



The higher educational institution "Alfred Nobel University"

Quality Management System

APPROVED BY:

BORYS KHOLOD _____ PRESIDENT

20 December 2018

REGULATION on the Certification of Academic Staff II-622-001

APPROVED BY:

THE DECISION OF THE ACADEMIC COUNCIL

Minutes No. 9 of «20» December 2018

Dnipro City, 2018

Alfred Nobel University	Code Π-622-001	Page 2
Regulation on the certification of academic staff		Version 2

List of signatories

Issuing subdivision: Department of Personnel Development and Electronic Document Management

	Title	Full name	Signature	Date
Developed by	Head of the Department of Personnel Development and Electronic Document Management	O. Ruban		19.12.2018

The document is agreed by:

Title	Full name	Signature	Date
Vice Rector for Quality Assurance in Higher Education	I. Shkura		19.12.2018
Head of Quality Management Center	S. Vakarchuk		19.12.2018
Legal Adviser	Y. Smohol		19.12.2018

This document replaces the Regulation on the certification of academic staff Π622-001 approved by the decision of the Academic Council of 18 March 2010.

The document is to be revised: every 3 years

Brought up to date				
	20...	20...	20...	20...
Date				
Signature				
Full name				

Alfred Nobel University	Code II-622-001	Page 3
Regulation on the certification of academic staff		Version 2

1. Purpose and scope

The Regulation on the certification of academic staff (hereinafter referred to as the Regulation) is the basic normative document regulating activity of the Certification Board, its structure, key functions, objectives and rights.

The Certification Board (hereinafter referred to as the CB) is governed by this Regulation when performing the CB's activities.

The Regulation is not a confidential document within the University.

2. Normative documents regulating the certification

The Regulation on the certification has been developed in compliance with the requirements of:

- 2.1. Higher Education Act of Ukraine No. 1556-VII of 1 July 2014;
- 2.2. Act of Ukraine "On Research and Scientific and Technical Activities" of 26 November 2015 No. 848- VIII;
- 2.3. The Regulation on the certification of researchers, which is approved by the resolution of the Cabinet of Ministers of Ukraine No. 1475 of 13 August 1999 (version of 21 August 2014).

3. Definitions and abbreviations

The University – Alfred Nobel University.

CB – Certification Board.

Chairman of the CB – the chairman of the Certification Board.

Members of the CB – the members of the Certification Board.

AC – academic activities.

ASM – academic staff members.

DPDEDM – Department of Personnel Development and Electronic Document Management.

4. Responsibilities

4.1. Chairman of the CB:

- organizes activity on creating proper conditions for the certification, explains to ASM the purpose and objectives of the certification, bears responsibility for positive climate during the certification.

The Chairman of the Certification Board is obliged:

- to distribute functional duties among the CB's members and monitor the fulfillment of these duties;
- to take part in the preparation and holding of the CB's meetings;
- to approve the schedule of open classes, the CB's meetings, etc.

4.2. Deputy Chairmen of the Certification Board are obliged:

- to draw up a plan for preparation and conduction of the certification;
- to track the implementation of a schedule of the CB's meetings;
- to control document correctness;
- to prepare the schedule of open classes, the CB's meetings, etc.;

Alfred Nobel University	Code Π-622-001	Page 4
Regulation on the certification of academic staff		Version 2

The Deputy Chairmen of the Certification Board perform the duties of the CB's Chairman in case of his/her absence.

4.3. The CB's secretary bears responsibility for the organization and technical support in preparation and conduction of the certification.

The secretary is obliged:

- to conduct outreach activities on filling in documents;
- to receive and register applications of academic staff members who undergo certification;
- to bear responsibility for formalization of:
 - registration log for applications of academic staff members (Appendix A),
 - certification sheets (Appendix B),
 - minutes of the meetings of certification boards (Appendix B),
 - orders on conducting certification (Appendix Γ);
- to draw up schedules of the CB's meetings;
- to draw up schedules of the certification of ASM;
- to invite the CB's members on the CB's meetings;
- to control the formalization of documents;
- to collect materials on certification;
- to make academic staff members (who are to be certified) aware of the Regulation;
- to inform in due time the employees, who undergo certification, on amendments and supplements to the Regulation;
- to prepare draft orders;
- to prepare draft meetings of the CB's meetings;
- to prepare cases for archive after completing the certification.

4.4. The CB membership requirements:

- higher education;
- teaching and research experience not less than 5 years;
- knowledge of legislative and regulatory framework of the certification;
- orientation in the issues of development of education system;
- mastery of the forms and methods of gaining, analyzing and generalizing information.

5. General provisions

5.1. Certification of academic staff members is a system of measures aimed at comprehensive assessment of their pedagogical activities, which determines the compliance of an academic staff member with the position and the level of his/her qualification.

5.2. The certification of academic staff members is held according to the Higher Education Act of Ukraine in order to assess the professional level of an academic staff member, efficiency of his/her activity, taking into account specific requirements for this category of employees, to identify the prospects for the use of the employee's abilities, to determine measures for motivating the employee to improve his/her professional level and to undergo his/her professional development.

5.3. If the qualification requirement for holding a specific position is the availability of an academic degree or academic rank, the documents certifying the award of an academic degree or

Alfred Nobel University	Code II-622-001	Page 5
Regulation on the certification of academic staff		Version 2

academic rank are diplomas of awarding PhD and Doctor of Science degrees, as well as certificates of professor, associate professor and senior researcher, which are recognized in Ukraine according to the legislation.

5.4. The main principles of certification are openness and collegiality, humane and friendly attitude to an academic staff member, completeness, fairness and consistency in the assessment of his/her pedagogical activity.

6. Purpose and objectives of the certification

The main purpose:

- to intensify creativeness and professional activity;
- to encourage purposeful continuous improvement of the level of professional competence of academic staff members;
- to ensure efficient educational process;
- to increase responsibility for students' learning outcomes.

The main objectives:

- to encourage further training of teachers by assessing their knowledge in courses which they teach, as well as area of academic activities and teaching methods;
- to improve the prestige and standing of academic staff members;
- to improve professional skills of academic staff members;
- to develop creative initiative of academic staff members.

7. Academic staff members who are to be certified

7.1. **The certification is designed for** employees whose positions are included in the list of positions of academic staff members of enterprises, institutions, organizations, higher educational institutions of III-IV levels of accreditation, holding of which gives the right for pension and cash benefits in case of retirement according to the clause 24 of the Act of Ukraine "On Research and Scientific and Technical Activities" approved by the resolution of the Cabinet of Ministers of Ukraine No. 257 of 4 March 2004, namely:

- rector; vice rectors who perform teaching and research activities;
- director of branch, deputy directors of branch, who perform teaching and research activities;
- head of department; professor; associate professor; senior lecturer; teacher;
- senior (junior) researcher;
- director of library;
- academic secretary of university.

7.2. The existing members (academicians) and corresponding members of the National Academy of Sciences, Ukrainian Academy of Agrarian Sciences, Academy of Medical Sciences, Academy of Educational Sciences, Academy of Legal Sciences, Academy of Arts, as well as persons holding positions of academic staff members subject to the conditions of civil law agreement or on a part-time basis **are not to be certified**.

7.3. Researchers, who are appointed to positions by institutions or organizations of higher level, are not to be certified as well.

7.4. Women who are on maternity leave and care for a child up to the age of 3 years.

7.5. Employees who have been in office for less than one year.

Alfred Nobel University	Code Π-622-001	Page 6
Regulation on the certification of academic staff		Version 2

8. Certification types and periodicity

The certification of academic staff member is divided into **regular and unscheduled**.

8.1. **The regular certification** of academic staff members is held every five years according to the schedule (Appendix Д) which is drawn up by the head of DPDEDM and signed by the chairmen of the CB at the beginning of each new academic year.

8.2. The timeframes and schedule of the regular certification of employees are approved by the order of the University's President. The head of the DPDEDM should inform an academic staff member, who is to be certified, on the date of certification not later than one month before the given date. After being informed on the date of certification, the academic staff member confirms his/her awareness of this date by his/her personal signature.

8.3. Women, who are on maternity leave and care for a child up to the age of 3 years, undergo certification not earlier than one year after turning up to work.

8.4. **The unscheduled certification** of academic staff members is held not earlier than two years after the previous certification.

The unscheduled certification may not be assigned to women, who are on maternity leave and care for a child up to the age of 3 years.

8.5. If on the initiative of the University's administration the regular certification of an academic staff member is not held within the prescribed timeframe, it may not be a ground for termination or change in the conditions of the contract concluded with him/her.

8.6. If the activity of an academic staff member reveals signs of insufficient qualification, which are recorded in the formal note of non-fulfillment of work, staff report on mistakes or other document, the University's President may assign unscheduled certification to such an academic staff member, but not earlier than two years after passing the latest certification, appointment or election for the position on a competitive basis.

9. Certification order

9.1. Certification of researchers is conducted on an individual basis.

9.2. To organize and conduct certification of ASM, the head of the DPDEDM prepares and the President signs the order (Appendix Є) on the establishment of the CB consisting of chairman, one deputy chairman or several deputy chairmen, CB's secretary and members.

9.3. The University's President is the Chairman of the CB and the University's rector and vice rectors are deputy chairmen. The CB includes highly qualified academic staff members: vice rectors, heads of the University's departments, Head of the Didactics Department, Head of the Department of Personnel Development and Electronic Document Management and Head of the University's Trade Union Committee. According to the decision of the CB, additional experts in the relevant field of the certification, which an academic staff member undergoes, may be involved.

9.4. The academic staff member, who is to be certified, fills in the application (Appendix K), he/she has a letter of recommendation (Appendix E) drawn up and signed by his/her immediate supervisor – head of the department and approved at the department's meeting. The heads of departments have letters of recommendation drawn up and signed by the Vice Rector for Quality Assurance in Higher Education. The academic staff member makes a list of his/her academic papers, which is signed by him/her and academic secretary.

9.5. The academic staff member, who is to be certified, holds an open class and delivers a report at the department's meeting.

Alfred Nobel University	Code II-622-001	Page 7
Regulation on the certification of academic staff		Version 2

9.6. The department hears the academic staff member's report on his/her work and discusses the results of the open class. After discussion, the department makes a decision on job relevance and submission of documents to the CB.

The decision is approved by the minutes and accompanied by a full set of documents and is submitted to the Department of Personnel Development and Electronic Document Management.

9.7. The letter of recommendation (with the academic staff member's signature acknowledgement) and the list of academic papers (Appendix I) accompanied by the decision of the department's meeting is submitted to the CB not later than two weeks before the date of certification.

9.8. Based on the materials received, the CB decides on the certification procedure for the academic staff member:

- in the presence of the academic staff member;
- without the presence of the academic staff member according to the decision of the department's meeting.

9.9. If the CB decides to certify the academic staff member in his/her presence:

- the CB hears the academic staff member's report on his/her work and considers the required materials in the presence the head of the department and the academic staff member to be certified.

9.10. If the CB decides to certify the academic staff member without his/her presence:

- the CB considers the required materials and studies the decision of the department's meeting in the presence of the head of the department where the academic staff member works.

9.11. If the academic staff member does not appear to the certification for good reason (has a document confirming the reason for absence), the CB has the right to hold the certification in his/her absence.

9.12. The CB makes a decision by open or secret ballot in the absence of the academic staff member who undergoes the certification. If it is necessary to hold secret ballot, the CB elects among its members a counting board by open ballot.

9.13. The CB's session is considered legally recognized, when not less than 2/3 of its members take part in it.

9.14. The CB's decision is made in respect of each academic staff member, who is certified, by a simple majority of votes of the CB's members. If the votes are distributed equally, the decision is made in favor of the academic staff member who is certified.

9.15. Based on the academic staff member's letter of recommendation, his/her report, other submitted materials and messages and their discussion, the CB makes one of the following decisions:

- the academic staff member is relevant for his/her position;
- the academic staff member is not relevant for his/her position;
- the academic staff member is relevant for his/her position if he/she performs the actions specified by the CB.

9.16. If secret ballot is conducted, a ballot paper (Appendix Ж) for secret ballot should include the full name, name of the title of the person undergoing the certification, as well as both assessments of the academic staff member's activity. If during the secret ballot none of the assessments of the academic staff member's activity is crossed out in the ballot paper or both assessments are crossed out, the ballot paper is considered to be valid and is credited in favor of

Alfred Nobel University	Code II-622-001	Page 8
Regulation on the certification of academic staff		Version 2

the academic staff member who is certified. Based on the results of the secret ballot, the minutes of the counting board is drawn up (Appendix 3) and approved by open ballot. The minutes should include the full name, name of the title of the person undergoing certification, the results of the ballot, the counting board's conclusion and composition, as well as should be signed by the counting board's members.

9.17. The CB may also adopt recommendations on the encouragement of the academic staff member in the amount of the official salary, appointment of unscheduled certification, etc.

The ballot results are communicated to the academic staff member immediately after the ballot.

9.18. The CB's decision (Appendix JI) should include the full name, year of birth of the person undergoing certification, information on his/her education, specialty and qualification, general labor experience, job title, assessment of activity based on the ballot results and the CB's recommendations. The decision is signed by the chairman, secretary and all members of the CB.

9.19. The CB's decision accompanied by other certification materials is submitted by the head of the DPDEDM to the University's Academic Council for approval within a week.

9.20. The CB's decision should be approved by the University's Academic Council not later than one month from the date of submission of this decision.

9.21. After approval of the CB's decision by the University's Academic Council, the head of the DPDEDM prepares the order (Appendix H) on the CB's results within a week. The order is communicated to the academic staff member, followed by the academic staff member's signature acknowledgement, within three days and is submitted to the accounting department for payroll calculation.

9.22 If the academic staff member is considered to be not relevant for his/her position according to the results of certification, the University's President has the right to transfer the given member (subject to the member's consent) to another job that meets his/her qualification within two months from the date of approval of the certification results by the Academic Council. If the academic staff member does not agree to the transfer to another job or if he/she cannot be transferred, the contract with him/her may be terminated within the same period according to the legislation.

9.23. The time of the academic staff member's illness or vacation up to two months is not included.

9.24. After expiration of the specified period, the academic staff member may not be fired or transferred to another job according to the certification results.

9.25. After completion of the certification, the individual's record files of the ASM are archived at the end of the calendar year.

10. Powers of the CB

10.1. The CB summarizes the results of studying professional activity, improving professional competence and general culture of the academic staff member, who is certified, ensures unbiased expert assessments, adhering to the basic principles of certification of ASM.

11. Procedure for consideration of disputes on the certification of ASM

11.1. The decision on the certification results may be appealed by the academic staff member to the University's President or organization of higher level within one month from the date of decision, which does not suspend the implementation of the decision.

Alfred Nobel University	Code Π-622-001	Page 9
Regulation on the certification of academic staff		Version 2

12.2. The President or organization of higher level has the right, on the basis of an appeal or on his/her/its own initiative, to submit the academic staff member's certification case for repeated consideration.

13.3. The President's decision to terminate the contract with the academic staff member on the basis of the certification results may be appealed according to the legislation on the procedure for reviewing individual labor disputes.

Alfred Nobel University	Code Π-622-001	Page 11
Regulation on the certification of academic staff		Version 2

Appendix B

CERTIFICATION SHEET

I. General data

Full name _____

 Year of birth _____

 Position held _____
 Education, name of the educational institution _____
 and year of graduation _____
 Academic qualification _____
 Academic degree, academic rank _____
 General labor experience _____ , in particular at the position of _____
 Date and results of the previous certification _____

II. Results of the certification

Based on the results of ballot of the certification board:

Relevant for the position held: _____ for _____ against _____
 Relevant for the position held if: _____
 _____ for _____ against _____

 (please, specify)
 Not relevant for the position held: _____ for _____ against _____

Decision of the certification board: _____

Recommendations of the certification board: _____

	for _____ against _____	
Chairman of the Certification Board	_____	_____
Deputy Chairmen of the Certification Board	_____	_____
	_____	_____
Secretary	_____	_____
Members of the certification board	_____	_____
	_____	_____

Alfred Nobel University	Code П-622-001	Page 14
Regulation on the certification of academic staff		Version 2

Appendix Д



Alfred Nobel University

APPROVED BY

BORYS KHOLOD _____ PRESIDENT

« _____ » _____

**Schedule of the certification
of academic staff members in _____ - _____ academic year**

Sl. No.	Full name of the academic staff member	Structural subdivision	Position, academic rank	Signature

**Head of the Department of Personnel Development
and Electronic Document Management**

O. Ruban

Alfred Nobel University	Code П-622-001	Page 15
Regulation on the certification of academic staff		Version 2

Appendix €

ORDER

No. _____ - A of _____

Dnipro City

On the establishment of the certification board

According to the requirements of the Acts of Ukraine “On higher education”, “On Research and Scientific and Technical Activities”, based on the Regulation on the certification of researchers, which is approved by the resolution of the Cabinet of Ministers of Ukraine No. 1475 of 13 August 1999 and the Regulation on the certification of academic staff of Alfred Nobel University, **I HEREBY ORDER:**

1. To establish the certification board consisting of:

Chairman of the Certification Board:

- **Borys Kholod** – the University’s President, Doctor of Economics, Full Professor.

Deputy Chairman of the Certification Board

Secretary of the Certification Board:

- **Oksana Ruban** – Head of the Department of Personnel Development and Electronic Document Management.

2. The certification board to hold certification of academic staff members of the University and its branches.

3. The Head of the Department of Personnel Development and Electronic Document Management O. Ruban to draw up a list of academic staff members, who, according to the plan, undergo certification in _____ - _____ academic year.

4. I reserve the right to control the implementation of this order for myself.

PRESIDENT

Agreed by:

B. KHOLOD

Prepared by:
O. Ruban

Read and understood by:

Alfred Nobel University	Code Π-622-001	Page 16
Regulation on the certification of academic staff		Version 2

Appendix E

LETTER OF RECOMMENDATION

for _____
(full name; position)

_____ born in 19_____, education _____

in _____ he/she graduated from _____

(name of the educational institution)

in the specialty _____
(specialty specified in the diploma)

after graduating from the educational institution, he/she worked as _____

(please, specify positions, enterprises, institutions, organizations)

From _____ works at _____
(date) (name of the enterprise)

_____ at the position of (or positions of, please, specify)

The letter of recommendation a detailed assessment of:

- professional knowledge;
- skills;
- experience and results of work;
- abilities;
- fulfillment of job duties and internal regulations;
- competence, operational efficiency in making decisions and the ability to monitor their implementation;
- socio-psychological characteristics, etc..

Head of Department _____

Read and understood by

signature of the academic staff member who is to be certified
« _____ »

Alfred Nobel University	Code Π-622-001	Page 17
Regulation on the certification of academic staff		Version 2

Appendix Ж

BALLOT PAPER for secret ballot on the certification of ASM

The certification board of Alfred Nobel University
Meeting «__» _____

Full name	Position to be elected for	Results of balloting
		FOR AGAINST <i>*(strike out whatever is not applicable)</i>

Alfred Nobel University	Code Π-622-001	Page 18
Regulation on the certification of academic staff		Version 2

Appendix 3

MINUTES
of the counting board's meeting
regarding the results of the secret ballot on the certification of ASM

Elected by the certification board of Alfred Nobel University at the meeting
 _____ (*date*). The counting board consists of:

(full names of the members of the counting board)

The meeting was attended by _____ of _____ members of the certification board.
 The certification board was approved on « _____ » _____, order No. _____

_____ has undergone the certification for the position

Ballot papers distributed: _____. The number of ballots in the ballot box: _____

Results of balloting:

“For”	_____
“Against”	_____
“The number of Invalid ballot papers”	_____

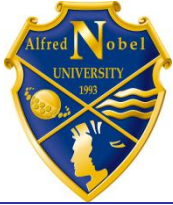
Members of the counting board:

_____	_____
_____	_____
_____	_____
(signatures)	(full name)

I AUTHENTICATE the signatures of the members of the counting board:
 Head of the DPDEDM

Alfred Nobel University	Code Π-622-001	Page 21
Regulation on the certification of academic staff		Version 2

Appendix K



Alfred Nobel University

**To the Chairman of the Certification Board of
Alfred Nobel University
Borys Kholod**

Full name _____

Academic degree _____

Academic rank _____

Department _____

APPLICATION

I request to certify me in 20____ - 20____ academic year to confirm my position

Courses of professional development:

1. _____ in _____ ;
2. _____ in _____ ;
3. _____ in _____ .

The work experience is _____ Previous certification in _____.

I have read and understood the regulation on the certification of academic staff.

" ____ " _____ 20____ _____
 date of completion personal signature

Agreed by:

Vice Rector for Quality Assurance in Higher Education _____

Vice Rector for Research _____

Vice Rector for International Affairs _____

Head of Department _____

Alfred Nobel University	Code П-622-001	Page 22
Regulation on the certification of academic staff		Version 2

Appendix JI

ORDER

No. _____ of _____ 20__

Dnipro City

On the organization and holding of certification of academic staff members in _____ academic year

According to the requirements of the Acts of Ukraine “On higher education”, “On Research and Scientific and Technical Activities”, based on the Regulation on the certification of researchers, which is approved by the resolution of the Cabinet of Ministers of Ukraine No. 1475 of 13 August 1999, based on the Regulation on the certification of academic staff of Alfred Nobel University and based on the decision of the certification board (minutes No. ____ of _____), **I HEREBY ORDER:**

1. To hold certification of the University’s academic staff members in _____ academic year, namely:

- 1.
2. List of the teachers who are to be certified
- 3.
4. Grounds: personal application for the regular certification of « ____ » _____ 20__

2. To approve the action plan and schedule of certification.

3. Deputy chairmen of the certification board to ensure the proper control over the certification in order to prevent legalism in the assessment of the academic staff members’ activities.

4. I reserve the right to control the implementation of this order for myself.

PRESIDENT

Agreed by:

BORYS KHOLOD

Prepared by:
O. Ruban
Read and understood by:

Alfred Nobel University	Code Π-622-001	Page 23
Regulation on the certification of academic staff		Version 2

Appendix M

MINUTES No. 1 of the certification board's meeting of _____

Chairman – B. Kholod

Deputy Chairmen – _____

Secretary - O. Ruban

Members of the certification board: _____

Agenda:

1. Certification

**2. Questions to the academic
staff member and his/her
answers**

3. Remarks and proposals made by the members of the certification board:

1. _____

2. _____ « _____ ».

3. _____

Be it hereby resolved that:

1. The results of the assessment of professional qualification and business ability of the ASM:

Relevant for the position held: _____ votes;

Not relevant for the position held: _____ votes.

Relevant for the position held if: _____ votes.

According to the certification results: to approve for the position _____
with remarks. To hold re-certification in a year. To take into account the remarks and draw
conclusions. To improve qualification. To provide publications in journals.

Chairman of the Certification Board _____ **B. Kholod**

Deputy Chairman of the Certification Board _____

Secretary _____ **O. Ruban**

Alfred Nobel University	Code П-622-001	Page 24
Regulation on the certification of academic staff		Version 2

Appendix H

ORDER

No. _____ of _____ 20____

Dnipro City

**On the results of the certification
of the academic staff members
in _____ academic year**

According to the requirements of the Acts of Ukraine “On higher education”, “On Research and Scientific and Technical Activities”, based on the Regulation on the certification of researchers, which is approved by the resolution of the Cabinet of Ministers of Ukraine No. 1475 of 13 August 1999, based on the Regulation on the certification of academic staff of Alfred Nobel University and based on the decision of the certification board (minutes No. _____ of _____), **I HEREBY ORDER:**

1. To confirm the compliance of the following academic staff members with their positions:

-.
-.
-

List of the teachers who are to be certified

2 I reserve the right to control the implementation of this order for myself.

PRESIDENT

Agreed by:

BORYS KHOLOD

Prepared by:

O. Ruban

Read and understood by:

