

Dresden University of Technology (TUD)
Faculty Languages, Literatures, and Cultures
Degree Requirements and Regulations for the Habilitation Degree

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Pursuant to §§ 41 and 88 Para. 2 of Higher Education Act of the Free State of Saxony (Sächsisches Hochschulgesetz - SächsHSG) dated December 10, 2008 (SächsGVBl. p. 900), last amended by Article 10 of the Act of June 26, 2009 (SächsGVBl. pp. 375, 377), the faculty council of the Faculty of Languages, Literatures, and Cultures of Dresden University of Technology enacted, on January 30, 2011, the following degree requirements and regulations for the postdoctoral university qualification of “Habilitation.”

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§ 1 Habilitation

(1) The process of obtaining the postdoctoral university research and instruction qualification of *Habilitation* serves to formally determine a candidate's distinguished research competency as well as their ability to teach independently in a specific subject or subject area. The license to teach is awarded as part of the habilitation.

(2) Based on successful habilitation, the candidate is awarded the degree of "habilitated doctor of philosophy." The doctoral degree is then given the extension of "habil." In addition, successful habilitation entitles the candidate to alternatively choose to bear the degree title of "Doctor" in conjunction with the lawful title of "Privatdozent" (PD) in place of the academic title awarded in accordance with Clauses 1 and 2.

(3) Habilitation is only possible if the subject or subject area chosen is represented by at least one full-time professor at the Faculty and if a professor representing the subject or subject area has declared their willingness to carry out an assessment of the habilitation thesis.

(4) Should the habilitation process be part of the subject matter competency of several faculties at Dresden University of Technology, a joint habilitation board can be formed by mutual agreement of these faculties.

§ 2 Habilitation board

(1) To carry out the habilitation process, a habilitation board is set up by the expanded faculty council. The habilitation board consists of the Dean, four additional professors or habilitated persons from the Faculty, up to three co-opted professors or habilitated persons from other faculties of Dresden University of Technology, and three habilitation thesis reviewers. The habilitated persons must be full-time employees of Dresden University of Technology. For the habilitation thesis reviewers, § 8 Para 1 holds accordingly. The Dean is chair of the board. He or she can transfer the chair to the Vice-Dean or to the Dean of Studies. The chair of the board cannot simultaneously be one of the habilitation thesis reviewers.

(2) Those members of the habilitation board that are not public employees are to be committed to duty of confidentiality by the chair. Deliberations of the habilitation board are not public.

(3) The habilitation board has a quorum if the majority of its members are present. It makes decisions based on the majority of all valid votes cast. In the case of a tie, the chair of the board decides.

(4) Minutes shall be recorded of the deliberations of the habilitation board. The minutes shall contain verbatim records of the decisions and recommendations as well as of the results of votes.

§ 3 Habilitation committee

(1) The habilitation committee has to be convened if there is a requirement of the habilitation whose assessment the habilitation board cannot reach agreement on and if at least one third of the habilitation board's members request the convening of the habilitation committee. Once convened, the habilitation committee takes over the responsibilities of the habilitation board for the entire habilitation process up to its conclusion. In such an event, the operative regulations of the present degree requirements and regulations shall apply for the habilitation committee accordingly.

(2) The habilitation committee consists of the Faculty's full-time professors and its habilitated persons.

(3) The habilitation committee has a quorum if half of the faculty's full-time professors are present. Decisions shall be made based by the majority of valid votes cast.

(4) Otherwise, § 2 holds accordingly.

§ 4 Prerequisites for habilitation

(1) Admission to habilitation shall be granted to such a person

1. who holds the degree of Doctor of Philosophy (PhD) from a German university
2. who, as a rule, has been involved in academic teaching and research for several years.

(2) At the candidate's request, another doctoral degree or an equivalent degree from a foreign university can be recognized and accepted as the prerequisite for admission to habilitation. Recognition of a foreign academic degree is only possible if the candidate is legally entitled to holding this degree title in the Federal Republic of Germany.

§ 5 Habilitation requirements

(1) The habilitation requires the successful completion of a habilitation thesis, an academic talk with subsequent colloquium, and a sample lecture.

(2) The habilitation thesis must represent an independently completed academic achievement in the subject or subject area for which the license to teach independently is to be awarded; it must be a significant original contribution to the body of knowledge and must differ substantially from the PhD dissertation. It must be drawn up in German. The faculty council can also admit the drafting of the habilitation thesis in another language if the feasibility of its assessment has been ensured. In very exceptional cases, a number of academic publications that jointly are equivalent to a habilitation thesis may be submitted as a monograph in lieu of the habilitation thesis (cumulative habilitation).

(3) The academic talk must not extend to the topic area of the habilitation thesis and shall deal with an essential problem of the subject or subject area in which habilitation is pursued. The academic talk as well as the subsequent colloquium is to prove the candidate's ability to represent the habilitation subject in appropriate depth and breadth.

(4) The sample lecture shall deal with an essential focus of the habilitation subject and must not extend to the topics of the habilitation thesis or the academic talk. It serves to prove the candidate's ability to explicate a complex subject to students in a good fashion.

§ 6 Habilitation request

(1) The habilitation process is initiated at the written request of the candidate (habilitation request). The habilitation request is to be addressed to the Dean, indicating the subject or subject area for which the license to teach shall be attained.

(2) The habilitation request shall have the following attachments:

1. the habilitation thesis
2. a synopsis of the habilitation thesis, maximum length: three pages
3. a declaration that the candidate has prepared the habilitation thesis independently and that it is the result of the candidate's own investigations and, in the event of a joint thesis, a declaration as to what part of the work is the candidate's own contribution,

4. a list of the candidate's academic publications, including attachments of copies and samples
5. a CV that is telling of the candidate's personal and professional career development,
6. a delineation of the candidate's previous academic teaching experience
7. the PhD certificate
8. a declaration regarding any previous habilitation requests at other universities and their results
9. three suggested topics for the academic talk and the sample lecture, and
10. a declaration that as required by § 30 Para. 5 of the Federal Central Criminal Register Act, a certificate of good conduct has been requested from the Federal Central Registrar.

The suggested topics from 9. can still be altered by the candidate before the decision regarding admission of the habilitation thesis. A proposal for three possible thesis reviewers may be attached to the request for habilitation. Such a proposal does not imply any entitlement.

(3) The materials are to be submitted in writing and must be authorized by the candidate's signature; the PhD certificate is to be submitted as an officially certified copy. Five copies each are to be attached of the materials specified in Para. 2 Clauses 1 through 5. The submitted materials become part of the habilitation file. This does not hold for offprints or publications.

(4) The candidate can drop his or her habilitation request anytime before the announcement of admission or rejection of the habilitation thesis.

§ 7

Initiation of habilitation process

(1) The Dean ascertains the subject matter responsibility of the Faculty as well as the completeness and validity of the materials submitted. The faculty council decides on the candidate's admission to habilitation and initiates the habilitation process.

(2) Initiation of the habilitation process is refused if

1. the requirements specified in § 1 Para. 3 are not fulfilled,
2. the requirements specified in § 4 are not fulfilled,
3. the materials to be submitted with the habilitation request are incomplete,
4. the candidate has made a request for habilitation elsewhere and the process concerned is not finished,
5. the candidate has repeatedly not passed a habilitation process,
6. the requirements for the revocation of academic degree title or for a ban on working as a university professor are fulfilled.

(3) After the initiation of the habilitation process, the faculty council appoints the habilitation board. The Dean lets the candidate immediately know in writing about the initiation of the habilitation process and the composition of the habilitation board by naming the appointed reviewers. In addition, all professors of the Faculty shall be informed in writing about the initiation of the process by being sent the synopsis that the candidate had submitted.

(4) The Dean and the habilitation board see to the timely completion of the process. As a rule, there should be no more than six months between the date of request for habilitation and the completion of the habilitation.

§ 8

Assessment of the habilitation thesis

(1) The habilitation thesis is to be assessed by three thesis reviewers. The thesis reviewers must be full-time university professors. There shall be one thesis reviewer who is not a faculty at Dresden University of Technology.

(2) The assessments are to be made within three months. If a thesis reviewer defaults severely on this deadline, the expanded faculty council can appoint a new thesis reviewer. The assessments must contain an unequivocal recommendation regarding the decision for or against admission of the submitted paper as the habilitation thesis.

(3) After receipt of the assessments, the habilitation thesis and the assessments are made accessible for inspection to all members of the habilitation board as well as to the other university professors and to the full-time habilitated persons at the Faculty by appropriate placement at the Dean's Office for a duration of three weeks, as a rule. They are notified about this in writing. They have the right to make a written response.

§ 9

Admission and rejection of the habilitation thesis

On the basis of the reviewers' assessments, the habilitation board decides on the admission of the habilitation thesis. If the assessments cannot agree on a joint recommendation or if there is a deviation from the joint recommendation of the assessments, the reasons for such a decision have to be given in writing. Should the habilitation thesis be rejected, the habilitation process is terminated. For the repetition of the process, § 16 of the Requirements and Regulations holds. If the habilitation process is repeated, the habilitation board decides as to whether an edited version of the habilitation thesis may be handed in or if a new habilitation thesis has to be submitted. Publication of the rejection proceeds according to § 18 of the Requirements and Regulations.

§ 10

Academic Talk and Colloquium

(1) After receipt of the habilitation thesis, the habilitation board sets up a date for the academic talk and the colloquium, and selects the topic for the academic talk from the list of the candidate's suggestions. The habilitation board can reject unsuitable topics by asking the candidate to make other suggestions.

(2) No later than two weeks before the agreed date, the Dean asks the candidate to give the academic talk and colloquium, and assigns him or her the topic thereof. At the same time, the chairperson sends a written invitation for these dates to the members of the habilitation board and habilitation committee. The board and committee members are entitled to participate in the discussion. Moreover, the talk and colloquium are open to all members of the Faculty.

(3) The academic talk lasts 30 minutes. Talk and colloquium shall not exceed a maximum of 90 minutes. The topic of the academic talk is the main focus of the colloquium.

(4) Academic talk and colloquium are assessed in summation by the habilitation board. Deliberation, decision-making, and announcement take place immediately following the colloquium. The Dean announces the result to the candidate immediately afterwards and in the presence of the habilitation board. If the result is considered sufficient, the habilitation board fixes both the date and topic for the sample lecture.

(5) If the result is not considered sufficient, academic talk and colloquium can only be repeated once, three months later at the earliest and six months later at the latest. To this end, the habilitation board selects another topic from the topics suggested by the candidate. Should the repetition also not be considered sufficient, the habilitation board establishes that the habilitation process has been terminated.

§ 11 Sample lecture

- (1) The sample lecture lasts 45 minutes.
- (2) The sample lecture is public and open to the entire university. Scheduling of the sample lecture must allow for sufficient university turnout.
- (3) § 10 Para.s 1 and 2 as well as Para.s 4 through 5 hold accordingly. Before the decision-making about the grade for the sample lecture, students are to be given suitable opportunity for response by the chairperson of the habilitation board.

§ 12 Conferral of habilitation degree

- (1) Once the candidate has successfully completed all the requirements of the habilitation, the habilitation board decides on the success of the habilitation process. The decision names the subject or subject area for which the license to teach has been earned.
- (2) The candidate receives a habilitation diploma certifying the conferral of the academic degree of habilitated doctor of philosophy. The diploma must list:
 1. Name, first name, date of birth, and place of birth of the habilitated person,
 2. the academic degree title conferred,
 3. the topic of the habilitation thesis,
 4. the subject or subject area that the license to teach has been earned in,
 5. the date of the habilitation board's decision on the success of the habilitation process in line with Para. 1,
 6. the signatures of the President of the University ("Rektor") and of the Dean, and
 7. the seal of Dresden University of Technology.

In addition, the candidate receives written notification from the President of the University ("Rector") of the authorization in accordance with § 1 Para. 2 Clause 3.

§ 13 Title-bound teaching load ("Titellehre")

Subsequent to conferral of the habilitation degree, the habilitated is entitled and obliged to take on a teaching load of 2 credit hours (SWS), the so-called "title-bound teaching load" ("Titellehre") at the Faculty. A violation can result in the revocation of the habilitation. The decision is up to the faculty council.

§ 14 Extension of license to teach

Upon request, a license to teach awarded in an earlier habilitation process can be supplemented or extended. The candidate has to prove his or her distinguished research competency and autonomous teaching ability in the extended or new subject area by means of scientific publications. Regarding the assessment of the publications and the decision-making of the habilitation board, §§ 8 through 11 hold accordingly.

§ 15

Rededication of habilitation degree

If someone has already completed his or her habilitation at another university, they can make an official request to the Faculty for a rededication of his or her habilitation. In the event of a rededication of habilitation, the habilitation board makes the pertinent decision on the basis of the habilitation thesis and on the basis of the assessments from the successfully completed habilitation process. Colloquium and sample lecture are omitted. Otherwise, §§ 7 through 9 hold accordingly.

§ 16

Retaking of habilitation

If a habilitation process has not led to habilitation, a new request can only be filed a year later at the earliest. Repetition of the process is only possible once. Repetition of the process requires that a new habilitation board be appointed according to § 2 of the Degree Requirements & Regulations.

§ 17

Revocation of the habilitation degree

(1) Revocation of the habilitation degree is performed in compliance with the operative rules and regulations. The decision is up to the faculty council.

(2) Should it turn out before the conferral of the habilitation diploma that the candidate has attained admission to the habilitation process through fraud or that he or she has become guilty of fraud during the habilitation process, then the habilitation board will declare the completed habilitation requirements invalid and will establish that the habilitation process has ended unsuccessfully.

§ 18

Negative decisions

Negative decisions in accordance with these degree requirements and regulations are announced by means of written notification from the Dean, including reasons and advice of legal remedies. Appeal authority is the faculty council.

§ 19

Inspection of records

Within the year following the habilitation process's conclusion, the habilitated person is to be granted access to his or her habilitation files and records.

§ 20

Entry into force and temporary provisions

(1) These degree requirements and regulations shall take effect as of one day after their publication in the Official Announcements of Dresden University of Technology (“Amtliche Bekanntmachungen der Technischen Universität Dresden”). Their entry into force overrides the previous habilitation degree requirements and regulations of July 12, 2001.

(2) Candidates who have submitted an application for admission to the habilitation process prior to the time at which these rules and regulations on habilitation take effect are entitled to choose between these rules and regulations and those that previously applied.

Drawn up on the basis of the decision of the faculty council of the Faculty of Languages, Literatures, and Cultures from Dec 15, 2010, and the approval of the President's Office ("Rector's Office") from January 11, 2011.

Dresden, January 30, 2011

The President ("Rektor")
Of Dresden University of Technology

Prof. Dr. Dr.-Ing. habil. Hans Müller-Steinhagen