OFFICIAL TRANSLATION OF

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Habilitation Regulations
for the Department of Economics at Universität Hamburg
dated 7 July 1982

On 2 May 1983 the Ministry of Science and Research ratified the Habilitation Regulations (regulations for postdoctoral qualifications) of the Department of Economics at Universität Hamburg adopted by the Department Council of the Department of Economics pursuant to Section 97 subsection 2 of the Hamburg higher education act (Hamburgisches Hochschulgesetz, HmbHG) dated 22 May 1978 (Hamburg statutes and regulations gazette page 109) on 7 July 1982 after commentary from the Academic Senate in accordance with Section 137 of HmbHG as amended.

Section 1
Purpose of the Habilitation

(1) The Habilitation in the Department Economics serves as proof of the special aptitude for independent scholarly research in one of the Department’s research areas.

(2) Of these areas of research, a Habilitation may be awarded in the fields of economics, business administration, statistics, and econometrics.

Section 2
Habilitation work

(1) The particular aptitude for independent scholarly research will be established through a Habilitation thesis consisting of one or more scholarly publications or work of significance or, in exceptional cases, by an outstanding dissertation. The Habilitation work should represent a material contribution to the advancement of scholarship.

(2) Self-contained contributions to cooperative works, which are clearly distinguishable from contributions by other authors and can be assessed independently, may be recognized and credited as Habilitation work. The applicant must separately present a suitable description of the content and scope of the overall work so that the type and scope of the individual work can be reviewed.

(3) Scholarly works must be composed in German. The Department Council shall decide on any exceptions to this rule.

Section 3
Admission requirements

(1) Admission to a Habilitation requires the completion of a higher education degree program and a doctorate in economics from a German academic higher education institution. In justified exceptional cases, degrees and doctorates outside the field of economics may also be recognized. The requirement of a doctorate may be waived in justified exceptional cases.

(2) Foreign academic degrees shall be equivalent to domestic degrees if they have the same guarantee of qualification.

(3) Those who have already applied for admission to a Habilitation in another department or university are not eligible for admission. Exceptions are possible in justified cases.

(4) The Department Council shall decide on the matters set forth in subsections 1 through 3 above.

Section 4
Admission application

(1) The applicant must submit a written application to the spokesperson of the Department for admission to the Habilitation, setting forth the area of research. The application must be submitted at a time which allows the Department Council to decide upon it during the period when lectures are in session in accordance with Section 5 subsection 1 herein.

(2) The application must include the following:

1. a university degree, a doctoral diploma setting forth the dissertation; in cases of Section 3 subsection 2 herein, certificates of foreign examinations or proof of having passed;
2. an affirmation and statement setting forth whether and with what success the applicant has otherwise applied for admission to a Habilitation;
3. four copies of the scholarly work intended as the Habilitation work;
4. in the case of contributions within the scope of cooperative work, information in accordance with Section 2 subsection 2 sentence 2 and the names of the other authors;
5. an affirmation that the Habilitation work was conducted without the aid of any third party, using only the stated resources;
6. a short curriculum vitae that emphasizes an academic career;
7. a complete list of scholarly publications.
Section 5
Admission to the Habilitation

(1) The Department Council shall render a decision within two months after receipt of the application and the requisite supporting documents about admission to the Habilitation. After admission, the Department Council shall convene a Habilitation committee and appoint a chair and vice-chair upon the recommendation of the spokesperson.

(2) If the applicant is a member of the Department Council, then his or her rights and obligations as a member of the Department Council shall be suspended in all matters concerning his or her Habilitation procedure.

Section 6
Habilitation committee

(1) The Habilitation committee shall consist of seven professors or scholars that have completed a Habilitation, the majority of which must be members of the Department of Economics. The applicant may nominate one member of the Habilitation committee.

(2) The Habilitation committee is responsible for executing the Habilitation procedure. The Habilitation committee shall only have a quorum when at least half of all members are present. Decisions on the acceptance or rejection of the Habilitation work shall require the presence of all members and require a vote by a majority of the members of the Habilitation committee. Abstentions are not permitted. In special cases, the required presence of all committee members for the evaluation of the Habilitation work may be foregone and a vote submitted in writing permitted, provided that scheduling a new meeting is not possible or appointing a new member is not feasible. This will be decided by the Department Council.

(3) The Habilitation committee shall appoint at least three professors or scholars that have completed a Habilitation as assessors. At least two should be members of the Department of Economics at Universität Hamburg. The Department Council shall appoint two external assessors to review the assessments of an evaluated dissertation if the Habilitation work is by a member of the Department. Assessments should be completed within three months.

(4) In the case of work undertaken jointly with others (Section 2 subsection 2), the Habilitation committee may obtain specific information on the applicant’s share of work and it also has the option of requiring the applicant to present his or her share of the work and defend the results in a colloquium with the Habilitation committee.

The Habilitation committee may invite experts to this colloquium.

Section 7
Withdrawal from the Habilitation procedure

The applicant may only withdraw from the Habilitation procedure without having such withdrawal equated with a rejection of the Habilitation work until such time as the assessors have been appointed. The Department Council shall decide on any exceptions to this rule.

Section 8
Inspection of the Habilitation work and the assessments

(1) All assessments shall be submitted to the Habilitation committee. In addition, the assessments and the Habilitation work shall be made available for at least a period of three weeks for confidential inspection by all parties involved in the procedure.

(2) Department professors and faculty members that have completed a Habilitation shall also be authorized to confidentially inspect the work and assessments. They may submit their own comments about the Habilitation work for placement in the academic file.

(3) The inspection period shall commence upon notice given by the spokesperson to those persons permitted to inspect the work. The Department Council may extend the period upon request.

(4) The applicant may request to inspect the assessments. In such an event, it must be warranted that the assessors remain anonymous.

Section 9
Decision about the Habilitation

(1) After the inspection period has expired, the Habilitation committee shall decide whether the applicant has demonstrated a particular aptitude for independent research.

(2) If the Habilitation committee recognizes and accepts the Habilitation work, the spokesperson shall inform the applicant and the Department Council about the decision without undue delay.

(3) If the Habilitation committee does not recognize and rejects the Habilitation work, the spokesperson shall provide the applicant with written notice about this decision. All assessments, with the names of the assessors redacted, prepared for the procedure must accompany this notice. The applicant may within one month after the receipt of the notice of decision and the assessments submit a written response and request to meet with the assessors and members of the Habilitation committee to pose and discuss questions about his or her evaluated work.
(4) If, in the case of subsection 3 above, the applicant takes advantage of his or her time period, the
committee shall render a decision once it has received a submission. If the applicant fails to act within the time pe-
riod provided, then the decision pursuant to subsection 3 sentence 1 shall become final. If the work has been con-
clusively rejected, the spokesperson shall notify the De-
partment Council.

(5) A decision on the verification of the research qualification shall be taken within eight months of re-
ceipt of the application and the requisite supporting doc-
uments (Section 4). In the case of subsection 3 herein, an
additional three-month period shall be added thereto in
order to allow for the completion of the procedure.

Section 10
Completion of the Habilitation

(1) The Habilitation procedure shall be complete upon the issuance of the decision recognizing and ac-
knowledging the research qualification. The spokesper-
son shall execute and issue a diploma of the same affixed
with the seal of the Department. It shall indicate the field
of research in which the Habilitation work was per-
formed.

(2) The postdoctoral graduate shall present the re-
results of his or her work demonstrating the particular ap-
titude for independent scholarly research to the members
of the Department in a public lecture and subsequent
round of discussion. The spokesperson shall dispatch an
invitation at a public Department Council meeting.

Section 11
Notice of the Habilitation

The Department spokesperson shall notify the president
of the University in writing about the Habilitation.

Section 12
Library copies

The applicant shall provide the State and University Li-
brary three copies of any Habilitation work that has yet
to be published within three months of the recognition
and acceptance of the Habilitation work.

Section 13
Renewed attempt

If the Habilitation work is rejected, the applicant may re-
submit a new application for admission to the Habilita-
tion procedure after one year at the earliest. This may
only be done once.

Section 14
Revocation

The Department Council must revoke the decision to rec-
ognize the research qualification if it was acquired by de-
ception as to the existence of essential admission require-
ments or the independent composition of the written
work submitted. The postdoctoral graduate must be af-
forded the opportunity to be heard on the matter prior to

any decision. The postdoctoral graduate must be informed
about the decision on revocation setting forth the reasons
therefor in writing and the president of the University noti-
fied. The Habilitation diploma must be confiscated.

Section 15
Review of the procedure

(1) The Department Council shall rule on objec-
tions from participants and the applicant pursuant to Sec-
tion 64 subsection 5 sentence 3 HmbHG.

(2) This notwithstanding, participants and the ap-
plicant may submit an application to review the Habili-
tation procedure with the committee for research and
early career researchers (Ausschuss für Forschung und
wissenschaftlichen Nachwuchs) or petition for judicial
relief against the decisions of the Department Council
and the Habilitation committee.

Section 16
Effective date and transitional provisions

(1) These Habilitation Regulations shall become
effective the day after their publication in the official
government gazette. The Habilitation Regulations of the
Faculty of Business, Economics and Social Sciences
dated 20 June 1958 for the Department of Economics
shall be repealed on the same day.

(2) A Habilitation procedure that is already pend-
ing upon the effective date of these Habilitation Regu-
lations may, at the applicant’s request, be completed pur-
suant to the prior Habilitation regulations.

Hamburg, 18 May 1983

Ministry of Science and Research

Official Gov’t Gazette p. 869
Amendment
to the Habilitation Regulations for the Department
of Economics at Universität Hamburg

On 25 March 1986 the Ministry of Science and Research
ratified the following amendment to the Habilitation
Regulations (regulations for postdoctoral qualifications)
of the Department of Economics at Universität Hamburg
dated 7 July 1982 (Government publication gazette page
869) as adopted by the Department Council of the De-
partment of Economics on 8 January 1986 pursuant to
Section 97 subsection 2 of the Hamburg higher educa-
tion act (Hamburgisches Hochschulgesetz, HmbHG)
dated 22 May 1978 (Hamburg statutes and regulations
gazette page 109) after commentary from the Academic
Senate in accordance with Section 137 of HmbHG.

Section 13 shall read as follows:

“Section 13
Renewed attempt

(1) If the Habilitation work is rejected, the appli-
cant may resubmit a new application for admission to the
Habilitation procedure after one year at the earliest. This
may only be done once.

(2) The application may only be based on other or
materially amended Habilitation work.

(3) If, in the opinion of the spokesperson of the De-
partment, the application does not meet the requirements
of subsection 2 above, the spokesperson shall notify the
applicant accordingly prior to the Department Council’s
discussion of the application for admission. The appli-
cant shall have the opportunity to withdraw the applica-
tion for admission within one month of receipt of notice.
The period pursuant to Section 5 subsection 1 sentence 1
shall be extended accordingly. The option of withdraw-
ing the application for resubmission may only be in-
voked once.”

Hamburg, 25 March 1986

Ministry of Science and Research

Official Gov’t Gazette p. 637