

## **Habilitation regulations of the Faculty of Science at the University of Tübingen**

On 25 July 2024 the University of Tübingen Senate passed the following habilitation degree regulations in accordance with section § 39 (5) sentence 1 of the state law governing institutions of higher education (Landeshochschulgesetz, LHG) of 1 January 2005 (GBl. p. 1), in the version of 1 April 2014 (GBl. p. 99) as amended on 7 February 2023 (GBl. p. 26, 43).

Approved by the President on 25 July 2024.

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### **§ 1 Significance of the habilitation**

- (1) The habilitation serves as proof of the holder's particular ability to independently represent a certain academic field in research and teaching. The authorization to teach a certain academic subject or discipline is conferred on the basis of a successfully completed habilitation.
- (2) Habilitation is only possible in the subjects or disciplines represented in research and teaching in sufficient breadth at the University of Tübingen's Faculty of Science.
- (3) If a habilitation is additionally sought for subjects or disciplines that are represented at another faculty of the University of Tübingen, a case-by-case habilitation procedure must be agreed with the relevant faculty, taking into account each faculty's habilitation regulations.

## **§ 2**

### **Demands of the habilitation**

- (1) The habilitation is conferred on the basis of written and oral habilitation assessment under §§ 8 and 9. Teaching aptitude according to § 7 is assumed.
- (2) During the habilitation writing period, an interim evaluation of the project must be carried out in the department responsible for the relevant habilitation subject(s). Along with academic performance, the candidate's teaching performance to date must be assessed. The habilitation application must be accompanied by a positive statement from the department; this statement should include an assessment of the teaching aptitude to be confirmed within the habilitation procedure (cf. §7). If more than one department is involved, this interim evaluation must be carried out in each of the departments. The specific requirements are set out for each department in the implementation provisions of these regulations. The habilitation application should be submitted no later than two years after the interim evaluation. If this period has expired, the department shall decide on a new evaluation.
- (3) The habilitation must be completed in an appropriate period of time, include the time required for assessment.

## **§ 3**

### **Procedure and habilitation board**

- (1) The faculty's habilitation board shall decide on the recognition of habilitation assessment and on all matters within the framework of the habilitation process for which no special regulation has been made. The dean is head of the habilitation board. The head of the board works towards the goal of completing the habilitation process if possible within one year.
- (2) The habilitation board is composed of the Dean (as head of the committee with voting rights) and three selected members per department, of whom at least two must be full professors in the respective departments. Eligible are professors and university lecturers, employed full time within the subject-related department and who hold a habilitation or equivalent, and persons with *Privatdozent* status who hold a habilitation in the discipline and who are employed full-time by the University of Tübingen. The standing members of the habilitation board are nominated by the departments and confirmed by the faculty council. When appointing the habilitation committee, care must be taken to ensure that as many of the department's research areas as possible are covered and, in particular, that interdisciplinary doctoral subjects and interfaculty institutes are sufficiently represented (where applicable). The term of office is three years. Examiners appointed under § 8 (4) who are not members of the doctoral examination committee according to sentence 1 above may be consulted for their expertise.
- (3) The head of the board may call upon up to two further persons with close links to the discipline as defined under (2) sentence 2. For the academic lecture and colloquium under § 9 (1) and for the decisions in accordance with § 7 (3), § 9 (5), § 10 (1) and § 14 (2), professors with a relevant habilitation or equivalent who are employed full time in

the related department or departments of the faculty; and persons with *Privatdozent* status working full-time at the University of Tübingen who hold a habilitation in the related discipline or disciplines are to be included and granted voting rights (full habilitation board). Upon request, full-time professors from other faculties and departments as well as persons with *Privatdozent* status who work full-time at local research institutions or other departments and faculties may also be invited to vote by the head of the board.

- (4) The habilitation board has a quorum if at least 12 members and the head are present. Persons consulted in accordance with (3) sentences 2 and 3 are to be counted as members of the full habilitation board when decisions are made in accordance with § 7 (3), § 9 (5), § 10 (1) and § 14 (2).
- (5) Habilitation board meetings are held *in camera*.
- (6) The acceptance of habilitation assessment requires a majority of the voting members of the respective habilitation board to be present; persons called in to give subject-relevant expertise under (3) sentence 1 are to be included as members of the habilitation board. The decision is reached by open ballot. Abstention from voting is not permitted. If habilitation work is rejected, the vote of each board member must go on the record, together with an explanatory statement for the vote; this statement may refer to an examiner's report or a reasonable objection.
- (7) Those involved are obliged to maintain confidentiality. This obligation also extends to confidentiality regarding all associated documents. Furthermore the Faculty council's general regulations apply, insofar as no other requirement arises from these habilitation regulations.

## **§ 4 Requirements for the habilitation**

- (1) Admission to the habilitation process requires a doctorate and usually several years of academic work in research and teaching.
- (2) Persons seeking a habilitation must usually have a doctoral degree from a German institution of higher education.
- (3) In the case of applicants with an equivalent academic degree from an institution outside Germany, the doctoral requirement is fulfilled if they have the right to use the title in Germany.
- (4) The applicant must usually have worked for several years after completing his/her doctorate in academic research and teaching in the subject or field for which he/she wishes to complete a habilitation. Academic experience must usually be documented by academic publications. The habilitation board shall decide on any exceptions.
- (5) The applicant must have taught classes with a workload of at least 8 semester credit hours within the subject(s) or discipline(s) for which the *venia legendi* (authorization to teach) is sought. At least 2 semester credit hours should have been taught at the Faculty of Science. As far as this is possible, the applicant should also have been involved in

the teaching of a Bachelor's-level class. The habilitation board shall decide on any exceptions.

- (6) A prerequisite for admission to the habilitation is a positive interim evaluation of the habilitation project, which is usually carried out in the respective department (cf. § 2 (2)).

## **§ 5 Habilitation request**

- (1) A habilitation request must be submitted to the head of the habilitation board. The request must clearly state in which subject or discipline the applicant seeks a habilitation. It must include:
1. a curriculum vitae with an outline of the applicant's academic career,
  2. documentation of the applicant having met the requirements for a doctorate under § 4 (2) and (3),
  3. a habilitation thesis and where applicable other academic works under § 8 (2) sentence 2 or the academic publications or the ready-for-press academic works upon the basis of which the habilitation is applied for, including a summary,
  4. a complete list of academic publications and a list of classes taught by the applicant,
  5. a guarantee that the habilitation thesis or academic works presented, insofar as they were authored by the applicant alone, were created by him/her independently and without the help of any resources other than those set out in the thesis; in the case of academic works authored jointly by the applicant and others, a declaration on the parts of the academic work contributed by the applicant, as well as the guarantee that these parts were created independently and without the help of any resource other than those set out in the thesis; also a guarantee that the list of academic publications under no. 4 is complete,
  6. a written declaration on other pending or unsuccessful habilitation processes,
  7. a declaration on criminal convictions, disciplinary measures and pending criminal and disciplinary proceedings, insofar as the duty to disclose is not barred by § 51 of the applicable law (Bundeszentralregistergesetz), and
  8. a police clearance certificate issued no more than 6 months previously.
- (2) Until the decision on the habilitation thesis has been made under § 8(7), the habilitation request may be withdrawn by written declaration to the head of the habilitation board without specific reasons; as a result, the thesis would count as not submitted.
- (3) The habilitation documents are to be archived in an appropriate manner by the Dean's Office.

## **§ 6 Admission to the habilitation process**

- (1) The habilitation board decides on admission to the habilitation process after reviewing whether the requirements set out in §§ 4 and 5 have been met.

- (2) If the applicant has already unsuccessfully ended a habilitation process at a German institution of higher education in the subject or discipline in which a habilitation request has been made under § 5 (1) sentence 2, the admission is as admission to a repeat process under § 11. The habilitation board may decide that this applies in the case of an unsuccessful comparable process outside Germany.
- (3) Admission will be denied if:
  1. the habilitation request is incomplete and is not completed despite a request for compliance,
  2. the requirements for admission set out in § 4 are not met,
  3. the applicant is involved in a current habilitation process in the same subject or discipline at another location or
  4. the faculty cannot academically assess the habilitation work.
- (4) Generally, admission will be refused if more than one habilitation process in the subject or discipline specified in the habilitation request has been unsuccessfully ended even outside the faculty.
- (5) As a general rule, an applicant will be refused admission if there are reasons justifying the stripping of his/her academic titles, or if he/she has had an academic degree revoked. Admission will be denied if there are reasons which would, in the case of a person with *Privatdozent* status, lead to the termination of his/her authorization to teach under § 17 (1) nos. 3, 4. Admission may be denied if there are reasons which would, in the case of a person with *Privatdozent* status, lead to the revocation of his/her authorization to teach under § 17 (4) nos. 2, 3, 4, 5.
- (6) If there are reasons for which admission would have to be denied or could be denied under (5), any admission already granted may be revoked.

## § 7

### Proof of teaching aptitude

- (1) The habilitation board shall decide on the matter of teaching aptitude. The following criteria may serve as a basis for the decision. Fulfillment by the candidate of the various subject-specific requirements as defined in supplementary implementation provisions; the subject's representatives must check this.
  1. Positive assessment of teaching performance by the department, for example as part of the interim evaluation (cf. §2 (2)).
  2. The applicant has successfully completed a module of the Baden-Württemberg Zertifikats für Hochschuldidaktik/ Certificate of University Didactics or comparable didactic training and further education.
  3. The applicant has completed teaching of at least three semesters of program-relevant classes totaling at least 12 semester credit hours. Evaluations of these classes must be enclosed.

4. The applicant has taught a program-relevant class which has been positively evaluated and recognized by the habilitation board. Corresponding regulations are listed in (2) - (4).

The following paragraphs (2)-(4) refer to paragraph (1) 4.

- (2) The head of the habilitation board shall decide in consultation with the applicant which program-relevant classes are suitable to serve as proof of teaching aptitude. Teaching aptitude under sentence 1 above may include any class in line with the faculty's curricula. If the applicant is not the person with overall responsibility for the class, the applicant must take on a part of that person's class which represents a complete thematic unit. In this case the thematic unit taught must comprise at least two teaching hours.
- (3) As soon as a class as defined in (1) has been decided on, the head of the habilitation board shall notify the members of the board of this in writing. There should not be less than a week's time between this notification and the start of the class.
- (4) If the program-relevant class is not recognized as proof of teaching aptitude, the applicant is to be given another opportunity to conduct a program-relevant class. A further repeat is not permissible.

## **§ 8**

### **Written habilitation work**

- (1) The written habilitation may be submitted in the form of a single habilitation thesis or in the form of a series of academic publications or ready-for-press manuscripts (cumulative habilitation thesis). Written work from a habilitation in another discipline may be recognized as habilitation work if it meets the demands of the discipline in which the applicant is seeking an additional habilitation. Works with several authors may be assessed as a written habilitation if the applicant's independent part of the work is clearly identifiable. A doctoral thesis may not be used as habilitation work. The habilitation work may be written in German or English.
- (2) The habilitation thesis must be an independent academic work in at least one of the subjects or disciplines in which the applicant seeks a habilitation. When deciding on the scope of the habilitation, other academic work submitted with it must be taken into account. It must enable the reader to recognize the applicant's suitability for a professor's research activities by making a significant contribution to academic knowledge.
- (3) If the applicant submits a series of academic papers instead of a habilitation thesis, these must meet the requirements set out in (2), either individually or as a whole.
- (4) The respective habilitation board appoints at least two reviewers to assess the habilitation; if the reviewers' reports contradict one another, the habilitation board may decide to obtain further reviewers' reports. One reviewer should be a full-time professor at the University of Tübingen and work in this capacity in the subject-related department or in one of the subject-related departments. At least one of the reviewers should not be a member of the University of Tübingen's Faculty of Science. Other reviewers may be professors or other members of academic staff with a documented habilitation or equiv-

alent, or persons with *Privatdozent* status at the University of Tübingen or another university or other equivalent institution of higher education within Germany, as well as correspondingly suitably qualified persons from universities outside Germany.

- (5) The head of the habilitation board ensures that the reviewers complete their written reports in an appropriate period of time (usually within three months). Reviewers' reports must contain a thoroughly justified explanation of their recommendation to accept or reject the academic work(s) presented as written habilitation assessment. If a habilitation thesis or other unpublished works are submitted, the reviewers may recommend to the respective habilitation board to suspend the process for a set period of time to allow the applicant to rework his/her written habilitation work. Furthermore the reviewers may recommend a change to the scope or the description of the subject or discipline for which the habilitation is sought.
- (6) As soon as the reports are available, the head will inform the members of the habilitation board and the persons of the subject-related department or departments named in § 3 (2) sentence 2 that the written habilitation work and the reports are available for inspection in the Dean's Office. Members of the habilitation board as well as all full-time professors in the subject-related department or departments and all persons with *Privatdozent* status who work full-time at the University of Tübingen and hold a habilitation in a related discipline have the right to make a recommendation, e.g. a written statement in line with (5), within an appropriate time-limit set by the head of the board and beginning at the time the thesis is made available to the habilitation board members. This time period may not be less than one month and not longer than three months. If statements are made, the other members of the habilitation board shall be notified of this.
- (7) On the basis of the reviewers' reports submitted under (5) and the statements under (6) the habilitation board decides on whether to accept the academic work presented as written habilitation assessment. At the suggestion of the reviewers a temporary suspension may be decided under (5); the suggestion to suspend may also arise from a statement made under (6) or from the discussion, if objections are raised to a significant part of the written habilitation work. If the thesis is accepted, the applicant is admitted to oral habilitation assessment. If the process is suspended, it returns to paragraphs (4)-(6) upon expiry of the time-limit set. The thesis in its reworked form then becomes the subject of the process, even if the recommendation for a reworking was not met or was only partially met; if the applicant does not comply with the time limit, the process will be continued with the habilitation work in the form which has been submitted, unless the applicant is not at fault for the time limit being exceeded. The appointment of reviewers under (4) remains in place if no other decision is made. The habilitation process may be suspended once only.
- (8) If the written habilitation work is not accepted, the process is completed unsuccessfully.
- (9) The applicant is entitled to inspect the reviewers' reports and statements; he/she is also entitled to make a statement of his/her own. He/she may request that his/her statement is communicated to members of the habilitation board prior to their deliberations.

## **§ 9**

### **Oral habilitation work**

- (1) The oral habilitation work consists of an academic lecture by the applicant and a subsequent colloquium with the members of the full habilitation board. The academic lecture and colloquium are conducted in German or English.
- (2) Following the decision on acceptance of the written habilitation work under § 8 (7) sentence 1, the full habilitation board shall decide on the topic for the academic lecture, based on three suggested topics submitted by the applicant. A topic must be rejected by the habilitation board if it is insufficiently different from the written habilitation work. In such case the applicant must submit a new suggestion. The lecture should not take place more than four weeks and no less than two weeks after notification of the chosen topic. The applicant may, however, opt to hold the lecture less than two weeks after notification. The applicant will usually be informed of the topic three weeks before the date of the lecture.
- (3) The academic lecture should deal with a significant issue in the subject or discipline in which the applicant seeks a habilitation in such a way that even representatives of other subjects can make an informed decision. The lecture is expected to take thirty minutes and the colloquium at most thirty minutes.
- (4) In the subsequent colloquium on the subject of the presentation and related problems, the applicant should demonstrate his/her knowledge of the subject and ability to engage in academic discussion.
- (5) Immediately subsequent to the colloquium, the full habilitation board shall decide whether to accept the oral habilitation work. The full habilitation board has a quorum if, in addition to the head, at least 50% of the full-time full-professorial members of the respective department or departments, or at least 12 persons entitled to vote in accordance with § 3 (3), are present. Persons consulted in accordance with (3) sentences 2 are to be counted as members of the full habilitation board in accordance with § 7 (3), § 9 (5), § 10 (1) and § 14 (2). For the oral defense of the habilitation work, the head of the board may delegate this role to the spokesperson for the respective department or to a suitable professor from the respective department. If the oral habilitation assessment is accepted, the habilitation is completed according to § 10. If it is rejected, the process proceeds according to § 13; § 11 (2) applies to any repetition.
- (6) The lecture and colloquium are public, subject to seating availability. This public attendance does not extend to the deliberations or decision under (5). Only the group of persons named in § 8 (6) sentence 2 may put questions to the applicant during the colloquium. Observers are to be excluded if there is good reason or if the candidate has applied for the proceedings to be held *in camera*.

## **§ 10**

### **Completion of the habilitation**

- (1) If the written and oral habilitation work under §§ 8 and 9 has been accepted, and teaching aptitude has been documented in accordance with § 7, the habilitation board decides



on the habilitation's subject or discipline. If the applicant has applied for habilitation in more than one subject or discipline, a decision must be made for each subject or discipline. If the habilitation board intends to deviate from the description of the subject(s) or discipline(s) as applied for, the applicant must be given the opportunity to speak on the matter in advance.

- (2) The head of the board communicates the outcome of the habilitation process to the applicant immediately after the decision has been made. The habilitation is complete upon notification of the decision being made to the applicant.

## **§ 11 Repetition**

- (1) A process which ends in the rejection of habilitation work or in the withdrawal of the habilitation application following the decision made under § 8 (7) may be repeated once, provided no other habilitation process in the relevant subject or discipline has ended unsuccessfully in Germany.
- (2) If the process ends with the rejection of the oral habilitation work (§ 9 (6)), the applicant may repeat this part of the process within one year. For this, § 9 applies.

## **§ 12 Extension of the habilitation**

Upon application, the habilitation board may extend the habilitation to cover further subjects or disciplines. The habilitation board decides on the basis of the candidate's academic performance whether a procedure to this end is to be conducted either wholly or partly according to §§ 8 to 10.

## **§ 13 Procedure in the event of a negative decision**

The head of the habilitation board must communicate decisions: which end the habilitation process due to rejection of admission (§ 6) or due to rejection of written or oral habilitation work (§ 8 (8), § 9 (6) sentence 3), decisions which deviate from the description of the subject or discipline as applied for (§ 10 (1) sentence 3), or decisions which reject the extension of the habilitation (§ 12), wholly or in part, to the applicant in writing, providing reasons for the decision and information on the right to appeal. Sentence 1 applies accordingly to decisions rejecting the recognition of the program-relevant class as proof of teaching aptitude (§ 7 (3)).

## **§ 14 Conferral of the authorization to teach; certificate**

- (1) The habilitation board confers the authorization to teach (§ 39 (3) LHG) on the basis of the successful habilitation.

- (2) Those academic subjects or disciplines to which the authorization to teach extends are decided by the habilitation board. The head of the habilitation board notifies the University President of the decision.
- (3) A certificate is issued to document the successful habilitation and the conferral of the authorization to teach. It must contain:
  1. the name of the habilitation candidate,
  2. the topic of the habilitation thesis or the theme of the (cumulative) written habilitation work,
  3. the description of the subject or discipline for which the authorization to teach is conferred,
  4. the day on which the habilitation is completed and the decision is made on the authorization to teach,
  5. the signature of the President and of the Dean,
  6. the University seal.

The authorization to teach is conferred upon issuing of the certificate; along with the conferral comes the right to use the title of *Privatdozentin* (for a woman)/ *Privatdozent* (for a man), if the person teaches classes of at least 2 semester credit hours per year in the relevant discipline. The holding of the class may not be made dependent on the payment of remuneration for teaching.

## **§ 15 Transfer of habilitation**

- (1) An application may be made for conferral of the authorization to teach even if the habilitation has been conferred by another faculty at the University of Tübingen or at another institution of higher education with the right to confer doctorates (transfer of habilitation). Any conferral of the authorization to teach in this case assumes the academic work conducted in the faculty would have justified a habilitation.
- (2) In the case of habilitation transfer from another university, the habilitation work may be waived in whole or in part with the approval of at least two thirds of the members of the habilitation board present. The same applies to habilitation transfer from another faculty of the University of Tübingen.
- (3) A transfer of habilitation may be rejected if the requirements for independent research and teaching by the applicant cannot be met at the Faculty of Science.

## **§ 16 Inaugural lecture**

If the authorization to teach is conferred due to habilitation, the person with *Privatdozent* status may hold a public inaugural lecture in the semester following his/her habilitation. The respective department invites all members of the faculty's teaching staff to attend.

## § 17

### Loss of the legal status acquired by habilitation

- (1) The authorization to teach is terminated
  1. by appointment as a professor to another institution of higher education,
  2. by appointment as a *Privatdozent* or by conferral of a corresponding authorization to teach at another institution of higher education,
  3. by a written renunciation to the President,
  4. by conviction in criminal proceedings by a German court, if this verdict would lead to the loss of *Beamte* rights in the case of a civil servant with *Beamte* status.
- (2) The authorization to teach is suspended,
  1. as long as a *Privatdozent* is employed as a professor at his/her own university,
  2. as long as a *Privatdozent* is employed in a temporary capacity as a professor at an institution of higher education or deputizes for a professor in a subject for which he/she has the authorization to teach,
  3. as long as a *Privatdozent* is employed as an assistant professor at an institution of higher education which has the right to confer habilitations,
- (3) The authorization to teach as a *Privatdozent* is not revived if the temporary employment relationship as a professor or as an assistant professor is not extended because the person with *Privatdozent* status has not proven himself/herself in the area of teaching.
- (4) The authorization to teach may be revoked notwithstanding sections §§ 48 and 49 Landesverwaltungsverfahrensgesetz (LVwVfG), if
  1. the *Privatdozent*, through no fault of his/her own, does not hold classes of at least two semester credit hours per year in his/her discipline (over the course of 2 years),
  2. the *Privatdozent* does something which, in the case of a *Beamte*-status civil servant, would lead to disciplinary measures which could only be imposed in formal disciplinary proceedings,
  3. there is a reason which, in the case of a *Beamte* civil servant, would justify a retraction of the appointment as a *Beamte*.
  4. a regulatory measure by the University against him/her becomes incontestable, or he/she breaches the rules of good academic practice or such a breach becomes known subsequently,
  5. there is a reason which, in the case of a *Beamte* civil servant, would justify transferal into retirement due to incapacity.
- (5) The habilitation and the authorization to teach may be rescinded if they were obtained with impermissible means, in particular by deception. The habilitation candidate must be given the opportunity to make a statement on the matter.

- (6) Upon termination or revocation of the authorization to teach, the right to use the title of *Privatdozent* is also terminated.

## **§ 18**

### **Inspection of the files**

Upon application, the applicant must be permitted to view his/her file even if the process has been concluded in her/his favor. § 8 (9) remains unaffected.

## **§ 19**

### **Effective date**

- (1) These regulations come into effect on the date of their publication in the University of Tübingen's official bulletin, the *Amtliche Bekanntmachungen*. The Faculty of Science habilitation regulations of 15 April 2013 become invalid simultaneously.
- (2) In the case of habilitation processes already launched or whose launch had already been applied for at the time these habilitation regulations came into effect, the applicant may make a written application for the previous habilitation regulations to be applied, provided this is permitted under the *Landeshochschulgesetz*.

Tübingen, 25.07.2024

Professorin Dr. Dr. h.c. (Dōshisha)  
The President

Implementation provisions on habilitation equivalence (not an official annex to the statutes, but a provision adopted by the PHA):

Entitled to vote are:

- full professorial members of the department or of related departments
- Persons with *Privatdozent* status and adjunct professors who are employed full time in the related department
- The area of specialization selected, see § 3 (3) sentence 3.
- Adjunct professors in a related subject at the University of Tübingen
- Emeriti and retired professors in the related subject
- Assistant professors and junior lecturers holding full-time positions in a related department who have received a positive final evaluation
- W2 professors with a corresponding appointment
- Associate professors in a related subject

Not entitled to vote are:

- Assistant professors and tenure track professors prior to their final evaluation
- Guest professors
- Persons in the W2 salary bracket without habilitation or professorial title
- Junior research group leaders without habilitation