

# Compliance Guide

English version 2022

GOOD PRACTICE  
BETTER PRACTICE  
BEST PRACTICE



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## Why do we need a Compliance Guide?

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 ethical values that shape our daily activities.

At ETH Zurich, we are proud to promote a culture of enablement that provides our members with a high degree of autonomy. This culture requires personal responsibility. And 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 requirements and internal directives. Personal responsibility calls for ETH members – particularly those with management responsibilities – to familiarise themselves with the rules they must follow when carrying out their duties. The following Compliance Guide is intended to serve as an orientation tool. It also serves as a clear reminder that 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.

**Joël Mesot**

President

**Sarah Springman**

Rector

**Detlef Günther**

Vice President Research

**Robert Perich**

Vice President Finance  
and Controlling

**Ulrich Weidmann**

Vice President Infrastructure

**Vanessa Wood**

Vice President Knowledge Transfer  
and Corporate Relations

**Julia Dannath-Schuh**

Vice President Personnel Development  
and Leadership

# Conflicts of interest

## 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 when a conflict of interest 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 in hiring at ETH Zurich.
- The hiring of spouses, partners or relatives.
- The handling of financial resources entrusted 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 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.

## Contact

Professors:

Office for Faculty Affairs

<https://www.ethz.ch/en/the-eth-zurich/organisation/staff-units/stab-professuren.html> →

Employees:

Manager and/or responsible personnel manager

<https://www.ethz.ch/services/en/organisation/departments/human-resources.html> →

## Legal basis

Swiss Federal Personnel Act, Art. 20 and 23

[Swiss Federal Personnel Act](#) →

ETH Personnel Ordinance (PVO-ETH), Art. 56 et seq.

[ETH Personnel Ordinance](#) →

Directives of the ETH Board concerning outside activities of ETH professors

[RSETHZ 501.1](#) →

Ordinance of the ETH Board on professors at the Swiss Federal Institutes of Technology (ETH Professorial Ordinance), Art. 6

[ETH Professorial Ordinance](#) →

Guidelines of the ETH Board on the outside activities of members of the ETH Executive Board and directors of research institutes

[RSETHZ 501.4](#) →

Guidelines concerning outside activities of ETH Zurich professors

[RSETHZ 501.2](#) →

Guidelines for the commercial use of research results at ETH Zurich

[RSETHZ 440.4](#) →

Directives concerning the employment of spouses, partners and relatives at ETH Zurich

[RSETHZ 121.14](#) →



## Advice for day-to-day business

- If you accept a mandate as a managing director or board member, or a political office, you must register this (with your line manager and possibly with the Office for Faculty Affairs). 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 the infrastructure.
- If you make purchases, consult purchasing coordination 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 responsible 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 containing unusually high amounts (>CHF 150.-). 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 Financial Services.
- Use personnel, infrastructure and financial resources of ETH Zurich only within the scope of your employment (i.e. no misuse).
- IP rights: Contact the Vice President for Research 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.

# Integrity in research

## Basic principles

Besides scientific excellence, integrity among researchers is the most important factor for sustainable success in science. ETH Zurich therefore places great value on ensuring that its members follow good scientific practice, keeping to the university's guidelines for integrity in research. Action can be taken against any breach of these guidelines.

### **Integrity in research covers aspects such as the following:**

- In the research context, the project manager plays an active role in guiding and monitoring junior scientists. In particular, they are responsible for making sure that everyone involved in the project is aware of the research integrity guidelines.
- Junior scientists are given appropriate guidance.
- Research data and procedural steps pertaining to the reproduction of research results are carefully archived or documented.
- Research data or results may not be fabricated. Any changes, omissions or additions must be justified and clearly traceable.
- Intellectual property belonging to third parties is to be correctly used and acknowledged in scientific publications. Only persons who meet the requirements laid down in the integrity guidelines will be named as authors of scientific publications. The order of names will follow the conventions applicable to each specific field.
- Assessments and evaluations must be carried out with the objectivity and confidentiality expected as part of the peer-review process.

For questions arising on good scientific practice or suspected scientific misconduct, ETH Zurich has designated trusted intermediaries, who are available to all members of the university.

## Responsibilities

First and foremost, each researcher at ETH Zurich is responsible for ensuring their own conduct is in line with the integrity guidelines. However, within the scope of their leadership duties, it is the project and research group heads, and the professors in particular, who bear the final responsibility.

## Contact

Bernhard Plattner  
Rainer Schulin  
Trusted intermediaries at ETH Zurich  
confidant@ethz.ch

## Further information

Information on integrity in research  
<https://www.ethz.ch/en/research/ethics-and-animal-welfare.html> →

Information on plagiarism  
[http://www.ethz.ch/faculty/exams/plagiarism/index\\_EN](http://www.ethz.ch/faculty/exams/plagiarism/index_EN) →



## 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

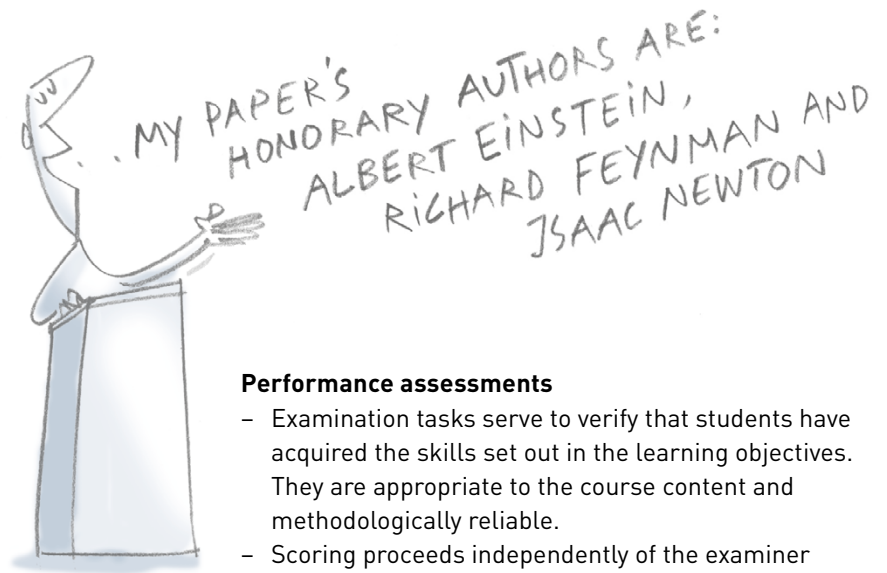
<https://www.ethz.ch/en/studies/legal-principles-degrees/legal-basis/directives.html> →



### Advice for day-to-day business

- Ensure that your staff are aware of and follow the research integrity guidelines and citation etiquette.
- Do not be afraid to address problematic behaviour openly. First of all, talk to the persons concerned before addressing a trusted third party.

# Teaching



## Basic principles

ETH Zurich imparts high levels of disciplinary expertise and scientific skills to its students. It prepares them to assume responsibility and play a constructive role as critical members of society.

### Designing and holding lectures

- The qualification profile for the degree programme describes the disciplinary and metadisciplinary skills students will acquire. The courses contribute to the qualification profile for the degree programme and build upon previous curricular knowledge with regard to content and skills.
- Learning objectives are clearly set out, transparent, ambitious and binding. The content and design of lectures, exercises, projects, practicals, examinations and other types of performance assessment are geared towards the learning objectives.
- Credits reflect the actual, average student workload. The extent of the anticipated workload is made transparent.
- Authors sign a declaration of originality for every semester, Bachelor's or Master's thesis they write at ETH Zurich. Responsibility for complying with this requirement lies with the lecturers supervising the thesis in question. Lecturers may also ask for a declaration of originality for other written work.
- If material from other authors is used in courses, the source must be cited on it.
- When conducting excursions, field courses and similar events, special attention must be given to the issues of safety and security, insurance and responsibility. The Safety, Security, Health and Environment (SSHE) department offers assistance in this area.

### Performance assessments

- Examination tasks serve to verify that students have acquired the skills set out in the learning objectives. They are appropriate to the course content and methodologically reliable.
- Scoring proceeds independently of the examiner and everyone is subject to the same transparent and comprehensible conditions. The grading scale is determined in such a way that a student's grade is not dependent on the achievements of other students.
- Exam corrections contain information relevant to the individual student's performance. The examination review allows students to use this information for further learning.
- If unethical behaviour in performance assessments or plagiarism is detected, the Rector and the responsible Vice Rector must be informed immediately. Both are considered to be breaches of disciplinary guidelines and will lead to action being taken by the Rector.
- Written performance assessments and protocols of oral performance assessments must be stored in a place that is not accessible to unauthorised persons and must be archived in accordance with legal requirements.

### Teaching evaluation

ETH Zurich maintains and develops the outstanding quality of its teaching through centrally managed quality specifications and evaluation instruments. All departments are regularly subject to peer review, which includes an assessment of teaching quality. Student evaluations comprise an important aspect of this comprehensive teaching assessment system.

## Responsibilities

Lecturers must fulfil their teaching duties and responsibilities in accordance with the relevant formal and legal requirements. As part of their management duties, the responsibilities of the Directors of Studies include the proper implementation of the study regulations.

## Advice for day-to-day business

- Student data: Do not pass on student data to third parties. Do not keep lists of grades on laptops or external storage devices. Do not save documents containing names or registration numbers of students (e.g. lists of exercises) online without password protection. Please use the storage provided in the teaching-related IT applications for this.
- Admissions: Do not give anyone assurances that they will be admitted to a course of studies 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).
- Examination sheets: At the end of written examination please ensure that all students submit all examination sheets in an orderly fashion and that the submission and receipt of these documents are checked. Students can no longer submit examination sheets once they have left the room.
- Announcement of grades: Informal announcements of grades, e.g. directly after an oral examination, are not permitted. Grades are always issued and notified to the students by the department/the Study Administration Office.

## Contact

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

<https://www.ethz.ch/en/die-eth-zuerich/organisation/schulleitung/rektor.html> →

## Further information

Guidelines for lecturers

<https://www.ethz.ch/services/en/teaching/guidelines-lecturers.html> →

Quality criteria for teaching

<https://www.ethz.ch/en/the-eth-zurich/organisation/departments/educational-development-and-technology.html> →

## Legal basis

Ordinance on Course Units and Performance Assessments at ETH Zurich

[www.admin.ch/opc/de/classified-compilation/20121393/index.html](http://www.admin.ch/opc/de/classified-compilation/20121393/index.html) →

Implementation regulations on the ETH Zurich Ordinance on Performance Assessments

<https://www.ethz.ch/content/dam/ethz/common/docs/weisungssammlung/files-en/implementation-stipulations-vlk.pdf> →

Ordinance on Admission to Studying at ETH Zurich

<http://www.admin.ch/opc/de/classified-compilation/20110578/index.html> →

ETH Zurich Disciplinary Code

<http://www.admin.ch/opc/de/classified-compilation/20042642/index.html> →

Directive on working scientifically and the declaration of originality

<https://www.ethz.ch/en/studies/legal-principles-degrees/legal-basis/directives.html> →

Directive on viewing and transferring performance assessment records

<https://www.ethz.ch/en/studies/legal-principles-degrees/legal-basis/directives.html> →

Directive on teaching evaluation by students at ETH Zurich

<https://www.ethz.ch/en/studies/legal-principles-degrees/legal-basis/directives.html> →

# Employment, leadership and supervision

## Basic principles

Employment at ETH Zurich is governed by federal personnel law and is considered public employment. Employment at ETH Zurich is only possible under **a written employment contract** signed by the designated Human Resources representative and the employee. Any extension, change or termination of the contract must be made in writing in order to be valid and will only be implemented by a Human Resources representative and the employee. Human Resources have also been assigned responsibility by the Executive Board for implementing the university's salary policy.

In principle, the contract is permanent unless a termination date is explicitly specified, for instance in the case of projects. Temporary contracts may be issued more than once for:

- Assistant professors for a **maximum period of eight years**.
- Assistants, senior assistants and other employees with a similar function for a **maximum period of six years**. In the event of an assistant role becoming a senior assistant role, the years as an assistant will not be counted.
- Employees in teaching and research projects and persons in other projects who are financed by third party resources for a **maximum period of nine years**.
- Other employees (i.e. technical or administrative staff) for a **maximum period of five years**.

Temporary contracts end without the need for termination when the length specified in the contract has been completed. The maximum length of limited employment as defined by the law must not be exceeded.

Career development meetings are to be held by managers with their employees at an early stage.

Applications for temporary and permanent employment contracts and extensions are to be sent to the designated Human Resources manager via HR Workflow. Consideration must be given to ETH Zurich's Financial Regulations and Organisation Ordinance.

### **Specificities of assistant professorships**

Assistant professors are appointed for four years pursuant to the Guidelines for the Assistant Professor System at ETH Zurich. A one-off extension of a further maximum of four years is admissible.

### **Specificities of scientific staff**

A temporary contract can only be changed to a permanent contract by the Executive Board at the request of the department. There is no right to a permanent contract.

### **Specificities of doctoral students**

The duties and remuneration of scientific staff are regulated in the Ordinance Governing Scientific Employees. Supervisors are required to make their best efforts to enable junior scientists to develop into independent researchers. In the case of a difference of opinion or conflict, the arbitration process specified in the Ordinance on Doctoral Studies is to be observed.

### **Specificities of technical and administrative staff**

Exceeding the maximum length of temporary employment automatically leads to a permanent contract. ETH Zurich observes the employment law-based principle that temporary employment contracts may not be used as a way of circumventing the employee's protection against unlawful dismissal. It therefore follows the policy of employing technical and administrative staff who perform permanent tasks in the central administration and academic departments on a permanent basis.

### **Specificities of foreign citizens**

To employ foreign citizens, a permit may have to be obtained from the cantonal immigration and labour market authorities, depending on the person's nationality.

## Principles of leadership and conduct

ETH Zurich follows a progressive, fair employment policy. Its leadership principles demonstrate its commitment to a leadership culture that is open and based on dialogue.

### Leadership principles

- Be conscious of the responsibilities of your leadership role
- Lead by objectives and focus on development
- Communicate openly and clearly
- Actively support personal development
- Promote team spirit
- Enable change

ETH Zurich places central importance on treating others with respect. It does not tolerate any form of sexual harassment, discrimination, threats or any other inappropriate conduct. The Respect Code of Conduct serves as a guideline for all ETH members.

When conflicts or problems occur, staff may seek advice from Human Resources and the ombudspersons of ETH Zurich.

### Outside activities

In accordance with the Personnel Ordinance for the ETH Domain, performing outside activities requires permission when:

- conflict with the interests of ETH Zurich or interference with the fulfilment of duties may arise.
- the reputation of ETH Zurich could be endangered.
- the employee requires the use of ETH Zurich infrastructure.
- the employee wishes to join a board of directors.

Rules governing outside activities conducted by professors are listed in guidelines set by the Executive Board.

### Employing relatives and partners

Employees and professors who are married to each other or who live in a partnership are to be employed in such a way

that neither is an immediate manager or employee of the other. The same applies to first- and second-degree blood relatives and first-degree relatives by marriage.

In addition to following the leadership principles above, professors have a special responsibility in supervising young scientists.

### Duties of a supervisor of a doctoral thesis:

Supervisors are responsible for doctoral students. They ensure that the doctoral candidate submits the research plan to them on time, and then submits the research plan to the Doctoral Committee for approval within 12 months of the provisional admission of the candidate (Art. 11 Ordinance on Doctoral Studies). If necessary, they also appoint one or more supervisors for the candidate and apply to the Doctoral Committee for a co-examiner, notifying the Rector accordingly. This must be done no later than three years after the provisional admission. They ensure that doctoral candidates provide them with a written report on the progress of their doctoral thesis each year, and comment on this immediately in writing (Art. 15 Ordinance on Doctoral Studies).

The supervisor is a member of the examination board that carries out the doctoral examination. This must take place no later than six years after the provisional admission (Art. 26 and 27 Ordinance on Doctoral Studies).

### Rights and duties of doctoral students:

Doctoral students draw up a research plan, detailing the objectives and methods of the doctoral thesis as well as the duties of the doctoral candidate. The research plan is presented to the supervisor and, if possible, to a co-examiner. The supervisor of the doctoral thesis must submit the research plan to the Doctoral Committee no later than 12 months after the provisional admission (Art. 11 Ordinance on Doctoral Studies). At the request of the supervisor or on their own initiative, doctoral candidates submit an annual written report to the supervisor on the progress of their

work. Supervisors then immediately give their opinion on this in writing (Art. 15 of the Doctoral Ordinance).

Doctoral students have the right and the duty to further their education during their doctorate. Doctoral studies are carried out either as part of an individual programme or as part of a doctoral programme. The doctoral students compile the schedule for their individual doctoral studies in consultation with the supervisor (Art. 22 and 23 of the Ordinance on Doctoral Studies).

The student is employed as an “assistant” for a limited period in accordance with Art. 17b of the ETH Act and Art. 9 of the Ordinance Governing Scientific Employees of ETH Zurich. The employment contracts may be renewed for a limited period in accordance with statutory regulations.

The salary terms are laid out in Art. 8 and Appendix 2 of the Ordinance Governing Scientific Employees of ETH.

The duties of doctoral candidates are set out in Art. 10 para. 1: The doctoral candidates work on the dissertation and underlying research project and for their doctoral studies for at least 70 percent of their working time. They perform tasks in teaching and general services; the departments regulate the scope of these tasks.

In the event of serious differences of opinion between the supervisor and the doctoral candidate, the head of the department concerned or a person designated by them shall seek mediation. If necessary, the Vice Rector assumes the role of mediator. If mediation efforts are unsuccessful, the doctoral Conciliation Committee is called upon to provide the necessary support (Art. 17 Ordinance on Doctoral Studies).

To answer questions on correct management and supervision behaviour, doctoral students and thesis supervisors have contact persons in the departments (directors of studies, heads of departments); the Vice Rector for Doctoral Studies and the Rector also offer assistance to professors. If questions of integrity in research and good scientific practice arise, in particular with regard to authorship or the handling of primary data, a trusted third party should be consulted.

## Responsibilities

The diligent recruitment of scientific and technical and administrative personnel, the supervision and support of junior scientists as independent researchers, the disclosure of possible conflicts of interest, and the performance of

the function of supervisor in compliance with ETH Zurich’s leadership principles all fall within a professor’s remit. Professors must follow the provisions of personnel law and the Respect Code of Conduct, and ensure that all regulations relating to the research area of the professorship (e.g. occupational and laboratory safety, integrity guidelines, animal welfare, human research) are observed.

## Contact

You will find a designated contact person from Human Resources at <https://www.ethz.ch/en/the-eth-zurich/organisation/departments/human-resources.html> →

Office of Equal Opportunities  
<http://www.equal.ethz.ch> →

## Further information

Human Resources homepage  
<https://www.ethz.ch/en/the-eth-zurich/organisation/departments/human-resources.html> →

Further education opportunities offered by Human Resources  
<https://ethz.ch/services/en/employment-and-work/leadership-and-development/entwicklung/angebot-der-personalentwicklung.html> →

Information on respectful conduct at ETH Zurich  
[www.respect.ethz.ch](http://www.respect.ethz.ch) →

## Legal basis

ETH Act  
[SR 414.110](#) →

Federal Personnel Act  
[SR 172.220.1](#) →

Personnel Ordinance for the ETH Domain (PVO-ETH)  
[RSETHZ 121.11](#) →

Ordinance on doctoral studies at ETH Zurich  
[SR 414.133.1](#) →

Ordinance Governing Scientific Employees at ETH Zurich  
[RSETHZ 516.1](#) →

ETH Professorial Ordinance

[RSETHZ 501](#) →

Directives concerning Sabbaticals for  
Professors of ETH Zurich

[RSETHZ 510.10](#) →

Guidelines for ETH Zurich employees on reporting  
suspected malpractice ("Whistleblowing Guidelines")

[RSETHZ 130.1](#) →

Guidelines concerning Outside Activities of ETH Zurich  
Professors

[RSETHZ 501.2](#) →

Guidelines for the Assistant Professor System  
at ETH Zurich as issued by the President

[RSETHZ 510.20](#) →

Guidelines for the employment of spouses, partners and  
relatives at ETH Zurich

[RSETHZ 121.14](#) →

Regulations on the reporting by ETH Zurich members of  
inappropriate behaviour

[RSETHZ 615](#) →

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## Advice for day-to-day business

- Hold an appraisal based on ETH Zurich principles with each employee at least once a year. Set your staff clear objectives and discuss the professional development.
- Follow best practice advice when supervising thesis work: selection tools, individual meetings, progress reports and scientific communication.
- Make use of the wide range of further education opportunities that are regularly offered by Human Resources. Enable your staff to make use of these offers too.
- In the event of any conflict with staff, contact Human Resources at an early stage.
- For future staff from non-EU states: Be aware that entry into the country and employment require valid official documents. Academic guests are to be notified to the Rectorate and Human Resources.
- When applicants are equally qualified for a position, please apply the ETH Zurich Gender Policy.
- Avoid conflict of interests between ETH Zurich and your private interests.
- You and your staff are only allowed to accept gifts that are considered standard in Switzerland. Gifts and invitations must not affect your independence, objectivity and freedom of action.

# Finance

## 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 graded 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). Those responsible for the budget 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 comprehensive 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.

#### **In the administrative department:**

The budget officer responsible for the transaction signs together with the department head. If the budget officer is the same person as the department head, the second signature is made 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 with the deputy department head.

#### **In the administrative department:**

The budget officer must sign jointly with a divisional representative.

### **Transactions in excess of CHF 500,000:**

It 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.

## Contact

You will find the client advisor of the Accounting department responsible for your area at

[https://www.ethz.ch/services/de/finanzen-und-controlling/finanzelemente/FinanceDesk\\_Kundenberater.html](https://www.ethz.ch/services/de/finanzen-und-controlling/finanzelemente/FinanceDesk_Kundenberater.html) →

## Further information

Website of Finance and Controlling

[www.fc.ethz.ch](http://www.fc.ethz.ch) →

Access to the ETH information and support portal ETHIS

<http://ethis.ethz.ch> →

## Legal basis

The Financial Regulations stipulate duties, competencies and responsibilities (financial governance)

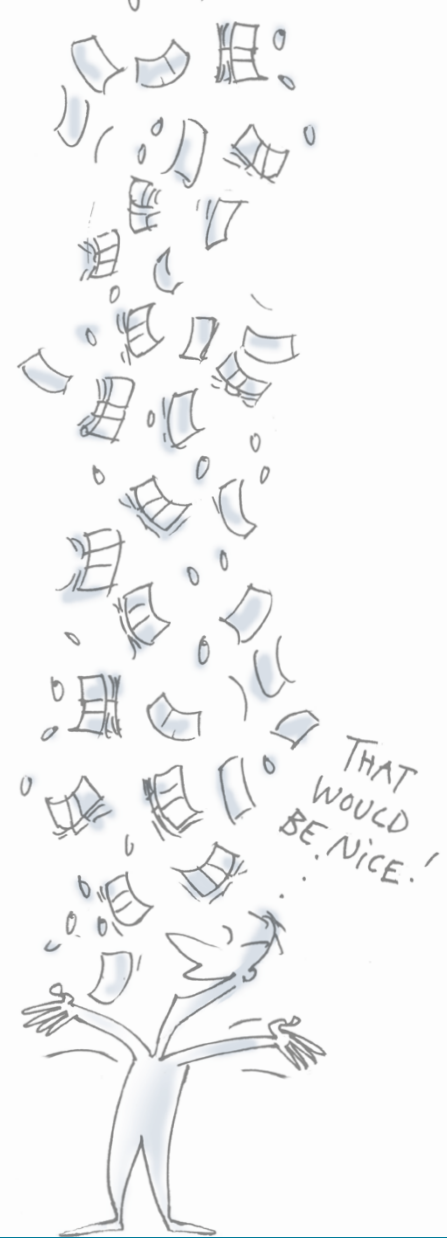
[RSETHZ 245](#) →

The handling of expenses is governed by the Regulations Concerning Business Expenses

[RSETHZ 245.3](#) →

A dedicated ETH Zurich Code of Conduct deals with handling donations

[RSETHZ 245.9](#) →



## Advice for day-to-day business

- 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 handling the financial reporting for EU, SNSF and Innosuisse projects.

# Export control



## 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 regulate 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 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**. 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 come into force.

### 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 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, brokerage 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. **TO WHERE** are the goods to be exported? Final destination country of the export
4. **WHO** is to receive the goods? Final consumer and whether an embargo country is involved.
5. **FOR WHAT** will the goods be used? 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 providing of a service take place.

### Exemptions

Basic scientific research, information on patent applications and research results 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 homepage**.

## Responsibilities

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

## Contact

Silvia Nast  
Export Control Officer of ETH Zurich  
Financial Services  
Phone 044 632 49 02  
exportkontrolle@fc.ethz.ch

## Further information

Information and legal basis for export controls  
<https://www.ethz.ch/services/en/finance-and-controlling/riskmgmt/exportkontrolle.html> →

## Legal basis

Goods Control Act  
[SR 946.202](#) →

Goods Control Ordinance  
contains lists of dual-use goods  
[SR 946.202.1](#) →

## Advice for day-to-day business

- Purchasing: When purchasing, 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 (which are not published but exchanged) in order to determine whether an export licence is required from the State Secretariat for Economic Affairs SECO.
- Exports of equipment: Make sure for (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 in relation 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 contents relevant 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 these.

# Procurement

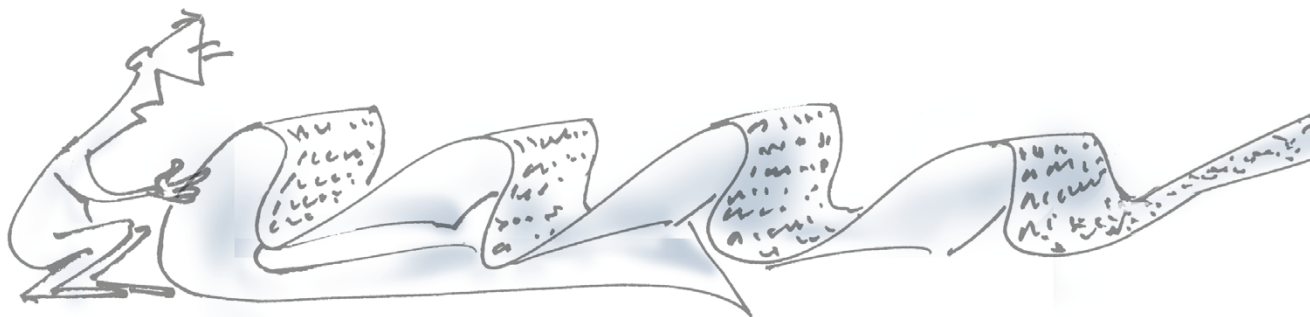
## Basic principles

ETH Zurich's procurement policy defines the principles, guidelines and requirements to be observed by both internal procurement personnel and suppliers. In accordance with this policy, procurement must be needs-based, sustainable, economic, and coordinated and performed 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 in the procurement process at ETH Zurich are defined in the Financial Regulations.

The departments Real Estate Management, Facility Services, Engineering and Systems, ETH Library, IT Services as well as Financial Services are considered procurement offices of ETH Zurich. 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. For example, labware, office and laboratory furniture, information and communications technology (ICT), cleaning services, construction services, or also printing, dispatch and postal services can be obtained via internal offices.

If the required goods and services cannot be obtained from internal offices, they 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 from **CHF 150,000** (excl. VAT), an invitation procedure must be carried out in advance in cooperation with the responsible procurement office. For planned procurements from **CHF 230 000** (excl. VAT), the responsible procurement office must be contacted at an early stage so that the type of tendering procedure can be determined.



## Advice for day-to-day business

- Contact the procurement offices at an early stage in the requirements planning/procurement process to benefit from favourable conditions.
- For tendering projects, you should allow at least three months from the creation of the specifications to the dispatch of 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 can ensure compliance with spending authority provisions, archiving of the purchase documents and correct processing of your order.
- Obtain software products via the IT Shop of IT Services and inform yourself before the procurement / use of software on the applicable terms of use.
- Please remember that only the Portfolio Management section of the Real Estate Management department is authorised to conclude rental agreements for space.
- Purchases resulting 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 (subject to approval from the procurement office in charge) directly from the industrial partner.



## Rules of recusal in procurement procedures

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

### **When am I obliged to recuse myself and not participate in the procurement procedure?**

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

A conflict of interest, and thus a partiality, exists if a person participating on the side of ETH Zurich

- has a personal interest in the assignment;
- has special connections with the tenderer or a member of one of its executive bodies;  
These include, for example, current or past close (personal) business relationships (e.g. customer relationship, strategic partnership, form of participation, employment/contract relationship, outside activity), spin-off relationship, marriage, registered partnership or consensual union, kinship or affinity, an economically dependent relationship or another 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 these cases, the person concerned is obliged to recuse him- or herself, because otherwise the award decision is tainted with a formal error and can be set aside by the court.**

To recuse oneself means not to participate in the procurement procedure, neither in the specification of requirements, nor in the evaluation of the offers, nor in the award decision. The responsible superior 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 this is documented. Furthermore, he 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 Financial Regulations of the ETH Zurich (hereinafter “FR”) are complied with and that the 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.

### **Further duties of care and loyalty in the procurement procedure**

Participants in ETH procurement procedures must also 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. In a procurement procedure, 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 whatsoever to unauthorized third parties and should not be removed from the designated premises.
- In addition, contact with potential tenderers concerning the procurement in question that could jeopardize equal treatment of the tenderers is prohibited.
- All gifts, invitations or minor and socially customary advantages before and during the procurement procedure from potential or effective tenderers must be rejected.

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

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

The following measures are intended to sensitize all participants in procurement procedures to the issue of conflicting vested interests in procurement:

- For procurement projects of CHF 150,000 or more (excl. Real Estate Management process), the responsible procurement office requires the budget officer and the other contributors (internal and external) to sign a project-related declaration of impartiality. Different project-related impartiality declaration forms are used for internal and external contributors.

- Employees involved in procurements (excl. budget officers) of the procurement offices within the meaning of Art. 127 FR and of the shops within the meaning of Art. 130a FR sign a declaration of impartiality for the duration of their employment. The procurement office/shop is responsible for requesting the declarations of impartiality. Associated with this is the task of regularly checking whether other employees need to sign a declaration of impartiality.
- 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 implement them in their area of responsibility.
- When recording outside activities, it is pointed out in the corresponding ETHIS workflow and, if applicable, in the Executive Board notification (approval) that in the case of planned procurements where the company/company group at which the outside activity is exercised comes into question as a tenderer, the person with the outside activity must recuse him- or herself.

The basis for the rules and processes listed here are the legal provisions listed under Legal basis and the following articles of the Financial Regulations:

- Article 22(e);      - Article 29(1)(h);
- Article 24(9)(c);   - Article 130(3bis)
- Article 28(1)(i);

## Responsibilities

The budget officers of ETH Zurich know the basic rules on procurement as well as the rules of recusal and processes to avoid the participation of persons with conflicting vested interests in procurement procedures and implement them in their area of responsibility.

## Contact

Tobias Thanscheidt  
 Finance and Controlling  
 Financial Services Department, Purchasing Coordination  
 Phone 044 632 75 36  
 tobias.thanscheidt@fc.ethz.ch

Other procurement offices responsible for goods and services

<https://ethz.ch/services/en/finance-and-controlling/procurement.html> →

## Further information

Procurement policy and procurement at ETH Zurich  
<https://www.ethz.ch/services/en/finance-and-controlling/procurement.html> →

IT Shop (software)

<https://itshop.ethz.ch/EndUser/Items/Home> →

## Legal basis

Financial Regulations of ETH Zurich, Chapter 12 para.1, Procurement of Goods and Services

[RSETHZ 245](#) →

Federal Act on Public Procurement Services

[SR 172.056.1](#) →

Ordinance on Public Procurement Services

[SR 172.056.11](#) →

General Terms and Conditions for the Procurement of Goods and Services

[RSETHZ 131, 131.1](#) →

General Terms and Conditions for the Procurement of IT Goods and Services

[RSETHZ 223.1, 223.2, 223.3 and 223.4](#) →

ETH Domain Personnel Ordinance

[SR 172.220.113](#) →



# Business expenses

## Basic principles

Business expenses are to be limited to essentials. In keeping with the culture of the university, ETH Zurich expects its members to exercise restraint when it comes to expenses incurred fulfilling hosting duties or booking and going on business trips.

All expense applications submitted by ETH staff must comply with current directives. Information gaps, misconduct or inaccuracies in applications can cause reputational damage and lead to excessive work in the central administrative units.

For sabbaticals of professors, only the cost of the researcher's own travel to and from the place of research plus expenses incurred for business duties will be refunded. Other expenses (meals, rental or private car, public transport, hosting expenses and travel and lodging costs for family members) will not be covered by ETH funds. The President may, on request, approve funding for expenses incurred for accommodation.

## Responsibilities

Budget officers are required to ensure that their staff are not only aware of the Financial Regulations of ETH Zurich and the Regulations concerning Business Expenses but also that compliance is enforced.

## Contact

Hans-Peter Weder  
Finance and Controlling  
Financial Services  
Phone 044 632 20 91  
hans-peter.weder@fc.ethz.ch

Sabbaticals for professors in general:  
Tanja Gsell  
Office for Faculty Affairs  
Phone 044 632 55 16  
tanja.gsell@sl.ethz.ch

## Further information

Information on travel and business expenses  
<https://www.ethz.ch/services/en/finance-and-controlling/travel.html> →





## Legal basis

Financial Regulations of ETH Zurich, Section 8  
[RSETHZ 245](#) →

ETH Zurich Regulations concerning Business Expenses  
[RSETHZ 245.3](#) →

Directives concerning Sabbaticals for Professors  
of ETH Zurich  
[RSETHZ 510.10](#) →

### Advice for day-to-day business

- **Hosting and entertainment, drinks receptions, internal events:** Always indicate the purpose of the event and the number of participants. Take advantage of the house caterer's offers.
- **Seminar trips, excursions and business travel by car:** Use the special rates from ETH's partners for car rental.
- **Rail travel:** Use the SBB Ticket Shop Business (order and print tickets), your Corporate Credit Card and discounts from the Half-Fare or GA travelcard.
- **Congresses, hotels for guests:** Consider ETH Zurich's contract hotels and use the rooms for seminars and congresses (including Villa Hatt and Congressi Stefano Franscini).
- **Air travel:** Book Economy Class on European flights. Even for long-haul flights, Business Class should only be booked in exceptional cases. Use the ETH special rates available and pay for services with your AirPlus Account. Consider alternatives to flying and make use of video conferencing.
- **Continuing education:** Encourage your administrative staff to attend courses and training sessions offered by administrative departments of the Vice President for Finance and Controlling.
- **Controlling:** Be sure that applications for expense refunds are duly authorised, correctly filled in and submitted with all necessary supporting documentation. Double check applications for the reimbursements of business expenses and make sure that they have not been paid with the Corporate Credit Card. As budget officer, draw up an overview of the business expenses and official trips on a yearly basis.
- Please note the following recommendations for maximum cost per person at business lunches:  
purely internal working lunches: CHF 45 per person;  
business lunches with external guests: CHF 100 per person;  
business lunches with special guests (with justification): CHF 120 per person.
- Internal Christmas dinner: CHF 120 per person/year;  
wine: CHF 60 per 7dl bottle;  
spirits and tobacco products cannot be billed through ETH.

# Safety, security, health and environment

## 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 that new findings on responsible approaches to risk are applied.

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 environmental officer. Additional officer functions (fire safety officer, hazardous goods officer, etc.) are assigned to various specialists in the SSHE team. The head of SSHE has the authority to ban entry 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 head of department is the contact person 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.

## Contact

Katherine Timmel  
Head of SSHE  
Phone 044 632 21 69  
katherine-timmel@ethz.ch

## Further information

SSHE website  
[www.sicherheit.ethz.ch](http://www.sicherheit.ethz.ch) →

Information on training and continuing education in SSHE  
<https://ethz.ch/services/en/service/safety-security-health-environment/training-and-continuing-education.html> →

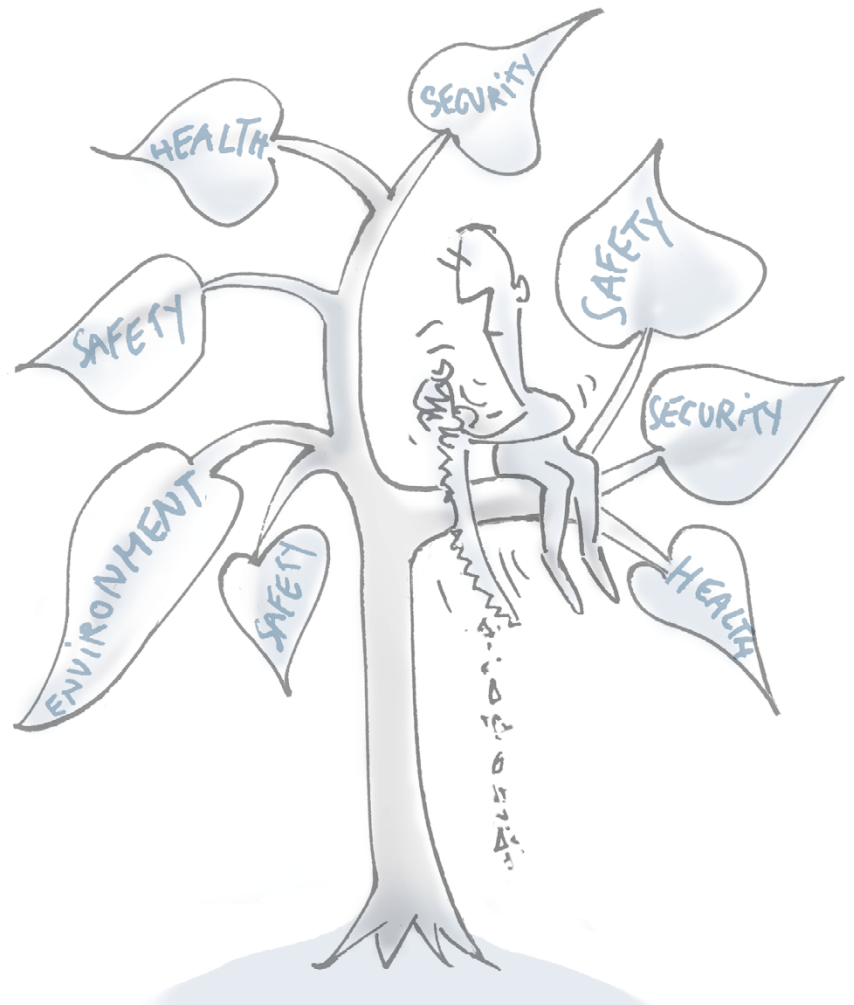
## Legal basis

ETH Zurich Organisation Ordinance  
[RSETHZ 201.021](#) →

Rules of Procedure of the Executive Board of  
ETH Zurich  
[RSETHZ 202.3](#) →

ETH Professorial Ordinance  
[RSETHZ 501](#) →

ETH Zurich Web Policy  
[RSETHZ 203.22](#) →



## Advice for day-to-day business

- 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 a safety and security delegate in your group (download specification document: [www.sicherheit.ethz.ch](http://www.sicherheit.ethz.ch) → Safety and Security → Occupational safety). 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.
- Consult SSHE for advice if necessary.

# IT security and data protection



## Basic principles

ETH Zurich handles information and data collected from research, teaching and management in such a way that availability, confidentiality and integrity is always guaranteed in line with requirements.

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,
- The general data protection regulations as well as the Guidelines on the Protection and Handling of Personnel Data at ETH Zurich.

## 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. The data protection officer is responsible for the coordination of the area of data protection.

## Contact

CISO  
Domenico Salvati  
General Secretariat/Legal Office  
Phone 044 632 59 11  
[domenico.salvati@sl.ethz.ch](mailto:domenico.salvati@sl.ethz.ch)

Data protection officer  
Tomislav Mitar  
Legal Office  
Phone 044 632 21 21  
[tomislav.mitar@sl.ethz.ch](mailto:tomislav.mitar@sl.ethz.ch)

## Further information

Information & IT security in Everyday Life  
<https://ethz.ch/training-it-security> →

Data protection  
<https://ethz.ch/services/en/service/legal-matters/dataprotection.html> →

## Legal basis

ETH Zurich Acceptable Use Policy for Information and Communications Technology (BOT)  
[RSETHZ 203.21](#) →

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)  
[SR 152.3](#) →

Federal Act and Ordinance on Data Protection (FADP)  
[SR 235.1](#) and [SR 235.11](#) →

Ordinance on the Protection of Federal Information (IPO)  
[SR 510.411](#) →

Government and Administration Organisation Act, Art. 57l  
[SR 172.010](#) →

Ordinance on the processing of personal data collected through the use of the electronic infrastructure of the Federal Government  
[SR 172.010.442](#) →

Guidelines on the Protection and Handling of Personnel Data at ETH Zurich (German only)  
[RSETHZ 612](#) →

Guidelines for Research Integrity and Good Scientific Practice at ETH Zurich  
[RSETHZ 414](#) →

## Advice for day-to-day business

- **Advice on cyber attacks and cyber fraud:** If you suspect e.g. e.g. phishing, viruses, cyber fraud, 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 sender 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 will help).
- **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 ETH Zurich polybox. For further information see the IT Guidelines and IT Baseline Protection Rules of ETH Zurich.
- **Data on mobile devices:** Smart phones, 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 the data regularly and 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 programme** on your systems.
- **Clear desk, clear screen:** Protect your data from unauthorised access by activating the screen lock when you leave the workstation. Use lockable cabinets to store confidential documents.
- **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 encrypted, e.g. in a password manager.
- **Protect personal data:** Use anonymized or pseudonymized data sets for research. Ensure that data subjects have given their informed consent. Do not process more data than necessary and plan for data storage and deletion. Do not share data carelessly. Take technical and organizational measures to protect your data. Consider data protection measures as part of your quality assurance.

# Communications

## Basic principles

As a federal university with basic financing provided by federal funds, ETH Zurich is particularly dependent on the trust and approval of society and the political arena. It is therefore essential that ETH Zurich communications are credible, understandable and transparent.

The Corporate Communications department (CC) is responsible for the university's internal and external communication at ETH Zurich, which in turn serves to strengthen and safeguard the reputation of the university. Corporate Communications issues information to the public, the media and the political and business worlds on the services, concerns and values of the university and ensures that ETH Zurich's corporate identity is professional and consistent.

Members of ETH Zurich who communicate to the public act in the name of the university and in doing so contribute to shaping its image. All ETH employees are obliged to maintain professional and official secrecy. They are permitted to convey only the extent of information about ETH that is already public knowledge. ETH is required to report any breaches of official secrecy by its employees to the prosecution authorities.

Communicating topics and issues that could endanger the reputation of ETH Zurich is the responsibility of the Executive Board and not of the professorships, academic departments or administrative units. Such issues must be reported to

the Executive Board so that Corporate Communications can provide communications support if necessary.

## Responsibilities

Members of the academic as well as administrative departments must coordinate with Corporate Communications at an early stage when planning extensive communication activities.

## Contact

Corporate Communications  
Phone 044 632 98 92  
kommunikationsberatung@hk.ethz.ch

## Further information

Corporate Communications website  
<https://www.ethz.ch/en/the-eth-zurich/organisation/departments/corporate-communications.html> →



## 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](#) →



## Advice for day-to-day business

- Before you set up a social media presence, please read the ETH Zurich Social Media Guidelines. Be aware that you are always perceived as a representative of ETH Zurich, so be open about your identity and your relationship with ETH Zurich, especially when commenting in your professional capacity. If you have any questions about your social media presence, please consult the social media experts in the Corporate Communications department.
- Only make public statements in the name of ETH Zurich on the basis of your function, competence and expertise.
- Please contact our Media Relations team in advance if you would like to approach the media.
- If you are contacted directly by journalists:
  - First, ascertain the type of media and context of the request. Do not make any spontaneous statements on the telephone. You are not obliged to provide information immediately.
  - Consider whether you can and want to reply to the request.
  - Arrange an appointment for a return call.
  - Inform the Media Relations team, who will be happy to advise you.
  - You have the right to your own words and to your own image. Always ask journalists to present interviews, quotations and pictures for approval before publication.
- Take advantage of the easy-to-use digital templates in ETH Zurich's corporate design (CD). The consistent use of the CD ensures recognisability and continuity in all internal and external communication and strengthens ETH Zurich as a brand.



# Technology transfer / Research contracts

## Basic principles

ETH Zurich encourages collaboration with third parties and is interested in enabling direct exchange with industry and thereby facilitating the transfer of research results into practice.

ETH transfer 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, applying for patents and founding an ETH spin-off company.

### 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 written approval in advance of the Vice President for Research and Corporate Relations (VPRC).** 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 agreeing a contract, it must be ensured that ETH Zurich's liability is 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 secured by 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 VPRC.

The use of ETH Zurich infrastructure by third parties (including spin-off companies) 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 VPRC.





## Contact

ETH transfer  
Phone 044 632 23 82  
transfer@sl.ethz.ch

## Further information

ETH transfer website  
<https://ethz.ch/en/industry/transfer.html> →

## Legal basis

Ordinance issued by the ETH Board concerning Intellectual Property for the ETH Domain and Investments in Companies (IGBV)  
[SR 414.172](#) →

Guidelines issued by the ETH Board concerning stakes in companies in the ETH Domain and Investments in Companies  
[RSETHZ 440](#) →

Guidelines Concerning Contracts in the Field of Research at ETH Zurich (Research Contract Guidelines)  
[RSETHZ 440.31](#) →

Guidelines for the Financial Exploitation of Research Results at ETH Zurich  
[RSETHZ 440.4](#) →

Guidelines for the Creation of Spin-off Companies at ETH Zurich (Spin-off Guidelines)  
[RSETHZ 440.5](#) →

## Advice for day-to-day business

- 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, the application of research results, and the founding of spin-off companies must be addressed to ETH transfer at an early stage.

# Human subject research

## Basic principles

Projects that involve research on and with humans or the handling of personal data are regulated by law. Such projects must be evaluated by an ethics committee and may only be initiated once they have been approved by this committee. Responsibility is determined by the content.

Projects are evaluated by the Cantonal Ethics Commission if they meet all of the following criteria:

- involve research on diseases, structure and function of the human body;
- use persons (living or deceased), embryos, fetuses, biological material derived from living persons or deploy health-related personal data;
- are carried out in Switzerland;

All other research projects are evaluated by the ETH Zurich Ethics Commission.

- Exceptions for which no evaluation is required are studies using anonymised biological material, anonymously collected or anonymised health-related data, and anonymised personal data.
- The objective of the ethical evaluation is to comply with legal requirements and to protect the physical and mental integrity of the person concerned. This means informing them appropriately about the purpose of the research project and obtaining their consent to participation or use of their data or materials.
- The secretary of the ETH Zurich Ethics Commission advises on initial applications and complex cases.

## Responsibilities

Project leaders are responsible for compliance with the relevant laws and internal regulations.

## Contact

Raffael Iturrizaga  
Office of Research  
Phone 044 632 23 54  
raffael.iturrizaga@sl.ethz.ch

## Further information

Human subject research at ETH Zurich  
<https://www.ethz.ch/en/research/ethics-and-animal-welfare/research-ethics.html> →

Website of the Cantonal Ethics Commission  
[www.kek.zh.ch/](http://www.kek.zh.ch/) →

Website of the Ethics Commission of ETH Zurich  
<https://www.ethz.ch/en/the-eth-zurich/organisation/boards-university-groups-commissions/ethics-commission.html> →

## Legal basis

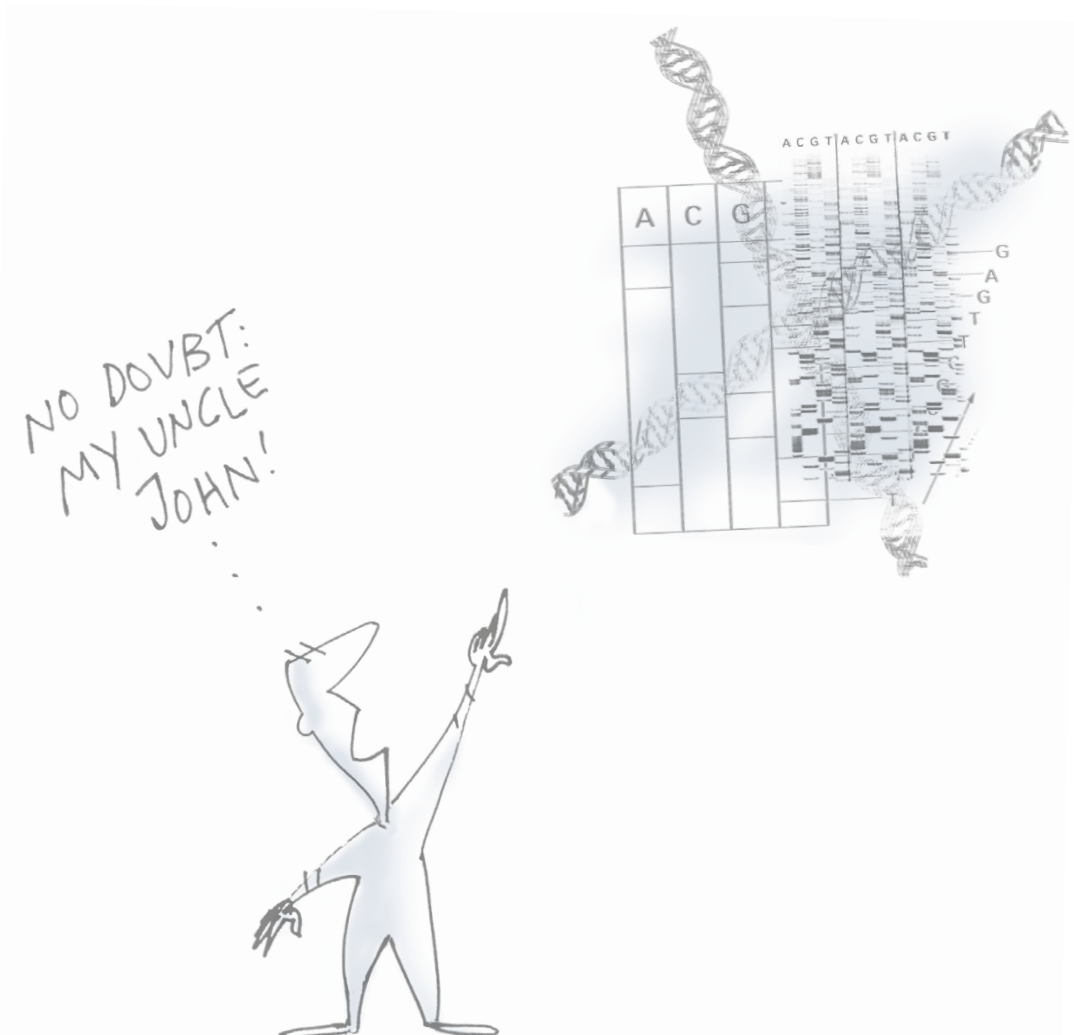
Federal Act on Research Involving Human Beings (HRA)  
[SR 810.30](#) →

Federal Act on Data Protection (FADP)  
[SR 235.1](#) →

Ordinance on Clinical Trials in Human Research (ClinO)  
[SR 810.305](#) →

Ordinance on Research on Human Subjects with the Exception of Clinical Trials (HRO)  
[SR 810.301](#) →

Statutes of the ETH Zurich Ethics Commission  
[RSETHZ 413](#) →



## Advice for day-to-day business

- If in doubt about your ethics application, in particular when submitting an application for the first time, please contact the secretary of the ETH Ethics Commission first. This helps to avoid rejections, unnecessary applications, and additional review work after submission.
- Please remember you may not start your project until you have received approval from the Ethics Commission, so make sure you allow enough time in your research plan for the ethics application to be submitted (processing time is, on average, five to six weeks).
- If you order biological materials or person-related data from commercial suppliers, these must have been collected in compliance with statutory regulations under Swiss law and ETH Zurich's current guidelines. If the supplier is based abroad, a contract must be drawn up to ensure that local laws ensure compliance with these regulations. If this is not guaranteed, adherence to these regulations must be contractually sealed. In some countries, it can be assumed that local laws concur with Swiss law.

# Animal experimentation

## Basic principles

Responsible and proper handling of animals is a tenet of ethical conduct at ETH and a prerequisite for obtaining meaningful results in animal research. The ETH Zurich Executive Board is committed to promoting and enforcing compliance with current Swiss laws in its research groups. To this end, it has issued the "ETH Zurich Policy on Experimental Animal Research".

The Swiss Federal Animal Welfare Act specifies what is deemed to be an animal experiment. This includes tests on living animals to investigate, for example, a scientific hypothesis, the results of a certain measure on an animal or the effect of a substance. Teaching and training involving animals and 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 provide specifications on how genetically modified experimental animals may be kept.

Persons conducting or leading animal experiments must have completed compulsory initial training and regularly attend continuing education courses (four days per four years). Persons conducting experiments can only work autonomously with laboratory animals when they have completed an introduction course in laboratory animal science or a similar course abroad and are approved by the cantonal veterinary office.

If you are planning a research experiment with animals, you will require a valid experiment permit. This can be obtained by submitting an application to the cantonal veterinary office via the electronic animal experiment administration system "e-tierversuche". The application must describe in detail the experiment's aims, the experimental procedure and, if applicable, any stress to which the animal will be subjected.

For ethical purposes, the application must weigh up the anticipated gain in knowledge against the assumed stress to the animal.

After completing the experiment or at the end of the calendar year, the permit owner is required to report to the cantonal veterinary office all experiments conducted and all animals used via the e-tierversuche web application.

## Responsibilities

Responsibility for implementing animal protection regulations lies with any person who carries out and manages an experiment. Overall responsibility lies with the licence holder.



## Contact

Annamari Alitalo  
Samia Bachmann  
ETH Zurich Animal Welfare Officers  
Phone 044 632 98 12  
tierschutz@ethz.ch

## Further information

Website of the animal welfare group  
<https://ethz.ch/en/research/ethics-and-animal-welfare/animal-experiments.html> →

Information from the Federal Food Safety and Veterinary Office on animal experiments  
<https://ethz.ch/en/research/ethics-and-animal-welfare/animal-experiments.html> →

Information on training and further education opportunities at the Institute of Laboratory Animal Science of the University of Zurich  
<http://www.ltk.uzh.ch/en/teaching-and-training.html> →

## Legal basis

Further information on requirements regarding the use of laboratory animals as specified in the Animal Welfare Act and its associated Ordinance (see "Legislation" for legal texts)  
<https://www.blv.admin.ch/blv/en/home/tiere/tierversuche/forschende.html> →

ETH Zurich Policy on Experimental Animal Research  
[RSETHZ 425](#) →

## Advice for day-to-day business

- The Animal Welfare Officer offers support with applications and using the "e-tiersversuche" web application. A review of the application by ETH animal welfare officers is obligatory.
- Obtaining a permit for animal experiments takes several months, so contact the animal welfare officers in good time.
- The experiment permit is limited to a maximum of three years and may contain restrictions. After the permit has been granted and prior to the start of experiments, there is a 30-day appeal period.
- Any changes which have to be made to the experimental plans must be approved in advance by the cantonal veterinary office.
- Introductory courses in laboratory animal science fill quickly. It is possible to reserve course places even if you do not yet know the name of the participant.

# Data protection in research

## Basic principles

When using personal data in a research project, the owners of the data need to be informed in advance of the aim of the research activity. Those affected must give their consent for the data to be gathered, processed and stored.

Personal data is collected in situations such as the following: surveys; video or photo shoots of persons (e.g. in public places); use of information from person databases (e.g. customer data or member data); analysis of navigation data (GPS devices) or telecommunications data; examinations of human biological material (blood, tissues, organs etc.).

According to data protection laws, data is deemed to be personal data when the information refers to an identified or identifiable person. Anonymous data, however, is a form of data where personal identity cannot be established, not even if individual data is combined with other data (e.g. address and profession). Data protection law does not apply to anonymous data.

If data on third parties is gathered, stored and processed, these persons must also agree to the use of the data. This could be applicable when – in the case of a survey – not only data is gathered on the person in question, but when this person is also asked for information about family members or friends (snowball principle).

## Responsibilities

Project leaders are responsible for communicating all data protection instructions and for ensuring compliance.

## Contact

Raffael Iturrizaga  
Office of Research  
Phone 044 632 23 54  
[raffael.iturrizaga@sl.ethz.ch](mailto:raffael.iturrizaga@sl.ethz.ch)

## Further information

Website of the Federal Data Protection and Information Commissioner

<https://www.edoeb.admin.ch/edoeb/en/home.html> →

## Legal basis

Federal Act on Data Protection (FADP)

[SR 235.1](#) →

Ordinance to the Federal Act on Data Protection (DPO)

[SR 235.11](#) →

### Advice for day-to-day business

- Whenever possible, conduct your research project using anonymous data, as the legal compliance requirements in such cases are less rigid.
- In order to anonymise data, it is not sufficient to delete the name of the person in question. You must also remove other information that could serve to identify a person with reasonable effort (e.g. email address or employee number).

MY RESEARCH DATA ARE SO SECRET THAT SOMETIMES EVEN I DON'T KNOW WHAT I'M DOING!



# ETH Zurich Legal Collection and Classified Compilation of Federal Legislation

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; [www.rechtssammlung.ethz.ch](http://www.rechtssammlung.ethz.ch) →) or in the Classified Compilation of Federal Legislation (SR; [https://www.fedlex.admin.ch/en/cc?news\\_period=last\\_day&news\\_pageNb=1&news\\_order=-desc&news\\_itemsPerPage=10](https://www.fedlex.admin.ch/en/cc?news_period=last_day&news_pageNb=1&news_order=-desc&news_itemsPerPage=10) →). 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 Ordinance: [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.

## Contact

Rita Bose  
Head of Legal Office  
Phone 044 633 81 99  
[rita.bose@sl.ethz.ch](mailto:rita.bose@sl.ethz.ch)



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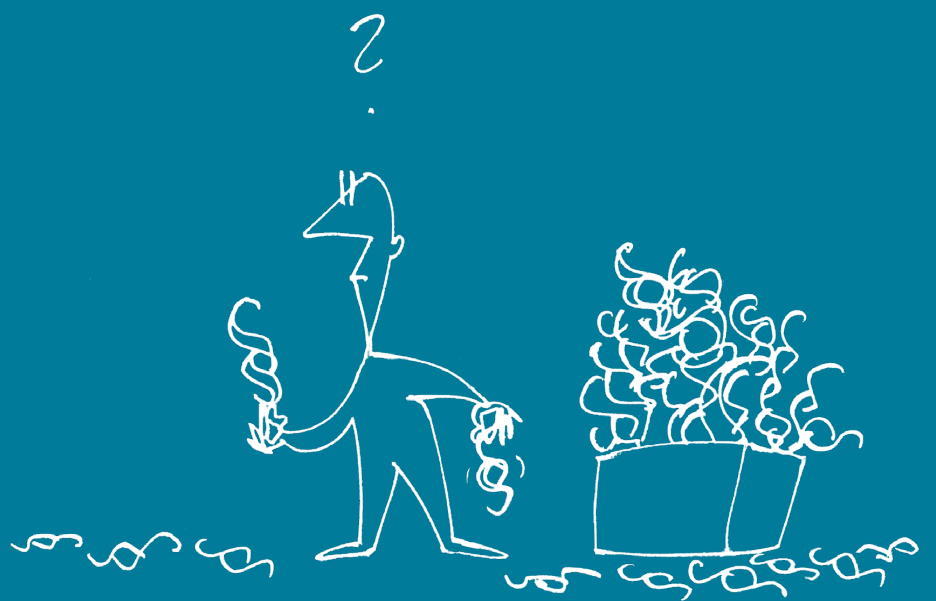
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Publisher	Financial Services Department ETH Zurich
Layout	Bernadette Leus, <a href="http://www.leus.ch">www.leus.ch</a>
Cartoons	Magi Wechsler
Print	Print + Publish ETH Zurich
Translation	Clare Bourne
Proofreading	Anna Focà