Charles University

Rector´s Directive N. 40/2021

<u>Title:</u>

Registration of creative activities, projects and employees´ mobility at Charles University

<u>Lead Office:</u>

Department of Science and Research

<u>Effect:</u>

15 November 2021

Registration of creative activities, projects and employees´ mobility at Charles University

Part I
Introductory provisions

Article 1

1. This Directive governs the rules and procedures applicable at Charles University ("University") in the following areas:
   a) Internal classification of subject-areas of science ("Internal Classification");
   b) Register of personal identifiers of academics and researchers, doctoral students and other persons participating in creative activities ("Register of Identifiers");
   c) Register of data regarding projects of external providers ("Register of Projects");
   d) Internal competitions within creative activities and mobility ("Internal Competitions");
   e) Register of participation in large research infrastructures;
   f) Register of data regarding the creative outputs ("Register of Outputs");
   g) The collection of full-text outputs of creative activities; and
   h) Register of employees´ mobility data ("Register of Employees´ Mobility").

2. This Directive follows applicable versions of the legislation of the Czech Republic, methodological guidelines issued by the Government's Research, Development, and Innovation Council ("RVVI"), and internal regulations of the University, in particular the following:
   a) Act No. 130/2002 Sb., to govern the support of research and development (the "Act");
   b) Act No. 111/1998 Sb., to regulate higher education institutions;
   c) Government Decree No. 397/2009 Sb., on an information system for research, experimental development and innovation (the "Government Decree");
   d) Government Decree No. 274/2016 Sb., to regulate accreditation standards in higher education;
   e) Guidelines for the Evaluation of Outputs of Research Organisations and Outputs of Completed Programmes issued under section 35 of the Act ("National Evaluation Guidelines");
   f) Article 14 (3) and Article 46 (2) of the Constitution of the University;
   g) Code of Procedure for the Internal Evaluation Board of the University; and
   h) Rules for the System of Internal Evaluation and Quality Assurance of Charles University.

3. Procedures implemented and data acquired in compliance with this Directive are to serve, in particular, the following purposes:
   a) To document creative and project activities at the University;
   b) To compile output data sets for the Information System for Research, Experimental Development and Innovation in accordance with section 32 (3) of the Act and section 4 of the Government Decree ("IS VaVaI");
   c) To compile data sets regarding projects for the module Subsidy Registration System ("EDS") of the Budgetary Information System of Program Funding under section 3 o) of Act N. 218/2000 Sb. (Act to regulate budgetary rules);
   d) To create overviews and analyses for annual activities reports of the University, its faculties and other units ("units of the University"), for the needs of the management of the University and managements of the units of the University, including evaluation, and as a basis for the distribution of revenue of the University in accordance with Article 49 (1) of the Constitution;

e) To acquire background materials for ensuring, and internal evaluation of, quality at the University, including materials required for accreditation under Government Decree N. 274/2016 Sb., and in accordance with internal and other regulations of the University;

f) To make available selected data;

g) To acquire, store and make accessible selected data and full texts of the outputs in the institutional repository of publication activities of the University ("Institutional Repository"); and

h) For the purposes of preparation and implementation of other projects in which the University is to participate, and for other purposes.

4. Activities under paragraph 1 are recorded primarily and to the necessary extent in modules of the centralised information system Věda ("IS Věda") managed by the Computer Science Centre of the University ("ÚVT") and other systems of the University.

Part II
Internal Classification

Article 2
Structure of the Internal Classification

1. The Internal Classification is hierarchically structured in four levels as follows:
    a) Panel;
    b) Research Area;
    c) Research Field; and
    d) Subfield.

2. The Internal Classification encompasses links with other subject-area structures and categorisations, particularly the following:
    a) Links implying content similarity between a respective Research Field and categories used in the Web of Science and Scopus databases ("external databases");
    b) Links implying the relatedness/closeness between a respective Research Field or Subfield, and the programme of study carried out at the University;
    c) Links implying the relatedness/closeness between a respective Research Field or Subfield, and the respective branches of procedure for the granting of associate professorship or full professorship carried out at the University;
    d) The unique link between a respective Research Field and only one field in the code list in IS VaVaI.

3. The Internal Classification also includes the list of types and subtypes of outputs considered most frequently as academically valuable in individual Research Areas.

Article 3
Establishing and Altering the Internal Classification

1. The form and content of the internal classification is determined on the basis of academic debates held across the University.

2. The Internal Classification is subdivided into the following Panels in compliance with the national methodology for evaluation and the Code of the Internal Evaluation Board of Charles University:
    a) Arts and Humanities ("HUM");
    b) Social Sciences ("SOC");
    c) Natural Sciences ("SCI");

d) Medical and Health Sciences ("MED");

e) Engineering and Technology ("ENG"); and

f) Agricultural and Veterinary Sciences ("AGR").

3. Research Fields are grouped into Research Areas primarily upon their mutual closeness/relatedness, their possibilities to uniformly utilise evaluation tools and to apply uniform evaluation parameters.

4. The basic rule for establishing Subfields is that these are only formed in order to reflect more subtleties in programmes of study or branches of procedure for the granting of associate professorship or full professorship already existing at the University, or planned to be introduced in the nearest future.

5. Links to be established under Article 2 (2) are subject to the following rules:

a) Every category used in external databases must be entered in at least one Research Field;

b) Every programme of study carried out at the University must be entered in at least one Research Field of Subfield;

c) Every branch of procedure for the granting of associate professorship or full professorship implemented at the University must be entered in at least one Research Field or Subfield; and

d) Every research Field must be entered in only one field in the code list in IS VaVaI, whilst priority is given to the selection at the DETAILED FORD level; however, where a different approach to structuring prevents such selection to be executed it is possible to choose an item at the FORD level for the link.

6. The list under Article 2 (3) is to be compiled only for Research Areas within whose Research Fields the University has been continuously developing creative activities.

7. Changes in the content of the Internal Classification are to be decided, as to their substance, by the respective Vice-Rector primarily on the basis of materials prepared by the Board of a respective Research Area.[1]

Article 4
Use of the Internal Classification

1. Inclusion into the Internal Classification under the rules set by this Directive applies to the following:

a) Academics and researchers of the University employed at the faculties of the University and University institutes;

b) Students in doctoral programmes of study carried out by their respective University units or in which the units participate;[2]

c) Projects of creative activities;

d) Competition proposals and projects in progress of internal competitions in creative activities; and

e) Outputs of creative activities.

2. Individual University units are to ensure that the respective academics[3] and researchers will be unambiguously designated in the WhoIs system of the University in order to determine the scope of persons classified under paragraph 1. a).

3. A respective University unit is to enter every person under paragraph 1. a) (within the system IS Věda) in one up to three Research Fields to the development of which the unit is to contribute. Such categorisation is to apply usually until the termination of the respective employment relationship. Should there be any change applicable it can be implemented only at the end of calendar months.

4. Persons under paragraph 1. b) are entered in respective Research Fields on the basis of relatedness according to Article 2 (2) b). The IS Věda system executes such entering automatically. However, where a person has been entered in more than one Research Field the respective University unit can specify

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[1] Article 7 (2) e) of Rector´s Directive N. 18/2021, Principles of the *Cooperatio* Program.
[2] Article 22 (3) c) of the Constitution of Charles University.
[3] Rector´s Directive N. 15/2020.

such entering; should a person be entered in more than three Research Fields the University unit has a duty to make such specification.

5. In case there are concurrent employment or study relationships upon which the person complies with requirements under paragraph 1. a) or b), the limit of a maximum of three Research Fields applies to each relationship autonomously.

6. If the University indicates no other relationship regarding a person entered into more than one Research Field the participation of that person in respective Fields is to be divided proportionally.

7. Further details with respect to entering persons under paragraph 1. a) and b) and their designation under paragraph 2. are to be specified in separately published methodological guidelines issued by the Head of the Department of Science and Research of the Rectorate.

8. Details with respect to entering individual projects of creative activities under paragraph 1. c) are to be provided in Article 7 (2).

9. Details with respect to entering individual competition proposals and in-progress projects of internal competitions of creative activities under paragraph 1. d) are to be provided in Article 8 (4).

10. Details with respect to entering the outputs of creative activities under paragraph 1. e) are to be provided in Article 11 (5).

Part III
Register of Identifiers

Article 5
Personal research identifiers

1. The following personal identifiers, in addition to the University personal ID, are to be used for the purposes of unequivocal identification of a person participating in the creative activities of the University ("identifiers"):
   a) ORCID ID;
   b) Researcher ID of the Web of Science database; and
   c) Scopus Author ID of the Scopus database.

2. Identifiers are to be recorded via the IS Věda system.

3. Methodological guidelines issued under this Directive and/or other Rector´s directives, can set tasks for the implementation of which identifiers must be entered in respective registers.

Part IV
Register of Projects

Article 6
Subject-matter of the Register of Projects

1. The IS Věda system is a primary register for all projects of external providers for which the University applies and which are in progress as to their solution at the University, which includes the following:
   a) Projects financed from the programs of purpose-oriented support recorded in the IS VaVaI;
   b) Projects carried out within national operational programmes;
   c) Foreign, international and European programmes;
   d) Projects of contractual and collaborative research;

e) Development projects;

f) Projects financed from subsidy programmes registered in the EDS, and projects of reproduction of investment property ("investment projects"); and

g) Any other projects.

2. The Register of Projects is subdivided into parts according to individual types of projects. The subdivision is to be specified in the methodology for the projects issued by the Head of the Department of Science and Research of the Rectorate.

3. The parts of the Register are as follows:

a) Projects of creative activities in progress on 1 January 2019 or later;

b) All projects under Article 6 1. b) commencing within the programme period 2021–2027;

c) Other projects in periods for individual agendas determined in the methodology for project registration; and

d) Basic information regarding projects applications to the extent determined for individual agendas in the methodology for project registration.

4. Records of projects older than those set in paragraph 3 that were recorded in the IS Věda system, will remain stored in the format existing on the date of effect of this Directive, or on the day of termination of a respective period under Article 23 (1).

Article 7
Requirements for Registration of Projects

1. Basic mandatory recorded data are as follows:

a) Numerical identification (project number, contract, etc.);

b) Textual identification (title or summary of the subject);

c) Date of commencement and the date of planned or actual termination of solution (or termination of effect of the respective contract);

d) Name of the principal researcher (or the person in charge);

e) Name of a University unit participating in the project solution;

f) List of all organisations participating in the project, including their country;

g) Basic identification data regarding the support provider, or the respective contracting party;

h) Identification of the programme;

i) Basic financial data within the scope determined in the methodology for project registration; and

j) List of envisaged clinical studies with the participation of humans carried out within the project, and the information regarding their registration in the respective register.

2. Records regarding projects of creative activities include, on a mandatory basis, entering in respective Research Fields as follows:

a) Entering in one Research Field is always mandatory. In the case of entering in more Research Fields it is possible to record such multiple assignments in the entry;

b) Entering in subfields is not made;

c) In the case of projects registered in the IS VaVaI, it is a duty of the respective University unit in cooperation with the principal researcher to ensure that entering in the Field in the IS VaVaI is to be carried out in compliance with the inclusion of the project into the Internal Classification, in compliance with the rules for transferring between Research Fields of the University and the code list of fields of the IS VaVaI determined within the Internal Classification.

3. The methodology for project registration determines other mandatory, conditionally mandatory and non-mandatory data to be recorded in individual agendas, and further requirements for registration.

Part V
Internal Competitions

Article 8

1. The IS Věda system is to be used for administering internal competitions in the area of creative activities and mobility at the University or Faculty levels ("Competition Programmes"), if so provided by a special Rector´s directive or a Dean´s directive.

2. Uploading, entering and evaluating applications, project proposals and similar documents ("Competition Proposal"), upon which a person becomes a participant in the internal competition, and further recording of the course of solution of projects accepted for funding ("In-Progress Competition Projects") are governed by the rules of a respective competition on the basis of the Directive under paragraph 1 (Rules of the Competition").

3. Every Competition Programme and its comprehensive documentation (Competition Proposals, In-Progress Competition Projects, reports and running applications) is recorded as an autonomous registration agenda in the IS Věda system in the meaning of Article 6 (2).

4. Records of Competition Proposals and In-Progress Competition Projects, with creative activities as their part, contain the entering in Research Fields under the Internal Classification; the entering in one Research Field is conclusively presumed to be mandatory. Multiple Fields entering is possible to be recorded as well. Entering in Subfields is not recorded.

Part VI
Participation in Large Research Infrastructures

Article 9

1. The IS Věda system is to maintain records regarding the participation of the University and its units in the large research infrastructures in the meaning of section 2 (2) d) of the Act.

2. The subject-matter of registration is participation since 2017.

3. Elements of such registration is determined by the methodology for the registration of participation in large research infrastructures ("Methodology for the VVI Registration"), which is issued by the Head of the Department of Science and Research of the Rectorate.

Part VII
Registration of outputs, collection of full texts of the outputs, storing the outputs and making them accessible in the Institutional Repository

Article 10
Subject-matter and Structuring of the Registration of Outputs

1. The IS Věda system is to be the primary resource of data regarding the outputs at the University.

2. Registration of outputs is to be structured according to the types of outputs as determined by the Methodology for Outputs Registration which is issued by the Head of the Department of Research and Science of the Rectorate; the Methodology is primarily based upon the requirements set in section 4 of the Government Decree, in the National Evaluation Methodology, other guidelines of the RVVI, and required by the needs of the University.

3. The Methodology for Outputs Registration determines the entering of individual types and subtypes of outputs in categories of outputs used within the University evaluation of creative activities, namely the following:
    a) Research publications;
    b) Applied research outputs; and
    c) Other results.

4. The collection of data regarding the outputs is to be continuous on an annual basis with termination on a day relevant for the preparation of the data set to be uploaded into the IS VaVaI for the last year. Records entered after that date are to be included in the data set for the following year of data collection.

Article 11
Elements of the Registration of Outputs

1. Every output is to be represented by only one record in the IS Věda system.

2. The record must be entered within 3 months after the issuance or publication of the output, but no later than on the date determined as the last day of collecting data for a respective year. In case the output is to be stored and made accessible in the Institutional Repository the respective record must be entered no later than one week before the planned storing and accessibility in the Institutional Repository; this procedure applies also to outputs not yet issued or published.

3. The scope of data recorded regarding individual outputs is determined by the Methodology for Outputs Registration.

4. Every output may be registered only regarding such employment or study relationship of its author which is connected to his or her educational and/or creative activities at the University within which the output was produced.

5. Every registered outcome is to be entered in Research Fields in compliance with the Internal Classification and according to the following rules:
    a) Entering the output in one Research Field is mandatory. Upon such primary entering the output is entered in a respective Research Area; in case the output is included into a data set for IS VaVaI it must be entered in a respective field according to the IS VaVaI code list.
    b) The output can be entered in two other Research Fields. Such secondary entering, along with its primary entering, is used in order to determine the connection/relatedness of outputs to study programmes and for other purposes where no unequivocal link is required.
    c) If outputs are entered in a Research Field subdivided into Subfields it is required that a respective output be entered in at least one Subfield but in no more than three Subfields of a respective Research Field.

6. Every record is to be administered by one workplace (usually within the basic unit of an author having made the record); if there is a record of the output produced by authors belonging to more University units it is required, in order to reach agreement regarding the correctness and completeness of the record, that the respective administrator and coordinator of outputs registration provide necessary assistance to administrators and coordinators of outputs registration from other University units whose employees or students co-authored the output.

7. Where it is required, for the internal use of a respective University unit, that the scope of co-authorship of an output is to be recorded the management of the unit may decide that the so-called "mental share" be used in compliance with the following rules:
    a) The mental share is defined as a share of a co-author in the respective output expressed as a percentage regarding each co-author who is an employee or student of the University; it is conclusively presumed that the aggregate of mental shares of all co-authors including those outside the University is 100 %. The mental share of authors who are not employees or students of the University is set as one aggregate for all such authors.

b) Where authors belong to a University unit whose management decided to use mental shares, and those authors are entered in a record administered by another University unit that unit is to allow them to complement the information regarding their mental shares in that record.

8. For the purposes of the Internal Classification of the quality of creative activities, an output shared by authors from more than one University unit is subject to determination of the share of respective University units on the basis of a ratio of the number of authors of one output from individual University units after deduction of the share of external authors; mental shares under paragraph 4. are not considered in that calculation.

9. For the purposes of the National Evaluation of Quality of creative activities, outputs entered in the databases of the Web of Science or Scopus are recorded with their internal identifiers of the record of the respective database.

10. Records, depending on authorisation of respective persons under Article 15, are to be approved by an administrator within the workplace in charge of administration, by the section coordinator at the level of a section, and by the coordinator within the University unit. Records approved at respective levels are indicated with the relevant status and the procedure of approval should be organised in such a manner that the final status should be reached as soon as practicable.

11. Records with the status "Accepted" are to be published in the public part of the IS Věda system without any attached files.

Article 12
Full Text of the Output

1. The IS Věda system is used for the storage of full texts of selected outputs primarily for the following purposes:
   a) To control the records entered;
   b) To evaluate creative activities;
   c) To perform duties imposed by the provider of funds for the project within which a respective output was produced; and
   d) To ensure systematic storing and accessibility of full texts in the Institutional Repository.

2. The full texts of selected outputs stored in the IS Věda system may be, upon the decision of the Dean or Director of a University unit, uploaded to the interuniversity database of outputs[4] and compare with texts of other outputs. The results of such comparison are made available for the authors of the output, and for coordinators of such University units where the outputs were produced by authors on the basis of their employment or study relations. Interuniversity databases of outputs are not intended to be made public and the full texts are not to be accessible in any other way. The coordinator can, upon the notice of a respective author, exclude the full text from the export set to be uploaded in the interuniversity database of outputs should such export possibly give rise to violation of copyright.

3. Files containing full texts of outputs in the IS Věda system must indicate the scope of authorisation to exercise the right to use the full text (licence). In the case of published full texts, the scope of such authorisation may be restricted by conditions stipulated in licence agreements concluded between the publisher and the author of an output of the University. Full text files in the IS Věda system are made accessible exclusively within the scope of authorisation to open a respective file as fixed in the setting for every single file separately.

Article 13
Storage and Accessibility of Outputs Records, their Full Texts and Other Attachments in the Institutional Repository

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[4] Such as systems revealing plagiarism in employees' works used by the University on the basis of applicable contracts.

1. Records with the status "Accepted" are to be stored and made accessible in the Institutional Repository including all attached files if all the following requirements have been met regarding the output record in the IS Věda system:
   a) At least one full text of an output is attached in any of the versions set by the open access and self-archiving methodology;
   b) It is confirmed through a separately ticked box that by storing the output and its full text in the Institutional Repository and making it accessible thereby, the author does not interfere with the publisher´s rights or the rights of any third party;
   c) It is confirmed through a separately ticked box that the author has agreements of all co-authors of the outputs with storing the output and its full text, and making them accessible, in the Institutional Repository; and
   d) There is one alternative set of accessibility of the full text in compliance with the open access and self-archiving methodology.

2. Other rules are stipulated by the open access and self-archiving methodology at Charles University to be issued by the Director of the Central Library ("ÚK").

Part VII
Registration of Employees' Mobility

Article 14

1. The IS Věda system includes the register of employees' mobility at the University. The scope and elements of such register are stipulated by a separate Rector´s Directive.

Part IX
Organisational Arrangements, Responsibility of Participants in Registers and Access to Their Content

Article 15
Organisational Arrangements at the University Units

1. Deans of Faculties and directors of University institutes
   a) are to appoint
      i. a coordinator of the registration of identifiers;
      ii. a coordinator of the projects registration;
      iii. a coordinator of the outputs registration;
      iv. an open access coordinator;
      v. a coordinator of the employees' mobility registration;
      vi. a coordinator of the creative activities evaluation;
      vii. officers for each competition programme ("Competition Officer");
      viii. an officer in charge of participation in large research infrastructures ("VVI Participation Officer");
   b) can appoint, if necessary, one or more
      i. deputies of coordinators under paragraph 1;
      ii. officers in charge of projects funded by Czech providers ("Czech projects officer");
      iii. officers in charge of projects implemented within national operational programmes ("OP projects officer");

      iv. officers in charge of foreign, international and European projects ("Foreign projects officer");

      v. officers in charge of projects within contractual and collaborative research ("Contractual research officer");

      vi. officers in charge of development projects;

      vii. officers in charge of investment projects;

c) can appoint, if necessary, particular persons authorised to inspect the records ("readers of records") of the respective University unit regarding:

      i. projects of Czech providers ("reader of Czech projects");

      ii. projects implemented within national operational programmes ("reader of OP projects");

      iii. foreign, international and European projects ("reader of foreign projects");

      iv. projects of contractual and collaborative research ("reader of contractual research");

      v. development projects ("reader of development projects");

      vi. investment projects ("reader of investment projects");

      vii. competition proposals and in-progress competition projects within individual competition programmes ("competition reader");

      viii. participation in large research infrastructures ("reader of VVI participation"); and

      ix. employees´ mobility ("mobility reader").

2. If need be, positions of coordinators under paragraph 1. a) can be amalgamated at a respective University unit; however, the positions must be always held by persons employed at the respective unit, and every position can be held by just one person.

3. The Dean of a Faculty where the organisational structure includes sections may decide that section coordinators for outputs registration be appointed.

4. Deans of Faculties and Directors of University institutes may allow the following persons to read respective records in individual agendas within the projects registration:

a) Persons who are principal researchers of a project or who are responsible for its solution, can read the respective project record;

b) Persons listed among the researchers of a project can read the respective project record.

5. Provisions in paragraphs 1. through 4. are to apply to other University units with necessary modifications.

6. Managements of University units are to ensure that relevant features of persons appointed under paragraph 1. a) and b) be updated in the WhoIs system of the University.

7. Managing officers of basic University units, where employees and students participating in respective creative activities are based, are to appoint administrators of outputs registration ("administrator") in order to ensure that outputs be duly registered; such appointments, or alterations thereof, are to be notified to respective coordinators of outputs registration. That duty does not apply to theological faculties where administrators´ obligations are assumed by coordinators.

8. Coordinators, officers and administrators at the University units are to be collectively designated as "administrators at the unit".

Article 16
Organisational Arrangements at the University level

1. The Head of the Science and Research Department of the Rectorate

a) appoints

      i. the University coordinator of the registration of identifiers and, if need be, his or her deputy;

      ii. the University coordinator of the projects registration and, if need be, his or her deputy;

     iii. the University coordinator of the outputs registration and, if need be, his or her deputy;

     iv. one or more University officers in charge of projects funded by Czech providers ("University officer in charge of Czech projects");

     v. one or more University officers in charge of foreign, international and European projects ("University foreign projects officer");

     vi. one or more University officers in charge of participation in large research infrastructures ("University VVI Participation Officer");

     vii. one or more University officers in charge of creative activities evaluation;

     viii. one or more University officers for each competition programme in the area of creative activities ("University competition officer");

  b) may appoint, if need be, one or more

     i. readers of Czech projects at the whole University;

     ii. readers of foreign projects at the whole University;

     iii. readers of VVI participation at the whole University; and

     iv. readers of competition programmes in individual areas of creative activities.

2. The Head of the Central Library is to appoint a University open access coordinator and, if need be, his or her deputy.

3. The Head of the International Relations Department of the Rectorate

  a) appoints

     i. the University coordinator of the employees' mobility registration and, if need be, his or her deputy;

     ii. one or more University officers for every competition programme in the area of mobility ("University competition officer); and

  b) may, if need be, appoint one or more readers for individual competition programmes in the area of mobility.

4. The Head of the Project Support Department of the Rectorate

  a) appoints:

     i. one or more University officers in charge of projects carried out with the support of national operational programmes ("University officer in charge of OP projects");

     ii. one or more University officers in charge of development projects;

  b) may appoint, if need be, one or more:

     i. OP projects readers at the whole University; and

     ii. Development projects readers at the whole University.

5. The Director of the Centre for Knowledge and Technology Transfer is to appoint one or more University officers in charge of projects within contractual and collaborative research ("University contractual research officer"); if need be, the Head may appoint one or more readers of the contractual research at the whole University.

6. The Head of the Department of Construction of the Rectorate is to appoint one or more University officers in charge of investment projects; the Head may, if need be, appoint one or more readers of investment projects at the whole University.

7. University coordinators and University officers are collectively designated as "administrators at the level of the University".

Article 17
Access to the Content of Registers at individual University Units

1. The Dean of a Faculty or the Director of a University institute, a respective Vice-Dean, Faculty Secretary and the Head of a respective department of the Faculty, have access to reading all records of all registers of their respective unit.

2. The Dean of a Faculty or the Director of a University institute, a Vice-Dean in charge of science and an evaluation coordinator have access to all data and documents open to the respective unit within the system of evaluation of creative activities.

3. Coordinators of identifiers registration, projects registration, outputs registration, mobility registration, and their deputies, have full access to all records of their respective registers relevant to their respective University units, as well as access to reading records of respective registers administered by other University units in which their home units are mentioned.

4. The officer in charge of projects registration has full access to all records within the respective agenda administered by the respective unit, and access to reading records in the agenda administered by another University unit in which their home unit is mentioned.

5. Unless the competition rules provide otherwise the competition officer is to have
   a) access to reading competition proposals prepared and submitted at his or her University unit;
   b) access to reading competition proposals where his or her University unit is listed among other participants;
   c) full access to the record of in-progress competition projects administered by his or her University unit; and
   d) access to reading records regarding in-progress competition projects where his or her University unit is mentioned.

6. A VVI officer has full access to all records of the register administered by the respective University unit; the officer has access to reading records of the register administered by another University unit where his or her unit is mentioned.

7. A section coordinator of outputs registration has access to all records, in their latest version, of the outputs register administered by respective workplaces included in the section. Details are to be determined in the methodology for outputs registration.

8. An administrator has access to all records, in their latest version, of the outputs register administered by the respective workplace. Details are to be determined in the methodology for outputs registration.

9. Every person in an employment or study relationship with the University is to have access as follows:
   a) To read the basic outline of the content of the Internal Classification;
   b) To the record of his or her personal research identifiers with a right to upload identifiers; however, as soon as the uploaded identifiers have been approved by the coordinator the person has access only to reading them;
   c) To read records of projects where he or she is listed as the principal researcher or a person in charge where such access has been permitted under Article 15 (4) a);
   d) To read records of projects where he or she is listed as a researcher at any position where such access has been permitted under Article 15 (4) b);
   e) To records of competition proposals which he or she owns, within the scope set by the competition principles;
   f) To records of competition proposals where he or she is a member of the research team, at least to the extent allowing him or her to control the use of the personal data in the record;
   g) To records of in-progress competition projects he or she owns or is listed as a member of the research team, within the scope determined by the principles of the competition;
   h) To records in the register of outputs he or she owns, within the scope set in the methodology for outputs registration;
   i) To reading all records in the outputs register; and
   j) To one´s own mobility record within the scope determined by a separate Rector´s Directive.

10. Access under paragraphs 1. through 3. is to be assigned automatically on the basis of correct identification of positions of persons in the WhoIs system of the University.

Article 18
Common Responsibility of all Users of the IS Věda System

1. The code lists of the IS Věda system are primarily used when entering records. Where it is possible to insert a non-code value in the code-list field this is used only if a required value is missing in the code list.

2. When data regarding persons in an employment or study relationship with the University are to be filled in, the use of a code list of persons into which the records of the central WhoIs system of the University are automatically transmitted, is mandatory.

3. All users of the IS Věda system are to use primarily the HelpDesk application within the distance user support service which is part thereof.

Article 19
Responsibility of Employees and Students

1. Employees and students, on the date of inserting into the outputs register their first output they have authored or co-authored (academics, researchers and doctoral students no later than within two months after the formation of their employment or study relationship with the University), have a duty to ensure, either personally or through the coordinator, that their identifiers be entered in the respective register in the IS Věda system.

2. Employees and students responsible for project solution are obliged to provide necessary assistance to officers and coordinators in charge of projects registration including the transmission of information regarding a project application prepared for submitting to an external provider.

3. Responsibility for entering an output record lies on the author of the output. The author of the output can perform such duty either in person or through another employee of a respective University unit upon the rules set by the management of the unit.

4. Where an output has been produced by more than one author the duty under paragraph 3. is imposed upon the first member of the team of authors who is an employee or student of the University in the order the authors are listed in the output ("author of the output"). A University unit can determine different rules regarding outputs in which no authors from other University units were engaged.

5. The author of an output is responsible for
   a) ensuring that the text of the output to be published which was produced within an employment or study relationship of the author with the University, is to contain affiliation of the author and the University unit in the form determined in Appendix N. 1 to this Rector´s Directive; and
   b) the completeness, correctness and veracity of data in the respective record forming its full bibliographical description, expressing its link to the source of funding and its inclusion into the Internal Classification.

6. The author of an output is obliged to ensure that the full text of the output be uploaded into the IS Věda system in the case that
   a) the output was produced in the course of solution of a project funded within a programme requiring the publication of outputs in the open access regime;
   b) the output is to be submitted for peer review evaluation;
   c) such duty is imposed by the management of a respective University unit for the purposes of internal control of records entered; or
   d) the author requests that the output including the full text and relevant attachments be stored and accessible in the Institutional Repository.

7. The author of the output to be stored and accessible in the Institutional Repository, is obliged to ensure and acknowledge through the procedure described in the methodology for outputs registration, that
   a) the storage of the full text of the output into the Institutional Repository does not interfere with the rights of a publisher or any other third party; and

b) the author has obtained agreement of all co-authors of the output with the accessibility of the full text in the Institutional Repository of the University.

8. The author of the output is obliged
   a) to provide to the administrator or coordinator a document upon which the correctness and completeness of the record can be verified should there be any doubts regarding certain types of outputs that are not traceable in the basic RVVI databases during a record control;
   b) to submit the output, upon request, for the control according to section 13 of the Act. Should such control be carried out when the author is not an employee or student of the University the duty is to be transferred to a respective administrator;
   c) if need be, to substantiate facts under paragraph 7. a); and
   d) to submit, upon request, agreements of co-authors under paragraph 7. b).

9. Academics, researchers and doctoral students are obliged to continuously maintain the order of their most significant outputs produced in the last applicable period for the purposes of preparation of accreditation documents and selection of outputs for both internal and national evaluation of creative activities.[5]

Article 20
Responsibility of Administrators at the University Units

1. Primary responsibilities of an administrator are as follows:
   a) To provide consultations to individual authors of outputs in regard of making respective records;
   b) To cooperate with authors in attaching the full text of their output or any other additional data to a completed record if the output has been selected for peer review evaluation;
   c) To be responsible for
      i. a control of records made by employees or students of the respective University unit;
      ii. verification of the correctness of records regarding their compliance with published outputs, national methodology and other guidelines issued by the Research, Development and Innovation Council (RVVI);
      iii. inclusion of an output into the correct type according to the national methodology for evaluation;
      iv. importing records from external sources into the storage of pre-imported records; and
   d) To decide regarding the inclusion of output records into the data set for the IS VaVaI for a respective year.

2. The project registration officer, within the agenda assigned under the methodology for project registration, is to
   a) be responsible for due registration of activities and timely making of records and their correctness at the respective University unit;
   b) cooperate
      i. with the project registration coordinator in regard of solving methodological and technical issues having arisen during registration;
      ii. with the outputs registration coordinator if creative activities outputs have been produced in projects within his or her agenda;
      iii. with the University officer in charge of the respective agenda in regard of solving methodological and technical issues having arisen during registration; and
   c) participate in training courses and methodological meetings.

3. The competition officer

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[5] The number of the most significant outputs to be listed and the respective period for their monitoring is to be determined in the methodology for outputs registration.

a) has access to opinions of the Dean or Director of a respective University unit that are applicable to competition proposals in programmes where the competition rules require such opinions to be drafted; the officer may, upon request of the Dean or Director, or on his or her behalf, upload or edit such opinions unless the competition rules provide otherwise;

b) cooperates with the coordinator of outputs registration where the projects of the respective competition programme give rise to outputs of creative activities, or where the respective competition programme includes the outputs registration in order to prove qualification requirements on the part of the applicant or other team members;

c) executes other duties according to the competition rules; and

d) attends training courses and methodological meetings.

4. The officer in charge of VVI participation

   a) is responsible for

      i. due registration of the University participation in a respective large research infrastructure of which the University unit is administrator or the main participant for the University;

      ii. listing all other University units participating in the respective large research infrastructure;

      iii. the correctness of the records of such participation;

   b) cooperates

      i. with the University officer in charge of the respective agenda as for the solving of methodological and technical issues having arisen during registration;

      ii. with the coordinator and officers in charge of project registration and the coordinator for outputs registration in order to solve common issues regarding the participation in the large research infrastructure and its use; and

   c) attends training courses and methodological meetings.

5. The section coordinator of outputs registration primarily

   a) provides consultations to administrators from workplaces within the respective section; and

   b) executes random control of records made by respective employees and students.

6. The coordinator of identifiers registration primarily

   a) provides to authors consultations and methodological support regarding the administration of profiles and inserting personal identifiers;

   b) executes continuous control over the presence of identifiers in the register; should any be missing the coordinator arranges for their supplementing in cooperation with authors;

   c) participates in the centralised administration of profiles where applicable;

   d) notifies authors of their duty to include respective affiliation information in all their publications in compliance with the Appendix to this Directive along primarily with an English designation of their workplace according to an applicable Dean´s directive should such exist;

   e) sets the right of access for readers of records of the respective University unit under Article 15 1. c) and any other access rights as determined by the University coordinator of identifiers registration;

   f) cooperates with coordinators of other registration agendas; and

   g) attends training courses and methodological meetings.

7. The coordinator of projects registration

   a) is responsible for

      i. due registration of projects of the respective University unit as a whole;

      ii. timely making of records of projects and their correctness in agendas for which no officer has been appointed at the University unit;

      iii. ensuring the import of data in agendas where applicable;

      iv. preparing overviews and analyses for the needs of the University unit;

      v. setting the right of access for readers of records of the respective University unit under Article 15 1. c) and any other access rights as determined by the projects methodology;

   b) cooperates

      i. with administrators of projects registration at the University level regarding the solution of methodological and technical issues having arisen during registration;

      ii. with officers in charge of projects registration and other users at a respective University unit to whom the coordinator provides training courses and consultations regarding making records and the work with records;

      iii. with other workplaces of a respective University unit to which the coordinator provides assistance in performing tasks relating to the monitored agendas, particularly in collecting data for outputs registration;

      iv. with the officer in charge of registration of participation in VVI regarding solution of common issues arising from participation in the large research infrastructure and its use;

      v. with coordinators of other registers; and

   c) attends training courses and methodological meetings.

8. The coordinator of outputs registration

   a) is responsible for

      i. due registration of outputs of the respective University unit as a whole;

      ii. announcing the term for terminating the collection in a respective year for authors of outputs and administrators;

      iii. formal inclusion of outputs into the data set for the IS VaVaI for a respective year;

      iv. setting the right of access for administrators, section coordinators, readers of records of the respective University unit under Article 15 1. c) and any other access rights as determined by the methodology for outputs registration;

      v. preparation of a data set for the IS VaVaI for a respective year on dates set by the University coordinator;

      vi. preparing overviews and analyses for the needs of the University unit;

   b) cooperates

      i. with the University coordinator of outputs registration in solving methodological issues and problems arising in the course of registration;

      ii. with administrators of a respective University unit in order to arrange for them training courses and consultations in regard of making records, records processing, methodology for outputs registration, applicable national evaluation methodology and other guidelines of the RVVI;

      iii. with the open access coordinator in order to achieve substantive and formal correctness and completeness of an output record for the purposes of its storage and accessibility in the Institutional Repository;

      iv. with the officer in charge of registration of participation in VVI in order to solve common issues relating to the participation in large research infrastructure and its use;

      v. with officers in charge of projects registration and competition officers provided that the outputs of creative activities are produced within their respective agendas; and

      vi. with coordinators of other types of registration;

   c) attends training courses and methodological meetings; and

   d) performs the duties of an administrator at theological faculties and other University units.

9. The open access coordinator

   a) is responsible for

      i. executing control whether the record of an output intended for storage and accessibility in the Institutional Repository satisfies the requirement set in Article 19 7. a) and b), and whether all other formal elements determined in the methodology for open access and self-archiving have been observed;

      ii.   collecting and showing data regarding open access fees paid for their respective unit;

     iii.   coordinating the implementation of open access institutional policies within the unit;

  b) provides to authors

      i.   training and consultations regarding the storage and accessibility of records of outputs and their full texts in the Institutional Repository;

      ii.   training and consultations in regard of publishing in the open access regime including prevention of using ethically dubious publication platforms;

  c) cooperates

      i.   with the University open access coordinator in solving methodological issues relating to the use of the Institutional Repository;

      ii.   with the University open access coordinator in the development of institutional policies and tools to support open access; and

     iii.   with the coordinator of outputs registration and authors in order to achieve substantive and formal correctness and completeness of an output record so that the record can be stored and made accessible in the Institutional Repository.

10. The employees´ mobility coordinator

  a) is responsible for

      i.   preparing overviews and analyses for the respective University unit;

      ii.   setting the right of access for readers of records of the respective University unit designated in Article 15 1. c), and any other rights as determined by the University coordinator of employees´ mobility;

  b) cooperates with

      i.   the University coordinator of employees´ mobility in solving methodological issues of registration and problems having arisen in the course of registration; and

      ii.   the coordinators of other types of registration.

11. The coordinator of evaluation of creative activities

  a) is responsible for

      i.   coordination of administrative and organisational activities relating to the evaluation of creative activities;

      ii.   coordination of internal communication regarding the content of the Internal Classification and formulation of its conclusions on behalf of the University;

  b) attends meetings convened by the Vice-Rector for Research; and

  c) cooperates with the Rectorate regarding tasks applicable to the evaluation of creative activities.

12. A coordinator´s deputy is to perform responsibilities of the coordinator within the scope determined by the respective coordinator.

13. All administrators at the University units provide assistance

  a) to coordinators and other participants in the internal evaluation of quality at the University;

  b) to the Computer Science Centre regarding issues of further development and improvements of the IS Věda system and solving technical issues arising during its use;

  c) to the Central Library in solving technical issues arising during the use of the Repository.

14. If an administrator or coordinator of outputs registration identifies mistakes or discrepancies in the output record they are to return the record to the author for rectification. If there is a risk of time default the administrator or coordinator makes corrections by themselves. Changes made are automatically entered in the record history available to the user having entered the record in the register, and to the respective administrator and coordinator.

15. If an open access coordinator identifies mistakes or discrepancies in the output record relating to the full-text file or relevant attachments intended for storage and accessibility in the Institutional Repository, the coordinator returns the record to its author for rectification.

16. For the purposes of control and verification of the correctness of outputs records, primarily with respect to the national evaluation methodology and other RVVI rules, the coordinator at a University unit and the University coordinator may, anytime in the course of the data collection, compare records entered in the IS Věda system with the output records kept in the interuniversity database of outputs; such comparison can give rise to the requirement that the respective authors and administrators (in the case of the University coordinator it would apply to coordinators at University units) should rectify the data in regard of the output recorded in the IS Věda system.

17. A University unit which entered, or should have entered, the record in a respective register is responsible for the correctness of data entered; the unit is liable for any damage caused as a result of entering incorrect data and for damage caused by the failure to enter the respective data.

18. A University unit is responsible for the correct data regarding its organisational structure in the WhoIs system of the University; in the case of any change thereof the unit is to ensure that all necessary data be provided in order to update the information so that the collection of data for registration, evaluation of creative activities and other processes and registration according to this Directive cannot be at risk.

Article 21
Responsibility at the Level of the University

1. The University coordinator of identifiers registration
   a) is responsible for
      i. preparing overviews and analyses according to the requirements of the University management;
      ii. setting the respective code lists and their content in the IS Věda system;
      iii. setting access rights of readers of records at the level of the University;
      iv. administering and updating the webpage containing information regarding the creation and registration of identifiers; and
   b) provides training and consultations in methodological issues and operation of the IS Věda system to coordinators of identifiers registration at University units.

2. University officers of project registration
   a) provide methodological support to registration coordinators and officers in charge of partial agendas at University units; and
   b) ensure communication with providers within respective agendas in order to ascertain information required for registration.

3. The University coordinator of projects registration
   a) is responsible for
      i. preparing the methodology for project registration and binding recommendations regarding projects registration in consideration of the latest legislation in the area, changes in the national evaluation methodology, updates of guidelines of RVVI and the needs of the University;
      ii. preparing overviews and analyses according to the requirements of the University management;
      iii. setting the relevant code lists and their content in the IS Věda system;
      iv. setting access rights of readers of records at the level of the University; and
   b) provides training and consultations in methodological issues regarding projects registration and operation of the relevant part of the IS Věda system to registration coordinators at University units, and arranges for meeting their requirements.

4. The University competition
   a) provides methodological support to competition officers at University units; and
   b) performs other duties within the scope of the competition principles.

5. The University office in charge of VVI participation
    a) is responsible for
        i. preparing the methodology for VVI participation and binding recommendations regarding the registration;
        ii. preparing overviews and analyses according to the requirements of the University management;
        iii. setting the respective code lists of the IS Věda system and their content in cooperation with the University coordinator and ÚVT;
        iv. setting access rights of readers of records at the level of the University; and
    b) provides methodological support to VVI participation officers at University units.

6. The University coordinator of outputs registration
    a) is responsible for
        i. preparing the methodology for outputs registration and binding recommendations therefor, including outputs into IS VaVaI, in consideration of the latest legislation in the area, changes in the national evaluation methodology, updates of other guidelines of RVVI and the needs of the University;
        ii. announcing binding terms for University units for the transmission of data sets for IS VaVaI;
        iii. preparing overviews and analyses according to the requirements of the University management;
        iv. setting the respective code lists of the IS Věda system and their content;
        v. setting access rights of readers of records at the level of the University;
        vi. communicating with a respective department of the Office of the Government of the Czech Republic responsible for the RVVI activities, and with individual providers including the transmission to them of data sets for IS VaVaI on behalf of the University, in terms determined by those providers;
    b) provides to registration coordinators at University units
        i. training and consultations regarding the methodology for outputs registration and operation of the relevant parts of the IS Věda system; and
        ii. training and consultations regarding the national methodology for evaluation and other RVVI guidelines.

7. The University open access coordinator
    a) is responsible for
        i. preparing and developing internal regulations and open access and self-archiving methodology;
        ii. creating and developing institutional open access policies at the University, and its harmonising with conditions and duties in relation to open access at the national and international level;
        iii. preparing and developing conception of tools for institutional open access support;
        iv. coordinating processes connected with monitoring and analysing data regarding paid fees for open access at the University;
        v. preparing open access overviews and analyses according to the requirements of the University management;
    b) provides to open access coordinators training and consultations in regard of storage and accessibility of records of outputs and their full texts in the Institutional Repository, and regarding open access support at the University; and
    c) cooperates with University publishing houses regarding open access and assists in harmonising their respective publishing policies.

8. The University coordinator of employees´ mobility
    a) is responsible for

  i. preparing overviews and analyses according to the requirements of the University management;

  ii. setting the IS Věda system for the purposes of the respective register and the content of relevant code lists;

  iii. setting access rights of readers of records at the level of the University;

 b) provides training and consultations in methodological issues and regarding operation of the relevant part of the IS Věda system to coordinators of identifiers registration at University units.

9. The University officer in charge of the evaluation of creative activities

 a) provides methodological support to participants in the evaluation procedure (primarily to units and evaluating bodies);

 b) arranges for communication and documents distribution between evaluating bodies and units subject to evaluation;

 c) provides, in cooperation with ÚVT, support to participants in the evaluation procedure regarding their use of the IS Věda system; and

 d) attends meetings convened by the Vice-Rector for Research .

10. A deputy to the University coordinator performs tasks and duties within the scope determined by the respective University coordinator.

11. All administrators at the University level cooperate with each other and provide assistance to

 a) participants in the internal quality evaluation procedure at the University;

 b) ÚVT regarding issues of further development and modifications of the IS Věda system and regarding the solution of technical problems connected with its operation; and

 c) the Central Library in solving technical problems connected with the operation of the Repository.

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Article 22
Technical Support and Assistance

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1. The Computer Science Centre is responsible for the technical side of the operation of the IS Věda system, including the preparation of technical documentation and user documentation; the Centre provides training as to the operation of the respective modules of the system, as well as technical support (including built-in tools for user support), for the following persons:

 a) University coordinators;

 b) University officers; and

 c) coordinators at the University units.

2. The Central Library is responsible for the operation of the Institutional Repository including the preparation of technical documentation and user documentation; the Library provides training as to the operation of the Institutional Repository.

3. The Computer Science Centre is responsible for the operation or the whole technical infrastructure enabling the IS Věda system and the Institutional Repository to operate including the preparation of the basis for continuous restoration and improvement of that technical infrastructure, as well as for the user support and services connected with the infrastructure.

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Part X
Transitional and Final Provisions

Article 23
Transitional Provisions

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1. A period of three months from the effect of the Directive is hereby set during which all relevant appointments of administrators and other authorised persons are to be made, individual methodology guidelines issued and respective arrangements in the setting of the IS Věda system executed.

Article 24
Repealing Provisions

1. The following Rector´s Directives are to be repealed upon the effect of the Directive herein:
   a) Rector´s Directive N. 24/2018 – Registration of Creative Activities at Charles University;
   b) Rector´s Directive N. 18/2020 to amend Rector´s Directive N. 24/2018 – Registration of Creative Activities at Charles University;
   c) Rector´s Directive N. 19/2021 to amend Rector´s Directive N. 24/2018 – Registration of Creative Activities at Charles University; and
   d) Rector´s Directive N. 10/2018 – Registration of Participants and the Mode of Setting the Amount of Financial Bonuses within the *Progres* Programme.

Article 25
Final Provisions

1. The IS Věda system can, if necessary, be expanded with other registers until the Directive herein has been updated. In such case Part IX is to apply with necessary modifications. Methodological principles for the complemented registers are to be issued by the Head of the Computer Science Centre.

2. The Appendix to this Directive contains a list of official affiliations of the University.

3. The Directive herein becomes effective on 15 November 2021.

Prague, 9 November 2021

prof. MUDr. Tomáš Zima, DrSc., MBA

Appendix
Official affiliation of Charles University

1. Authors are obliged to add the official institutional affiliation to all outputs produced as part of employment or study relationship with the University, in the following format: "Name of the University, name of the University unit". Where outputs are written in the Czech or Slovak languages the affiliation is in Czech; affiliation in English will be added to outputs produced in all other languages.

2. Affiliation is governed by the form stipulated in Appendix N. 1 to the Constitution of the University.

3. Where it would be necessary to shorten the affiliation due to editorial rules or otherwise the following Czech or English abbreviations are to be used:

Czech name	Czech abbreviation	English abbreviation
Univerzita Karlova	UK	Charles Univ
Katolická teologická fakulta	KTF UK	Charles Univ, Fac Cathol Theol
Evangelická teologická fakulta	ETF UK	Charles Univ, Fac Protest Theol
Husitská teologická fakulta	HTF UK	Charles Univ, Fac Huss Theol
Právnická fakulta	PF UK	Charles Univ, Fac Law
1. lékařská fakulta	1. LF UK	Charles Univ, Fac Med 1
2. lékařská fakulta	2. LF UK	Charles Univ, Fac Med 2
3. lékařská fakulta	3. LF UK	Charles Univ, Fac Med 3
Lékařská fakulta v Plzni	LFP UK	Charles Univ, Fac Med Pilsen
Lékařská fakulta v Hradci Králové	LFHK UK	Charles Univ, Fac Med Hradec Kralove
Farmaceutická fakulta v Hradci Králové	FaF UK	Charles Univ, Fac Pharm
Filozofická fakulta	FF UK	Charles Univ, Fac Arts
Přírodovědecká fakulta	PřF UK	Charles Univ, Fac Sci
Matematicko-fyzikální fakulta	MFF UK	Charles Univ, Fac Math & Phys
Pedagogická fakulta	PedF UK	Charles Univ, Fac Edu
Fakulta sociálních věd	FSV UK	Charles Univ, Fac Soc Sci
Fakulta tělesné výchovy a sportu	FTVS UK	Charles Univ, Fac Phys Edu & Sport
Fakulta humanitních studií	FHS UK	Charles Univ, Fac Human
Ústav dějin Univerzity Karlovy a archiv Univerzity Karlovy	ÚDAUK	Charles Univ, Inst Hist
Centrum pro otázky životního prostředí	COŽP UK	Charles Univ, Environm Ctr
Centrum pro teoretická studia	CTS UK	Charles Univ, Ctr Theoret Study
Centrum pro ekonomický výzkum a doktorské stadium	CERGE UK	Charles Univ, CERGE-EI