

**These habilitation regulations have been worded carefully to be up to date; however, errors cannot be completely excluded. The official German text available at the Examinations Office is the version that is legally binding.**

**– new –**

## **Habilitation Regulations of Friedrich-Alexander-University Erlangen-Nürnberg (FAU)**

**Dated 19 December 2003 (KWMBI II 2004 p. 2558)**

amended by statutes of  
28 November 2006  
22 January 2008  
28 September 2009

Based on Section 6 (1)(1) in conjunction with Section 91 (8)(1) of the Bavarian Higher Education Act (Bayerisches Hochschulgesetz, BayHSchG) in the version of the amendment passed on 9 July 2003 (GVBl p. 427), FAU hereby enacts the following habilitation regulations:

### **Section 1 Scope**

These habilitation regulations govern the acquisition of a postdoctoral teaching qualification ('habilitation') at FAU.

### **Section 2 Purpose of habilitation**

<sup>1</sup>Habilitation is intended to demonstrate an individual's ability to teach and conduct research as a professor for a specific subject at a university. <sup>2</sup>The subject area must be represented by a professor within the respective faculty. <sup>3</sup>The aim of the habilitation procedure is to give particularly well qualified young researchers the possibility to teach and research independently and to allow them to qualify for appointment as a professor if possible within a period of four years. Academic support is provided by a committee of mentors.

### **Section 3 Responsibilities**

(1) <sup>1</sup>Subject to the provision stipulated in (2), the habilitation procedure is carried out by the faculty responsible for the subject area in which the candidate would like to obtain the postdoctoral teaching qualification. <sup>2</sup>If the subject area is offered by several faculties, the candidate shall state which faculty should be responsible when submitting the application.

(2) <sup>1</sup>If the subject area in which the candidate intends teaching is allocated to the Faculty of Humanities, Social Sciences, and Theology, the School of Theology shall be responsible for the habilitation procedure. <sup>2</sup>In deviation from Section 65 BayHSchG,

the tasks of the Faculty Council shall be carried out by the Habilitation Committee pursuant to (5) and the tasks of the Dean of the Faculty by the speaker of the School of Theology. <sup>3</sup>Paragraph 3 sentences (2) to (4) shall apply accordingly.

(3) <sup>1</sup>Only university lecturers within the meaning of Section (2)(3) BayHSchPG may evaluate the performance of habilitation candidates and be involved in decisions relating to the habilitation. <sup>2</sup>In deviation from Section 65 BayHSchG, the tasks of the Faculty Council shall be carried out by the Habilitation Committee pursuant to (5) and the tasks of the Dean of the Faculty by the speaker of the School of Theology. <sup>3</sup>Paragraph 3 sentences (2) to (4) shall apply accordingly. <sup>4</sup>Section 41 (2) BayHSchG shall apply to exclusion due to personal involvement and the procedure shall be governed by Section 30 of the Constitution of FAU dated 20 June 2007.

(4) <sup>1</sup>Insofar as the Faculty Council is responsible for taking decisions within the context of the habilitation procedure, all professors in the faculty including secondary members pursuant to Section 27 (3) BayHSchG have the right to cast a vote; they shall be invited to meetings. <sup>2</sup>Insofar as the right to make a decision regarding the habilitation procedure lies with the Habilitation Committee of the School of Theology pursuant to (2), all professors of the School of Theology and the secondary members in the School of Theology are entitled to participate in the meetings and cast a vote, as are all professors of protestant theology, protestant religious education and teaching methodology of protestant religious education from the Universities of Bamberg, Bayreuth and Würzburg named in (3) (1) and (4) (1) of the Contract between the State of Bavaria and the Evangelical Lutheran Church of Bavaria .

(5) <sup>1</sup>All professors who are a member or secondary member of the School of Theology are members of the Habilitation Committee of the School of Theology. <sup>2</sup>The speaker of the School of Theology shall be the chair of the Habilitation Committee.

## **Section 4**

### **The habilitation procedure**

The habilitation procedure ascertains

1. Whether the candidate is suited to teaching on the basis of their academic qualifications and experience of teaching independently in an academic setting
2. The candidate's ability to carry out independent research on the basis of a habilitation thesis or a number of specialist publications equivalent to a habilitation thesis.

## **Section 5**

### **Admission requirements for habilitation candidates**

(1) Candidates wishing to gain a postdoctoral teaching qualification (habilitation) can be admitted to the habilitation procedure upon request providing

1. They have the necessary teaching skills
2. They have a doctoral degree or equivalent research qualifications
3. They meet the further subject-specific requirements pursuant to (2)
4. They have submitted a formal application to the Dean
5. They have secured an initial budget which is eligible for third-party funding insofar as is necessary for their research.
6. They are not doing a habilitation at another location and have not already failed a habilitation procedure
7. They have never had an academic title revoked.

(2) Further requirements which must be fulfilled pursuant to (1) (1) (3) are as follows:

1. In the School of Theology, candidates must be members of the Evangelical Lutheran Church or another confession represented in the World Council of Churches
2. In the School of Law, candidates must have passed the Second State Examination in Law, unless an exception is granted by the Faculty Council in exceptional circumstances
3. In the Faculty of Medicine, licence to practise medicine or dentistry in Germany; if candidates intend to complete a habilitation in a subject area which does not require a licence to practise medicine or dentistry, the Faculty Council may waive the requirement to have a licence to practise medicine or dentistry.

(3) As proof of teaching ability, the Dean may request a performance evaluation from a university lecturer in the faculty, taking the candidate's previous experience in teaching and giving presentations as well as attendance at teacher training into consideration.

(4) In general, proof that candidates are particularly suited to carrying out academic research is provided by an outstanding doctoral degree.

## **Section 6**

### **Applying for a habilitation**

(1) <sup>1</sup>In order to provide proof that the requirements pursuant to Section 5 have been met, the applicant shall submit the following documents together with a written application to the Dean of the Faculty:

1. CV giving details of the applicant's academic career
2. Degree certificates from a university or an equivalent institute of higher education in Germany or abroad
3. If the applicant was admitted to the doctoral degree on the basis of requirements applicable to particularly gifted graduates of a Fachhochschule or university of applied sciences, evidence of admission to the doctoral degree programme
4. The doctoral degree certificate or a certificate awarding an equivalent academic title
5. Evidence of previous teaching/presentation experience and of attendance at courses for enhancing teaching skills.
6. Report on research conducted to date
7. List of academic publications
8. Official certificate of good conduct, unless the applicant is employed in the public service
9. Declaration stating whether the initial budget has been secured and is eligible for third-party funding, if applicable, proof of such funding pursuant to Section 5 (1)(5).

<sup>2</sup>The applicant shall name the subject area of the proposed postdoctoral teaching qualification. <sup>3</sup>In addition, the applicant shall submit a declaration in writing stating

1. any previous or ongoing habilitation procedures
2. whether they have had a degree revoked

(2) The applicant may propose possible mentors.

## **Section 7**

### **Admission as a habilitation candidate**

(1) <sup>1</sup>The Dean shall check whether the application has been submitted in full. <sup>2</sup>If necessary, the Dean shall take steps to ensure that any supporting documents are submitted within a reasonable period of time.

(2) The Faculty Council shall decide on whether to approve the application for admission.

(3) An applicant shall not be admitted to the habilitation procedure if

1. The requirements pursuant to Section 5 nos. 1 to 5 are not met
2. The applicant is undergoing the habilitation procedure elsewhere or has failed a previous habilitation procedure
3. The applicant has had a degree revoked.

(4) Once the Faculty Council approves the application, it also has to appoint the committee of mentors.

(5) <sup>1</sup>Once the application is accepted, the applicant gains the status of habilitation candidate. As a rule, this status applies for a maximum of four years plus the time required for the academic evaluation procedure. <sup>2</sup>The committee of mentors shall arrange for the habilitation period to be extended if there is special justification, in particular if the candidate takes parental leave or is prohibited to work on the basis of the Regulation on the Protection of Female Public Servants whilst on Maternity Leave and for habilitation candidates who are not members of the university. <sup>3</sup>The Faculty Council may dissolve the committee of mentors upon justified request of the habilitation candidate if the habilitation candidate fails to complete the procedure within the extension granted pursuant to sentence 2. <sup>4</sup>The committee of mentors may only be dissolved once; if the committee of mentors is dissolved, the procedure is not deemed to have been failed.

## **Section 8**

### **Committee of mentors**

(1) <sup>1</sup>The Faculty Council shall appoint a committee of mentors consisting of the chairperson and two further members. <sup>2</sup>The following are eligible for appointment to the committee of mentors:

1. Professors within the meaning of Section 2 (1)(1)(1) BayHSchPG and
2. Other full time university lecturers within the meaning of Section 2 (3)(1) BayHSchPG.

<sup>3</sup>At least one member must be a professor in the faculty pursuant to Section 2 (1)(1)(1) BayHSchG. <sup>4</sup>Interdisciplinary aspects shall be taken into consideration when appointing the committee of mentors. <sup>5</sup>A member may also come from another university.

(2) Within the context of supervising the academic aspects of the habilitation procedure, the committee of mentors is in particular responsible for:

1. Agreeing with the habilitation candidate on type and scope of the research and teaching achievements required to obtain the postdoctoral teaching qualification. It should be possible to complete the achievements within a period of four years and they should be suited to other tasks the candidate is required to fulfil within the

context of their employment if the habilitation candidate is a member of the University

2. Assisting the habilitation candidate in implementing the agreement pursuant to no. 1 and ensuring that the initial budget is eligible for third-party funding and can be provided by the University to the extent required for the planned research.
3. Monitoring continued development in the fields of research and teaching
4. Carrying out an interim evaluation after two years
5. Carrying out a final academic evaluation
6. Proposing to the Faculty Council that the habilitation candidate should be awarded the postdoctoral teaching qualification if the candidate completes all required achievements successfully
7. Deciding whether the habilitation period should be extended in the event of extenuating circumstances
8. If applicable, the committee of mentors shall record the fact that the agreed achievements have not been obtained or not obtained within the respective time frame (Section 7 (5)) or not obtained after an appropriate period of grace.

### **Section 9**

#### **Research and teaching responsibilities**

(1) In consultation with the committee of mentors, the Dean shall give habilitation candidates who work as research assistants or research associates and are therefore members of the University teaching and research tasks to complete independently.

(2) In the case of habilitation candidates who are not members of the University, the committee of mentors shall work together with the Dean to ensure that they gain academic teaching qualifications and are given sufficient opportunity to teach.

(3) In consultation with the Dean, the committee of mentors shall draw up an annual teaching report; Section 30(3) of the Bavarian Higher Education Act (BayHSchG) shall apply accordingly.

### **Section 10**

#### **Written habilitation thesis**

(1) <sup>1</sup>The written habilitation thesis is intended to prove that candidates are capable of carrying out research independently. <sup>2</sup>It must be an independent scientific work, make an essential contribution to academic research in the subject area in which the postdoctoral research is being conducted and prove that the candidate is capable of gaining scientific knowledge based on suitable methods and can present the results of their research concisely and understandably.

(2) The written habilitation thesis shall consist either of one scientific work produced specifically for the habilitation which is ready for printing but which has not yet been published or several research publications with scientific findings equivalent to a single habilitation thesis.

### **Section 11**

#### **Interim evaluation**

(1) <sup>1</sup>Two years after a habilitation candidate is admitted to the habilitation procedure, the committee of mentors shall assess the quality of research and teaching carried out by the candidate thus far. <sup>2</sup>The committee of mentors shall evaluate in particular

whether the achievements necessary for the postdoctoral teaching qualification have been met to such an extent that it is to be expected that the candidate will complete the procedure successfully within the allocated time frame. <sup>3</sup>For this purpose, the committee of mentors shall meet officially with the candidate to discuss how the habilitation procedure has progressed and what plans the candidate has for its continuation. <sup>4</sup>In addition, they shall assess the candidate's performance to date with respect to academic teaching, taking the annual teaching reports into consideration.

(2) <sup>1</sup>If the committee of mentors determines that it is unlikely that the agreed targets will be met, they shall suggest to the Faculty Council that the committee of mentors should be dissolved. <sup>2</sup>If the Faculty Council dissolves the committee of mentors, the habilitation procedure shall be considered to have been terminated.

(3) If the committee of mentors determines that it is to be expected that the habilitation procedure will be completed successfully, or if the Faculty Council decides not to follow the suggestion to dissolve the committee of mentors, the habilitation procedure shall continue.

## **Section 12**

### **Academic evaluation after continuation of habilitation procedure**

(1) The committee of mentors shall conduct an academic evaluation of the teaching and research conducted by the habilitation candidate to determine whether the candidate should be awarded the postdoctoral teaching qualification entitling them to teach in higher education. External reviewers shall also be consulted.

(2) <sup>1</sup>As part of the academic evaluation, the members of the committee of mentors shall assess the quality of the candidate's performance. <sup>2</sup>In addition, the committee of mentors shall obtain at least two reviews of the written habilitation thesis. <sup>3</sup>In addition to the individuals stipulated in Section 8 (1)(2), retired professors may also be appointed as reviewers. <sup>4</sup>The habilitation candidate may suggest reviewers. <sup>5</sup>Each reviewer shall submit their review by an appropriate deadline set by the committee of mentors as to whether the targets agreed between the habilitation candidate and the committee of mentors have been reached and whether or not the habilitation candidate has proven their ability to conduct independent research.

(3) After paying due consideration to the reviews they receive, the committee of mentors shall submit a recommendation to the Faculty Council, stating the reasons for their evaluation.

(4) If the committee of mentors determines that the candidate has met the requirements agreed upon for obtaining the teaching qualification, it shall recommend to the Faculty Council that the candidate is granted the postdoctoral teaching qualification.

(5) <sup>1</sup>If the committee of mentors determines that the requirements necessary in order to be awarded the postdoctoral teaching qualification have not been met or have not been met within the given deadline pursuant to Section 7 (5) and are not expected to be able to be met within a reasonable period of grace, the Faculty Council shall relieve the committee of mentors of their duties. <sup>2</sup>The habilitation procedure is thereby terminated.

### **Section 13**

#### **Awarding of the postdoctoral teaching qualification by the Faculty Council**

(1) <sup>1</sup>The Dean shall arrange for a resolution to be passed by the Faculty Council within four months of receiving the recommendation from the committee of mentors. <sup>2</sup>The Dean shall present the Faculty Council with the recommendation from the committee of mentors that the habilitation candidate should be awarded the postdoctoral teaching qualification. <sup>3</sup>The Dean shall make the written habilitation thesis, the reviews, and the recommendation of the committee of mentors regarding the awarding of the postdoctoral teaching qualification available for inspection by the members of the Faculty Council and the individuals involved in the process according to Section 3 (4) for a period of at least four weeks. <sup>4</sup>The individuals entitled to inspect the documents shall be informed in writing that they are ready for inspection. <sup>5</sup>They are entitled to raise objections, which shall be substantiated in writing.

(2) <sup>1</sup>The final decision regarding the recommendation submitted by the committee of mentors and any justified objections shall be taken by the Faculty Council. <sup>2</sup>If the Faculty Council fails to pass a resolution concerning the proposal of the committee of mentors within four months, the postdoctoral teaching qualification shall be considered to have been awarded. <sup>3</sup>If the Faculty Council considers that the requirements for the habilitation have been met they shall formally award the candidate the postdoctoral teaching qualification, stating the subject area for which it has been granted. <sup>4</sup>If the Faculty Council refuses to award the postdoctoral teaching qualification for the final time the habilitation procedure shall be terminated.

### **Section 14 Certificate**

<sup>1</sup>A habilitation certificate shall be issued to certify that the candidate has successfully completed the habilitation procedure, stating the subject for which the postdoctoral teaching qualification has been awarded. <sup>2</sup>The certificate bearing the seal of the University is signed by the President and the Dean of the relevant faculty. <sup>3</sup>The certificate shall be presented to the candidate by the Dean.

### **Section 15 Legal Validity**

(1) <sup>1</sup>These habilitation regulations shall come into effect on the day after their publication. <sup>2</sup>They shall apply to applicants who are accepted as a habilitation candidate after the Act on the Amendment of the Bavarian Higher Education Act and the Bavarian University Lecturer Act of 9 July 2003 comes into effect (GVBl p.427) as well as to applicants who were working on their habilitation thesis on 1 August 2003 and who either apply in writing to the respective Dean by 31 October 2003 for permission to conduct the habilitation procedure in accordance with these habilitation regulations or who do not inform the respective Dean in writing by 31 January 2004 that they intend to continue their procedure according to the previous regulations.

(2) Once these habilitation regulations come into effect, the following regulations shall cease to apply, notwithstanding the provisions stipulated in (3):

1. Habilitation regulations for the Faculty of Theology of FAU of 26 January 1979 (KNBl II p. 118), last amended by the statute of 15 February 2002 (not yet published)

2. Habilitation regulations for the Faculty of Law of FAU dated 30 April 1992 (KWMBI II p.381), last amended by the statute of 8 August 2001 (KWMBI II 2002 p. 842)
3. Habilitation regulations for the Faculty of Medicine at FAU dated 28 April 1988 (KWMBI II p. 176), last amended by the statute of 20 November 2000 (KWMBI II 2001 p. 851)
4. Habilitation regulations of FAU for the Faculty of Humanities and Social Sciences and the Faculty of Education dated 30 July 1999 (KWMBI II 2000 p. 428)
5. Habilitation regulations for the Faculties of Sciences of FAU dated 6 May 1991 (KWMBI II p.445) amended by statute of 20 November 2000 (KWMBI II 2001 p. 851)
6. Habilitation regulations for the Faculty of Economics and Social Sciences at FAU dated 15 February 2001 (KWMBI II 2003 p. 293)
7. Habilitation regulations for the Faculty of Engineering of FAU dated 22 March 1977 (KWMBI II p. 104), last amended by statute of 20 November 2000 (KWMBI II 2001 p.851).

(3) The regulations listed in (2) shall continue to apply to individuals who were working on their habilitation thesis on 1 August 2003 and who informed the respective Dean in writing on or before 31 January 2004 that they intend to continue the habilitation procedure in accordance with the previous regulations.