

## **DECISION OF THE SENATE**

RTU Senate meeting as of 30 May 2022 (Minutes No 663)

### **On Approval of the New Edition of RTU Regulations “On the Procedure for Election of Professors and Associate Professors and Evaluation of the Qualification of the Active Professors and Associate Professors”**

RTU Senate has decided:

- 1) To void RTU Regulations “On the Procedure for Election of Professors and Associate Professors and Evaluation of the Qualification of the Active Professors and Associate Professors” (approved by the Senate Decision dated 26 April 2021, Minutes No 649, effective since 27 April 2021, with amendments of 31 May 2021, effective since 1 June 2021, and of 28 June, effective since 29 June 2021).
- 2) To approve the new edition of the Regulations “On the Procedure for Election of Professors and Associate Professors and Evaluation of the Qualification of the Active Professors and Associate Professors”.

## **REGULATIONS**

### **of Riga Technical University**

### **On the Procedure for Election of Professors and Associate Professors and Evaluation of the Qualification of the Active Professors and Associate Professors**

*Adopted in accordance with*

- *Section 33 of the Law on Higher Education Institutions “Procedures for the Election of Professors and Associate Professors”*,
- *Section 34 of the Law on Higher Education Institutions “Evaluation of Scientific and Teaching Qualifications”*,
- *Cabinet Regulation No. 129 of 25 February 2021 “Procedures for Evaluating the Scientific and Teaching Qualifications or Results of Artistic Creation Work of an Applicant for the Position of Professor or Associate Professor and of a Professor or Associate Professor Holding the Position”*

#### **1. General Provisions**

1.1. Regulations of Riga Technical University (hereinafter – RTU) on the procedure for evaluation of the scientific and pedagogical qualification and organizational activities of the candidates for the position of professor and associate professor and their election procedure, as well as the procedure for evaluation of scientific and pedagogical qualification and organizational activities of the active professors and associate professors (hereinafter – the Regulations) lay down:

- 1.1.1. requirements and criteria for assessment of qualification of the persons who apply for positions of professor and associate professor (hereinafter – the candidates) and of the persons already holding the positions of professor and associate professor,

- 1.1.2. the procedure for election of the candidates for the positions of professor or associate professor and evaluation of the qualification of active professors and associate professors.
- 1.2. A candidate may be elected into only one position of a professor or associate professor, a person elected into this academic position may be simultaneously elected to a position of a leading researcher or researcher at RTU. A person elected into the position of professor or associate professor may conduct academic activities at another Latvian higher education institution (hereinafter – HEI) or college only in the capacity of a visiting professor, visiting associate professor, visiting assistant professor, guest lecturer, or comparable position.
- 1.3. Compliance of the candidate with the requirements and conformity of the qualification of the active professors or associate professors to the assessment criteria is evaluated by the Professors’ Council in the respective area (hereinafter – the Council). The composition of the Council and procedures for its establishment and operation are determined by the Regulation on the Activities of RTU Professors’ Councils.
- 1.4. Councils or boards of responsible organizational units of RTU (a faculty, institute, study and science center) draw up and submit to the Senate a proposal for the announcement of an open competition for the position of professor or associate professor, specifying additional requirements, providing job description and envisioned workload.
- 1.5. RTU Senate decides on the announcement of an open competition, the head of the organizational unit of RTU makes a decision on the proposal of a candidate for re-evaluation. If the head of an organizational unit decides not to recommend an active professor or associate professor for re-evaluation, they present a reasoned opinion identifying the reasons for this decision and submit it to the council of the organizational unit. The reasoned opinion shall be considered at the meeting of the council of the organizational unit, which shall make the final decision.
- 1.6. The Personnel Unit announces a competition on the RTU website and in at least one nationwide mass medium.
- 1.7. The Council shall assess the scientific and pedagogical qualification and organizational activities of the persons holding positions of professors or associate professors at least once in 6 (six) years and not later than 6 (six) months prior to the end of the term of employment contract of professors or associate professors if they have expressed their willingness to continue working in the respective position also after the end of the term of employment contract in the application addressed to the head of the organizational unit submitted at last 8 (eight) months prior to the end of the term of employment.
- 1.8. The head of the organizational unit at least once in two years shall assess the professional performance of professors or associate professors in accordance with Paragraph 3 of Section 34 of the Law on Higher Education Institutions. If after assessing the professional performance of a professor or associate professor, the head of the organizational unit determines that the scientific and pedagogical qualification and organizational activities of the professor or associate professor do not comply with the requirements of a particular position, they are eligible to submit a suggestion to the Council to conduct the evaluation specified in these Regulations prior to the defined term.

- 1.9. Upon receipt of the application specified in Paragraph 1.7, the head of the organizational unit shall approve it and forward it to the Personnel Unit. The Personnel Unit receives the documents submitted for re-evaluation of the qualification of the active professors or associate professors in accordance with Section 4 of these Regulations and forwards them to the Council together with the contender's application.
  - 1.10. The Council makes a decision on the election of the candidate for the position of professor or associate professor or on the compliance of the results of the scientific and pedagogical qualification and organizational activities of the active professor or associate professor with the criteria laid down in Sections 6 and 7 of these Regulations and Annex 1 thereto.
  - 1.11. Requirements and qualification assessment criteria for the candidates for the tenured professorship, as well as procedures for the opening of the tenured professor positions, attraction, selection, election, introduction into work, and performance assessment of the candidates for this position at Riga Technical University are laid down in the Regulation "On Tenured Professorship at Riga Technical University" (approved at the RTU Senate meeting on 25 April 2022 (Minutes No 662)).
2. **Requirements for the Candidates and Active Professors and Associate Professors**
    - 2.1. A person holding a PhD degree with at least 3 (three) years of experience in the position of an associate professor or professor, who is an internationally recognized expert in their area conducting advanced scientific research and delivering high-quality education in the respective field of science can apply for the position of professor.
    - 2.2. A person holding a PhD degree with experience in conducting scientific and pedagogical activities can apply for the position of associate professor.
    - 2.3. The scientific and pedagogical qualification and the related organizational activities of the candidate or an active professor or associate professor (in the previous six years) shall be in compliance with the criteria defined in Annex 2 to these Regulations.
3. **Candidate Application Procedure**
    - 3.1. When applying for the position of professor or associate professor, the candidate shall submit the following documents in the electronic format to the Personnel Unit:
      - 3.1.1. an application on participation in the competition addressed to the Rector;
      - 3.1.2. the candidate's Curriculum Vitae including information on the candidate's scientific, pedagogical and organizational work experience and a list of scientific publications over the past 6 (six) years, as well as other documents, which the candidate intends to attach to the application in order to comprehensively characterize their qualification (in compliance with Annexes 1, 6 and 7 to these Regulations),
      - 3.1.3. copies of the documents attesting that the candidate holds a respective scientific or academic degree or that the candidate has acquired higher education, and other documents required by the regulatory enactments if the candidate participates in the competition for the position at RTU for the first time,

- 3.1.4. the certificate attesting the Latvian language proficiency in accordance with the provisions of the State Language Law if the study program is implemented in the state language (for the foreign candidates),
- 3.1.5. summary of the student survey results on the study courses delivered over the previous 6 (six) years.
- 3.2. The documents may be submitted also in paper format.
- 3.3. The Personnel Unit shall conduct the verification of the documents submitted by the candidate in compliance with the provisions of Section 5 of these Regulations.

#### **4. Application Procedure for the Active Professors and Associated Professors**

- 4.1. When applying for evaluation of their scientific and pedagogical qualification and organizational activities, a professor or associate professor shall submit the following documents in the electronic format to the Personnel Unit:
  - 4.1.1. Curriculum Vitae including information on the applicant's scientific, pedagogical and organizational work experience and a list of scientific publications over the past 6 (six) years, as well as other documents comprehensively characterizing their qualification (in compliance with Annexes 1, 6 and 7 to these Regulations),
  - 4.1.2. summary of the student survey results on the study courses delivered over the previous 6 (six) years.
- 4.2. The Personnel Unit shall conduct the verification of the documents in compliance with the provisions of Section 5 of these Regulations.

#### **5. Document Verification and Storage**

- 5.1. Verification of the applicant's documents:
  - 5.1.1. the Personnel Unit registers the documents submitted by the candidate in the terms specified in the job advertisement and verifies the compliance of the documents to the administrative requirements:
    - 5.1.1.1. compliance of the certificate attesting the Latvian language proficiency to the requirements of the State Language Law if the study program is implemented in the state language.
  - 5.1.2. the Department for Research Coordination and Information verifies compliance of the candidate's publications to the definite criteria;
- 5.2. The candidate's application is not forwarded for further consideration by the Council if the submitted documents or their content or publications are not in compliance with the requirements of the competition. In this case, the Personnel Unit sends an explanatory letter to the candidate or active professor or associate professor.
- 5.3. The Personnel Unit registers the documents submitted by the active professor or associate professor and verifies the compliance of the documents to the administrative requirements.
- 5.4. The documents submitted by the candidates or active professors or associate professors are stored in accordance with the RTU record management procedures.

## 6. **Candidate Election Procedure**

- 6.1. The Personnel Unit forwards the documents to RTU Rector for approval and upon receipt of the approval forwards the documents to the Council to conduct the election procedure. The Chair of the Council announces the meeting of the Council, inviting the candidate(s) to participate in the meeting. The candidate(s) are obliged to participate in the meeting and take part in the discussion regarding their scientific, pedagogical, and organizational activities.
- 6.2. The Chair of the Council in the period of 2 (two) months after the receipt of the documents organizes an independent international assessment of the candidate for the position of professor and a publicly announced open lecture, inviting the members of the Council to participate therein.
- 6.3. Prior to the Council meeting, each member of the Council evaluates the compliance of the candidate for the position of professor or associate professor with the criteria stated in Annex 2 to these Regulations with an assessment “excellent”, “very good”, “good”, or “satisfactory”, which is a positive assessment, or “unsatisfactory”, which is a negative assessment. During the Council meeting, the Secretary records the joint assessment and its substantiation in the table attached in Annex 3 and in the minutes (Annex 5).
- 6.4. Taking into consideration the joint assessment, the Council votes by an open ballot. The decision on the election or non-election of the candidate for the position of professor or associate professor is made by the majority vote. The candidate who has received the largest number of votes is elected to the position. In the event of a draw, the Chair of the Council shall have the casting vote.
- 6.5. The Secretary of the Council counts the votes and records the voting results in the minutes (Annex 5).
- 6.6. If three or more candidates apply for the same position:
  - 6.6.1. if none of the candidates has received more than a half of the votes of the eligible members of the Council, the second voting round shall be carried out during the same meeting with participation of the two candidates who have obtained most votes, or more candidates if they have obtained an equal number of votes,
  - 6.6.2. the Council shall take a decision on the repeated organization of elections if in the second election round none of the candidates has obtained half of the votes of the members of the Council to be elected for the position of professor or associate professor.
- 6.7. The Secretary of the Council informs the candidates on the results of the elections.
- 6.8. The Council submits the results of elections for the position of professor or associate professor, the decision on the election of a person for the position of a professor or associate professor, and the assessment of the elected person to the Rector. The minutes of the Council meeting, the full list of the candidates, and the assessment of each candidate are also sent to the Rector.
- 6.9. In the case of non-election, the Personnel Unit sends an explanatory letter approved by the Chair of the Professor’ Council and signed by the Rector to the candidate for the position of professor or associate professor.

7. **Procedure for Evaluation of Scientific and Pedagogical Qualification and Related Organizational Activities of Active Professors or Associate Professors**

- 7.1. The Personnel Unit forwards the documents of the active professor or associate professor to the Council that shall organize the evaluation of their scientific and pedagogical qualification and the related organizational activities. The Chair of the Council announces the Meeting of the Council inviting the active professor or associate professor to participate in the meeting. Professors or associate professors are obliged to participate in the meeting and take part in the discussion regarding their scientific, pedagogical, and organizational activities.
- 7.2. The Council decides on the necessity for the particular active professor or associate professor to deliver an open lecture. If the open lecture is deemed necessary, the Chair of the Council in the period of 2 (two) months after the receipt of the documents shall organize a publicly announced open lecture, inviting the members of the respective Council to participate therein.
- 7.3. Each member of the Council evaluates the compliance of the qualification of the active professor or associate professor with the criteria stated in Annex 2 to these Regulations with an assessment “excellent”, “very good”, “good”, or “satisfactory”, which is a positive assessment, or “unsatisfactory”, which is a negative assessment. During the Council meeting, the Secretary records the joint assessment and its substantiation in the table attached in Annex 3 and in the minutes (Annex 5).
- 7.4. Taking into consideration the joint assessment, the Council votes by an open ballot. The decision on the compliance or non-compliance of the qualification of the active professor or associate professor to the defined criteria is made by the majority vote. In the event of a draw, the Chair of the Council shall have the casting vote.
- 7.5. The Secretary of the Council counts the votes and records the voting results in the minutes (Annex 5).
- 7.6. The Secretary of the Council informs the active professor or associate professor on the evaluation results.
- 7.7. The Council submits the joint assessment of the scientific and pedagogical qualification and organizational activities of the active professor or associate professor and the decision on compliance or non-compliance of their qualification to the criteria to the Rector. In the case of negative assessment of the qualification of an applicant, the Personnel Unit sends an explanatory letter approved by the Chair of the Professor’ Council and signed by the Rector to the active professor or associate professor.
- 7.8. The Secretary of the Council shall register the results mentioned in Sections 6 and 7 of the Regulations in the RTU Document System in accordance with the RTU record management procedures in the period of 3 (three) business days:
  - 7.8.1. the drafted minutes of the meeting of the Council with the Annex (Annex 5),
  - 7.8.2. the joint assessment of the Council on the compliance of the qualification of each candidate or active professor or associate professor for the position (Annex 3).

**8. Establishment and Termination of Employment Relations with a Professor or Associate Professor**

- 8.1. On the basis of the decision of the Council and the documents specified in Paragraph 6.8, in the period of 3 (three) months, the Rector shall establish employment relations for the period of 6 (six) years with a person elected to the position of professor or associate professor by the Council.
- 8.2. The employment relations with the active professor or associate professor shall be prolonged after the end of the six-year employment term if the scientific and pedagogical qualification of the professor or associate professor has been evaluated as being in compliance with the criteria. The employment relations with the professor or associate professor are continued by signing the second consecutive employment contract for a definite term or an academic tenure in accordance with the internal regulations of RTU and the Law on Higher Education Institutions.
- 8.3. The employment relations with the professor or associate professor shall be terminated or they shall be offered a different position at RTU if the scientific and pedagogical qualification of the active professor or associate professor has been assessed as being non-compliant with the definite criteria.

**9. Appellation Procedure**

- 9.1. The candidate or the active professor or associate professor shall submit in writing an appeal against violations of the competition or election procedure to the Rector not later than within 10 (ten) days after the Council decision or announcement of evaluation results.
- 9.2. The appeal shall be reviewed within 1 (one) month by a committee established in accordance with the Rector's order, if required, inviting independent experts. The committee shall provide a written opinion on the validity of the appeal.
- 9.3. The appellant shall be notified in writing on the decision taken by the committee not later than within 5 (five) business days following the date of the committee's decision.

Chair of the Senate

E. Gaile- Sarkane

Drafted by the Administrative Director

## **Annex 1**

To RTU Regulations

“On the Procedure for Election of Professors and Associate Professors and Evaluation of the Qualification of the Active Professors and Associate Professors”  
approved at the meeting of RTU Senate on 26 April 2021 (Minutes No 649).

### **The Documents to be Submitted for Evaluation of Scientific and Pedagogical Qualification and the Related Organizational Activities of the Candidate for the Position of Professor or Associate Professor or the Active Professor or Associate Professor**

Information to be included in the Curriculum Vitae of a candidate for the position of professor or associate professor at RTU:

#### 1. General information:

- 1.1. Name, surname;
- 1.2. Date of birth;
- 1.3. Address of residence;
- 1.4. Education;
- 1.5. Academic titles and scientific degrees;
- 1.6. Work experience minimum over the past 10 years;
- 1.7. Language proficiency in accordance with the Common European Framework of Reference for Languages (Annex 4 hereto).

#### 2. Scientific activity (over the past 6 years):

- 2.1. Anonymously peer-reviewed scientific publications in scientific journals or conference proceedings indexed in SCOPUS or Web of Science Core Collection or included in ERIH+ database, or peer-reviewed scientific monograph and h-index.
- 2.2. Reports at international scientific conferences in Latvia and abroad (specifying the authors of the report, the title of the report, the name, time, and location of the conference;
- 2.3. Scientific management of research and development projects or scientific contribution to their implementation;
- 2.4. Information on the activities in the capacity of an expert of the Latvian Council of Science;
- 2.5. Revision of PhD Theses;
- 2.6. Obtained patents and licenses;
- 2.7. Management of scientific contractual works or participation in their implementation;
- 2.8. Advancement of scientific qualification at foreign universities and research institutions.

#### 3. Pedagogic activity (over the past 6 years):

- 3.1. Supervision of PhD Theses and the number of defended PhD Theses that resulted in student obtaining a PhD degree (specifying the titles and authors of the PhD Theses, the link to the PhD Thesis, or an electronic copy of the PhD Thesis);
- 3.2. Supervision of Master Theses and the number of defended Master Theses (specifying the titles and authors of the Master Theses);



- 3.3 Lecturing at the PhD study programs, except for the foreign students (specifying the titles of the study courses and volume in credit points);
- 3.4. Lecturing at the Master study programs, except for the foreign students (specifying the titles of the study courses and volume in credit points);
- 3.5. Lecturing to the foreign students in Latvia (specifying the titles of the study courses and volume in credit points);
- 3.6. Lecturing at the foreign universities;
- 3.7. Published learning aids, including submission of learning aids for publication;
- 3.8. Advancement of pedagogical qualification at the Latvian and foreign universities or research institutions; \*
- 3.9. Development of study courses;
- 3.10. Development and management of study programs.

*\* If the candidate for the position of professor or associate professor prior to elections worked as a member of academic staff, until the end of their term of office, they should complete a professional advancement program on innovations in higher education, university didactics or education management amounting to 160 academic hours (including at least 60 contact hours). Professional advancement may include international mobility performed for professional advancement purposes and participation in the conferences and seminars, which shall be attested by submitted documents.*

#### 4. Organizational activity (over the past 6 years):

- 4.1. Management of Professors' Councils in a definite research field, PhD Councils or Scientific Councils of a university or scientific institution, or a Scientific Council of an organizational unit thereof, or participation in the activities of these councils;
- 4.2. Management of research and development projects;
- 4.3. Management of organizational committees of international conferences or participation in organization of international conferences;
- 4.4. Management of editorial boards of scientific publications or participation in the work thereof, or of anonymously reviewed scientific publications in a scientific journal or conference proceedings, revision of the articles in the publications indexed in SCOPUS or Web of Science Core Collection database, or included in ERIH+ database;
- 4.5. Management of international scientific, academic or artistic associations or participation in the activities thereof;
- 4.6. Management of the national and international scientific, academic or artistic competitions, festivals and other comparable events or participation in the organization of the national and international scientific, academic or artistic competitions, festivals and other comparable events or work in the juries thereof;
- 4.7. Management of scientific and academic committees or collegial institutions or participation in the activities thereof;
- 4.8. Management of a university, faculty, institute, department, or laboratory.

5. Other substantial information (at the candidate's discretion).

**Annex 2**  
To RTU Regulations  
“On the Procedure for Election  
of Professors and Associate Professors and Evaluation of the Qualification of the Active  
Professors and Associate Professors”  
approved at the Senate meeting on 26 April 2021 (Minutes No 649)

**Criteria for Evaluation of a Candidate for the Position of a Professor or Associate  
Professor and of an Active Professor or Associate Professor (in the previous six years)**

\* Additional criteria determined by RTU

\*\* Except for humanities and the fields where RTU does not implement PhD study programs

Criteria	For the position of professor	For the position of associate professor
<b>1. Criteria for assessment of scientific qualification</b>	* Criteria 1.1, 1.3 and 1.9 are met and positive assessment is received in at least four criteria from 1.1 to 1.8.	* Criteria 1.1, 1.3 and 1.9 are met and positive assessment is received in at least three criteria from 1.1 to 1.8.
1.1. Minimal number of anonymously peer-reviewed scientific publications in scientific journals or conference proceedings indexed in SCOPUS or Web of Science Core Collection or included in ERIH+ database, and the minimal h-index in SCOPUS or Web of Science Core Collection database specified for the respective scientific field in Latvia, or the minimal number of the reviewed scientific monographs, are in compliance with the provisions of Annex 7 to these Regulations	Number and type of scientific publications, and h-index are in compliance with the provisions of Annex 7 to these Regulations	Number and type of scientific publications, and h-index are in compliance with the provisions of Annex 7 to these Regulations
1.2. Reports at international scientific conferences in Latvia and abroad	At least 5	At least 3
1.3. Scientific management of research and development projects or scientific contribution to their implementation	Scientific project manager or leading researcher in at least one project	Leading researcher or researcher in at least one project
1.4. Rights of an expert of the Latvian Council of Science		
1.5. Revision of PhD Theses	At least 2	At least 1
1.6. Intellectual property rights related to, e.g., patents for inventions (including supplementary protection certificates for pharmaceutical and plant protection products), topography of semiconductor products, trademark, design, copyright or associated rights, plant variety, as well as alienation or licensing of these property rights and transfer of technology rights to launch a new product or service in the market, with respect to production and sales		

necessary to ensure commercial success thereof (commercialization).		
1.7. Management of scientific contractual works or participation in their implementation		
1.8. Advancement of scientific qualification at foreign universities and research institutions		
1.9. * Holds a PhD degree		
<b>2. Criteria for assessment of pedagogical qualification</b>	* Criteria 2.1 and 2.11 are met and positive assessment is received in at least four criteria from 2.1 to 2.8.	* Criteria 2.1 (except for the new candidates for the position) and 2.11 are met and positive assessment is received in at least three criteria from 2.1 to 2.8.
2.1. Supervision of PhD Theses and the number of defended PhD Theses that resulted in student obtaining a PhD degree	Has supervised at least one PhD Thesis, which resulted in student obtaining a PhD degree **	Is supervising at last one PhD Thesis**
2.2. Supervision of Master Theses and the number of defended Master Theses		
2.3. Lecturing at the PhD study programs, except for the foreign students		
2.4. Lecturing at the Master study programs, except for the foreign students		
2.5. Lecturing to the foreign students in Latvia		
2.6. Lecturing at the foreign universities		
2.7. Published learning aids, including submission of learning aids for publication		
2.8. Advancement of pedagogical qualification at the Latvian and foreign universities or research institutions		
2.9. * Development of study courses		
2.10. * Development and management of study programs		
2.11. * Lecturing to students within all education cycles		
<b>3. Criteria for assessment of organizational competence related to performance of scientific, pedagogical or creative artistic activities</b>	Positive assessment is received in at least three criteria from 3.1 to 3.6.	Positive assessment is received in at least two criteria from 3.1 to 3.6.
3.1. Management of Professors' Councils in a definite research field, PhD Councils or Scientific Councils of a university or scientific institution, or a Scientific Council of an organizational unit thereof, or participation in the activities of these councils		
3.2. Management of research and development projects	Manager or coordinator of at least	Manager, coordinator or assistant manager of

	one research and development project	at least one research and development project
3.3. Management of organizational committees of international conferences or participation in organization of international conferences		
3.4. Management of editorial boards of scientific publications or participation in the work thereof, or of anonymously reviewed scientific publications in a scientific journal or conference proceedings, revision of the articles in the publications indexed in SCOPUS or Web of Science Core Collection database, or included in ERIH+ database		
3.5. Management of international scientific, academic or artistic associations or participation in the activities thereof		
3.6. Management of the national and international scientific, academic or artistic competitions, festivals and other comparable events or participation in the organization of the national and international scientific, academic or artistic competitions, festivals and other comparable events or work in the juries thereof		
3.7. * Management of scientific and academic committees or collegial institutions or participation in the activities thereof		
3.8. * Management of a university, faculty, institute, department, or laboratory		

**Annex 3**  
To RTU Regulations  
“On the Procedure for Election  
of Professors and Associate Professors and Evaluation of the Qualification of the Active Professors and Associate Professors”  
approved at the Senate meeting on 26 April 2021 (Minutes No 649)

**TABLE FOR EVALUATION**  
**of the Scientific and Pedagogical Qualification of a Candidate for the Position of Professor or Associate Professor and of an Active Professor or Associate Professor and of Organizational Activities Related to their Scientific, Pedagogical and Creative Activities in accordance with the definite criteria (in the previous six years)**

(to be completed and attached to the minutes of the Council meeting by the Secretary of the Council. The table can be adapted for the assessment of the qualification of a particular candidate or particular active professor or associate professor, as well as for a specific field of science).

\* Additional criteria determined by RTU

\*\* Except for humanities and the fields where RTU does not implement PhD study programs

	Quantitative assessment for <b>professor</b>		Quantitative assessment for <b>associate professor</b>		Qualitative assessment (“excellent”, “very good”, “good”, “satisfactory”, which is a positive assessment, or “unsatisfactory” – negative assessment)	Substantiation, notes
	minimum	actual	minimum	actual		
<b>1. Scientific qualification</b>	* Criteria 1.1, 1.3 and 1.9 are met and positive assessment is received in at least four criteria from 1.1 to 1.8.		* Criteria 1.1, 1.3 and 1.9 are met and positive assessment is received in at least three criteria from 1.1 to 1.8.			

1.1. Minimal number of anonymously peer-reviewed scientific publications in scientific journals or conference proceedings indexed in SCOPUS or Web of Science Core Collection or included in ERIH+ database, and the minimal h-index in SCOPUS or Web of Science Core Collection database specified for the respective scientific field in Latvia, or the minimal number of the reviewed scientific monographs, are in compliance with the provisions of Annex 7 to these Regulations	Number and type of scientific publications, and h-index are in compliance with the provisions of Annex 7 to these Regulations		Number and type of scientific publications, and h-index are in compliance with the provisions of Annex 7 to these Regulations			
1.2. Reports at international scientific conferences in Latvia and abroad	At least 5		At least 3			
1.3. Scientific management of research and development projects or scientific contribution to their implementation	Scientific project manager or leading researcher in at least one project		Leading researcher or researcher in at least one project			
1.4. Rights of an expert of the Latvian Council of Science.	yes /no		yes /no			
1.5. Revision of PhD Theses	At least 2		At least 1			
1.6. Intellectual property rights related to, e.g., patents for inventions (including supplementary protection certificates for pharmaceutical and plant protection products), topography of semiconductor products, trademark, design, copyright or associated rights, plant variety, as well as alienation or licensing of these property rights and transfer of technology rights to launch a new product or service in the market, with respect to production and sales necessary to ensure commercial	yes /no		yes /no			

success thereof (commercialization).						
1.7. Management of scientific contractual works or participation in their implementation	yes /no		yes /no			
1.8. Advancement of scientific qualification at foreign universities and research institutions	yes /no		yes /no			
1.9. * Holds a PhD degree	yes /no		yes /no			
<b>JOINT ASSESSMENT</b>						
<b>2. Pedagogical qualification</b>	* Criteria 2.1 and 2.11 are met and positive assessment is received in at least four criteria from 2.1 to 2.8.		* Criteria 2.1 (except for the new candidates for the position) and 2.11 are met and positive assessment is received in at least three criteria from 2.1 to 2.8.			
2.1. Supervision of PhD Theses and the number of defended PhD Theses that resulted in student obtaining a PhD degree	** Has supervised at least one PhD Thesis, which resulted in student obtaining a PhD degree		** Is supervising at last one PhD Thesis			
2.2. Supervision of Master Theses and the number of defended Master Theses	yes /no		yes/no			
2.3. Lecturing at the PhD study programs, except for the foreign students	yes /no		yes/no			
2.4. Lecturing at the Master study programs, except for the foreign students	yes /no		yes/no			
2.5. Lecturing to the foreign students in Latvia	yes/no		yes/no			
2.6. Lecturing at the foreign universities	yes/no		yes/no			
2.7. Published learning aids, including submission of learning aids for	yes/no		yes/no			






publication						
2.8. Advancement of pedagogical qualification at the Latvian and foreign universities or research institutions	yes/no		yes/no			
2.9. * Development of study courses	yes/no		yes/no			
2.10. * Development and management of study programs	yes/no		yes/no			
2.11. * Lecturing to students within all education cycles						
<b>JOINT ASSESSMENT</b>						
<b>3. Criteria for assessment of organizational competence related to performance of scientific, pedagogical or creative artistic activities</b>	Positive assessment is received in at least three criteria from 3.1 to 3.6.		Positive assessment is received in at least two criteria from 3.1 to 3.6.			
3.1. Management of Professors' Councils in a definite research field, PhD Councils or Scientific Councils of a university or scientific institution, or a Scientific Council of an organizational unit thereof, or participation in the activities of these councils	yes/no		yes/no			
3.2. Management of research and development projects	Manager or coordinator of at least one research and development project		Manager, coordinator or assistant manager of at least one research and development project			
3.3. Management of organizational committees of international conferences or participation in organization of international conferences	yes/no		yes/no			
3.4. Management of editorial boards of scientific publications or participation in the work thereof, or of anonymously	yes/no		yes/no			



reviewed scientific publications in a scientific journal or conference proceedings, revision of the articles in the publications indexed in SCOPUS or Web of Science Core Collection database, or included in ERIH+ database						
3.5. Management of international scientific, academic or artistic associations or participation in the activities thereof	yes/no		yes/no			
3.6. Management of the national and international scientific, academic or artistic competitions, festivals and other comparable events or participation in the organization of the national and international scientific, academic or artistic competitions, festivals and other comparable events or work in the juries thereof	yes/no		yes/no			
3.7. * Management of scientific and academic committees or collegial institutions or participation in the activities thereof	yes/no		yes/no			
3.8. * Management of a university, faculty, institute, department, or laboratory	yes/no		yes/no			
<b>JOINT ASSESSMENT</b>						

**Annex 4**  
To RTU Regulations  
“On the Procedure for Election  
of Professors and Associate Professors and Evaluation of the Qualification of the Active Professors and Associate Professors”  
approved at the Senate meeting on 31 May 2021 (Minutes No 650)

**Common European Framework of Reference for Languages - Self-assessment grid**

		<b>A1</b> Basic User	<b>A2</b> Basic User	<b>B1</b> Independent User	<b>B2</b> Independent User	<b>C1</b> Proficient User	<b>C2</b> Proficient User
Understanding	 Listening	I can recognise familiar words and very basic phrases concerning myself, my family and immediate concrete surroundings when people speak slowly and clearly.	I can understand phrases and the highest frequency vocabulary related to areas of most immediate personal relevance (e.g. very basic personal and family information, shopping, local area, employment). I can catch the main point in short, clear, simple messages and announcements.	I can understand the main points of clear standard speech on familiar matters regularly encountered in work, school, leisure, etc. I can understand the main point of many radio or TV programmes on current affairs or topics of personal or professional interest when the delivery is relatively slow and clear.	I can understand extended speech and lectures and follow even complex lines of argument provided the topic is reasonably familiar. I can understand most TV news and current affairs programmes. I can understand the majority of films in standard dialect.	I can understand extended speech even when it is not clearly structured and when relationships are only implied and not signalled explicitly. I can understand television programmes and films without too much effort.	I have no difficulty in understanding any kind of spoken language, whether live or broadcast, even when delivered at fast native speed, provided I have some time to get familiar with the accent.
	 Reading	I can understand familiar names, words and very simple sentences, for example on notices and posters or in catalogues.	I can read very short, simple texts. I can find specific, predictable information in simple everyday material such as advertisements, prospectuses, menus and timetables and I can understand short simple personal letters.	I can understand texts that consist mainly of high frequency everyday or job-related language. I can understand the description of events, feelings and wishes in personal letters.	I can read articles and reports concerned with contemporary problems in which the writers adopt particular attitudes or viewpoints. I can understand contemporary literary prose.	I can understand long and complex factual and literary texts, appreciating distinctions of style. I can understand specialised articles and longer technical instructions, even when they do not relate to my field.	I can read with ease virtually all forms of the written language, including abstract, structurally or linguistically complex texts such as manuals, specialised articles and literary works.
Speaking	 Dialogue	I can interact in a simple way provided the other person is prepared to repeat or rephrase things at a slower rate of speech and help me formulate what I'm trying to say. I can ask and answer simple questions in areas of immediate need or on very familiar topics.	I can communicate in simple and routine tasks requiring a simple and direct exchange of information on familiar topics and activities. I can handle very short social exchanges, even though I can't usually understand enough to keep the conversation going myself.	I can deal with most situations likely to arise whilst travelling in an area where the language is spoken. I can enter unprepared into conversation on topics that are familiar, of personal interest or pertinent to everyday life (e.g. family, hobbies, work, travel and current events).	I can interact with a degree of fluency and spontaneity that makes regular interaction with native speakers quite possible. I can take an active part in discussion in familiar contexts, accounting for and sustaining my views.	I can express myself fluently and spontaneously without much obvious searching for expressions. I can use language flexibly and effectively for social and professional purposes. I can formulate ideas and opinions with precision and relate my contribution skillfully to those of other speakers.	I can take part effortlessly in any conversation or discussion and have a good familiarity with idiomatic expressions and colloquialisms. I can express myself fluently and convey finer shades of meaning precisely. If I do have a problem I can backtrack and restructure around the difficulty so smoothly that other people are hardly aware of it.
	 Monologue	I can use simple phrases and sentences to describe where I live and people I know.	I can use a series of phrases and sentences to describe in simple terms my family and other people, living conditions, my educational background and my present or most recent job.	I can connect phrases in a simple way in order to describe experiences and events, my dreams, hopes and ambitions. I can briefly give reasons and explanations for opinions and plans. I can narrate a story or relate the plot of a book or film and describe my reactions.	I can present clear, detailed descriptions on a wide range of subjects related to my field of interest. I can explain a viewpoint on a topical issue giving the advantages and disadvantages of various options.	I can present clear, detailed descriptions of complex subjects integrating sub-themes, developing particular points and rounding off with an appropriate conclusion.	I can present a clear, smoothly-flowing description or argument in a style appropriate to the context and with an effective logical structure which helps the recipient to notice and remember significant points.
Writing	 Writing	I can write a short, simple postcard, for example sending holiday greetings. I can fill in forms with personal details, for example entering my name, nationality and address on a hotel registration form.	I can write short, simple notes and messages relating to matters in areas of immediate needs. I can write a very simple personal letter, for example thanking someone for something.	I can write simple connected text on topics which are familiar or of personal interest. I can write personal letters describing experiences and impressions.	I can write clear, detailed text on a wide range of subjects related to my interests. I can write an essay or report, passing on information or giving reasons in support of or against a particular point of view. I can write letters highlighting the personal significance of events and experiences.	I can express myself in clear, well-structured text, expressing points of view at some length. I can write about complex subjects in a letter, an essay or a report, underlining what I consider to be the salient issues. I can select style appropriate to the reader in mind.	I can write clear, smoothly-flowing text in an appropriate style. I can write complex letters, reports or articles which present a case with an effective logical structure which helps the recipient to notice and remember significant points. I can write summaries and reviews of professional or literary works.

**Annex 5**  
To RTU Regulations  
“On the Procedure for Election  
of Professors and Associate Professors and Evaluation of the Qualification of the Active Professors and Associate Professors”  
approved at the Senate meeting on 28 June 2021 (Minutes No 651)

**MINUTES NO** \_\_\_\_\_

**OF THE MEETING OF PROFESSORS’ COUNCIL OF  
RIGA TECHNICAL UNIVERSITY**

**IN** \_\_\_\_\_ **FIELD**

**ELECTION TO POSITION**

<b>Location, date:</b>	
<b>Members of the Council participating in the meeting:</b>	name, surname, position
<b>Total number of participating members:</b>	number
<b>Minute taker:</b>	name, surname, position
<b>The meeting of Professors’ Council is organized:</b>	On-site / remotely
<b>The meeting is opened and chaired by:</b>	name, surname, position
<b>Agenda:</b>	aim of the meeting

**Proceedings:** *When filling in the table in case several candidates compete for one position, please list the name and surname of each candidate as specified in Item 2 of the minutes!*

<p>1. The Chair of the Professors' Council _____ (name, surname, position) states that ____ (number) members of the Council out of ____ (number) invited members of the Council participate in the meeting.</p>
<p>2. The Secretary of the Professors' Council announces:          In ____ (month) ____ (year), an open competition for the vacant position of _____ (professor or associate professor) was announced at _____ (organizational unit, field, sub-field). (choose the relevant option )</p> <p>a) An application from _____ (name, surname) was received.</p> <p>b) Applications were received from</p> <ul style="list-style-type: none"> <li>• (name, surname)</li> <li>• (name, surname)</li> <li>• (name, surname)</li> </ul> <p>Candidate(s) _____ (name, surname) on _____ (date) have delivered an open lecture _____ to the Council.</p>
<p>3. Participants in the meeting ask questions to the candidate(s) _____ (name, surname).</p>
<p>4. The Chair of the Professors' Council invites the members of the Council to evaluate the compliance of the candidate's _____ (name, surname) scientific and pedagogical qualification and organizational activities with the requirements and criteria set in Cabinet Regulation No. 129 of 25 February 2021 <i>"Procedures for Evaluating the Scientific and Teaching Qualifications or Results of Artistic Creation Work of an Applicant for the Position of Professor or Associate Professor and of a Professor or Associate Professor Holding the Position"</i></p>
<p>5. The members of the Council evaluate the qualification of the candidate(s) _____ (name, surname) individually in accordance with RTU Regulations "On the Procedure for Election of Professors and Associate Professors and Evaluation of the Qualification of the Active Professors and Associate Professors" (approved at the Senate meeting on 28 June 2021, Minutes No 651), using Annex 3 hereto. Summarizing the individual assessments, the joint assessment is:</p>

6. The Secretary of the Professors' Council announces that based on the criteria set in Cabinet Regulation No. 129 of 25 February 2021 "*Procedures for Evaluating the Scientific and Teaching Qualifications or Results of Artistic Creation Work of an Applicant for the Position of Professor or Associate Professor and of a Professor or Associate Professor Holding the Position*", the assessment of the scientific and pedagogical qualification and organizational activities of \_\_\_\_\_ (name, surname of the candidate(s)) is compliant/non-compliant (underline the relevant option) with the requirements.

7. Voting results:  
In accordance with the (on-site/remote) open voting of the Council on the compliance of the scientific and pedagogical qualification and organizational activities of \_\_\_\_\_ (name, surname of the candidate(s)) for the position of \_\_\_\_\_ (professor/associate professor), it has been decided:

For (to elect) \_\_\_\_ (number), Against (not to elect) \_\_\_\_ (number), Abstain \_\_\_\_ (number)

No	Name, surname	Position	Assessment of scientific qualification	Assessment of pedagogical qualification	Assessment of organizational activities
1.			complies/does not comply	complies/does not comply	complies/does not comply
2.					
3.					

The Committee states:

a) To elect \_\_\_\_\_ (name, surname) to the position at \_\_\_\_\_ (name of the organizational unit) for \_\_\_\_\_ years as s/he has received the necessary number of votes that is more than a half from the number of the present eligible members of the Council.

b) Not to elect \_\_\_\_\_ (name, surname) to the position of \_\_\_\_\_

as s/he has not received the necessary number of votes.

Chair of the Professors' Council \_\_\_\_\_ (name, surname)  
*(signature)*

Secretary of the Professors' Council \_\_\_\_\_ (name, surname)  
*(signature)*

MINUTES NO \_\_\_\_\_  
 OF THE MEETING OF PROFESSORS' COUNCIL OF  
 RIGA TECHNICAL UNIVERSITY  
 IN \_\_\_\_\_ FIELD

**EVALUATION OF THE ACTIVE PROFESSOR/ASSOCIATE PROFESSOR**

<b>Location, date:</b>	
<b>Members of the Council participating in the meeting:</b>	name, surname, position
<b>Total number of participating members:</b>	number
<b>Minute taker:</b>	name, surname, position
<b>The meeting of Professors' Council is organized:</b>	On-site / remotely
<b>The meeting is opened and chaired by:</b>	name, surname, position
<b>Agenda:</b>	aim of the meeting

**Proceedings:** *When filling in the table in case several professors/associate professors are evaluated, please list the name and surname of each candidate as specified in Item 4 of the minutes!*

<p>1. The Chair of the Professors' Council _____ (name, surname, position) states that ____ (number) members of the Council out of ____ (number) invited members of the Council participate in the meeting.</p>
<p>2. _____ (active professor/associate professor – name, surname) on _____ (date) delivered an open lecture to the Council, if conducted.</p>
<p>3. Participants in the meeting ask questions to the active professor/associate professor _____ (name, surname).</p>
<p>4. The Chair of the Professors' Council invites the members of the Council to evaluate the compliance of scientific and pedagogical qualification and organizational activities of (select the relevant option)</p> <p>a) active professor/associate professor _____ (name, surname)</p> <p>b) active professors/associate professors:</p> <ul style="list-style-type: none"> <li>• (name, surname)</li> <li>• (name, surname)</li> <li>• (name, surname)</li> </ul> <p>with the requirements and criteria set in Cabinet Regulation No. 129 of 25 February 2021 <i>“Procedures for Evaluating the Scientific and Teaching Qualifications or Results of Artistic Creation Work of an Applicant for the Position of Professor or Associate Professor and of a Professor or Associate Professor Holding the Position”</i></p>
<p>5. The members of the Council evaluate the qualification of the active professor/associate professor _____ (name, surname) individually in accordance with RTU Regulations <i>“On the Procedure for Election of Professors and Associate Professors and Evaluation of the Qualification of the Active Professors and Associate Professors”</i> (approved at the Senate meeting on 28 June 2021, Minutes No 651), using Annex 3 hereto. Summarizing the individual assessments, the joint assessment is:</p>



No	Name, surname	Position	Assessment of scientific qualification	Assessment of pedagogical qualification	Assessment of organizational activities
1.			complies/does not comply	complies/does not comply	complies/does not comply
2.					
3.					
<p>6. The Secretary of the Professors' Council announces that based on the criteria set in Cabinet Regulation No. 129 of 25 February 2021 <i>"Procedures for Evaluating the Scientific and Teaching Qualifications or Results of Artistic Creation Work of an Applicant for the Position of Professor or Associate Professor and of a Professor or Associate Professor Holding the Position"</i>, the assessment of the scientific and pedagogical qualification and organizational activities of _____ (name, surname of the active professor/associate professor) is compliant/non-compliant (<u>underline the relevant option</u>) with the requirements.</p>					
<p>7. Voting results:  In accordance with the (on-site/remote) open voting of the Council on the compliance of the scientific and pedagogical qualification and organizational activities of _____ (name, surname of the active professor/associate professor) for the position of _____ (professor/associate professor), it has been decided:</p> <p>For (to reinstate in the position) ____ (number), Against (not to reinstate in the position) ____ (number), Abstain ____ (number)</p>					

The Committee states:

a) To reinstate \_\_\_\_\_ (name, surname) in the position of \_\_\_\_\_ at \_\_\_\_\_ (name of the organizational unit) for \_\_\_\_\_ years as s/he has received the necessary number of votes that is more than a half from the number of the present eligible members of the Council.

b) Not to reinstate \_\_\_\_\_ (name, surname) in the position of \_\_\_\_\_ as s/he has not received the necessary number of votes.

Chair of the Professors' Council \_\_\_\_\_ (name, surname)  
(signature)

Secretary of the Professors' Council \_\_\_\_\_ (name, surname)  
(signature)

**Annex 6**  
To RTU Regulations  
“On the Procedure for Election  
of Professors and Associate Professors and Evaluation of the Qualification of the Active Professors and Associate Professors”  
approved at the Senate meeting on 28 June 2021 (Minutes No 651)

**Criteria for publishing scientific monographs and collective monographs**

Drawn up pursuant to Decision No 32-3-1 of the Latvian Council of Science

1. A scientific monograph is a scientific book written by one or more authors published in a separate volume, dedicated to one scientific issue/problem, reviewed and internationally available at scientific information storage systems, containing a bibliography of research sources. A scientific monograph reflects the results of fundamental and applied research obtained as the result of the application of scientific methods recognized in the relevant area and containing elements of theoretical or practical novelty. The volume of a scientific monograph significantly exceeds the volume of a scientific article.
2. A collective monograph (book) is a collection of articles by a collective of authors dedicated to one scientific issue/problem, containing names of the authors, and the entire publication has one or two scientific editors, as well as a uniting analytical introductory note, which, regardless of the language of the collective monograph (book), is also available in a foreign language. Scientific editor/scientific editors of the collective monograph are considered to be its author(s).
3. A scientific monograph, collective monograph, or collection of articles (hereinafter jointly referred to as a monograph) published by a Latvian or a foreign publishing house shall meet the following criteria
  - 3.1. the decision on the publication of the monograph by a Latvian publishing house is taken by the Scientific Council of the institution represented by the author/authors and such decision is evidenced by the relevant acknowledgment issued thereby;
  - 3.2. the monograph published in Latvian contains a summary in a foreign language;
  - 3.3. the monograph has been reviewed by at least two independent reviewers, one of which, advisably, is a foreign reviewer;
  - 3.4. the reviewers of the monograph do not represent the place of employment of the author/authors of the scientific monograph;
  - 3.5. the names of the reviewers of the monograph are listed on the credentials page of the scientific monograph (normally on the inner side of the title page)
  - 3.6. the summary of the monograph is published in the scientific publications data base of the Latvian Council of Science.

**Annex 7**  
To RTU Regulations  
“On the Procedure for Election  
of Professors and Associate Professors and Evaluation of the Qualification of the Active Professors and Associate Professors”  
approved at the Senate meeting on 31 May 2021 (Minutes No 650)

In accordance with the Annex to Cabinet Regulation No 129  
Of 25 February 2021

**Scientific Publications, Scientific Monographs and the Minimum Number Thereof of an Applicant for the Position of Professor or Associate Professor and of a Professor or Associate Professor Holding the Position**

\*Compliance to the Hirsch index may be assessed in an unlimited period of time (excluding self-reference) under condition that at least one of the mentioned publications has been published in the last six years.

Fields of research*	Criteria of scientific publications and scientific monographs for evaluating the scientific qualification	Applicant for the position of professor or professor holding the position		Applicant for the position of associate professor or associate professor holding the position	
		number of scientific publications	h-index	number of scientific publications	h-index*
1. Natural sciences; 1.1. mathematics; 1.2. computer science and informatics; 1.3. physics and astronomy; 1.4. chemistry; 1.5. earth sciences; physical geography and environmental sciences; 1.6. biology; 1.7. other natural sciences	Anonymously reviewed scientific publication in a scientific journal or a conference proceeding indexed in <i>SCOPUS</i> or <i>Web of Science Core Collection</i>	5	3	4	2
	or				
	reviewed scientific monograph and anonymously reviewed scientific publication in a scientific journal or	1	–	1 or submitted for publication	–
		3	3	2	2

	conference proceedings indexed in <i>SCOPUS</i> or <i>Web of Science Core Collection</i>				
2. Engineering and technology sciences: 2.1. construction and transport engineering; 2.2. electrical engineering, electronics, information and communication technologies; 2.3. mechanical engineering and mechanics; 2.4. chemical engineering; 2.5. materials science; 2.6. medical engineering; 2.7. environmental engineering and energetics; 2.8. environmental biotechnology; 2.9. industrial biotechnology; 2.10. nanotechnology; 2.11. other engineering sciences and technologies, including food and beverage technologies	Anonymously reviewed scientific publication in a scientific journal or a conference proceeding indexed in <i>SCOPUS</i> or <i>Web of Science Core Collection</i>	5	3	4	2
	or				
	reviewed scientific monograph and anonymously reviewed scientific publication in a scientific journal or conference proceedings indexed in <i>SCOPUS</i> or <i>Web of Science Core Collection</i>	1	–	1 or submitted for publication	–
		3	3	4	2
3. Social sciences: 3.1. psychology; 3.2. economics and entrepreneurship; 3.3. education sciences; 3.4. sociology and social work; 3.5. law; 3.6. political science; 3.7. social and economic geography; 3.8. mass media and communication; 3.9. other social sciences, including interdisciplinary social sciences and military science	Anonymously reviewed scientific publication in a scientific journal or a conference proceeding indexed in <i>SCOPUS</i> or <i>Web of Science Core Collection</i> or included in <i>ERIH+</i> database	4	1	3	1
	or				
	reviewed scientific monograph and anonymously reviewed scientific publication in a scientific journal or conference proceedings indexed in <i>SCOPUS</i> or <i>Web of Science Core Collection</i> or included in <i>ERIH+</i> database	1	–	1 or submitted for publication	–
		2	1	1	–
4. Humanities and arts:	Anonymously reviewed scientific	3	–	2	–

4.1. history and archaeology; 4.2. linguistics and literature; 4.3. philosophy, ethics and religion; 4.4. music, visual arts and architecture; 4.5. other humanities and arts, including creative industries	publication in a scientific journal or a conference proceeding indexed in <i>SCOPUS</i> or <i>Web of Science Core Collection</i> or included in <i>ERIH+</i> database				
	or				
	reviewed scientific monograph	1	–	1 or submitted for publication	–