



CENIEH

Centro Nacional de Investigación
sobre Evolución Humana

ACCESS PROTOCOL

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1. OBJECTIVE AND SCOPE OF APPLICATION

The objective of this procedure is the establishment of a system for dealing with applications to access the CENIEH infrastructures and develop the Access Policy.

This procedure shall be applicable to all applications for access to the facilities and equipment offered by the Center, for all types of access (competitive or on-demand) and all modalities of service (mandated, qualified user or in-person).

2. DEFINITIONS

- ✓ **Access Policy:** Directives governing the action of the CENIEH in granting accesses to its facilities and equipment.
- ✓ **Users:** Natural or legal persons requesting use of the facilities and equipment of the CENIEH.
- ✓ **Access call:** Public offering of access periods.
- ✓ **Access Cycle:** Access period covered by each call.
- ✓ **Access time:** Number of hours or other units offered in each access call.
- ✓ **On-demand access:** Type of access in which applications may be submitted at any moment and which are assessed for technical viability by an Internal Panel of the Center. The tariffs for services on the basis of on-demand access shall be higher than those for competitive access.
- ✓ **Competitive access:** Type of access implying the submission of applications after an access call. Assessment of the technical viability by an Internal Panel, and evaluation of the scientific and technical quality and prioritization by an Access Committee, most of whose members are personnel external to the Center. The tariffs for services on the basis of competitive access shall be lower than those for on-demand.
- ✓ **Mandated service:** The technical and/or scientific personnel of the CENIEH will perform the project or experiment in accordance with the indications of the applicant, without need for the latter to be physically present at the Center.
- ✓ **Qualified user service:** In such cases as may be determined, the possibility that the laboratories or equipment should be used by the external users themselves shall be facilitated, always with the appropriate monitoring, and following training and recognition of the external user as qualified by the Internal Panel.
- ✓ **In-person service:** The applicant will direct the project or experiment personally, with the assistance or collaboration of the technical and/or scientific personnel of the Center.

3. COMPETENCES AND FUNCTIONS OF GOVERNING AND ADVISORY BODIES



✓ **Executive Committee:**

- Approve, on the proposal of the Director, the Access Protocol for users of the Center, as well as appoint, at the motion of the Director, the members of the Access Committee.
- Approve, on the proposal of the Director, the regulations governing the Access Committee.
- Approve, modify or suppress the tariffs or prices of the different services provided by the CENIEH. The approval, modification or suppression of the tariffs and prices shall take place on the proposal of the Director.

✓ **Director:**

- Propose to the Executive Committee the Access Protocol for users of the Center, the regulations governing the Access Committee, and the members of that Committee.
- Propose to the Executive Committee the approval, modification or suppression of the tariffs or prices of the different services provided by the CENIEH.
- Authorize the accesses requested on the proposal of the Access Committee.

✓ **Internal Panel:**

- Evaluate the technical viability of all the applications (competitive and on-demand), the safety of the same, the availability of resources (material, human and financial), and inform the Access Committee or the Director, according to whether the accesses are competitive or on-demand, respectively.
- This will be made up of the Director, the Manager, the Laboratory Manager and at least one researcher and/or technician with expertise related to the access requested and who will be designated by the Director.

✓ **Access Committee:**

- Assess the scientific and technical quality of the competitive access requests, bearing in mind the fit with the objectives, mission and vision of the Center and, if it were necessary, the urgency of the request. Depending on its assessment, the Access Committee will formulate a reasoned proposal on the priority of the requests received.
- It will be comprised of the Director, one specialist of the Center chosen by the Director on the basis of the kind of access offered in each call and three specialist members external to the CENIEH, all of them proposed by the Director, who will prioritize the requests pursuant to the evaluation criteria (defined in section 4.5).

4. GENERAL ACCESS PROCEDURE (Competitive and on-demand access)



Requests for access to the ICTS-CENIEH shall be submitted using the platform provided for the purpose on the website of the Center: “User Office”. The first time they access the platform, users need to register at the following link: <https://useroffice.cenieh.es/>

Once they have registered, they will have a user name and password with which to access the platform and carry out all their access requests, both in competitive and on-demand modes. Here, the information required shall be entered about both the lead researcher and, where applicable, the users of the facility, as well as the title of the project, data on invoicing, the facilities requested, the type of access sought, the type of proposal, and additional information about the work to be conducted (Annex I).

Access to the facilities and equipment of the CENIEH, in both the competitive and on-demand modes, implies the acceptance of a series of commitments by users which must be expressly accepted in advance of gaining access during the process of registration at the “User Office”.

With regard to the documentation required, in addition to entering the information requested on the platform, the following additional documentation might be required:

- ✓ DNI/passport/resident's card of the researcher (and collaborators).
- ✓ Brief individual CVs of the lead researcher and collaborators or in the case of research groups, a collective CV.
- ✓ Accreditation of experience with the equipment or techniques to be employed during the access.
- ✓ Budget and financial aid or copy of the approval for the financing of the project in the event that it is financed.
- ✓ Authorized institutional contact, in the case of signature of agreements.

By means of the platform, all the applications are managed, both those which are on-demand and enter throughout the year without interruption, and the competitive ones, which will be received during the open call periods published on the website. In the case of the competitive ones, it will be specified whether it is necessary to furnish any additional documentation.

In order to answer questions from applicants during the application submission period, the personnel attached to the User Office shall be responsible for managing and channeling all those queries which might arise before submitting the application, or to receive guidance about the suitability of the proposal. During this process, queries might be referred to the technical and/or research area best placed to offer advice on developing the proposal.



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4.1. CALL PUBLICATION (Competitive access)

Periodically, specific calls for each laboratory will be opened. The call will be announced on the webpage of the CENIEH in a space expressly provided for this purpose. In addition, it may be publicized in specialist publications, newsletters, communications to stakeholder groups, etc.

4.2. RECEPTION AND REGISTRATION OF APPLICATIONS

The “User Office” platform assigns a unique code to each application in order of reception, both for on-demand and competitive access. This code will be recorded on the platform and the applicant can consult the status of their request (undergoing evaluation, accepted/denied, etc.).

All members of the Internal Panel, of the Access Committee and CENIEH personnel who possess knowledge of the proposals are obliged to maintain the appropriate **confidentiality** about their content.

4.3. VERIFICATION OF COMPLIANCE WITH FORMAL REQUIREMENTS

Personnel attached to the “User Office” will verify that requests are correctly completed, as determined by the type and mode of access. Should they notice any defect, they will notify the applicants of this circumstance so it can be corrected.

4.4. EVALUATION AND ASSESSMENT OF APPLICATIONS

Once the application fulfills the formal requirements, it will be channeled via the User Office. If the application is for on-demand access, it will be evaluated by the Internal Panel. If the application is for competitive access, following evaluation of the technical viability by the Internal Panel, it will be sent to the Access Committee for assessment, report and proposal.

In all cases, a written record of the evaluation of each proposal will be kept on the platform provided for the purpose.

Evaluation of the requests must adhere to the evaluation criteria established by the Center.

4.5. EVALUATION AND ASSESSMENT CRITERIA

All applications (on-demand and competitive) will be evaluated by the Internal Panel with respect to their **technical viability and the availability of the resources necessary at the Center**. In these sections, the overall suitability of the proposal submitted, of the equipment and/or techniques requested, the justification of the need to access the facilities of the CENIEH to undertake the proposal, the time necessary to develop the work plan, and the likelihood of success will all be borne in mind. The availability and capacity of the resources of the CENIEH, whether material (including the space required, if applicable), human (including capacity to manage the project), or financial (consistency with budget) necessary for the execution of the



proposal, will also be taken into account. Those aspects of the proposal which might affect the safety of persons or of the facilities and equipment will also be appraised.

-In the case of on-demand applications, if the result of the technical viability assessment is positive, it will be queued for access.

-In the case of competitive applications, if the result of the technical viability assessment is positive, the request will be passed to the Access Committee for evaluation of its scientific-technical quality. If the result of the evaluation of the technical viability by the Internal Panel is negative, this information will be passed to the Access Committee for approval.

The Access Committee will appraise the **scientific-technical merits** of the applications pursuant to a series of weighted criteria each scored from 0 to 5 (5 being the maximum):

-Scientific-technical quality and excellence of the project. The lead researcher (IP) will have to furnish a memorandum justifying the relevance, originality and innovation of the objectives, in relation to the state of knowledge in the area. If the project submitted has obtained financing in a competitive call, the memorandum justifying the project submitted to that call may be supplied in its place. 40%

-Scientific-technical excellence of the research team. It will be mandatory to submit the CV of the lead researcher for evaluation of their scientific record. Optionally, the CVs of other members of the research team may be submitted for evaluation. 20%

-Fit and impact of the proposal in the context of the objectives, mission and vision of the Center and its preferred lines of research. 40%

5. RESOLUTION OF ACCESS APPLICATIONS

5.1. COMPILATION OF REPORTS BY THE ACCESS COMMITTEE (Competitive access)

Following assessment of the applications, the Access Committee will prepare a report with its positive or negative appraisal of the requests and their prioritization.

5.2. RESOLUTION OF APPLICATIONS (Competitive access)

Once the assessment, report and proposal by the Access Committee have been received, the Director will resolve the call. All decisions to concede or deny access will be accompanied by a justificatory report.

The applications will be classified as:

- **Priority 1:** Proposals approved and with access time assigned.



- **Priority 2:** Proposals approved but without access time assigned. These might finally have access in the event that access time is freed up by the cancellation of applications rated as priority 1. To this end, a waiting list will be created, prioritized according to the score obtained in the evaluation process.
- **Ineligible:** Proposals which have not passed the evaluation satisfactorily, because they do not reach the threshold of scientific-technical interest for the Center, even though they are technically viable; or those which hold great scientific-technical interest but are not technically viable to be conducted at the Center (in accordance with the evaluation carried out by the Internal Panel). The report might include recommendations to the applicant about modifying the proposal so that they could then apply for access in the following call.

If the access request is approved but the proposal remains on the waiting list, applicants can submit it again in a new access call. If there were any cancellations of accesses, the surplus slots will be offered to the lead researchers of these proposals, according to their order of priority.

If the proposal does not pass the evaluation, the applicants will not be able to submit the same proposal in a later access call unless they apply the recommendations made by the Access Committee, or possible circumstances unrelated to the proposal which may have stymied its approval change.

5.3. COMMUNICATION TO APPLICANTS

5.3.1. On-demand access

The decision to concede or deny access will be notified to users by email from the “User Office”.

5.3.2. Competitive access.

The decision to concede or deny access will be notified to users by email from the “User Office”, and will be published on the webpage of the Center, within the period set out in the call.

If the application is approved, the lead researcher of the proposal will have a deadline of 10 working days from the publication on the website to accept or reject the access conceded, in writing. When acceptance of the access conceded is received, the person designated in the call and the lead researcher shall liaise to plan the scheduling of the work.



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6. APPEALS AND DEADLINES FOR FILING (Competitive access)

According to the Act 39/2015, of 1 October, of the Common Administrative Procedure for the Public Authorities, the resolutions of the Director exhaust the administrative remedies, and interested parties may avail of the following against them:

- a) Optional request for reconsideration by the Director themselves within a period of one month, pursuant to articles 123 and 124 of the cited Act.
- b) Judicial review within a period of two months.

The reconsideration request will be resolved by the Director following a report, where applicable, by the Access Committee and other interested parties, and pursuant to the provisions of articles 112 ff. of the Act 39/2015. The maximum period for ruling on and notifying the request shall be one month, after which time it is understood to have been dismissed. No further remedy beyond the reconsideration request other than the procedure of judicial review indicated is possible. In any event, and to avert stoppage in the activity of the Center while any appeals filed are being decided, the experiments or analyses for the proposals approved will be scheduled, according to their order in the list.

If the reconsideration request submitted is upheld, the Director will notify this to the appellant, other possible interested parties and those members of the CENIEH responsible for planning its activity, and scheduling the work related to the proposal will take place. If this decision affects the scheduling of other experiments approved, the lead researcher of those will be notified so they can be rescheduled.

The same procedure will be followed should the request by the applicant for judicial review be upheld.



ANNEX I

Appearance of the user platform and the fields to be completed on making the application.

The applicant will register as lead researcher of the project and may register up to 10 people who will be able to view the applications made. The purpose of this is that the IP can facilitate their password to users so that the latter can file applications in the name of the IP, but who will in any case be kept informed about the applications in relation to their project.

The screenshot shows the 'General Information' tab of a proposal form. The form is titled 'Proposal 2019057'. It includes a sidebar with navigation options: USERS, PROPOSALS, BACKOFFICE, and CONTACT. The main content area has tabs for 'General Information', 'Scientific part', 'Technical part', 'Internal Committee', 'Classify proposal (N or C)', and 'Access committee'. The 'General Information' tab is active, showing the following fields:

- Other researchers members and/or end users of the facility
- Classify and sort proposal
- Budget
- PRL Review
- Explain of Experiment: Explanation of the experiment (*)
- Relevant funding for the project connected to the request for access: Relevant funding for the project connected to the request for access (*)
- Project number (*): none
- Proposal type (*): Scientific Research
- Proposal category (*): New
- Discipline: Discipline of the experiment/project: Earth Sciences

Buttons for 'Save' and 'Back' are located at the bottom right of the form.

Fig 1. **General Information.** General information about the experiment or analysis it is desired to undertake (free text). The project financing the work requested. The type of proposal (dropdown), whether the proposal is related to research, teaching, industry, etc. Type of proposal (dropdown) new, continuation or long-term; this latter case always implies a research stay at the Center. Discipline into which the proposal fits (dropdown), earth sciences, biology, materials science, etc.

The screenshot shows the 'Scientific part' tab of the same proposal form. The 'Scientific part' tab is active, showing the following fields:

- Other researchers members and/or end users of the facility
- Classify and sort proposal
- Budget
- PRL Review
- Experiment/Project title (max. 100 characters) (*)
- Objectives and Samples (max. 1000 characters) (*)
- Trade name, Legal entity name or Corporate name (*)
- Complete Invoice Address (*)
- NIF/CIF/VAT number (*)
- Contact Email (*)

Buttons for 'Save' and 'Back' are located at the bottom right of the form.

Fig. 2. **Scientific part.** General information about the title given to the experiment (free text), General objectives pursued with the request and number of samples to be analyzed (when appropriate) (free text), tax information about the request and to whom the work is chargeable once the analyses have concluded, and a contact email address.



The screenshot shows a web browser window with the URL <https://useroffice.cenieh.es/E6/Proposal.aspx?id=715&c=1>. The page title is "Proposal 2019057". On the left, there are navigation tabs: "USERS", "PROPOSALS", "BACKOFFICE", and "CONTACT". The main content area has a breadcrumb trail: "Other researchers members and/or end users of the facility" > "General information" > "Scientific part" > "Technical part" > "Internal Comitee" > "Classify proposal (N or C)" > "Access committee". Below this, there are sub-tabs: "Classify and sort proposal", "Budget", and "PRL Review". The "Technical part" sub-tab is active. It contains several sections: "Requested laboratories (*)" with a list of checkboxes for various scientific fields; "Risk in samples" with checkboxes for different types of risks; "Other Risk" with a text input field; "Is a stay in the center required?" with a checkbox; and "Other requirements that you consider necessary for your access:" with a text input field. At the bottom, there is a "Documents" section with a link to "Elegir archivos" and a note: "Ningún archivo adjunto". Below this, there are two small red text boxes: "* Allowed file format: .doc/.docx/.xls/.xlsx/.ppt/.pdf/.zip/.rar/.html" and "* Maximum file size: 50Mb." The CENIEH logo is visible in the bottom right corner of the page.

Fig. 3. **Technical part.** This includes information about the laboratories requested for the proposal, the possible risks accruing to the samples, whether a stay at the CENIEH is necessary, and any other requirement or request the applicant may wish to convey at the moment of filing their application.



ANNEX II

Flow diagrams for On-Demand and Competitive Access applications

