Internal directive

University of Ss. Cyril and Methodius in Trnava

53/2021

Procedure of the habilitation proceedings at the UCM

§ 1
Introductory provisions

1) The directive Procedure of habilitation proceedings at UCM (hereinafter referred to as the "Directive") is issued according to §15 par. 1 letter b) of Act no. 131/2002 Coll. on Act on Higher Education Institutions and on amendments to certain laws as amended (hereinafter referred to as "Act No. 131/2002 Coll.").
2) This directive is part of the Higher Education Internal Quality Assurance System of UCM and includes rules according to a special regulation [1].
3) The directive is in accordance with § 76 of Act no. 131/2002 Coll., by decree of the Ministry of Education, Science, Research and Sport of the Slovak Republic 246/2019 Coll. on the procedure for obtaining scientific-pedagogical and artistic-pedagogical titles associate professor and professor (hereinafter referred to as "Decree No. 246/2019 Coll."), the Standards of the Slovak Accreditation Agency for Higher Education for the habilitation procedure and inauguration procedure (hereinafter referred to as "Standards for HIK"), Principles of the habilitation procedure for awarding the title of associate professor, and the appointment procedure for a professor at the University of Ss. Cyril and Methodius in Trnava (hereinafter referred to as "Principles of HK and IK UCM"), by the directive Criteria for evaluating the fulfillment of the conditions for obtaining the scientific-pedagogical title of associate professor and professor at the University of Ss. Cyril and Methodius University in Trnava (hereinafter referred to as the "UCM Criteria") and the mandatory criteria for obtaining the title of associate professor and professor within the framework of the habilitation and inauguration procedures carried out at the relevant faculties of the UCM (hereinafter referred to as the "OHIK Obligatory Criteria").
4) The directive is part of the Principles of the habilitation procedure for awarding the title of associate professor and the appointment procedure for a professor at the University of Ss. Cyril and Methodius in Trnava, part of the fulfillment of the standards of the Slovak Accreditation Agency for Higher Education for HIK and the Internal Quality Assurance System at UCM.
5) The directive Procedure of the habilitation proceedings is generally binding for all divisions of the UCM.

[1] Act No. 269/2018 Coll. on Higher Education Quality Assurance and amending Act no. 343/2015 Coll. on public procurement and on amendments to certain laws as amended (hereinafter referred to as "Act No. 269/2018 Coll.")

§ 2
Procedure

Abbreviations: HK – habilitation proceedings, HS – habilitation file, OHIK – field of habilitation proceedings and inauguration proceedings, SAAVŠ – Slovak Accreditation Agency for Higher Education, guarantor – the person bearing the main responsibility for quality assurance and development of OHIK, co-guarantors – persons ensuring quality assurance and development of OHIK, UCM – University of Ss. Cyril and Methodius in Trnava, VR – scientific board of the faculty, OKV – department for quality and science.

	Process	**Structure**	**Politics**	**Evidence**
1.	**Consultations** of the applicant, preparation of HS (applications and attachments) (**optional, recommended**)	If necessary: the chairman of the VR, the relevant vice-dean, the guarantor of the relevant OHIK, the relevant staff	§ 76 par. 1, 2, 3, 4, 6, and par. 9 - 11 of Act no. 131/2002 Coll., § 1 par. 1-5 Decrees of the Ministry of Education and Culture of the Slovak Republic no. 246/2019 Coll., HK and IK UCM principles, UCM criteria, Mandatory OHIK criteria, Art. 8 par. 2a) Standards for HIK SAAVŠ.	**Publication of the application and relevant attachments** on the website of the UCM division on which the OHIK takes place, according to §76 par. 10a) and 10b) of Act no. 131/2002 Coll. and §3a) Decree no. 246/2019 Coll. within 15 days from the date of submission of the application and for a period of five years from the date of termination of the HK. The consent to publish and make the habilitation work available to the public according to § 76 par. 4 of Act no. 131/2002 Coll. and consent to the publication of data according to § 76 par. 10 of Act no. 131/2002 Coll. and §3 of Decree no. 246/2019 Coll. are parts of the application.
2.	**Submission of HS** by the applicant **- initiation of HK**	UCM registry office **(the date of receipt of the application by the registry office is the start date of the HK)**	§1 par. 1-5 Decree no. 246/2019 Coll., §2 and §3 Principles HK and IK UCM.	
3.	Assessment of HS from the formal side	The relevant vice-dean, the guarantor in cooperation with the co-guarantors of the relevant OHIK	§1 par. 6 and 7, § 3b) Decree no. 246/2019 Coll. Art. 6 and Art. 8 par. 2a) – 2c) of the Standards for HIK SAAVŠ, §4 Principles of HK and IK UCM, UCM criteria, Mandatory OHIK criteria.	Statement by the relevant Vice-Dean on the fulfillment of the habilitation file formal criteria. Statement of the guarantor and co-guarantors on the fulfillment of the formal criteria of the habilitation file.
4.	**Review of the application and response of the chairman of the VR to the** applicant's request (within 30 days from the start of the procedure)	Chairman of the VR		**Sending the response of the Chairman of the VR to the applicant on his/her application and its publication (including the statements of the Vice-Dean and the Guarantor)** within 15 days of its sending. In the case of interruption of the HK, the statement shall include the date from which the HK is interrupted and the time limit within which the deficiencies of the application are to be rectified. If the deficiencies are not rectified within the specified time limit, HK shall terminate. The notice of termination of the HK shall be sent to the applicant and shall be published with the

				date and reason for its termination, within 15 days of its termination.
5.	Elaboration of a proposal for the composition of the habilitation committee and opponents of the habilitation work	The guarantor of the relevant OHIK in cooperation with the co-guarantors submit the proposal to the Chairman of the VR	Art. 8 par. 2d) Standards for HIK SAAVŠ §76 par. 10c) and 10d) of Act no. 131/2002 Coll., §1 par. 8 and 9 and §3c) and 3d) of Decree no. 246/2019 Coll., §5 par. 1 and 2 Principles HK and IK UCM.	**Notification of the composition of the habilitation committee and the opponents of the habilitation thesis and the topic of the habilitation lecture** to the applicant and their publication within 15 days of their approval by the Habilitation Committee.
6.	Approval of the proposal for the composition of the habilitation committee, the opponents of the habilitation thesis, and the topic of the habilitation lecture by the scientific board	The proposal of the composition of the committee and the opponents are submitted to the Scientific Board by the Chairman of the Scientific Board, and the proposal of the three topics of the habilitation lecture is submitted to the Scientific Board by the applicant (as part of the habilitation file)		
7.	**Appointment of habilitation committee members and habilitation thesis opponents** (within 6 months of the start of the HK and within 15 days of their approval by the VR)	Chairman of the Scientific Board		
8.	Sending the habilitation file to the members of the habilitation committee and the habilitation file and the habilitation thesis to the opponents (together with the appointment decree)	The relevant official of the department		
9.	Preparation of opposing reviews on the habilitation thesis (within 3 months from the receipt of the habilitation thesis by the opponent)	Habilitation thesis opponents	§1 par. 10 Decree no. 246/2019 Coll. , §76 par. 10e) of Act no. 131/2002 Coll., §5 par. 1 and §6 par. 5 Principles of HK and IK of the UCM	Sending of the opponents´ reviews to the applicant and the members of the committee (within 15 days from the receipt of all of them and no later than 14 days before the defense of the habilitation thesis) **Publication of the opponents' reviews** (within 15 days of their receipt, also individually).
10.	Determination of the date, time, and place of the	The Chairman of the VR, in cooperation with the guarantor	§1 par. 11 and 14 of Decree no. 246/2019 Coll.,	**Notification of the date, time, and place** of the habilitation lecture and the habilitation thesis defense

	habilitation lecture and habilitation thesis defense		§6 par. 4 Principles for HK and IK of the UCM	to the applicant **and their publication** (at least 14 days before their holding and within 9 months from the start of the HK) Sending of the habilitation lecture in writing by the applicant to the Chairman of the VR (at the latest 7 days before the lecture)
11.	**Habilitation lecture and defense of the habilitation thesis** (within 10 months after the start of the HK)	The applicant, the habilitation committee, at least two opponents, and at least 5 members of the VR. The habilitation lecture and the defense of the habilitation thesis, including the scientific debate, are public.[2] The applicant shall submit to the VR the originals or copies of all reported outputs of creative activity, or at least in the number, quality, and structure required by the fulfillment of the mandatory criteria.	§76 par. 3b), 4 of Act no. 131/2002 Coll., §1 par. 11 - 15 Decree no. 246/2019 Coll., §6 par. 1, 2, 3, 6, §7, §8, and §20 Principles for HK and IK UCM	**The statement - evaluation of the fulfillment** of the conditions according to §76 par. 1, 3, 4, and 6 of Act No. 131/2002 Coll. **with the recommendation of the VR to grant or not to grant the title of associate professor** in the field is published and notified to the applicant within 15 days of its delivery to the Chairman of the VR.
12.	**Statement of the Habilitation Committee** (within 1 month of the lecture and defense)	The chairman of the habilitation committee submits to the chairman of the Scientific Board.		
13.	**The decision of the VR on the award of the title of associate professor** (within 6 months of the submission of the committee's	VR, the Chairman of the Habilitation Committee or a member authorized by him/her, if the applicant is teaching at another university or faculty, a representative of the university or	§76 par. 8 of Act no. 131/2002 Coll. - Fulfillment of conditions according to §76 par. 6 of Act no. 131/2002 Coll. assessed by the VR based on the criteria for obtaining the title of associate professor approved according to § 12 par. 1 letter e). §2 Decree no. 246/2019 Coll.	**The VR´s decision** is published together with the attendance list of the VR within 15 days of the VR decision. The VR decision to award the title of associate professor is communicated in writing to the applicant within 30 days of the VR decision. The decision of the VR not to award the title of associate professor shall be notified in writing by the Chairman of the VR to the applicant, with justification, within 30 days of the decision of the VR.

[2] The Chairman of the Scientific Board assigns in advance the two present members of the Scientific Board so that during the discussion of the position of the habilitation committee in the Scientific Board, one of them evaluates the pedagogical and the other the scientific level of the habilitation lecture. In the event of an online Scientific Board meeting, these two authorized members of the Scientific Board shall submit their reports to the Chairman of the Scientific Board in advance and in writing as part of the Scientific Board discussion materials.

	statement to the Chairman of the VR)[3] The decision of the VR with documented information about the HK is delivered by the VR Chairman to the Rector within 30 days of the decision.[4]	faculty at which the applicant is teaching is also invited.[5]	§9 and § 19 par. 1 Principles for HK and IK of the UCM	Publication of the composition of the VR according to §76 par. 10f) of Act No. 131/2002 Coll., the attendance list of the VR according to §3 letter f) of Decree No. 246/2019 Coll., and the decision of the VR according to §76 par. 10g) of Act No. 131/2002 Coll.
14.	**Award of the title of associate professor to the applicant** (within 2 months of receipt of the VR decision)	Rector of the UCM **Upon the signing of the decree by the Rector, the HK will end**	§4 Decree no. 246/2019 Coll., §10 Principles for HK and IK UCM	Notice of termination of the HK is published with the date and reason for termination within 15 days of its termination.
15.	**Awarding of the decree** to the applicant	Rector usually awards the decree in front of the VR of the faculty or the VR UCM		
16.	**Record keeping and archiving**	Relevant faculty department, Department of Quality and Science of the UCM	§ 11 Principles for HK and IK UCM	One year after HK, the documented information on HK and HS are moved to the UCM Archives.

*[6]

[3] If the applicant does not meet the conditions according to the decision of the VR the VR will not grant the title of associate professor. There is no right of appeal against the VR's decision. The time limit for any resubmission of an application for the title of associate professor shall be determined by the rules of procedure of the VR, which may not exceed three years.
[4] The documented information about the habilitation proceedings is according to § 19 par. 1 of the Principles of Habilitation and Inauguration Proceedings at the UCM.
[5] In the case of the habilitation lecture and the defense of the habilitation thesis outside the meeting of the VR, it is recommended that the applicant be available during the VR's decision on the award of the title of associate professor.
[6] with § 76 of Act No. 131/2002 Coll. on Higher Education: https://www.slov-lex.sk/pravne-predpisy/SK/ZZ/2002/131/
Decree of the Ministry of Education, Science, Research and Sport of the Slovak Republic No. 246/2019 Coll. on the procedure for obtaining the scientific-pedagogical and artistic-pedagogical titles of associate professor and professor: https://www.slov-lex.sk/pravne-predpisy/SK/ZZ/2019/246/20190901
SAAVŠ Standards for Habilitation and Inauguration Proceedings: https://saavs.sk/wp-content/uploads/2020/09/Standardy-pre-habilitacne-konanie-a-inauguracne-konanie-1-1.pdf
Principles of the Habilitation Procedure for the Degree of Associate Professor and the Appointment Procedure for the Degree of Professor at the University of Ss. Cyril and Methodius in Trnava: https://www.ucm.sk/docs/legislativa/2021/Zasady_HKaVK_01052021.pdf
Guidelines Criteria for the evaluation of the fulfilment of the conditions for obtaining the scientific and pedagogical title of associate professor and professor at the University of Ss. Cyril and Methodius in Trnava: https://www.ucm.sk/docs/legislativa/2021/Kriteria_na_vyhodnotenie_doc_prof_01052021.pdf
Obligatory criteria for obtaining the title of associate professor and professor in the field of study: websites of the relevant faculties of UCM

§ 3
Documented information about the habilitation procedure

1) Habilitation file:
   a) Application for the degree of associate professor (according to the template).
   b) The applicant's professional CV (model).
   c) Certified copies of the second and third degree (or the degree of CSc., DrSc., other).
   d) Habilitation thesis.
   e) An overview of teaching activities at the University and an overview of the results achieved in these activities (confirmed teaching experience at the University (including previous confirmed teaching activities), a list of currently taught courses and the total number of courses taught with an indication of the study program, degree of study, form of the course (lecture, seminar, etc.), type of course (compulsory/profile, compulsory optional/profile, elective, etc.), etc.), including the weekly hourly allocation, the number of successfully completed final theses (in the structure according to the degree of study), a list of supervised or opposed final theses is recommended, indicating the author and the title of the thesis, or their selection, it is recommended to indicate any other educational activities at the University, work with students and its results, teaching materials, methods, procedures and innovations in education, participation in educational and examination committees at the University, organization of excursions and professional practice, etc. The applicant shall indicate the profile courses of study provided within the field of study to which OHIK is assigned. It is recommended to attach a statement from the head of the department at which the applicant is working or has worked on the quality and results of his/her teaching activities.
   f) Table of the fulfillment of the mandatory criteria.
   g) List of outputs of creative activity - original published scientific, professional, artistic, educational works, patents, author's certificates, inventions, technical works, etc. An extract of publication activity from the official register of publications or artistic activity is confirmed by this register (e.g., by a member of staff of the university library). In the case of unregistered outputs, the applicant shall attach the reported output or confirmation of its existence by the relevant institution. It is recommended to include a structured selection of outputs according to the fulfillment of the mandatory criteria.
   h) A list of demonstrable citations and references to outputs of creative activity - according to the records in professional databases or institutional records of publications or artistic activity. In the case of references and citations not recorded in citation databases or registers of publication or artistic activity, the applicant shall attach the citing output with an indication of the reported citation/reference. It is recommended to include a structured selection of citations and references according to the fulfillment of the mandatory criteria.
   i) List of scientific or artistic projects and research tasks (type, number, title, period of work, position of the applicant, short annotation of the project). A structured selection of projects according to the fulfillment of the mandatory criteria is recommended.
   j) List of invited lectures, talks, study, research stays, and active participation in conferences and congresses (title of presentation/paper, name and type of event, place, date, institution). Demonstrable appearances in the media, social practice, popularization activities, etc. are also recommended. A statement from the head of the institution at which the applicant is or has been working on the quality and results of his/her creative activity is recommended.
   k) A selection of the most significant outputs of creative activity, reviews and citations, projects, performances, and other activities at the applicant's discretion.
   l) Originals or copies of creative outputs structured according to the fulfillment of the mandatory criteria, all in electronic form.
   m) Three drafts of habilitation lecture topics.
   n) An affidavit by the applicant on the truthfulness and completeness of the documents submitted.
   o) Consent to the processing of personal data.
   p) Additional supporting documents.

2) Statement of the Vice-Dean and Statement of the guarantor (or co-guarantors) on the formal completeness of the HS.
3) Response of the Chair of the VR to the applicant's request (or correspondence between the applicant and the Chairman of the VR if the HS had to be completed and the HK suspended).
4) Proposal of the Chair of the VR for the composition of the Habilitation Committee and the opponents of the Habilitation Thesis.
5) Extract from the VR resolutions on the discussion of the proposal of the Habilitation Committee and the Habilitation Thesis opponents and its outcome, including the attendance list and the result of the vote.
6) Information from the central register of theses on the verification of the degree of originality of the habilitation thesis.
7) Appointment decrees of the members of the committee and the opponents.
8) Evidence of notification of the composition of the proposal of the Habilitation Committee and the opponents of the habilitation thesis sent by the Chairman of the Habilitation Committee to the applicant.
9) Reviews of the opponents.
10) Evidence of the sending of the opponents' reviews by the Chairman of the VR to the applicant.
11) Proof of publication of the habilitation lecture and the defense of the habilitation thesis.
12) Proof of notification of the date, place, and time of the habilitation lecture and the defense of the habilitation thesis by the Chairman of the VR to the applicant.
13) Evidence of the invitation of a representative of the university or faculty at which the applicant is teaching, if outside the faculty at which the HK is being held.
14) Report of the habilitation lecture and habilitation thesis defense (as a relevant point of the VR meeting in the report of the VR meeting).
15) The statement of the Habilitation Committee, including attendance list, voting record, and ballot papers (opponents do not vote but may be present during the discussion of the statement).
16) The decision of the VR, including attendance list, voting record, and ballot papers.
17) The VR decision to award the title of associate professor, addressed by the Chairman of the VR to the applicant.
18) Request from the Chairman of the VR to the Rector of UCM for the award of the title of associate professor.
19) Evidence of the Rector's invitation to the applicant to award the title of associate professor.
20) The documented information on the HK may also include other, additional documents, requested upon a justified request by any of the parties involved, which are in favor of improving the quality of the HK, expanding the relevant information, proving the fulfillment of the conditions for obtaining the title of associate professor. Their request and completion are subject to compliance with the principles of transparency, objectivity, equal access, and compliance with all relevant legislative provisions.

§ 4
Final provisions

1) This Directive was discussed in the UCM Rector's Board on 15 June 2021.
2) This Directive was approved by the UCM Scientific Board on 23 November 2021.
3) This Directive shall enter into force on the date of signing by the Rector of the UCM and take effect from 1. December 2021.

In the university town of Trnava, on 23. 11. 2021

prof. Ing. Roman Boča, DrSc.
Chairman of the Scientific Board of the UCM

Procedure of the habilitation proceedings at the UCM, including amendments and supplements, is published in the Slovak language and in other languages in which the UCM conducts its programmes, with the Slovak language text being considered the authentic text.