

# UniReport



Goethe-Universität | Frankfurt am Main

Satzungen und Ordnungen

## Habilitation<sup>1</sup> Regulation of the Mathematical-Natural Sciences Faculties of Goethe University Frankfurt

Approved by way of resolution of the Executive Board of Goethe University Frankfurt on 11 October 2016

### Section 1 Basic provisions

- (1) On the basis of a habilitation process, the habilitation is awarded by those faculties of Goethe University Frankfurt subject to this regulation, namely

#### By the faculty of

**Psychology and  
Sports Sciences (05)**

**Geosciences/  
Geography (11)**

**Computer Science and Mathematics(12)**

**Physics (13)**

**Biochemistry, Chemistry, and  
Pharmacy (14)**

#### In the subjects

psychology  
sports sciences

didactics of geography  
geochemistry  
geography  
geology  
geophysics  
meteorology  
mineralogy  
paleontology  
physical geography  
environmental sciences

bioinformatics  
didactics of mathematics  
computer science  
mathematics  
neuroinformatics

biophysics  
didactics of physics  
physics  
theoretical physics

analytical chemistry  
inorganic chemistry  
biochemistry  
biophysical chemistry  
chemistry  
didactics of chemistry  
clinical pharmacy  
food chemistry  
organic chemistry

<sup>1</sup> Translator's note: The German *Habilitation* is the formal recognition (process) of a qualified candidate's entitlement to teach (*venia legendi*) and conduct research in his/her chosen field.

pharmacology and toxicology  
pharmaceutical biology  
pharmaceutical chemistry  
pharmaceutical technology  
physical chemistry  
theoretical chemistry

### **Biological Sciences (15)**

botany  
didactics of biology  
evolutionary biology  
genetics  
microbiology  
molecular biology  
neurobiology  
ecology  
parasitology  
plant physiology  
cell biology  
zoology

The responsible Extended Faculty Council as per Section 4(2) is entitled in individual cases to allow deviations from this list of subjects.

- (2) The habilitation is proof that the person is qualified to conduct independent academic research and teaching in the chosen subject.
- (3) Such proof is furnished through the required habilitation achievements (*Habilitationsleistungen*). These comprise the written habilitation treatises (Section 2 No. 4) and the so-called habilitation colloquium (Section 8).
- (4) Upon application after completion of the habilitation process, the faculty awards the candidate the title 'Privatdozent'<sup>2</sup> (Section 13), which entitles and obligates the person to teach (Section 25(2) of the Hessian Higher Education Act (HHG)).
- (5) The faculty may, after completion of the habilitation process, award the person the title 'Dr. phil. nat. habil.' or 'Dr. rer. nat. habil.' These habilitated professors [i.e. associate/junior professors] are thereby entitled to add 'habilitata' or 'habilitatus' (abbreviated: 'habil.') to their respective doctoral titles.
- (6) The councils of the faculties involved may enact directives to this regulation.

### **Section 2 Requirements for admission to habilitation**

The requirements for admission to habilitation are

1. a doctorate from a German university or a comparable foreign degree;
2. academic work experience in the applied for habilitation subject, as a rule for a period of at least two years after conferral of the doctorate; the results of this work should have already been presented to the general academic community;
3. teaching experience of at least one year at an academic university in the applied for habilitation subject (e.g. teaching one's own courses and overseeing final papers/exams). This requirement may only be deviated from if it is justified in the exceptional case;
4. written habilitation treatises:
  - a) The written habilitation treatises must fall within the subject for which the habilitation is being sought. They should go significantly beyond the requirements of a dissertation in the chosen subject and as a rule should deal with a different topic than the person's own dissertation.
  - b) Written habilitation treatises can take the form of:
    - a habilitation thesis or
    - a selection of publications (including ready-for-publication manuscripts) thematically connected to each other (cumulative procedure). In the latter case, a summarized discussion of these publications must also be presented under a common topic (habilitation topic).

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<sup>2</sup> Translator's note: The German title *Privatdozent* is awarded by the faculty after successful completion of the *Habilitation* and entitles the person to teach.

The habilitation thesis, including the summarized discussion, must be written in German or English. It is also strongly advised that proof of university-level didactical skills be provided.

### **Section 3 Application for admission to habilitation and withdrawal of the application**

- (1) The application for admission must be made in writing to the dean of the responsible faculty and must state the desired habilitation subject.
- (2) The following must be submitted with the admission application:
  - a) transcripts of examinations taken;
  - b) the diploma pursuant to Section 2 No. 1 and the dissertation;
  - c) a certificate of conduct (*Führungszeugnis*) not older than three months from the public authorities with jurisdiction in the applicant's last place of residence;
  - d) a curriculum vitae containing information particularly about the person's academic education and work after completing the doctorate;
  - e) a complete list of publications, which must be included with the academic publications;
  - f) a declaration of teaching and lecturing activities;
  - g) three official copies of the work/s referred to in Section 2 No. 4;
  - h) a declaration that the submitted habilitation achievements were carried out independently; for work carried out in a group, the applicant's personal contribution must be indicated;
  - i) a declaration of whether and with which result a habilitation was applied for in another faculty or at another university;
  - j) a declaration of compliance with the principles of academic integrity.
- (3) If there is good reason to do so, the dean is entitled to grant a deadline for submitting any missing documents or to allow proof to be furnished in another way.
- (4) An application may only be withdrawn as long as the process has not been declared as ended through the rejection of a habilitation achievement.

### **Section 4 Responsibility and procedures for decisions**

- (1) All professors and habilitated professors working full-time in the faculty must be invited to deliberate on habilitation matters in the Faculty Council. Other professors and habilitated professors of the faculty and representatives of faculties with related subjects or of adjacent faculties may also be invited. All members of the Faculty Council and all those invited who have announced their participation in a timely manner must be given access to the documents related to the agenda item.
- (2) For decisions on habilitation matters, the following are entitled to vote:
  - a) the professorial and habilitated members of the Faculty Council unless someone is excluded pursuant to subsection (3);
  - b) the remaining full-time professors of the faculty (Section 61 HHG) provided that they have informed the dean of this in writing no later than one week prior to the meeting (Section 12(12) of the Rules of Internal Procedure for Bodies of Goethe University Frankfurt).

This decision-making body is hereinafter referred to as the 'Extended Faculty Council'. With the reading out of the respective agenda item, the chairperson must establish the existence of a quorum and voting entitlement. On the basis of a decision of the Extended Faculty Council, guests may attend non-public meetings and may voice their opinions. Decisions are taken on the basis of a majority of 'yes' or 'no' votes. A parity of votes is deemed a rejection. In the case of decisions regarding examination results, abstentions from voting are not permitted (Section 12(8) of the Rules of Internal Procedure for Bodies of Goethe University Frankfurt).

- (3) In the case of decisions regarding habilitation achievements pursuant to Section 7 and Section 9(1), only professors and habilitated professors of the Extended Faculty Council are entitled to vote. The remaining members are entitled to voice their opinions.

- (4) The dean must provide the habilitation applicant with written notification of a rejection and must do so as a rule within 14 days following the decision of the Extended Faculty Council and must include the reasons for the rejection and the applicant's appeal remedies.

### **Section 5 Admission to habilitation**

- (1) The decision regarding admission (opening of the habilitation process) must be made by the Extended Faculty Council as a rule within two months from receipt of the application. Lecture-free periods are not counted when calculating the time period referred to in sentence 1. For reviewing the admission requirements pursuant to Section 2, the dean or the Extended Faculty Council is entitled to request a written opinion from a representative of the subject area or from an expert.
- (2) Admission must be denied if
  - a) some or all of the requirements stipulated in Section 2 are not satisfied;
  - b) some or all of the documents to be submitted pursuant to Section 3(2) are not included with the admission application. Section 3(3) is not affected by this;
  - c) the habilitation in the respective subject has been rejected twice by a university within the ambit of the German Basic Law (GG) for reasons of unsatisfactory habilitation achievements, or if the habilitation title has been withdrawn on account of fraud/deceit;
  - d) the faculty is not responsible for the subject stated in the application;
  - e) the applicant – as a professor for life – is a member of the faculty.
- (3) Admission can be denied if
  - a) a habilitation process in the same subject has ended once unsuccessfully on account of unsatisfactory written habilitation treatises;
  - b) two applications for habilitation have already been rejected by an academic university within the ambit of the German Basic Law (GG);
  - c) there is a final and absolute conviction of a crime that in the case of a German civil servant for life would result in a termination of the civil servant status unless the crime is barred by limitation;
  - d) no professor in the faculty is responsible for appraising the selected topic; in cases of uncertainty, the Faculty Council must come to a decision after hearing the prospective professors of the faculty.
- (4) The decision regarding admission must be communicated in writing. In the case of rejections, Section 4(4) applies accordingly.
- (5) The opening of the habilitation process must be announced in the other faculties listed in Section 1 of these Regulations. Professors and habilitated professors of these faculties must be granted access to the habilitation file if requested; they must also then be invited to the habilitation colloquium (Section 8).

### **Section 6 Appraising the written habilitation treatises**

- (1) For appraising the written habilitation treatises, the Extended Faculty Council must appoint at least two professors who must prepare their appraisals independently of each other. One appraisal must be made by a member of the faculty and the other one should generally come from outside the faculty. If deemed necessary, the Extended Faculty Council is entitled to procure an additional appraisal.
- (2) The appraisals must state whether – taking Section 2 No. 4(a) into consideration – the written habilitation treatises in conjunction with any other academic works are to be regarded as proof that the person is qualified to conduct independent research in the chosen field.
- (3) Appraisers should hand in their written appraisals within two months following their appointments.
- (4) The members of the Extended Faculty Council and the deans of the other faculties listed in Section 1 of these Regulations must be given the opportunity, prior to the making of a decision, to read the habilitation thesis as defined by Section 2(4) together with the appraisals and to state their opinions. The professors and habilitated members of the faculty are free to appoint additional appraisers.
- (5) The Extended Faculty Council is entitled to set up a habilitation commission whose task is to submit a recommendation on whether the written habilitation treatises should be accepted. The dean must chair the commission. The commission is entitled to consult, in a suitable form, other professors and habilitated professors of the faculty as well as experts from outside the faculty. The commission's report must include, as an annex, any dissenting opinions of a minority of its members. The report must be submitted in such a timely manner that the time period in Section 7 can be complied with.

### **Section 7 Decision on the written habilitation treatises**

The Extended Faculty Council should, pursuant to Section 4(3), decide in a non-public meeting within a time period of three months from receipt of the appraisal on whether the written habilitation treatises are to be accepted. Lecture-free periods are not counted when calculating this time period.

### **Section 8 Habilitation colloquium**

- (1) If the written habilitation treatises are accepted, the applicant must hold a public, academic speech of generally thirty minutes in length in front of the Extended Faculty Council. This speech should be held freely (i.e. not read out) if possible and should, among other things, serve to prove that the person is qualified to teach at the academic level.
- (2) The applicant must propose three topics that may not be directly associated with each other or with the habilitation topic. The Extended Faculty Council then selects a topic in a non-public meeting; the selected topic must be announced 14 days before the speech. This time period can be shortened with the consent of the candidate.
- (3) The speech is followed by a public, academic discussion, which as a rule should not last more than one hour and should relate to the habilitation subject.

### **Section 9 Decision on the recognition of the habilitation**

- (1) Directly following the academic discussion, the Extended Faculty Council must decide whether to recognize the habilitation (teaching authorization) and must do so in a non-public meeting pursuant to the provisions of Section 4(3). The decision must state the habilitation subject.
- (2) The decision must be communicated to the applicant by the dean without undue delay.

### **Section 10 Renewed application for admission**

After a habilitation is rejected, the applicant is entitled to make a new application. If the written habilitation treatises were rejected, the application must include new written habilitation treatises. Written habilitation treatises already accepted must be accepted in the case of a new application if the new application is made within one year.

### **Section 11 Inaugural lecture and formal completion of the habilitation**

- (1) The candidate (*Habilitand*) must hold a public inaugural lecture on a self-chosen topic. The dean must formally convoke this inaugural lecture. With this inaugural lecture, the habilitation process is formally completed.
- (2) The successfully recognized habilitation must be confirmed in a diploma that states the date of the decision, the habilitation subject, and the title of the habilitation thesis or the habilitation topic of the submitted publications. As an option, the title 'Dr. phil. nat. habil.' or 'Dr. rer. nat. habil.' may also be shown in the diploma.

### **Section 12 Publication of the habilitation thesis**

If the habilitation thesis is not yet published, one of the obligatory copies that must be submitted pursuant to Section 3(2)(g) must be delivered in digital form analogous to the delivering of dissertations of the university library. The essential results of the habilitation thesis should be published.

### **Section 13 Awarding the title 'Privatdozent'**

- (1) Upon application, the faculty must award habilitated professors the academic title 'Privatdozent' and therefore the entitlement to teach. The application must be submitted to the dean of the faculty. Those with 'Privatdozent' titles are entitled and obligated to teach on a regular basis (at least two courses). They have no right to reimbursement or remuneration.
- (2) Those with 'Privatdozent' titles are associates (*Angehörige*) of Goethe University Frankfurt if they are not already members (*Mitglieder*) of the university pursuant to Section 32 HHG.
- (3) Recognition of the academic title 'Privatdozent' must be issued in a diploma.

- (4) The application can be denied by the Faculty Council if
- a) at the time the application is made, there are reasons justifying the withdrawal of the right to use the title 'Privatdozent' (see Section 16(2), (3), and (4));
  - b) the person already has a permanent, higher-ranking academic title that entitles him/her to teach.

If the application is denied, Section 4(4) applies accordingly.

#### **Section 14 Transposed habilitation**

If the applicant has already habilitated at another faculty of Goethe University Frankfurt or at another university, the Extended Faculty Council is entitled upon application to dispense with the habilitation treatises in whole or in part. The transposed habilitation is the prerequisite for awarding the academic title 'Privatdozent'. Section 4 applies to the making of the decision; Section 4(4) applies accordingly if an application is denied.

#### **Section 15 Appeals**

Appeals may be brought during the habilitation process to the dean.

#### **Section 16 Loss of the right to use the title 'Privatdozent' and loss of the habilitation**

- (1) The right to use the title 'Privatdozent' lapses if a written declaration to dispense with it is made to the dean.
- (2) If a person with a 'Privatdozent' title does not, without the approval of the Faculty Council, perform any teaching activities during two consecutive semesters, the dean must, after hearing the person concerned, declare in writing the loss of this person's right to use the title 'Privatdozent' (Section 25(2) HHG).
- (3) The right to use the title 'Privatdozent' can be retracted by the Faculty Council after a final and absolute conviction of a crime that pursuant to Section 5(3)(c) could result in a denial of admission to habilitation.
- (4) The habilitation and the right to use the title 'Privatdozent' must be retracted by the Extended Faculty Council if it is discovered that the habilitation was obtained through fraud/deceit or if after it is accepted or awarded, old or new facts become known that would have precluded such acceptance or awarding.
- (5) For decisions pursuant to subsection (4), Section 4(3) applies accordingly. Prior to the decision, the person concerned must be given the opportunity to be heard.
- (6) The respective diplomas must be withdrawn after a loss of the habilitation or of the right to use the title 'Privatdozent' pursuant to subsections (2), (3), and (4).

#### **Section 17 Transitional provision**

In the case of applications for admission to habilitation made prior to the coming into force of this amendment, the Extended Faculty Council is entitled upon application to decide that the habilitation subject is to be modified in accordance with the new faculty-specific subject catalogue in Section 1.

#### **Section 18 Coming into force**

This Habilitation Regulation comes into force on the day after it is published in the UniReport of Goethe University Frankfurt. The Habilitation Regulation of the Mathematical-Natural Sciences Faculties of 4 February 1992 (ABl. 1992, 816 ff.), as last amended on 21 November 2013 (UniReport, 7 January 2014), is simultaneously abolished.

Frankfurt am Main, 14 November 2016

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