

Policy and procedures of the use of laboratories and equipment of the Core Facilities of autonomous organization of education “Nazarbayev University”

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Section 1. Purpose and Application

1.1. These Policy and procedures establish the process for granting Users access to laboratories and equipment under the responsibility of NU CF, as well as the process for granting Visitors access to laboratories under the responsibility of NU CF.

1.2. These Policy and procedures apply to all Users and Visitors of NU CF.

Section 2. Terms / Definitions

2.1. The following terms and definitions are used in these Policy and procedures:

- 1) CF – Core Facilities.
- 2) Users – students, staff of NU and its organizations, as well as other persons to whom the equipment and laboratories of the CF can be provided for use in accordance with the concluded contracts.
- 3) Visitor – a person visiting CF laboratories accompanied by a Responsible CF staff.
- 4) NU – the autonomous organization of education ‘Nazarbayev University’.
- 5) Responsible CF Staff – NU staff responsible for CF laboratories and equipment, who manage the operation of CF equipment and/or provide instruction and training to Users.
- 6) HSE Induction – a mandatory introductory briefing for all individuals working or studying at NU and its organizations, which contains general information about safety measures and existing dangerous factors.
- 7) Workplace instruction – the process of providing information about potential hazards, dangerous factors, and workplace safety measures. Workplace instruction is categorized into three types, depending on their nature and time of provision: primary, repeated and unplanned. Workplace instruction is conducted in accordance with a program developed by the Responsible CF staff. Upon completion, a knowledge check is carried out, which may include an oral interview or testing, and if necessary, an assessment of the acquired safe operation and working skills.
- 8) QReserve – an online system for reserving CF equipment. It contains information about available CF equipment, including descriptions, features, a reservation calendar, and an option to contact the Responsible CF staff.
- 9) SOP – standard operating procedures developed by the Responsible CF staff, which contain all necessary information about equipment operation, including rules, access hours, training and other information necessary for safe and effective use of equipment.
- 10) Task – a sequence of actions aimed at solving certain scientific and practical tasks of the User in the laboratory.
- 11) Faculty – the Faculty of the University.
- 12) Sample – a research specimen provided by the User for analysis or examined by them independently using CF equipment.
- 13) Operator – a Responsible CF staff member who personally operates the equipment.



14) Laboratory passport – the primary document of the CF laboratory, which contains information about access types and restrictions, types of hazards, prohibitions, personal protective equipment and contact information.

Section 3. Main Provisions

3.1. Access to CF laboratories and equipment

3.1.1. Users and/or Visitors are granted access to CF laboratories and equipment according to the access criteria specified in Appendix 1 to these Policy and procedures, unless indicated otherwise by a Laboratory passport and/or SOP of equipment due to their specificity.

The following access types are available: ‘Visitor’, ‘Supervised Laboratory Access’, ‘Unsupervised Laboratory Access’, ‘Guided Equipment Operation’, and ‘Independent Equipment Operation’.

3.1.2. Individuals with the access types ‘Visitor’, ‘Supervised Laboratory Access’ and ‘Guided Equipment Operation’ must be accompanied by the Responsible CF staff when accessing CF laboratories.

3.1.3. The ‘Visitor’ access type is granted to individuals such as school-students, students, engineering and technical personnel, domestic and/or foreign collaborators, employees of cleaning companies, and others.

Individuals with this level of access are not required to undergo HSE Induction, Workplace instruction and/or training.

The Laboratory passport and the equipment SOP may limit the access and/or number of individuals with the ‘Visitor’ access type to the laboratory and/or to the equipment, based on their specific requirements.

The presence of the Responsible CF staff in the laboratory is mandatory for individuals with this access type.

3.1.4. The ‘Supervised Laboratory Access’ is granted to Users who have completed HSE Induction, Workplace instruction, and hold a Bachelor's degree or higher.

The User receives access to the laboratory to perform a Task only in the presence of a Responsible CF staff.

Having access to a CF laboratory does not grant the User the right to use equipment inside the laboratory. Separate access for equipment usage is required in accordance with the Workplace instruction and equipment SOP.

The User is not permitted to enter CF laboratories on their own. To gain access, the User must contact the Responsible CF staff and request entry to perform specific Tasks arranged in advance.

The User can independently perform Tasks and must ensure their compliance with the safety regulations in the laboratory. The Responsible CF staff may oversee the completion of Tasks.

3.1.5. The ‘Unsupervised Laboratory Access’ is granted to Users who have completed HSE Induction, Workplace instruction, and hold a Bachelor's degree or higher.



During the Workplace instruction, a Responsible CF staff introduces the User to the laboratory's structure and access procedures, considering its specific requirements.

Having access to a CF laboratory does not grant the User the right to use equipment inside the laboratory. Separate access for equipment usage is required in accordance with the Workplace instruction and equipment SOP.

The 'Unsupervised Laboratory Access' is granted only with approval from the Responsible CF staff.

If necessary, Users can access laboratories and equipment after hours by submitting the After-Hours Laboratory Access form, signed by the User and their supervisor (Appendix 2 to these Policy and procedures).

3.1.6. The 'Guided Equipment Operation' access type is granted to Users who are to perform research tasks with the Operator's help.

Workplace instruction and/or training is not required for a User requesting 'Guided Equipment Operation' access type, unless stated otherwise in the Laboratory passport or equipment SOP, considering their specific requirements.

All work or training in the laboratory must be carried out by the Operator or by a User with 'Guided Equipment Operation' access, but only under the direct supervision of the Operator.

The 'Guided Equipment Operation' access type requires the User to register in the QReserve system, reserve equipment, and provide accurate information about their sample and research task details.

3.1.7. The 'Independent Equipment Operation' access type is granted to Users who have either 'Supervised Laboratory Access' or 'Unsupervised Laboratory Access'.

To obtain 'Independent Equipment Operation' access, a User must undergo training conducted by the Responsible CF staff, in accordance with the equipment SOP.

The equipment SOP defines and restricts access to the equipment, specifies the types of procedures that can be performed, and outlines the requirements for the User, considering its specific requirements.

The 'Independent Equipment Operation' access is granted only with approval from the Responsible CF staff.

If necessary, Users can access laboratories and equipment after hours by submitting the After-Hours Laboratory Access form, signed by the User and their supervisor (Appendix 2 to these Policy and procedures).

3.2. Procedure for accessing, reserving, and using CF equipment

3.2.1. The User must review the '[QReserve Equipment Reservation Guide](#)' and reserve CF equipment through the [QReserve system](#).

3.2.2. The User must familiarize themselves with sample requirements, the requirements for accessing equipment and performing equipment operations, as regulated by the Laboratory passport, Workplace instruction, and equipment SOP.

3.2.3. Before beginning any Task, the User must ensure they have completed all required training for equipment access and that the requested types of work and



samples comply with the requirements indicated in the QReserve system and equipment SOP.

3.2.4. The Workplace instruction outlines the access regulations for the User in the laboratory where the reserved equipment is located. Completion of the Workplace instruction must be documented in the health and safety workplace instruction by the Responsible CF staff.

3.2.5. The format of the equipment training, as well as the procedure for validating knowledge and skills afterward, are determined by the equipment SOP, considering its specific requirements.

3.2.6. Upon completing the equipment training and confirming their knowledge and skills, the User will be granted ‘Independent Equipment Operation’ access by the Responsible CF staff.

3.2.7. The User must be aware of all potential dangers when performing Tasks and/or operating equipment after hours. The User, along with the project PI or the User’s supervisor, are responsible for ensuring compliance with laboratory rules and equipment operation protocols during its use.

3.2.8. When reserving equipment through the QReserve system, the User must provide all of the requested information on the reservation page.

3.2.9. The Responsible CF staff may request additional information from the User about the sample and the specific tasks or operations planned on the equipment.

3.2.10. If the User does not have the required training, if the samples and/or types of tasks do not meet the equipment requirements, the Responsible CF staff has the right to refuse the reservation, providing an explanation for the refusal.

3.2.11. The Responsible CF staff has the authority to temporarily suspend or revoke a User’s access to laboratories and/or CF equipment if they pose a safety threat to others, endanger CF equipment, or violate these Policy and procedures.

3.2.12. Possible time-based access restrictions for Users or research groups are defined and regulated by the equipment SOP.

3.2.13. The User must adhere to the specified equipment reservation time. Cancellations or modifications must be made at least one hour before the scheduled start time. If the User is more than 15 minutes late without notifying the Responsible CF staff, the reservation may be canceled by the Responsible CF staff.

3.2.14. If the User systematically violates these Policy and procedures, the Responsible CF staff may restrict their access to laboratories and CF equipment for a minimum period of one month.

3.3. Responsibilities

3.3.1. CF laboratories and equipment are shared resources, where Responsible CF staff and Users collaborate to maintain a safe and a productive working environment.

3.3.2. The movement of CF equipment by third parties is prohibited. Only Responsible CF staff are authorized to relocate CF equipment within or outside of laboratories.

3.3.3. The Responsible CF staff are responsible for maintaining effective research environment in CF laboratories by ensuring the following:



- 1) Users can safely conduct their research work, taking into account the typical safety risks associated with it;
- 2) Users have equal and convenient access to CF equipment and laboratories;
- 3) CF equipment is maintained in optimal working condition to minimize downtime;
- 4) SOPs are readily available next to the equipment and archived appropriately after expiration.

3.3.4. The Responsible CF staff has the right to modify or cancel User's equipment reservation due to schedule conflicts, extended analysis time by the previous User, or equipment malfunctions.

3.3.5. The User is responsible for:

- 1) working carefully within the laboratory and with CF equipment;
- 2) using CF equipment for its intended purpose and in accordance with the equipment SOP;
- 3) being familiar with and for complying with these Policy and procedures, HSE Induction, Workplace instruction, relevant equipment SOP, and Laboratory Passport;
- 4) providing accurate information when reserving equipment through the QReserve system;
- 5) immediately informing the Responsible CF staff of any problems, improper functioning or concerns about the correct operation of the equipment, as well as any other extraordinary situations in the laboratory. Under no circumstances should the User attempt to fix the problem on their own;
- 6) granting access to laboratories and CF equipment to Visitors without prior approval from the Responsible CF staff;
- 7) transferring equipment control to third parties, including Visitors and/or other Users without appropriate access;
- 8) using CF equipment on behalf of third-party organizations or for commercial purposes;
- 9) being liable for any damage to CF equipment or laboratories resulting from User's negligent or intentional actions, as defined by the legislation of the Republic of Kazakhstan.

Section 4. Waiver

4.1. Not applicable.

Section 5. Temporary Provision

5.1. Not applicable.

Section 6. Revision

6.1. These Policy and procedures should be reviewed every year for three years after their approval and revised if necessary.



Section 7. Related Documents

7.1. Regulations for ensuring security of assets of the autonomous organization of education Nazarbayev University and its Organizations.



Appendix 1
to the Policy and procedures of the use of laboratories and
equipment of the Core Facilities of autonomous
organization of education “Nazarbayev University”

Access Types	Criteria for granting access types					Categories of individuals eligible for the corresponding access type
	Presence of Responsible CF Staff	HSE Induction	Workplace Instruction	SOP-compliant Equipment Training	After-Hours Laboratory Access Form	
Visitor	X					All categories of individuals
Supervised Laboratory Access	X	X	X			Users of all categories
Unsupervised Laboratory Access		X	X	X	X (if accessing laboratories after hours)	Users of all categories, holding a bachelor's degree or higher
Guided Equipment Operation	X	X	X			Users of all categories
Independent Equipment Operation		X	X	X	X (if accessing laboratories after hours)	Users of all categories, holding a bachelor's degree or higher
Comments on the access requirements	Access to laboratories without Responsible CF staff is prohibited	HSE Induction is administered by NU's responsible department to provide such training	Specifies the organization and access procedures to the laboratory and equipment	Specifies equipment access, permissible procedures and user requirements	Confirms user's acknowledgment of understanding all associated risks when working alone in the laboratory during after-hours	



Appendix 2
to the Policy and procedures of the use of
laboratories and equipment of the Core
Facilities of autonomous organization of
education “Nazarbayev University”

AFTER-HOURS LABORATORY ACCESS

This form is the basis for User’s after-hours laboratory access.

By signing this form, the User acknowledges the potential dangers associated with working in the laboratory after hours and confirms the completion of all the required training and briefings (indicate YES/NO or specify the type of instruction):

1. HSE Induction administered by NU’s responsible department _____;
2. Workplace Instruction _____;
3. Others _____

By signing this form, the **User's principal investigator or supervisor** understands the risks, responsibilities and consequences of User's after hours work in the laboratory.

User's full name _____

Mobile phone number _____

E-mail: _____

Full name of the principal investigator or supervisor:

Position (*indicate*):

Master student _____; PhD student _____; Postdoctoral researcher _____;

Faculty _____; Research Assistant (RA) _____;

Research associate _____; other _____.

CF laboratory number and name:	
The access period (<i>To be filled by the Responsible CF staff</i>)	
User (Full name):	Signature / date
Project investigator / supervisor (Full name):	Signature / date
Responsible CF staff (full name):	Signature / date

