this code of conduct also applies to all associations and organisations which are affiliated with TU Wien. It is intended to provide guidance and build mutual trust in order to overcome the challenge of motivating industry, the economy and society to promote and strengthen the activities of TU Wien in a targeted manner through contributions/donations and the resulting collaborations without sacrificing freedom of research and teaching in general and the autonomy of TU Wien.

## 1 GENERAL PRINCIPLES

A strategic goal of TU Wien is to intensify the diversification of funding sources through a range of sponsorship opportunities and programmes which will not serve as a means acquire funds for commissioned research. For this reason, TU Wien wishes to expend its financial basis for strengthening non-profit direct and indirect support of research, teaching and young scientists. The following measures and associated donations/grants are supported by the supporting intentions (foundation's ideals):

- Endowed professorships with an agreed area of specialisation
- Foundation institutes with an agreed area of specialisation
- Donations/contributions to TU Wien's 'Zukunftsfonds Technik' (Future Fund for Technology)
- Donations/contributions for doctoral colleges to encourage internal contributions of excellency
- Donations/contributions for special awards and prizes
- Donations/contributions for individual students (performance-based and social grants, promoting excellence, etc.)
- Donations/contributions for special projects and research priorities

The donations/grants go directly to TU Wien and are processed centrally or by the relevant faculty according to the will of the donor/sponsor.

TU Wien reserves the right to also use donations/contributions for similar and directly comparable projects, provided that the raised funds can not all be spent on the specified purpose. The sponsor/donor will be informed accordingly.

TU Wien is a legal entity under public law and is entitled to issue receipts for donations/ contributions made for research and teaching. It administers the donations/grants on the basis of the written contractual agreements.

Intellectual property arising from the activities of endowed professorships, foundation institutes, doctoral colleges and the like which are financed by the foundation shall remain with TU Wien on the basis of legal requirements and tax legislation. It cannot be transferred to the donors/sponsors of the institutions (in contrast to so-called commissioned research). Similarly, the donors/sponsors are not entitled to use the research results.

There are many ways to support TU Wien. Those principles which serve as a basis for arranging a trustful collaboration between the sponsor/donor and TU Wien are defined below.

## 2 ETHICAL PRINCIPLES

TU Wien, is based on the following principles:

1. We respect the freedom of science and research.
2. We guarantee independence from economic interests.
3. We respect the reputation and integrity of TU Wien as a public education and research institution.
4. We respect the legitimate wishes of our donors, e.g. the content of the funded measures.
5. We treat our donors and partners with respect and esteem and strive for a lasting and trusting relationship.
6. We regularly inform our donors of the development of the projects they are supporting in an appropriate manner which, if necessary, has been agreed in advance.
7. We guarantee transparency in the use of donated/endowed funds.
8. We vouch that the funds will be used effectively, responsibly and appropriately.
9. We reserve the right to refuse at our own discretion any donations that are likely to result in high consequential costs for TU Wien.
10. We comply with the rules of criminal law, in particular those concerning anti-corruption and data protection. Any information or data entrusted to us will only be passed on with the consent of the data subjects or in other cases according to section 8 of the Austrian data protection law (Datenschutzgesetz 2000) where absolutely necessary.

## 3 GUIDELINES FOR ENDOWED PROFESSORSHIPS AND FOUNDATION INSTITUTES

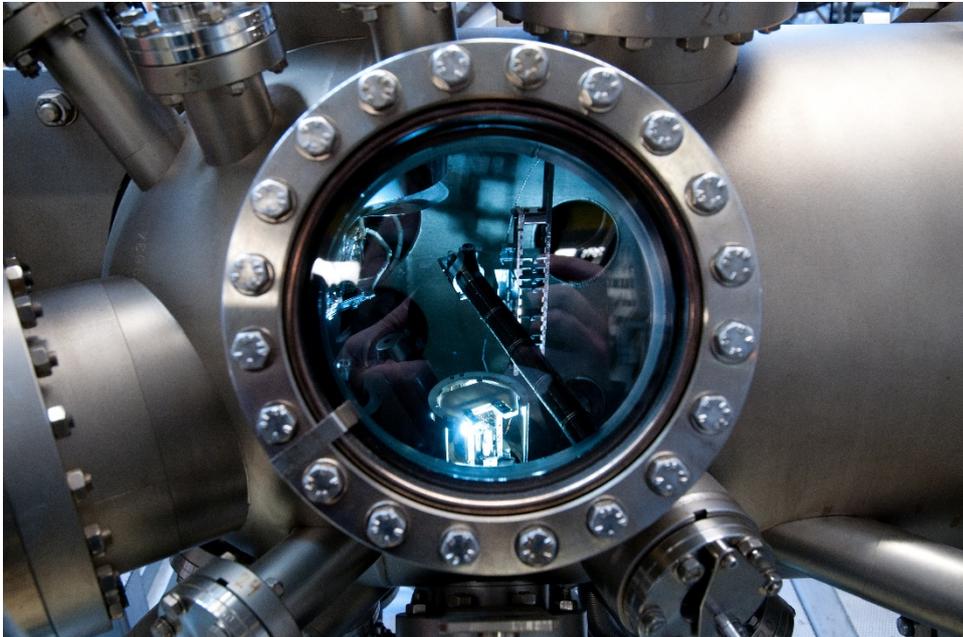
1. Sufficient funding for endowed professorships, foundation institutes and similar institutions must be secured.
2. An overhead rate of 25% shall be applied to the direct costs (personnel, investments, resources and, if necessary, rent). Exceptions are not possible. Here, TU Wien complies with the principles of the Austrian Research Promotion Agency (Forschungsförderungsgesellschaft, FFG).
3. Contract negotiations are conducted exclusively by the rector or their authorised representative. Negotiations are initiated when there is a concrete letter of intent regarding the purpose of the endowment, duration of endowment (at least five years, usually ten years) and the financial framework. The draft contract is submitted by TU Wien and negotiated with the donor.

4. TU Wien decides on the establishment of endowed professorships, foundation institutes and similar institutions. The establishment, advertisement and occupation of endowed professorships shall occur in accordance with statutory provisions.
5. Research and teaching for the endowed professorships and institutes is free and is not subject to any influence from the donor. Similarly, the funding must not be linked to any expectations towards TU Wien to conclude sales transactions or conduct procurement processes. The donor is not entitled to use the research results.
6. Grant agreements or grant commitments must be made in writing and notarised.
7. TU Wien shall ensure that the funds are used appropriately and shall give account to the donor.

## 4 THE TU WIEN ZUKUNFTSFONDS TECHNIK – GOVERNANCE GUIDELINES

1. The 'Zukunftsfonds Technik' (Future Fund for Technology) is organised independently in terms of financing at TU Wien.
2. TU Wien is responsible for implementing the will of the patron/donor/sponsor. It shall ensure transparency and shall provide any information where necessary.
3. TU Wien perceives itself as competent in the implementation of the expressed will of the donor/sponsor.
4. The rectorate of TU Wien is the decision-making body. An advisory board has been established as a supervisory body which shall advise, support and supervise the rectorate. Members of the rectorate may not be members of the advisory board.

## ANNEX: TERMS



Donations to TU Wien are tax deductible for companies as business expenses or for private persons as special expenses according to the respective statutory conditions. More information can be found at: <https://www.bmf.gv.at/kampagnen/spendenservice.html>

**Patron/Patronage** describes a person or their generous support which promotes a project of an institution in the form of monetary or non-monetary resources without direct compensation.

**Founder/Private foundation** describes an institution which, with the help of an estate endowed by the founder, pursues a purpose determined by the founder in the interests of the university using the earnings generated by the foundation.

**Endowment** describes the voluntary contribution or donation of money or resources (e.g. property) to a foundation. The contribution/donation will be retained in its full amount and projects will be realised using the generated interest and dividends.

**Foundation institute** describes an institute which is not paid for or not exclusively paid for by the university's global budget, but is financed in whole or in part by a public backer. Foundation institutes can be supported by foundations as well as from private companies or individuals.

**Endowed professorship** describes professorship which is not paid for or not exclusively paid for by a university's global budget, but is financed in whole or in part by a public backer. Endowed professorships can be supported by foundations as well as from private companies or individuals. In most cases, these professorships are limited in time, e.g. to five years. However, extensions are possible.

**Doctoral colleges** are training centres which educate highly qualified, young academics with emphasis on the sciences and promote the continuity and impact of such subjects.

**Grants** are a means of supporting a student for a certain period during their education and training. As a rule, a distinction is made between social grants, performance grants and excellence grants.

**Funds** are used to manage money and other assets.

**Donations or contributions** refer to monetary or non-monetary resources given for certain initiatives and projects (e.g. scholarships) without compensation where the strategically organised raising of donations and contributions is referred to as fundraising. The donor is usually rewarded in the form of voluntary services, such as being named on the internet or in publications, or receiving current information and invitations to presentations on the funded project.

**Gift matching programmes** refer to company programmes where voluntary donations and contributions made by employees are usually doubled by the company.

**Crowdfunding** is a form of 'swarm financing'. There are several types of crowdfunding. Crowdfunding where the purpose of the funding is the focus is referred to as donation-based crowdfunding or reward-based crowdfunding, where a number of people usually have to provide/donate an amount of money so that a project can be realised. With reward crowdfunding, the financial commitment is also based on a predetermined reward in return.

**Sponsoring** is a form of cooperation which is based on a return and requires a contractual agreement of cooperation. In doing so, the sponsor is granted rights which, among other things, strengthens their PR, marketing and image. In this regard, it must be ensured that collaborations with sponsors strengthen the activities of TU Wien, that the appropriateness of the funding is ensured and that the transparency of the cooperation is guaranteed. Sponsorship is based on returns and joint activity. The collaboration is also based on the intention of the support.