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Internal rules

of the Czech Academy of Sciences

Regulation of the Academy Council of the Czech Academy of Sciences No. 9

of 12 March 2019

amending Regulation of the Academy Council of the CAS No. 5/2018, on Strategy AV21

The Regulation was sent out on 2 April 2019.

PART ONE
**Amendment to Regulation No.
5/2018**

1. In Section 3(5), the period at the end of the sentence is replaced by a semicolon, and the words
“partner institute only in justified cases and with the consent of the Council” are added.
2. Section 5(1) reads:
“(1) The duration of the research programme may not be longer than 5 years. Within 3 months before the expiry of the research programme, the coordinator may, on the basis of a decision by the coordinating council, request the Council to extend the research programme. The research programme may be extended only once, by a maximum of 2 years. The request must be accompanied by an approving statement by the director of the coordinating institute and the directors of the partner institutes.
3. In Section 8(8), the last sentence is deleted.
4. In Section 9(7), the words “for the coordinating institute” are deleted.
5. Section 9(8) reads:
“(8) On the basis of the evaluation of the research programme under Section 10, the coordinating institute may, based on the Council’s proposal:
 - a) request a grant to cover the coordinator’s personal costs of coordination of the research programme,
 - b) request the coordinating or partner institute to provide a grant to cover non-investment costs, including the investigator’s personal costs of coordination of the research topic, and the coordinator will communicate the sum to the director of the institute in writing.
6. In Section 11(5), the words “1 March” are replaced by the words “15 February unless specified otherwise”.

PART TWO
Effectiveness

This Regulation becomes effective on the date of its publication.

prof. RNDr. Eva Zažímalová, CSc.,
president of the CAS

For clarity, the full text of the Regulation, as later amended, is included in the annex.

Annex

FULL TEXT

**Regulation of the Academy Council of the Czech Academy of Sciences No.
5/2018**

of 7 November 2017,

on Strategy AV21, as later amended

Amendment:

Amendment to Regulation No. 9/2019

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TITLE I:

General provisions

Section 1

Basic provision

- (1) This Regulation governs the procedures of the Czech Academy of Sciences (hereinafter referred to as “the CAS”) in the implementation of Strategy AV21. The objective of Strategy AV21 is to improve the quality and relevance of research conducted within the CAS, to take advantage of the synergistic effects of inter-disciplinary and inter-institutional cooperation, to facilitate the transfer of research results to the educational and application sphere, and to increase the effectiveness of the use of public funds. The output of the implementation of Strategy AV21 is science-popularisation results or scientific results, which are practically usable in socially and economically important areas, and expert opinions, especially relevant to the public administration.
- (2) Strategy AV21 is implemented through research programmes and associated activities.
- (3) The term “research programme” stands for a set of activities that address the current problems and challenges of today’s society. A tool for the investigation of the research programme is inter-disciplinary cooperation and synergistic effects of partner cooperation between individual CAS institutes and between CAS institutes on the one hand and the cooperating institutes outside of the CAS on the other hand. The research programme is divided into research topics and is investigated by at least three CAS institutes.
- (4) The research programme is conducted by the research programme’s coordinator (hereinafter referred to as “Coordinator(s)”), who is a full-time employee of the CAS institute, and the research programme’s coordinating council (hereinafter referred to as “Coordinating Council”).
- (5) The research topic is conducted by the investigator of the research topic (hereinafter referred to as “Investigator(s)”), who is a CAS institute employee. The research topic is usually investigated by multiple CAS institutes. Individual activities performed when investigating the research topic are carried out by the Investigator’s team members, who may be employees of the coordinating institute, partner institute, or cooperating institute.
- (6) The coordinating institute is a CAS institute that employs the Coordinator and participates in the investigation of the research programme.
- (7) The partner institute is a CAS institute that employs the Investigator or a member of the Investigator’s team and participates in the investigation of the research programme.
- (8) The cooperating institute is an institute outside of the CAS that employs a member of the Investigator’s team and participates in the investigation of the research programme.
- (9) The term “associated activity” stands for an activity which is used for the implementation of Strategy AV21 as a whole. An associated activity is conducted by the responsible person, who is an employee of a CAS institute or the CAS itself.

Section 2

Council of Strategy AV21

- (1) The Council of Strategy AV21 (hereinafter referred to as “Council”) is appointed by the Academy Council of the CAS as its subsidiary body. The president of the Council is a member of the Academy Council of the CAS responsible for coordination and conceptual development of Strategy AV21, members of the Council consist of vice-presidents of the CAS, a member of the Presidium of the Academy Council of the CAS charged with investigating conceptual economic and financial matters, and three members of the Council for Sciences of the CAS.
- (2) The Council:

- a) ensures overall coordination of Strategy AV21,
- b) discusses proposals to set up a research programme,

- c) makes or discusses proposals to terminate the research programme,
 - d) discusses proposals to set up an associated activity,
 - e) makes or discusses proposals to terminate the associated activity,
 - f) evaluates the research programme or the associated activity,
 - g) proposes distribution of funds for Strategy AV21,
 - h) after prior discussion at the Academy Council of the CAS, appoints and removes the Coordinator,
 - i) is the appeal body for settling disputes arising from the investigation of the research programme or associated activity,
 - j) submits to the Academy Council of the CAS for approval:
 - 1. proposals to set up a research programme or associated activity,
 - 2. proposals to terminate the research programme or associated activity,
 - 3. research programme budget proposals and associated activity budget proposals,
 - 4. an evaluation of the research programme and an evaluation of the associated activity.
- (3) Administrative support of the Council is provided by the secretary, who is an employee of the Head Office of the CAS.
- (4) The Council secretary maintains an up-to-date overview of research programmes and their coordinators and research topics and their investigators.

Section 3

Research programme's name and its coordination

- (1) A research programme's name is: Strategy AV21 – *the research programme's name – number assigned by the Council* (model: Strategy AV21 – *the programme's name* - no. XX).
- (2) The Coordinator:
- a) determines the research programme's technical content,
 - b) decides on issues of investigation of the research programme that are not exclusively assigned to the Coordinating Council,
 - c) submits to the Council matters mentioned in (4)(f)–(k) together with an opinion of the Coordinating Council, the coordinating institute's director, and the directors of the partner institutes,
 - d) acts as a spokesman for the research programme in relation to the public and the media.
- (3) The Coordinating Council consists of the Coordinator and the directors of the partner institutes, or representatives assigned by them, usually the Investigators. The Coordinator is the president of the Coordinating Council. The Coordinating Council meets at least once per year.
- (4) In particular, the Coordinating Council:
- a) based on a proposal by the Coordinator, discusses the research programme's technical content,
 - b) discusses a report on the investigation of the research programme for the past period,
 - c) discusses a report on budget spending in the relevant calendar year,

- d) continuously inspects the investigation of the research programme,
- e) discusses changes to the distribution of tasks within the research programme,
- f) discusses objections of the Investigators against the publication of findings that arose when investigating the research programme,
- g) settles disputes arising from the investigation of the research programme,

- h) discusses acceptance of a new research topic into the research programme and deletion of an existing research topic,
 - i) discusses the involvement of a new partner institute or cooperating institute in the research programme and the exclusion of an existing partner institute or cooperating institute from the research programme,
 - j) discusses replacement of the Coordinator or Investigator,
 - k) proposes to the Council to extend or terminate the research programme.
- (5) Administrative support of the research programme and its coordination is provided by the coordinating institute; it is provided by a partner institute only in justified cases and only with the consent of the Council.
- (6) For the purpose of investigating the research programme and research topics, the coordinating institute and partner institutes may enter into an agreement on the professional arrangement of activities. A model agreement is provided on the CAS' internal website.

Section 4

Research programme proposal and associated activity proposal

- (1) A research programme proposal is submitted to the Council by the director of the CAS institute that is proposed as the coordinating institute.
- (2) The research programme proposal includes:
- a) the research programme's name in Czech and in English,
 - b) the Coordinator's name and the coordinating institute's name,
 - c) a list of the research topics and their distribution among partner institutes,
 - d) the names of the Investigators and the names of the partner institutes,
 - e) an abstract of the research programme,
 - f) the expected duration of the research programme,
 - g) the schedule and timetable for the first 12 months of investigating the research programme,
 - h) a budget proposal for the first 12 months of investigating the research programme, which includes its justification,
 - i) approving statements by the partner institutes on involvement in the research programme.
- (3) The associated activity proposal is submitted to the Council by a member of the Academy Council of the CAS or the president of the Council for Sciences of the CAS.
- (4) The associated activity proposal includes:
- a) the name of the associated activity in Czech and in English,
 - b) the name of the responsible person and the name of the CAS institute which will implement the associated activity,
 - c) a justification and the objectives of the associated activity,
 - d) the expected duration of the associated activity,
 - e) a schedule and timetable for the first 12 months of investigating the associated activity,
 - f) a budget proposal for the first 12 months of investigating the associated activity, which includes its justification.
- (5) The Council will discuss the research programme proposal taking into account trends in

global science, social relevance, and the National Priorities of Oriented Research,
Experimental

Development, and Innovation (Národní priority orientovaného výzkumu, experimentálního vývoje a inovací). The Council will discuss the associated activity proposal taking into account the Policy of the Czech Academy of Sciences and its need for implementation of Strategy AV21 as a whole.

- (6) The research programme is approved by the Academy Council of the CAS based on a proposal by the Council and after prior discussion at the Council for Science of the CAS. The associated activity is approved by the Academy Council of the CAS based on a proposal by the Council.

Section 5

Duration and termination of the research programme and associated activity

- (1) The duration of the research programme may not be longer than 5 years. Within 3 months before the expiry of the research programme, the Coordinator may, on the basis of a decision by the Coordinating Council, request the Council to extend the research programme. The research programme may be extended only once, by a maximum of 2 years. The request will be accompanied by an approving statement by the director of the coordinating institute and the directors of the partner institutes.
- (2) Extension of the duration of the research programme based on a proposal by the Council is approved by the Academy Council of the CAS.
- (3) Based on a proposal by the Council, the Academy Council of the CAS will shorten the duration of the research programme or terminate the research programme before its expiry:
 - a) based on a proposal by the director of the coordinating institute or Coordinating Council,
 - b) in case that sufficient activities have not been carried out in the past 12 months to investigate the research programme,
 - c) in case that the evaluation of the research programme for the past period showed insufficient results of the investigation of the research programme.
- (4) The duration of the associated activity may not be longer than 5 years. Extension of the duration of the associated activity based on a proposal by the Council is approved by the Academy Council of the CAS. Based on a proposal by the Council, the Academy Council of the CAS may shorten the duration of the associated activity or terminate it altogether before its expiry.

Section 6

Joining the research programme and withdrawal from the research programme

- (1) A CAS institute that wants to join the process of investigating the research programme (hereinafter referred to as "Joining Institute") will, after prior discussion with the Coordinator, send a request to join the research programme to the Council. The request to join includes:
 - a) name of the research programme which the Joining Institute wants to join,
 - b) name of the new research topic which the Joining Institute proposes to include in the research programme, or the name of an existing research topic in whose investigation the Joining Institute wants to be involved,
 - c) name of the Investigator, who must be an employee of the Joining Institute,
 - d) specification of the tasks which the Joining Institute will be involved in during the next 12 months,
 - e) Coordinator's statement,

- f) budget proposal for the first 12 months of investigating the research programme, including justification thereof.
- (2) The request to join the research programme is decided by the Council.
- (3) A partner institute that wants to withdraw from the investigation of the research programme will, after prior discussion with the Coordinating Council or the Coordinator, send a request to withdraw from the research programme to the director of the partner institutes.

- (4) Together with the request to withdraw, the withdrawing partner institute will submit to the Council a report on the investigation of the research program, a report on budget spending, and a statement by the Coordinating Council or a statement by the Coordinator and the directors of the partner institutes.
- (5) If a partner institute, cooperating institute, or an Investigator who is an employee of the coordinating institute does not fulfil the tasks assigned to them due to the investigation of the research programme for longer than 6 months without a serious reason, the Coordinating Council or the Coordinator will invite them to resume fulfilling the tasks within a time limit set by it/him/her. If the fulfilment of the tasks is not resumed when investigating the research programme within the set time limit, the Coordinating Council or the Coordinator will propose to the Council to exclude the partner institute or the cooperating institute or the Investigator who is an employee of the coordinating institute from the research program.
- (6) The exclusion of the partner institute or the cooperating institute from the research programme is decided by the Council. The exclusion of the Investigator who is an employee of the coordinating institute is decided by the Coordinator.

Section 7

Protection of intellectual property when dealing with the research results and access rights

- (1) The protection of intellectual property when investigating the results of research that arose when investigating the research programme is governed by legislation pertaining to intellectual property protection¹, principles of good scientific practice, the Ethical Code of Researchers within the Czech Academy of Sciences, and guidelines on the management of intellectual property at CAS institutes approved by the Academy Council of the CAS.
- (2) Access rights to use the knowledge, know-how, and software necessary for the investigation of the research topic (hereinafter referred to as "Access rights") are granted by written agreement between an institute having the necessary Access rights and the institute that employs the Investigator of the research topic.
- (3) The Access rights under (2) are granted free of charge, solely for the purpose of investigating the research topic, and only for a period strictly necessary to investigate the research topic.
- (4) The Access rights to a computer's software do not include access to the source code unless stipulated otherwise by agreement. Every change or modification of the software made in connection with the investigation of the research topic, including relevant source code and a detailed description of the change(s) or modification(s) made, must be communicated to the software's owner without delay.

Section 8

Common provisions

- (1) Proposals, reports, and other documents are submitted by the coordinating institute and a partner institute through the information system of the Head Office of the CAS unless specified otherwise by the president of the Council.

¹ As an example, Act No. 121/2000 Coll., on Copyright and on Amendments to Certain Acts (the Copyright Act), as amended, Act No. 527/1990 Coll., on Inventions, Industrial Designs, and Improvement Proposals, as amended, Act No. 206/2000 Coll., on the Protection of

Biotechnological Inventions, Act No. 207/2000 Coll., on the Protection of Industrial Designs, as amended, Act No. 441/2003 Coll., on Trademarks, as amended.

- (2) Each research programme has its own website, which is found on the website of the CAS, at least in a brief form and, possibly, another additional website in an extended form. The Coordinator is responsible for the up-to-dateness of its content.
- (3) Summary information on Strategy AV21 and updates are regularly published by the Coordinators and the Council secretary on the CAS' website.
- (4) Planned events of the research programme are announced by the Coordinator and planned events of the associated activity are announced by the responsible person in advance to the Council president and secretary.
- (5) The Council prepares for publication an information brochure on the research programs of Strategy AV21 in a Czech and English version and updates it as required. The Coordinator and the responsible person send texts intended to update the information brochure in both language versions to the Council secretary.
- (6) The Coordinator in cooperation with the Head Office of the CAS publicises the results of the research programme in suitable media and at relevant events, e.g. at the Week of Science and Technology of the CAS.
- (7) The use of the Strategy AV21 logo in the outputs of the research programme is subject to the consent of the president of the Council.
- (8) The coordinating and partner institutes are required to state the name of the Czech Academy of Sciences and information on Strategy AV21 support in all the outputs that arise from the research programme or associated activity.

TITLE II

Conditions of financing

Section 9

- (1) Strategy AV21 is financially supported using grants provided by the CAS as the founder. The implementation of Strategy AV21 may be partially supported using other sources.
- (2) Grants for supporting the research programme are provided to the coordinating institute and partner institute, grants for supporting the associated activity are provided to the CAS institute (hereinafter collectively referred to as "the Grant(s)"). The Grant are provided in accordance with Regulation of the Academy Council of the CAS on Grants Provided by the Czech Academy of Sciences to the CAS institutes.
- (3) The Grant may cover non-investment costs that are directly related to the investigation of the research programme or associated activity. In justified cases, also acceptable are adequate personal costs:
 - a) of the Investigator and members of the Investigator's team who are employees of the coordinating or partner institute,
 - b) related to an agreement on work performed outside of employment.The adequacy of personal costs in the research program and associated activity budget is assessed by the Council.
- (4) The Grant may be used to cover investment costs only in exceptional and justified cases.
- (5) The Grant may not be used to cover:
 - a) costs of costly devices²,

² The term "costly device" stands for equipment valued at more than CZK 8 million incl. VAT.

- b) overhead costs,
 - c) costs of usual research or administrative activities,
 - d) costs of an activity covered by targeted support funds,
 - e) costs of the cooperating institute.
- (6) Assets purchased using the Grant funds belong to the coordinating institute or partner institute which purchased them.
- (7) A Grant whose purpose is to cover administrative, operational, and personal costs of coordination of the research programme under Section 3 may not exceed CZK 600,000 per calendar year.
- (8) On the basis of the evaluation of the research programme under Section 10 and based on the Council's proposal:
- a) the coordinating institute may request a Grant to cover the Coordinator's personal costs of coordination of the research programme,
 - b) the coordinating or partner institute may request a Grant to cover non-investment costs, including the Investigator's personal costs of coordination of the research topic, and the Coordinator must communicate the sum to the director of the institute in writing.
- (9) To govern the rights and obligations relevant during the purposeful use of the Grant, a tripartite agreement is concluded between the CAS, the coordinating institute, and the Coordinator.

TITLE III

Evaluation

Section 10

- (1) The evaluation of the investigation of the research programme and associated activity is performed regularly once per year by the Council, on the basis of a report on the investigation for the past period and after the research programme or associated activity has been terminated on the basis of the final report. The regular evaluations of the investigation of the research programme and associated activity are performed by the Coordinating Council or the Coordinator as required.
- (2) The research programme is evaluated by the Council particularly according to the following criteria:
- a) level of cooperation between CAS institutes and the cooperating institutes,
 - b) synergy of cooperation between CAS institutes,
 - c) social relevance of the outputs,
 - d) contribution to the investigation of the current scientific and social problems,
 - e) consistency of the research programme with the objectives of the National Priorities of Oriented Research, Experimental Development, and Innovation and involvement in European and international programmes,
 - f) contribution to the reflection of questions currently resonating in society,
 - g) application potential of the results of the research programme,
 - h) contribution to how scientific knowledge is brought to the public (popularisation of science),
 - i) implementation of the results of the research programme in practice,

- j) cooperation with the educational sphere and the public administration,
 - k) perspective of continued and growing synergistic effects of cooperation between CAS institutes.
- (3) The associated activity is evaluated by the Council particularly according to the following criteria:

- a) contribution to the achievement of Strategy AV21 objectives,
- b) social relevance of the outputs,
- c) perspective of continuation.

Section 11

Report on the investigation for the past period

- (1) For the purposes of the annual evaluation under Section 10(1), the Coordinator or responsible person will submit to the Council a report on the investigation of the research programme or associated activity for the past period no later than 30 September.
- (2) The report under (1) includes:
 - a) a characterisation of the investigation of the research programme or associated activity, which is divided into individual research topics and individual types of results, including the contribution of individual partner or cooperating institutes to these results and a justification for a possible deviation from the planned objectives,
 - b) response to the results of the investigation of the research programme or associated activity if that is common practice in the given scientific field,
 - c) a report on budget spending,
 - d) an investigation proposal for the research programme or associated activity for the next calendar year,
 - e) a budget proposal for 12 months of investigating the research programme or associated activity starting on 1 January of the next calendar year, which includes its justification.
- (3) the Council will submit an evaluation report of the research programmes and associated activities to the Academy Council of the CAS no later than 31 October.
- (4) On the basis of the evaluation, the Council will propose to the Academy Council of the CAS to approve:
 - a) the continuation of the research programme or associated activity,
 - b) the continuation of the research programme or associated activity with the recommended changes to their investigation having been made,
 - c) the termination of the research programme or associated activity.
- (5) The Coordinator will submit the report on budget spending, including an overview of Grant spending sorted by the coordinating and partner institutes for the past calendar year, to the Council no later than 15 February unless specified otherwise. The Council will inform the Academy Council of the CAS of the report.

Section 12

Final report

- (1) After the research programme or associated activity has been terminated, the Coordinator or responsible person will submit a final report on the investigation no later than 1 March. The final report is approved by the Academy Council of the CAS based on a proposal by the Council.
- (2) The final report includes:
 - a) the investigation of the research programme or associated activity,
 - b) a report on the fulfilment of the purpose of the Grant.

Section 13

Transitional provision

The CAS will, together with the coordinating institute and Coordinator, enter into an agreement governing the rights and obligations relevant during the purposeful use of the Grant under Section 9(9) for 2018 within 2 months of the date of effectiveness of this Regulation.

Section 14

Effectiveness

This Regulation becomes effective on the date of its publication.

prof. RNDr. Eva Zažímalová, CSc.,
president of the CAS