ETH *zürich*

Compliance Guide

English version

GOOD PRACTICE
BETTER PRACTICE
BEST PRACTICE

Contents

Why is Compliance important?

ETH Zurich ranks among the world's leading universities, with its research and teaching held in high esteem both in Switzerland and abroad. The university's reputation rests upon the excellent work of all members of ETH Zurich, and it also depends on our community living the values to which we feel committed.

At ETH Zurich, we provide our members with a high degree of autonomy, combined with the assumption of great personal responsibility. It can only thrive if all members commit themselves to high ethical and moral standards, seeing it as their duty to comply with and implement the statutory require-ments and internal directives. Personal responsibility calls for ETH members – particularly those with management responsibilities – to familiarise them-selves with the rules they must follow when carrying out their duties.

Our conduct as ETH members has a direct impact on the reputation of our institution. We can be held accountable if we fail to act accordingly.

When you act with integrity, you are making a valuable contribution to the ETH Zurich working environment and helping to strengthen responsible conduct at every level.

ETH Zurich Executive Board

Teaching

ETH Zurich educates its students to a high level of specialist expertise and scientific competence. In addition, it prepares these individuals to take on responsibility and to play a constructive role as discerning members of society.

Basic principles

Designing and giving lectures

– ETH lecturers are responsible for the teaching they carry out in their particular discipline. They orient their teaching to the qualifications for the degree programme and shape it according to pedagogical and didactic criteria.
– All information on the course units, including the proof of academic achievement, is published in the Course Catalogue and is binding.
– The student workload required to complete a study achievement is expressed in credit points. These are published in the programme regulations and in the Course Catalogue.
– The lecturers ensure that students submit a declaration of originality for their semester, Bachelor's or Master's theses. They may also require a declaration of originality for other written work.
– When organising excursions, field courses or similar events, special attention must be given to safety, insurance, and responsibility. The Safety, Security, Health and Environment Department (SSHE) offers support in this regard.

Performance assessments

– Performance assessments are designed to improve student learning and development. They assess whether the learning objectives for the course unit have been achieved.
– Lecturers assess the academic achievements independently and take full responsibility for this. They treat all students objectively, fairly and impartially. Assessments must be based on uniform criteria and standards; model solutions, point schemes etc. can be helpful here.
– When marking exams, the performance assessment must be comprehensible for the student within the context of the exam review. The review should be instructive and assist students in preparing for any exam resit.

– The written performance assessments and minutes of oral performance assessments must be inaccessible to un-authorised persons and archived in accordance with legal requirements.
– If dishonest conduct, such as the use of unauthorised aids or plagiarism, is discovered, the facts and circumstantial evidence must be recorded. The disciplinary investigator in the Rectorate must be informed immediately and is responsible for leading the procedure. If the suspicion of misconduct is substantiated, the Rector or the Disciplinary Committee may impose disciplinary measures.

Teaching evaluation

ETH Zurich maintains and develops outstanding quality in its teaching through centrally managed quality specifications and evaluation instruments. All departments are subject to regular peer reviews, which include an assessment of teaching quality. Teaching is also regularly rated by the students.

Responsibilities

Lecturers must fulfil their teaching duties and responsibilities in accordance with the relevant formal and legal requirements. As part of their management duties, Directors of Studies must ensure that the study regulations are properly implemented.

Further information

– Guidelines for lecturers
– Quality criteria for teaching

...BETTER TO PREVENT THAN TO MEND!
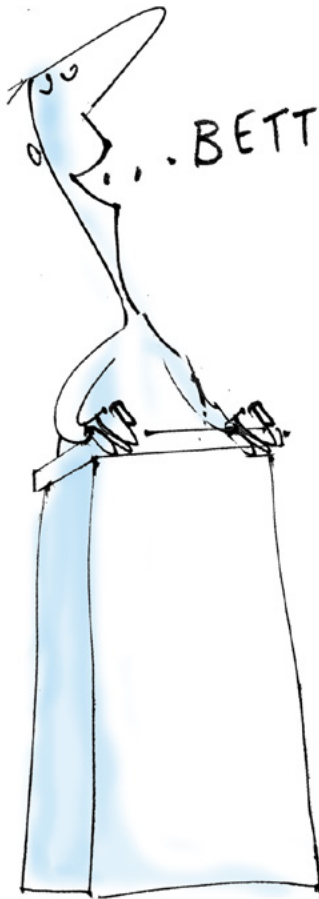
Legal basis

– Ordinance on Course Units and Performance Assesments at ETH Zurich
– Implementation stipulations for the Ordinance on Performance Assessments ETH Zurich
– Verordnung der ETH Zürich über die Zulassung zu den Studien an der ETH Zürich (Ordinance on Admission to Studying at ETH Zurich); available only in German
– Ordinance of the Swiss Federal Institute of Technology Zurich on Disciplinary Measures
– Directive on working scientifically and the declaration of originality
– Directive on viewing and transferring performance assessment records
– Directive on teaching evaluation by students at ETH Zurich
– Regulations on the reporting by ETH Zurich members of inappropriate behaviour (RSETHZ 615)
– IT Guidelines and IT Baseline Protection Rules of ETH Zurich (RSETHZ 203.23)

Contact

Details of the responsible contact persons/staff units including the Vice Rectors can be found in the Rector's section of the website

Everyday tips

› Treat student data (examination assessments, exercise submissions, lists of grades, documents with student names or matriculation numbers, etc.) confidentially. Access by unauthorised persons must be prevented. Student data may not be stored on unencrypted mobile devices and data carriers. Course lists (including those partially anonymised by using matriculation numbers instead of names) must not be made accessible to other course participants. The use of cloud services in teaching is subject to the IT guidelines and the IT baseline protection rules of ETH. Be careful when redirecting your own mailbox to a cloud email service (e.g. Gmail), as this makes student data accessible to third parties without permission.

› Do not give anyone a guarantee that they will be admitted to a degree programme before the official decision on admission has been made. This applies to admissions at all levels (Bachelor's, Master's, doctoral programmes and academic continuing education).

› Announcement of grades: Any informal announcement of a grade, e.g. immediately after an oral examination, is not permitted. It is Always the department or the Study Administration Office that decides on the grade and communicates it to the student.

› After the grading conference or after the performance evaluation has been approved and announced via myStudies, grades are binding. They may no longer be changed, except where there is a correction error.

› Correction error: If you find a clear correction error (e.g. uncorrected or overlooked parts, points incorrectly added up) and would like to readjust a grade, you must submit a request form to the Student Administration Office.

› Disciplinary measures: In the event of a possible disciplinary offence, please contact the disciplinary investigator immediately; do not impose your own sanctions.

Scientific integrity

Reliability, honesty, respect and responsibility.

Basic principles

Scientific integrity is founded on reliability, honesty, respect and responsibility. These four principles guide scientists in their work and in dealing with practical, ethical and intellectual challenges arising in their research and teaching activity.

The ETH Zurich Guidelines on Scientific Integrity (Integrity Guidelines, RSETHZ 414) clarify how the basic principles relate to various aspects of scientific activity. The Integrity Guidelines must be observed by all ETH members involved in scientific activity in research and teaching. They apply in general to all disciplines while allowing scope for tailoring to specific disciplines.

Scientific integrity means the commitment to sound practices ensuring that:
– Young scientists are appropriately supervised.
– All sources (texts, data, illustrations, videos etc.) used in research and teaching are clearly identifiable, comprehensible and traceable.
– Research data and procedural steps relating to the publication of research results are carefully documented and archived.
– No research data or results are fabricated. The origin and creation of the data must be verifiable. Any changes, omissions or additions to the collected data must be explained and comprehensible.
– Only those individuals who meet the requirements set out in the Integrity Guidelines are named as authors in scientific publications. The order in which authors are named corresponds to the conventions of the discipline.
– Objectivity, impartiality and confidentiality are observed when preparing scientific reports.

Responsibilities

All scientists are responsible for ensuring that their conduct complies with the standards of good scientific practice. Accordingly, they regularly refresh their knowledge of good scientific practice in their particular discipline.

Researchers in a leadership or supervisory position
– pass on to their team the basic principles of scientific integrity and the binding standards of good scientific practice in education and training.
– are responsible for ensuring that their team is aware of and implements the Integrity Guidelines (RSETHZ 414) and standards of good scientific practice.

Further information

– Research integrity
– Plagiarism

Legal basis

– Guidelines for Research Integrity and Good Scientific
  Practice at ETH Zurich
  (RSETHZ 414)
– Procedure to address allegations of research
  misconduct at ETH Zurich
  (RSETHZ 415)
– Code of Conduct for Scientific Cooperation of ETH Zurich
  (RSETHZ 416)
– Rector's directive: Working Scientifically, and the
  Declaration of Originality

Contact

Guidance can be sought from ETH members in the
following roles:
– Delegates for Good Scientific Practice (GSP delegates)
  assigned to the departments, for rules of good scientific
  practice and discipline-specific standards
– Trusted intermediaries, for queries, conflicts and suspected
  misconduct relating to scientific integrity (confidant@ethz.ch)

Everyday tips

› Ensure that your staff are aware of and follow
  the Integrity Guidelines and the citation etiquette.

› Don't be afraid to address problematic behaviour
  openly. Endeavour to speak first with the persons
  concerned before turning to the trusted inter-
  mediary.

Research involving humans and personal data

ETH Zurich wants to protect human participants in research and the scientific use of their data in the best possible way.

Basic principles

Ethical evaluation

Research projects involving humans, or their personal data, are regulated by law. Such projects may only be initiated once they have been evaluated and approved by an ethics commission. The ethical evaluation seeks to ensure compliance with legal requirements and to protect the physical and mental integrity of participants. This means appropriately informing those persons of the purpose of the research project and obtaining their consent to participation or use of their data.

Jurisdiction

Research projects must be assessed by a Cantonal Ethics Commission if they fall within the scope of the Human Research Act or corresponding ordinances. This covers research involving persons (living or deceased), their health-related personal data or biological material, embryos or fetuses, to investigate:
– physical and mental human diseases
– structure and function (anatomy and physiology) of the human body

All other human research projects are evaluated by the ETH Zurich Ethics Commission. This includes research using personal data, i.e. data relating to specific or identifiable individuals and collected, for example, through interviews, group discussions or surveys.

Studies using anonymised biological material, anonymously collected or anonymised health-related data and anonymised personal data may not require official approval. Please contact the office of the relevant ethics commission.

The Secretariat of the ETH Zurich Ethics Commission also answers questions regarding applications to the commission and its remit.

Responsibilities

The project leaders are responsible for observing the regulations and complying with the licensing requirement for research with human beings and their data.

Further information

– Research with human participants at ETH Zurich
– Website of the Cantonal Ethics Commission (available only in German)
– Website of the Ethics Commission of ETH Zurich

Legal basis

– Federal Act on Research Involving Human Beings (HRA)
– Ordinance on Research on Human Subjects with the Exception of Clinical Trials (HRO)
– Ordinance on Clinical Trials in Human Research (ClinO)
– Ordinance on Clinical Trials with Medical Devices (CTO-MedD)
– Therapeutic Products Act (TPA)
– Federal Act on Data Protection (FADP)
– Reglement der Ethikkommission der ETH Zürich (Regulations of the ETH Zurich Ethics Commission) (RSETHZ 413, available only in German)

Contact

Philipp Emch, **+41 44 632 85 72**
Zora Muriel Schmid, **+41 44 632 39 54**
Office of Research
ethics@sl.ethz.ch
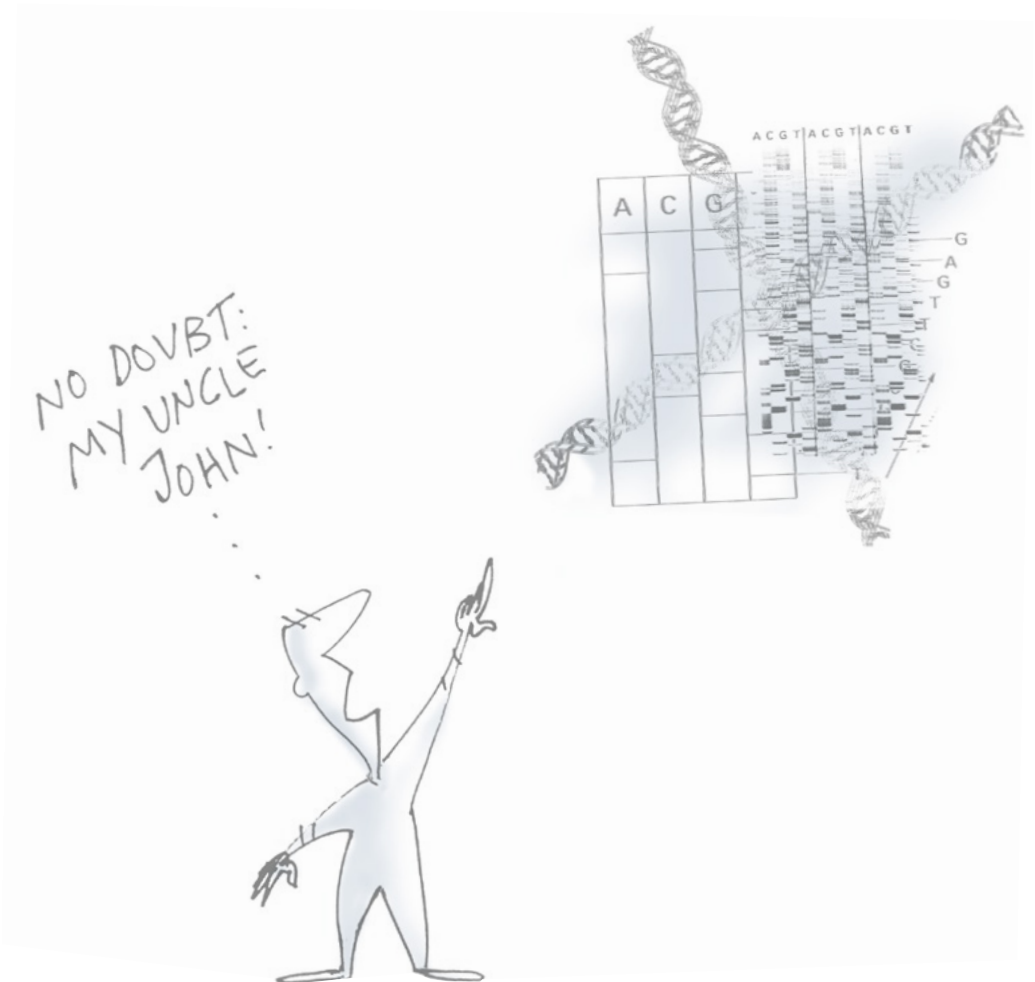
Everyday tips

› If you are uncertain about your ethics application, especially if submitting it for the first time, contact the Secretariat of the ETH Ethics Commission first. This helps to avoid rejections, unnecessary applications and revision work after submission.

› Allow sufficient time in your research plan for submitting the ethics application (at least eight weeks), as you may only start recruiting participants after approval. Master's and Bachelor's projects are assessed more quickly – please consult the Research with Human Participants website.

› If you are obtaining biological materials or personal data from commercial suppliers, these must have been collected in accordance with ETH Zurich guidelines and the statutory regulations under Swiss law. If your supplier is based abroad, a contract must be drawn up to ensure that the domestic law enforces compliance with these standards. If this is not the case, compliance must be contractually sealed. For certain countries, it can be assumed that their domestic law concurs with Swiss law.

Research involving animals

At ETH Zurich, animals provide important insights into a wide range of research areas, such as pharmacology, biology, agricultural sciences and environmental protection.

Basic principles

For ETH Zurich, the responsible treatment of animals is both a tenet of ethical conduct and a precondition for research involving animal experiments. The ETH Zurich Executive Board undertakes to demand and ensure that its research groups comply with the laws in force in Switzerland. To this end, it has adopted the ETH Zurich Policy on Animal Experimental Research.

The Swiss Animal Welfare Act definition of animal experiments covers experiments on living animals to investigate, for example, a scientific hypothesis, the consequences of a particular procedure or the effect of a substance. Teaching and training or further education courses using animals or the removal of cells, organs or body fluids from animals are also considered animal experiments.

The Swiss Animal Welfare Act is implemented by the Animal Welfare Ordinance and the Animal Experimentation Ordinance. These also stipulate how genetically modified laboratory animals are to be kept.

Persons who conduct or manage animal experiments must have basic academic training as specified in the Ordinance on Animal Protection, complete a compulsory training course and regularly attend further education events (4 days per 4 years). Those who conduct experiments may only work independently with laboratory animals if they have attended an introductory course in laboratory animal science or a corresponding course abroad and are recognised by the cantonal veterinary office.

If you are planning a research project involving animals, you need a valid licence to conduct animal experiments. To obtain this, you must apply to the cantonal veterinary office via animex-ch, the electronic animal experiment management system. Your application must describe in detail the experimental objectives, the experimental design and any distress to the animals caused by the planned actions or interventions. In addition, the application must weigh up the hoped-for gain in knowledge against the expected distress to the animals.

Once the experiment has been completed, or at the end of the calendar year, the licence holder must report via animex-ch to the cantonal veterinary office on the trials conducted and the animals used.

Responsibilities

Overall responsibility lies with the licence holder. Those who manage or carry out experiments are responsible for implementing the animal welfare requirements.

Further information

– Website regarding animal experiments
– Information on animal experiments from the Federal Food Safety and Veterinary Office (FSVO)
– Information on training and further education opportunities at the Institute of Laboratory Animal Science of the University of Zurich

Legal basis

– Specifications of the Swiss Animal Welfare Act and attached
  ordinances for the use of laboratory animals
– ETH Zurich Policy on Experimental Animal Research

Contact

ETH Zurich Animal Welfare Officers
Office of Research
tierschutz@ethz.ch

Everyday tips

› The ETH animal welfare officers offer assistance with
  the application and on accessing the animal experi-
  ment management system, animex-ch. It is manda-
  tory that the officers review the application.

› The approval procedure takes several months, so
  contact the animal welfare officers in good time.

› The experimental licence is limited to a maximum of
  three years and may include conditions. If there are
  no appeals, the experiment may be started after the
  expiry of the 30-day appeal period.

› Any changes that are necessary to the planned
  experiment must be approved by the cantonal
  veterinary office before the experiment begins.

› Introductory courses on laboratory animal science
  get booked up quickly. It is possible to reserve a
  place for members of your staff, even if you do not
  yet know the name of the participant.

Management of genetic resources

Access to plant, animal, and bacterial
cells from abroad and their use for research
purposes is regulated by Swiss law.

Basic principles

Research and development activities carried out on the biochemical or genetic composition of non-human genetic resources fall within the scope of the Nagoya Protocol.

This legislation seeks to ensure a fair and equitable sharing of benefits arising from the use of genetic resources and associated traditional knowledge. The aim is to counter biopiracy and make access to genetic resources easier for researchers. The Nagoya Protocol contributes to the global conservation of biodiversity and the sustainable use of its components.

The **Access and Benefit-Sharing Clearing House (ABSCH)** sets out relevant legislation, procedures and contact information for the procurement of genetic resources in the provider country.

Responsibilities

Researchers wishing to procure or use genetic resources from another country bear a duty of care.

The statute prescribes that they:
– comply with the national Access and Benefit-Sharing (ABS) regulations of the country of origin.
– inform and obtain consent from those providing genetic resources or traditional knowledge, e.g. indigenous or local communities, before procuring genetic resources (Prior Informed Consent PIC).
– establish Mutually Agreed Terms. The benefits arising from utilisation are to be shared fairly.

Prior to market authorisation or marketing of products based on genetic resources, the Federal Office for the Environment must be notified.

Further information

– Information on managing genetic resources

Legal basis

– Ordinance on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilisation (NagO)
– Federal Act on the Protection of Nature and Cultural Heritage (NCHA)
– Federal Act on Patents for Inventions (PatA)
– Nagoya Protocol (available only in German)

Contact

Zora Muriel Schmid
Office of Research
+41 44 632 39 54
zora.schmid@sl.ethz.ch

Research data management

Research data management facilitates research collaboration, makes findings easier to verify and strengthens public trust in science.

Basic principles

ETH Zurich considers Research Data Management (RDM) an essential part of good scientific practice. Robust research data are crucial to any research project and to the credibility of its findings. Research data management facilitates research collaboration, makes results easier to verify and strengthens public trust in science.

ETH Zurich therefore commits to a research environment that supports FAIR research data management. The FAIR principles are internationally recognised guidelines to improve the Findability, Accessibility, Interoperability and Reuse of digital assets. The principles emphasise machine-actionability.

The guidelines for research data management (RDM Guidelines) stipulate how data should be handled, in accordance with specifications of the ETH Zurich Integrity Guidelines, particularly concerning publication (Art. 10) and access and use of research data (Art. 11).

The RDM guidelines define the most important terms of research data management and assign responsibilities. They also regulate the use of data management plans, data collection and processing, and specify what must be observed when publishing research data and scientific source codes, as well as when storing and securing data.

It is vital to know that research data always remains at ETH. Research data management also includes determining who is al-lowed to use data for research purposes during a research project and after its completion, and how it may be used commercially.

The ideal we strive for is Open Research Data (ORD). This entails making research data publicly accessible while always respecting the legal and ethical framework – «as open as possible, as closed as necessary». In line with this, the RDM guidelines also list valid reasons for not disclosing research data.

Responsibilities

The responsibility for research data management lies with the **researchers** themselves, including all ETH members who are working in a scientific capacity, i.e. doctoral students and post-doctoral researchers.

Professors and heads of research units bear ultimate responsibility. They ensure that research data management in their group or unit is carried out in accordance with the RDM guidelines and the standards applicable to their particular scientific field.

The **departments** inform their researchers about research data management at ETH Zurich. They also regulate the continuing use of and responsibility for research data after a professor or lecturer has left.

Academic guests have the option of regulating responsibility for research data through additional contractual agreements.

Further information

ETH Zurich is committed to providing a sustainable, dedicated infrastructure for research data management at national and international level, in order to offer its researchers information and services that meet the highest standards.

The ETH Library and Scientific IT Services (SIS) jointly offer a comprehensive training portfolio of courses on various aspects of ORD and RDM. They manage common resources on the ETH website.

– Research data
– Research data management
– Wiki: Research Data Management and Digital Curation

Research data management services at ETH:
– Services and consulting on FAIR data management of active research data (Research Data Hub and Research Data Nodes, SIS)
– Computing platform for management and analysis of confidential research data (Leonhard Med, SIS)
– ORD and RDM-FAIR data management (Research Collection, ETH Library)
– Redundant storage infrastructure tailored to users' needs, e.g. for warm and cold data (see Storage, IT Services)

Legal basis

– Guidelines for Research Data Management at ETH Zurich (RSETHZ 414.2)
– ETH Zurich Guidelines on scientific integrity (RSETHZ 414)
– Open Research Data: Position of the ETH Domain
– Swiss National Open Research Data Strategy

Contact

Research data management: researchdata@ethz.ch

Queries on Open Science

ETH transfer e.g. prior to publication of research-related software and source codes

Data protection officer on the handling of personal data and regulation of access to data by external researchers or after completion of a research project

Everyday tips

› Ensure that you and your staff are familiar with the research data guidelines and are up to date on introductory and continuing education courses on research data management at ETH Zurich.

› Improve the quality and reliability of your research by working to a data management plan and implementing FAIR principles throughout the research cycle.

› Share research data and source code on which published research results are based in an appropriate repository.

› Enhance the value of your data by i) protecting and describing it in line with the relevant standards in your research field, and ii) creating agreements at an early stage on who may use the data during and after the end of the research project.

Technology transfer / Research contracts

ETH Zurich encourages collaboration with third parties. It strives to enable direct exchange with industry and facilitate the transfer of research results into practice.

Basic principles

ETH transfer (Vice President for Knowledge Transfer and Corporate Relations) gives advice to researchers on all questions that arise from collaborations with industry and concerning the commercial exploitation of research results. ETH transfer supports scientists in concluding research agreements and licences. ETH Entrepreneurship supports all ETH students, researchers and employees in founding spin-offs or start-up companies.

Contracts
Contractual agreements with a total volume of **CHF 10,000** and above must be concluded in writing. Where possible, please use ETH Zurich standard contract templates.

For all research contracts, signatory powers are specified in the research contract guidelines. All research and service contracts of **CHF 50,000 and above** require the prior written approval of the Vice President for Research or the Vice President for Knowledge Transfer and Corporate Relations. Contracts which will extend beyond a professor's period of employment, due to entry into emeritus status or the end of the employment contract, must be approved by the relevant academic department.

When concluding a contract, it must be ensured that ETH Zurich's risks (e.g. liability) are minimised and that the research results can be published in a timely manner. Services by ETH Zurich must be offered under market conditions, i.e. advantage may not be taken of subsidies to compete with third parties.

Where ETH Zurich may otherwise not be able to dispose of all the required rights to the results in a project with a third party (e.g.

when students are involved), such rights must be transferred to ETH Zurich by means of a written agreement.

Any sale of or award of licence rights to existing intellectual property owned by ETH Zurich must be approved by the Vice President for Research or the Vice President for Knowledge Transfer and Corporate Relations.

The use of ETH Zurich infrastructure by third parties (including spin-offs) requires contractual agreement and compensation for ETH Zurich.

Responsibilities

The ETH Zurich unit (professorship) that concludes a contract with a third party in the name of ETH Zurich is fully responsible for ensuring that the interaction with the contractual partner is ethically and morally justifiable and that all obligations specified in the contract will be fulfilled (confidentiality, publication process, assurance of usage rights, obtaining approvals, legal compliance, etc.). This also applies when the contract has been approved by the Vice President for Research or the Vice President for Knowledge Transfer and Corporate Relations.

Further information

– ETH transfer website

Legal basis

– Verordnung des ETH-Rates über die Immaterialgüter im ETH-Bereich (Ordinance issued by the ETH Board concerning Intellectual Property for the ETH Domain and Investments in Companies); available only in German
– Weisungen des ETH-Rates über die Beteiligungen an Unternehmungen im ETH-Bereich (Guidelines issued by the ETH Board concerning stakes in companies in the ETH Domain and Investments in Companies) (RSETHZ 440; available only in German)
– Guidelines Concerning Contracts in the Field of Research at ETH Zurich (RSETH 440.31, Research Contract Guidelines)
– Richtlinien für die wirtschaftliche Verwertung von Forschungsergebnissen an der ETH Zürich (Guidelines for the Financial Exploitation of Research Results at ETH Zurich) (RSETHZ 440.4; available only in German)
– Guidelines for the spin-off of Companies at ETH Zürich (Spin-off guidelines)

Contact

ETH transfer
+41 44 632 23 82
transfer@sl.ethz.ch

Everyday tips

› All research or services contracts of CHF 10,000 and above must be made in writing. For each such contract, a separate SAP project with a PSP element must be opened.

› When budgeting, all incurred overheads and VAT must be taken into account.

› Any questions related to research contracts with business and industry and the application of research results must be addressed to ETH transfer at an early stage.

› Contact ETH Entrepreneurship for advice on spin-off foundations.

Conflicts of interest

Conflicts of interest can result in financial and reputational risks, which is why their correct handling is crucial.

Basic principles

Avoiding and recognising conflicts of interest is a cornerstone of ETH Zurich's active culture of individual responsibility and autonomy.

Members of ETH Zurich are therefore expected to be aware of any conflicts of interest that may arise. In this respect, besides their own perception, the possible perception by third parties must also be taken into account. Ensuring that the freedom of teaching and research is not impaired by conflicts of interest is crucial.

Where a conflict of interest cannot be avoided, it must be disclosed to the direct line manager, discussed and dealt with. Transparency is essential when it comes to potential conflicts of interest, in order to protect the integrity and reputation of both the employee and ETH Zurich.

Conflicts of interest

A conflict of interest exists in situations where the personal interests or circumstances of employees could influence their professional judgment, conduct or decisions at ETH Zurich.

Conflicts of interest may arise in particular in the following areas:
– Financial incentives
– Personal relations (relatives, friends etc.)
– Secondary occupations or mandates
– Purchasing transactions
– Use of ETH Zurich resources (e.g. in the context of spin-offs)

Specific examples
– The exercise of secondary occupations, e.g. as a board member, managing director or owner, can lead to conflicts of interest with employment by at ETH Zurich.
– The hiring of spouses, partners or relatives.
– The handling of financial resources belonging to ETH Zurich, e.g. invitations, procurement, professional expenses and travel.
– Donations, endowments, etc. that can lead to conflicts with the principle of freedom of research and teaching.
– Private consultancy contracts. These must be concluded in one's own name; the benefits and risks are the responsibility of the individual.
– The granting of rights or concessions to third parties.
– In connection with the development of a business idea (e.g. founding of a spin-off) and the handling of the ETH property and resources involved.
– Carrying out certain academic activities, such as assuming mandates, participating in committees, affiliating and participating in and organising research conferences. Potential conflicts of interest here must be borne in mind and avoided.

Any conflict of commitment that affects the commitment of employees and counteracts contractual obligations must also be avoided.

Responsibilities

In addition to the members of the Executive Board, professors and managerial staff are expected to be particularly aware and careful in dealing with possible conflicts of interest. Existing or potential conflicts of interest must be avoided or made transparent and dealt with.

Legal basis

– Bundespersonalgesetz (Swiss Federal Personnel Act);
  available only in German
– Personalverordnung ETH-Bereich, PVO-ETH
  (ETH Personnel Ordinance); available only in German
– Ordinance of the ETH Board on professors at the
  Swiss Federal Institutes of Technology
  (RSETHZ 501, ETH Professorial Ordinance), Art. 6
– Richtlinien des ETH- Rates betreffend Nebenbeschäfti-
  gungen der Mitglieder der Schulleitungen der ETH und
  der Direktionen der Forschungsanstalten
  (RSETHZ 128, available only in German)
– Guidelines concerning conflicts of interest and conflicts
  of commitment in connection with outside activities of
  professors and other employees of ETH Zurich
  (RSETHZ 501.2)
– Guidelines for the financial exploitation of research
  results at ETH Zurich
  (RSETHZ 440.4)
– Directives concerning the employment of spouses,
  partners and relatives at ETH Zurich
  (RSETHZ 121.14)

Further information

– Outside employment

Contact

For professors

For employees
(primarily the superior as well as the HR partner)

Everyday tips

› If you accept a mandate as a managing director or
  board member, or a political office, you must register
  this (via the ETHIS workflow for outside activities).
  Board member and managing director mandates are
  generally subject to approval.

› Outside activities require authorisation if the interests
  or reputation of ETH Zurich could be affected or if
  employees use ETH infrastructure.

› If you make purchases, consult purchasing coordi-
  nation and clarify whether you have already signed
  a declaration of impartiality. Observe the rules of
  impartiality in purchasing.

› ETH employees are obliged to disclose to the respon-
  sible HR unit (personnel manager) if their partner
  is looking for a job in the same area and is in the
  process of applying.

› Do not accept invitations involving unusually high
  amounts (>CHF 200). The same applies to gifts made
  specifically to you.

› If you accept a private consulting mandate, use only
  your private address and infrastructure.

› Make sure when placing any assignments, orders,
  purchases or projects with ETH Zurich spin-off
  companies that no conflict of interest arises. If in
  doubt, contact Procurement and Export Services.

› Use personnel, infrastructure and financial resources
  of ETH Zurich only within the scope of your employ-
  ment (i.e. no misuse).

› IP rights: Contact the Vice President for Knowledge
  Transfer and Corporate Relations to report conflicts
  of interest arising from the assignment of IP rights.

› Professors: Report conflicts of interest related to
  outside activities to the Office for Faculty Affairs.

Employment, leadership and collaboration

ETH Zurich pursues a progressive and fair personnel policy. Its management principles express its commitment to a company culture that fosters open dialogue.

Basic principles of employment relationships

Employing professors

The employment relationships of ETH Zurich professors (assistant professors with and without tenure track, associate and full professors) are governed by the Ordinance on Professors (Ordinance of the ETH Board on Professors at Federal Institutes of Technology) and generally come under public law. The employment contract is concluded between the President of the ETH Board and the professor. Any amendments to the contract must be decided by the President of the ETH Board or by the ETH Board at the request of the President of ETH Zurich.

Employment of scientific, administrative and technical staff

Employment relationships at ETH Zurich are subject to federal personnel law and are of a public law nature (Personnel Ordinance PVO-ETH). They are created by means of written employment contracts signed by the responsible persons from the Vice-Presidency for Personnel Development and Leadership (VPPL) and the employees. Any extension, amendment or termination of the employment relationship is only valid if made in writing and is carried out exclusively by the responsible persons (VPPL) at the request of the staff member's supervisor. The Vice-Presidency for Personnel Development and Leadership is also responsible for implementing the salary policy on behalf of the Executive Board. Applications for temporary and permanent appointments and extensions are to be submitted via HR Workflow to the responsible persons at the Vice-Presidency for Personnel Development and Leadership, taking into account the ETH Zurich Financial Regulations and Organisation Ordinance.

Employment of scientific staff

The employment relationship may be extended for a limited period of time. For assistants, senior assistants and other staff with a similar function the maximum period is six years. If an assistant moves to a senior assistant position, the years as assistant are not taken into account.

In exceptional cases, scientific staff (FS 9/10) in teaching and research projects may be employed for a maximum of 9 years in accordance with Art. 14 of the Ordinance Governing Scientific Employees of ETH Zurich. If a person from the ETH Domain moves to this position at the same functional level, the previous period of employment will be taken into account. In addition, there must be no previous employment in another scientific function in the ETH Domain.

Employment of administrative and technical staff

The employment relationship is generally unlimited. ETH Zurich is guided by the provision of personnel law that fixed-term employment contracts may not be concluded in order to circumvent the protection against dismissal. It therefore follows the principle of employing administrative and technical staff who perform permanent duties in the central bodies and in the departments on an unlimited basis.

In exceptional cases, the employment relationship may be repeatedly limited to a maximum of 5 years if it concerns assignments in specific fixed-term projects or if it concerns the employment of a professor who will retire in less than 5 years. Failure to observe the maximum permissible fixed-term employment period leads to an unlimited employment relationship.

It is possible to exceed the 5-year period for teaching assistants upon application to the HR Administration, provided that the person is still studying for justified reasons.

Foreign nationals

When employing foreign nationals, a permit must be obtained from the cantonal immigration and employment market authorities, according to the person's nationality.

GOOD PRACTICE
BETTER PRACTICE
BEST PRACTICE

Work from abroad
In principle, work for ETH must be performed in Switzerland. The ETH guidelines must be observed here.

Time management
The framework conditions for holidays, public holidays, etc. are regulated in the Personnel Ordinance for the ETH Domain (PVO-ETH) and all employees are obliged to comply with them. The supervisors regularly check the time balances (holiday entitlement or working hours, if required) and the budget managers approve annual carry-overs.

Secondary employment
Secondary employment of professors and staff members is regulated in a guideline and must be reviewed by the responsible persons, particularly in the event of a conflict of interest or conflict of commitment (see section on conflicts of interest).

Confidentiality of personal data
Personal and employment data must be treated confidentially and is governed by data protection legislation. Those in a supervisory position or working in centralised or decentralised administration who handle personal data must treat such data confidentially and in accordance with data protection legislation.

Permitted payments to staff members
The ETH Regulations on Business Expenses define permitted one-off payments to staff. No payments may be made other than these.

ment or discriminatory, threatening or inappropriate behaviour. Inhouse and external contact points and an advisory service are available for all staff regarding respect, cooperation and conflict management.

To achieve the goals of a leading international university, ETH Zurich relies on motivated, fulfilled and highly qualified staff. Empowering people is crucial in this respect. Supervisors must hold staff appraisals with each of their staff (Art. 7 PVO-ETH). This helps both the staff and their supervisors to determine where they stand and to work out strategies for development.

Supervisors must also discuss career planning with their staff at an early stage.

Responsibilities

Within the remit of professors and supervisors are the diligent recruitment of scientific and technical and administrative staff, regular status and development meetings, the disclosure of potential conflicts of interest and the performance of their supervisory function in line with the ETH Zurich values and competencies. Those in supervisory positions must comply with the Respect Code of Conduct and the provisions of personnel law. They must ensure that all regulations relating to their area of responsibility are observed.

Basic principles of leadership and collaboration

For ETH Zurich, respectful interaction and inclusive cooperation are a matter of course. Tensions and conflicts should be actively addressed at an early stage and, whenever possible, resolved in constructive cooperation. The Respect Code of Conduct stipulates that ETH does not tolerate any form of sexual harass-

Further information

– The Vice-Presidency for Personnel Development and Leadership
– Working at ETH Zurich
– Leadership and development
– Information on respectful conduct at ETH Zurich

Legal basis

– ETH Act
– Bundespersonalgesetz (Federal Personnel Act); available only in German)
– Personalverordnung ETH-Bereich (Personnel Ordinance for the ETH Domain) (PVO-ETH, available only in German)
– Ordinance Governing Scientific Employees at ETH Zurich (RSETHZ 516.1)
– ETH Professorial Ordinance (RSETHZ 501)
– Directives for Doctoral Students employed at ETH Zurich (RSETHZ 622)
– Guidelines for ETH Zurich employees on reporting suspected malpractice (RSETHZ 130.1 Whistleblowing Guidelines)
– Regulations on the reporting of inappropriate behaviour by ETH Zurich members (RSETHZ 615)
– Guidelines for the Assistant Professor System at ETH Zurich, as issued by the President 2015 (RSETHZ 510.20)
– Conflicts of interest and compatibility of obligations relating to secondary employment of professors and other staff at ETH Zurich (RSETHZ 501.2)

Contact

You will find the contact persons of the Vice President for Development and Leadership here.
Consulting, help and support

Everyday tips

› Encourage inclusive cooperation and act with personal integrity. Create a respectful and non-discriminatory environment.

› Keep up a dialogue with your staff and hold progress and development meetings at least once a year.

› Make use of the range of on- and off-the-job development opportunities and enable your staff to take advantage of them too.

› Address difficulties and tensions at an early stage and, if possible, directly with the parties involved. Consult the ETH contact points and advisory service if you need support in resolving a conflict.

› Avoid conflicts of interest between ETH Zurich and personal concerns.

Finance

ETH Zurich also cultivates a culture of personal responsibility and autonomy in the area of finance. In order to maintain this culture, it is necessary to comply with the applicable rules and guidelines.

Basic principles

The Financial Regulations govern the financial processes, responsibilities and competencies at ETH Zurich regardless of the source of funds.

All funds accruing to ETH Zurich (incl. assets) are transferred to the ownership of ETH Zurich. The funds form the basis for budget allocation.

With regard to financial business conduct, ETH Zurich is guided in particular by the following basic principles (excerpt Art. 3 FR):
– Regularity and legality
– Economic, impact-oriented and sustainable handling of the entrusted funds and budgets
– Personal responsibility
– Tasks, expertise and responsibilities for financial matters are classified and clearly defined across the organisation according to the function to be performed.
– Transparency and cost transparency
– Financial risks are not assumed
– Responsible and integrative handling of the funds entrusted

The budget officer assumes the financial duties and responsibilities for a particular area of responsibility and has the appropriate authority to sign here. Budget officers include professors, heads of departments, heads of staff units, heads of non-departmental teaching and research institutions, etc. An area of responsibility corresponds to an organisational unit (to which a cost centre is also assigned). The budget officers manage costs and revenues, decide on appointments and conclude contracts with third parties. They are accountable for the budgets in their area of responsibility and ensure that all business transactions are correctly invoiced.

To ensure the smooth handling of financial activities, the budget officer can appoint a deputy (in addition to any budget managers or budget assistants). The deputy has the same rights as the budget officer, but cannot delegate. Deputisation is the most com-

prehensive form of delegation of financial competencies and can only be given to staff with the appropriate job function.

The signing authority of the budget officer is based on the thresholds for financial commitments set out in the Financial Regulations (e.g. contracts, orders and cost approvals). These thresholds must also be respected for internal funding allocations and transactions:

Up to CHF 50,000:
The budget officer is authorised to sign individually in their area of responsibility.

CHF 50,000 to 250,000 – in the academic unit:
The budget officer for the transaction must sign jointly with a second budget officer from the department.

CHF 50,000 to 250,000 – in the administrative department:
The budget officer responsible for the transaction signs jointly with the department head. If the budget officer is the same person as the department head, the second signature is provided by the deputy department head.

CHF 250,000 to 500,000 – in the academic unit:
The budget officer responsible for the transaction must sign jointly with the department head. If the department head is the budget officer, they must sign jointly with the deputy department head.

CHF 250,000 to 500,000 – in the administrative department:
The budget officer must sign jointly with a divisional representative.

Transactions in excess of CHF 500,000:
These must be approved in advance by the Executive Board.

Further details can be found in Chapter 3 and Annex 1 of the Financial Regulations. The responsibilities set out in Art. 51 of the Financial Regulations apply to the acceptance of donations.

Responsibilities

Tasks, competencies and responsibilities in the area of Finance and Controlling are defined in the Financial Regulations.

Further information

– Website of Finance and Controlling
– Access to the ETH information and support portal ETHIS

Legal basis

– Financial Regulations of ETH Zurich
  (RSETHZ 245)
– Code of conduct of ETH Zurich on dealing with contributions
  (RSETHZ 245.9)

Contact

You will find the client advisor of the Accounting department responsible for your area here (page available only in German).

Everyday tips

› Refer regularly to the Finance and Controlling website and the Financial Regulations.

› You may delegate administrative management and day-to-day control. However, as budget officer, you will remain fully responsible for the proper use of funds.

› Use ETHIS to view and access information, digitised invoices and contracts, and to follow the electronic processing of transactions (workflow).

› The Accounting department supports researchers in the financial reporting for EU, SNSF and Innosuisse projects.

Export control

Research knows no borders. International research projects and global partner-ships are very important for ETH Zurich. However, they also present us with challenges when research extends beyond Switzerland's national borders.

Basic principles

International relations and partnerships in research, teaching and knowledge transfer are an integral part of ETH Zurich's work environment.

Export control
The Goods Control Act and the Embargo Act form the basis of export control.

They regulates the cross-border exchange of goods for civilian and military use (dual-use goods) and war materials. These include products, technologies (information and knowledge) and software (collectively referred to as goods).

Listed goods are subject to approval by the State Secretariat for Economic Affairs SECO when exported from Switzerland. Where the exchange of controlled goods involves those of US origin, US licences may also be required.

The embargo laws apply as soon as a recipient is in a state subject to sanctions.

For years, sanctions have focused primarily on North Korea, Iran, Syria and Sudan as well as Russia and Belarus. Other sanctioned countries appear on embargo lists in Switzerland, the EU and the USA.

The exporter, i.e. the person who has knowledge or goods dispatched from Switzerland, is obliged to check both the end user and the final use.

The classification of the goods determines whether export controls apply.

Classification of goods
The export control number and the origin of the goods form the basis for the classification of goods. The export control number is determined from goods control lists. The origin of goods indicates the country in which the goods were obtained, produced, or researched.

Only by determining the export control number and the origin of the goods can an assessment be made as to whether, in addition to the Swiss export control laws, the US export control laws also need to be considered and whether an official export permit is required.

ETH Zurich areas affected by the cross-border movement of goods (not exhaustive):
– Purchase of export-controlled goods and software intended as temporary exports from Switzerland.
– The sale, rental, brokering or donation of export-controlled products leaving Switzerland.
– Research cooperations and contracts for grants where the contract contains export control clauses.
– The hiring process for employees and the admission process for Master's students; invitations of visiting professors and academic guests from embargoed countries who provide access to export-controlled areas and to unreleased, controlled technology.
– Travel abroad with mobile devices on which export-controlled software and technologies are stored.

The five key issues in export control:
1. WHERE do the goods come from? Country of origin of the goods
2. WHAT is to be exported? Goods, technology or software
3. WHERE are the goods to be exported to? Final destination country of the exported goods
4. WHO is to receive the goods? Final consumer and whether an embargoed country is involved
5. WHAT will the goods be used for? End-use of the goods in the country of destination

Only if the export control examination has taken place and any necessary approval has been granted by the authorities may an exchange of knowledge, a cross-border supply of goods and software, or the provision of a service take place.

Exemptions

Basic scientific research, information on patent applications and research results already published and made freely available to the public are not subject to an export control examination.

Help with implementing export controls

Detailed information can be found on the ETH Export Control website.

Responsibilities

Responsibility for Swiss, EU and US export control regulations rests with any person who exports or exchanges goods from Switzerland across borders. Overall responsibility, however, lies with the budget officers and managers in the units in question (e.g. professors, heads of departments, heads of staff units).

Further information

– Information and legal basis for export controls

Legal basis

– Goods Control Act
– Goods Control Ordinance
   (incl. lists of dual-use goods)
– Verordnung über die Ausfuhr und Vermittlung von Gütern zur Internet- und Mobilfunküberwachung (Ordinance on the export and brokering of goods for internet and mobile phone surveillance); available only in German

Contact

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Everyday tips

› Procurement: When making a purchase, have the supplier give you the export control number, the country of origin and the customs tariff number (for goods only) with the quotation. The information is important for goods classification and entry in the inventory database (ETHIS).

› Classification of goods: Classify results (technologies) from research in order to determine whether an export licence is required from the State Secretariat for Economic Affairs SECO for the exchange or initial publication.

› Exports of equipment: Make sure in the case of (temporary and permanent) exports, gifts and rentals that the export control number and the country of origin of the goods are known and, if necessary, that an export permit is available.

› Research cooperation and subsidies: Do not accept any unilateral conditions with regard to export control that apply beyond the scope of the law.

› Exchange of knowledge, technology transfer: Prior to the exchange of knowledge of unpublished technology, goods must be classified. This rule applies to e-mail correspondence, participation in conferences and congresses abroad, and telephone or direct exchanges with research colleagues abroad.

› Hiring staff, guests, admissions: Check the job for its relevance for export control and document this accordingly if a job has to be advertised. The classification of the position helps the HR process if applications are received from persons from embargoed countries. The same applies to Master's programmes and admissions to them.

Procurement

Procurement should be needs-based, sustainable,
economical and carried out with integrity.

Basic principles

ETH Zurich's procurement policy defines the principles, guidelines and requirements to be observed by both internal procurement personnel and external suppliers. In accordance with this policy, procurement must be needs-based, sustainable, economical, and carried out with integrity.

Purchases of movable goods, services and construction services constitute public procurement transactions and are subject to the laws and ordinances governing ETH Zurich. The duties, competences and responsibilities pertaining to procurement at ETH Zurich are defined in the Financial Regulations.

The Real Estate Management, Facility Services, Engineering and Systems, ETH Library, IT Services and Procurement and Export Services departments are considered ETH Zurich procurement offices. They either allocate the goods and services assigned to them (in accordance with Appendix 2 of the Financial Regulations), order them on request or provide information on the optimal ordering process. Labware, office and laboratory furniture, information and communications technology (ICT), cleaning services, construction services and printing, dispatch and postal services can be obtained via the internal offices.

Goods and services that cannot be obtained from internal offices may be purchased from external suppliers. Orders with a value of more than **CHF 10,000** (incl. VAT) must be made in writing and handled in accordance with the responsible procurement office's designated process. For procurements above **CHF 150,000** (excl. VAT), an invitation process must be carried out in advance in cooperation with the responsible procurement office. For procurements above **CHF 230,000** (excl. VAT), the responsible procurement office must be contacted early on, so that the tendering procedure can be determined.

Rules on impartiality and recusal

Participants in an ETH Zurich procurement procedure (award procedure) must be impartial – regardless of the procurement amount.

When must I recuse myself and not participate in the procurement procedure?

If participants in a procurement project discover that they have a conflict of interest, they must inform their supervisor immediately.

A conflict of interest, which constitutes a partiality, exists if a person participating on the part of ETH Zurich
– has a personal interest in the assignment
– has a special connection with the tenderer or a member of one of its executive bodies. This includes a current or past close (personal) business relationship (e.g. customer relationship, strategic partnership, participation, employment/contract relationship, outside activity), spin-off relationship, marriage, registered partnership or consensual union, kinship or affinity, an economically dependent or other type of dependent relationship, or several years of close comradeship (e.g. due to military service)
– lacks the independence required for the performance of public procurements due to other circumstances, insofar as this partiality has a concrete effect on the procurement process.

In the above cases, the person concerned is obliged to recuse him- or herself; otherwise the award decision is tainted with a formal error and can be overturned by the court.

To recuse oneself means not to participate in any phase of the procurement procedure, neither in the specification of requirements, nor in the evaluation of the offers, nor in the award decision. The responsible senior budget officer or the head of the department (if the person concerned has departmental budget responsibility) ensures that in the event of a reported partiality in connection with a procurement project, the person concerned recuses him- or herself and that this is documented. Furthermore, the officer ensures that requirements specification, offer evaluation and award decision are carried out by an independent panel of experts, that the procurement process requirements according to Art. 130 of the ETH Zurich Financial Regulations (FR) are complied with and that Purchasing Coordination is informed. In cases of doubt, the Vice President for Finance and Controlling decides on the recusal in terms of Art. 130 para. 3bis FR.

Duties of care and loyalty

Participants in ETH procurement procedures must be aware of the following additional duties of care and loyalty, and possible consequences in case of non-compliance:
– When evaluating offers received as part of a procurement procedure, the person involved exclusively represents the interests of ETH. All information, documents and results are confidential before, during and after the procurement procedure. This means that data should not be made available in any way to unauthorised third parties nor removed from the designated premises.
– In addition, any contact with potential tenderers for the procurement in question that could jeopardise equal treatment of the tenderers is prohibited.
– All gifts, invitations or minor and socially customary favours from potential or effective tenderers before and during the procurement procedure must be refused.

Failure to comply with any of the above points may constitute a breach of the duty of care and loyalty under personnel law and may result in sanctions.

Measures to avoid the participation of persons with conflicting vested interests in procurement procedures at ETH Zurich

The following measures are intended to make all participants in procurement procedures aware of the issue of conflicting vested interests in procurement:
– For procurement projects over CHF 150,000 (excl. Real Estate Management process), the responsible procurement office requires the budget officer and other contributors (internal and external) to sign a project-related declaration of impartiality. Different declaration forms are used for internal and external contributors.
– Employees involved in procurements (excl. budget officers) of the procurement offices within the scope of Art. 127 FR and of the shops within the scope of Art. 130a FR sign a declaration of impartiality for the duration of their employment. The procurement office or shop is responsible for requesting declarations of impartiality and regularly checking whether other employees need to sign one.

– The budget officers confirm at the end of each year (in the ETHIS annual financial statement process) that they have understood the rules of recusal in procurement procedures and are implementing them in their area of responsibility.
– When recording outside activities, the corresponding ETHIS workflow and, if applicable, the Executive Board approval indicate that in the case of procurements where the company/ business group at which the outside activity is performed is being considered as a tenderer, the person with the outside activity must recuse him- or herself.

The rules and processes outlined here are drawn from the legal provisions listed under «Legal basis» and the following articles of the Financial Regulations:
– Article 22(e)
– Article 24(9)(c)
– Article 28(1)(i)
– Article 29(1)(h)
– Article 130(3bis)

Responsibilities

The ETH Zurich budget officers know the basic principles for procurement, as well as the rules of recusal and measures to prevent persons with conflicting vested interests from participating in procurement procedures. They implement these rules in their area of responsibility.

Further information

– Procurement policy and procurement at ETH Zurich
– IT Shop (Software)

Legal basis

– Financial Regulations of ETH Zurich, Chapter 12 para.1,
  Procurement of Goods and Services
  (RSETHZ 245)
– Federal Act on Public Procurement
– Ordinance on Public Procurement
– General Terms and Conditions
– General Terms and Conditions for Service Contracts
– General Terms and Conditions for the Procurement
  and Maintenance of Standard Software
– Personalverordnung ETH-Bereich (ETH Domain Personnel
  Ordinance); available only in German

Contact

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Everyday tips

› Contact the procurement offices at an early stage in the requirements planning/procurement process to benefit from favourable conditions.

› For the tender process, you should allow a period of at least three months between drafting the order specifications and placing the order.

› Define technical specifications on the basis of your own minimum technical requirements rather than the manufacturer's product specifications.

› Wherever possible, always try to obtain several tenders and negotiate terms for all purchases, including services and business expenses.

› Use the ETHIS procurement request for external purchases. By doing so, you ensure compliance with spending authority provisions, archiving of the purchase documents and correct processing of your order.

› Obtain software products via the IT Services IT Shop and inform yourself before procuring/using software on the terms of use.

› Please remember that only the Portfolio Management section of the Real Estate department is authorised to conclude rental agreements for space.

› Purchases arising from research projects are subject to public procurement law and/or the Financial Regulations of ETH Zurich if the service in question primarily constitutes a supply of goods (e.g. scientific equipment) or the provision of construction or other services (e.g. analysis).

› Please observe the applicable export regulations when procuring, using and exporting goods. You should ensure, for example, that regulations on the use of source codes are implemented at your institute.

› Where prototypes or new types of services are being developed by an industrial partner, purchases may be made directly from the industrial partner (after approval from the procurement office in charge).

Business expenses

Restraint, modesty and transparency must be practised
in all dealings with business expenses at ETH Zurich.

Basic principles

Business expenses, in particular for travel, entertainment and
accommodation, must be limited to the essentials.

Business and private expenses must be kept separate. The Cor-
porate Credit Card may only be used for business purposes. Any
expenses relating to private companions must always be paid
from private funds.

The ETH Zurich regulations must be observed in all cases. The
provisions therein apply to all funds and the budgets allocated
from them, including third-party funds and reserves.

Reimbursement will only be made for expenses actually incurred
and for which receipts or invoices, either in paper or electronic
form, can be presented.

Any error and inaccuracy in the accounting of business expenses
by staff may result in legal consequences and damage to repu-
tation.

Sabbaticals
The extent of travel and subsistence expenses that may be
charged to ETH funds during sabbaticals is specified in the ap-
proval given by the Vice President for Personnel Development
and Leadership.

Secondary employment
Business expenses in connection with the secondary employment
of professors may not be charged to ETH funds.

Responsibilities

Budget officers must ensure that they and their staff are aware
of, and comply with, the Financial Regulations and the Regulations
on Business Expenses.

Further information

– Information on travel and business expenses

Legal basis

– Financial Regulations of ETH Zurich, Section 13
  (RSETHZ 245)
– ETH Zurich Regulations concerning Business Expenses
  (RSETHZ 245.3)
– Directives concerning Sabbaticals for Professors of
  ETH Zurich
  (RSETHZ 510.10)
– Guidelines concerning conflicts of interest and conflicts
  of commitment in connection with outside activities of
  professors and other employees of ETH Zurich
  (RSETHZ 501.2)

Contact

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Forschungsurlaube (Sabbaticals) von Professor:innen

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Everyday tips

› The provisions in the regulations cannot cover every
  individual case. Where necessary, orientate yourself
  by the general spirit of the guidelines and the culture
  that prevails at ETH Zurich. In the context of personal
  responsibility and autonomy, let common sense
  be your guide. Restraint, prudence and transparency
  should govern all your dealings with business
  expenses.

Reimbursement

› Orders or order confirmations are not accepted
  as proof of payment and cannot be used to claim
  expense reimbursement.

› Business expenses paid privately in advance will only
  be reimbursed if appropriate proof, such as a private
  credit card statement or receipt, is submitted.

Avoiding double payments

› Receipts for business expenses paid with the Cor-
  porate Credit Card must be strictly separated from
  receipts for privately prepaid business expenses.

› Once submitted, receipts must be marked or de-
  stroyed so as to ensure they cannot be resubmitted.

Controlling

› Make sure that claims for reimbursement of business
  expenses are correctly recorded, submitted in full
  including receipts, and authorised in line with the
  regulations.

Travel

› Take advantage of the services offered by our
  partners. Use the SBB Business Customers platform
  to order and purchase train tickets.

› ETH Zurich has its own rental station operated by
  Europcar; you benefit here from special rates.

› For air travel bookings, please contact our partner
  Kuster Reisen AG. Take advantage of the experience
  of their travel specialists and the discounts offered
  to ETH and federal organisations. Should you need
  to rebook or cancel flights, their conditions are
  favourable.

› Most providers of booking platforms are not members
  of the Guarantee Fund of the Swiss Travel Industry.
  If a provider becomes insolvent, ETH does not guar-
  antee to reimburse services that have been paid for
  but not received.

› ETH travel services can provide no assistance in the
  event of a cancellation or change to a booking of any
  trip not booked through Kuster Reisen AG.

Continuing education

› Encourage your administrative staff to attend training
  courses offered by the Accounting, Controlling and
  Procurement and Export Services departments.

Safety, security, health and environment

ETH Zurich promotes an exemplary safety culture based on honesty and responsibility towards society.

Basic principles

ETH Zurich promotes an exemplary safety and security culture that is based on honesty and responsibility towards society. An exemplary role in terms of safety, security, health and the environment (SSHE) means not only compliance with statutory requirements but also the application of new findings with regard to responsible approaches to risk.

At ETH Zurich, experts from the SSHE department give advice to all ETH members on matters related to safety, security, health and environmental protection and provide support in enforcing necessary measures. SSHE regularly holds courses and workshops to train and further educate ETH members in these areas.

SSHE offers consultation to all supervisors who have questions arising within their scope of responsibility concerning safety, security, health and the environment.

The head of SSHE also acts as ETH Zurich's safety officer. Additional officer functions (environmental officer, fire safety officer, hazardous goods officer, etc.) are assigned to various specialists in the SSHE team. The head of SSHE has the authority to prohibit individuals from entering to the university and to file for prosecution.

SSHE represents ETH Zurich in safety-, security- and environment-related discussions with the relevant authorities (police, fire brigade, cantonal and federal offices, etc.), in close cooperation with the ETH Legal Office.

Responsibilities

The heads of department are the contact persons for security within an academic department. They ensure that security figures on the agenda of the relevant departmental committees and promote compliance with the security standards in the department. They are also responsible for the timely involvement of SSHE in security issues.

Managers (professors, senior scientists, heads of the central administrative units or workshop managers) are accountable for security within the units they supervise. They must be aware of the legal provisions applicable to their work in terms of safety, security, health and the environment. They must observe the recommendations and directives of SSHE and their own managers in order to avoid occupational accidents and workplace health hazards and provide for safety in the laboratory. They ensure that their staff are trained and that the specified measures on occupational safety and health care are enforced. The issues of safety, security, health and the environment are discussed at regular unit meetings.

Further information

– SSHE website
– Information on training and continuing education in SSHE

Legal basis

– ETH Zurich Organisation Ordinance
  (RSETHZ 201.021)
– Geschäftsordnung der Schulleitung ETH Zürich (Rules of Procedure of the Executive Board of ETH Zurich)
  (RSETHZ 202.3; available only in German)
– ETH Professorial Ordinance
  (RSETHZ 501)
– ETH Zurich Web Policy
  (RSETHZ 203.22)

Contact

You can find the contact persons of SSHE here.
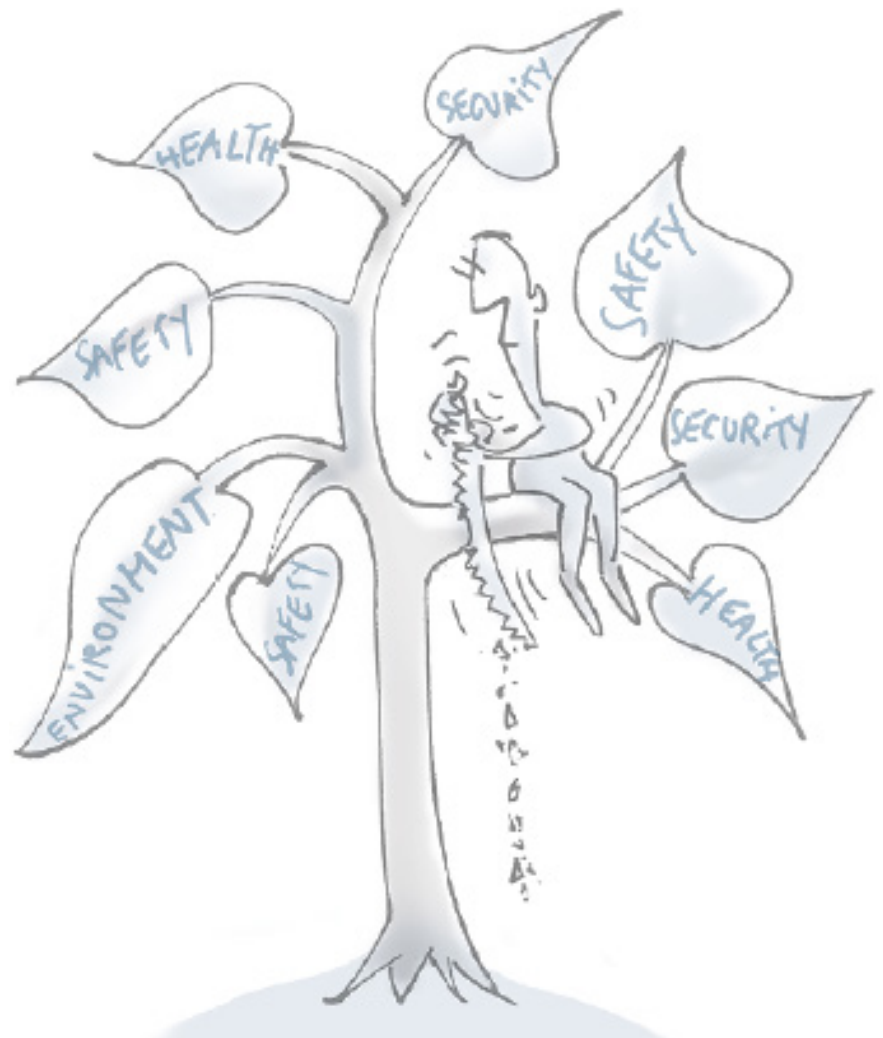
Everyday tips

› Define the particular dangers within your area of responsibility and make sure you know the legal provisions that apply in the areas of safety, security, health and environment.

› Clarify whether any permits are required for your activities. Nominate Group Safety Representatives in your group. Also specify a delegate for radiation protection, biosafety and laser protection if your research covers these areas.

› Note the ETH emergency telephone numbers and the numbers of the police, fire and ambulance services.

› Please study the information on the subject of evacuation on the SSHE website and make sure that your staff are also familiar with it.

› Take advantage of the SSHE continuing education courses.

› Heed the information in the emergency brochure «How to Play it Safe at ETH Zurich».

› Check the details you have provided to ensure that you can be alerted in an emergency.

› Consult SSHE for advice if necessary.

Information security

ETH Zurich handles information assets from research, teaching and management in such a way that their availability, confidentiality and integrity are always guaranteed as required.

Basic principles

All employees comply with the
– ETH Zurich Acceptable Use Policy for Information and Communications Technology (BOT),
– Directive on Information Security, in particular with regard to the implementation of information security objectives, roles and responsibilities and the classification of information resources, according to section 5 and the appendices,
– IT Guidelines and IT Baseline Protection Rules of ETH Zurich, including the regulations for the use of external cloud services,
– The Chief Information Security Officer's (CISO) guidelines and directives,
– Provisions on data processing, storage and deletion of information.

Responsibilities

All employees are responsible for handling information, applications and IT components with due care.

Each academic and administrative department has an Information Security Officer (ISO) who acts as a specialist contact point for all questions relating to information security.

The Chief Information Security Officer (CISO) is responsible for the coordination of information security throughout ETH Zurich.

Further information

– Information & IT Security in Everyday Life
– Information Security Website

Legal basis

– ETH Zurich Acceptable Use Policy for Information and Communications Technology (RSETHZ 203.21, BOT)
– Directive on Information Security at ETH Zurich (RSETHZ 203.25)
– IT Guidelines and IT Baseline Protection Rules of ETH Zurich (RSETHZ 203.23)
– Freedom of Information Act (FoIA)

Contact

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Everyday tips

Advice on cyber attacks and cyber fraud:
› If you suspect any phishing, viruses, cyber or CEO fraud, contact the Service Desk or your department's IT Service Group (ISG) immediately. Never give confidential information, passwords, money or financial data (even in the form of online gift cards), or access to sensitive premises to strangers.

Email security:
› Check senders of emails and links, e.g. by moving your mouse over them before clicking on links. Do not open attachments from unknown senders. If possible, use PKI certificates for e-mails (online application; your IT support can help you do this).

Classification:
› Label the confidentiality of documents, data collections, etc. as soon as they are created. In this way, you determine how strongly the respective document is to be protected. For support, contact the ISO. There are four classification levels:
PUBLIC, INTERNAL, CONFIDENTIAL and STRICTLY CONFIDENTIAL. Documents that are CONFIDENTIAL or STRICTLY CONFIDENTIAL must be marked as such. For further information, please refer to the Directive on Information Security.

Cloud services:
› Only store confidential data of ETH Zurich (e.g. research data subject to secrecy, financial data, personal employee or student data, expert opinions) in appropriately tested and approved cloud services or use the ETH Zurich polybox. For further information, see the IT Guidelines and IT Baseline Protection Rules of ETH Zurich.

Data on mobile devices:
› Smartphones, notebooks, tablets etc. can be tapped or lost and are not readily suitable for storing sensitive data. Mobile devices must be protected with at least a password or PIN. All business data should be securely encrypted using state-of-the-art technology.

Data backup:
› Make sure that the operators of your data storage devices back up your data regularly and that it can be recovered from the backup.

Current software:
› Ensure that the latest operating system and software versions are always installed on all your systems and that all security patches are installed immediately. Restart the systems after installations. Run an up-to-date anti-virus program on your systems.

Clear desk, clear screen:
› Protect your data from unauthorised access by activating the screen lock when you leave your workstation. Store confidential documents in lockable cabinets.

Passwords:
› Protect all your user accounts with secure and different passwords. Change your passwords if they have been viewed by others or if you suspect they have been stolen. Never divulge passwords and store them only securely and in encrypted form, e.g. in a password manager.

Data protection

The primary purpose of data protection is to safeguard individual privacy. The regulations on this must be observed in order to avoid sanctions and damage to reputation.

Basic principles

All staff must adhere to the general legal data protection regulations and the guidelines on the protection and handling of personal data at ETH Zurich.

Should you learn of any security breach involving personal data, e.g. if personal data has been accidentally or unlawfully lost, altered, deleted or destroyed, or disclosed or made accessible to unauthorised persons, please contact the data protection officer.

Responsibilities

The data protection officer is in charge of coordinating data protection.

Further information

– Data protection website

Legal basis

– Federal Act on Data Protection
– Ordinance on Data Protection
– Ordinance on the Protection of Federal Information
– Directive on "Information Security at ETH Zurich"
– Government and Administration Organisation Act, Art. 57l
– Verordnung über die Bearbeitung von Personendaten und Daten juristischer Personen bei der Nutzung der elektronischen Infrastruktur des Bundes; available only in German
– Verordnung des ETH-Rates über den Schutz von Personendaten des Personals im ETH-Bereich (PDV-ETH); available only in German
– Richtlinien über den Schutz und den Umgang mit Personaldaten an der ETH Zürich (RSETHZ 612); only available in German
– ETH Zurich Guidelines on scientific integrity (RSETHZ 414)

Contact

Tomislav Mitar
Data protection officer
+41 44 632 21 21
tomislav.mitar@sl.ethz.ch

Everyday tips

› Use anonymised or pseudonymised data sets for research.

› Ensure that data subjects have given their informed consent.

› Don't process more data than necessary; make a retention and deletion plan.

› Don't share data carelessly.

› Protect your data with technical and organisational measures.

› Treat data protection measures as part of your quality assurance.

Communications

Credible, coherent, and transparent communication
is essential for ETH Zurich.

Basic principles

As a university that is mainly financed by federal funds, ETH
Zurich depends on the trust and support of the public and the
political arena. It is therefore essential that its communications
are understandable and transparent.

The Corporate Communications department (CC) is responsible
for internal and external communications at ETH Zurich. Work-
ing together with various decentralised communication units, CC
provides information on the services and concerns of ETH Zur-
ich to the public, the media, the political arena and the business
community, and ensures that the university presents itself in a
professional and consistent way.

Responsibility for communicating issues that might damage the
reputation of ETH Zurich lies with the Executive Board and not
with the professorships, academic departments or administrative
units. Such issues must be reported to the Executive Board, in
order that CC can provide support and guidance.

When members of ETH Zurich communicate to the public, they
act in the name of the university and so help to shape its image.
All ETH staff are bound by professional, business and official
secrecy; they may only pass on information about ETH Zurich if
it is already public knowledge. Any breach of professional confi-
dentiality will be reported to the prosecution authorities.

Responsibilities

Members of academic and administrative departments who are
planning broad-ranging communication activity must consult Cor-
porate Communications at an early stage.

Further information

– Corporate Communications website

Legal basis

– Guidelines on Using the ETH Zurich Logo
  (RSETHZ 202.4)
– ETH Zurich Social Media Guidelines
  (RSETHZ 203.24)
– ETH Zurich Web Policy
  (RSETHZ 203.22)

Contact

Corporate Communications
+41 44 632 98 92

General communication queries:
kommunikationsberatung@hk.ethz.ch

Media queries:
mediarelations@hk.ethz.ch
+41 44 632 41 41

Social media queries:
socialmedia@hk.ethz.ch

Everyday tips
› Be aware that you are always perceived as the voice of ETH Zurich in the public eye – whether in traditional or social media.

› Make public statements only in the context of your job function or on the strength of your professional expertise.

› Corporate Communications deploys its own channels and has the expertise to tailor communication to your target audience.

Dealing with the media
› Newspapers, radio, TV and online media offer a good opportunity to make ETH Zurich's themes and expertise accessible to the general public. If you are contacted by members of the media, you are not obliged to respond. However, as a public institution, it is part of our mandate to communicate our work and to contribute specialist knowledge to address issues that are important to society. Only speak out on topics where you feel confident and have relevant expertise. Take enough time to prepare. If in doubt, decline a request in a friendly manner. Should you feel uncertain about a media enquiry, please contact the CC Media Relations team and follow our guidelines for dealing with the media. If you wish to approach the media about a particular topic, always contact Media Relations in advance.

Social media
› If you want to use social media such as LinkedIn, Instagram or Twitter to communicate directly with your target groups, our CC experts will be happy to support and advise you: socialmedia@hk.ethz.ch

Corporate design
› ETH Zurich seeks to ensure a consistent, professional visual identity. When designing digital or physical communication material, use the corporate design templates and follow the online guidance. The Corporate Design team will be happy to assist you: corporate_design@hk.ethz.ch

Internal communication
› ETH Zurich believes in providing its staff with comprehensive, transparent information. This is mainly done through the Staffnet website, which addresses the ETH community. The in-house news channel can be used to communicate information of relevance to university members. Please send your suggestions and questions to: intern-aktuell-news@hk.ethz.ch.

Accessibility
› As a federal organisation, ETH Zurich must ensure that its communication is barrier-free. The international standard for website accessibility WCAG 2.1 AA and the Swiss Accessibility Standard eCH0059 apply to all digital channels. CC offers consulting and training on digital accessibility: barrierefreiheit@hk.ethz.ch.

ETH Zurich Legal Collection

You can find all the valid and applicable acts, ordinances, directives and regulations governing organisation and processes at ETH Zurich in the ETH Zurich Legal Collection.

You can find all the valid and applicable acts, ordinances, directives and regulations governing organisation and processes at ETH Zurich:
– in the ETH Zurich Legal Collection (RSETHZ) or
– in the Classified Compilation of Federal Legislation (SR)

You can search both registers by the title of a document or its serial number (the latter is more systematic).

Key doctrines of governance at ETH Zurich:
– Federal Act on the Federal Institutes
  of Technology (ETH Act): SR 414.110
– ETHZ-ETHL-Verordnung (ETHZ-ETHL Ordinance); available
  only in German: SR 414.110.37
– Organisation Ordinance of ETH Zurich: RSETHZ 201.021
– Financial Regulations of ETH Zurich: RSETHZ 245

Disclaimer:
In the interest of user-friendliness, the wording of the present Compliance Guide does not always correspond precisely to the legal wording of the respective acts and ordinances. Only the provisions set out in the original acts and ordinances and in ETH's internal rules and regulations are legally binding and enforceable. You will find these documents in the registers RSETHZ and SR described above.

Compact compliance: E-Learning

The interactive compliance E-Learning module provides you with a fast grasp of the key rules of conduct to be adopted in situations of relevance to compliance at ETH Zurich – no matter wherever you are.

Scan the QR code or visit www.compliance.ethz.ch and find out all about the compact E-Learning compliance course.