



UNIVERZITA
KOMENSKÉHO
V BRATISLAVE

Internal Regulations of Comenius University Bratislava

Internal Regulation No. 25/2021

approved by the Scientific Board of
Comenius University Bratislava

**Rules for the Development and Assessment of Source
Documents for Obtaining the Rights to Habilitation and
Inauguration Procedures
at the Comenius University Bratislava**

Year 2021

On 8 November 2021, the Scientific Board of the Comenius University Bratislava (hereinafter referred to as "the Scientific Board of CU"), in accordance with Article 29 (1) of the Statute of the Comenius University Bratislava (hereinafter referred to as "the CU"), approved the following Rules for the Development and Assessment of Source Documents for Obtaining the Authorization to Conduct Habilitation and Inauguration Procedure at the Comenius University Bratislava (hereinafter referred to as "the Rules for the Creation of the HalP").

Art. 1
Introductory provisions

- (1) The Rules for the Creation of the HalP creates rules for the development and assessment of source documents for obtaining the rights for habilitation and inauguration procedure pursuant to Section 31 et seq. of Act No. 269/2018 Coll. on Quality Assurance of Higher Education and on Amendments and Additions to Act No. 343/2015 Coll. on Public Procurement and on Amendments and Additions to Certain Acts, as amended (hereinafter referred to as "the Quality Assurance Act"), are part of the internal system of quality assurance of the activities of a higher education institution and are related to the internal system of quality assurance of higher education.
- (2) The Rules for the Creation of the HalP set out the procedure for the development, preparation and assessment of source documents submitted to the Accreditation Board of CU and the Slovak Accreditation Agency for Higher Education (hereinafter referred to as "SAAVŠ") for obtaining the rights for habilitation and inauguration procedures (hereinafter referred to as "the Hal Procedures").
- (3) The Rules for the Creation of the HalP are in compliance with:
 - a) generally binding legal regulations, which are the Quality Assurance Act, Act No. 131/2002 Coll. on Higher Education and on Amendments and Additions to Certain Acts, as amended (hereinafter referred to as the "Higher Education Act"), the Decree of the Ministry of Education, Science, Research and Sport of the Slovak Republic (hereinafter referred to as the "MESRS SR") 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"), the Decree of the MESRS SR No. 244/2019 Coll. on the System of Fields of Study in the Slovak Republic, the Decree of the MESRS SR No. 16 /2016 Coll., establishing professional organisations whose members exercise a regulated profession with the right to use professional titles and regulated professions with the coordination of education, and the Slovak Government Decree No. 296/2010 Coll. on professional competence to exercise a health profession, the method of further education of health professionals, the system of specialisation fields and the system of certified work activities, as amended.
 - b) the Standards for Habilitation Procedures and Procedures for the Appointment of Professors (hereinafter referred to as the "Standards") published by the SAAVŠ, which define a set of requirements, the fulfilment of which is conditional on the granting of accreditation of the Hal Procedure at higher education institutions in the Slovak Republic.
- (4) The Rules for the Creation of the HalP reflect the Methodology for the Evaluation of Standards (hereinafter referred to as "the SAAVŠ Methodology"), which contains a set of

procedures, criteria and indicators through which the SAAVŠ evaluates the fulfilment of the standards for the Hal Procedures.

- (5) The Rules for the Creation of the HalP reflect the Methodology for the Evaluation of Creative Activities, which contains a set of procedures, criteria and indicators through which the SAAVŠ evaluates the level of creative activity of a higher education institution.

Art. 2

Procedure for the preparation, development and assessment of source documents

- (1) The draft proposal to initiate the procedure for obtaining rights in the Hal Procedure branch shall be submitted to the Rector by the Dean of the Faculty after its approval by the Accreditation Board of the Faculty. Only a person who is listed in the proposal in the group of five persons responsible for the quality of the relevant the Hal Procedure branch and who is currently working at the Comenius University as a professor and holds the title of professor¹ (hereinafter also referred to as the "principal guarantor") may be entrusted with the preparation of the proposal.
- (2) Source documents that are obviously not prepared according to the procedure specified in these Rules for the creation of the HalP or obviously do not contain criteria and indicators at least at the level specified by the "Framework Criteria of CU for evaluating the fulfilment of the conditions for obtaining the scientific-pedagogical title "associate professor" and for evaluating the fulfilment of the conditions for obtaining the scientific-pedagogical title "professor""", will not be accepted for further procedures at the CU and will be returned to the proposer, who may resubmit them for a new procedure after the reworking process.
- (3) A joint proposal of two or more faculties shall be submitted by the Dean of the faculty where the person who, by agreement of the Deans, has been instructed to prepare the proposal is teaching and scientifically or pedagogically and artistically active. The proposal shall be approved by the Accreditation Board of each faculty involved in the preparation of the proposal.
- (4) The Dean of the Faculty shall state in the proposal:
 - a) the name of the Hal Procedure branch and its assignment to one or two of the fields of study in which the CU is authorized to establish, implement and modify third-level study programmes (Article 3),
 - b) the content of the Hal Procedure branch (Article 3),
 - c) staffing of the Hal Procedure branch (Article 4),
 - d) shall demonstrate the level of creative activity in the Hal Procedure branch (Art. 5),
 - e) the criteria for obtaining the title of associate professor in the Hal Procedure branch (Art. 6),
 - f) the criteria for obtaining the title of professor in the Hal Procedure branch (Art. 6),
- (5) The Rector shall submit the proposal to the Accreditation Board of CU for consideration.
- (6) After the positive opinion of the Accreditation Board of CU, the Rector will submit the proposal to the SAAVŠ for consideration. If the submitted proposal has not been

approved by the Accreditation Board of CU, the Rector shall return the proposal to the proposer for discussion and refinement, who, after refinement, may submit them for a new procedure.

¹ In the case of the branch of habilitation and inauguration procedure, the content definition of which is related to the preparation of experts for one of the regulated professions with the coordination of education referred to in Annex 2 of the Decree of the MESRS SR No. 16/2016 Coll. and is based on the branches assigned to the regulated professions according to the Government Regulation No. 296/2010 Coll., a group of three persons responsible for the quality of the Hal Procedure is sufficient to fulfil this requirement.

Art. 3

Name and content of the Hal Procedure branch

- (1) The Hal Procedure branch is defined by its name and content. The name and content of the Hal Procedure branch are designed to ensure that the content definition of the Hal Procedure branch is as close as possible to the name and description of the field of study² or to the names and descriptions of the pairs of fields of study to which the Hal Procedure branch is assigned.
- (2) The CU is authorized to create, implement and modify third-degree study programmes in the field(s) of study to which the Hal Procedure branch is assigned.

Art. 4

Staffing of the Hal Procedure branch

- (1) Responsibility for the development and quality assurance of the Hal Procedure branch rests with a group of five persons who work scientifically or artistically on the basis of established weekly working time at CU in the Hal Procedure branch or a related branch (hereafter referred to as "guarantors"). Of these persons, at least two are in the function of professor and hold the title of professor, and the other persons are at least in the function of associate professor and hold the title of associate professor. The outputs of the creative activity of each of these persons have demonstrably reached at least a significant international level³. Each of these individuals may have responsibility for the development and quality assurance of no more than one Hal Procedure branch, and then only at the CU.
- (2) In the case of Hal Procedure branch, the content definition of which is related to the preparation of professionals for some of the regulated professions with the coordination of education listed in Annex 2 of the Decree of the MESRS SR No. 16/2016 Coll. and is based on the branches assigned to the regulated professions according to the Government Regulation No. 296/2010 Coll. To fulfil this requirement, it is sufficient if three persons are working at the Comenius University in the branch of habilitation and inauguration procedure or in a related branch on the basis of established weekly working time, at least one of whom is in the function of professor and holds the title of professor and the others are in the function of associate professor and hold the title of associate professor. Each of these individuals may have responsibility for the development and quality assurance of no more than one Hal Procedure branch at the CU.
- (3) The Scientific Board of the CU and the Scientific Board of the faculty where the Hal

Procedure is carried out shall have a composition in accordance with the applicable provisions of generally binding legislation² and the internal regulations of the CU and shall consist of eminent experts, including at least one expert with the professional capacity to assess Hal Procedures in the field of study to which the Hal Procedure branch is assigned.

² The descriptions of fields of study are given in the Decree of the MESRS SR No. 244/2019 Coll. on the System of Fields of Study in the Slovak Republic.

³ Article 23 of the SAAVŠ Methodology.

⁴ Within the meaning of Sections 11 (2) and 29 (2) of the Higher Education Act.

Art. 5

Level of creative activity of the Hal Procedure Branch

- (1) A prerequisite for obtaining the rights to conduct the Hal Procedure in the branch is the pursuit of long-term and continuous creative activity in the Hal Procedure branch, the intensity and scope of which correspond to the nature of Hal Procedure and the results of which reach a top international level.
- (2) The level of results of creative activity is demonstrated by the CU, in accordance with the SAAVŠ Standards and Methodology, through the most significant outputs of creative activity of teachers responsible for the development and quality assurance of the Hal Procedure branch, whereby:
 - a) The CU submits 5 outputs for each teacher, of which at least 2 outputs are from the period of the last 6 years prior to the year in which the relevant application for accreditation was submitted,
 - b) The CU will submit a total of 25 outputs⁵,
 - c) one and the same output shall be submitted only once in a given assessment,
 - d) one and the same person submits outputs in only one assessment of creative activity for the purpose of accreditation of the Hal Procedure,
 - e) in the case of outputs with more authors, the same output can be submitted and attributed to other persons in other creative activity assessments for the purpose of accreditation of the Hal Procedure, up to a maximum of three times,
 - f) the CU shall ensure the availability of records of submitted outputs of creative activity and responses to these outputs in bibliometric and citation databases, registers of records of publication and artistic activity or in other search systems that are accepted as relevant in the relevant Hal Procedure branch.
- (3) In accordance with the Standards, the CU demonstrates the existence of a critical mass for research and the arts and a high level of quality in creative activities by being authorized to develop, implement and modify third-level study programmes in at least half of the fields of study⁶ in which it provides higher education.
- (4) Demonstrating a critical mass of outputs and a high level of quality in creative activities can be compensated for by the CU through undergoing a periodic evaluation of its research, development, artistic and other creative activities in the individual areas of research once every six years⁷ and, on the basis of the results of the most recent evaluation, it has been granted the authorization to use the designation "research

university"⁸.

⁵ In the case of the habilitation and inauguration procedure branch, the content definition of which is related to the preparation of experts for some of the regulated professions with the coordination of education listed in Annex 2 of the Decree of the MESRS SR No. 16/2016 Coll. and is based on the branches assigned to the regulated professions according to the Government Regulation No. 296/2010 Coll., a higher education institution shall submit 15 outputs.

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

⁷ Within the meaning of Section 88a of the Higher Education Act.

⁸ Until the first periodic evaluation has been completed, Section 38 (7) of the Quality Assurance Act shall apply.

Art. 6

Level of criteria for evaluating the fulfilment of the condition for obtaining the title of professor and for obtaining the title of associate professor

- (1) The Scientific Board of CU has approved and the CU has published criteria for evaluating the fulfilment of the conditions for obtaining the scientific-pedagogical title "Associate Professor" and for evaluating the fulfilment of the conditions for obtaining the scientific-pedagogical title "Professor", which are in compliance with generally binding legal regulations and standards.
- (2) The criteria for evaluating the fulfilment of the conditions for obtaining the scientific-pedagogical title "associate professor" and for evaluating the fulfilment of the conditions for obtaining the scientific-pedagogical title "professor" at Comenius University are formed by the Framework Criteria of CU for evaluating the fulfilment of the conditions for obtaining the scientific-pedagogical title "Associate Professor" and for evaluating the fulfilment of the conditions for obtaining the scientific-pedagogical title "Professor" (hereafter referred to as "the Framework Criteria") and by complex criteria for evaluating the fulfilment of the conditions for obtaining the scientific-pedagogical title "Associate Professor" and for evaluating the fulfilment of the conditions for obtaining the scientific-pedagogical title "Professor" (hereinafter also referred to as the "Faculty Criteria"), which are in accordance with the Framework Criteria and are valid and effective for the Hal Procedure branches implemented at the faculty, or contain specifics according to the individual fields of study to which the HalP branches are assigned or specifics according to the individual HalP branches or their groups. The Faculty Criteria set the parameters in a structure and quality corresponding to international practices and specificities in the respective Hal Procedure branch.
- (3) If the CU has not yet had the rights to the Hal Procedure in the relevant branch, then the criteria of another higher education institution in the Slovak Republic which has had such rights or the criteria in another similar Hal Procedure branch assigned to the relevant field of study shall be used as a minimum basis of difficulty for the establishment of the criteria for obtaining the title of professor and for obtaining the title of associate professor in the relevant field of study. If it is not possible to use the criteria referred to in the preceding sentence, the criteria in another similar branch which is closest in definition to the Hal Procedure branch shall be used. The Rector of CU shall submit the criteria thus created to the Scientific Board of CU for approval after discussion in the Scientific Board of the Faculty.

Art. 7
Level Establishment and termination of the positions
of guarantors and co-guarantors

- (1) The guarantor and co-guarantors of the Hal Procedure shall be appointed by the Dean prior to the commencement of preparing the Hal Procedure branch; these individuals must be listed in the proposal to initiate the Hal Procedure to obtain the rights in the Hal Procedure branch that is approved by the Accreditation Board of the Faculty.
- (2) The change in the guarantor or co-guarantor of the accredited Hal Procedure branch is approved on the proposal of the Dean of the Faculty by the Accreditation Board of the faculty where the Hal Procedure branch takes place. The Dean may appeal against a negative decision of the Accreditation Board of the Faculty to the Accreditation Board of CU, which may change the decision of the Accreditation Board of the Faculty. The Accreditation Board of the Faculty shall inform the Accreditation Board of CU of a change in the guarantor, which may, within 6 months, initiate a procedure to review the change in the guarantor or co-guarantor and decide whether or not to approve his/her appointment; if the SAAVŠ Standards or other binding SAAVŠ procedures require notification of the change in the guarantor or co-guarantor or further procedure before SAAVŠ, the Rector shall, in addition to the aforementioned, carry out the necessary actions in relation to the change in the guarantor or co-guarantor in the direction of the SAAVŠ.
- (3) The Dean shall dismiss the guarantor or co-guarantor if he/she ceases to meet the qualification prerequisites according to the SAAVŠ Standards.
- (4) The Dean shall also dismiss the guarantor or co-guarantor if remedy cannot be achieved otherwise and the guarantor or co-guarantor is
 - a) not performing his/her duties as guarantor or co-guarantor satisfactorily,
 - b) the results of his/her creative activity are not a sufficient guarantee for the development and sustainability of the study programme.
- (5) The Dean may also dismiss the guarantor or co-guarantor for any other reasons.
- (6) The functions of guarantor and co-guarantor shall cease by:
 - a) dismissal;
 - b) not granting authorization to conduct habilitation and inauguration procedure in the Hal Procedure branch,
 - c) withdrawal authorization to conduct habilitation and inauguration procedure in the Hal Procedure branch,
 - d) revocation of authorization to conduct habilitation and inauguration procedure in the Hal Procedure branch,
 - e) in the event of the resignation of the guarantor or co-guarantor, on the date of appointment of a new guarantor or co-guarantor,
 - f) termination of employment at the relevant faculty of CU for the established weekly working time.
- (7) Upon termination of the position of guarantor or co-guarantor, the Dean must appoint a new guarantor or co-guarantor within 3 months.

Art. 8
HaIP rules and procedures

- (1) The CU has established and publicly available rules and procedures for the Hal Procedures that comply with generally binding regulations. The CU rules and procedures shall guarantee:
- a) transparency and openness of procedures on equal terms for all candidates, which are known to them in advance,
 - b) impartial, objective, professionally informed, consistent and unambiguous verification of the candidate's fulfilment of the specified requirements and criteria,
 - c) that the candidate's proven academic fraud⁹ is grounds for not awarding the title of associate professor or not awarding the title of professor,
 - d) the selection and composition of the members of the Habilitation Committee and the members of the Inauguration Committee and the external readers of the Hal Procedure in accordance with the generally binding regulations,
 - e) that the members of the Habilitation Committee and the members of the Inauguration Committee and the external readers of the Hal Procedure are active in the relevant Hal Procedure branch or, in justified cases, in the branch of science, technology and arts according to the focus of the candidate's creative activity.

⁹ Article 27 of the SAAVŠ Methodology.

- (2) Within the framework of its procedures, the CU consistently and without exception complies with the generally binding regulations, the applicable rules and procedures of the Hal Procedure and the CU criteria for evaluating the fulfilment of the conditions for obtaining the scientific-pedagogical title or the artistic-pedagogical title "Associate Professor" and the scientific-pedagogical title or the artistic-pedagogical title "Professor", which were the basis for the decision-making in the framework of the previous procedure for the granting of the accreditation of the respective Hal Procedure.¹⁰

¹⁰ Including procedures for granting the right to conduct habilitation procedure and appointment procedure for professor within the meaning of Section 35 (4) of the Quality Assurance Act.

Art. 9
Final provisions

- (1) The Hal Procedures commenced before the date of taking effect of this Regulation shall be governed by the regulations still in force.

- (2) The various bodies, processes and rules under this Regulation must be at the CU and its constituent parts in compliance with this Regulation from the date of its taking effect; until the taking effect of this Regulation, the existing HaP branches must be staffed in accordance with this Regulation.
- (3) This Internal Regulation shall enter into force on the date of its approval by the Scientific Board of Comenius University and shall take effect on 1 September 2022.

Prof. JUDr. Marek Števček, PhD.
Chairman of the Scientific Board of CU

¹⁰ Including procedures for granting the right to conduct habilitation procedure and appointment procedure for professor within the meaning of Section 35 (4) of the Quality Assurance Act.