

NEUES ENTDECKEN
TALENTE FÖRDERN
IDEEN UMSETZEN

FWF

Der Wissenschaftsfonds.

Code of Conduct

FWF Austrian Science Fund



Vienna, 18.06.2019

Table of Contents

| | |
|-----------------------------------------------------------------------|---|
| Preamble..... | 3 |
| 1. Scope of Application..... | 3 |
| 2. Basic Principles | 3 |
| 2.1. Excellence and Competition | 3 |
| 2.2. Independence..... | 3 |
| 2.3. Internationality | 4 |
| 2.4. Equal Opportunities and Equal Treatment of All Disciplines | 4 |
| 2.4.1. Equal Opportunities | 4 |
| 2.4.2. Equal Treatment of All Disciplines..... | 4 |
| 2.5. Internal Quality Standard..... | 5 |
| 2.5.1. Transparency..... | 5 |
| 2.5.2. Fairness..... | 5 |
| 2.5.3. Professionalism | 5 |
| 2.5.4. Legal and Ethical Standards | 5 |
| 3. Application..... | 6 |
| 4. Handling of Misconduct | 6 |
| 5. Implementation..... | 6 |
| 6. Additional Documents..... | 7 |
| 7. Period of Validity and Amendment..... | 7 |

Code of Conduct

FWF Austrian Science Fund

Preamble

The Austrian Science Fund is the country's main agency supporting basic research. It makes a significant contribution to Austria's cultural enrichment, to its development as a knowledge-based society and thus to creating value and prosperity in the country. The FWF is aware of its social responsibility and is committed to the basic principles set forth in the corporate policy: excellence and competition, independence, internationality, equal opportunities, transparency, fairness, professionalism and compliance with legal and ethical standards.

The following *Code of Conduct* reflects the FWF's aim to create a framework within which the aforementioned basic principles can be regarded as essential guidelines for working at the FWF. The *Code of Conduct* therefore contains general principles of conduct which serve as the foundation of the detailed policies of the FWF.

1. Scope of Application

The main people responsible for bringing the abovementioned principles to life are the employees and board members of the FWF. Therefore, this *Code of Conduct* applies to all employees and members of the supervisory and management boards in connection with their work for the FWF.

2. Basic Principles

2.1. Excellence and Competition

The FWF is committed, first and foremost, to scientific and scholarly excellence in the awarding of research funding. Applications are reviewed according to the highest international standards and research funding is awarded exclusively in accordance with the principle of competition based on scientific and scholarly excellence.

The FWF is aware of its position as a role model and pioneer of quality standards in Austria. The employees and board members consistently follow these guidelines.

2.2. Independence

The FWF is firmly committed to the freedom and independence of scholarship.

As a fund that handles the administration of public funds for basic research, the FWF is obliged to manage these funds in an equitable, transparent and impartial manner. For this

reason, the FWF attaches great importance to independence in its business practices as well as its funding decisions, which are made solely on the basis of international reviews.

The FWF ensures in its decision-making structures and processes that employees and members of the supervisory and management boards can perform their duties conscientiously and impartially to avoid even the appearance of conflicts of interest. The employees and board members are especially obliged to comply with the relevant rules regarding conflicts of interest and the Guidelines for the Prevention of Corruption.

2.3. Internationality

The FWF funds international first-class research in Austria.

It promotes the internationalisation of the Austrian science and research system and helps shape the national and European research area. The employees and board members act in accordance with the highest international and scholarly standards in the design of funding programmes, the decision-making process and the administration of funding projects.

2.4. Equal Opportunities and Equal Treatment of All Disciplines

2.4.1. Equal Opportunities

The FWF is committed to the equal treatment and opportunities of all researchers – regardless of position, age, gender or origin. The FWF ensures an accordingly diverse composition of its supervisory and management boards.

The employees and board members respect this principle in the design of funding programmes, the decision-making process and the administration of research projects.

2.4.2. Equal Treatment of All Disciplines

The FWF takes an open-topic approach to funding and fosters basic research in all disciplines and in all Austrian research institutions regardless of their legal nature.

In terms of the selection of research fields and topics, the FWF follows the bottom-up principle, which means that the choice is based on current developments in the scientific community / research institutions.

The employees and board members ensure the equal treatment of all disciplines in the design of funding programmes, the decision-making process and the administration of research projects.

2.5. Internal Quality Standard

2.5.1. Transparency

The FWF ensures the transparency and comprehensibility of its decision-making processes, bearing in mind confidentiality considerations.

Contributions of any kind from third parties shall be disclosed and made transparent.

The employees and board members shall respect this principle in the design of funding programmes, the decision-making process and the administration of research projects by avoiding conflicts of interest, implementing checks and balances in all stages of its procedures and communicating its methods and decision-making process in a clear manner.

2.5.2. Fairness

The FWF expects employees and members of supervisory and management boards to treat each other as well as applicants, grant recipients, other stakeholders and contractual partners with appreciation and respect. All requests shall be handled in a swift, polite, reliable and appropriate manner.

The employees and board members are aware of their social responsibility and realize that this means they have a great role model and knock-on effect.

2.5.3. Professionalism

The FWF applies the highest quality standards to its processes and structures. The employees and board members ensure their continuous improvement. This requires highly qualified employees, which is why the FWF conducts professional personnel development.

2.5.4. Legal and Ethical Standards

The employees and board members are aware of their role model function and the higher standards they have to meet as employees/contributors of a publicly funded organisation.

2.5.4.1. Confidentiality/Secrecy

The employees and board members of the FWF are obliged to maintain confidentiality and secrecy in the performance of their duties, provided that this does not run contrary to the fulfilment of their duties. They know and respect the basic principles and the content of the Leitfaden Zusammenarbeit ReferentInnen und Geschäftsstelle des FWF (in German) as well as the Guidelines for the Prevention of Corruption. They comply with the legal obligations to protect sensitive data from unauthorized access by third parties and to ensure traceability. In doing so, they comply with the data protection guidelines of the FWF.

2.5.4.2. *Use of Resources*

The FWF allocates resources in a lawful, appropriate, economical and transparent manner. Employees and members of the supervisory and management boards are expected to use the available resources with care and in an efficient way.

2.5.4.3. *General Legal and Ethical Standards*

As a public institution, the FWF is committed to respect applicable law and its underlying values as well as ethical standards. Moreover, it ensures compliance with the rules of good scientific practice within its sphere of influence.

3. Application

The rules of conduct contained within this *Code of Conduct* shall be followed for the design and administration of funding programmes, all business processes, communicating with applicants, grant recipients and all other stakeholders, as well as public relations work.

4. Handling of Misconduct

Violations of the *Code of Conduct* damage the reputation of the FWF and can have to legal consequences.

Potential violations should be reported to the supervisor and/or the appropriate board and the Compliance Officer.

The FWF will immediately investigate any suspected violations.

The reporting party shall not suffer any disadvantage for reporting violations. Deliberately making a false report violates this code and can have legal consequences.

5. Implementation

Employees are expected to follow the *Code of Conduct*. They will be made aware of the content as part of compliance training courses. Particular attention must be paid to prevention und information.

The Compliance Officer is available at any time to answer questions or give advice.

The board members declare compliance with the *Code of Conduct* by signing a voluntary commitment.

6. Additional Documents

The *Code of Conduct* contains general principles of conduct which serve as the foundation of the detailed policies of the FWF. The guidelines include, in particular:

- Leitfaden Zusammenarbeit ReferentInnen und Geschäftsstelle des FWF (in German)
- Guidelines for the Prevention of Corruption
- Richtlinien Nebenbeschäftigung (in German)
- Unterschriftenordnung Förderungsvertrag (in German)
- Organisationsrichtlinien Budget Geschäftsstelle (in German)
- Veranlagungsrichtlinien (in German)

7. Period of Validity and Amendment

The *Code of Conduct* was adopted by the Executive Board of the FWF on 27 February 2018 and is valid until further notice in the existing form.