

# TUM Research Code of Conduct

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

The University's continued success in instruction, research, and technology transfer is based on high standards of ethics and professionalism in research and commercial relationships. A culture of collaboration shaped by clearly defined principles strengthens the loyalty of highly qualified scientists to their university and fortifies the trust of collaborative research partners in TUM.

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

## 1. Loyalty

Maintain loyalty towards the University and take into account TUM's fundamental values and interests when performing research work. For further information, see [TUM Mission Statement](#).

## 2. Independence

Adhere closely to the rules regarding the combating of corruption [Korruptionsbekämpfungsrichtlinie \(KorruR\)](#) and the Third Party Funding Guidelines of the Free State of Bavaria [Drittmittelrichtlinien des Freistaats Bayern \(DriMIR\)](#), as amended, and uphold the principles of freedom in science and research. Research and commercial collaborations must not conflict with the free use of research results and the associated intellectual property rights for TUM's own scientific purposes and for the project participants' own scientific purposes in research and teaching.

## 3. Competence

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

## 4. Integrity

Act with integrity when applying for and carrying out research projects and when reporting on research results, either in writing or orally, adhering to the Statute of the Technical University of Munich on Safeguarding Good Academic Practice and Procedures in Cases of Academic Misconduct ([TUM-SGwP](#)). Deceptive or misleading conduct violates the principles of academic honor.

## 5. Respect

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

## 6. Criticism

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

## 7. Confidentiality

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

## **8. Conflicts of Interest**

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

## **9. Contractual Agreements**

Do not independently draw up contractual agreements with research and cooperation partners unless they have been granted authority to sign. Contractual agreements with third parties always relate to the University as a whole; as a public body and state entity, TUM is represented externally by its President; authority to act may be granted solely by the President.

## **10. Calculation of Project-Related Costs**

Operate according to the principles of commercial activity by using total project-related costs<sup>1</sup> as the basis for calculating costs vis-à-vis third parties. Apply standard market approaches and appropriate conditions to all contractual goods and services that can be rendered in the private sector on an equivalent basis. Price dumping relative to commercial or public-sector competitors is forbidden.

## **11. Transparency in Use of Funds**

Ensure that research project funds are used effectively and appropriately and, depending on the agreement in question, provide collaborative partners and sponsors with regular updates concerning the progress of projects supported by them. Manage income and financial obligations from a project involving third parties exclusively through an assigned fund at TUM.

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

Adhere to [TUM IP Policy](#) when creating intangible assets. Ensure that TUM is a co-applicant in patent and trademark applications when intellectual property rights are transferred to third parties (e.g., commercial collaborations). Consider the interests of not only the University but also of participating TUM members.

## **13. Scientific Ethics**

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

## **14. Equal Opportunity**

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

## **15. Conflict Resolution**

Consult the University if there is a bilaterally irresolvable conflict with collaboration partners. In cases of doubt, notify the President, who must then fulfill his or her professional duty to assist in a reliable and trustworthy manner.

## **16. Sustainability**

Take ecological, social, and economic sustainability principles into account as far as possible when planning and implementing scientific work. Make water, energy, and resource efficiency the guiding principles of research practice.

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<sup>1</sup> Total costs are determined as an overhead calculation in accordance with the simplified pricing procedure for contract calculations under the EU Community Guidelines.

## **17. Export Controls**

Observe all export control provisions of national and EU foreign trade law, as well as the relevant export control requirements of other countries (e.g., the extra-territorial rules of US export law). These regulations pertain to, among other things, the cross-border exchange of goods, technology, software, and work results, as well as technology transfer, technical support, and the transfer of knowledge to international scientists in Germany. In cases of doubt, contact the TUM Export Control Officer.

### **Contact TUM ForTe**

Further information on research and commercial collaborations is available at:

<https://www.forte.tum.de/forte/forschungsfoerderung/forschungs-und-wirtschaftskooperationen/>

### **Contact TUM Compliance**

Compliance is responsible for TUM's integrity and transparency. This also includes ensuring that legal and self-imposed obligations are met and that evidence of possible infringements is handled responsibly. The TUM Compliance Office investigates all reported incidents impartially and in confidence.

compliance@tum.de

[www.tum.de/compliance](http://www.tum.de/compliance)

### **Contact TUM Export Controls**

Further information on export controls is available at:

exportkontrolle@tum.de

<https://portal.mytum.de/kompass/index/kompass/rechtsicherheitswesen/Exportkontrolle>

### **Entry into Force**

This TUM Research Code of Conduct replaces the previous version dated 1 February 2013.

This TUM Research Code of Conduct enters into force on 1 October 2024.