

This is a courtesy translation of the „Habitationsordnung der Universität Hohenheim“. Please note that only the German version is legally binding, and in case of any difference in wording, meaning, or interpretation between the German and English versions, the German version shall prevail.

Habilitation Regulations of the University of Hohenheim

From 14 February 2013

On the basis of Sec. 39(5) of the State Higher Education Act (*Landeshochschulgesetz, LHG*) of 1 January 2005 (Law Gazette p. 1 ff.) in the version of Article 2 of the Act to Introduce a Constituted Student Body and to Strengthen Academic Continuing Education from 10 July 2012 (Law Gazette p. 457 ff.), the University of Hohenheim Senate passed the following Habilitation Regulations on 14 November 2012 and on 6 February 2013.

The President approved these regulations on 14 February 2013 pursuant to Sec. 39(5) LHG.

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§ 1 Significance of the Habilitation

- (1) The habilitation is a recognition of exceptional ability for research and teaching in a specific subject or field.
- (2) The right to teach a certain scientific subject or field is awarded for a successful habilitation. This gives the right to hold the title “private lecturer.”

§ 2 Work to Complete the Habilitation

- (1) The following work must be completed for the habilitation:
 1. a written habilitation thesis in accordance with Sec. 7,
 2. the Baden-Württemberg certificate for University Didactics (HDZ Certificate) or a degree program-related course according to Sec. 8 to prove suitability for teaching,
 3. an academic presentation followed by a discussion in front of the Habilitation Committee according to Sec. 9.
- (2) The habilitation should be completed within a period of 5 years. At the latest after three years as of the time the intention to complete a habilitation was announced, the Habilitation Committee is to undertake an interim evaluation of the work done on the habilitation up to that point.

§ 3 Habilitation Committee

- (1) Decisions in the habilitation proceedings are made by the Habilitation Committee in the faculty responsible for the respective subject or field if not otherwise stipulated by these regulations.
- (2) Members of the Habilitation Committee are:
 - either the professors and privatdozenten from the Faculty Council and professors primarily employed by the Faculty responsible for the subject or field (“large habilitation committee”),
 - or 10 professors primarily employed by the Faculty responsible for the subject or field who are appointed by the professors primarily employed by the Faculty and the privatdozenten on the Faculty Council (“small habilitation committee”).
 The Habilitation Committee is chaired by the Dean.
- (3) The Habilitation Committee has a quorum if at least half of its members are present. The decisions of the Habilitation Committee require a majority of the votes of the members present. Abstentions are considered to be “no” votes.
- (4) Decisions on the habilitation work to be done in accordance with Sec. 2 shall be made by roll call vote.

§ 4 Admission Requirements

- (1) It is only possible to complete a habilitation in fields represented at the University of Hohenheim and in which the University has the right to confer doctoral qualifications.
- (2) Admission to the habilitation requires a doctorate from a German university or an equivalent university, and typically several years of scientific activity in research and teaching in the field in

which the habilitation is to be completed. Admission to the habilitation must have been preceded by work that demonstrates the applicant's ability to conduct research at an international level. Preferably, this ability will be proven by an appropriate number of publications in peer-reviewed scientific journals. The details are governed by the implementation provisions for these Habilitation Regulations.

(3) Persons holding an academic degree from a foreign academic institution equivalent to a doctorate may be admitted to the habilitation if they are entitled to use the degree within the scope of the German Basic Law (*Grundgesetz*).

§ 5 Habilitation Application

(1) The habilitation application must be submitted in writing to the Dean's Office of the faculty responsible for the subject.

(2) The application must specify the subject or field for which the habilitation is sought.

(3) The application must include:

1. Curriculum vitae with presentation of the professional and scientific career,
2. Documentation of the doctorate,
3. Written habilitation work,
4. A complete list of scientific and subject-related publications and a reprint or copy of each of the published papers; papers which have not been published may be attached;
5. List of previous teaching activities,
6. A declaration that the applicant completed the written habilitation work independently, used no other sources or aids than those given, and marked the passages taken from other works word-for-word or paraphrased,
7. A statement of any other habilitation applications and habilitation procedures that have been rejected or are ongoing,
8. A statement of criminal and disciplinary proceedings and of any criminal convictions which have not been redressed, and of whether or not academic degrees have been revoked or withdrawn,
9. Documentation of the Baden-Württemberg certificate for University Didactics (HDZ Certificate) if this provides proof of suitability for teaching according to Sec. 2.

The required number of copies can be found in the implementation provisions for the habilitation regulations.

(4) The application may include:

1. A proposal for the appointment of a reviewer to assess the written habilitation work according to Sec. 7,

2. Proposals for the topic and date of the lecture that must be held according to Sec. 8 if this is intended to provide proof of suitability for teaching according to Sec. 2,
3. A request to recognize any already completed courses as habilitation work according to Sec. 8(6) if this is intended to provide proof of suitability for teaching according to Sec. 2(1) no. 2.

(5) The application for habilitation may be withdrawn by written declaration to the chair of the Habilitation Committee without stating reasons until a decision has been made on the acceptance or rejection of the written habilitation work. In this case, the application for habilitation is considered not to have been submitted. In the event of a withdrawal declared at a later date, the habilitation procedure shall be deemed to have been unsuccessfully terminated.

§ 6 Admission

(1) Admission is granted if the requirements in Sec. 4 are met and a proper application as described in Sec. 5 has been submitted.

(2) Admission is not granted if

1. the requirements under Sec. 4 are not fulfilled,
2. the documents according to Sec. 5 are incomplete and are not completed despite requests to do so,
3. more than one habilitation procedure has been unsuccessfully ended,
4. a habilitation request has been submitted at another university or another faculty at the University of Hohenheim and that habilitation procedure is not yet complete,
5. an academic degree has been revoked or withdrawn or facts are known which would lead to this result,
6. the faculty from which admission has been applied for is not responsible for the subject.

(3) The decision on admission to the habilitation procedure is made by the Habilitation Committee.

§ 7 Written Habilitation Work

(1) The written habilitation thesis must have been independently completed and make a significant contribution to scientific knowledge in the subject or field for which the habilitation is being sought. It must demonstrate suitability for the research work assigned to professors. It consists of either a habilitation thesis (monograph) or a cumulative habilitation.

The latter consists of several publications as well as an introductory and a concluding chapter. In these, the publications are to be linked to one another and with the subject or field for which the habilitation is being sought. In the overall assessment, the publications and the accompanying chapters must meet the requirements for written habilitation work.

(2) Habilitation theses and publications may be submitted in German or English. If they are written in another language, they can be recognized or included as written habilitation work if a detailed summary in German is attached and a review by the responsible faculty is possible.

(3) To assess the written habilitation thesis, the Habilitation Committee appoints at least two reviewers who represent the field of study applied for or a related field. In the Faculty of Business, Economics and Social Sciences, at least one of the reviewers should not be a member of the University. Only professors, university lecturers, and privatdozents who work full-time at the University of Hohenheim or another university or equivalent scientific institution can be appointed as reviewers.

(4) The reviews are to be written and must contain a recommendation on the acceptance or rejection of the written habilitation work. They may also recommend a temporary suspension of the procedure for the purpose of revising the written habilitation work. As a rule, the reviews are to be submitted within three months to the chairperson of the Habilitation Committee.

(5) The chairperson submits the written habilitation work, the reviews, and the documents in accordance with Sec. 5(3) no. 1, no. 4, and no. 5 and in accordance with Sec. 8(5) sentence 1 by circulation to the Habilitation Committee for information; the declaration in accordance with Sec. 5(3) no. 6 may be attached. After completion of the circulation procedure, the Habilitation Committee decides, giving particular importance to the reviews, on the acceptance of the written habilitation work and the degree-program-related course in accordance with Sec. 8, provided that the latter constitutes proof of teaching ability in accordance with Sec. 2(1) no. 2. The Committee may also obtain further reviews if the first two reviews differ from each other, or temporarily suspend the procedure so the candidate can revise the written habilitation thesis, especially if the reviews recommend this. The proceedings may be suspended only once and for a maximum of 12 months.

(6) If the written habilitation work is accepted, the procedure shall be continued. If it is rejected, the habilitation procedure is terminated without success. If further reviews are obtained, subsections 1 to 5 shall apply accordingly.

(7) If the proceedings are suspended, the procedure shall be repeated in accordance with subsections 1 to 6.

§ 8 Course for the Proof of Teaching Aptitude

(1) The proof of suitability for teaching can be provided with a degree-program-related lecture according to Sec. 2(1) no. 2. This includes at least two and at most six hours of lecture hours. It must be taken from a university degree program, or at least have a meaningful connection to such a degree program, and must relate to the subject or field for which the habilitation is being sought. The Habilitation Committee is not bound by the applicant's proposals.

(2) The chairperson of the Habilitation Committee sets the date for the lecture in consultation with the candidate. The lecture should be announced separately by posting it on a notice board at the University if it is not part of the existing courses. In this case, there are usually three weeks between the announcement and the lecture.

(3) The Habilitation Committee shall appoint at least two professors, university lecturers, or privatdozents to assess the lecture. At least one assessor must belong to the Habilitation Committee. For habilitation procedures in general, the respective faculty can require the responsible Commission for Study Affairs to issue a statement on the lecture.

(4) The reviewers report in writing to the chair of the Habilitation Committee on the quality of the lecture and make a recommendation on the acceptance of the lecture as a habilitation qualification.

(5) The chairperson of the Habilitation Committee forwards the reports to the members of the Habilitation Committee. The members of the Habilitation Committee must be given the opportunity to ask the reviewer questions. After discussion, the Habilitation Committee decides on the acceptance of the lecture as a habilitation qualification on the basis of the recommendations of the reviews and, if provided by the faculty, after evaluation of the recommendations of the Commission for Study Affairs.

(6) The Habilitation Committee may consider one or more lectures that have already been held as a habilitation qualification pursuant to Sec. 2(1) no. 2 if the applicant applies for this pursuant to Sec. 5(4) no. 3 and submits reviews on this course from two professors or privatdozents who make a recommendation for acceptance as a habilitation qualification.

§ 9 Academic Presentation with Subsequent Discussion

(1) Only those who have successfully completed the two parts of the habilitation qualification pursuant to Sec. 2(1) no. 1 and no. 2 can be admitted to the academic presentation with subsequent discussion.

(2) The Habilitation Committee selects one of three topics proposed by the candidate for the academic presentation. The topics must be taken from the subject or field for which the teaching qualification is sought, but must be different from the topic of the written habilitation thesis. If these requirements are not met, the Habilitation Committee can require the candidate to submit new proposals.

(3) The chairperson of the Habilitation Committee informs the candidate of the date and the selected topic three weeks before the lecture. This period may be shortened by agreement with the candidate. The lecture should last about 45 minutes, the subsequent discussion no longer than about 30 minutes. Only members of the Habilitation Committee have the right to speak and ask questions. The event is open to University members. The members of the Habilitation Committee must be invited, and the reviewers of the written habilitation thesis should be invited. The procedure is led by the chairperson of the Habilitation Committee.

(4) Following the lecture and discussion, the Habilitation Committee decides, in a non-public session, whether the academic presentation is to be accepted as a habilitation qualification.

§ 10 Completion of the Habilitation

(1) If all habilitation requirements according to Sec. 2 have been met, the Habilitation Committee completes the habilitation by deciding on the designation of the subject or field. If the Habilitation Committee wishes to deviate from the requested designation of the subject or field, the applicant must be heard beforehand.

(2) The chairperson of the Habilitation Committee informs the candidate of the result of the habilitation procedure without delay.

(3) A certificate shall be issued for the habilitation. The certificate must contain:

1. First name and surname, date and place of birth, and title of the person who completed the habilitation,
2. The subject of the written habilitation thesis,
3. The designation of the subject or field of the habilitation,

4. The date of the decision referred to in subsection 1,
5. The handwritten signatures of the University President and the Dean,
6. The University seal.

§ 11 Repeating Habilitation Work and the Habilitation Procedure

(1) If the habilitation procedure has been ended unsuccessfully due to the rejection of the written habilitation work, a new application for a habilitation can only be submitted once and after two years at the earliest. Failed attempts at other faculties of German universities or equivalent institutions of higher education in the same or a related subject or field are also to be counted in this calculation.

(2) If one or both oral habilitation elements have been rejected, the relevant qualification and the scientific lecture with subsequent discussion may be repeated once after six months at the earliest and after twelve months at the latest. The written habilitation work remains valid. The Habilitation Committee may extend the deadline for good cause. If the candidate is at fault for missing the deadline or if one or both oral elements are again not accepted, the habilitation procedure is terminated without success. In all other respects the procedure shall be governed by Secs. 8 and 9.

§ 12 Revoking the Habilitation

The habilitation can be revoked by the University of Hohenheim if it has been obtained by inadmissible means, in particular by deception.

§ 13 Authorization to Teach

(1) The right to teach a certain scientific subject or field is awarded by the Habilitation Committee for a successful habilitation. This gives the right to hold the title “Privatdozent” oder “Privatdozentin” if the holder of the title holds courses in the field for at least two contact hours per week.

(2) The authorization to teach may, upon application, also be granted on the basis of a successful habilitation at another faculty of a German university or equivalent institution of higher education if academic achievements exist which would have justified a habilitation in the awarding faculty (“Umhabilitation”).

(3) A certificate shall be issued for the authorization to teach. The certificate must contain:

1. First name and surname, date and place of birth, and title of the person who completed the habilitation,
2. The subject of the written habilitation thesis,
3. The designation of the subject or field which the holder is authorized to teach,
4. The date of the decision referred to in subsection 1,
5. The handwritten signatures of the University President and the Dean,

6. The University seal.

(4) At the latest in the semester following the habilitation, the privatdozent shall give a public inaugural lecture, to which the faculty invites the public.

§ 14 Expansion of the Authorization to Teach

Upon application, the Habilitation Committee of the responsible faculty may extend the habilitation to other subjects or fields in which special scientific achievements have been made in order to prove the qualification. In this case, the oral habilitation work can be waived. The regulations concerning the written or oral habilitation work are to be applied *mutatis mutandis*.

§ 15 Suspension, Revocation, Withdrawal, and Expiration of the Authorization to Teach

(1) The authorization to teach as a privatdozent is suspended

- a) as long as a privatdozent is employed as a professor at his or her own university,
- b) for as long as a privatdozent is employed as a temporary professor at an academic university with the right to award habilitations (Habilitationenrecht) or represents a professorship in a subject for which he or she has been granted the right to teach,
- c) for as long as a privatdozent is employed as a junior professor at an academic university with the right to award habilitations (Habilitationenrecht),

(2) The authorization to teach as a privatdozent shall not be revived if the employment contract as a temporary or junior professor is not extended because the privatdozent has not proved his or her worth in teaching.

(3) The authorization to teach as a privatdozent can be revoked if

- a) the privatdozent does not hold courses of at least 2 semester hours per week for reasons for which he or she is responsible,
- b) an act is committed which, in the case of civil servants, would entail a disciplinary measure which can only be imposed through formal disciplinary proceedings,
- c) there is a reason which, in the case of civil servants, would justify the withdrawal of their appointment as officials,
- d) an unappealable disciplinary measure has been imposed on the privatdozent.

(4) The authorization to teach can be revoked by the University of Hohenheim if it has been obtained by inadmissible means, in particular by deception.

(5) The authorization to teach as a privatdozent expires

- a) by appointment as a professor or by acquiring a comparable legal status at another university with the right to award habilitations,
- b) by appointment as a privatdozent or by acquiring a comparable legal status at another university,

- c) by means of a written renunciation, which must be addressed to the University President,
- d) if the privatdozent is sentenced in ordinary criminal proceedings by the judgement of a German court to a punishment that entails the loss of civil servant rights in the case of civil servants.

(6) Upon revocation, withdrawal, or expiration of the authorization to teach, the right to use the title "Privatdozentin" or "Privatdozent" shall also lapse.

§ 16 Procedure for Decisions Detrimental to the Candidate / Person who Completed the Habilitation

Decisions which end the habilitation procedure by refusing admission (Section 6), the written (Section 7) or oral habilitation (Section 9) elements, or non-recognition of teaching aptitude (Section 8), which deviate from the requested designation of the subject or field (Section 5(2)), or which refuse, in whole or in part, to extend the teaching authorization (Section 14), as well as decisions on the revocation or expiration of the habilitation and the teaching authorization (Sections 12 and 15), shall be notified to the persons concerned in writing by the chairperson of the Habilitation Committee, stating the reasons and giving instructions on legal remedies.

§ 17 Inspection of Files

On request, the applicant must be granted access to the procedural documents after the end of the procedure. The chairperson of the Habilitation Committee determines the place and time for this.

§ 18 Implementation Provisions

The Habilitation Committee may issue implementation provisions for implementing these Habilitation Regulations.

§ 19 Entry into Force

(1) These Habilitation Regulations shall enter into force on the day after they have been published in the University of Hohenheim's Official Communications.

(2) At the same time, the Habilitation Regulations of the University of Hohenheim dated 16 December 1999 (published in the Official Notices of the University of Hohenheim No. 417/00 dated 24 February 2000) shall cease to apply, unless otherwise specified below.

(3) Habilitation procedures that were already started before the entry into force of these Habilitation Regulations shall be completed in accordance with the Habilitation Regulations of 16 December 1999 as amended by the last amending statutes of 18 February 2005.

Stuttgart, 14 February 2013

Professor Dr. Stephan Dabbert
- President -