

# **Charles University, Faculty of Arts**

## **Dean's Communication No. 1/2024**

### **Requirements for the procedures for the granting of associate professorship and the appointment of full professorship for branches offered at the Faculty of Arts of Charles University**

#### **Article 1**

##### **Introductory Provision**

1. This Communication specifies and implements the criteria for the procedures for the granting of associate professorship (habilitation procedures) and the appointment of full professorship (appointment procedures) recommended by Charles University in its internal regulations<sup>1</sup>, taking into account specifics and practices in branches implemented at the Faculty of Arts of Charles University ("the Faculty of Arts CU"); it factors in outstanding published works and other outputs of creative activities of applicants for associate professorship and full professorship, and it unequivocally interprets some terms used in the internal regulations. The Communication is intended for members of the Research Board of the Faculty of Arts ("the RB of the Faculty of Arts CU"), chairs and members of associate professorship commissions and full professorship commissions, as well as for applicants for the granting of associate professorship and full professorship in branches implemented at the Faculty of Arts CU.

#### **Article 2**

##### **Dissertation to Qualify for Associate Professorship**

1. A dissertation to qualify for associate professorship (a habilitation dissertation) must comply with the definition set out in section 72 (3) of Act No. 111/1998 Sb., as amended. A critical edition of sources<sup>2</sup> is considered to be such a dissertation.
2. In all branches implemented at the Faculty of Arts CU, a habilitation dissertation is also accepted in the form of a collection of published studies<sup>3</sup>, or studies which have been

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<sup>1</sup> Particularly, Rector's Directive No. 35/2019, Recommended assessment criteria for procedures to attain associate professorship and for the appointment of full professorship and the minimum requirements for the content of the justification to be drawn up by the associate professorship commission and by the commission in the full professorship appointment procedure, including determination of the essential elements of Charles University documents to be submitted, as amended.

<sup>2</sup> It is the publication of a text related to a source or sources for the purposes of scientific research based on an analysis and discerning evaluation of the source edited. The content of the edition and the nature of the bibliography, footnotes and citations it is equipped with is determined by the nature of the source and the conventions of the relevant field.

<sup>3</sup> For the purposes of the habilitation procedures, the RB of the Faculty of Arts CU understands the term „collection of studies“ as a set of articles by the selected applicant with a common determiner in terms of topic or methods. The collection may include studies of which the applicant is either sole author or a co-author in the position of the main or corresponding author, or, in exceptional cases, also studies of which the applicant is a co-author with a contribution of less than 50%. The applicant will explicitly explain their

provably accepted for publication. This collection of studies contains the original, previously unpublished, introduction and conclusion of which an applicant is the sole author and which describes the theoretical background, methods, results, and especially the applicant's specific and original contribution to the given research issue / area of research.<sup>4</sup>

3. The habilitation dissertation is typically prepared in the Czech language or one of the world languages. In justified cases, the language of the habilitation dissertation can also be another language which is crucial for the given branch; determination of such a language must be in compliance with the accreditation file of the branch of study for attainment of associate professorship. If the habilitation dissertation is written in a language other than Czech or a world language, the substantial portion of applicant's published works must be in the Czech or a world language. In this regard, the adequacy of the portfolio of publications is evaluated by the associate professorship commission.

### **Article 3 Published Works**

1. Under section 72 (2), an applicant for associate professorship and full professorship will present a list of scholarly, professional, and artistic works ("publications"). The total publications output includes publications of which the applicant is the main or corresponding author, by which the University regulations expressly mean *the leader of a team of authors who has conceived the research and drafted the report, co-ordinated the work and wrote or produced a significant part of the text or a work*. Publications with a less than 50% contribution by the applicant can be included as well. The importance of the contribution will be evaluated by the associate professorship commission or full professorship commission. In its report, the commission will expressly justify why it considers it appropriate to also include in the overall publications output publications with a lower percentage contribution in the resulting work than the contribution indicated in the above-provided definition of the "main author". Such form of the applicant's authorship contribution is then predominantly weighed against the particular amount of the applicant's authorship contribution. In the case of applicants whose number of publications is lower than the number of publications recommended by the University, the commission will, in its report, take account of the extraordinary professional impact (high level of citations) of the applicant's research work.

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contribution to individual studies in the introduction, particularly in the last scenario mentioned (i.e., less than 50% contribution as a co-author), and will present written affirmations by all co-authors expressing consent to the use of the relevant study as a part of the habilitation dissertation, as well as the approval of the percentage contribution to the study provided by the applicant. The associate professorship commission may invite reviewers to separately assess in their reports on the habilitation dissertation the applicant's contribution to the studies presented. A study which has been a part of another qualification work, e.g., a dissertation thesis, cannot be included in the collection. If the topic of the habilitation dissertation coincides with the topic of the dissertation thesis it is necessary for the applicant to submit a written justification documenting the development in the research that has occurred in the habilitation dissertation. The justification is then evaluated by the associate professorship commission.

<sup>4</sup> Section 72 (3) (b) of the Higher Education Act.

2. In order to reinforce motivation to achieve top-quality results in branches offered at the Faculty of Arts CU and in an effort to attach weight to the results of more interdisciplinary applicants, the number of publications recommended by Charles University will be reduced by (however, the limit may be decreased by a maximum of 5):
- a) 3 items for each study published in a professional journal found, at the time of publication of the given study, in the 1<sup>st</sup> decile according to WoS/Scopus in the field in which the procedure for the granting of associate professorship or full professorship takes place, and by 2 items for each study published in a professional journal found, at the time of publication of the given study, in the 1<sup>st</sup> decile of a neighbouring or related field.
  - b) 2 items for each study published in a professional journal found, at the time of publication of the given study in the 1<sup>st</sup> quartile (except the first decile) under Wos/Scopus in the field in which the procedure for the granting of associate professorship or full professorship takes place, and by 1 item for each study published in a professional journal found, at the time of publication of the given study, in the 1<sup>st</sup> quartile (except the first decile) of an adjacent or related field.
  - c) 1 item for each study published in a professional journal found, at the time of publication of the given study, in the 2<sup>nd</sup> quartile under Wos/Scopus in the field in which the procedure for the granting of the associate professorship or full professorship takes place.
  - d) 4 items for a scholarly book published by a field-important foreign publishing house<sup>5</sup> in the field in which the procedure for the granting of the associate professorship or full professorship takes place, and by 3 items for a scholarly book in a foreign language published by a field-important foreign publishing house in the neighbouring or related field.
  - e) 3 items for a scholarly book in a foreign language or the Czech language published by a field-important Czech publishing house in a field in which the procedure for the granting of the associate professorship or full professorship takes place, and by 2 items for a scholarly book in a foreign language or Czech language published by a field-important Czech or Slovak publishing house in an adjacent or related field.
  - f) 2 items for a chapter in a scholarly book (not a proceedings) in a foreign language published by a field-important foreign publishing house in the field in which the procedure for the granting of the associate professorship or full professorship takes place.

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<sup>5</sup> The term “a field-important publishing house” means a prestigious foreign publishing house in the Euro-Atlantic area specializing in publishing scholarly literature, or top publishing houses in states or regions, including the Czech Republic, which are, in terms of the subject of study of a given field or in which the substantial part of scholarly discourse takes place, relevant for the further development of research in the given branch. The publishing houses are listed in a database recognized by the Faculty of Arts CU. If an associate professorship commission or a full professorship commission includes any further publishing house or houses in the list, it will provide justification therefor in its evaluation.

The associate professorship commission or full professorship commission will present its opinion regarding the satisfaction of criteria by the applicant in its assessment.

3. The term “an international/foreign-language publication” as used in the internal regulations of Charles University, is understood by the RB of the Faculty of Arts CU to mean articles, scholarly books, and chapters in scholarly books published in one of the world languages, or another language crucial for the given branch, and published by an entity with a registered office outside of the Czech Republic and the Slovak Republic. An associate professorship commission or a full professorship commission may also take account of articles, scholarly books, and chapters in scholarly books published in world languages in the Czech or Slovak Republic; however, the commission will take account of the international prestige of the given publication platform and the impact on the international scholarly community (e.g., professional journals with high JIF, AIS, or SJR). The commission will justify its approach in its evaluation.
4. In order to support the internationalization of scholarly research, the minimum number of international/foreign-language publications reported by a candidate is set at 5, in the procedure for the granting of associate professorship, and at 15, in the procedure for the appointment of full professorship.
5. Due to a conflict of interest, publications in journals of which the applicant was an editor-in-chief or an executive editor at the time of publication are not included in the total publication output.

#### **Article 4** **Citation Indexes**

1. The term “a citation in foreign scholarly literature” as used in the internal regulations of Charles University, is understood by the RB of the Faculty of Arts CU to mean a citation in an international/foreign-language publication, as defined in Article 3 (3) of this Communication.
2. Any potential inclusion of borderline or ambiguous cases will be justified by a commission in its opinion.
3. In the case of procedures for the granting of associate professorship, a minimum number of citations in domestic and foreign scholarly literature is set at 20; at least half of them must be in foreign scholarly literature.<sup>6</sup>
4. In the case of procedures of the appointment full professorship, a minimum number of citations in domestic and foreign scholarly literature is set at 50; at least half of them must be in foreign scholarly literature.<sup>7</sup>

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<sup>6</sup> If a publication in which an applicant is only an editor contains a reference to their other work, such a reference is not regarded as a self-citation. Citations of student final theses can only be used in a dissertation thesis, references to works from bachelor’s and master’s degrees cannot be made. The provision of the exact page of citation in a referenced work is not required.

<sup>7</sup> If a publication in which an applicant is only an editor contains a citation of their other work, such a reference is not regarded as a self-citation. Citations of student final theses can only be used in a dissertation

5. In the case of applicants whose number of citations is lower than the number of citations recommended by the University, a commission may, in its evaluation, take account of the professional impact of their research work making use of other criteria used in the given field.

## **Article 5**

### **Conflict of Interest<sup>8</sup>**

1. The Dean will ensure that no conflict of interest occurs on the part of individual bodies, particularly members of associate professorship commissions and reviewers of habilitation dissertations, in the case of procedures for the granting of associate professorship, or members of commissions and authors of letters of recommendation acting in the procedures for the appointment of full professorship.
2. An applicant, the chair or member of the associate professorship commission or the full professorship commission, reviewer of a habilitation dissertation, or an author of a written report are obliged to warn the chair of the associate professorship commission, or the full professorship commission, of a possible conflict of interest without undue delay. The same also applies to persons who are to be appointed to said positions.
3. In case of an ambiguity in the assessment of a conflict of interest, the conflict is assessed by the Dean. In cases of a possible conflict of interest on the part of the Dean, the conflict is assessed by the RB of the Faculty of Arts CU.
4. For the purposes of the composition of associate professorship commissions and full professorship commissions, a Professor Emeritus of Charles University is also considered an employee of the University. For the same purposes, a person working on the grounds of one of the agreements to work outside the scope of regular employment is not regarded as an employee of the University.
5. If the Dean intends to commence his/her own procedure for the granting of associate professorship, it is recommended that the procedure take place before a different RB of the Faculty of Arts CU than the one the Dean him/herself appointed. If the Dean intends to commence his/her own procedure for the appointment of full professorship, it is recommended that the procedure take place before a different RB of the Faculty of Arts CU than the one the Dean him/herself appointed, usually before a board in the same branch in which the Dean has been granted associate professorship, or in a related branch.
6. A direct superior or a direct subordinate of an applicant cannot be appointed the chair of an associate professorship commission or of a full professorship commission.
7. A co-author of a work submitted by an applicant as a habilitation dissertation cannot be appointed the chair or a member of an associate professorship commission.

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thesis, references to works from bachelor's and master's degrees cannot be made. The provision of the exact page of citation in a referenced work is not required.

<sup>8</sup> For more detail see Rector's Directive No. 55/2023, providing for the prevention of a conflict of interest in the procedures for the granting of associate professorship and appointment of full professorship, as amended.

8. A frequent co-author of an applicant's publication outputs presented in documentation submitted by the applicant at the beginning of the procedure of the granting of associate professorship or full professorship cannot be appointed the chair or a member of an associate professorship commission or a full professorship commission. A co-author of no more than one third of all publication outputs presented in the documentation submitted by an applicant at the beginning of the procedure for the granting of associate professorship or full professorship is not regarded as a frequent co-author.
9. The chair or a member of a full professorship commission cannot act as the author of a letter of recommendation for the applicant.
10. A person close to an applicant within the sense of the Civil Code cannot be appointed the chair or a member of an associate professorship commission or a full professorship commission.
11. A direct superior or a direct subordinate of an applicant for the granting of associate professorship cannot be appoint a reviewer of the habilitation dissertation.
12. A co-author of a work submitted by the applicant as a habilitation dissertation cannot be appointed a reviewer of the habilitation dissertation.
13. A frequent co-author of an applicant's publication outputs presented in the documentation submitted by the applicant at the beginning of the procedure for the granting of associate professorship cannot be appointed a reviewer of the habilitation dissertation.
14. A person close to an applicant within the sense of the Civil Code cannot be appointed a reviewer of the habilitation dissertation.
15. No more than one of the reviewers of a habilitation dissertation can be a member of an associate professorship commission.
16. A written recommendation in the procedure for the appointment of full professorship cannot be provided by a direct superior or a direct subordinate of an applicant.
17. A written recommendation in the procedure for the appointment of full professorship cannot be provided by a person close to an applicant in the sense of the Civil Code.
18. The above-stated restrictions regarding conflict of interest apply to members of the RB of the Faculty of Arts CU only if they hold positions specified in those restrictions.

## **Article 6**

### **Educational and Research Activities**

1. When evaluating the educational activities of applicants, an associate professorship commission or a full professorship commission takes into consideration the length of their educational practice, the number and importance of courses offered by the applicant in the context of the relevant branch, the number of bachelor's and master's theses advised on and defended, the number of supervised or, as the case may be, defended doctoral dissertation theses in the position of a supervisor or advisor, as well as other

activities associated with educational activities (acting as a guarantor for programmes of study, co-ordinating international programmes of study, or activities in evaluation bodies in the field of tuition). The commission will evaluate the overall importance of a candidate in the context of a programme of study in which the candidate works.

2. In compliance with the internal regulations of Charles University, an applicant for the appointment of full professorship shall document that at least one of their doctoral students has already successfully completed their study.
3. An applicant will present an overview of the scholarly, professional, and artistic internships, both domestic and international, they have participated in. The overview of internships is divided into stays of a total length of at least 1 month (including the statement of financing specifics)<sup>9</sup> and other stays.
4. If an applicant has failed to satisfy the internship criterion, he/she will provide reasons therefor and will document the professional reinforcement abroad through joint publications with foreign authors, the organisation of international conferences in co-operation with foreign partners, participation in international grant projects, research teams or study programmes, and the like. An associate professorship commission or a full professorship commission will express its position thereon in its opinion.
5. An applicant will submit an overview of awarded and successfully completed grant projects, distinguishing between grant projects financed by external agencies and grant projects financed from institutional support funds.

## **Article 7**

### **Self-assessment**

1. In order to strengthen the quality aspect of the overall evaluation, an emphasis is placed on the applicant's self-assessment. In the procedures for the granting of associate professorship and the procedures for the appointment of full professorship, an applicant:
  - a. will present no more than 5 profile publication which they consider important from the perspective of their professional career, will order said publications according to their importance, and will provide a short abstract explaining why those publications are important. At the same time, no more than 2 of said profile publications can form a part of a habilitation dissertation.
  - b. will express their opinion on the quality aspect of their publications, educational activities over the past 5 years (including evaluation of students), and activities within the third role of the university (e.g., participation in projects of life-long learning, promotion of science, co-operation with private sector or state administration, and the like).
2. The applicant will also express their opinion regarding the publications and educational activities during their appearance before the RB of the Faculty of Arts CU (see Article 8 (7)).

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<sup>9</sup> What is meant are primarily stays focused on networking and professional reinforcement, including stays financed from the scholarship and bursary fund, fellowships, and the like, within the entire professional career.

## **Article 8**

### **Lecture to Qualify for Associate Professorship and Full Professorship**

1. The applicant will deliver a lecture to qualify for associate professorship (“a habilitation lecture”) on a topic determined by the RB of the Faculty of Arts CU from a selection of three proposed topics, each of which is different from the topic of the applicant’s habilitation dissertation and which document the scope of the applicant’s research activities.
2. The applicant will put the topic both in the relevant theoretical-methodological framework and in the context of their existing research.
3. The length of a habilitation lecture is set at 20 minutes.
4. The applicant will deliver a lecture to qualify for full professorship (“an appointment lecture”) on a topic determined by the RB of the Faculty of Arts CU from a selection of three proposed topics which document the scope of his/her research activities.
5. The appointment lecture presents the applicant’s research in a general theoretical-methodological framework and in the international context, including the relevance of the topic being researched and the applicant’s contribution to the research, and at the same time the applicant will present the concept of their scholarly work in the given branch.
6. The length of an appointment lecture is set at 30 minutes.
7. Following the habilitation lecture and/or the appointment lecture, the applicant will, in the procedure for the granting of associate professorship or the appointment of full professorship, express his/her opinion on his/her existing research and educational activities and the future prospects thereof, in the case of the appointment of full professorship, also with the emphasis on the development of their branch. The self-assessment done by the applicant constitutes a part of this opinion.
8. The length of the summary of research and educational activities, including future prospects, is set at 5-10 minutes.

## **Article 9**

### **Assessment of a Lecture to Qualify for Associate Professorship and Full Professorship**

1. In compliance with the Code of Procedure for the Research Board of the Faculty of Arts CU, the RB of the Faculty of Arts CU elects a working group for the purposes of evaluating documentation and lectures within the procedures for the granting of associate professorship and full professorship. Through its activities, the working group helps both to establish comparable criteria across branches and to anchor their specific features within the overall methodology procedures of the RB of the Faculty of Arts CU. The working group comprises at least three members of the RB of the Faculty of Arts CU who are also academic staff working in the branch that corresponds to the applicant’s branch or that is related thereto.



2. The working group is constituted and approved by the RB of the Faculty of Arts CU at the meeting which usually precedes the meeting at which the relevant procedure for the granting of associate professorship or appointment of full professorship is discussed.
3. The working group is given access to the applicant's documentation sufficiently in advance and it presents its opinion within the private part of the meeting of the RB of the Faculty of Arts CU at which the relevant procedure is put on the agenda. The working group invites discussion in both the public and private part of the meeting of the RB of the Faculty of Arts CU.
4. The evaluation of a habilitation lecture or an appointment lecture is carried out in compliance with requirements set out in Article 8 above. The evaluation involves comparison of the lecture delivered with its introductory abstract (outline). The lecture is evaluated as both research performance and teaching performance.

**Article 10**  
**Transitional and Final Provisions**

1. This Statement does not apply to procedures for the attainment of associate professorship and full professorship commenced before the date of effect of the Statement.
2. This Statement comes into force on 1 May 2024 and becomes effective on 1 May 2025.

In Prague, on 30 April 2024  
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