

# Swiss Nanoscience Institute Governance Framework

of 25 March 2024

Based on the Agreement between the Canton of Aargau and the University of Basel on the Establishment and Operation of a Center of Excellence for Nanoscience and Nanotechnology of 21 November 2005, the Argovia Committee hereby adopts the following Governance Framework.

The Swiss Nanoscience Institute (SNI) at the University of Basel is a center of excellence for the nanosciences and nanotechnology. It was founded in 2006 by the Canton of Aargau and the University of Basel to promote training, research, as well as knowledge and technology transfer in the nanosciences and nanotechnology in Northwestern Switzerland. The SNI's new Nano Technology Center, founded in 2022, encompasses two service units — the Nano Fabrication Lab and the Nano Imaging Lab. It offers excellent services in both imaging and micro and nanofabrication for internal and external partners. For the Canton of Aargau, which has always led the way in terms of education and research, the SNI is a key guarantor of innovation and excellence in teaching. The canton currently invests around a third of its outgoings in the current and future development of its innovative education and research landscape.

## I. General remarks

### Art. 1 Subject of the Governance Framework

<sup>1</sup> This Governance Framework (GF) sets out the structure of the Swiss Nanoscience Institute (SNI) as well as the composition, tasks and responsibilities of the SNI's governing bodies and committees.

### Art. 2 Governing bodies and committees

<sup>1</sup> The SNI has the following governing bodies:

- the SNI Argovia Committee
- the SNI Executive Committee.

<sup>2</sup> Furthermore, the SNI also has the following committees:

- the SNI Annual Meeting
- the Teaching Committee Curriculum Nanosciences
- the Assembly of SNI PhD Students
- the Nano-Argovia Project Evaluation Committee
- the SNI Management
- other project-specific committees.

## II. Responsibilities of the governing bodies

### Art. 3 The SNI Argovia Committee

<sup>1</sup> The Argovia Committee of the Swiss Nanoscience Institute is the supervisory body pursuant to clause 5 of the Agreement between the Canton of Aargau and the University of Basel on the Establishment and Operation of a Center of Excellence for Nanoscience and Nanotechnology of 21 November 2005 (hereinafter "the Agreement"). It supports the University of Basel and the Canton of Aargau in implementing the Agreement.

<sup>2</sup> The Argovia Committee of the Swiss Nanoscience Institute consists of the following individuals:

- the Head of the Department of Education, Culture and Sport of the Canton of Aargau
- the President of the University of Basel
- the Director of the SNI.

In addition, the following individuals are consulted as guest advisors:

- the President of the Board of Directors of the University of Applied Sciences Northwestern Switzerland FHNW
- the Director of the Paul Scherrer Institute PSI
- two independent representatives from science and industry who have an overview of the nanosciences and nanotechnology as a field of research and technology.

<sup>3</sup> The Argovia Committee meets at least once a year as required. The agenda is drawn up and sent out in advance by the Director of the SNI in coordination with the Head of the Department of Education, Culture and Sport. Meetings are chaired by the Head of the Department of Education, Culture and Sport, and minutes are taken by the SNI General Manager. Members of the Committee can appoint a proxy.

<sup>4</sup> The Director of the SNI reports to the Committee regarding compliance with the obligations arising from clause 4 of the Agreement and regarding any strategic reorientations, significant organizational changes, the impact of knowledge and technology transfer, and the results of any evaluations.

<sup>5</sup> The SNI makes a proposal regarding the form of the written, public Annual Report to the Argovia Committee, which approves the proposal. The Argovia Committee can request further, specific reporting points (indicators).

<sup>6</sup> The Argovia Committee adopts the Governance Framework, confirms the members of the SNI Executive Committee and has a right of hearing in the election of the SNI Director.

#### **Art. 4 The SNI Executive Committee**

<sup>1</sup> The SNI Executive Committee consists of 10 members. The Director of the SNI and the Deputy Director of the SNI, as well as the General Manager, form part of the SNI Executive Committee ex officio and with voting rights. Both the Director of the SNI and their deputy, as well as the General Manager, must be employed at the University of Basel.

<sup>2</sup> The SNI Executive Committee is comprised of members representing the participating units within the SNI in all areas of research, teaching and technology transfer. An appropriate distribution shall be sought in line with the activities. The Departments of Physics, Chemistry and Pharmaceutical Sciences and the Biozentrum of the University of Basel are each represented by one person. In addition, the Dean's Office of the Faculty of Science is represented by the Dean of Research (delegated by the President's Office of the University of Basel), and the two external institutions, the PSI and FHNW, are each represented by one person from within their own ranks.

<sup>3</sup> The Director of the SNI takes principal responsibility for the programs within the SNI. In particular, this includes responsibility for all scientific, financial and organizational matters, as well as career advancement, equal opportunities and networking with industry, as well as the appropriate comprehensive reporting.

<sup>4</sup> The Director accounts for the use of funds to the Argovia Committee once a year.

<sup>5</sup> Responsibility for individual areas can be delegated to the members of the SNI Executive Committee. With the exception of the Director of the SNI and the General Manager of the SNI, all members of the SNI Executive Committee are elected for a five-year term. Re-election is possible.

<sup>6</sup> If a member leaves, the university departments named in section 2 and the two external research institutions have the right to nominate new members to the SNI Executive Committee. The SNI Executive Committee then elects the new member(s) from the proposals received.

<sup>7</sup> The SNI Executive Committee proposes a candidate for Director of the SNI, who presides over the SNI Executive Committee and also designates a Vice Director from their circle of colleagues as a deputy. The Director of the SNI is elected by the President's Office of the University of Basel. The position of the Argovia Committee is to be obtained prior to the election.

<sup>8</sup> The SNI Executive Committee elects the General Manager of the SNI, who is employed at the University of Basel and manages the administrative business of the SNI.

#### **Art. 5 Tasks of the SNI Executive Committee**

<sup>1</sup> The SNI Executive Committee is responsible for the management of the SNI and represents the SNI to the outside world. In particular, it ensures communication between the SNI and the network partners as well as their governing bodies.

<sup>2</sup> The SNI Executive Committee decides on the allocation of the funding provided by the Canton of Aargau and the University of Basel in coordination with the President's Office of the University of Basel and in accordance with the existing contractual agreements between the University of Basel and the Canton of Aargau.

<sup>3</sup> The SNI Executive Committee adopts decisions by a simple majority of those present. If no agreement is reached, the final decision lies with the SNI Director.

<sup>4</sup> All business that is not explicitly regulated in this Governance Framework falls within the purview of the SNI Executive Committee.

<sup>5</sup> The SNI Executive Committee also ensures compliance with university regulations.

<sup>6</sup> The SNI Executive Committee meets at regular intervals as required and at least once a quarter. Minutes of the meetings are taken by the General Manager.

### **III. Other committees of the SNI**

#### **Art. 6 The SNI Annual Meeting**

<sup>1</sup> All members of the SNI are invited to the SNI Annual Meeting. Members of the SNI include project leaders (including co-leaders), doctoral students at the SNI PhD School, and staff working on SNI projects. In particular, members also include everyone in the SNI Management and in the Nano Technology Center of the SNI.

<sup>2</sup> SNI members are responsible for reporting on the progress of their projects at conferences organized by the SNI (such as the SNI Annual Meeting and the NanoTec Apéro) and for ensuring scientific exchange at an excellent level. They are also required to contribute to the Annual Report. Details of SNI membership are set out in the SNI Membership Regulations.

<sup>3</sup> An Extraordinary Meeting may be convened for good reason based on a justified request by at least five project leaders to the SNI Executive Committee or to the General Manager.

#### **Art. 7 The Teaching Committee Curriculum Nanosciences**

<sup>1</sup> The Teaching Committee is responsible for matters related to teaching. It reviews and updates the curriculum, evaluates and applies for the recognition of comparable credits and examination results in recognition procedures, and approves all learning contracts (especially project work and master's theses).

<sup>2</sup> The responsibility and composition are set out in the study program for the bachelor's degree program in nanosciences at the Faculty of Science of the University of Basel and in the study program for the master's degree program in nanosciences at the Faculty of Science of the University of Basel.

#### **Art. 8 The Assembly of SNI PhD Students**

<sup>1</sup> The Assembly of SNI PhD Students includes all doctoral students who are funded by the SNI and/or belong to the SNI PhD School. The Assembly meets on a regular basis and at least annually. It is called and chaired by a representative of the doctoral students. The Assembly elects its representative for a two-

year term initially. Re-election is possible. The representative acts as the contact for the head of the SNI PhD School and for the SNI Management.

#### **Art. 9 The Nano-Argovia Project Evaluation Committee**

<sup>1</sup> The Evaluation Committee is appointed by the SNI Executive Committee. It assesses and evaluates applications to the Nano-Argovia program. The Committee makes a proposal to fund, partly fund or reject the submitted Nano-Argovia projects for the attention of the SNI Executive Committee. The Evaluation Committee is subject to a duty of confidentiality and to the university's recusal regulations.

<sup>2</sup> For optimum coordination with other local and national funding instruments, members of the three funding instruments Forschungsfonds Aargau, Hightech Zentrum Aargau and Innosuisse should be represented on the Nano Argovia Project Evaluation Committee.

<sup>3</sup> All members of the Evaluation Committee are elected for a five-year term. Re-election is possible.

#### **Art. 10 The SNI Management**

<sup>1</sup> The SNI Management consists of the Director of the SNI, the General Manager, and the staff of the SNI employed at the University of Basel in the areas of Curriculum Nanosciences, SNI PhD School, and Communications & Outreach as well as the heads of the Nano Imaging Lab and Nano Fabrication Lab at the Nano Technology Center.

<sup>2</sup> Administrative business is presided over by a General Manager, who is responsible for the smooth handling of administrative work in the following areas:

- collaboration with the university management and the administrative bodies of the entire network
- initial point of contact for all network partners, especially for the detailed exchange of information within the entire program
- human resources, finance and controlling
- contracting
- knowledge and technology transfer
- communication in general, press releases, outreach and visitor program
- teaching and continuing education.

<sup>3</sup> The Management meets once a week. The meeting is chaired by the Director of the SNI or, in their absence, by the General Manager. Minutes are taken of the meeting.

#### **Art. 11 Project-specific committees and project leaders**

<sup>1</sup> Projects at the SNI are to be interconnected in an interdisciplinary manner and as effectively as possible between or with one another. This happens regardless of whether the staff belong to the University of Basel or to the network.

<sup>2</sup> For the purpose of stimulating and sustaining scientific exchange, the project leaders are responsible for holding regular meetings. If necessary, the SNI Executive Committee can attend such meetings if the project calls for them to do so and the project leaders invite one or more representatives of the SNI Executive Committee following consultation with all parties.

### **IV. Further provisions**

#### **Art. 12 Career advancement and equal opportunities**

<sup>1</sup> The SNI places particular importance on the training of young people. This takes place as part of the bachelor's and master's degree program in the nanosciences and as part of the training of doctoral students. Training activities such as winter schools, postgraduate courses, etc. are offered within the framework of the SNI PhD School. The SNI seeks to engage in activities with schools in order to promote

the natural sciences. In all activities, great value is placed on equal opportunities.

### **Art. 13 Reporting**

<sup>1</sup> Each year, the project leaders prepare a scientific progress report — which is to be published — for the attention of the SNI Management. They are invited to do so by the SNI Management in a timely manner. In addition to the scientific part, all projects must supply all data and other information needed for the annual report, and in particular for reporting to the Canton of Aargau, according to schedule.

<sup>2</sup> The University of Basel compiles an annual Financial Report for the attention of the Director of the SNI. This Financial Report also forms part of the reporting to the Canton of Aargau and is included in the Annual Report.

### **Art. 14 Technology transfer, intellectual property rights and rights to research results**

<sup>1</sup> In the case of activities that are only carried out at a specific institution, the regulations of that institution apply. Activities such as Nano-Argovia projects, in which multiple parties work together, must be contractually regulated beforehand. The General Manager of the SNI presents the parties with a draft contract. The intellectual property rights (IPRs) are set out by the partners/parties involved in a written Accessory Agreement, which is based on the SNI's template. The project leader is responsible for seeing that an Accessory Agreement is signed and brought to the attention of the SNI.

### **Art. 15 Publications**

<sup>1</sup> The project leaders must ensure that all participants in a publication are named as co-authors fairly and in accordance with the principles of scientific integrity. In addition, all publications must indicate that they were made possible by financial support from the SNI. Staff paid by the SNI should name the SNI and the University of Basel as their affiliation. Responsibility for this also lies with the respective project leaders. Project leaders can also list the SNI as their affiliation. The SNI Management periodically checks compliance. The SNI Annual Report only mentions publications in which the SNI is thanked or named as an affiliation.

### **Art. 16 Duty of confidentiality**

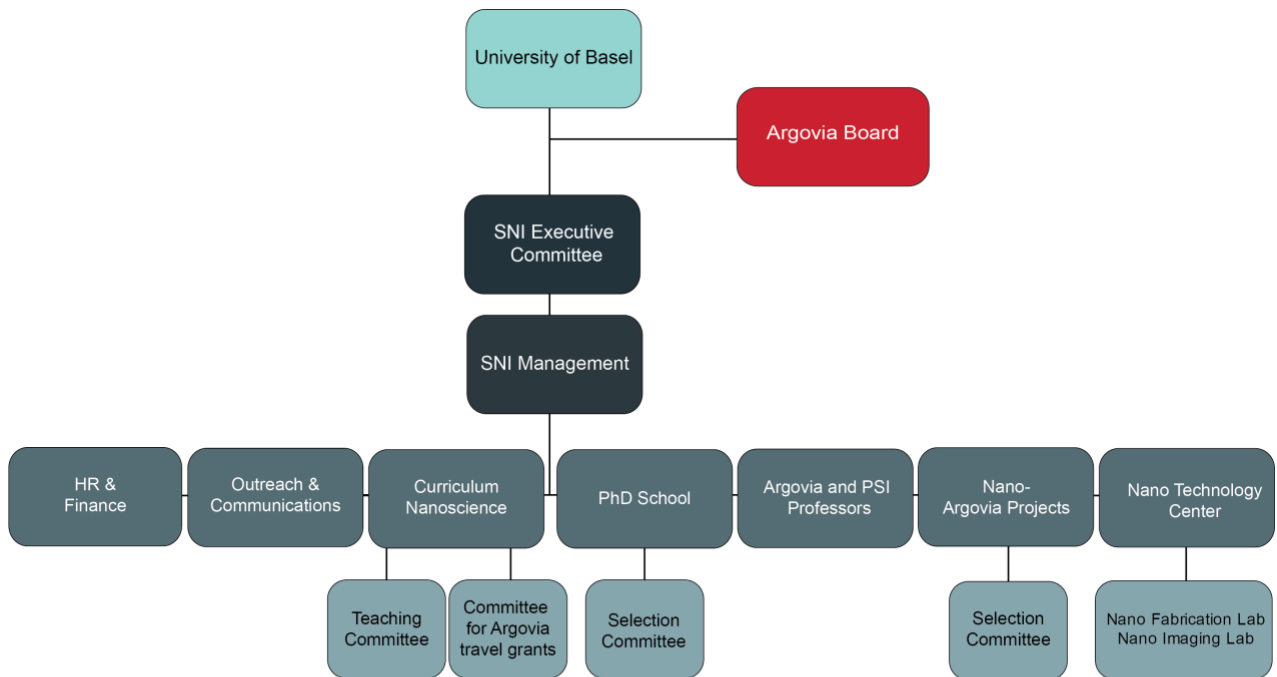
<sup>1</sup> All SNI members are subject to a duty of verbal and written confidentiality regarding new insights and expertise that are not already the state of the art. The corresponding project leaders are responsible for briefing their team members. In particular, this also applies to the non-disclosure agreements with customers of the Nano Technology Center.

<sup>2</sup> Sensitive information is only disclosed to third parties following prior consultation with the SNI Executive Committee and after the signing of non-disclosure agreements. Members have no entitlement to disclose sensitive information.

### **Art. 17 Final provisions**

<sup>1</sup> The organization chart, dated 25 March 2024, is an integral part of this Framework. This Governance Framework enters into force on 25 March 2024, and replaces the previous "Governance Framework of the Swiss Nanoscience Institute" from the year 2015.

## Organization chart



### SNI Members

Network: University of Basel, ANAXAM, CSEM Allschwil, D-BSSE, FHNW, PSI, Swiss PIC HTZ, Basel Area Business & Innovation, Industrial partners from Northwestern Switzerland