

MANAGEMENT OF PROJECTS AND OTHER ACTIVITIES AT FSV UK

DIRECTIVE S_DEK_008		
Version: 001		
Issued by Dean's Measure: 01/2023		
Date of issuance: 03.02.2023	In effect from: 03.02.2023	Validity: Indefinite period of time
Related regulations and documents: Statutes of FSV UK Directive S_EO_004 Operating and administrative overheads at FSV UK The following directives will be issued during the first half of 2023: Directive S_DEK_001 Competences and powers of vice-deans and members of the Collegium of the Dean of FSV UK Directive S_EO_003 Rules for concluding contractual relations Directive S_EO_001 Circulation of accounting documents at FSV UK Directive S_OV_002 Submission of project applications to the Research Office and economic management of project funds		
Repealed regulations:		
A lead (unit, staff member): Ing. Ondřej Blažek, Faculty Secretary		
Elaborated by: Ing. Ondřej Blažek, Faculty Secretary		
Appendices: P1_SDEK008_Form of General Project Plan		
Brief summary of the regulation: The Directive defines the ownership, responsibilities, and approval levels in the area of projects and other activities implemented at FSV UK, primarily from the perspective of economic management of entrusted funds. The Directive further defines the Project Committee and its responsibilities and services provided within and beyond the overheads.		
Discussed with AS FSV UK: Not requested	Approved by AS FSV UK: Not requested	Discussed with trade unions: Not requested
Discussion with or approval by another body: Not requested		
In charge of accuracy: Ing. Ondřej Blažek, Faculty Secretary		
Issued by: PhDr. JUDr. Tomáš Karásek, Ph.D., Dean of the Faculty		

Part I – Information about the Regulation

1. Reasons and Explanation for the Changes

Content of the change	Point
New regulation	All

2. Purpose and Scope of the Measure

This measure issues a new version of the Directive - Management of Projects and Other Activities at FSV UK. It applies to all projects and any other activities beyond the activities funded from institutional support, i.e. funds allocated to the Faculty mainly in the Schedule of Contribution and Subsidy of MŠMT (the Ministry of Education, Youth, and Sports) with the exception of funds related to internal grant competitions, which also fall within the scope of this Directive.

The Directive defines the basic set of responsibilities, primarily in terms of gaining the funds and resource management, in the preparatory, implementation and post-implementation stages of projects or other activities carried out at FSV UK.

Part II – Basic Terms, Rules, and Roles

3. Definition of Terms

- 3.1. For the purposes of this Directive, a **project** means any endeavour with a specific timeframe, generally of 1 year or more, with a defined objective and defined resources.
- 3.2. For the purposes of this Directive, an **activity** means any other activity that does not fall within the definition of a Project and at the same time within the main educational activity funded by the contribution of the Ministry of Education, Youth, and Sports.
- 3.3. A **funding source** is a financial resource to cover all costs and acquisition of assets of a project or activity.
 - 3.3.1. By **internal source of funding** we mean funds allocated to the faculty within the framework of the Schedule of Contributions and Subsidies of MŠMT, funds for operating capital (FPP), a fund for reproduction of investment assets (FRIM), income from self-payers and collected fees.
 - 3.3.2. By **external source of funding** we mean all other sources of funding from third parties or from the Rector's Office or other parts of Charles University.
- 3.4. **Project or activity management** is the leadership and management of a project team or a team implementing an activity. In the hierarchy of the project or activity team, the highest ranked person is usually **the applicant/main investigator or the head of the research team at the Faculty (hereinafter referred to as the "investigator")**, in some cases, **the guarantor**.

- 3.5. For the purposes of this Directive, **the owner of a project or activity** is either
- 3.5.1. **The institute (or centre)** that is the main employer of the main investigator of the project or activity at the faculty (unless it is explicitly stated that the investigator is submitting the project at another institute), or
 - 3.5.2. **Two or more institutes** in so-called "inter-institute" projects - here it must always be specified which institute is the main owner and which institutes are partners. At the same time, a participation ratio should be established (e.g. 60:40), or
 - 3.5.3. **The Dean's Office** in so-called faculty-wide projects. A project where the institutes are unwilling or unable to effectively fulfil the role of project or activity owner may be regarded as a faculty-wide project by the decision of the Dean based on a proposal of the project committee.
- 3.6. **Within the Faculty, the Dean acts as the owner** in the case of a faculty-wide project, in the case of institute or "inter-institute" projects - the director of the institute, and in the case of centre projects - the head of the centre or persons authorised by them.
- 3.7. **A lead** is the ownership of a process or area. At the level of the Faculty as a whole, it is defined mainly by the Statutes and Directive DEK_001 Competences and Powers of Vice-Deans and Members of the Collegium of the Dean of FSV UK, as well as Directive DEK_002 Organisational Regulations of the Dean's Office of FSV UK. In terms of projects and activities, it is about ownership of processes and setting rules and responsibilities for projects and activities in a certain area.
- 3.7.1. **A primary lead**, in the context of this Directive, is responsibility for setting up processes and related rules for projects and activities of a certain type and in a certain area, from initiation to completion, including a possible sustainability stage.
 - 3.7.2. **A secondary lead**, in the context of this Directive, is responsibility for processes required to interact with processes in a primary lead.
- 3.8. In the context of this Directive, the Vice-Dean for a specific area, or the Faculty Secretary, or the head of department of the Dean's Office are usually **a lead manager**.
- 3.9. **The lead department** at the Dean's Office determines the overall or partial rules for the processes related to projects and activities, either according to a specific area or type of project. The head of the lead department is usually the lead in charge of the dedicated directive governing the area. The lead department also provides consultation and methodological support to the management of projects and activities and to the owners of these projects and activities. It also monitors compliance with the rules and processes within its competences.

For example, for scientific projects, the Research Office is **primarily** a lead department. For mobility projects and summer schools, it is usually the International Office, and for educational projects it is either the Office of International Degree Programmes or the Student Services Office.

Consultation, support and monitoring are also provided by departments with a **secondary** lead, typically the Account Office or the Human Resources Office.

If in some cases **the lead is not clear**, it is determined by the Faculty Secretary and, in cases exceeding the competence of the Faculty Secretary, by the Dean.

- 3.10. For the purposes of this Directive, **submission of a project** means submitting a project application, applying for a public tender competition, or joining the submission of another entity as a partner, co-researcher, etc. **The submission of a project is governed by the procedures and rules laid down by the relevant lead department** with a primary lead. If there is no dedicated guideline for a specific area and type of project, this Directive is followed accordingly.
- 3.11. After the Dean, **the project committee** is the highest authority in the field of projects and other activities at FSV UK. The project committee monitors the overall project portfolio, has the right to request detailed information on any project, and to issue decisions which project teams, project owners and project leads are obliged to follow. In predefined cases, the project committee also decides on the project submission.
- 3.12. **The project plan** is a document prepared by the project management according to the rules and procedures set by a primary lead, on the basis of which the project submission is approved at different levels of management. In predefined cases, the project committee also decides on the project submission.

4. Active Consent and Monitoring by Both the Lead and the Owner of the Project or Activity

- 4.1. Any project or activity that is implemented under the auspices of FSV UK or draws any resources of the Faculty (financial resources, human resources, etc.) falls under the responsibilities defined by the Statutes of FSV UK. These include, in particular, Article 10 Dean, Article 11 Vice-Deans, Article 13 Faculty Secretary, Article 15 Management and Organisation of the Faculty, defining, among others, the responsibilities of directors of the institutes and heads of the centres, and Article 35 Management and Administration of Assets.
- 4.2. In accordance with the set distribution of rights and responsibilities, any project or activity is subject to the defined procedures and monitoring in all its stages, both by the project owners (i.e. institutes, centres, or the Dean's Office) and by the project leads responsible for areas or processes across the Faculty.
- 4.3. In accordance with the set distribution of rights and obligations and in accordance with the set procedures, any project or activity is also subject to a decision by the institutes, centres or the Dean's Office (in the role of the owner) and the project leads responsible for areas or processes across the Faculty as to whether or not the activity or project will be implemented at the Faculty, whether directly under FSV UK or in the form of any co-participation in projects or activities of other parties that represent the handling of FSV UK resources. This decision must be made before the activity or project begins to draw the Faculty resources. That is, for projects with demanding preparation prior to their implementation, for all projects prior to their submission, and for all activities prior to being launched.
- 4.4. No staff member of the Faculty may carry out an activity or project under the auspices of FSV UK or one that involves the drawing of the Faculty's resources (financial resources, human resources, premises under the management of the Faculty, technology, equipment, etc.) without the consent of either the institute's director, or the head of the centre, or the Dean (in the case of faculty-wide projects and activities) or their authorised representatives, on the one hand, and without the consent of the relevant lead responsible for the given area across the Faculty, or his/her deputy, or the Dean as the highest authority on the other hand. This ban also applies to preparatory work if it represents a cost to the Faculty or a part of the Faculty that exceeds the permissible scope defined by the owner of the project or activity.

- 4.5. Setting up procedures governing the exercise of rights and obligations related to the role of the owner or the lead takes into account both quality and efficiency. For different types and sizes of projects and activities, processes are set up to reflect the level of risks involved and their appropriate monitoring.
- 4.6. Decision-making in processes on the part of the owner or the lead for any activity or project is to be carried out actively, i.e. individually or, depending on the low level of risk, also en masse, but not in a sweeping/automatic manner.

5. The Role of Operation Transactors and Budget Administrators in Projects and Activities

- 5.1. The owner of the project or activity, i.e. the Dean or director of the institute or the head of the centre, is always responsible for the economic management of the projects and activities under his/her ownership, irrespective of whether the applicant/researcher/guarantor or any other member of the project or activity management is the operation transactor in the given projects or activities. They are then, of course, accountable to the owners of the projects or activities.
- 5.2. The project owner has the right to decide whether to perform **the role of the operation transactor** himself/herself or to delegate it to a member of the project management. If the owner performs the role of operation transactor himself/herself, s/he may delegate the role of deputy operation transactor to a member of the project management (applicant/researcher/guarantor/project manager) to a full or limited extent. At the same time, a member of the project team may only act as a submitter of documents for signature by the operation transactor.
- 5.3. **The role of budget administrator** of a project or activity must always be performed by a person with sufficient competence in administration, financial management, and project accounting. The level of knowledge required depends on the complexity of the project or activity, but it is essential that the budget administrator can work competently with various lead departments of the Dean's Office. The budget administrator has a duty to provide assistance to the lead departments of the Dean's Office. It is the responsibility of the project owner to ensure that this role is properly filled, and the role may be filled by a member of the project or activity team or by a unit under the direction of the owner of the project or activity.

Part III –Project Committee and Project Plan

6. Project Committee

- 6.1. The project committee is appointed and dismissed by the Dean of the Faculty. The project committee is usually composed of relevant vice-deans (e.g. vice-dean for science and research, vice-dean for development), the Faculty Secretary, and heads of relevant workplaces of the Dean's Office (OV, OPPI). Other members of the faculty management may also be appointed by the Dean as permanent or temporary members.
- 6.2. The Dean of the Faculty appoints and dismisses the chair of the project committee.
- 6.3. The role of the project committee is to supervise the projects being currently prepared or already implemented, thus the Faculty does not assume responsibility for their management through it.

6.4. Project committee

- a) grants consent to the submission of defined projects on the basis of the project plan provided,
- b) monitors the overall project portfolio of the Faculty,
- c) has the right to request relevant documentation from all parties at the Faculty regarding projects at any of their stage or project portfolio,
- d) has the right to request attendance at the meetings of a project committee from any staff member involved in project agendas,
- e) decides which projects it will supervise on a regular basis,
- f) proposes to the Dean a determination of ownership, for example that the project should be conducted as a faculty-wide project,
- g) in case of selected, particularly important, complex or risky projects, performs regular monitoring of implementation and instructs the project team to remedy identified deficiencies.

6.5. The meeting of the project committee is convened by its chairperson, who determines the frequency and format for meetings and decision-making.

6.6. Only the Dean of the Faculty can overturn the decision of the project committee.

7. Project Plan

7.1. Detailed rules for the preparation of the project plan and its approval are laid down by a dedicated directive of the project lead or a lead department with a primary lead for the given area. If the rules are not laid down in a dedicated directive, this Directive applies to adequate extent.

7.2. Beyond the rules and procedures defined by the directives described in the previous point, the directors of the institutes (on the side of owners) may regulate the preparation and approval of project plans by their own decrees.

7.3. The project committee decides on the submission of a project on the basis of a fully developed project plan.

7.4. The project owner submits the project plan for consideration by the project committee through and according to the instructions of the primary project lead, and always sufficiently in advance to enable effective consideration of the plan.

7.5. The decision of the project committee to submit a project is mandatory in cases where one or more of the following points apply to the project or activity:

- a) the Faculty is in the role of coordinator and the project budget is CZK 40 million and above,
- b) the part of the project budget for the whole duration attributable to FSV UK is CZK 20 million and above,
- c) the members of the project team are to be OPPI staff members,
- d) VAT is not an eligible cost to full extent.

7.6. Certain aspects of the developed project plan should be discussed with the relevant lead departments of the Dean's Office or with the Faculty Secretary prior to submission of the project in order to identify early the possibilities of the required support. This includes the following cases:

- a) pre-funding by the Faculty or its unit is CZK 3 million and above,
- b) the researcher or project team member is to be a foreign employee without a current workload at FSV,
- c) the space requirements for the project team are beyond the capacity attributed to the owner (i.e. institute, centre, or Dean's Office) within the Faculty.

Part IV –Services Provided by the Owner and the Dean's Office

8. Services Provided Within Overheads

- 8.1. The services provided to projects and activities within overheads are services that must be provided centrally in accordance with the Faculty's internal regulations and cannot be performed by the project team or a third party. These are services of institutes, centres, and departments of the Dean's Office that relate to central processes that ensure the running of the Faculty.
- 8.2. Services provided by the Dean's Office are covered within overheads except for those defined in Article 9 Services Covered Beyond Overheads.
- 8.3. Forms of overhead payment are defined in a separate directive.
- 8.4. The management of the project or activity, usually the applicant, is required to ascertain the scope of services before the project or activity is submitted.

9. Services Covered Beyond Overheads

- 9.1. Where there are rules and procedures for the provision of services over and above the overheads issued by the lead department of the given service, these services are arranged in accordance with those rules. Where there are no such rules, the provision of such a service is approved by the Faculty Secretary on an ad hoc basis.
- 9.2. The provided services covered beyond overheads are in particular as follows:
 - 9.2.1. Services of OPPI (Department of Project Support and Investment) beyond consultancy and advisory services. Thus, if OPPI provides project team workloads to the project, these must be covered outside of overhead. The most common roles are:
 - a) financial manager,
 - b) project manager,
 - c) project administrator,
 - d) administrator of public tenders - only when the needs of the project present a non-standard capacity utilization of the faculty attorney within SD&KT (Dean's Secretariat and Faculty Secretary's Office) who normally fulfils this role.
 - 9.2.2. ITO (IT department) services beyond the standard services provided to all staff members. These are most often:
 - a) creation and management of the project website,
 - b) provision and management of a server for special project purposes,
 - c) provision and management of data capacity beyond the standard services provided.

- 9.2.3. Services of OVVK (Department for External and Internal Communication) in the area of promotion of the project or activity and project websites beyond the standard news posted on the faculty websites or social networks managed by the Faculty.

10. Co-Funding of Projects and Activities

- 10.1. Co-funding of projects is provided by the owner of the project or activity from one's own resources.
- 10.2. The exception is the co-funding of projects defined in the Schedule of Contributions and Grants of MŠMT - schedule of grants for science under the Cooperatio Programme.
- 10.3. If the co-funding can be reported as an operating cost of the Faculty that does not represent an additional financial expense, the Dean's Office may, with the approval of the Faculty Secretary, provide assistance in such reporting.