



**This English translation serves information purposes only. The original German version is the legally binding document.**

## **Regulations regarding the acceptance of grants and sponsorships (fundraising) at the University of Basel**

Dated 25 August 2016

Based on §§ 10 f. of the Regulation governing secondary employment, agreements with third parties and the use of intellectual property in the context of work at the university of 18 August 2004 and §§ 16 f. of the University of Basel's Financing regulations of 15 November 2001, the University Council issues the following rules.

### **Part 1: General provisions**

#### *Aim and purpose*

§ 1. The regulations govern the framework conditions and the procedures for bodies and members of the University in accepting grants and sponsorships in respect of the funding of teaching and research.

#### *Scope*

§ 2. The regulations apply for all bodies and members of the University.

<sup>2</sup> The principles of these regulations are also binding for university teaching and research at the associated institutes and hospitals with a university mandate. The University shall conclude the corresponding agreements with these institutes in accordance with § 2 para. 5 of the statutes of the University of Basel of 3 May 2012.

<sup>3</sup> These regulations do not apply to grants for research partnerships and external funding obtained competitively, particularly funding from the Swiss National Science Foundation (SNSF) and EU framework programs as well as funding in the context of commissioned research and income from services provided to third parties.

### **Part 2: Terms**

#### *Fundraising*

§ 3. Fundraising describes all activities by the University for obtaining grants and sponsorships from companies, organizations and private individuals. It may involve monetary or in-kind payments.

#### *Grants*

§ 4. Grants are funds provided by private individuals (donors) to the University or to university units for which no contractually agreed consideration pursuant to § 17 is provided.

<sup>2</sup> In particular, grants include gifts, inheritances, bequests (legacies), donations and funding for research and teaching.

#### *Sponsorships*

§ 5. With a sponsorship the University provides the sponsor with a confidential consideration.

#### *Inheritances and bequests*

§ 6. “Inheritances” are shares of estates awarded to the University, its bodies or members of the University as testamentary heirs.

<sup>2</sup> “Bequests” are shares of estates awarded to the University, its bodies or members of the University as legatees without the status of heir.

#### *Endowed professorships*

§ 7. “Endowed professorships” are professorships that are largely privately financed.

#### *Associated institutes*

§ 8. In accordance with § 2 para. 5 of the statutes of the University of Basel of 3 May 2012, “associated units” are institutions that are not fully integrated in the University, but are instead associated with the University on the basis of a contractual agreement.

### **Part 3: Guiding principles**

#### *Freedom of teaching and research*

§ 9. The financial support of the University by third parties must not affect the freedom of research and teaching or the reputation of the University of Basel. The University’s autonomy must not be restricted.

<sup>2</sup> Course content and curriculum are based on the University of Basel’s standards.

<sup>3</sup> The University remains responsible for personnel and procurement decisions. Donors and their representatives are not included in search, appointment or evaluation processes.

#### *Source of funds*

§ 10. The University only enters into agreements with people, companies and institutions that use legal funds and means to achieve their goals, and that are consistent with the principles of Swiss law.

#### *Beneficiaries and earmarking*

§ 11. Grants and sponsorships must be used for research and teaching as well as the necessary facilities at the University and/or its bodies and members.

<sup>2</sup> Grants and sponsorships may be dedicated to a specific purpose.



*Review of the source of the funds offered and rejection of grants*

§ 12. Monetary grants and sponsorships must be given to the University via bank transfer. The transferring financial institution must be subject to the supervision of the Swiss Financial Market Supervisory Authority (FINMA) or a comparable international authority.

- 2 In-kind grants may be accepted after consulting with the President's Board.
- 3 The University will take appropriate steps to ensure the proper source of the funds offered by third parties.
- 4 It may reject grants and sponsorships without stating a reason.
- 5 The University does not accept anonymous grants.

**Part 4: Formal requirements**

*Grants and sponsorships*

§ 13. The amount and any conditions and additional requirements of grants and sponsorships must be set out in writing.

**Part 5: Responsibilities**

*Bodies and members of the University*

§ 14. Bodies and members of the University are encouraged to initiate fundraising activities for university purposes.

- 2 They must inform the President's Board's fundraising unit about such activities in a timely manner.
- 3 Grants and sponsorships with a value of less than CHF 100,000 may be accepted by university members after prior notification of the President's Board.
- 4 All other grants and sponsorships will be accepted by the University Council and the President's Board.

*Financial responsibilities*

§ 15. A university third-party account must be opened in order to accept grants and sponsorships.

- 2 Direct grants to members of the University in connection with their employment relationship are not permitted.

**Part 6: Endowed professorships**

*Appointment and financing of endowed professorships*

§ 16. Endowed professorships are appointed as follows:

- a) Legal entity or natural person as the donor: *Donor professorship for course description* or *Professorship for course description funded by donor*
- b) Naming in honor of a deceased person: *Person's name professorship for course description*
- c) Or in consultation with the President's Board.



- 2 The naming in accordance with para. 1 will continue as long as the funding lasts. The President's Board is responsible for deciding on any exceptional cases.
- 3 The name of the professorship must be used in official documents, publications and databases in accordance with para. 1.

## **Part 6: Sponsorship obligations**

### *Consideration*

§ 17. With sponsorships, the President's Board may provide for the following acknowledgments and similar considerations:

- a) Naming of sponsor
  - b) Honor plaque, name inscribed on rooms and buildings
  - c) Naming of sponsor on university websites
  - d) The right of the sponsor, after consulting with the University, to publicize the sponsorship in advertisements
- 2 The use of research results by the sponsor is only permitted with the written consent of the President's Board.

## **Part 8: Transparency**

### *Principle of public information*

§ 18. The agreements concluded by the University and its units on the basis of these regulations are public information. Exceptions based on the Law on Information and Privacy of the Canton of Basel-Stadt of 9 June 2010 are reserved.

## **Part 9: Final provision**

### *Entry into force*

§ 19. These regulations are effective immediately.<sup>1</sup>

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<sup>1</sup> 31 August 2016.