SLOVAK ACCREDITATION AGENCY FOR HIGHER EDUCATION

Standards for Habilitation Proceedings and Inauguration Proceedings

The document has undergone linguistic editing

Bratislava, 17 October 2024

Article 1
Introductory provisions and scope of the standards

1. *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 the accreditation of inauguration proceedings. These requirements are stated in Articles 2 to 8 of these Standards.
2. The Methodology for the Evaluation of Standards issued by the Agency sets out the procedures, criteria and indicators for benchmarking. The review panels of the Agency's Executive Board (each referred to as “the review panel”) and the Agency’s staff use these procedures, criteria and indicators to evaluate compliance with the Standards for Habilitation Proceedings and Inauguration Proceedings.
3. The Methodology for the Evaluation of Research, Artistic and Other Activities issued by the Agency sets out the procedures, criteria and indicators for benchmarking. The review panel uses these procedures, criteria and indicators to evaluate the level of research, artistic and other activities of a higher education institution.
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 as amended, 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 the evaluation of 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 study[2] 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. For the habilitation proceeding, the institution is required to prove that it employs 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. Of these persons, at least one is in the position of professor, and the others are at least in the position of associate professor. 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. Each of these persons may be responsible for the development and quality assurance of at most one field of habilitation proceedings and inauguration proceedings. Thus, each may work in the staffing of the habilitation proceedings and the staffing of the inauguration proceedings at only one higher education institution in the Slovak Republic[3]. Each of these persons

[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 a field of study for habilitation and inauguration proceedings, the scope of which relates to the training of specialists for certain regulated professions, with the coordination of education as set out in Annex 2 to Decree No. 16/2016 Z. z. of the Ministry of Education, Science, Research and Sport of the Slovak Republic, and is based on the fields of study assigned to regulated professions in accordance with Government Regulation No. 296/2010 Z. z., to meet this requirement, it is sufficient for three persons to be employed at the higher education institution in the field of the habilitation proceedings and the inauguration proceedings, or in a related field, for the prescribed weekly working hours, of whom at least one holds the post of professor and the others hold at least the post of associate professor. Each of these persons must demonstrate prior experience and expertise in organising habilitation or inauguration proceedings.

demonstrates previous experience and practice in the assurance of habilitation proceedings or inauguration proceedings. A person demonstrates this practice by:

a) having worked for at least 5 years as a member of the Scientific Council of a higher education institution or the Scientific Council of a faculty or a similar collective self-governing body of the faculty, or

b) having participated in at least three habilitation or inauguration proceedings as a member of the habilitation committee or a member of the inauguration committee or an opponent of a habilitation thesis or an opponent of an inauguration proceeding, or

c) if he or she is in the position of professor, having completed the inauguration proceedings and holding the title of professor; or, if he or she is in the position of associate professor, having undergone the habilitation proceedings and holding the title of associate professor.

2. For the inauguration proceedings, the institution is required to prove that it employs 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. Of these persons, at least two are in the position of professor, and the others are at least in the position of associate professor. 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. Each of these persons may be responsible for the development and quality assurance of at most one field of habilitation proceedings and inauguration proceedings. Thus, each may work in the staffing of the habilitation proceedings and the staffing of the inauguration proceedings at only one higher education institution in the Slovak Republic. Each of these persons demonstrates previous experience and practice in the assurance of habilitation proceedings or inauguration proceedings. A person demonstrates this practice by:

a) having worked for at least 5 years as a member of the Scientific Council of a higher education institution or the Scientific Council of a faculty or a similar collective self-governing body of the faculty, or

b) having participated in at least three habilitation or inauguration proceedings as a member of the habilitation committee or a member of the inauguration committee or an opponent of a habilitation thesis or an opponent of the inauguration proceeding, or

c) if he or she is in the position of professor, having completed the inauguration proceeding and holding the title of professor; or, if he or she is in the position of associate professor, having undergone the habilitation proceeding and holding the title of associate professor[4].

3. 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

[4] In the case of a field of study for a habilitation or inauguration proceedings, the scope of which relates to the training of specialists for certain regulated professions, in coordination with the education programmes listed in Annex 2 to Decree No. 16/2016 Z. z. of the Ministry of Education, Science, Research and Sport of the Slovak Republic and is based on the fields assigned to regulated professions in accordance with Government Regulation No. 296/2010 Z. z., to meet this requirement, it is sufficient for three persons to be employed at the higher education institution in the field of the habilitation proceedings and the inauguration proceedings, or in a related field, for the prescribed weekly working hours, of whom at least one holds the post of professor and the others hold at least the post of associate professor. Each of these persons must demonstrate prior experience and expertise in organising habilitation or inauguration proceedings.

with the relevant provisions of the generally binding regulations[5]. The Scientific Board of the institution and the faculty 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. For the implementation of the habilitation proceedings, it is a condition that 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 these activities must correspond to the nature of these proceedings, and their results must be at *an internationally significant level*.

2. For the implementation of the inauguration proceedings, it is a condition that 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 these activities must correspond to the nature of these proceedings, and their results must be at *an internationally excellent level*.

3. 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[6];

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;

[5] Pursuant to § 11 par. 2 and § 29 par. 2 of the Higher Education Act

[6] 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.

f) in the case of co-authored 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 the Evaluation of Research, Artistic and Other Activities issued by the Agency.

4. 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 study[7] in which the institution provides higher education.

Article 6
Level of criteria of a higher education institution for reviewing compliance with the 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 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. The number, structure, extent, intensity, rate of the author's contribution and quality of these outputs must correspond 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

[7] Pursuant to § 25 par. 1 of the Quality Assurance Act.

activities in the number, structure, etc. 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. These indicators serve as one of the bases for evaluating compliance with 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[8]; 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 institution's criteria for obtaining the title "associate professor" ensure that the extent, intensity, quality and recognition of scientific, artistic and other activities required of candidates for that title in the given field of habilitation proceedings and inauguration proceedings are at least at the 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 as the benchmark for meeting this requirement. Those criteria shall be in the given field of habilitation proceedings and inauguration proceedings, in a related field of habilitation proceedings and inauguration proceedings or in another similar field assigned to the given field of study.

Article 7
Level of criteria of a higher education institution for reviewing compliance with the 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 assessment including final state exams, supervising and reviewing final theses and designing study materials; and

[8] § 76 par. 6 letter b) of the Higher Education Act.

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. The number, structure, extent, intensity, rate of the author's contribution and quality of these outputs must 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 of "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. These responses must include responses from abroad; autocitations are excluded. To demonstrate international recognition, the criteria also require written references from leading foreign experts from at least three different countries outside the Slovak Republic. These references must confirm 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 institution's criteria for obtaining the title "professor" ensure that the extent, intensity, quality and recognition of scientific, artistic and other activities required of candidates for that title in the given field of habilitation proceedings and inauguration proceedings are at least at the level 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 as a benchmark to meet this requirement. Those criteria shall be in the given or related field of habilitation proceedings and inauguration proceedings or in another similar field assigned to the given field of study[8].

[8] In the case of a field of study for a habilitation or inauguration proceedings, the scope of which relates to the training of specialists for certain regulated professions, with the coordination of education as set out in Annex 2 to Decree No. 16/2016 Z. z. of the Ministry of Education, Science, Research and Sport of the Slovak Republic

Article 8
Rules and procedures for 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 candidate complies with the ethical principles of research, artistic and other activities and the publication of the results of those activities. Proven plagiarism or other academic fraud by the 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 of the opponents of habilitation proceedings and inauguration proceedings and the selection and composition of the habilitation committee and the inauguration committee comply with generally binding regulations[9]. 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[10].

Article 9
Glossary of terms

1. For the purposes of these standards, a set of terms and their definitions is provided in paragraphs 2 to 6 of this Article.

2. *(An) autocitation* is the concurrence of an author or several authors in a cited and citing document.

and is based on the fields of study for regulated professions in accordance with Government Regulation No. 296/2010 Z. z., compliance with the requirements set out in this paragraph shall be assessed on a case-by-case basis, taking into account the public interest.

[9] § 1 par. 8 and 9 and § 5 par. 6 and 7 of the Decree on Habilitations and Inaugurations

[10] Including proceedings for the granting of the right to conduct a habilitation proceeding and an appointment proceeding for the position of a professor within the meaning of § 35 par. 4 of the Quality Assurance Act

3. *(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, or a reproduction of the work with the clear designation of the author in a foreign or domestic publication or medium.
4. *(A) related field* is a field of study, or an 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. *(The) internationally significant level of research, artistic and other activities* is the second 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 coverage, place of delivery, or place of dissemination of the research, artistic, and other activities outputs.
6. *(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 coverage, place of delivery or place of dissemination of the research, artistic and other activities outputs.

Article 10
Transitional and final provisions

1. These standards repeal and replace those of 2 July 2020.
2. These standards were approved by the Executive Board of the Agency on 17 October 2024 and enter into force on 1 November 2024.
3. The institution is obliged to harmonize its internal system and rules for conducting the habilitation proceedings and rules for conducting the inauguration proceedings within 12 months from the date of entry into force of changes to these standards.
4. If it is more favourable for the higher education institution, proceedings started before the entry into force of the standards shall be completed according to the standards as amended prior to the entry into force of the change of standards.