

Standards for Habilitation Procedure and Procedure for Appointment of Professors

Bratislava, 2 July 2020

Article 1

Introductory provisions and scope of standards

1. *Standards for habilitation procedure and procedure for appointment of professors (hereinafter referred to as "habilitation procedure and inauguration procedure")* shall mean the set of requirements whose fulfillment is conditional on the granting of the accreditation for habilitation procedure and inaugural procedure. These requirements are set out in Articles 2 – 8 of these standards.
2. A set of procedures, criteria, and indicators for benchmarking through which the Agency's Executive Board Working Group (hereinafter referred to as the „working group“) and Agency's staff evaluate compliance with the Standards for habilitation procedure and inaugural procedure is set in the Methodology for standard evaluation issued by the Agency.
3. A set of procedures, criteria, and indicators for benchmarking through which the working group evaluates the level of creative activities of a higher education institution is set in the Evaluation methodology of creative activities issued by the Agency.
4. Standards use defined terms, the interpretations of which are set out in Article 9 of these standards. Defined terms are in italics when they first appear in the text.
5. Standards for habilitation procedure and inaugural procedure are based on the generally binding regulations, which are in particular Act no. 269/2018 Coll. on Quality Assurance of Higher Education and Amendment of Act no. 343/2015 Coll. on Public Procurement and Amendments to Certain Acts, as amended (hereinafter referred to as the „Quality Assurance Act“) and Act No. 131/2002 Coll. on Higher Education and on Amendments to Certain Acts, as amended (hereinafter referred to as the „Higher Education Act“), Decree of the Ministry of Education, Science, Research and Sport of the Slovak Republic No. 246/2019 Coll. on the procedure for obtaining scientific-pedagogical titles and artistic-pedagogical titles of associate professor and professor (hereinafter referred to as the “Decree on Habilitations and Inaugurations”), Decree of the Ministry of Education, Science, Research and Sports of the Slovak Republic no. 244/2019 Coll. on the system of study fields in the Slovak Republic, Decree of the Ministry of Education, Science, Research and Sports of the Slovak Republic no. 16/2016 Coll., which establishes professional organisations whose members perform regulated professions with the right to use professional titles and regulated professions with the coordination of education, and Government Regulation of the Slovak Republic no. 296/2010 Coll. on professional competence for the performance of the medical profession, the method of further education of medical staff, the system of specialized fields, and the system of certified work activities, as amended.
6. Standards for habilitation procedures and inaugural procedures regulate the requirements for the evaluation of habilitation procedure and inaugural procedure of higher education institutions based in the Slovak Republic.

Article 2

Definition of the field of habilitation procedure and inaugural procedure

1. Institution has a field of habilitation and inaugural procedure defined by its name and content so that its content is as close as possible to the field(s) of study to which it is assigned¹.

Article 3

The level of education in the field of habilitation procedures and inaugural procedures

1. Institution is entitled to design, implementation, and modification of the third-degree study programmes in the field(s) of study² to which the field of habilitation procedure and inaugural procedure is assigned.
2. If the field of habilitation procedure and inaugural procedure is assigned to two fields of study, the institution has the above-mentioned qualifications and conducts a study programme in both fields of study.

Article 4

Personal provision of habilitation procedure and inaugural procedure

1. The field of habilitation procedure and inaugural procedure consisting of a group of at least five persons scientifically or artistically engaged in the field of habilitation and inaugural procedure or a related field. Persons responsible for the development and quality assurance of the habilitation procedure and inaugural procedure shall work at the university for fixed weekly working time. Of these, at least two are professors with the title „professor“ and others are at least associate professors with the title „associate professor“. Each of these persons may be responsible for the development and quality assurance of at most one habilitation procedure and inaugural procedure only at one university in the Slovak Republic³.
2. The Scientific Board of the institution and the Faculty, if the habilitation procedure and the inaugural procedure takes place at the Faculty, shall be composed by the relevant provisions of the generally binding regulations⁴ and shall consist of significant experts,

¹ The fields of study and their descriptions are listed in the Decree of the Ministry of Education, Science, Research and Sports of the Slovak Republic no. 244/2019 Coll. on the system of study fields in the Slovak Republic.

² According to Sec. 25 art. 1 of the Quality Assurance Act.

³ In the case of the field of habilitation and inaugural procedures, the content of which is related to the preparation of experts for some of the regulated professions with the coordination of education listed in Annex no. 2 of Decree of the Ministry of Education, Science, Research and Sport of the Slovak Republic no. 16/2016 Coll. and is based on the definition of the specializations assigned to the regulated professions in question in Annex no. 3 of Government Regulation no. 296/2010 Coll., it is sufficient to meet this requirement if three persons are working in the field of habilitation and inauguration procedures or the related field at a university for fixed weekly working time, at least one of them is a professor and has the title of professor and others are associate professors and are associate professors. Each of these persons may be responsible for the development and quality assurance of at most one habilitation and inaugural procedure at a university in the Slovak Republic.

⁴ According to Sec. 11 art. 2 and Sec. 29 art. 2 of the Higher Education Act.

including at least one expert with professional capacity to evaluate habilitation procedure and inaugural procedure in the field of study to which the field of habilitation procedure and inaugural procedure is assigned.

Article 5

The level of creative activity in the field of habilitation procedure and inaugural procedure and the level of higher education quality culture

1. Institution carries out a long-term and continuous creative activity in the field of habilitation procedure and inaugural procedure, the intensity and extent of which correspond to the nature of these procedures and the results reach *an excellent international level*.
2. Institution carries out the level of results of creative activity through the most significant outputs of creative activity of teachers who have the main responsibility for the field and quality assurance of the habilitation procedure and inaugural procedure, where:
 - a) institution selects the teachers and outputs by submitting 5 outputs per one teacher, of which at least 2 outputs are from the last 6 years before the year in which the relevant accreditation application was submitted;
 - b) institution shall ensure the availability of records of submitted creative outputs and responses to such outputs in bibliometric and citation databases, registers of records of publishing and artistic activity or in other search systems that are accepted as relevant in the relevant field of habilitation procedure and inaugural procedure;
 - c) institution will submit a total of 25 outputs⁵;
 - d) the same output shall be submitted only once within the relevant evaluation assessment;
 - e) the same person submits outputs only within one evaluation of creative activity for accreditation of habilitation procedure and inaugural procedure at a university in the Slovak Republic;
 - f) in the case of co-author outputs, the same output may be submitted and attributed to other persons in other evaluation of creative activity for accreditation of habilitation procedure and inaugural procedure, up to three times;
 - g) the evaluation assessment of creative activities will be carried out by the working group through the holistic *peer-review* procedure in accordance with the Evaluation methodology of creative activities issued by the Agency.
3. Institution carries out the existence of a critical mass for research and art and a high level of quality in creative activities by being empowered for design, implementation,

⁵ In the case of the field of habilitation procedure and inaugural procedure, the content of which is related to the preparation of experts for some of the regulated professions with the coordination of education listed in Annex no. 2 of Decree of the Ministry of Education, Science, Research and Sport of the Slovak Republic no. 16/2016 Coll. and is based on the definition of the specializations assigned to the regulated professions in question in Annex no. 3 of Government Regulation no. 296/2010 Coll., the university will submit 15 outputs.

and modification of the third-degree programmes in at least half of the fields of study⁶ in which it provides the higher education.

4. Institution may replace the fulfillment of the requirement according to the Article 3 by undergoing a periodic review of research, development, artistic and other creative activities in each field of research once every six years⁷ and authorized to use the designation „research university⁸“.

Article 6

The level of criteria of the institution for assessing the fulfillment of the conditions for obtaining the title of associate professor

1. Institution shall use and make publicly available criteria for assessing the fulfillment of the conditions for obtaining the scientific-pedagogical or artistic-pedagogical title „associate professor“ the level of which corresponds to the conditions set in the relevant generally binding regulations.
2. The criteria of a higher education institution for obtaining the title of associate professor require:
 - a) a third-degree higher education;
 - b) up-to-date scientific and pedagogical or artistic and pedagogical activity in the relevant field of habilitation procedure and inaugural procedure at the university;
 - c) practice and results in the fulfillment of tasks in the field of higher education to the extent, structure and quality corresponding to international customs and specificities in the relevant field of habilitation procedure and inaugural procedure, as leading lectures from selected chapters, seminars, and exercises, evaluation of students, leading and reviewing the final theses, design of study materials, consultations for students, arranging excursions and professional practices of students, etc;
 - d) practice and results in the field of creative activities, as participation in research, development, artistic or other creative activity of the workplace or other outputs of creative activity in the number, structure, extent, intensity, the rate of the author's contribution, and quality corresponding to international practices and specificities in the relevant field of habilitation procedure and inaugural procedure;
 - e) proving that the candidate is recognized as a scientific person in professional circles or an artistic person in artistic circles in the relevant field of habilitation procedure and inaugural procedure, in particular, demonstration of *responses* to published scientific works or artistic outputs or performances or other outputs of creative activity in number, structure and other attributes corresponding to

⁶ According to Sec. 25 art. 1 of the Quality Assurance Act.

⁷ According to Sec. 88a of the Higher Education Act.

⁸ Until the first periodic review has been completed, proceed according to Sec. 38 art. 7 of the Quality Assurance Act.

international practices and specificities in the relevant field of the habilitation procedure and inaugural procedure. *Autocitations* are excluded.

3. The criteria of a higher education institution for obtaining the title of associate professor contain measurable indicators with determined minimum threshold values, which serve as one of the bases for assessing the fulfillment of the requirements of the criteria according to Art. 6 par. 2, letter d) and letter e) these standards. The minimum threshold values of measurable indicators are based on international practices in the relevant field of habilitation procedure and inaugural procedure and also meet the requirement under Art. 6 par. 5 of these standards.
4. The criteria of a higher education institution for obtaining the title of associate professor ensure that:
 - a) the candidate fulfills by his/her scientific works he/she has created in the relevant field of habilitation procedure and inaugural procedure a complete scientific work or with his/her works of art and performances he/she has created a comprehensive work of art⁹ in the relevant field of habilitation procedure and inaugural procedure;
 - b) the candidate fulfills further qualification prerequisites if required by the nature of the relevant field of habilitation procedure and inaugural procedure.
5. The level of criteria of a higher education institution for obtaining the title of associate professor ensures that at least the level of extent, intensity, quality and recognition of their scientific, artistic and other creative activities are required of the candidate for the title of associate professor in the relevant field of habilitation procedure and inaugural procedure before the date of entry into force of these standards. If the institution has not yet been accredited for habilitation procedure and inaugural procedure in the relevant field, then as a benchmark to meet this requirement, it will use the criteria of another university in the Slovak Republic in the relevant field of habilitation procedure and inaugural procedures or the relevant field of study, or in another similar field assigned to the relevant field of study.

Article 7

The level of criteria of the institution for assessing the fulfillment of the conditions for obtaining the title of professor

1. The criteria of a higher education institution for obtaining the title of professor from the candidate require the prior obtaining of a scientific-pedagogical degree or an artistic-pedagogical degree „associate professor“.
2. The criteria of a higher education institution for obtaining the title of professor from the candidate require up-to-date scientific and pedagogical or artistic and pedagogical activity in the relevant field of habilitation procedure and inaugural procedure at the university.
3. The criteria of a higher education institution for obtaining the title of professor require:

⁹ Sec. 76 art. 6 letter b) of the Higher education Act.

- a) practice and results in the fulfillment of tasks in the field of higher education to the extent, structure and quality corresponding to international customs and specificities in the relevant field of habilitation procedure and inaugural procedure requiring, as leading lectures, seminars, and exercises, evaluation of students including state examinations, leading and reviewing the final theses, design of study materials;
 - b) practice and results in the field of creative activities, as conducting research or artistic teams, organizing scientific or artistic events, conducting research, development, artistic or other creative activity of the workplace and publishing its results in the form of scientific works or artistic output or artistic output or other output of creative activity in the number, structure, extent, intensity, the rate of the author's contribution and the quality corresponding to international practices and specificities in the relevant field of habilitation procedure and inaugural procedure.
4. The criteria of a higher education institution for obtaining the title of associate professor ensure that:
- a) the candidate demonstrates that he/she has influenced the development of the relevant field of habilitation procedure and inaugural procedure by setting up a scientific school or art school or an original generally recognized group following its outputs, in particular, that he has trained two completed doctoral students or one completed doctoral student and at least another doctoral student after the dissertation examination in the field of study to which the field of habilitation procedure and inaugural procedure is assigned;
 - b) the candidate demonstrates that he/she is a recognized scientific or artistic person in the relevant field of habilitation procedure and inaugural procedure, his/her scientific work or works of art or artistic performances have also achieved international recognition, in particular responses to published scientific works or artistic output or performances or other outputs of creative activity in number, structure and other attributes corresponding to international practices and specificities of the field of habilitation procedure and inaugural procedure, which also normally require responses from abroad. Autocitations are excluded. Besides, to demonstrate international recognition, the criteria require written references from leading foreign experts from at least three different countries outside the Slovak Republic, confirming that the candidate meets the requirements for both professorship in an international context;
 - c) the candidate fulfills the further qualification requirements if required by the nature of the relevant field of habilitation and inaugural procedures.
5. The criteria of a higher education institution for obtaining the title of professor contain measurable indicators with determined minimum threshold values, which serve as one of the bases for assessing the fulfillment of the requirements of the criteria according to Art. 7 par. 3, letter b) and Art. 7, par. 4, letter b) these standards. The minimum threshold values of measurable indicators are based on international practices in the relevant field of habilitation procedure and inaugural procedure and also meet the requirement under Art. 7 par. 6 of these standards.

6. The level of criteria of a higher education institution for obtaining the title of professor ensures that at least the level of extent, intensity, quality and recognition of their scientific, artistic and other creative activities are required of the candidate for the title of professor in the relevant field of habilitation procedure and inaugural procedure before the date of entry into force of these standards. If the institution has not yet been accredited for habilitation procedure and inaugural procedure in the relevant field, then as a benchmark to meet this requirement, it will use the criteria of another university in the Slovak Republic in the relevant field of study, or in another similar field assigned¹⁰ to the relevant field of study.

Article 8

Rules and processes of habilitation procedure and inaugural procedure

1. Institution shall use and make publicly accessible rules and established processes of habilitation procedure and inaugural procedure, which are following generally binding regulations.
2. The rules and processes of habilitation procedure and inaugural procedure shall ensure:
 - a) the transparency and openness of procedures for all candidates under the same conditions;
 - b) that proven plagiarism of the candidate is the reason for not awarding the title of associate professor or the title of professor;
 - c) the impartial, objective, fair and unambiguous verification of the candidate's fulfillment of the set requirements and criteria;
 - d) that the selection and composition of the opponents of the habilitation procedure and inaugural procedure, the members of the habilitation committee, and the members of the inaugural committee comply with generally binding regulations¹¹. The selection criteria for these persons shall ensure that they are scientifically or artistically engaged in the relevant field of habilitation procedure and inaugural procedures or, in justified cases, in the fields of science, technology, and art, according to the candidate's creative activity.
3. Institution shall, in its procedures, consistently and without exception adhere to the generally binding regulations, valid and effective rules and procedures of habilitation procedure and inaugural procedure and its criteria for the assessing of the fulfillment of the conditions for obtaining the scientific or pedagogical title of „associate professor“ and scientific-pedagogical title or an artistic-pedagogical title „professor“

¹⁰ In the case of the field of habilitation procedure and inaugural procedure, the content of which is related to the training of experts for some of the regulated professions with the coordination of education listed in Annex no. 2 of the Decree of the Ministry of Education, Science, Research and Sports of the Slovak Republic no. 16/2016 Coll. and is based on trade fields for regulated professions according to Government Regulation no. 296/2010 Coll., the fulfillment of the requirements specified in this paragraph shall be assessed appropriately, taking into account the public interest.

¹¹ Sec. 1 art. 8 and 9 and Sec. 5 art. 6 and 7 Decree on habilitations and inaugurations.

which were the basis for decision-making in the previous accreditation procedure for the relevant habilitation procedure and inaugural procedure¹².

Article 9

Glossary of terms

1. For the purposes of these standards, the following set of terms is defined, the definitions of which are set out in paragraphs 2 to 5 of this Article.
2. *Autocitation* is the agreement of any author or multiple authors in a cited and citing document.
3. *Related field* means a field of study, interdisciplinary or transdisciplinary field of knowledge, which contributes in a relevant way to the development of the field of habilitation procedure and inaugural procedure.
4. *The international top-level* of creative activity means the highest level of quality of the results of creative activities, determined based on an evaluation following the procedures and criteria set out in the Evaluation methodology of creative activities. The term does not refer to nature or geographical extent, the place of implementation, or the place of dissemination of the results of creative activity.
5. *The response citation, review* or artistic criticism of published work. The response of artistic activity is, in particular, published quotations of the work, presentation and artistic performance, reviews, or artistic criticism of the work, presentation or artistic performance, reproduction of the work publication or media.

Article 10

Transitional and final provisions

1. These standards have been approved by the Executive Board of the Slovak Accreditation Agency for Higher Education on 2 July 2020 and shall be valid from 1 September 2020.
2. If, on the date of entry into force of these standards, a higher education institution has an accredited habilitation procedure and the inaugural procedure is obligatory for its evaluation of the fulfillment of the conditions for obtaining the scientific-pedagogical or artistic-pedagogical title associate professor, and to adjust habilitation procedure and inaugural procedure and other requirements with Standards for the internal system¹³ and Standards for habilitation procedure and inaugural procedure within 24 months of their entry into force¹⁴. This does not apply to the requirements of Art. 8 points 6 of these standards, which the higher education institution is obliged to comply with consistently.

¹² Including the procedure for granting the right to habilitate and appointment as a professor following Sec. 35 art. 4 of the Quality Assurance Act.

¹³ Standards for Internal Quality Assurance of Higher Education issued by Slovak Accreditation Agency of Higher Education.

¹⁴ It follows from Art. 2 point 7 of the Standards for internal quality system and Sec. 37 art. 1 of the Quality Assurance Act