

The Foundation's Code of Conduct

PREAMBLE

The grant-allocation team at the Schöpflin Foundation works, on a daily basis, to promote and develop a sense of critical awareness among young people and future generations. The team also advocates a lively democracy and diverse society. We are very well aware that, both within our own programmes and projects as well as across the Foundation as a whole, we are working with funds dedicated to philanthropy. As such, we operate in accordance with specific values, ideals and guidelines as set out in this Code of Conduct.

ATTITUDE AND VALUES

We work with people – not anonymous organisations. Our interaction with those seeking grants from us is done on the basis of partners on equal terms. Decisions are made on a best-argument basis, not on the basis of a person's position or their decision-making authority. We are well aware of the danger of us perceiving ourselves as more important than we actually are – given that others are dependent on our financial support. Therefore, the basis on which we operate must be that we are just as dependent on the social entrepreneurs, NGOs and projects that we support as they are on us.

We operate in accordance with the following values:

(1) Transparency

As a tax-privileged organisation, we aim to keep the public as informed as possible about our activities. At the same time, we also recognise that full transparency is not always possible. We carefully consider all the issues and options when making decisions relating to transparency.

(2) Diligence in Entrepreneurship

In the spirit of the history of the Schöpflin family, we see ourselves as an entrepreneurial foundation. We use social venture capital to facilitate societal experiments and their implementation by and within civil society. This also means that we are prepared to give philanthropic funding to projects and initiatives with impact potential, not just to those with a proven impact effect. We carry out a careful assessment of all potential grant projects and provide full justification for all our grant decisions, while at the same time maintaining – long-term – our entrepreneurial and pragmatic approach.

(3) Clearly Defined Goals

We agree on clear goals – both with our grantees and for our own in-house projects – and then evaluate these without fear or favour. In this way, our Foundation nurtures a culture of learning through experience, as there are no barriers to how we reflect on or

evaluate what we do. And criticism – even when it is directed at us – is taken on board and then used to drive future projects.

GRANTEE PARTNERSHIPS AND COOPERATION

The Foundation's funds must benefit – as comprehensively as possible – the direct implementation of non-profit projects in line with the Foundation's goals. The Foundation's administrative costs shall be kept as low as possible. At the same time we are aware that our own staff can play a key role in contributing to the achievement of the goals of the projects that we fund. Consequently, the Schöpflin Foundation's working method follows the guidelines set out below:

- a) All grant applications must always be made in writing.
- b) In addition to financial grants, »capacity building« measures are particularly important for us – in other words we aim to support our grantees, and persons acting on their behalf, in the ongoing development of their knowledge and competence.
- c) If, before a grant is initiated, a colleague is deemed to have a personal connection – regardless of the nature thereof – to a potential grantee, the Executive Board must be made fully aware of this so that any potential conflict of interest can be avoided. Should a member of the Executive Board have a personal connection of this nature, the other members of the Executive Board or - where necessary - of the Advisory Board must be informed of this situation.
- d) Grants cannot be made if a staff member at the Schöpflin Foundation is currently or has, in the past, been a member of a grant applicant's advisory board or similar body. In such circumstances, a cooling-off period of a minimum of one year shall apply. Conversely, appropriate roles shall, in principle, be deemed acceptable if they accompany the setting up of a grantee partnership or happen sometime downstream after the grantee partnership has been set up.
- e) No employee of the Foundation shall benefit personally in any way from a grantee partnership. No employee shall accept any form of gift or contribution – financial or otherwise – from potential, current or former grantees.
- f) Independence shall be maintained at all times in relation to decisions on whether or not to award grants or to cooperate with outside bodies. The Foundation reserves the right to make decisions strictly on a case by case basis as it sees fit. Given the Foundation's large workload, it is unable to commit to providing extensive details relating to the reasons for a particular grant application being rejected.

- g) Formal, external assessments (reports etc.) by third parties relating to potential or existing grantees shall only be sought after discussions with and permission from the organisation in question. These shall be carried out on an anonymous basis. Information obtained in this way shall form part of the decision-making process and be included in communications with grantees or applicants.
- h) In the event of disputes or complaints relating to grant activity or specific behaviour, these should be addressed in the first instance to the Foundation's Executive Board. Should the Executive Board itself be implicated in the dispute or complaint in question, then the matter should be referred to Dr. Felicitas von Peter who shall act as ombudsperson. Dr. von Peter is a member of the Foundation's Advisory Board. Dr. von Peter can be contacted directly via the following email address: vonpeter@activephilanthropy.org.
- i) All grant partnerships and cooperation projects operate independently of politics, religion, race and gender and undertake to work in accordance with the free and democratic order.

WORKING WITH SERVICE PROVIDERS

- j) No individual member of staff at the Foundation shall derive any form of personal benefit from working with service providers.
- k) All other applicable regulations can be found in the Foundation's procurement directive.
- l) All regulations relating to travel can be found in the Foundation's guidelines on travel expenses.

As at: March 2021