

OFFICIAL TRANSLATION OF

**Habilitationsordnung der
Fakultät für Geisteswissenschaften der
Universität Hamburg (HabiO GW)
(Amtliche Bekanntmachung Nr. 70 vom 14. November 2012)**

**THIS TRANSLATION IS FOR INFORMATION ONLY –
ONLY THE GERMAN VERSION SHALL BE LEGALLY
VALID AND ENFORCEABLE!**

**Habilitation Regulations for the Faculty of
Humanities at Universität Hamburg**

dated 14 November 2012

On 25 February 2013 in accordance with Section 108 subsection 1 of the Hamburg higher education act (Hamburgisches Hochschulgesetz, HmbHG) dated 18 July 2001 (HmbGVBl p. 171), as amended 4 December 2012 (HmbGVBl. p. 510, 518), the Executive University Board of Universität Hamburg ratified the Habilitation Regulations adopted by the Faculty Council of the Faculty of Humanities on 14 November 2012 in accordance with Section 91 subsection 2 no. 1 HmbHG.

Section 1

Habilitation and the determination of facultas docendi

(1) Proficiency specific to conducting independent academic and scientific research in the subjects of the Faculty of Humanities can be ascertained in the Habilitation procedure set forth below.

(2) In a parallel procedure, the Habilitation candidate may apply for determination of special qualification for independent academic and scientific teaching.

(3) At the same time a teaching authorization may be issued pursuant to Universität Hamburg bylaws on granting a teaching authorization as a Privatdozent in accordance with Section 17 subsection 2 of the Hamburg higher education act (Privatdozentursatzung) dated 17 November 2011 (Satzung der Universität Hamburg über die Verleihung der Lehrbefugnis als Privatdozentin oder Privatdozent gemäß § 17 Absatz 2 HmbHG (Privatdozentursatzung)).

Section 2

Habilitation requirements

Proof of the ability to conduct independent academic and scientific research is provided by a Habilitation thesis in the form of a monograph or through academic or scientific publications as well as through a colloquium. If proof is provided through academic and scientific publications, these must be comprehensively interpreted, evaluated, and discussed in an overarching text that links the publications. If Habilitation work is part of joint research work, then the authors must identify those portions of the publication so as to be clearly distinguished and recognized as the applicant's own work, allowing for an independent evaluation.

Section 3

Notification of intent to commence a Habilitation

The office of the dean should be notified in writing no later than six months before the submission of any application in accordance with Section 4 of any intention to apply for admission to a Habilitation procedure.

Section 4

Application for admission to a Habilitation procedure

(1) The application for admission to a Habilitation procedure must be submitted in writing to the office of the dean. The application must specify the subject for which the research and, where sought, teaching qualification, is sought.

(2) The following must be included with the application:

1. The Habilitation thesis as a bound hardcopy written in either German or English as well as any other written Habilitation work per Section 2 herein on a standard electronic storage device or in the same form,
2. Information in accordance with Section 2 sentence 3 herein for Habilitation work stemming from joint research work and the names of the other authors,
3. A curriculum vitae written in German that provides specific information about the course of education and continuing academic and scientific education and training after completing higher education studies,
4. A certified copy of the doctoral diploma,
5. A complete list of publications,
6. A declaration about whether the applicant has already attempted a Habilitation in another department or faculty,
7. An affidavit affirming that the Habilitation work was completed without any third-party assistance and that only the listed aids and resources were used,
8. Proof of the requirements pursuant to Section 5 subsection 1 nos. 1 and 2,
9. Proof of the applicant's prior courses,
10. For Protestant theology, a statement by the applicant that he or she is a member of a Christian church. The Habilitation committee may decide on any exceptions to this rule upon a recommendation by a member from the Department of Protestant Theology.

(3) At least three bound copies of the Habilitation work must be submitted.

Section 5 Admission requirements

(1) Upon submission of an application, admission to a Habilitation procedure requires the applicant has

1. successfully completed a degree program for a subject relevant for the Habilitation at a foreign or domestic academic higher education institution,
2. been conferred a doctorate, either domestically or internationally, for a subject relevant to the Habilitation with excellent results,
3. worked at least eight hours per week in academic teaching for a semester.

(2) A doctoral degree obtained outside the jurisdictional purview of the German constitution or some other corresponding degree or examination, may be recognized as sufficient for a Habilitation, provided that the degree was obtained under conditions or rather the examination was passed under conditions equivalent to those applicable to the acquisition of a doctorate from the Faculty of Humanities at Universität Hamburg.

Section 6
Reasons to deny admission

(1) Admission to a Habilitation procedure must be denied if:

1. the applicant has submitted an application somewhere else for which no final decision has been made, or
2. the Habilitation application is incomplete or not accompanied by all necessary documents (Section 4) as well as if the applicant has not fully supplemented the application and the documents despite the deadline set by the dean; if the failure of compliance is not attributable to the applicant, the dean shall set a new deadline for the applicant, or
3. if the applicant has failed a previous Habilitation procedure at another university.

Section 7
Admission to the Habilitation procedure

The office of the dean shall decide on admission to the Habilitation procedure. The applicant must be informed of the decision in writing. If the application for admission is rejected, the decision must be substantiated in writing and accompanied by information about legal rights and remedies.

Section 8
Habilitation committee

(1) A Habilitation committee is appointed by the body responsible under HmbHG subsequent to admission in accordance with Section 7 of these Regulations. The committee decides all further matters for the procedure within the meaning of Section 9 of these Regulations.

(2) The committee comprises the dean as chair and at least three full-time professors. The dean may delegate the chairmanship to the spokesperson or their deputy of the department to which the subject for which the research qualification and, if applicable, the teaching qualification are to be awarded can best be assigned.

The chair is not entitled to vote. The following may be appointed as committee members:

1. Professors from the Faculty of Humanities,
2. Professors who are not full-time members of the Faculty of Humanities; however, the proportion of this group may not exceed one third of the number of committee members,
3. Other members in the Faculty of Humanities who have completed a Habilitation, however, the proportion of this group may not exceed one third of the number of committee members,
4. External readers who are qualified to evaluate the written Habilitation work.

The voting members of the committee are selected to ensure the majority works as closely as possible with research in the subject areas for which the applicant wishes to demonstrate their competence pursuant to Section 1 subsection 1 herein. The body responsible in accordance with HmbHG must also appoint two alternate members to the committee and determine the order of replacement in cases where sitting committee members are prevented from carry out their duties.

If an applicant is attempting to complete a Habilitation in Protestant Theology, the Habilitation committee must contain members who have completed a Habilitation in each of the six subjects within the Department of Protestant Theology.

Section 9

Procedure within the Habilitation committee

(1) The Habilitation committee renders a decision about the written and oral performance in a closed session.

(2) Each committee member's final decision must be recorded together with their name. Abstentions are not permitted. Invalid votes are counted as negative votes.

Section 10

Evaluation of the Habilitation thesis

(1) In order to evaluate the Habilitation dissertation or other Habilitation work, the Habilitation committee must commission at least two assessments, at least one of which from an external source and at least one of which from a full-time university teacher. If more than two assessments are commissioned, the applicant must then subsequently submit a corresponding number of additional copies of the Habilitation thesis.

(2) The assessments must be submitted in writing and independently of one another. They must contain a detailed justification for the recommendation to accept or reject the Habilitation thesis or other Habilitation work.

(3) The assessments should be completed within three months.

(4) The assessments and the Habilitation thesis must be made available for inspection at the office of the dean or at a location specified by the dean's office for three weeks or, four weeks during reading period. All university teachers and members of the faculty who have completed a Habilitation may inspect the thesis and the assessments and submit a written opinion, which must be added to the Habilitation file. This group of persons must be informed by the office of the dean in an appropriate manner about the availability of the Habilitation thesis and the assessments for

inspection. In the event that opinions are received during the display period, the office of the dean may commission the preparation of an additional external assessment.

(5) After the end of the display period, the Habilitation committee deliberates whether the written work should be recognized as a Habilitation thesis as defined in Section 1 herein. A negative decision must be justified in writing by the office of the dean or an authorized member of the committee and must be accompanied by information about legal rights and remedies.

(6) If there are considerable doubts about whether the written work is sufficient to be accepted as a Habilitation thesis, the Habilitation committee may return the applicant's written work without rendering a decision in the matter so the applicant may revise the work. For this, the committee must specify a period of at least six months and no more than two years for revisions. The Habilitation committee may extend this period upon an application. If the applicant does not resubmit the thesis by the end of the deadline, the Habilitation application is deemed to have been rejected.

Section 11 Colloquium

(1) If the Habilitation committee has recognized the written work as sufficient, an oral examination as a colloquium is scheduled, in which there must be a scholarly presentation and subsequent discussion. For the presentation, the applicant must propose three topics not addressed in the Habilitation thesis, which are suitable for general discussion, before any decision is rendered on the written work. The Habilitation committee decides the suitability of the topics and selects one for the colloquium. If one or more topics are considered unsuitable, the applicant must respectively propose alternative topics.

(2) The office of the dean shall inform the applicant about the selected topic at least four weeks prior to the date of the presentation. Subsequent to notification about the selected topic, the applicant may waive compliance with the waiting period.

(3) The colloquium is open to the university public and should not exceed a total duration of 120 minutes.

(4) The presentation should last between 30 to 45 minutes. It should demonstrate the applicant's ability to present and discuss a significant scholarly issue in depth.

(5) The presentation is followed by a discussion presided over by the chair of the Habilitation committee. In addition to the members of the Habilitation committee, all professors and members of the Faculty of Humanities who have completed a Habilitation are entitled to ask questions.

Section 12

Decision about the colloquium

(1) After the colloquium, the Habilitation committee decides whether to recognize the oral Habilitation work in a closed session.

(2) If the Habilitation committee recognizes the work as Habilitation work, it must then decide on the subject for which competence has been substantiated as set forth in Section 1 subsection 1 herein. The chair must notify the applicant about the decision promptly.

(3) If the Habilitation committee does not recognize the work, the chair must verbally notify the applicant about the decision without undue delay. Additionally, the reasons for non-recognition must be provided in writing within two weeks of the decision by the chair of the Habilitation committee together with information about legal rights and remedies. A new colloquium may only be held after three months at the earliest. The Habilitation committee decides this. Section 11 shall apply to the new colloquium *mutatis mutandis*. No further colloquia are permitted.

Section 13

Publishing the Habilitation thesis

(1) The Habilitation thesis must be published. The office of the dean determines the number of printed or reproduced copies the Habilitation graduate must provide in accordance with State and University Library requirements. Moreover, the office of the dean also determines in what form printed copies may be substituted with other information media.

(2) The Habilitation graduate must deliver two mandatory copies to the office of the dean.

Section 14

Completion of the Habilitation procedure

(1) The Habilitation procedure is completed upon the dean signing and tendering the Habilitation diploma affixed with the seal of the faculty. In the case of a Habilitation in one of the subjects of Protestant Theology, the diploma must be signed by the dean and the spokesperson for the Department of Protestant Theology.

(2) The Habilitation represents the conferral of a research qualification. Upon application pursuant to Section 1 subsection 2 of these Regulations, the teaching qualification is conferred in a parallel procedure.

Section 15

Renewed application for Habilitation

A renewed application for a Habilitation may only be submitted once, and at the earliest one year after the final rejection of the Habilitation application.

The submission of new Habilitation work (Section 2) is a requirement for the application.

Section 16

Revocation of the Habilitation

The dean must revoke the Habilitation if it was obtained by impermissible means, in particular through deception. The Habilitation graduate must be afforded the opportunity to be heard on the matter prior to any decision. The Habilitation graduate must be informed of the revocation in writing and the president of the University notified. The Habilitation diploma must be confiscated.

Section 17

Effective date

These Habilitation Regulations become effective the day after their publication in the official government gazette. They apply to applications for admission to Habilitation procedures submitted to the dean after becoming effective. Habilitation applications submitted before the effective date of these Regulations will be carried out in accordance with most recently applicable departmental Habilitation regulations.

Hamburg, 25 February 2013

Universität Hamburg