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# Rector's Directive No. 72/2017

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## Making the Electronic Database of Final Theses Accessible

Date of effect: 1 December 2017

### Article 1 - Introductory Provisions

1. This Directive provides the details of the procedure for submitting and making accessible final theses<sup>1</sup> submitted for defence via an electronic database<sup>2</sup>, and it sets out other rules, conditions, periods, as well as other requirements for submitting and making accessible final theses. In Article 10, this Directive regulates the procedure for the publication of dissertations to qualify for associate professorship (“habilitation dissertations”).
2. This Directive also governs the procedure for the publication of final theses and habilitation dissertations that have not been successfully defended.
3. The Electronic Database of Final Theses at Charles University (“CU”) is operated via the Study Information System of CU (“the System”) and the digital repository of CU (“the Repository”) at <http://dspace.cuni.cz/>.
4. Final theses are made accessible for perusal by the public no later than 5 weekdays prior to the date of the defence.
5. After the date of the defence, the text of a final thesis, be it successfully defended or not, is made accessible in the Repository along with the appendices to the thesis, the abstract of the thesis<sup>3</sup>, reports on the thesis, the result of the defence, and other information about the final thesis and its defence in compliance with Articles 4 and 7 hereof.

### Article 2 - Access to the Repository

1. The Repository may be accessed anonymously.
2. When accessing the Repository, an inspecting person is advised that no information acquired therein can be either used for gainful purposes or presented as study, scholarly, or other creative activities of a person other than the author.<sup>4</sup>

### Article 3 - Final Theses of a Special Nature

A final thesis the submission of which in an electronic format is precluded by its nature (e.g., some artistic works) are not stored in the Repository.

### Article 4 - Procedure for Registration and Publication of Final Theses

1. Theses in the electronic format must be exclusively uploaded via the System.
2. The topic of a thesis, as well as some other essential information about the thesis listed in the methodology guidelines under Article 12 (1), is entered into the System either by an authorised employee of the faculty or by the thesis advisor/supervisor.
3. The text of the thesis itself, its appendices, abstracts, and other information listed in the methodology guidelines under Article 12 (1) are uploaded into the System by a student/candidate.
4. Once the relevant files under paragraph 3 have been uploaded, and scanned in compliance with Article 6, the student/candidate will confirm the submission of an electronic version of the thesis. By submitting the thesis via the System, the student/candidate warrants the correctness and entirety of the uploaded files. It is the student/candidate who is responsible for the correctness and entirety of the submitted electronic version of the thesis and its appendices.
5. Once the thesis has been submitted in compliance with paragraph 4, the student/candidate cannot further change the uploaded files; in the case of descriptive information about the thesis, the student/candidate can only modify selected information the modification of which is made possible by the faculty in the System setting.

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<sup>1</sup> This concerns bachelor's and master's theses, doctoral dissertation and rigorosum thesis.

<sup>2</sup> See Article 12 (8) of the Code of Study and Examination of CU effective as of 1 October 2017, and Article 7 of the Rigorosum Examination Code.

<sup>3</sup> Article 12 (8) of the Code of Study and Examination of CU effective as of 1 October 2017, and Article 7 (2) of the Rigorosum Examination Code.

<sup>4</sup> Article 18a (3) of the Code of Study and Examination of CU, and Article 7 (8) of the Rigorosum Examination Code.

6. The thesis advisor/supervisor and reviewers upload the electronic version of their reports on the thesis into the System.
7. After the holding of the defence and upon the entering of all necessary information about the thesis into the System, an authorised employee of the faculty will perform the “finalization of a thesis entry” action in the System. Upon the performance of said action, and upon the expiration of the period for publication of the thesis under Article 7, the thesis entry will be automatically transferred to the Repository. A condition for the performance of the “finalization of a thesis entry” action is an approval of applications filed under Article 5 (4).

## Article 5 - Format and Size of Final Theses Files and Mandatory Information about Final Theses

1. Files that are being uploaded into the System in connection with a final thesis (the text of a thesis itself, errata, summary of a thesis/propositions of a dissertation), are only permitted in Portable Document Format for the Long-term Archiving (PDF/A), either 1a level (under ISO 19005-1:2005) or 2u level (under ISO 19005-2:2001). An exception to this requirement is an appendix to a thesis, to which the rules set out in paragraphs 2 – 5 apply.

2. Files that are being uploaded as appendices to a final thesis are permitted in the following formats:

a) in the case of text appendices

- i. the Portable Document Format for the Long-term Archiving (PDF/A), be it 1a level (under ISO 19005-1:2005) or 2u level (under ISO 19005-2:2011), (PDF/A-1a or PDF/A-2u, the file extension: **.pdf**)<sup>5</sup>,
- ii. plain text file in UTF-8 coding according to ISO/IEC 10646:4014<sup>6</sup>

b) in the case of image appendices

- i. the Joint Photographic Experts Group File Interchange Format (JPEG/JFIF, the file extension: **.jpeg** or **.jpg**)<sup>7</sup>
- ii. the Portable Network Graphics format (PNG, the file extension: **.png**)<sup>8</sup>,
- iii. Portable Document Format for the Long-term Archiving (PDF/A), either 1a level (under ISO 19005-1:2005) or 2u level (under ISO 19005-2:2011) (PDF/A-1a or PDF/A-2u, the file extension: **.pdf**)<sup>9</sup>,

c) in the case of audio appendices

- i. Waveform audio format (WAV, the file extension: **.wav** or **.wave**)<sup>10</sup>,
- ii. Moving Picture Experts Group Phase Audio Layer III (the file extension: **.mp3**)<sup>11</sup>,

d) in the case of audio-visual appendices

- i. Moving Picture Experts Group Phase 2 (MPEG-2, the file extension: **.vob**)<sup>12</sup>,
- ii. Moving Picture Experts Group Phase 4 (MPEG-4, the file extension: **.mp4**)<sup>13</sup>,

e) in the case of spreadsheet appendices:

- i. Comma-separated values (CSV, the file extension: **.csv**)<sup>14</sup>,
- ii. Extensible Markup language (XML, the file extension: **.xml**)<sup>15</sup> – such submissions must also include a corresponding XSD<sup>16</sup> or DTD<sup>17</sup>.

3. If a student/candidate needs to attach more than one file of appendices to a thesis, he/she will create a package in a ZIP container format (the file extension: **.zip**)<sup>18</sup>.

5 **Portable Document Format for the Long-term Archiving (PDF/A), either 1a level (under ISO 19005-1:2005) or 2u level (under ISO 19005-2:2011)**; MIME type: application/pdf; PUID: fmt/95, fmt/478, the file extension: **.pdf**

6 Plain Text File (MIME type: text/plain; PUID: x-fmt/111)

7 **Joint Photographic Experts Group File Interchange Format (JPEG/JFIF, ISO/IEC 10918; MIME type: image/jpeg; PUID: fmt/42, 43, 44; the file extension: .jpeg or .jpg)**

8 **Portable Network Graphics (PNG 1.2, ISO/IEC 15948:2004; MIME type image/png; PUID: fmt/13; the file extension: .png)**

9 **Portable Document Format for the Long-term Archiving (PDF/A), either 1a level (under ISO 19005-1:2005) or 2u level (under ISO 19005-2:2011)**; MIME type: application/pdf; PUID: fmt/95, fmt/478, the file extension: **.pdf**

10 **Waveform audio format (WAV), Pulse-code modulation (PCM) (MIME type: audio/x-wav; PUID: fmt/6), the file extension: .wav or .wave)**

11 **Moving Picture Experts Group Phase 1/2 Audio Layer III (MIME type: audio/mpeg; PUID: fmt/134; the file extension: .mp3)**

12 a data format allowing an upload of compressed data coded in compliance with **Moving Picture Experts Group Phase 2 standard (MPEG-2, ISO/IEC 13818; MIME type: video/MP2T; PUID: fmt/425; the file extension: .vob)**

13 a data format allowing an upload of compressed data coded in compliance with **Moving Picture Experts Group Phase 4 standard, Advanced Video Coding (Part 10) (H.264), MP4 container preferred (MPEG-4, ISO/IEC 14496; MIME type: application/mp4 or video/mp4; PUID: fmt/199; the file extension: .mp4)**

14 A file format intended for the exchange of spreadsheet data **Comma-separated values (CSV) (MIME: text/csv; PUID: x-fmt/18; text/x-csv or application/csv; the file extension: .csv)**

15 **Extensible Markup language (XML) (MIME type: application/xml; PUID: fmt/101; the file extension: .xml; XSD or DTD required)**

16 **XML Schema Definition (XSD) (MIME type: application/xml; PUID: x-fmt/280; the file extension: .xsd)**

17 **Document Type Definition (DTD) (MIME type: application/xml-dtd; PUID: x-fmt/315; the file extension: .dtd)**

18 **ZIP (MIME: application/zip; PUID: x-fmt/263; the file extension: .zip)**

The package must, however, always contain files in the formats listed in paragraph 2.

4. Should it be impossible to upload an appendix (appendices) in the formats listed in paragraph 2 due to the nature thereof (e.g., scientific data, an application, etc.), a student/candidate will upload an appendix (appendices) in another format and will, at the same time, apply to a faculty coordinator for approval of that format of the appendix (appendices) to a thesis by filling out a form under paragraph 5.

5. In order to upload an appendix (appendices) to a thesis containing files in a format different from those listed in paragraph 2, a student/candidate will fill out the form in the System in which he/she will include the following information:

- a) reason for application,
- b) requested formats of appendices files (including versions or detailed specification) or programming language (including version),
- c) in the case of a particular application's proprietary data format, the name and version of that application,
- d) other relevant information.

The provision of data under subparagraphs a) and b) is mandatory. The student/candidate files one application for all appendices to the thesis.

6. Should a student/candidate need to submit the abstract of a thesis in a format other than the text format (e.g., a video file containing an abstract in sign language), he/she will fill out an application in the System, stating the reason therefor. Based on the application approved by the faculty coordinator according to Article 8, the submission of the abstract in a format other than the text format will be allowed. The file format must comply with Article 5 (2) (c) and (d).

7. The maximum size of uploaded files is set at the limit specified in the methodology guidelines under Article 12 (1).

8. Should any file appended to a thesis exceed the limit under paragraph 7, a student/candidate will submit it to the faculty in an agreed way. The faculty will then arrange the uploading of such a file itself in cooperation with the Computer Science Centre.

9. The mandatory information about a thesis, its defence, as well as mandatory and optional files is set out in the methodology guidelines under Article 12 (1).

## **Article 6 - Scanning of Files Being Uploaded**

1. Upon uploading into the System, all files connected to a thesis are scanned by an internal anti-virus programme. Should any of the uploaded files be infected with a virus, the System will notify this fact to the user. It is not permitted to submit a thesis with a virus-infected file. In such a case it is necessary to clean the relevant files and upload them into the System again.

2. Once an uploaded file passes the anti-virus scan, the System will verify the admissibility of file formats under Article 5. Upon the completion of the verification, the System will inform the user whether or not the uploaded files are format compliant. Should any of the files fail to meet the format requirements, it is necessary to either clean the file and upload it into the System again, or, as the case may be, apply for permission to submit a thesis with appendices in another format than the required ones.

3. If all uploaded files successfully pass the scans under paragraphs 1 and 2, the System will notify the user thereof. The final thesis may then be submitted. The System will also notify the user of the submission of the thesis.

## **Article 7 - Period within which a Thesis is to be Published**

1. Upon the "finalization of a thesis entry" under Article 4 (7), a thesis will be automatically published after the expiration of a set period. For both successfully defended and unsuccessfully defended theses, the period is 21 calendar days as of the date on which the defence was held, unless otherwise stipulated hereinafter.

2. A thesis advisor/supervisor may, in the case of a particular thesis, apply for an extension of up to 3 years of the period for the publication of the thesis or its part as of the date of the thesis defence.<sup>19</sup> Such application is to be filed via the System within the time limit determined in a dean's directive under Article 9.

3. Applications under paragraph 2 are considered by the dean (vice-dean). An authorised person appointed by the dean (vice-dean) will record the result of the consideration in the System.

4. Should the extension of the period for the publication of a thesis under this Article be granted, only other information regarding the thesis, not the thesis or its part for which the period for publication has been extended, will be exported into the Repository and the library system upon the expiration of the period under paragraph 1. The information about the postponement of publication along with justification thereof will be published in the Repository. After the date of the defence and without undue delay, the faculty will send one copy of the thesis subject to the postponement of the

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<sup>19</sup> Under s. 47b of the Higher Education Institutions Act, particularly in cases when the publication of a thesis in another way is under preparation (e.g., the publishing of the dissertation by a publishing house).

publication to the Student Affairs Department of the Rectorate. The Rectorate will then forward said copy to the Ministry of Education, Youth and Sport for archiving. The text of the thesis and appendices thereto will be published after the expiration of the period extended in compliance with paragraphs 2 and 3.

5. The rules of publication under this Directive do not apply to dissertation theses published in another way than through the Repository in compliance with section 47b (1) of the Higher Education Institutions Act.

## **Article 8 - Faculty Co-ordinators**

1. At each faculty, the dean will appoint one contact person, a so-called faculty coordinator, for the registration and publication of final theses.

2. The faculty coordinator communicates with the Computer Science Centre of CU in matters related to the register of final theses. The Computer Science Centre of CU contacts the faculty coordinators particularly in respect of instructions on the technical arrangements for uploading/storing of theses.

3. A faculty coordinator will, in particular, organise the uploading of theses into the System at the faculty. He/she will communicate with students/candidates regarding matters connected with the uploading of an appendix under Article 5 (4) and (8), as well as regarding matters connected with the uploading of an abstract in a file format other than the format under Article 5 (6).

4. The Computer Science Centre of CU will communicate with the faculty coordinators, Central Library of CU, and the Rectorate through its authorised person.

## **Article 9 - Dean's Directive on the Registering of and Making Accessible the Electronic Versions of Final Theses**

1. In compliance with Article 12 (5) and (7) of the Code of Study and Examination of CU, and Article 7 (1) of the Rigorousum Examination Code of CU, the dean of a faculty will issue a directive setting out details of the procedures for the registering of and making accessible the electronic versions of final theses at the faculty.

2. The dean's directive under paragraph 1 includes the following:

- a) determination of the competences of the faculty coordinator,
- b) specification of the roles of the individual faculty departments, or rather of authorised persons, in the process of registering and making accessible the electronic versions of final theses at the faculty,
- c) specification of the procedures with respect to the organisation of the submission of theses by students/candidates through the System (including organisational aspects regarding the relationship between an electronic version and a hard-copy version of a thesis),
- d) specification of the procedures for scanning and finalizing the entries of final theses,
- e) obligatory deadlines for the individual steps to be taken in the process of registering and making accessible the electronic versions of final theses at the faculty, including appendices thereto, reports thereon, records of the course and result of the defence, abstract, and the like (e.g., the deadline by which it is possible to apply for an extension of the period for the publication of a thesis).

3. A dean's directive under paragraph 1 may further set out the conditions and mode of filing an application for the defence of a thesis, as well as the essential elements of the application, and its relation to the submission of an electronic version and a hard-copy version of the thesis.

## **Article 10 - Publication of Dissertations to Qualify for Associate Professorship**

1. An applicant for associate professorship under section 72 (2) of the Higher Education Institutions Act, and under Article 1 (2) of the Code of Procedure for the Granting of Associate Professorship and Full Professorship of Charles University will submit to the faculty a habilitation dissertation in both a hard-copy version and an electronic version.

2. Habilitation dissertations are published for perusal by the public no later than 5 weekdays prior to the date of the holding of the defence thereof.

3. An electronic version of the dissertation, which is intended for publication via the Repository under Article 10 (7), must be uploaded in an electronic version exclusively via the Repository.

4. Files that are being uploaded into the Repository will be scanned by the internal anti-virus programme. Should any of the uploaded files be infected with a virus, the administrator of the Repository will notify this fact to an authorised faculty employee. In such case it is necessary to clean the files concerned and to upload them into the Repository again.

5. By uploading the dissertation into the Repository, the authorised employee of the faculty affirms the correctness and entirety of the obligatory and optional data entered. The person responsible for the correctness and entirety of the electronic version of the dissertation is the author thereof.

6. The data required to upload habilitation dissertations into the Repository will be set out in the methodology manual that will be accessible on the Repository website (dspace.cuni.cz).

7. After being defended, the habilitation dissertation is published in the publicly accessible part of the website of the faculty at which the defence was held, as well as via the Repository, no later than within 21 calendar days of the date of the defence.

8. The publication concerns habilitation dissertations in the case of which the defence has already been held, including reviewers' reports and a report on the course and result of the defence to the extent recorded in the minutes of the meeting of the Research Board of the faculty. The publication is a non-profit publication.

9. The publication of habilitation dissertations is carried out by authorised employees of the faculties who also bear responsibility therefor.

10. The following works are excluded from publication:

- a) a monograph published in print, in which case the relevant bibliographic data are published;
- b) a collection of articles published in print, in which case a commentary on the collection and the list of articles comprising the collection, including the relevant bibliographic data, is published.

11. The postponement of the publication of a habilitation dissertation or its part under Article 10 (7) is possible for the period for which an obstacle to the publication lasts, however, no longer than for 3 years. The information regarding the postponement of the publication, along with justification thereof, must be published in the same place as habilitation dissertations are published. Following the date on which the defence was held and without undue delay, the faculty will send one copy of a habilitation dissertation subject to the postponement of publication to the Research Support Office of the Rectorate. The Rectorate will then forward this copy of the dissertation to the Ministry of Education, Youth and Sport for archiving.

12. An application for the postponement of the publication of the habilitation dissertation or its part under Article 10 (7) is to be submitted by an applicant to the faculty no later than within 5 days of the date of the holding of the defence. The applications are considered by the dean or a vice-dean authorised thereto by the dean.

13. The author of a habilitation dissertation is obliged to submit it in a format which enables the publication of the dissertation under paragraph 9, or, as the case may be, publication thereof after the expiration of the period for which the publication was postponed.

14. As for the format and size of files of habilitation dissertations, the same rules apply thereto as to final theses. Other provisions of this Directive on final theses do not apply to habilitation dissertations.

## **Article 11 - Transitional Provisions**

1. Submission and publication of theses submitted for defence before 1 February 2017 are governed by Rector's Directive No. 2/2010, as effective on the date of the submission of a final thesis; submission and publication of theses submitted for defence in the period between 1 February 2017 and 30 November 2017 are governed by Rector's Directive No. 13/2007.

2. In order to publish a thesis submitted for defence prior to 1 January 2006, a student's/candidate's consent to the publication thereof in the electronic form is required.

3. If a faculty was given consent under paragraph 2, it may publish the thesis; the faculty will enter a record of the thesis, including the full text of the thesis, into the System, from which the thesis will be automatically transferred to the Repository.

4. Dean's directives adopted on the basis of Article 9 (1) of Rector's Directive No. 13/2017, and Article 13 (1) of Rector's Directive No. 6/1010, as amended by Rector's Directive No. 14/2014, will be made compliant with this Directive no later than on 30 March 2018.

5. The Rectorate of CU and the Computer Science Centre of CU will prepare a template of a dean's directive under Article 9 hereof no later than by the date of effect of this Directive.

## **Article 12 - Common and Final Provisions**

1. The details of uploading final theses into the System are provided in the methodology guidelines published at <http://is.cuni.cz>.

2. Issues regarding the testing of final theses uploaded into the System for the similarity with other theses, making use of the interuniversity system Theses.cz, or, as the case may be, of other systems, are governed by Rector's Directive No. 8/2011, as amended.

3. Rector's Directive No. 13/2017 is hereby repealed.

### **Article 13 - Effect**

This Directive becomes effective on 1 December 2017.

Prague, 10 November 2017

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