



central european institute of technology

BRNO | CZECH REPUBLIC

Common Rules for Cooperation with Application Sphere

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1. Introduction

CEITEC (Central European Institute of Technology) is a project focused on the establishment of a European centre of excellence in the area of life sciences and advanced materials and technologies.

Common Rules for Quality Management, Human Resources Management, Cooperation with the Application Sphere, Code of Ethics and Common Publication Policy are an integral part of the management and coordination of the centre in all CEITEC Organisational Units and the Central Management Structure. A detailed description is available in Annex 1 Overview of Common Rules and Policies.

1.1 Purpose

The Common Rules for the Cooperation with the Application Sphere describe the overall policies, organisational responsibilities, procedures, and the means of ensuring that all items of work are in conformance with the obligations to the OP RDI grant and, in particular, with project's overall objectives reflected in the specific goals stated below.

The purpose of these rules is to increase efficiencies in the use of the results produced through R&D and CEITEC infrastructure, and to ensure a uniform and consistent approach in the area of R&D cooperation (contract and collaborative research) and the use of the CEITEC infrastructure within the whole CEITEC centre.

1.2 Goal

The main goals of the policy are to set a quality system of intellectual property treatment in place on the level of CEITEC Organisational Units and on that of the Central Management Structure and to increase the level of cooperation with the application sphere in terms of contract research, common research projects and the use of CEITEC infrastructure.

The binding values of CEITEC monitoring indicators related to cooperation with the application sphere are given in the table below.

Binding Values of Monitoring Indicators	By 31.12.2015
Volume of contract research (thousands CZK)	50 906
Number of collaborative projects with application sphere	15
Share of the new infrastructure used by other subjects (%)	30
Protected R&D results (according to R&D Council methodology)	2

1.2.1 Specific Goals

The accomplishment of the main goal is assured through the following specific goals:

- ▶ To assure coordinated, standardized and efficient exploitation of research results (e.g. patents, licences, spin-off companies, joint R&D projects with application sphere on the developing research results)
- ▶ To set in place a coordinated approach in the area of contract research, collaborative research and services provided by CEITEC partners
- ▶ To implement an efficient strategy for the use of the CEITEC infrastructure including functional monitoring and reporting systems (as part of CEITEC common information system)
- ▶ To create a unified communication platform with the application sphere
- ▶ To assure adherence to state aid principles

2. Content

2.1 Activity Summary

The following table indicates who should pay attention to individual principle activities and specific measures.

	ED ¹	SD	OD	CD	CB	ISAB	OUD	RPC	RGL	Researcher
Business Development				•			•			
Marketing Strategy				•						
Regional Technology Transfer Model				•			•			
Research Outputs Exploitation			•	•			•	•	•	•
Identification and Assessment of IP Potential				•			•	•	•	•
Protection of IP				•			•	•	•	•
Motivation of Researchers							•		•	
Training in the Area of IP Protection			•						•	•
Cooperation in R&D				•			•		•	
Contract Research				•			•			
Collaborative Research				•			•			
Other Forms of R&D Cooperation				•			•			
Services				•					•	
Use of Infrastructure			•	•			•			
Categorisation of Infrastructure Users				•			•			
Price Policy				•			•			

¹ ED Executive Director, SD Scientific Director, OD Operational Director, CD Commercial Director, CB Coordination Board, ISAB International Scientific Advisory Board, OUD Organisational Unit Director, RPC Research Programme Coordinator, RGL Research Group Leader.

	ED ²	SD	OD	CD	CB	ISAB	ODU	RPC	RGL	Researcher
Laboratory Information Management System (LIMS)			•							
State Aid Compliance	•			•			•			

2.2 Principal Activities

The effective strategy of cooperation with the application sphere is one of the key areas of CEITEC interest. The application sphere is perceived as commercial companies with their own R&D departments along with other types of organisations as well (e.g. other research institutions, hospitals).

CEITEC activities in the area of cooperation with the application sphere are focused on (1) business development, (2) the use of intellectual property, (3) R&D cooperation with the application sphere, (4) usage of CEITEC research infrastructure and (5) state aid compliance.

2.2.1 Business Development

Business development in the case of CEITEC has to be understood in the broad sense of generating income from both collaborative and contract research, and ensuring the use of the infrastructure and services by external users including both researchers and commercial partners. In the long term, CEITEC will have to diversify sources of income. CEITEC should increase income from its inventions, patents, royalties from licences, and other forms of intellectual property exploitation.

2.2.1.1 Measure 1: Marketing Strategy

The Central Management Structure, represented by the Commercial Director, is responsible for the creation of the CEITEC centre's marketing strategy as a whole. In the marketing strategy, concrete measure implemented by Central Management Structure should be described.

The main activities / responsibilities included in the CEITEC marketing strategy are:

- ▶ creation of the CEITEC marketing strategy
- ▶ administrative support in the area of technology transfer – within a process of commercialization of research outputs
- ▶ administration of database of partners / subjects from application sphere
- ▶ comprehensive management of marketing documents
- ▶ assessment of target groups
- ▶ communication with companies and arranging events with partners / subjects from application sphere
- ▶ PR and presentation of the CEITEC centre

² ED Executive Director, SD Scientific Director, OD Operational Director, CD Commercial Director, CB Coordination Board, ISAB International Scientific Advisory Board, OUD Organisational Unit Director, RPC Research Programme Coordinator, RGL Research Group Leader.

The Marketing Strategy will be formulated by the Commercial Director no later than 3 months after the issue of the Decision on grant.

2.2.1.2 Measure 2: Regional Technology Transfer Model

CEITEC activities will seek synergies and complementary activities with other regional partners – in particular with the Technology Transfer Offices of Masaryk University (TTO MU) and with Brno University of Technology (TTO BUT), as well as with other regional entities active in the fields of technology transfer, start-up incubation, marketing, business development and consultancy.

In order to coordinate these synergic activities and to advance technology transfer competences in South Moravia while omitting overlaps and creating other synergies, an Indicative Regional Technology Transfer Model has been created. The regional model describes the positioning of the following main regional players: TTO MU, TTO BUT, South Moravian Innovation Centre (JIC), and CEITEC. The purpose of this regional model is solely to illustrate the present situation in the region and to map out the ambitions of the selected regional players involved in the technology transfer value chain and related processes. However, it does not create any commitment for future collaboration arrangements or of any future supplier-customer relations. The role of JIC is only indicative, expert service provider(s) will be selected on the basis of open tender.

The mapping of competences of the described regional players is shown in the table below, which provides a basic idea of possible involvement within the technology transfer value chain. For the CEITEC Central Management Structure the key roles are scouting of research results and evaluation of commercial potentials as well as marketing competences focused on internationalisation and brand management (also summarized in the table below).

It is the obligation of all CEITEC partners to assure the functionality of all activities given within the framework of the regional technology transfer model. The activities are as follows:

- ▶ basic screening of R&D outputs
- ▶ communication and information
- ▶ research scouting
- ▶ desk analysis
- ▶ patent portfolio creating
- ▶ market watch on application potential and technology benchmarking
- ▶ scientific proof-of-concept
- ▶ cost-value assessment
- ▶ know-how / invention description
- ▶ deepening of technical aspects
- ▶ support contract management

For detailed information on the processes of the regional technology transfer model, see Annex 2 Regional Technology Transfer Model.

CEITEC	TTO MU and TTO BUT	Expert Services Provider(s)
scouting	liaising with researchers	networking
networking	education and training	strategic marketing
strategic marketing	networking	business planning
search for clients and business development	IPR management and spin-off creation support	search for clients and business development
internationalization	market focus	financing system
brand management and PR	internal culture and management	incubation programme
project support	project support	venture capital attraction
a shared information system is a must to enable prompt collaboration on individual projects		

2.2.2 Research Outputs Exploitation

The effective use of intellectual property is one of the key areas of CEITEC interest. A strategy for the use of IP means planning the gradual creation and implementation of an effective system of commercialization and the protection of IP.

The use of IP within the CEITEC centre is derived from the established rules for the use of the IP belonging to individual participating institutions. All partners are obliged to have corresponding internal norms dealing with IP exploitation.

The effective exploitation of the results of CEITEC research and development activities is an integral aspect of project management. It is the responsibility of the Commercial Director to actively support planning and activities leading to applications of the centre's results.

The Central Management Structure, represented by Commercial Director, is responsible for the preparation of sample documents for the transfer of knowledge into the application sphere (templates of contracts, etc.). The content of sample documents can be adjusted in individual cases. Sample documents should be available in Czech and English version.

The fundamental principles shall include:

- ▶ Implementation of business development models based on cooperation of subjects concerned in IP protection
- ▶ Regular planning and assessment of application potential (through annual preparation and approval of the Scientific Activity Plan of the Project)
- ▶ Regular personal contact with respective researchers
- ▶ Fostering knowledge and regular training in intellectual property exploitation and protection
- ▶ Matching identified demand and supply
- ▶ Intense monitoring of trends and events in CEITEC application areas and key market segments

- ▶ Transfer of best practices (e.g. case studies, listing most successful researchers / Research Groups in technology transfer)

Activities undertaken by CEITEC project Partners to ensure the transfer of R&D project results into practice and the basic protection of IP will be financed by the owner of the IP. If the owner of the IP has no interest in patenting / commercialization, he is obliged to offer this prospect to the other CEITEC partners in order to seek alternative options.

2.2.2.1 Measure 1: Identification and Assessment of IP Potential

'CEITEC IP' always means IP in the wider sense of the term, i.e. not only inventions and their legal protection (patents, utility designs), but also other results for which application potential may not be immediately evident – e.g. IP, which cannot be protected by registration into a register (business secret, confidential information, know-how) or copyrighted work (scientific publications, databases, software, etc.). Scientific publications are dealt with in the Common Publication Policy.

The property rights for the IP created by CEITEC employees are derived from the labour relations of researchers and other employees to their respective Organisational Units, unless agreed otherwise.

Workflow

Identification of IP Potential

1. As a part of Research Programme management, the Research Group Leader has a duty to regularly (during regular meetings) inform the Research Programme Coordinator about new, planned and expected research results or knowledge created within that Research Group.
2. It is the responsibility of the Research Group Leader to review and identify potentially promising intellectual property created within the Research Group. Research Group Leader can apply for assistance from technology transfer experts from the respective partner institution in this activity.
3. Compliance with these rules automatically means compliance with the Common Publication Policy.

Assessment of IP Potential

4. If it is concluded (by a Research Group Leader) that the intellectual property created might have commercial potential, the Research Group Leader informs the Commercial Director. Consultation is recommended regarding the options of IP potential assessment on regular basis with a designated technology transfer expert.
5. The proper assessment of application potential and the proposal of further steps in intellectual property exploitation is the responsibility of the Commercial Director who has the obligation to assure a consultation with the Organisational Unit Director or his/her authorised representative, with the respective Research Group Leader, with other personnel of the partner organisation responsible for intellectual property management, with an opponent such as an independent expert capable of objectively assessing the intellectual property and with other stakeholders or participants where required. The Commercial Director has to make the final decision within 10 working days of Research Group Leader sending him/her all the background materials regarding the technology transfer potential or other beneficial use of the research result.

6. In case the research results have no identified potential for a technology transfer, the research team follows the Common Publication Policy with no further limitations. The final decision is taken by the Research Group Leader on the basis of the Commercial Director's recommendation.

Decision on Appropriate Approach to Commercialisation | Decision on Approach to IP Protection

7. The final proposal is issued only after investigating the background data on the new research output.
8. Consequent steps to implement the recommendations have to be carried out in accordance with the valid internal norms for intellectual property protection of the respective partner institution.

Structure of IP Exploitation Proposal

The proposal shall provide the following recommendations for each and every instance of intellectual property submitted for investigation:

- ▶ Recommendation on commercial potential or another exploitation of the intellectual property
- ▶ Recommendation for further management of the intellectual property, especially in the following aspects:
 1. To protect or not to protect the intellectual property (and possible way to protect IP)
 2. To further develop or not to develop the intellectual property
 3. To further finance or not to finance further development / protection

2.2.2.2 Measure 2: Protection of Intellectual Property

The purpose of the protection of IP is to ensure advantages for the inventors and owners of new technological solutions and to protect the results of their creative work from competition and to prevent the loss of any deserved profits to authors. The CEITEC centre consistently follows these basic principles and pays the maximum amount of attention to the protection of its results. Decisions and discussions about whether or not to ensure legal protection for certain results is a subject of negotiations between authorized persons representing CEITEC partners and responsible persons on the part of CEITEC (Commercial Director, respective Research Group, technology transfer experts of CEITEC partners). Nevertheless, the final decision is in responsibility of respective Research Group Leader. These negotiations include decision on strategies for the protection of IP:

- ▶ type of the protection (patent, utility design, registered trademark);
- ▶ where the registered trademark is submitted (e.g. national patent, European patent, PCT application with a possibility of the subsequent designation of selected states);
- ▶ how long the registered trademark is assumed;
- ▶ approximate costs for this protection;
- ▶ who and at what rate the subject will participate in covering costs related to the protection, and for how long (institutions participating in the CEITEC project contributing to the origination of the IP, commercial partner which will use this IP);
- ▶ the profit share to stakeholders, including CEITEC, in each individual case;

- ▶ the manner of remunerating authors of the solution taking motivational considerations into account for their cooperation with application sphere.

In the case of IP originating from joint projects with subjects outside the CEITEC, it must be specified:

- ▶ who will be the owner of the IP originating from this mutual cooperation;
- ▶ who will submit the application for protection;
- ▶ who will be the owner of the patent or other protected document;
- ▶ who will use it and under what terms;
- ▶ the manner of settlement with co-participating parties.

In addition, it is necessary to mention the manner of financing of the protection; who will conclude possible licences and who will ensure possible protection abroad, etc.

Determining the manner of identification and the protection of IP in the case that this IP cannot be protected by registration into a certain register (business secret, know-how, software) is undertaken according to the regulations of the institution where the IP was originated.

The fact that decisions on aspects of IP protection are performed in accordance with the proposed plan of commercialization of results of the actual R&D project and mainly reflect the interests of application partners, if these partners or their interests are known. Otherwise they are derived from the source materials, generally available patent databases and an analysis of the commercial usability of the invention and other results of the CEITEC centre.

2.2.2.3 Measure 3: Motivation of Researchers

Motivation policy creates an essential part of an adequate IP exploitation strategy. The principles of all CEITEC partners shall serve to have motivational effect on the inventor as well as on the Research Group, Organisational Unit and partner institution *per se*.

The partner institutions shall determine values of rewards and scale the shares of rewards dedicated to inventors in relation to the net income to the institution (in general, the higher the total net income for the institution, the lower reward for the inventor in terms of proportionality).

In general, all CEITEC partners are obliged to reinvest (into the respective Organisational Unit) the proceeds from the exploitation of R&D results in at least the same ratio in which their Organisational Units have contributed to the overall proceeds of the partner institution.

2.2.2.4 Measure 4: Training in Area of IP Protection

Training of CEITEC employees, especially researchers, in the area of IP protection is a part of general career development and further education activities, which are regulated within the Common Rules for Human Resources Management.

CEITEC researchers will be supported to undertake training in the area of IP protection provided mainly by technology transfer experts from the CEITEC centre (Central Management Structure, technology transfer offices of Masaryk University and Brno University of Technology). Information brochures, description model cases and also individual advisory services will be available to researchers.

Ensuring of training in the area of IP protection is in responsibility of Commercial Director in cooperation with Organisational Unit Directors. The first training and training package shall be prepared no later than 3 months after the issue of the Decision on grant.

2.2.3 Cooperation in R&D

Cooperation in R&D is defined as an implementation of contract research, collaborative research (or other forms of R&D cooperation) and provision of services by CEITEC employees. It is not the delivery of research equipment by companies, fundraising activities or donations to the CEITEC centre.

The Central Management Structure, represented by the Commercial Director, is responsible for the preparation of sample documents for contract and collaborative research. The content of sample documents can be adjusted in individual cases. Sample documents should be available in Czech and English versions.

The Organisational Unit Director is responsible for the negotiation of contractual terms and conditions and for entering into contract with companies / research institutions from the application sphere.

Priority outputs from the process of the transfer of knowledge into the application sphere:

- ▶ proposals for further projects of contract and collaborative research
- ▶ proposals for further projects of basic research
- ▶ socially beneficial technology (meeting CEITEC Common Research Objectives) in the ownership of the ordering party of the research
- ▶ results of the project (not only results protected by patents) owned by CEITEC partners
- ▶ results of the project (not only results protected by patents) in co-ownership with application partners
- ▶ publications in leading professional journals
- ▶ provided licences
- ▶ established spin-off companies

2.2.3.1 Measure 1: Contract Research

Contract research is defined as a research project in which a customer orders services on a contractual basis at CEITEC and pays the price set in the contract. The subject of the contract is the execution / resolution of a research task carried out by CEITEC employees on CEITEC research equipment. The customer is not involved in the execution of the research task.

IP created in the CEITEC centre (foreground knowledge): When the ordering party of the research pays the full market price for the research, or the full cost plus a profit margin, the results of the contract research (foreground knowledge in contract research) will be under the ownership of the ordering party of the research. The strategy of the CEITEC centre is to attempt, where valid legislation permits, to maintain the right to use IP created in the CEITEC centre for purposes for which the contract research was not agreed (e.g. further investigation, teaching, etc.) for participating institutions.

IP entered into the CEITEC centre (background knowledge): The strategy of the CEITEC centre is to not permit the use of existing IP as a non-transparent, hidden or not finished part of delivery of order-based research during the order based research. IP brought into CEITEC will always be

identified and included in the calculations of the price for order-based research. In cases where it is necessary to transfer IP rights to the ordering party of the research due to the necessity to use the results of research and development, it will be performed on the basis of licence provided at usual price.

For all order-based research projects and contracts where the bearer is to be CEITEC, the Author's Announcement of Invention³ will be prepared concerning the use of IP in the project of contract research with the aim of achieving the maximum possible contribution for society and CEITEC.

The procedure will be applied in cases of contract research when the financial volume of contract research exceeds the amount of **CZK 500,000 (VAT excluded)**.

The above mentioned limits are set for cooperation with one subject defined by one identification number (IČO) within one calendar year.

2.2.3.2 Measure 2: Collaborative Research

Collaborative research is defined as cooperation between the CEITEC centre and a subject from the application sphere on a research task that is regulated in a contract. The parties involved share risks involved in the research project, but also share research outputs.

The strategy for collaborative research and its development is directed at cooperation with enterprises and other application partners from the private and public spheres, including cases of cooperation between multiple CEITEC partners in a single R&D project. In cases where the collaborative research project or a part of it is paid with Czech state budget funds or from the EU, the respective legal regulations and rules of the provider of the grant will be taken into consideration in the application of the strategy. The source material is the summary of existing and future co-operating subjects in CEITEC.

IP created in the CEITEC centre (foreground knowledge): In the ownership of collaborative research project results, the principle to be applied is as follows: each R&D partner will have those results he created in the R&D project. CEITEC strategy is to ensure the broadest rights to IP and to maintain the maximum influence for those responsible, and to ensure the contribution of target groups for end users of IP – results of the project. It is the strategy of CEITEC to try to maintain rights of use of partners' IP in the R&D project, which has originated in the project, for the use of all other participating parties within legal parameters.

IP entered into the CEITEC centre (background knowledge): The strategy of CEITEC is not to permit existing IP to be used during collaborative research in a non-transparent manner as hidden and unvalued part of CEITEC's investment in the project. IP brought into the project will be identified in advance and, where required, rights to this IP will be transferred to the ordering party or the research partner when there is a need to use the research results in practice. This will be performed on the basis of licence agreement paid at the usual price.

For all collaborative research projects and contracts, where the bearer is to be CEITEC, the Author's Announcement of Invention⁴ will be prepared concerning the use of IP in the collaborative research project. The aim is to achieve the maximum possible contribution for the company and CEITEC.

³ Czech term: Oznámení původce o vytvoření vynálezu.

The procedure will be applied in cases of collaborative research where the financial volume of this collaborative research exceeds the amount of **CZK 1,000,000 (VAT excluded)**.

The above mentioned limits are set for cooperation with one subject defined by one identification number (IČO) within one calendar year.

2.2.3.3 Measure 3: Services

CEITEC will offer expert services (provision of professional consultations, expertise). Expert services are provided independently without relation to the use of the infrastructure.

Indicative list of services:

- ▶ training for external subjects
- ▶ expert consultations on research problems (e.g. how to set up research equipment, what methods are appropriate to be used)
- ▶ processing of expertise

Each Research Group is obliged to formulate its list of services that are offered to subjects outside the group. These lists of services offered are grouped into one document and administrated by the Commercial Director. Services provided by CEITEC Research Groups are presented on the CEITEC website.

2.2.4 Use of Infrastructure

Three basic categories of external-subject-infrastructure use could be distinguished:

- ▶ use of CEITEC research equipment without assistance of CEITEC personnel: approach to and use of infrastructure directly by the user; this concerns the leasing of equipment calculated in hours; full costs from which the price is stated vary according to the type of the user and the device used
- ▶ use of the CEITEC research equipment connected with previous training required: training of users to work with devices; each user will be sufficiently trained on the required equipment within the scope of work to be undertaken; if necessary, the user may require further (repeated or more detailed) training; the training is invoiced separately
- ▶ measures on CEITEC research equipment by CEITEC personnel: operator of measurement – service for users where measurement is not performed by the user, but by authorized laboratories employing technically trained operators; for equipment characterized by complicated operation, the use of this service may be obligatory

The use of CEITEC infrastructure is directly linked to the operation of the Laboratory Information Management System.

Technologies constituting CEITEC research infrastructure are classified in two categories: technologies within (1) Core Facilities and (2) complementary technologies. There are the following Core Facilities within CEITEC:

- ▶ Nanolithography and Nanofabrication

⁴ Czech term: Oznámení původce o vytvoření vynálezu.

- ▶ Nanocharacterization
- ▶ Structural Analysis Laboratory
- ▶ Nanobiotechnology and Biointeractions
- ▶ Single Crystal Diffraction
- ▶ Electron Microscopy
- ▶ NMR Spectroscopy
- ▶ Proteomics
- ▶ Genomics
- ▶ Molecular and Functional Imaging

The external usage of technologies placed within Core Facilities is expected to be significant. These are not only designed as service laboratories within the CEITEC research centre, but facilities to be commonly exploited by external users as well.

Each Core Facility has defined its “Card of Core Facility” with following information:

- ▶ main activity (short description of Core Facility)
- ▶ head of the Core Facility
- ▶ unique features
- ▶ services provided
- ▶ research equipment
- ▶ possibility of remote access
- ▶ *any additional information*

“Card of Core Facility” is compiled by the Head of the Core Facility in cooperation with the Commercial Director, who will administrate all Cards of Core Facilities and use them for the support of cooperation with the application sphere. Information on Core Facilities is publicly available on the CEITEC website.

Complementary technologies are not expected to be primarily used by external users. These technologies shall mainly be used by centre researchers and students. Services with high added value shall mainly be offered for contract and collaborative research. Additionally, *ad hoc* access to these technologies can be granted to external users. Principles of the pricing policy shall be the same as in aforementioned Core Facilities.

Principles of research infrastructure operation:

- ▶ Laboratory information management system [hereafter: LIMS; see Measure 3: Laboratory Information Management System (LIMS)]
- ▶ Standard rules for all users of the research infrastructure
- ▶ Simple and publicly accessible rules for the use of equipment
- ▶ Publicly accessible price lists of hourly rates for machine time for the use of the infrastructure or other supporting services by internal and external users
- ▶ Simple system of payment for external users
- ▶ Provision of technical support, trainers, supervisors and technicians
- ▶ Regular monitoring and evaluation of research infrastructure usage

2.2.4.1 Measure 1: Categorization of Infrastructure Users

The specification and knowledge of the group of users and related services is the key element for the description of the business strategy.

The term 'user of infrastructure' means any person who uses CEITEC research equipment and follows the rules for its operation.

In the use of the infrastructure, no difference will be distinguished between a user of the CEITEC partner or an external subject; all will have the same rights while using the infrastructure. Only prices for the use of the infrastructure or service provided will be different; this is specified in the price policy.

Categorization of users of the infrastructure:

- ▶ employees (researchers) of CEITEC Organisational Units of the partners
- ▶ other employees of the CEITEC partners
- ▶ other external employees from the research sector (scientific workers of non-commercial research institutions using the CEITEC infrastructure)
- ▶ users on a commercial basis in the form of contract research (use of CEITEC infrastructure by commercial subjects within research on the basis of an order)
- ▶ users on a commercial basis in the form of collaborative research (use of the infrastructure by commercial subjects within the framework of mutual cooperation versus the respective agreed counter-value)

2.2.4.2 Measure 2: Price Policy

When stating prices of CEITEC products and services, in cooperation with enterprises, the rules of the Community Framework will be followed for the state support of research, development and innovations to prevent the indirect support of enterprises (Section 3.2, Community Framework). The price of products and services will be stated at market price or at full-cost price plus an adequate profit margin. In the case of CEITEC projects in cooperation with enterprises, enterprises will not be provided with any indirect state support and IP originated from these projects will be used in accordance with the Community Framework.

Each use of the infrastructure and other related services incurs costs, which users of the infrastructure will pay according to the price policy.

Principles of Price Policy

1. **Free of charge access to research infrastructure:** When obtaining funding through a scheme covering costs of access to CEITEC research Infrastructure and especially Core Facilities (so called "open access"), research projects taking advantage of this funding shall be selected and implemented in compliance with the following rules:
 - a. Open call for proposals with transparent and non-discriminatory conditions must be published at least on CEITEC website.
 - b. Selection of the projects has to be based on their scientific excellence, as the main criterium. Scientific excellence shall be assessed by independent peer review.

- c. All research results achieved within supported projects with the help of CEITEC research Infrastructure shall be publicly accessible, i.e. published in a scientific journal. Reference to the use of CEITEC facilities shall be acknowledged.
- 2. Research infrastructure accessed for a fee:** In the case of collaboration not supported by a public subsidy, all entities exploiting CEITEC research infrastructure shall reimburse CEITEC costs at market price, and in cases of no set market price the reimbursement shall reflect all costs in full plus internal mark-up norms.
- 3. Research infrastructure accessible within collaboration:**
 - ▶ In cases of collaboration supported by public subsidies, all entities exploiting the CEITEC research infrastructure shall reimburse the full costs of collaboration according to the valid full-cost methodology.
 - ▶ In cases of collaboration not supported by a public subsidy, all partners shall reimburse the market price; and in cases of no market price the reimbursement shall reflect all costs in full plus a reasonable margin.
 - ▶ In cases of collaboration not supported by public subsidies, it shall be possible to accept non-financial (in-kind) compensation of the market price, and in cases of no set market price the compensation shall reflect all costs in full plus a reasonable margin.

Price Categories

With respect to the price policy, it is possible to divide the services provided into two basic categories according to the manner of price specification:

- ▶ **Contract prices:** calculation of fees for professional researchers in relation to external subjects. Contract prices are applied mainly within the application of specific research and are stated in the agreement with the client in accordance with rules for the specification/calculation of the price.
- ▶ **Firmly stated prices:** prices stated by the defined methodology. This mainly concerns the leasing of machine time where the specification of the price is derived from real costs. Prices are calculated once a year on the basis of an evaluation of income and costs for individual technology units and equipment. Prices are defined by the persons responsible for each technology unit (or institution owning the respective infrastructure) with the aim of optimizing the economy of the technology unit on the basis of all available information.

Specification of Tariffs for Individual Target Groups

All partners of CEITEC have an internal standard for the specification/calculation of the prices in relation to all above-mentioned services which includes both the actual direct costs for the acquisition and provision of the service, and indirect costs (full cost), plus possible profit margins in the case of external subjects. Services will be invoiced by the partner providing the service.

- ▶ **CEITEC partner:** all direct and indirect operating costs with no additional costs (e.g. marketing).
- ▶ **External subjects:** all direct and indirect operating costs, including depreciation and an adequate profit margin.

2.2.4.3 Measure 3: Laboratory Information Management System (LIMS)

Thanks to the laboratory information management system, data on the exploitation of the infrastructure or specific technologies will be regularly collected, monitored and evaluated by the Operational Director. The information system will be implemented in 2012 and operational from 2012. After the first six months of its operation, the Operational Director shall regularly propose actions to ensure the optimization of the research infrastructure use.

The use of LIMS is compulsory for all facilities or individual pieces of equipment with a purchase price exceeding **CZK 10 mil. (VAT included)**.

2.2.5 State Aid Compliance

All CEITEC cooperation must be in line with applicable state aid legislation, in particular the Community Framework for state support of research, development and innovations (2006/C 323/01, hereinafter referred to as the “Community Framework”).

3. List of Abbreviations

CB	Coordination Board
CD	Commercial Director
CEITEC	Central European Institute of Technology
CMS	Central Management Structure
CZK	Czech crown
ED	Executive Director
EU	European Union
IČO	Identification number
IP	Intellectual property
IPR	Intellectual property rights
ISAB	International Scientific Advisory Board
JIC	South Moravian Innovation Centre
LIMS	Laboratory information management system
MEYS	Ministry of Education, Youth and Sports of the Czech Republic
NMR	Nuclear magnetic resonance
OD	Operational Director
OP RDI	Operational Programme Research and Development for Innovation
OD	Organisational Unit Director
PCT	Patent cooperation treaty
R&D	Research and development
RGL	Research Group Leader
RPC	Research Programme Coordinator
SD	Scientific Director
TTO BUT	Technology Transfer Office of Brno University of Technology
TTO MU	Technology Transfer Office of Masaryk University
VAT	Value added tax

4. Glossary

Application sphere	Commercial companies with their own R&D departments along with other types of organisations as well (e.g. other research institutions, hospitals).
Card of Core Facility	Each Core Facility has defined its “Card of Core Facility” with following information: main activity (short description of Core Facility), head of the Core Facility, unique features, services provided, research equipment, possibility of remote access, any additional information.
CEITEC centre	CEITEC centre is formed by Organisational Units of the CEITEC project, including Central Management Structure.
CEITEC project	CEITEC (Central European Institute of Technology) is a project financed through the Operational Programme Research and Development for Innovations focused on the establishment of a European centre of excellence in the area of life sciences and advanced materials and technologies.
CEITEC IP	Intellectual property in the wider sense of the term, i.e. not only inventions and their legal protection (patents, utility design), but also other results for which application potential may not be immediately evident – e.g. IP, which cannot be protected by registration into a register (business secret, confidential information, know-how) or copyrighted work (scientific publications, databases, software, etc.).
Collaborative research	Cooperation between the CEITEC project and a subject from the application sphere on a research task that is regulated in a contract. The parties involved share risks involved in the research project, but also share research outputs.
Community Framework	Community Framework for state support of research, development and innovations (2006/C 323/01).
Contract research	Research project in which a customer orders services on a contractual basis at the CEITEC and pays the price set in the contract. The subject of the contract is the execution / resolution of a research task carried out by CEITEC employees on CEITEC research equipment. The customer is not involved in the execution of the research task.
Cooperation in R&D	Implementation of contract research, collaborative research (or other forms of R&D cooperation) and provision of services by CEITEC employees.
Core Facility	Set of often unique facilities (technological units), which are used by scientists from the various research teams across the scientific disciplines.
User of infrastructure	Any person who uses CEITEC research equipment and follows the rules for its operation.

5. Changes from Previous Version

Date	Chapter	Description
		<i>not relevant</i>

6. Annexes

ANNEX 1 Overview of Common Rules and Policies

ANNEX 2 Regional Technology Transfer Model

6.1 Annex 1 Overview of Common Rules and Policies

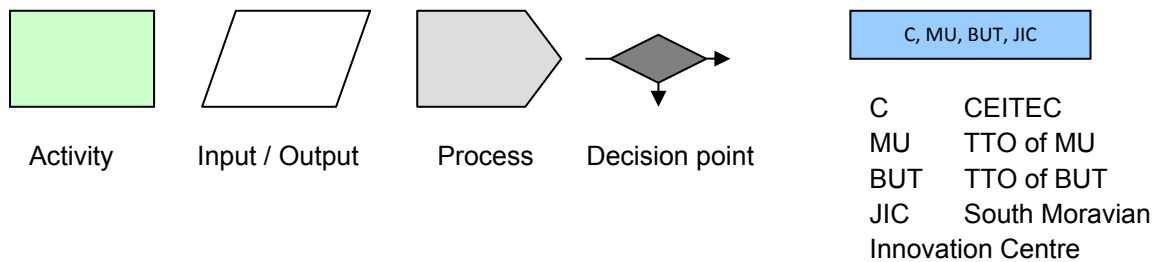
Document	Issues covered in the document
Common Rules for Quality Management	Independent Evaluation of the Scientific Excellence
	Evaluation of complementary projects
	Risk management
	Procurement management
	Project monitoring
	Change management in the OP RDI project
	OP RDI project irregularities
	Scheduling and result-oriented planning
	Confidential and other data processing
	Document control
	Communication among partners and the Central Management Structure
	Communication to third parties
	Marketing documents
	Infrastructure exploitation
	Violation of the Code of Ethics
	Support of publications
	CEITEC website
	Quality management control, update and training
Common Rules for Cooperation with Application Sphere	Marketing strategy
	Cooperation with regional partners in the area of technology transfer
	System of identification, assessment and protection of IP
	Contract research, collaborative research and other forms of cooperation with the application sphere
	Services provided by CEITEC centre
	Common rules for using CEITEC infrastructure

	State aid compliance
Common Rules for Human Resources Management	Recruitment policy
	Career development and further education of CEITEC employees
	Ensuring of merit based non-discriminatory remuneration policy
	Mobility of CEITEC researchers
	Equal opportunities
Common Publication Policy	Defining authorship
	Classification of scientific publications
	Publication process activities
	Monitoring of written publications
	Production of scientific publications with an IF higher than the median in the respective scientific category
Code of Ethics	Ensuring ethical conduct in research and development and management of the centre

6.2 Annex 2 Regional Technology Transfer Model

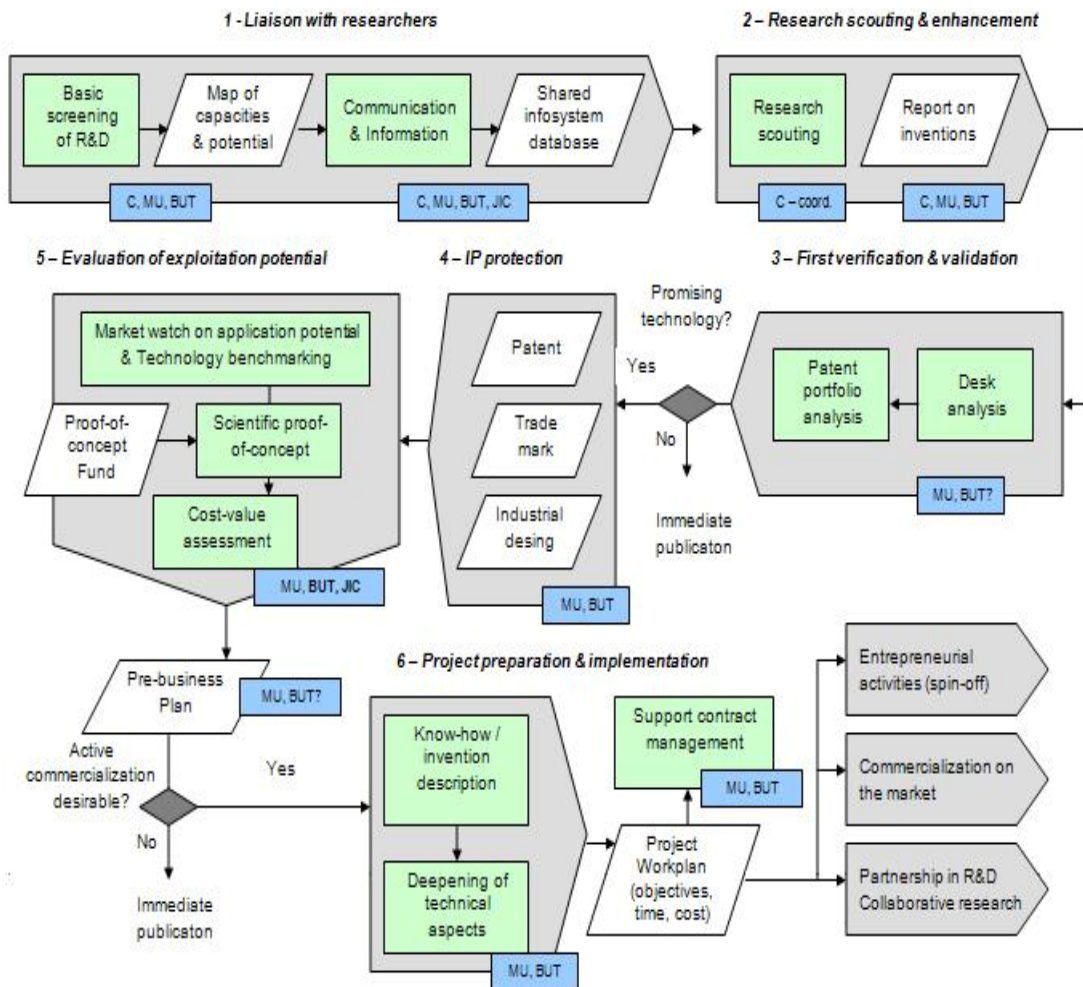
The two figures below show key processes identified within the academic and business pathways of the regional model and the positioning of the key regional players. The technology transfer workflow is formed by activities and processes, inputs, outputs and decision points - especially those relating to the evaluation of the commercialization potential of the particular research results in question. However, not all processes and activities must be covered in individual cases of results exploitation. Various combinations are thus possible depending on the particular result, situation, stakeholders involved and their intentions.

The following shapes and abbreviations are used in the charts:



Regional TT Model for South Moravia - Phase I.

REGIONAL TT MODEL FOR SOUTH MORAVIA – PHASE I – ACADEMIC PATHWAY TO EXPLOITABLE RESEARCH RESULTS



Regional TT Model for South Moravia - Phase II.

REGIONAL TT MODEL FOR SOUTH MORAVIA – PHASE II – INDUSTRIAL PATHWAY TO REVENUE CREATION

