

This is a translation of the regulatory text as promulgated by the Georg-August-Universität Göttingen in its Official Bulletin

Pursuant to a resolution taken by the Senate on March 4, 2009 and by the Presidential Board on March 25, 2009, these Regulations governing the *Courant Research Centre "Nano-Spectroscopy and X-Ray Imaging"* were adopted by mutual consensus (Section 41 paragraph 1 sentence 1 of the Higher Education Act of Lower Saxony (NHG¹) in the version promulgated on February 26, 2007 in the Lower Saxony Law and Official Gazette (Nds. GVBl² p. 69), last amended by the law dated September 13, 2007 (Nds. GVBl. p. 444), Section 22 paragraph 6 sentence 3 of the Basic Constitution³ of the Georg-August-Universität Göttingen as promulgated in its Official Bulletin⁴ dated September 1, 2008 (Official Bulletin No. 21/2008 p. 1345); Section 37 paragraph 1 sentence 3 of the NHG, Section 22 paragraph 6 sentence 3 of the Basic Constitution.

Regulations Governing the Courant Research Centre

"Nano-Spectroscopy and X-Ray Imaging"

Regulation 1

Definition and Objectives

The CRC "Nano-Spectroscopy and X-Ray Imaging" is a central research institution of the Georg-August-Universität Göttingen. It is an integral part of the *Brain Gain* measure entitled "The Institutional Strategy to Promote Top-Level Research 'Tradition – Innovation – Autonomy'", funded within the scope of the Excellence Initiative of the German Federal Government and the State Governments. The objective of the CRC "Nano-Spectroscopy and X-Ray Imaging" is to conduct, coordinate and further develop scholarly and scientific activities in the field of X-ray optics, X-ray spectroscopy, X-ray microscopy, coherent X-ray diffraction, time-resolved X-ray diffraction, physics of ultra-short laser and ultra-short electron pulses, as well as the implementation of those methods especially in the area of biophysics, solid state physics, material science and further interdisciplinary research fields. Moreover the CRC "Nano-Spectroscopy and X-Ray Imaging" operates the construction and operation of a common laboratory coordinates and supports the members by carrying out experiments at the synchrotron radiation sources and free electron laser and supports

¹Niedersächsisches Hochschulgesetz, NHG

²Niedersächsisches Gesetz- und Verordnungsblatt, Nds. GVBl.

³Grundordnung, GO

⁴Amtliche Mitteilungen, AM

those key aspects generally by promoting certain co-operations at the Göttingen Research Campus.

Regulation 2

Tasks

(1) The CRC "Nano-Spectroscopy and X-Ray Imaging" shall fulfil the following tasks in particular:

- a) Developing nationally and internationally visible, profile-shaping research foci;
- b) Assembly and operation of a common laboratory for pulsed x-ray sources;
- c) Improving post-graduate training through the development of post-graduate programmes, among others;
- d) Promoting and supervising young scientists within the CRC „Nano-Spectroscopy and X-Ray Imaging“;
- e) Recruiting and jointly supervising third-party funded projects;
- f) Cooperating with national and international institutes, especially also with major research institutes of synchrotron and free electron radiation;
- g) Promoting knowledge transfer and academic communication by planning and conducting lecture series, symposia, colloquia, visiting lecturer programmes, as well as workshops on regional and interdisciplinary topics.

(2) That member of the CRC "Nano-Spectroscopy and X-Ray Imaging" who is responsible for the research project shall take the decisions about the use of third-party funds as defined in paragraph 1 letter e) in accordance with the terms and conditions of the grant approval and any other applicable regulations.

Regulation 3

Governing Bodies, Organisation

(1) The governing bodies of the CRC "Nano-Spectroscopy and X-Ray Imaging" shall be the Management Board, the General Assembly of the CRC "Nano-Spectroscopy and X-Ray Imaging" and the Scientific Advisory Board (SAB) of the CRC "Nano-Spectroscopy and X-Ray Imaging".

(2) The independent junior research groups⁵ (JRG) listed in the Appendix hereto shall be integrated into the CRC "Nano-Spectroscopy and X-Ray Imaging". The Appendix shall be amended by means of regular inclusion of, substantial change to or cancellation of any JRG and shall be promulgated by the Georg-August-Universität Göttingen in the amended version of its Official Bulletin.

Regulation 4 **Members⁶ and Associated Members⁷**

(1) Members of the CRC "Nano-Spectroscopy and X-Ray Imaging" shall be:

- a) Principal investigators (PIs);
- b) Junior research group leaders (JGRL)⁸;
- c) Academic staff members (postdoctorate research assistants⁹, postdocs) who are assigned to the CRC (academic staff group¹⁰);
- d) Doctoral candidates (doctoral candidate group¹¹);
- e) Other staff members in the technical services and administrative departments (MTV¹² group) assigned to the CRC.

(2) Scholars and scientists from the university or from non-university research institutions in Göttingen who are highly distinguished in this area of research may be accepted as Principal Investigators. PIs shall be accepted as members upon petition and by resolution of the Management Board.

(3) Each member set down in paragraph 1 letters a)-c) shall be entitled to one vote at the CRC's General Assembly. Unless otherwise stipulated below, the doctoral candidates as well as the other staff members in the technical services and administrative departments defined in sentence 1 letter d) and e) shall take part in the General Assembly of the CRC in an advisory function.

⁵ Nachwuchsgruppen, NWG

⁶ Mitglieder

⁷ Angehörige

⁸ Nachwuchsgruppenleiterinnen und Nachwuchsgruppenleiter

⁹ promovierte wissenschaftliche Mitarbeiterinnen und Mitarbeiter

¹⁰ Mitarbeitergruppe

¹¹ Doktorandengruppe

¹² Mitarbeiterinnen und Mitarbeiter in Technik und Verwaltung, MTV

(4) Associated members of the CRC "Nano-Spectroscopy and X-Ray Imaging" shall be scholars and scientists accepted by resolution of the CRC "Nano-Spectroscopy and X-Ray Imaging" as associated members who shall participate in the fulfilment of the CRC's activities set down in Regulation 2 hereof, without being members in the sense laid out in paragraph 1; the aforesaid shall particularly apply to scholarship recipients and visiting scholars and scientists. Associated members of the CRC "Nano-Spectroscopy and X-Ray Imaging" shall not be granted any entitlement to vote – neither passive nor active. They shall take part in the CRC's General Assembly in an advisory function.

(5) The Management Board may upon petition and by resolution accept members and associated members for an initial maximum term of five years. This term may be extended by another five years. The provisions set down in paragraph 1 shall remain unaffected hereby. Whenever a Management Board has not yet been set up, the Presidential Board shall act in its stead. A petition for membership as defined in paragraph 1 letters a)-b) may be filed by the respective individuals. A petition for membership as defined in paragraph 1 letters c)-d) may be filed by PIs and junior research group leaders who are members of the CRC "Nano-Spectroscopy and X-Ray Imaging".

(6) A membership or associated membership shall expire when the member's work for fulfilling the tasks defined under Regulation 2 is finished, but not later than five years thereafter or on the day after termination or expiration of the employment contract or any other legal relationship with the university or any other research institution on the Göttingen Research Campus on which their membership or associate membership was based. Moreover, any membership or associate membership shall end whenever a member or associated member notifies the Management Board of their withdrawal with six weeks' notice given by the end of the month.

(7) The Management Board may resolve to exclude a member or associated member for good cause. As a rule, good cause is given whenever a member fails on a repeated basis or to a substantial extent to perform their tasks as defined under Regulation 2 or any other duties and obligations incumbent upon them. Beforehand, the affected individual shall be afforded the opportunity to comment thereupon within a reasonably set deadline. The affected individual must be notified in writing of the decision and the decision must be substantiated.

Regulation 5
General Assembly of the CRC

(1) The members of the CRC "Nano-Spectroscopy and X-Ray Imaging" shall convene at least once a year. A General Assembly shall additionally be convened upon petition by the Management Board or by one third of the General Assembly members entitled to vote; the petition must include a proposed agenda.

(2) The General Assembly shall deliberate on all affairs and matters of fundamental importance pertaining to the CRC "Nano-Spectroscopy and X-Ray Imaging" and comment thereupon vis-à-vis the Management Board. Said entitlement to comment shall pertain to the following matters in particular:

- a) Areas of work focus and projects of the CRC "Nano-Spectroscopy and X-Ray Imaging" and
- b) The work of the Management Board.

(3) The General Assembly

- a) Shall elect the Management Board members subject to the provisions of Resolution 6 paragraph 2 hereunder;
- b) May vote out Management Board members subject to the provisions of Resolution 6 paragraph 2 hereunder;
- c) Shall propose amendments or supplements to these Regulations.

Resolutions made under letter c) must be passed by a majority of the General Assembly members entitled to vote and by a majority of the principal investigators and junior research group leaders in the General Assembly.

(4) The General Assembly shall be convened and chaired by the managing director or his or her deputy. A majority of members present at a regularly convened General Assembly shall constitute a quorum. A meeting is deemed to have been regularly convened when the managing director or, if he or she is prevented, his or her deputy has called the assembly by invitation in textual form including the planned agenda with two week's notice. At the meetings of the General Assembly, associated members may take part in an advisory function, but shall not be entitled to vote. The managing director shall prepare the minutes of the meeting and shall within two weeks send a draft thereof to all members and associated members of the CRC for their information.

Regulation 6

Management Board

(1) It shall be incumbent upon a Management Board to run the CRC "Nano-Spectroscopy and X-Ray Imaging". The following members of the CRC as defined under Regulation 4 paragraph (1) shall sit on the Management Board:

- a) Three Principal Investigators,
- b) One junior research group leader,
- c) Two members of the academic staff group or doctoral candidate group, including at least one member of the doctoral candidate group.

(2) The corresponding group members of the CRC "Nano-Spectroscopy and X-Ray Imaging" shall elect the Management Board members defined in paragraph 1 as well as their deputies from the midst of the respective group; if a group is represented by one member only, the election shall not be held and the member shall be elected automatically. In order to elect the Management Board, the academic staff group and the doctoral candidate group shall form a joint group; all members of this group shall be entitled to vote passively and actively; the provision set down in sentence 4 shall remain unaffected hereby. The corresponding group members of the CRC "Nano-Spectroscopy and X-Ray Imaging" may vote out the Management Board members defined in paragraph 1 by a two-thirds majority of the members of the corresponding group who are entitled to vote. Upon petition by 20% of the members of the CRC "Nano-Spectroscopy and X-Ray Imaging" entitled to vote, the entire Management Board can be voted out with a majority of two thirds of the members of the CRC " Nano-Spectroscopy and X-Ray Imaging " entitled to vote, whereby at least two thirds of the Principal Investigators and junior research group leaders entitled to vote must have given their vote for the resolution; the members of the doctoral candidate group and the MTV group shall not be entitled to vote therefor.

(3) The members of the Management Board shall select the managing director (spokesperson or, alternately coordinator) and his or her deputies from the group of PIs.

(4) The Management Board shall convene at least twice a year. The Management Board shall be required to convene whenever this is petitioned by at least half of the members of the Management Board or of the General Assembly; the petition must include a proposed agenda. A meeting is deemed to have been regularly convened when the managing director or, if he or she is prevented, his or her deputy, has called the assembly by invitation in textual form including the planned

agenda with one week's notice; this notice may be given within less than a week whenever there is good cause to do so. More than half of the Management Board's members present shall constitute a quorum at meetings that have been regularly convened and, at which at least half of the principal investigators and of the junior research group leaders including the managing director or their deputies are present. The managing director shall prepare minutes of the meeting, a draft of which shall be sent to all members of the Management Board of the CRC "Nano-Spectroscopy and X-Ray Imaging" within two weeks of the Management Board's meeting to be acknowledged and approved.

(5) The members of the Management Board shall serve for a two-year term; the member or members of the doctoral candidate group shall serve a one-year term. Re-election is possible.

(6) All members of the Management Board shall have the same voting privileges. In case of equal vote, the vote of the managing director or, if he or she is prevented, his or her proxy shall prevail. Each individual taking part in a Management Board meeting as a member or proxy entitled to vote shall hold one vote only.

(7) Unless assigned to another governing body or to the leader of a junior research group by the Regulations herein or by overriding regulations hereto, the Management Board of the CRC „Nano-Spectroscopy and X-Ray Imaging“ shall be responsible for all affairs and matters. In particular, its tasks shall consist of:

- (a) Decision-making about the utilisation of the central funds allocated to the CRC “Nano-Spectroscopy and X-Ray Imaging“;
- (b) Responsibility for the proper management of funds, giving consideration to the relevant regulations and legal provisions;
- (c) Convening meetings of the General Assembly and implementing the resolutions of the General Assembly;
- (d) Responsibility for fulfilling the tasks described in Regulation 2;
- (e) Decision-making regarding the administration of the equipment, in particular of the workrooms, workshops, devices and collections of the CRC „Nano-Spectroscopy and X-Ray Imaging“;
- (f) Responsibility for compliance with the provisions and regulations governing work safety and environmental protection, unless this responsibility falls upon another body;
- (g) Developing the strategic alignment of the CRC „Nano-Spectroscopy and X-Ray Imaging“ as well as securing financing in consultation with the Presidential Board;

- (h) Decision-making about initiating projects, giving consideration to their feasibility and financibility; whenever the resources of a junior research group are affected, decisions must be taken in agreement with the junior research group leader; whenever a project affects the resources of a junior research group exclusively, the Management Board may only reject a project for very good cause;
- (i) Fulfilling their reporting duties and obligations vis-à-vis the Institutional Strategy Office and the Presidential Board;
- (j) Implementing quality assurance measures involving research within the CRC „Nano-Spectroscopy and X-Ray Imaging “ in agreement with the Institutional Strategy Office and the controlling unit;
- (k) Decision-making about accepting or excluding members or associated members.

Regulation 7 Managing Director

- (1) The managing director shall represent the CRC and conduct its daily business.
- (2) The managing director shall chair the Management Board and prepare and implement its resolutions. In urgent matters that cannot be resolved by a decision of the Management Board in a timely manner and cannot be deferred, the managing director shall undertake the required measures at his or her own discretion; the Management Board shall be informed without delay about any measures undertaken. The Management Board may cancel said measures; any third-party rights incurred shall remain unaffected thereby.

Regulation 8 Junior Research Groups and Leaders of Junior Research Groups

- (1) A Junior Research Group (JRG) shall be headed by a junior research group leader. Said leader shall be responsible for running the affairs and matters defined in paragraph 2. Other members and associated members shall include the research fellows¹³ financed by JRG funds or working supportively in thematic area of the JRG as well as the staff members in the technical services and administrative departments.

¹³wissenschaftliche Mitarbeiterinnen und wissenschaftliche Mitarbeiter

(2) The leader of a JRG shall be responsible for the affairs and matters relating to the JRG, in particular:

- (a) Involvement in the fulfilment of the tasks described in Regulation 2 herein;
- (b) Developing the JRG's research profile;
- (c) Decision-making regarding the utilisation of the JRG funds;
- (d) Responsibility for the proper management of JRG funds, giving consideration to the relevant regulations and legal provisions;
- (e) Decision-making regarding the administration of the equipment, in particular of the workrooms, workshops, devices and collections allocated to a JRG by the Management Board;
- (f) Responsibility for compliance with the provisions and regulations governing work safety and environmental protection within the JRG;
- (g) Securing financing in consultation with the CRC's Management Board and with the approval of the Presidential Board;
- (h) Proposing projects to be initiated, giving consideration to their feasibility and financibility;
- (i) Fulfilling the reporting duties and obligations vis-à-vis the Institutional Strategy Office and the Presidential Board;

(3) The selection procedure for filling the position of junior research group leaders at the CRC as well as their interim evaluation shall be subject to the following provisions.

a) The CRC „Nano-Spectroscopy and X-Ray Imaging“ shall advertise internationally to fill the positions for junior research group leaders. The Management Board of the CRC „Nano-Spectroscopy and X-Ray Imaging“ shall short-list and invite candidates to a selection symposium. The Scientific Advisory Board of the CRC „Nano-Spectroscopy and X-Ray Imaging “ and two GRC members nominated as reporting members for the centre by the Göttingen Research Council (GRC) shall take part in the selection symposium. Based on the results of the selection symposium, the Management Board of the CRC „Nano-Spectroscopy and X-Ray Imaging“ shall propose to the GRC candidates to be appointed leaders of the junior research group positions to be filled. Provided that the GRC and the Presidential Board confirm said proposals, each candidate shall receive an equipment offer from the Management Board of the CRC „Nano-Spectroscopy and X-Ray Imaging“ and, in the event that agreement is reached, be appointed as junior research group leader in conjunction with a junior professorship.

b) The appointment as junior professor and the equipment grants shall initially have a term of three years and shall be extended by the Presidential Board.

c) The Scientific Advisory Board (SAB) of the CRC „Nano-Spectroscopy and X-Ray Imaging“ shall be responsible for initiating the interim evaluation after three years and it will be the Personnel Department that shall in the fourth semester of each junior professorship request the SAB, through its managing director, to initiate evaluation of the junior professorship that is to be evaluated; the participation of external reviewers must be ensured. The overall evaluation shall comprise an evaluation of both research achievements and teaching outcomes. Said evaluation must be concluded before expiration of the first three-year term of employment. The SAB of the CRC „Nano-Spectroscopy and X-Ray Imaging“ shall take the decision on the overall outcome of the evaluation. The SAB shall invite the junior professor to an oral hearing and discussion. If the evaluation is positive, the term of employment and the equipment grant shall be extended for another three years; in the event of a negative outcome, the junior research group may be granted funds for a maximum of one further year in order to conclude any ongoing research projects. In the event the outcome is negative, the Presidential Board shall issue the junior professor an appealable notice thereof based on the overall outcome of the evaluation.

d) The teaching load for junior research group leaders shall amount to two weekly lecture hours in both phases.

e) Tenure decisions shall be subject to the provisions of the Regulations governing the conferral of permanent tenure for professors at the Georg-August-Universität Göttingen in the "Tenure Track Policy" (Tenure Track Regulations¹⁴) dated August 25, 2008 (Official Bulletin No. 19/2008 p. 1221) in their currently amended version.

(4) In addition to the junior research groups financed by funds deriving from the Institutional Strategy to Promote Top-Level Research, other junior research groups financed with third-party funds and basic funds of the University may join the CRC „Nano-Spectroscopy and X-Ray Imaging“. The Management Board of the CRC „Nano-Spectroscopy and X-Ray Imaging“ shall decide in accordance with the SAB's opinion which groups may join.

¹⁴tenure-track-Ordnung

(5) Unless a different faculty allocation is mandated on material grounds, the leader of a junior research group may petition to become an associate member¹⁵ of the faculty in whose research area the centre's research focus primarily lies; in this faculty, the leader shall exercise voting rights on the faculty level. In the event that the faculty rejects the proposal, the Presidential Board shall take the decision thereupon by mutual consent with the Senate. If no mutual consensus can be reached on a sustainable basis, the Presidential Board shall take the final decision, giving due consideration to the opinions issued by the Senate.

(6) The legal provisions shall govern the three-year interim evaluation of junior research group leaders.

Regulation 9

Scientific Advisory Board

(1) The CRC „Nano-Spectroscopy and X-Ray Imaging“ shall have a Scientific Advisory Board (SAB) that is composed of four to six internationally acclaimed, external scientists and scholars. The members of the SAB shall be appointed by the Presidential Board and by proposal of the CRC „Nano-Spectroscopy and X-Ray Imaging“ Management Board and by recommendation of the GRC and shall serve a 5-year term. The members may be reappointed once. If a member drops out prematurely, a substitute shall be appointed for the remainder of their term. When appointing SAB members, half of the members to be appointed for a second term in office shall already have served as members of the SAB.

(2) By simple majority, the SAB shall elect a spokesperson from its midst. Said spokesperson shall serve a five-year term.

(3) As a rule, the SAB shall convene a meeting every two years and shall be responsible for the following tasks:

- a) Assisting the Presidential Board, the GRC and the Management Board of the CRC „Nano-Spectroscopy and X-Ray Imaging“ in subject-specific matters of the CRC „Nano-Spectroscopy and X-Ray Imaging“;
- b) Carrying out interim evaluations of JRGs within the CRC „ Nano-Spectroscopy and X-Ray Imaging “ three years after the respective JRG has taken up its work;

¹⁵Zweitmitglied

c) Participate in the evaluation of the CRC „Nano-Spectroscopy and X-Ray Imaging“ initiated by the GRC four years after it has been established.

(4) One SAB member shall, jointly with one principal investigator, form a mentor tandem that shall each be responsible for one junior research group leader.

(5) As a rule, the spokesperson shall convene an SAB meeting once every two years. The spokesperson of the SAB shall be responsible for preparing and conducting the meeting during which they shall be assisted by the managing director. Said spokesperson shall chair the meeting and forward the SAB's report to the Presidential Board within two months thereafter.

Regulation 10

Publishing Activities, Financial Disclosure

(1) The members of the CRC „Nano-Spectroscopy and X-Ray Imaging“ shall publish their scholarly and scientific results in an appropriate form.

(2) Publications in German shall include the affiliation “Courant Forschungszentrum ‘Nanospektroskopie und Röntgenbildgebung’, Georg-August-Universität Göttingen“ alongside the institutional address(es) of the author(s) and shall bear the annotation “Gefördert aus Mitteln der Exzellenzinitiative”. Publications in English shall include the affiliation "Courant Research Centre ‘Nano-Spectroscopy and X-Ray Imaging’, University of Göttingen" alongside the institutional address(es) of the author(s) and shall bear the annotation "Funded by the German Initiative of Excellence".

(3) The results obtained by the research of associated members of the CRC „Nano-Spectroscopy and X-Ray Imaging“ shall be published in consultation with the participating members of the CRC „Nano-Spectroscopy and X-Ray Imaging“ or with the managing director of the CRC „Nano-Spectroscopy and X-Ray Imaging“ in an appropriate form and include mention of the institutional address.

(4) The scholarly and scientific work of the CRC „Nano-Spectroscopy and X-Ray Imaging“ shall moreover be communicated through appropriate academic, scientific and public events.

Regulation 11

General Principles of Procedure

(1) Unless otherwise stipulated by the Regulations herein, by the Regulations of the university or by any legal provisions and covenants, all resolutions shall be passed with a majority of Yeah or Nay votes given (simple majority). Abstentions shall be regarded as votes not cast. A resolution shall not pass if more than half of the members who are present and entitled to vote have cast an invalid vote or have abstained. The outcome of the voting, including any abstentions, shall be taken down for the record.

(2) Resolutions shall be passed within meetings or by way of the circulation procedure (in written form, via fax or by electronic means). The circulation deadline must allow for at least one weeks' notice; it shall be ensured that voting on elections and personnel matters shall take place by secret ballot. Any resolution by way of the circulation procedure may only be passed by majority vote of all members entitled to vote and without any member having filed a protest against the circulation procedure with the managing director within the circulation deadline; otherwise, the resolution may only be passed at a meeting. The managing director shall record any resolution passed by way of the circulation procedure in an annotation.

(3) Meetings of the governing bodies shall not be open to the public. A governing body may call upon members, associated members or visiting fellows of the CRC „Nano-Spectroscopy and X-Ray Imaging“ for advice on specific issues.

(4) Minutes of meetings of any governing body shall be prepared and must be signed by its respective head.

Regulation 12

Effective Date

These Regulations shall become effective on the day after their promulgation in the Official Bulletin of the Georg-August-Universität Göttingen.

Appendix

Independent junior research groups (NWG) within the CRC „Nano-Spectroscopy and X-Ray Imaging“ (Status on the date the Regulations herein went into effect):

- Junior research group "Nanoscale Imaging of Cellular Dynamics"
- Junior research group "Nano-Optics and Ultrafast Dynamics"