Policy for Open Access to Research Infrastructures
at <u>the Polytechnic Faculty of the University of Zenica</u>[1]

Introduction

The mission of the University of Zenica relies on three components of the higher education: education, research and service to the society. The research component envisages continuous monitoring and improvement of scientific research at the University, training and the inclusion of as many young people as possible in this process and connecting the University with the environment, economic and cultural events. The mission includes promoting economic, social and cultural development within and beyond the borders of regions and countries, providing scientific and technical support. To achieve that, University of Zenica must follow the national and international quality in education and science.

The vision for the University of Zenica is to become a modern and respected higher education institution, included in the common academic space of Europe and the world.

Research capacities of the Polytechnic Faculty are shared with other organizational units of the University of Zenica, but utilization is at a very low rate and it is difficult to provide funding for maintenance. The ratio between educational and research activities in university staff workload is also unsatisfactory, where majority of time is spent on education, while research is neglected. Open access policy could improve this situation, attract and retain good researchers and provide contract research services to enterprises and other external organisations. The research infrastructure could promote collaboration between science, technology and industry and provide a platform for education of young scientists and engineers.

CHAPTER I GENERAL PROVISIONS AND DEFINITIONS

1. The Polytechnic Faculty of the University of Zenica (hereafter – PTF) is an organizational unit of the public institution University of Zenica. It was established in 2011, designed as a modern faculty, oriented to various engineering and multidisciplinary study programs. Polytechnic Faculty currently offers three study programs: Production Business, Civil Engineering and Software Engineering.

2. This Policy is applied to all technical **Open Access Research Infrastructures** for research and development (R&D) (hereafter – **Research Infrastructure** or **RI**) of Polytechnic Faculty of the University of Zenica and guide the relations between the Polytechnic Faculty of the University of Zenica RI and the **Users**.

3. This Policy forms an integral part of any **Open Access Services** agreement concluded between the Polytechnic Faculty of the University of Zenica RI and the **User**.

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4. The objective of this Policy is to define the nature of **Research Infrastructure**, its position in the Faculty and the University, its technical specification and services, provisions for use of resources, time ratio, formation of pricing, confidentiality obligations and dispute settlement procedure.

5. The following definitions are used in the Policy:

- **Open Access principles** – the conditions under which PTF creates access to its Research Infrastructure for use by different groups of **Users** inside and outside the University;

- **Research Infrastructure (RI)** (infrastructure for carrying out research) – physical structure (laboratories), instruments, tools, and other material and virtual resources and related services required for the performance of modern fundamental and applied scientific research;

- **Resources** – research infrastructure, scientists and other researchers working with the infrastructure, staff providing services to the infrastructure, conducting the operation of the infrastructure, working, maintenance and development, time of the infrastructure

- **Open Access Services** – services constituting access to the Research Infrastructure, approved by the Faculty's Vice-dean for Research.

- **User** – an **Applicant** who was granted access to the **Research Infrastructure**

- **Applicant** – a natural or legal person (internal or external to the Faculty) ordering services from the Research Infrastructure or requesting access to this Research Infrastructure to perform research

- **Application** – an application submitted by the **Applicant**. The **Applicant** must clearly state whether the **Research Infrastructure** will be used for research, for commercial purposes or for some other purpose.

- **Research Infrastructure Operating time** – the total operating time of the Research Infrastructure

- **Experimental time** – the period of time within which the Research Infrastructure can be used to carry out scientific research and development works

- **Technical time** – the period of time within which the Research Infrastructure is being technically maintained and the users cannot use the Research Infrastructure to carry out scientific research and development works.

- **Off time** – the period of time which the Research Infrastructure cannot be used. This time is reserves for maintenance and repairs

- **Open Access time** – the period of time within which the Research Infrastructure is made accessible to the users either for free or a for a fee

- **Guaranteed Time** – the period of time reserved for external users who use the Research Infrastructure for realization of research projects identified as "of special importance for the Canton", as described in the Law on Scientific Research (Official Gazette of Zenica-Doboj Canton no. 11/17).

- **Commercial Time** – the period of time within which the **Research Infrastructure** is made accessible for renumeration

CHAPTER II RESEARCH INFRASTRUCTURE MANAGEMENT

6. Management and supervision of specified **Research Infrastructure** is ensured by: Vice-Dean for research, Laboratory managers, Project managers, Laboratory technicians.

7. Faculty Vice-Dean for Research is directly responsible for:

    - Creating strategy for research at the Faculty and managing its realization and harmonization with other strategic documents

    - Management of staff, equipment and resources at the **Research Infrastructure** level

    - Monitoring status of **Research Infrastructure**, taking actions for improvements, purchase of new and maintenance of existing research infrastructure

    - Suggesting actions to improve status of research at the Faculty

    - Monitoring and coordinating research projects

    - Informing university staff about prospective research projects and calls for funding

    - Supporting academic staff in improving their skills and competences for research

    - Supporting, creating conditions and stimulating young researchers in achieving their academic goals

    - Promoting innovation activities

    - Giving consent to the use of the Research Infrastructure and granting access to **External Users**.

    - Regular reporting to the Dean and Scientific Educational Council

8. Laboratory manager is directly responsible for:

    - Management of staff, equipment and resources at the laboratory level

    - Monitoring, maintenance and calibration of the laboratory equipment

    - Planning and managing schedules, expenses, staff appointment at the laboratory level

    - Giving consent to the use of the Research Infrastructure and granting access to **Internal Users**.

    - Making decisions on pricing

    - Marketing

    - Regular reporting to the Vice-Dean for Research

9. Project manager is directly responsible for:

    - Management of staff, equipment and resources at the project level

    - Proper using and maintenance of the laboratory equipment

    - Planning and managing schedules, expenses, staff appointment at the project level

    - Regular reporting to the Laboratory manager

10. Laboratory technician is directly responsible for:

    - Proper using of the laboratory equipment

    - Supporting and training local and external users for proper equipment use

- Regular reporting to the Laboratory manager

CHAPTER III USERS OF RESEARCH INFRASTRUCTURE

11. Services of the **Research Infrastructure** at the Polytechnic Faculty of the University of Zenica are provided to internal and external users.

12. **Internal User** is an employee or a student of the University of Zenica.

13. **External User** is a researcher from other higher education institution or public research organisation, commercial organization, public institution or civil society, not employed or enrolled as a student at the University of Zenica.

14. Internal **User**, who wants to use or be entitled to use the **Research Infrastructure** at the Polytechnic Faculty of the University of Zenica reserves the required equipment by an official request sent to Laboratory manager in paper or by email. Laboratory manager approves the request.

15. External **User**, who wants to use or be entitled to use the **Research Infrastructure** at the Polytechnic Faculty of the University of Zenica applies to Vice-Dean for Research by an official request in paper or by email.

16. After the receipt of the external **User**'s request, Vice-Dean for Research checks the eligibility and conditions and then passes this information to the Laboratory manager who approves or rejects the request. If the application is approved, Laboratory manager prepares an agreement for access to the **Research Infrastructure**.

17. The agreement is concluded in writing. Negotiations on the agreement may take place by email, but it enters into force when both parties exchange the originals.

CHAPTER IV ACCESS TO RESEARCH INFRASTRUCTURE

18. **Research Infrastructure** is accessible to the **Users** in compliance with procedures defined by the **Time of Access** to the **Research Infrastructure**.

19. The **Research Infrastructure Operating Time** is divided into **Experimental Time**, **Technical Time** and **Off Time**.

20. The **Experimental Time** is divided into **Open Access Time**, **Guaranteed Time** and **Commercial Time**.

21. Vice-Dean for Research approves the **Research Infrastructure Operating Time** schedule, including the allocation of time units to its types, under the assumption that the objective is to maximise the **Experimental Time**.

22. Laboratory manager guarantees the provision of up to 30% of all **Research Infrastructure** working time to external **Users**, if needed. The remaining working time is provided to internal **Users** and meeting of internal needs, including organisation of the process of the University's studies.

23. **Research Infrastructure** services are provided to external **Users** as a priority in case demand exceeds the quota of **Research Infrastructure Resources** and related services provided to external **Users**.

24. Priority is applied to small and medium-sized enterprises that have signed long-term target cooperation agreements and newly established (during the last 12 months before the date of application submission) small and medium-sized enterprises performing R&D activities.

25. To encourage newly established (during the last 12 months before the date of application submission) small and medium-sized enterprises performing R&D activities to use the services provided by Polytechnic Faculty of the University of Zenica RI, the Vice-Dean for Research can decide to apply preferential treatment.

26. **Research Infrastructure** services, provided under preferential treatment, cannot violate national legal provisions regarding state assistance and the rules for use of public funding from different sources.

CHAPTER V FORMING OF PRICING FOR RESEARCH INFRASTRUCTURE SERVICES

27. Pricing of the **Research Infrastructure** services is made under the principle of the reimbursement of Research Infrastructure costs.

28. The price of the **Research Infrastructure** services is determined according to the **User**'s type – internal vs. external **User** / commercial vs non-commercial, assessing the duration of the work of equipment and human resources, consumables and other materials required for performance of the work, and other possible expenses.

29. After external **User**'s application is received and decision to grant access is made, the **Research Infrastructure** manager (Vice-Dean for Research) prepares a commercial offer of service provision.

30. The **Research Infrastructure** manager (Vice-Dean for Research), who receives an application of internal **User**, automatically complies with request and reserves equipment, if the following provisions are met:

    internal **User** is trained and has a permit to use the reserved equipment;

    internal **User** has funds for consumables and other materials required or

    funds for consumables and other materials are provided by a different source.

31. The services are provided to internal **Users** free of charge, excluding consumables. External **Users** are always expected to pay a fee.

32. Prices of the **Research Infrastructure** services are announced publicly. Prices are reviewed taking into consideration changes in economic conditions, costs of the maintenance, administration and other costs related to the **Research Infrastructure** activities.

CHAPTER VI COLLECTION AND USE OF THE FUNDS RECEIVED FOR PROVISION OF THE RESEARCH INFRASTRUCTURE SERVICES

33. Income received from the provision of the **Research Infrastructure** services have to be used for the up-keep, improvement and renovation of the **RI**. Other purposes might include purchase of consumables and other expenses directly related to the **Research Infrastructure** activities.

34. The income received is distributed as follows: 10% for utility expenses and marketing, 10% for consumables, 10% for depreciation deductions, 70% for equipment maintenance and calibration, and/or engagement of external staff when needed.

35. Accounting of these funds is conducted in the financial department of the University.

36. Utility expenses are collected and used to pay for the electricity, water and heating expenses.

37. Expenses for consumables are collected in the University depreciation fund, which is used for buying of consumables for equipment and materials required for research and for payment for small repairs of equipment.

38. Depreciation deductions are deducted from the received income and collected at the University level in the common depreciation fund. The purpose of this fund – to collect enough funds that can be used for: major repairs of equipment, replacement of equipment when it is worn out or co-financing of acquisition of expensive consumables.

39. Costs of human resources are managed at the University level and used to cover the costs of salary of the employee providing services, and/or engagement of external staff when needed.

40. Marketing costs are deducted from the received funds and collected at the financial department of the University. These funds can be used for the following:

    - Presentation and promotion of the **Research Infrastructure** equipment and services at the exhibitions, events, conferences, companies nationally and internationally for attraction of the customers, including preparation of distributed material;

    - Expenses related to the sales of services and use of equipment;

    - Expenses of provided services, preparation and update of the lists of equipment and information.

41. Added value tax is a state tax, calculated as a fixed part of the price of provided services, transferred to the State Tax Inspectorate.

CHAPTER VII OBLIGATIONS RELATED TO CONFIDENTIALITY AND PROTECTION OF INTELLECTUAL PROPERTY

42. The Vice-Dean for Research ensures the confidentiality of the results of every scientific research and/or experiment performed using the **Research Infrastructure Resources** and/or services. Exceptions can be specified under the written agreement between the **Research Infrastructure** and external **User**.

43. Ownership and management of intellectual property created at the University and confidentiality obligations are regulated by the University's Intellectual Properly rules.

44. In the case of research performed by external **User**, all intellectual property produced by the external **User** within the **Open Access Time** shall be the intellectual property of the external **User** unless otherwise specified in the Agreement.

45. In the case of research performed by external **User** as part of the **Guaranteed** or **Commercial Access Time**, all intellectual property questions will be specified in a special agreement signed for this particular access.

46. In case of the research performed by internal **Users**, a discussion may need to be held about making the results available **Open Access**, adhering to the Open Science principles.

CHAPTER VIII DISPUTE SETTLEMENT

47. University may ask the external **User** to pay an amount equal to part of the renumeration as a collateral before starting to use the **Research Infrastructure**.

48. If the Research Infrastructure or one of its elements is damaged or destroyed, University has the right to request remuneration for this damage or deduct it from the collateral (described in point 47).

49. When the **User** has finished using the **Research Infrastructure** without damaging or destroying the Research Infrastructure, University shall credit the amount referred to in point 47 towards the renumeration or return it to the **User**.

50. In case of disputes regarding the use of the **Research Infrastructure Resources** or service provision, violations of protection of intellectual property or other basis directly related to the **Research Infrastructure**, interested persons can submit a written claim or complaint to the Faculty's Dean.

51. After receipt of a written claim or complaint the **Research Infrastructure** manager (Vice-Dean for Research) transfers it for the consideration of the responsible departments or specially formed bodies. Any claim or complaint must be considered and examined within 15 calendar days from its receipt. Responsible department prepares an answer and sends it to the **User** by registered letter in 5 working days.

52. In case a dispute is not settled, interested persons can protect their rights under procedure established by the national legal acts of Bosnia and Herzegovina, Federation of Bosnia and Herzegovina, and Zenica-Doboj Canton.

CHAPTER IX FINAL PROVISIONS

53. This Policy is amended or repealed under the order of the Faculty's Dean.