

Common Rules for Management and Use of Core Facilities

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Applicable from 1.7.2018



Administrator(s)	Core facility coordinator / Ondřej Hradil	
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Annexes	List of CEITEC Core Facilities, Core Facility change(s) form	

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1. DEFINITIONS AND BASIC FRAMEWORK

Definition of Core Facility

A Core Facility (CF) is an independent laboratory that provides access to high-end instrumentation, high-quality services, technical support, training, and collaboration in development of innovative methods. CF plays a crucial role in the technological support to scientific community in the Czech Republic as well as worldwide. CF is open to a wide spectrum of users from academic and commercial sphere. Finances of CFs (budget etc.) are separate from CEITEC research groups/research programmes.

Core facilities are organisationally part of research programmes or independent units within CEITEC organisational units.

A list of CEITEC CFs, including Core Facility Heads, is set out in Annex I. Updates of any information related to the CFs (e.g. name of CF, new Core Facility Head) are reported by means of a CF change form contained in Annex II.

Access modes

CFs can support scientists via the following four support modes:

- ▶ **Independent User (or Self Service) mode:** Users use instrumentation on their own. The Core Facility assures the full functionality and availability of the instruments. Training might be required before having access to the instruments.
- ▶ **Assisted User mode:** Users use instrumentation with the help of the CF staff.
- ▶ **Full Service mode:** Professional service provided by the CF staff
- ▶ **Collaborative research and development:** Research aimed at joint development of new techniques/methodologies/data analysis in collaboration of the CF staff and users on the projects of common interest, usually performed within the collaborative research grants and demanding co-authorship.

Additional activities of CFs

Any CF is expected to dedicate a certain proportion of time and resources to **improve protocols and quality of the services**, provide **trainings** and support to users and to dedicate sufficient time to methodology and technology development (in line with the research strategy at the institute) and therefore enhance its knowledge.

Booking system

Usage of CEITEC booking system is obligatory in all access modes where applicable. Booking system data is the only basis for reporting to research groups, core facilities and management.

The methodology of using the booking system, i.e. listing of compulsory items in reservation, is responsibility of core facility administration and shall be developed on a basis of reaching consensus with the core facility heads. This methodology is available in guidance documents, that shall be regularly updated. Regular meeting with core facility staff about the news in the booking system will be held.

European Charter for Access to Research Infrastructures

CEITEC CFs strive to provide their services in line with the European Charter for Access to Research Infrastructures¹, whose main principles are embedded in these Common Rules.

¹ European Charter for Access to Research Infrastructures, Principles and Guidelines for Access and Related Services, 2016 https://ec.europa.eu/research/infrastructures/pdf/2016_charterforaccessto-ris.pdf

2. USERS OF CORE FACILITIES

These common rules define classification of CF users. The classification of users according to specific project criteria (e.g. research infrastructure projects) is not affected by this. Further data about the users can be collected (e.g. student status, public research organization/company, nationality).

There are three primary categories of users that affect the pricing policy:

1. Internal User – this category covers all users from partners:

- any user from the respective organizational unit (example: if the core facility is a part of CEITEC MU, all the researchers from CEITEC MU are internal users)
- users from other organizational units (example: researchers from CEITEC MENDELU using the core facility that is a part of CEITEC MU)
- users from the partners' institutions (not from CEITEC organizational units, example: researchers from MU using the core facility that is a part of CEITEC MU)

2. Academic User – users from public research organization other than CEITEC partners' institutions (for example scientists from the Academy of Sciences of the Czech Republic, academics from abroad).

3. Commercial User – users from commercial sphere in the Czech Republic as well as abroad.

3. CF MANAGEMENT, ADMINISTRATION COMMITTEES AND WORKING GROUPS

CF Review Board

The aim of the review board is to supervise and coordinate policies and procedures concerning core facilities development, management and operation. Topics cover strategic planning, marketing, regular evaluations, professional development and other suggestions that promote and enhance the operations and management of core facilities. CF review board is responsible for conducting the CEITEC core facility internal review.

Members: CEITEC Scientific Director (chair), CEITEC Executive Director, CEITEC MU Deputy Director for Science, CEITEC BUT Deputy Director for Science, External member/advisor

Periodicity of meetings: annually (typically during CF internal review process), based on need

Organized by: CF Coordinator (CMS)

CF Heads meeting

CF Heads meeting is organized periodically about every 2 months or based on need in order to inform about and discuss actual topics, e.g. international / national project calls, internal CF review and other evaluations, booking system. The meeting is open to a wide spectrum of participants depending on the meeting agenda.

Members:

- CF Heads or their deputies
- CF Managers of MU and BUT

Periodicity of meetings: recommended to be held every 2 months or based on need

Organized by: CF Coordinator (CMS)

User Committee (organized on the level of individual CF)

User committee is convened and chaired by Core Facility Head. Its main aim is gathering of user feedback in a formalised setting and information exchange between the CF and users. The committee helps to ensure that the core facility activities are tailored to the demands of the research community,

supports the introduction of new services, helps to define future strategies and provides valuable feedback on current operations. All major equipment to be purchased by the core facility has to be discussed and agreed on at the user committee meeting. In certain cases a public presentation must be held.

Members: minimum of 5 members, including CF Head (chair), CF users nominated by CF Head and/or leaders of research groups who are regular CF users (can be on PhD or PostDoc level as well as on more senior level), one representative shall represent external users (not coming from MU or BUT).

Periodicity of meetings: at least 1x per year (physical meeting or as video or teleconference), possible to arrange additional per rollam meetings in case of need

All core facilities have to establish and hold first physical meeting of the user committee by 30.9.2018.

Organized by: CF Head (with help from Core facility manager of the Organisational unit)

Review Panel (organized at the level of individual CF)

The Review Panel is composed of external experts (national/international) who evaluate any external requests for use of core facility services that are funded by CEITEC through public resources, e.g. projects of research infrastructures. External experts are selected by the Core Facility Heads or the Core Facility Advisors. The membership in the Review Panel is honorary. The Review Panel does not meet physically and its meetings (if needed) are organized online. Requests on open access are usually evaluated in a 2-stage process – 1) technical feasibility by the Core Facility staff, and 2) scientific merit by an external expert in the specific field.

In case CEITEC core facilities are part of ESFRI projects or other European or national infrastructures, the review processes are adjusted to be in line with their policies.

Organized by: Core Facility Head (with help from Core facility manager of the Organisational unit)

Other committees might be established at the level of CMS, OU and/or CF to ensure management and operation of the CFs (e.g. CF Admin Meetings, meetings of key users of CEITEC booking system). Any of above mentioned committees/meetings might be organised ad hoc, based on need.

4. CORE AND ADMINISTRATIVE STAFF

The size of the CF depends on the complexity of the equipment, but also on the demand for its services and the assistance required. Organisational units might formulate further personnel policies.

In addition to the positions specified below, CMS and OU ensure administrative support for the CFs (e.g. CF Manager, CF Administrator).

Core Facility Head

It is a person who oversees the operation and handles the day-to-day management of the facility, human resources issues, technical support for users and financing. The Core Facility Head is responsible for convening the User Committee and maintaining relations with the users. She/he should also suggest experts to be appointed to the review panel. She/he shall not have a conflict of interest (e.g. Core Facility Head should not have a financial interest in a company providing services similar to those of the CEITEC Core Facility). As an expert in the field, in consultation with the Organisational Unit management, he/she decides how to run the facility. The Core Facility Head identifies strengths and weakness of the facility, optimizes rules and protocols, and improves procedures.

Deputy of Core Facility Head is not an obligatory position. The Deputy of CF Head is nominated by The Core Facility Head and validated by OUD, if demanded by the internal rules of Organisational Units.

Core Facility Advisor is not an obligatory position (e.g. might be a research programme coordinator or research group leader). This function is honorary.

Core Facilities Coordinator means, for the purposes of this document, a member of CMS staff charged, inter alia, with tasks foreseen by this document.

Core Facilities Manager means, for the purposes of this document, a member of staff at an Organizational Unit charged, inter alia, with tasks foreseen by this document.

5. CRITERIA TO ESTABLISH/CLOSE A CORE FACILITY

The establishment or closure of a core facility is not a part of the daily operation and mainly depends on CEITEC scientific vision, scientific demand, finance and technical feasibility.

Any request for a new core facility is recommended to be discussed with the Deputy Director for Science of respective OU or to be forwarded to the Core Facility Coordinator / Manager. Survey regarding the user demand for services and spectrum of user community of a proposed Core Facility have to be ensured (e.g. online survey, questionnaire, and letters of interest of Research Group Leaders/Principal Investigators). Proposal to establish new Core Facility has to contain:

- Proposed name of CF
- Aim and purpose of establishing CF
- Identification of user community
- Specification of CF staff
- Long-term financial plan (in 5 years horizon)
- Description of CF and its services
- Other

Subsequent steps will be proposed by the CF Review Board based on the characteristics of the requested new core facility. Anyway, a proposal for a new core facility includes both a scientific justification and economical aspects. Final decision on the CF establishment and particular formal steps is adopted according to internal rules of the respective Organizational Unit, and the decision of the OU should be subsequently sent to the CF Review Board.

Interim phase can be defined before the final decision of the Core Facility establishment will be issued.

Core Facility Head of the newly established Core Facility has to be selected by an open and transparent procedure targeting both internal and external candidates, in line with the rules of the respective Organisational Unit of CEITEC. Public presentation of selected candidates can be held before the final appointment of the Core Facility Head.

The closure of a core facility due to relevant reasons (e.g. no users, useless instrumentation) is discussed by the CF Review Board and its statement is passed to OU Director who makes the final decision.

6. CF OPERATIONAL POLICIES

Each Core Facility Head specifies the necessary policies and procedures to access the facility itself, to request a service or collaborate in a research project.

All relevant security matters, as well as obligatory training sessions, shall be arranged by the CF Head. Access to the Core Facility might be refused by the Core Facility Head or her/his deputy due to serious reasons (e.g. breach of common, laboratory or safety rules, capacity reasons, technical feasibility, instrument failure).

Each core facility has to have following policies defined (the same policy can also be applied by several facilities):

- Quality assurance policy
- Data policy
- Daily operation of the core facility (Provozní řád laboratoře)

7. FINANCIAL MODEL AND PRICING POLICY

Services of Core Facilities are not provided free of charge to users. Pricing policy for users is stated in the internal rules of CEITEC MU and CEITEC BUT. Pricing policy must comply with the relevant EU legislation (state aid rules).

Each Core Facility uses financial model cost matrixes, in which a particular pricing list is specified. The price lists are available upon request by each Core Facility Head and/or Core Facilities manager.

The cost matrix of the respective CF is prepared by the CF Manager in cooperation with the CF Head and approved in two stages: firstly, by the CF Head and secondly, by the OU Secretary or Director.

The pricing model (including cost matrixes and pricing lists) is updated annually or based on need.

8. ASSESSMENT OF CORE FACILITIES

Evaluation of the Core Facilities is organized in two ways:

Scientific Evaluation of the Core Facilities

Core Facilities can be evaluated within the Evaluation of the Scientific Excellence, typically every four years. Specific conditions and rules shall be stated in document *CEITEC Evaluation Rules*.

Internal core facility review

Internal review of core facilities take place usually every year. The process is governed by CEITEC Review and Evaluation Model for Core Facilities.

User Feedback

User feedback is done for each CF. User Committee and on-line questionnaire are used for the feedback collection by the CF. Once every app. 2 years a centralised satisfaction survey shall be conducted, organised by CMS.

9. MONITORING AND REPORTING SYSTEM

Monitoring and reporting system of the CFs is composed of the following:

- Annual plan (as a part of the Annual Plan for the Coordination Board)
- Annual report (as a part of the Annual Report for the Coordination Board)
- Report including internal users, together with the price - quarterly for each research group
- Annual CF report (see Internal review of CFs)

Other reports could be required, based on need.

10. ACKNOWLEDGEMENT POLICY

The acknowledgment to the Core Facility is required if any data measured in the Core Facility has been published in a paper.

The overriding rule for acknowledging is to particular project of core facility funding (e.g. research infrastructure project, H2020, ...) which applies to all users who access the Core facility through this project and the proper wording defined for each project type has to be used (including project code and a name of the grant provider).

In general, acknowledgment has to contain at least the name of the respective Core Facility and the name of the Organisational Unit. Recommended wording is as follows:

“Core Facility [name of the CF] of CEITEC [name of the OU] is gratefully acknowledged for the obtaining of the scientific data presented in this paper.”

CF heads shall proactively stimulate users to acknowledge core facilities and research infrastructures projects also by the right wording of acknowledgement CF website.

Organisational units can opt for financial penalties for the research groups not respecting the acknowledgement policy.

11. LIST OF ABBREVIATIONS

CEITEC Partners	all institutes participating in CEITEC: CEITEC BUT, CEITEC MU, CEITEC MENDELU, CEITEC VFU, CEITEC IPM, CEITEC VRI
CF	Core Facility
CMS	Central Management Structure
OU	Organizational Unit

12. ANNEXES

ANNEX I List of CEITEC Core Facilities

ANNEX II Core Facility change(s) form

Annex I

Core Facility	Core Facility Head
CEITEC Nano	Michal Urbánek
Nanobiotechnology Core Facility	Petr Skládal
Josef Dadok National NMR Centre	Radovan Fiala
Biomolecular Interactions and Crystallization	Michaela Wimmerová
X-ray Diffraction and Bio-SAXS Core Facility	Jaromír Marek
Cryo-electron Microscopy and Tomography	Jiří Nováček
Proteomics Core Facility	Zbyněk Zdráhal
Genomics Core Facility	Boris Tichý
Multimodal and Functional Imaging Laboratory	Michal Mikl
Cellular Imaging	Martin Anger
Plant Sciences	Natalia Valasevich
Bioinformatics	Panagiotis Alexiou

Annex II

CEITEC | Core Facility (CF) change(s)

Please, fill-in only relevant boxes.

Application type <i>(keep only relevant)</i>	<i>new CF establishment / CF repeal / CF name change / CF change</i>		
Proposer	<i>name</i>		
	<i>position, Organisational Unit</i>		
	<i>date</i>	<i>Signature</i>	
Reasoning of the proposal			
New CF	<i>Czech CF name:</i>		
	<i>English CF name:</i>		
CF repeal	<i>Name of repealed CF:</i>		
CF change <i>(change of CF name)</i>	<i>Current CF name:</i>		
	<i>New/changed</i>	<i>Czech CF name:</i>	
	<i>New/changed</i>	<i>English CF name:</i>	
Other change			
Comments			

Statement on the application <i>(replace text in italics)</i>	<i>Comment (approved / not approved / reservation)</i>		
	<i>Name, surname</i>		
	Organisational Unit Director	<i>date</i>	<i>signature</i>
	<i>Comment (approved / not approved / reservation)</i>		