



Technische Universität München

TUM Research Code of Conduct

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TUM hereby issues the following principles and guidelines regarding the preparation and carrying out of research and commercial collaborative projects, which are binding upon all members of the University.

The University's continued success in instruction, research and technology transfer is based on high standards of ethics and professionalism in research and commercial relationships. Transparent, clearly defined principles regarding the culture of collaborative projects help ensure that outstanding scientists remain loyal to the University, and build confidence among parties involved in collaborative projects with TUM.

All members of the University involved in research work must adhere to the following principles:

1. Loyalty

Maintain loyalty towards the University, and take into account TUM's fundamental values and interests when performing research work. For further information, please see TUM Mission statement (http://portal.mytum.de/tum/leitbild/index_html).

2. Independence

Adhere closely to the rules regarding the combating of corruption and the Third Party Funding Guidelines of the Free State of Bavaria in their applicable version, and uphold the principles of freedom in science and research. Research and commercial cooperation must not conflict with the unremunerated use of research outcomes and the associated intellectual property rights for TUM's and project participants' own scientific purposes in research and instruction.

3. Competence

Apply expert knowledge and conduct research work conscientiously and to high scholarly standards.

4. Integrity

Act with integrity when applying for and carrying out research projects and when reporting on research outcomes, either in writing or orally. Deceptive or misleading conduct is against the principles of academic honor.

5. Respect

Treat research partners with respect and esteem, and interact with them in a reliable and trustworthy manner.

6. Criticism

View constructive criticism as a welcome and supportive part of scientific development.

7. Confidentiality

Keep confidential any information of which they become aware in the course of collaborative research and commercial projects. Such information should be used solely for the purpose of carrying research assignments in a conscientious manner.

8. Conflicts of Interest

Avoid situations which might give rise to conflicts of interest. If necessary, endeavor to resolve such situations by making appropriate assessments and avoiding action where appropriate. Cooperation with competing contractual parties in the same field of research and the use of unauthorized information or materials are to be avoided.

9. Contractual Agreements

Do not independently draw up contractual agreements with research and cooperation partners unless you have been assigned signing authority. Contractual agreements with third parties always relate to the university as a whole; as a public-law body and state entity, TUM is represented externally by the President; authority to act may be assigned by him.

10. Calculation of Project-related Costs

Given the importance of operating according to commercial principles, project-related full costs¹² must be used as the basis for calculating costs vis-à-vis third parties.

Market rates and appropriate conditions apply to all contractual goods and services which could equally be provided by the private sector. Price dumping relative to commercial or public-sector competitors is forbidden.

11. Transparency in Use of Funds

Ensure that research project funds are used effectively and appropriately. Depending on the agreement in question, provide cooperation partners and sponsors with regular updates concerning the progress of projects supported by them. A research project's revenues and financial obligations vis-à-vis third parties must always be managed via an assigned fund at TUM.

¹²⁾ Full costs are determined based on overhead costing, using the simplified calculation scheme for order calculations per EU Community guidelines.

12. Intangible Assets (IAs) including Intellectual Property Rights (IPRs)

Adhere to TUM's IP Policy¹³ when creating intangible assets¹⁴. When intellectual property rights are transferred to third parties (e.g. commercial cooperation), ensure that TUM is a co-applicant in patent and trademark applications. Take into account the interests of not only the University but also the members of the University involved.

13. Scientific Ethics

Only participate in research projects which accord with statutory requirements and TUM ethical guidelines (TUM Mission Statement). Take all necessary precautions to protect the safety and health of project participants. Do not conduct research work requiring a permit (e.g. human or animal studies) until approval has been granted by the relevant commission (e.g. ethics commission).

14. Equal Opportunity

Promote equal opportunity when choosing employees to participate in research projects. Avoid discrimination (e.g. based on gender, background, religion or age), and when choosing project participants apply the appropriate objectivity in considering all qualified individuals.

15. Conflict Resolution

Consult the University if there is a bilaterally irresolvable conflict with cooperation partners. In cases of doubt, notify the President, who must then fulfill his professional obligation to provide assistance in a reliable and trustworthy manner.

On behalf of TUM:



Wolfgang A. Herrmann
President

Munich, February 1, 2013

¹³ For information on TUM's Patents Policy, please visit:
www.forte.tum.de/technologietransfer/tum-patentpolitik

¹⁴ Legally protectable work outcomes or developments, e.g. inventions, computer programs, inventions, aesthetic designs, trademarks