

Standards for Habilitation Proceedings and Proceedings for the Appointment of Professors

Bratislava, 2 July 2020

Article 1

Introductory provisions and scope

1. *The Standards for Habilitation Proceedings and Proceedings for the Appointment of Professors* (“the Standards for Habilitation Proceedings and Inauguration Proceedings”) are a set of requirements whose fulfilment is a condition for obtaining the accreditation of habilitation proceedings and inauguration proceedings. These requirements are stated in Articles 2 to 8 of these Standards.
2. The set of procedures, criteria and indicators for benchmarking through which the review panels of the Agency's Executive Board (“the review panel”) and the Agency's staff evaluate compliance with the Standards for Habilitation Proceedings and Inauguration Proceedings is stated in the Methodology for the Evaluation of Standards issued by the Agency.
3. The set of procedures, criteria and indicators for benchmarking through which the review panel evaluates the level of research, artistic and other activities of a higher education institution is stated in the Methodology for the Evaluation of Research, Artistic and Other Activities issued by the Agency.
4. The Standards for Habilitation Proceedings and Inauguration Proceedings use defined terms whose interpretations are stated in Article 9 herein. The defined terms are given in italics when they first appear in the text.
5. The Standards for Habilitation Proceedings and Inauguration Proceedings are based on generally binding regulations, in particular, Act No. 269/2018 Coll. on Quality Assurance of Higher Education and on the amendment to Act No. 343/2015 Coll. on Public Procurement and on the amendment to certain acts, as amended (“the Quality Assurance Act”) and Act No. 131/2002 Coll. on Higher Education and on the amendment to certain acts, as amended (“the Higher Education Act”), Decree No. 246/2019 Coll. of the Ministry of Education, Science, Research and Sport of the Slovak Republic on the proceedings for obtaining the scientific-pedagogical title and artistic-pedagogical titles of associate professor and professor (“the Decree on Habilitations and Inaugurations”), Decree No. 244/2019 Coll. of the Ministry of Education, Science, Research and Sports of the Slovak Republic on the system of fields of study in the Slovak Republic, Decree No. 16/2016 Coll., of the Ministry of Education, Science, Research and Sport of the Slovak Republic 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 No. 296/2010 Coll. of the Slovak Republic on professional competence for the performance of a medical profession, forms of further education of medical staff, the system of specialized fields of study and the system of certified work activities, as amended.
6. The Standards for Habilitation Proceedings and Inauguration Proceedings regulate the requirements for the evaluation of habilitation proceedings and inauguration proceedings of higher education institutions based in the Slovak Republic.

Article 2

Definition of the field of habilitation proceedings and inauguration proceedings

1. The institution has a field of habilitation proceedings and inauguration proceedings defined by its name and content. The institution guarantees that the content is as close as possible to the field of study or both fields of study to which it is assigned.¹

Article 3

Level of education in the field of habilitation proceedings and inauguration proceedings

1. The institution is entitled to design, deliver and modify third-level study programmes in the field of study² to which the field of habilitation proceedings and inauguration proceedings is assigned.
2. If the field of habilitation proceedings and inauguration proceedings is assigned to two fields of study, the institution has the above-mentioned rights in both fields of study.

Article 4

Persons responsible for the field of habilitation proceedings and inauguration proceedings

1. The institution employs at least five designated persons for fixed weekly working hours who are responsible for the development and quality assurance of the field of habilitation proceedings and inauguration proceedings. These persons are involved in scientific or artistic activities of the institution within the field of habilitation proceedings and inauguration proceedings, or in a related field. Of these persons, at least two are in the position of professor with the title “professor”, and the others are at least in the position of associate professor with the title “associate professor”. Each of these persons may be responsible for the development and quality assurance of at most one field of habilitation proceedings and inauguration proceedings at only one higher education institution in the Slovak Republic.³

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

² Pursuant to § 25 (1) of the Quality Assurance Act.

³ In the case of the field of habilitation proceedings and inauguration proceedings, whose content 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 No. 16/2016 Coll. of the Ministry of Education, Science, Research and Sport of the Slovak Republic and is based on the fields of study assigned to the regulated professions according to Government Regulation No. 296/2010 Coll., this requirement shall be satisfied if three persons are working in the field of habilitation proceedings and inauguration proceedings or in a related field at a higher education institution for fixed weekly working hours, and at least one of them is in the position of professor and with the title “professor” and the others are in the position of associate professors and have the title “associate professor”. Each of these persons may be responsible for the development and quality assurance of at most one field of habilitation proceedings and inauguration proceedings at a higher education institution in the Slovak Republic.

2. If the habilitation proceedings and inauguration proceedings take place at the faculty, the composition of the Scientific Board of the institution and the faculty shall be in compliance with the relevant provisions of the generally binding regulations⁴ and shall consist of significant experts, at least one of whom has the professional capacity to evaluate the habilitation proceedings and inauguration proceedings in the field of study to which the field of habilitation proceedings and inauguration proceedings is assigned.

Article 5

Level of research, artistic and other activities in the field of habilitation proceedings and inauguration proceedings and the level of the quality culture of the higher education institution

1. The institution carries out long-term and continuous research, artistic and other activities in the field of habilitation proceedings and inauguration proceedings, the intensity and extent of which corresponds to the nature of these proceedings and whose results are on *an internationally significant level*.
2. The institution demonstrates the level of research, artistic and other activities through the most significant outputs of the teachers responsible for the development and quality assurance of the field of habilitation proceedings and inauguration proceedings; in particular:
 - a) the institution submits 5 outputs per teacher, at least 2 of which are from the 6 years immediately prior to the year in which the given accreditation application was submitted;
 - b) the institution shall ensure the availability of records of the submitted outputs and responses to such outputs in bibliometric and citation databases, registries of publication activity and artistic activity or in other search systems that are accepted as relevant in the given field of habilitation proceedings and inauguration proceedings;
 - c) the institution shall submit a total of 25 outputs;⁵
 - d) the same output may only be submitted once within the given evaluation;
 - e) the same person may only submit outputs within one evaluation of research, artistic and other activities for the accreditation of habilitation proceedings and inauguration proceedings at a higher education institution in the Slovak Republic;
 - f) in the case of co-author outputs, the same output may be submitted and attributed up to three times to other persons in other evaluations of research, artistic and other activities for the accreditation of habilitation proceedings and inauguration proceedings;
 - g) the research, artistic and other activities will be evaluated by a review panel using a holistic *peer-review* procedure in accordance with the Methodology for

⁴ Pursuant to § 11 (2) and § 29 (2) of the Higher Education Act.

⁵ The institution shall submit 15 outputs for habilitation proceedings and inauguration proceedings whose content 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 No. 16/2016 Coll. of the Ministry of Education, Science, Research and Sport of the Slovak Republic and is based on the definition of the specializations assigned to the regulated professions pursuant to Government Regulation No. 296/2010 Coll.

the Evaluation of Research, Artistic and Other Activities issued by the Agency.

3. The institution demonstrates the existence of a critical mass for research and art and a high level of quality in research, artistic and other activities by its right to design, deliver and modify third-level programmes in at least half of the fields of study⁶ in which the institution provides higher education.
4. The institution may replace compliance with the requirement stipulated in section 3 by submitting to a periodic review of its research, artistic and other activities in each area of research every six years⁷ and if, on the basis of the latest evaluation, it has been granted the right to use the label “research university”.⁸

Article 6

Level of criteria of a higher education institution for reviewing compliance of conditions for obtaining the title “associate professor”

1. The institution has adopted criteria for reviewing a person’s compliance with the conditions for obtaining the scientific-pedagogical or the artistic-pedagogical title “associate professor”; these criteria comply with generally binding regulations and are available to the public.
2. The institution’s criteria for obtaining the title “associate professor” require that the candidate:
 - a) have a third-level higher education;
 - b) have up-to-date scientific-pedagogical or artistic-pedagogical experience at a higher education institution in the given field of habilitation proceedings and inauguration proceedings;
 - c) have experience and outputs in fulfilling tasks within higher education to the extent, structure and quality corresponding to international practices and specificities of the given field of habilitation proceedings and inauguration proceedings, such as: giving lectures, seminars and training on selected chapters, student assessment, supervising and reviewing final theses, designing study materials, providing consultations for students, arranging excursions and providing professional practice for students;
 - d) have experience and outputs in the area of research, artistic and other activities, such as carrying out development, research, artistic and other activities and publishing the results in the form of scientific works or artistic outputs or performances or other outputs of research, artistic and other activities in the number, structure, extent, intensity and rate of the author's contribution and of a quality that corresponds to international practices and specificities in the given field of habilitation proceedings and inauguration proceedings; and
 - e) demonstrate that he/she is considered a significant scholar in professional circles or a significant artist in artistic circles in the given field of habilitation proceedings and inauguration proceedings, mainly by demonstrating responses to published scientific works or artistic outputs or performances or other outputs of research, artistic and other activities in the number, structure, etc.

⁶ Pursuant to § 25 (1) of the Quality Assurance Act.

⁷ Pursuant to § 88a of the Higher Education Act.

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

that correspond to international practices and specificities of the given field of habilitation proceedings and inauguration proceedings. Autocitations are excluded.

3. The institution's criteria for obtaining the title "associate professor" contain measurable indicators with determined minimum threshold values that serve as one of the bases for evaluating the compliance of the requirements (HI 6.2.d and HI 6.2.e). The minimum threshold values of measurable indicators are based on international practices in the given field of habilitation proceedings and inauguration proceedings and meet the requirements of HI 6.5.
4. The institution's criteria for obtaining the title "associate professor" ensure that:
 - a) by meeting the requirements, the candidate demonstrates that through his/her scientific activities he/she has authored a comprehensive scientific work in the given field of habilitation proceedings and inauguration proceedings or through his/her artistic activities or performances, he/she has created a comprehensive artistic work in the given field of habilitation proceedings and inauguration proceedings;⁹ and
 - b) the candidate meets other qualification requirements, if required by the nature of the given field of habilitation proceedings and inauguration proceedings.
5. The level of the institution's criteria for obtaining the title "associate professor" ensures that the level of extent, intensity, quality and recognition of scientific, artistic and other activities required of candidates for the title "associate professor" in the given field of habilitation proceedings and inauguration proceedings is at least of the same level required before the date on which these Standards came into force. If the institution has not yet been granted the right to carry out habilitation proceedings and inauguration proceedings in the given field, it shall use the criteria of another higher education institution in the Slovak Republic in the given field of habilitation proceedings and inauguration proceedings or in a related field of habilitation proceedings and inauguration proceedings or another similar field assigned to the given field of study as the benchmark for meeting this requirement.

Article 7

Level of criteria of a higher education institution for reviewing the compliance of conditions for obtaining the title "professor"

1. The institution's criteria for obtaining the title "professor" require that the candidate have the scientific-pedagogical or the artistic-pedagogical title "associate professor".
2. The institution's criteria for obtaining the title "professor" require that the candidate have up-to-date scientific-pedagogical or artistic-pedagogical experience at a higher education institution in the relevant field of habilitation proceedings and inauguration proceedings.
3. The institution's criteria for obtaining the title "professor" require that the candidate:
 - a) have experience and outputs in fulfilling tasks within higher education to the extent, structure and quality corresponding to international practices and specificities of the given field of habilitation proceedings and inauguration proceedings, such as: giving lectures, seminars and training, student

⁹ § 76 (6) letter b) of the Higher Education Act.

assessment including final state exams, supervising and reviewing final theses and designing study materials; and

- b)** have experience and outputs in the area of research, artistic and other activities, such as running research or artistic teams, organising scientific or artistic events, carrying out development, research, artistic and other activities, and publishing the results in the form of scientific works or artistic outputs or performances or other outputs of research, artistic and other activities in the number, structure, extent, intensity, rate of author's contribution and quality that correspond to international practices and specificities in the given field of habilitation proceedings and inauguration proceedings.
- 4.** The institution's criteria for obtaining the title "professor" ensure that:
- a)** the candidate demonstrates that he/she has influenced the development of the given field of habilitation proceedings and inauguration proceedings by setting up a scientific school, art school or an original, generally recognized group following on from his/her research, artistic and other outputs, in particular, by having supervised at least one doctoral student who completed his/her studies and by supervising at least one other doctoral student after the dissertation examination in the field of study to which the field of habilitation proceedings and inauguration proceedings is assigned;
 - b)** the candidate demonstrates that he/she is a recognized scientist/scholar or artist in the given field of habilitation proceedings and inauguration proceedings, and that his/her scientific or artistic works or artistic performances have also achieved international recognition. In particular, he/she has presented responses to published scientific works or artistic outputs and performances or other research, artistic and other outputs in the number, structure and other attributes corresponding to international practices and specificities of the field of habilitation proceedings and inauguration proceedings. Responses from abroad are required and autocitations are excluded. Moreover, in order 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 professorship in an international context; and
 - c)** the candidate meets other qualification requirements, if required by the nature of the given field of habilitation proceedings and inauguration proceedings.
- 5.** The institution's criteria for obtaining the title "professor" contain measurable indicators with determined minimum threshold values that serve as one of the bases for evaluating compliance with the requirements (HI 7.3.b and 7.4.b). The minimum threshold values of measurable indicators are based on international practices in the given field of habilitation proceedings and inauguration proceedings and meet the requirements of HI 7.6.
- 6.** The level of the institution's criteria for obtaining the title "professor" ensures that the extent, intensity, quality and recognition of scientific, artistic and other activities required of the candidates for the title "professor" in the given field of habilitation proceedings and inauguration proceedings are at least of the same level as stipulated before the date on which these standards came into force. If the institution has not yet been granted the right to carry out habilitation proceedings and inauguration proceedings in the given field, it shall use the criteria of another higher education institution in the Slovak Republic in the given or related field of habilitation

proceedings and inauguration proceedings or in another similar field assigned to the given field of study as a benchmark to meet this requirement.¹⁰

Article 8

Rules and procedures of habilitation proceedings and inauguration proceedings

1. The institution has established and made publicly accessible the rules and procedures of the habilitation proceedings and inauguration proceedings which are in accordance with generally binding regulations.
2. The rules and procedures of the habilitation proceedings and inauguration proceedings shall ensure:
 - a) transparency and openness of proceedings for all candidates under the same conditions that are known in advance;
 - b) that the proven plagiarism of a candidate shall be grounds for not awarding him/her the title “associate professor” or the title “professor”;
 - c) impartial, objective, expert, coherent and unequivocal verification of the candidate's fulfilment of the set requirements and criteria;
 - d) that the selection and composition of the opponents of habilitation proceedings and inauguration proceedings, the members of the habilitation committee and the members of the inauguration committee comply with generally binding regulations.¹¹ The selection criteria for these persons shall ensure that they are scientifically or artistically engaged in the given field of habilitation proceedings and inauguration proceedings or, in justified cases, in the area of science, technology and art according to the candidate's research, artistic and other activities.
3. The institution shall, in its procedures, consistently and without exception adhere to generally binding regulations, valid and effective rules and procedures of habilitation proceedings and inauguration proceedings and its criteria for the evaluation of fulfilment of the conditions for obtaining the scientific-pedagogical title or artistic-pedagogical title “associate professor” and the scientific-pedagogical title or artistic-pedagogical title “professor” which were the basis for decision-making in the previous accreditation of the given habilitation proceedings and inauguration proceedings.¹²

Article 9

Glossary of terms

1. For the purposes of these standards, a set of terms and their definitions is provided

¹⁰ In the case of the field of habilitation proceedings and inauguration proceedings whose content 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 No. 16/2016 Coll. of the Ministry of Education, Science, Research and Sport of the Slovak Republic and is based on the definition of the specializations assigned to the regulated professions according to Government Regulation No. 296/2010 Coll., compliance with the requirements specified in this paragraph shall be evaluated appropriately, taking into account the public interest.

¹¹ § 1 (8) and (9) and § 5 (6) and (7) of the Decree on Habilitations and Inaugurations.

¹² Including proceedings for granting the right to habilitate and appoint professors pursuant to § 35 (4) of the Quality Assurance Act.

in paragraphs 2 to 5 of this Article.

2. *(An) autocitation* is the concurrence of an author or several authors in a cited and citing document.
3. *(The) internationally excellent level of research, artistic and other activities* is the highest quality level of outputs; it is defined on the basis of evaluation procedures and criteria stated in the Methodology for the Evaluation of Research, Artistic and Other Activities issued by the Agency. The term does not relate to the nature, geographical cover, place of delivery or place of dissemination of the research, artistic and other activities outputs.
4. *(A) related field* is a field of study, or interdisciplinary or transdisciplinary field of knowledge which contributes in a relevant way to the development of the field of habilitation proceedings and inauguration proceedings.
5. *(A) response* is a citation, review or art criticism of a published work. In particular, a response to an artistic activity is a published citation of the work, presentation and artistic performance, a review or artistic criticism of the work, presentation or artistic performance, reproduction of the work with the clear designation of the author in a foreign or domestic publication or medium.

Article 10

Transitional and final provisions

1. These standards were 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 on which these standards come into force, a higher education institution already has accredited habilitation proceedings and inauguration proceedings, it is obliged to adjust its criteria for the evaluation of fulfilment of the conditions for obtaining the scientific-pedagogical title or artistic-pedagogical title “associate professor” and the scientific-pedagogical title or artistic-pedagogical title “professor”, its rules and procedures of habilitation proceedings and inauguration proceedings and its fulfilment of other requirements to the Standards for the Internal System¹³ and the Standards for Habilitation Proceedings and Inauguration Proceedings within 24 months of their entry into force.¹⁴ However, the institution must consistently comply with the requirements of Art. 8 point 3 of these standards.

¹³ The Standards for the Higher Education Internal Quality Assurance System issued by the Slovak Accreditation Agency for Higher Education.

¹⁴ Pursuant to Art. 2 (7) of the Standards for the Internal System and § 37 (1) of the Quality Assurance Act.