

## *Rules governing the SBB Research Fund*

### **Whereas**

the IMP-HSG, represented by the SBB Lab, was instructed by Schweizerische Bundesbahn AG (hereinafter called "SBB") through the Agreement of December 2014 concerning the Management of the SBB Research Fund (hereinafter called "the Agreement") to manage a Research Fund to which SBB will contribute CHF 300,000 per annum until the end of 2019, with the support of an Advisory Research Board;

this Research Fund will pursue the following objectives:

- a) promoting research into current issues relevant to transport in Switzerland,
- b) answering questions that concern the practice of transport science and are of relevance to SBB, particularly work on innovative approaches and the interlinkage of know-how about public transport in Switzerland as a contribution towards the long-term and sustainable development of the transport system as an important strategic competitive factor of Switzerland,
- c) promoting cooperation and the visibility of research at Swiss universities and research institutions in the field of transport in order to strengthen Switzerland as a centre of research in a sustainable fashion;

the permanent members of the Advisory Research Board hereby issue the following Rules governing the SBB Research Fund on the strength of the aforementioned Agreement.

### **Art. 1 Object of the Rules**

- a) The Rules governing the Research Fund shall concretise the Agreement and, in particular, specify the appointment of temporary members of the Advisory Research Board, the selection, allocation and funding of research projects financed by the Research Fund, the management of the Research Fund and the Advisory Research Board, as well as the latter's reporting obligations.
- b) Unless these Rules provide otherwise, the provisions of the Agreement shall be applicable.

### **Art. 2 Appointment of temporary members of the Advisory Research Board**

- a) Pursuant to Para. 4(A) of the Agreement, the Advisory Research Board shall consist of permanent members and temporary members.
- b) The permanent members shall be able to appoint temporary members for specific projects and issues. Temporary membership shall normally commence with the launch of the project and terminate with the project termination agreed when the funds are allocated.
- c) Temporary members of the Advisory Research Board shall be involved in issues of the coordination of the research projects financed by the Fund but not in tasks connected with the coordination of the hubs.

### **Art. 3 The activities of the Advisory Research Board**

The Advisory Research Board shall

- a) meet at least twice a year (ideally in spring and autumn);
- b) in a continuing process, keep a list of possible current research topics provided by the members of the Advisory Research Board. On the part of SBB, current topics are provided from the corporation's point of view;
- c) invite tenders for prioritised issues to be worked on on the homepage of the SBB Lab and invite parties potentially entitled to apply to submit a project outline;
- d) on the basis of a preselection of project outlines, make decisions concerning the invitation of parties entitled to submit research applications;
- e) make decisions concerning the approval and funding of research projects;
- f) evaluate the final reports and coordinate the communication of results;
- g) coordinate the activities of the 3 SBB hubs at UNISG, ETHZ and EPFL.

### **Art. 4 Decision-making by the Advisory Research Board**

- a) Making decisions concerning the granting of contributions and the taking of all measures required for the subject-specific maintenance of the Fund's activity and the accomplishment of its purpose shall be incumbent upon the Advisory Board.
- b) Decisions shall be made by a simple majority of the permanent members of the Advisory Board present, whereby
  - a. at least one representative of SBB shall be present for the decision or decisions made to be valid;
  - b. such decisions shall be made in consultation with SBB.
- c) Temporary members of the Advisory Research Board shall be involved in the decision-making concerning current and new projects on a consultative basis.
- d) If required and if a majority of the permanent members of the Advisory Research Board, but at least one representative of SBB, are in agreement, decisions may also be by correspondence.
- e) If a member of the Advisory Research Board or a member of his/her research staff has submitted a request for an invitation, he/she shall abstain from voting on the granting of the contributions to the project of his/her chair.

### **Art. 5 Selection and allocation of research projects**

- a) Researchers from Swiss universities, including the persons represented in the Advisory Research Board and their academic members of staff, shall be directly entitled to apply. Research service providers and their staff, as well as foreign universities, shall be indirectly entitled to apply as project partners of the aforementioned parties.
- b) The selection and allocation of research projects shall be subject to a two-stage procedure.
  - 1) Parties entitled to apply shall submit a project outline to apply for the submission of a request to work on a project of the SBB Research Fund advertised under Art. 3(d).
  - 2) The parties who are finally entitled to apply shall be the parties invited to submit a project request by the Advisory Board.
- c) If such party fails to submit such a request by the given submission deadline, its right to submit such a request shall be forfeited.

- d) The channel and the form of the feedback provided by all members of the Advisory Research Board (orally, in writing) to the applicants (throughout the process) may basically be chosen freely. A one-off presentation and face-to-face discussion of a project (outline or request) and thus the applicants' presence at one of the meetings of the Advisory Research Board shall be aimed at.
- e) Owing to the objective of conducting research into topical issues, the aim shall be to keep the cycle time of the process short and if necessary complete one stage of the procedure by correspondence.

#### **Art. 6 Features of the research projects**

Research projects shall be characterised by the following criteria:

- a) A research project shall be headed by the persons specified by the invitation.
- b) The topic of the research project shall be defined by the Advisory Board and specified and structured in the request submission process.
- c) The research topics prioritised by the Advisory Board shall be relevant to the practice and/or science of transport economy and have the potential to make an impact on such issues.

#### **Art. 7 Submission of requests**

- a) Requests submitted to the Research Fund shall contain at least the following information:
  - 1. project managers,
  - 2. researchers and their subject-specific competencies,
  - 3. topic and objective,
  - 4. research questions,
  - 5. current state of research,
  - 6. methodology,
  - 7. expected results and their significance/relevance,
  - 8. budget,
  - 9. research and project plan, including planned communication of results.
- b) The office of the Research Fund (IMP-HSG) shall regulate any details.

#### **Art. 8 Funds and fund allocation**

- a) Funds granted per request shall not exceed the amount of CHF 150,000. The Advisory Board shall determine the scope of the intended funds to be granted in the invitation to submit a request; the exact amount shall then be fixed in the submission of the request and in the discussion of the request in the Advisory Board.
- b) The amounts granted to fund research projects shall be conceived of as ceilings rather than lump sums. Amounts shall be disbursed against invoice.
- c) The fund may be used to defray the following costs:
  - 1. personnel costs for academic staff and project leaders;
  - 2. travelling and accommodation expenses, particularly for participation in congresses and workshops;

3. room costs and rentals, as well as other third-party costs.
- d) Cost shall be disclosed in the research request in such a manner that the cost rates can be readily understood. In principle, the Advisory Research Board shall take its bearings from the cost rates applied by Swiss National Science Foundation projects.
- e) If the ceiling is exceeded, a supplementary request in accordance with Art. 5(b) shall be submitted.
- f) Any fees of the representatives and members of the Advisory Research Board shall not be covered. By way of a lump-sum compensation for any standard and further expenses, SBB shall provide the permanent members with a personal 1st class GA travelcard free of charge.

#### **Art. 9 Reporting**

- a) Subsequent to a research project that has been funded by the Fund, researchers shall submit a written report about the funds granted and the central results of the project to the Advisory Board. Such written report shall be accompanied by a management summary about the concrete practical implications of the results, as well as a comment on any significant deviations from the approved research plan. In addition to the academic channels, a further multiplication of the results shall take place, ideally in the form of a discourse between academia and practice, newspaper reports, workshops, the use of existing platforms, and conferences. SBB shall be entitled to use parts of the whole of the research results free of charge for corporate purposes. The exploitation rights of the texts shall remain with the authors.
- b) The use of the funds shall be accounted for in accordance with commercial business principles. A report on activities, the use of funds and the assets of the Fund shall be submitted to SBB AG every year as at 31 December.

#### **Art. 10 Office of the Research Fund**

- a) The office of the Research Fund shall be constituted by the SBB Lab at the Institute for Systemic Management and Public Governance (IMP-HSG) at the University of St.Gallen.
- b) The office shall execute the decisions made by the Advisory Research Board and manage the assets of the Fund as special reserves of the Institute for Systemic Management and Public Governance (IMP-HSG) at the University of St.Gallen.

#### **Art. 11 Period of validity of these Rules**

The Agreement between SBB AG and the IMP-HSG shall be valid until the end of 2019. Thereafter it may be tacitly extended by one year at a time. These Rules shall therefore be applicable while said Agreement is in force.

#### **Art. 12 Changes to these Rules**

Changes to these Rules may be made at any time but shall be contingent on a simple majority of the permanent members of the Advisory Research Board and on SBB's consent (power of veto).

**Art. 12 Transitional provisions**

These Rules shall replace the Rules dated January 2013.

Berne and St.Gallen, December 2014

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