

University Gazette of Humboldt-Universität zu Berlin, No. 37/2015

Habilitation Regulations
of the Faculty of Mathematics and Natural Sciences

Under the provisions of § 17 para. (1) item 3 in conjunction with § 16 para. (5) of the Statutes of Humboldt-Universität zu Berlin (University Gazette of Humboldt-Universität zu Berlin, No. 47/2013), the extended Faculty Board of the Faculty of Mathematics and Natural Sciences approved the following Habilitation Regulations on 30 June 2014:

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Example of the front page of a habilitation thesis

Example of a habilitation certificate

List of habilitation subjects

§ 1 Purpose of a habilitation

(1) A habilitation serves to provide evidence of the ability to independently research and teach in an academic subject (habilitation subject) (§ 36 para. (1) BerIHG).

(2) A habilitation subject is an area of academia which is definable in terms of content, has usually already been established in the faculty as an area of teaching and research, and is represented by university teachers from the circle of full and part-time staff members of the faculty.

(3) On proposal from the Departmental Boards, the Faculty Board decides upon the habilitation subjects based upon current teaching and research (see attachment).

§ 2 Habilitation works

(1) Habilitation works consist of:

- 1.a) a comprehensive monograph (habilitation thesis), which must make a significant academic contribution to the subject pursued; or
 - b) a monograph and published research results, which represent a work which is equivalent to a habilitation thesis in their entirety; or
 - c) published research results or research results submitted for publishing, which represent, in their entirety, a work which is equivalent to a habilitation thesis and to which a detailed summary must be prepended;
2. a public presentation about the subject pursued with a subsequent academic discussion;
 3. a public test lecture at an institute of higher education, lasting two contact hours, which deals with a branch of the selected subject.

The written habilitation work and the public presentation must usually be undertaken in German or English. The Faculty Board may make exceptions, if assessment has already been arranged. In these cases, a summary in German, which demonstrates knowledge gained, must be submitted in addition to the required written habilitation work. The public test lecture at an institute of higher education usually takes place in German. The Faculty Board shall decide on justified exceptions.

(2) Under the provisions of paragraph (1) no. 1, in the case of habilitation works which are developed in collaboration with other academics, the share of the work completed by the post-doctoral candidate must be clearly definable and appraisable. The post-doctoral candidate is obliged to present his or her share of the work in the processes of conception, implementation, and writing of the report, in detail and have this confirmed by their co-authors. The Faculty Board shall decide on exceptions.

(3) For the public presentation under the provisions of paragraph (1) no. 2, three proposed topics must be submitted, each with a brief explanation. The Habilitation Committee must reject proposed topics and demand others if the proposals are closely related to one another, or to the topic of the written habilitation work or the doctoral thesis. The academic discussion about the presentation may refer to the works under the provisions of paragraph (1) no. 1. The presentation and discussion should show that the post-doctoral candidate can present an academic topic in an intelligible form and possesses extensive knowledge in the habilitation subject, as well as the ability to discuss issues in a scholarly manner.

§ 3 Announcement of intention to pursue a habilitation qualification

The post-doctoral candidate must inform the department responsible for the habilitation subject of their intention to pursue a habilitation qualification at least two semesters prior to the written application.

§ 4 Admission requirements

(1) Requirements for admission to the habilitation procedure are:

1. a degree awarded by an institute of higher education and accredited by a State examination or an examination taken at an institute of higher education, within the area in which the provisions of the German Constitution apply;
2. evidence that the candidate holds a doctoral degree; and
3. documentation of academic teaching activity at an institute of higher education, lasting a total of eight semester weeks in an academic subject which is fundamental for the subject pursued, which may not have been carried out more than five years previously, and which comprises an independently-created course lasting at least one semester, with two semester hours per week, in the Faculty of Mathematics and Natural Sciences of Humboldt-Universität zu Berlin.

(2) Examinations which were taken at and academic degrees which were awarded by institutes of higher education outside the area of jurisdiction of the German Constitution, may be accepted if their equivalence has been established.

§ 5 Admission procedure

(1) The procedure begins with the submission of the written application to the Dean of the faculty. The application must indicate the scientific subject for which the *venia legendi* is applied for. The following documents must be attached to the application:

1. a certified record of examinations and a copy of the certificate awarded by an institute of higher education, or equivalent credentials as the case may be;
2. a certified copy of the doctoral certificate;
3. a curriculum vitae with information regarding the candidate's academic career;
4. a minimum of five copies of a written habilitation work under the provisions of § 2 para. (1) no. 1; as the case may be, a declaration of the candidate's own contribution under the provisions of § 2 para. (2) sentence 2;
5. topics proposed for the public presentation under the provisions of § 2 para. (3), each with a brief explanation;
6. five copies of lists of both academic publications and presentations, as well as, with monographs, a copy of publications relevant for the assessment;
7. a copy of the doctoral thesis;
8. a declaration stating whether a habilitation procedure has already been carried out, with full details concerning its outcome (if applicable), and whether an application for a habilitation procedure has been applied for or is pending elsewhere; and
9. a declaration stating knowledge of the existing Habilitation Regulations and the "Statute of Humboldt-Universität zu Berlin for ensuring good academic practice and for dealing with allegations of scientific misconduct", as well as a declaration stating that all habilitation works are the result of the candidate's own work.

(2) The Faculty Board decides upon the approval of the admission application, usually on the basis of a decision made by the Departmental Board at the meeting following receipt of the application.

§ 6 Initiation of the habilitation procedure

The habilitation procedure is initiated by the Faculty Board on the request of the Dean, if

1. the requirements are met under the provisions of § 4;
2. the documents stated in the provisions of § 5 para. (1) have been produced;
3. a habilitation procedure, within the area in which the provisions of the German Constitution apply, has not been completed in the same academic subject; or a procedure, terminated in compliance with § 9 para. (1) no. 2, has not already been repeated;
4. a habilitation procedure is not being carried out elsewhere at the same time in the same academic subject; and
5. the faculty is responsible for the subject.

§ 7 Habilitation Committee

(1) If the Faculty Board accepts the application of admission to the habilitation procedure and initiation of the procedure, it appoints the Habilitation Committee, including assessors, which is composed as follows: at least five, at most seven university teachers or habilitated academic staff members, including assessors under the provisions of § 8, as members who are entitled to vote, for each academic member of staff and student as a member in an advisory capacity.

(2) The Departmental Board which represents the habilitation subject suggests the chairperson of the Habilitation Committee and the members of the Committee to the Faculty Board, whereby the members of the Committee are suggested by the individual groups of members of the Departmental Board.

(3) The Habilitation Committee to be appointed by the Faculty Board must have sufficient expert knowledge and must be able to fully assess the habilitation works.

(4) The majority of the members who are entitled to vote must belong to the Faculty of Mathematics and Natural Sciences. Professorial members of other faculties or other scientific institutes of higher education may belong to the Habilitation Committee.

(5) The Habilitation Committee performs all of the duties which are required for the habilitation procedure. The Committee meets in private. Members are obliged to maintain confidentiality. Individuals who are not employees in the public sector must be obliged, in writing, to maintain confidentiality. The Committee determines the organisation and method of operation independently.

§ 8 Assessment of the written habilitation work

(1) On proposal from the Habilitation Committee, the Faculty Board appoints at least three assessors, of whom at least one must come from an institution outside of Humboldt-Universität zu Berlin, and of whom at least one must belong to the Faculty of Mathematics and Natural Sciences, for the assessment of the written habilitation work under the provisions of § 2 para. (1). If decided by the Faculty Board, the appointment of the assessors may, be delegated to the Dean.

(2) University teachers, as well as habilitated academics from the circle of full and part-time personnel in the faculty may be appointed as internal assessors. § 32 para. (2) BerlHG shall remain unaffected.

(3) Individuals may only be appointed as assessors if they have the specialist knowledge to be able to assess written habilitation works completely or in crucial parts. If different subjects are touched upon in the written habilitation work, a corresponding number of assessors must be appointed. Professional expertise is proven by the corresponding *venia legendi* and may, exceptionally, be the result of specialist subject or methodological knowledge. The Habilitation Regulations must give external assessors relevant information.

(4) Reviewers must undertake assessments, which enable the Habilitation Committee to make one of the recommendations stated in § 9 para. (1) to the Faculty Board. In this process, they must act as if the responsibility for the final assessment of the habilitation work resides with them. Their reports must be generated independently of one another. Textual errors must be listed. Assessments must be justified. If assessments differ from one another, further reviewer reports may be obtained.

(5) Reviewer reports must be produced within two months; otherwise the Dean may set an extension period or appoint other reviewers. If the extension period is cancelled or expires, the Habilitation Committee suggests, in each case, another reviewer. The appointment takes place under the provisions of § 8 para. (1).

(6) Reviewer reports, based upon expert knowledge, have a binding effect on the decision of the Faculty Board, in order that their decision corresponds to the requirement for appropriate assessment. The binding effect may only be challenged by opposing reviewer reports which are based upon expert knowledge. Opposing reports of this type must be drawn up in writing.

(7) Reviewer reports and opposing reviewer reports may only be used within the framework of the habilitation procedure and are, otherwise, to be treated confidentially.

(8) Habilitation works under the provisions of § 2 para. (1) no. 1, as well as reviewer reports must be displayed at the faculty for four weeks, in order that members of the Habilitation Committee and the Faculty Board, as well as university teachers of the faculty, have the opportunity to inspect them. This must be announced so that members of the extended Faculty Board who are eligible to vote have the opportunity to draw up an opposing reviewer report before a meeting, after reading the written habilitation work and the reviewer reports. In the case that opposing reports are issued, they must be displayed for at least a week during the lecture period, and, with the approval of the Dean and in exceptional cases, for three weeks during the lecture-free period for the members of the extended Faculty Board. This too must be announced.

§ 9 Decision regarding the written habilitation work

On the basis of and in compliance with the reviewer reports, the Habilitation Committee provides the recommendations to the extended Faculty Board:

1. that the written habilitation work and the topic of the presentation are accepted under the provisions of § 2 para. (3); or
2. that the written works are rejected as a habilitation work. This refusal must be justified in writing.

(2) The extended Faculty Board decides upon the recommendation of the Habilitation Committee under the provisions of paragraph (1), on the basis of and in compliance with the reviewer reports.

Reviewer reports shall be binding unless they are successfully and sufficiently challenged by opposing reviewer reports based upon appropriate findings. A roll-call vote shall take place.

(3) If the written habilitation work is accepted and the topic of the public academic presentation is determined by the Faculty Board, the date of the presentation must be set promptly and to be made public within the university at least two weeks in advance during the lecture period, and, with the approval of the Dean and in exceptional cases, four weeks in advance outside the lecture period.

(4) If the habilitation work is rejected, the habilitation procedure is suspended; § 16 para. (2) shall remain unaffected.

(5) If the Faculty Board considers it necessary to change the name of the subject stated in the application, the post-doctoral candidate must be informed of this by the chairperson of the Habilitation Committee and given the opportunity to comment. The Faculty Board may subsequently determine a different name; this must be justified in writing.

§ 10 Public presentation with academic discussion

(1) The presentation is public, usually performed in German or English, and takes place during the **lecture period**. The Dean shall decide on exceptions upon request. Members of the Committee and participants must be sufficiently familiar with the foreign language. The presentation lasts a maximum of 45 minutes.

(2) Two weeks before the public presentation is due to take place, the chairperson of the Habilitation Committee informs the post-doctoral candidate of the subject of the presentation and makes the **reviewer reports** available to the post-doctoral candidate without specifying the assessors' names.

(3) At least two-thirds of the members of the Habilitation Committee who are eligible to vote, as well as professors, academic staff members, and students of the faculty participate in the academic discussion, which is led by the chairperson of the Habilitation Committee. The chairperson may allow questions from the public. The academic discussion should usually last sixty minutes; however, it may last up to 90 minutes at the most. It is usually performed in German or English. The Dean shall decide on exceptions upon request. Members of the Committee and participants must be sufficiently familiar with the foreign language.

(4) The Habilitation Committee summarises the result in a statement made by the reviewers. Minutes and attendance lists are taken on file.

§ 11 Test lecture and didactic report

(1) The Habilitation Committee generates a report regarding the didactic works contributed by the post-doctoral candidate. For the assessment of the didactic works, the Habilitation Committee sets up a public test lecture at an institute of higher education, lasting two contact hours, which deals with a branch of the subject selected. Two weeks before the public presentation is due to take place, the chairperson of the Habilitation Committee informs the post-doctoral candidate of the date of the test lecture. The date must be made public within the institute of higher education.

(2) On proposal from the student member of the Committee, students of the faculty may state their assessments of the didactic works in the Committee and submit them in writing. These assessments must be considered by the Committee when compiling the reviewer report about the didactic works.

§ 12 Assessment summary

Finally, the Habilitation Committee summarises the reviewer reports about the written habilitation work, the didactic works, the public presentation, and the academic discussion, and submits the summary to the extended Faculty Board.

§ 13 Awarding of the *venia legendi* (right to teach)

(1) Based on the reviewer reports of the Habilitation Committee, the extended Faculty Board shall make a decision on the awarding of the *venia legendi*. A roll-call vote shall take place. The following must be voted on separately:

1. the public presentation and the academic discussion; and
2. the didactic works including the assessment of the test lecture.

If both are approved, an overall decision is made according to which the certificate shall be awarded for all works contributed.

(2) After the obligation to publish under the provisions of § 15 has been met, the Dean awards a certificate. On the day on which the certificate is conferred, the *venia legendi* is awarded. The certificate bears the date on which the conferral of the *venia legendi* took place, the signature of the President and the Dean, as well as the seal of the institute of higher education.

§ 14 Application for the *venia docendi*

After the habilitation certificate has been conferred, the candidate may apply for the bestowal of the *venia docendi* under the provisions of §118 BerlHG. The Faculty Board shall decide on the bestowal of the *venia docendi* after the Departmental Board responsible for the subject applied for has expressed an opinion.

§ 15 Obligation to publish

At least one copy of all documents in compliance with § 2 para. (1) no. 1, on the basis of which the academic works were assessed, must be supplied by the post-doctoral candidate to the university library within a year of the Faculty Board's decision regarding the granting of the *venia legendi*, in a way which allows copies to be made, preferably also electronically. In this process, data regarding the habilitation procedure, as well as all reviewers, must be stated.

§ 16 Withdrawal, repetition of habilitation works, suspension of the habilitation procedure

(1) Until admission to the habilitation procedure has been granted, or if the post-doctoral candidate cannot reach an agreement regarding the habilitation subject, the application for habilitation may be withdrawn by the Faculty Board under the provisions of § 5 para. (2).

(2) In the event that written work is rejected as a habilitation work under the provisions of § 9 para. (1) no. 2, a single repetition of the procedure by way of submission of the written work is permitted

under the provisions of § 2 para. (1) no. 1. A new admission application in the same subject may only be made after twelve months. This period begins on the day of the decision of the extended Faculty Board to reject the written habilitation work and suspend the habilitation procedure. This also applies to procedures which were terminated at other institutes of higher education without the *venia legendi* being granted, provided that the procedure had not already been prematurely and conclusively terminated. Upon application recognised works may be taken into account for the new procedure.

(3) If the public presentation with academic discussion under the provisions of § 13 para. (1) sentence 3 no. 1, is not recognised, it may be repeated within six months, with a different topic being discussed. The topic may be chosen from those which have already been submitted. It is not possible to repeat the presentation twice. If the didactic works have not been recognised under the provisions of § 13 para. (1) sentence 3 no. 2, the post-doctoral candidate may be given the opportunity to prepare and run other courses or the test lecture within the period of the following two semesters. This shall be assessed under the provisions of § 11. There shall be no further opportunity to prepare and run other courses within the habilitation procedure.

(4) The Faculty Board shall determine that the procedure must be suspended in the event of a repetition of the habilitation works under the provisions of para. (2) and (3). If the works are once again not recognised, or if the post-doctoral candidate waives their right to a repetition in writing, the Faculty Board shall determine that the habilitation procedure must be prematurely terminated.

§ 17 Premature termination of the habilitation procedure

(1) The Faculty Board shall determine that the habilitation procedure must be prematurely terminated, if:

1. one of the works contributed under the provisions of § 13 para. (1) sentence 3 does not definitively meet the requirements imposed upon the habilitation works, or works are not completed and no sufficient reasons are stated; or
2. if attempts to cheat or deceive are made by the post-doctoral candidate, or if doubts concerning plagiarism remain following a hearing.

(2) Premature termination of the habilitation procedure must be justified and the post-doctoral candidate must be informed in writing. The wording of a justification must be determined by the Faculty Board. The notification of termination must be accompanied by the rights of legal appeal.

§ 18 Expiration and withdrawal of the *venia legendi*

(1) The *venia legendi* expires if the habilitated individual is no longer permitted to hold a doctoral degree.

(2) The *venia legendi* is withdrawn upon decision of the Faculty Board if the habilitation is fraudulently obtained or otherwise gained in an improper manner.

(3) The President ascertains the expiration of the *venia legendi* upon request of the faculty.

§ 19 Changes to the *venia legendi*

(1) Habilitated individuals may submit a request for amendments (expansion or renaming) to the subject of their *venia legendi*. The admission requirements are met with the submission of the habilitation certificate. In the request, the works upon which the request for amendments is based must be mentioned. Any written documents relating to the request must be submitted.

(2) In the amendment procedure, the habilitation thesis or equivalent works must not be demanded under the provisions of § 2 para. (1) no. 1.

(3) The Faculty Board appoints a committee made up of at least three professors from a department which represents the habilitation subject. The committee, with the aid of the submitted documents and the works named in the request, develops a decision proposal for the extended Faculty Board. It also gives its view as to whether a public presentation with an academic discussion, or a public test lecture, is considered necessary. The extended Faculty Board shall subsequently decide on the request.

§ 20 General procedural regulations

(1) More than half of the members who are eligible to vote must participate in all meetings of the Habilitation Committee. Votes are passed by a simple majority. If votes are equal, the chairpersons's vote shall be decisive.

(2) The Habilitation Committee submits all decisions to the Faculty Board. The Dean of the faculty shall ensure that the entire procedure, starting from the submission of the admission application, can be concluded within two semesters. If this time period is not sufficient, the Faculty Board shall determine an extension period and inform the post-doctoral candidate accordingly.

(3) All notices which are given to the post-doctoral candidate and are relevant to the procedure must be made in writing; this is particularly the case for deadlines and decisions which could adversely affect the candidates. These must be justified and accompanied by the rights of legal appeal.

(4) Upon completion of the habilitation procedure, the post-doctoral candidate has the opportunity to inspect all of the reviewer reports. The reports may only be used within the framework of the habilitation process and must be treated confidentially.

(5) The Faculty Board may, by way of decision, delegate decisions regarding alterations to the composition of the Habilitation Committee, and as well as other decisions that do not influence any basic procedures, to the Dean, if the Departmental Board or the Habilitation Committee concerned has voted unanimously on these issues.

§ 21 Objection and appeal

Applicants, post-doctoral candidates, and habilitated individuals have the opportunity to submit an appeal to the President of Humboldt-Universität zu Berlin against a decision of the competent authorities of the faculty, as stipulated by these regulations. This will not affect the deadlines for the filing of actions in contentious administrative proceedings. Any decisions must be accompanied by the rights of legal appeal.

§ 22 Commencement

The German version shall prevail.

These Habilitation Regulations apply to all procedures which are initiated following commencement. These Habilitation Regulations enter into force on the day following publication in the *University Gazette of Humboldt-Universität zu Berlin*. The Habilitation Regulations of the Faculties I and II of Mathematics and Natural Sciences, published in the University Gazette of Humboldt-Universität zu Berlin no. 47/2002 and no. 23/2005, shall expire.

The President of Humboldt-Universität zu Berlin is authorised to publish the most recent version of the Habilitation Regulations in the University Gazette.

Attachment 1

Example of the front page of a habilitation thesis

Topic: [TOPIC]

Habilitation thesis for obtaining the *venia legendi*

for the subject: [SUBJECT]

submitted to the Board of the Faculty of Mathematics and Natural Sciences of the Humboldt-Universität zu Berlin

by [JOHN SMITH]

born on [00.00.2000] in [CITY]

[PRESIDENT]
of Humboldt-Universität zu Berlin

[DEAN]
of the Faculty of Mathematics and
Natural Sciences

Berlin, [00.00.2000]

Reviewers:

(to be filled out initially for publishing in the university library)

1. [Mr JOHN SMITH ACADEMIC DEGREE]
2. [Mr JOHN SMITH ACADEMIC DEGREE]
3. [Mr JOHN SMITH ACADEMIC DEGREE]

Attachment 2
Example of a habilitation certificate

HUMBOLDT-UNIVERSITÄT ZU BERLIN



HABILITATION CERTIFICATE

The Board of the Faculty of Mathematics and Natural Sciences of Humboldt-Universität zu Berlin awards

[Mr JOHN SMITH ACADEMIC DEGREE]

born on [00.00.2000] in [CITY],

on the grounds of [ON THE GROUNDS OF]

following a habilitation procedure under the provisions of the Habilitation Regulations of the Faculty of Mathematics and Natural Sciences dated 30 June 2014, the

VENIA LEGENDI

for the subject [SUBJECT].

[HE / SHE] has demonstrated

that [HE/SHE] can represent the subject independently in research and teaching.

Topic of the written habilitation work: [TOPIC]

Topic of the public presentation: [TOPIC]

Berlin, [00.00.2000]

Seal of Humboldt-Universität zu Berlin

[PRESIDENT]
of Humboldt-Universität zu Berlin

[DEAN]
of the Faculty of Mathematics and
Natural Sciences

Attachment 3: List of habilitation subjects

Department of Chemistry

Physical and Theoretical Chemistry
Organic and Bioorganic Chemistry
Applied Analysis and Environmental Chemistry
Inorganic and General Chemistry
Chemistry Education
Mineralogy

Department of Geography

Geography

Department of Computer Science

Computer Science

Department of Mathematics

Mathematics
Mathematics Education

Department of Physics

Theoretical Physics
Experimental Physics
Physics Education