

Postdoctoral (*Habilitation*) Degree Regulations

as of February 19, 2020

On the basis of §§ 41 and 88 para. 1 No. 2 and para. 2 of the Act on the Autonomy of Institutions of Higher Education in the Free State of Saxony (SächsHSFG) of January 15, 2013 (SächsGVBl. p. 3), which was last amended by Article 2 para. 27 of the Act of April 5, 2019 (SächsGVBl.p. 3), last amended by Article 2 para 2 of the Act of April 05, 2019 (SächsGVBl. p. 245), the Faculty Board of the Faculty of Environmental Sciences of Technische Universität Dresden has issued the following Postdoctoral Degree Regulations as statutes.

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§ 1

Postdoctoral Qualification (Habilitation)

(1) The postdoctoral qualification is proof of special qualification for research and independent teaching in a subject area (teaching qualification).

(2) The postdoctoral qualification grants the authority to add the suffix "habil." to the academic title.

(3) The postdoctoral qualification is only possible if the chosen subject or field is represented by an appointed professor of the Faculty of Environmental Sciences and if an appointed professor of this subject or field declares their willingness to evaluate the written postdoctoral work according to § 8 no. 1 (mentor).

§ 2

Postdoctoral Committees

(1) The committee responsible for postdoctoral qualifications is the Faculty Council in its extended composition according to § 88 para. 2 SächsHSFG (Faculty Board).

(2) The Faculty Board appoints a Habilitation Committee to carry out the Postdoctoral Procedure in accordance with the scientific requirements. The Habilitation Committee consists of the evaluators according to § 9 para. 1 and at least five other members. At least three appointed professors of the Faculty of Environmental Sciences must be included. Additional members of the Habilitation Committee may have already completed their postdoctoral studies (habilitation) or be extraordinary professors but must be members of Technische Universität Dresden. The appointment of up to two further professors not belonging to Technische Universität Dresden is possible only in exceptional cases, but specifically if the topic requires it. The Habilitation Committee is chaired by the Dean and they appoint a deputy. The chairperson is not allowed to also be an evaluator of the postdoctoral thesis.

(3) The meetings of the Habilitation Committee are not public. Its members are bound by confidentiality. The Habilitation Committee has a quorum if more than half of its members are present. The Habilitation Committee makes decisions based on the majority vote of the members present. For the quorum, the provisions of the Act on the Autonomy of Institutions of Higher Education in the Free State of Saxony and the provisions of the Basic Regulations of Technische Universität Dresden as well as the Rules of Procedure and the Procedural Principles of the University Committees of Technische Universität Dresden, as amended, shall apply. Minutes shall be kept of the deliberations and resolutions of the Habilitation Committee.

§ 3

General Procedural Regulations and Appeal Proceedings

(1) Decisions made according to the regulations will be communicated to the applicant in writing. The chairperson of the responsible committee shall announce appealable decisions, which shall be substantiated and contain legal instructions on how to appeal.

(2) A formal appeal procedure takes place against decisions of the Postdoctoral Procedure, which is an administrative act. The Faculty Board is the appeal authority. Decisions as part of the Postdoctoral Procedure - which are also considered administrative acts - include:

1. Non-admission to a postdoctoral qualification and non-commencing of a postdoctoral procedure,
2. the non-acceptance of the postdoctoral thesis,
3. the evaluation of the postdoctoral work,
4. the non-admission to a repeating postdoctoral work,
5. the inconclusive termination (discontinuation) of the postdoctoral procedure and
6. the non-awarding of the academic title.

(3) Upon request, the applicant shall be granted access to the postdoctoral file after completion of the postdoctoral procedure.

§ 4

Prerequisites for the Postdoctoral Qualification

(1) The following applicants can commence a postdoctoral qualification:

1. those with a doctoral degree achieved at a German university in a form recognized by the Faculty of Environmental Sciences and an evaluation of at least magna cum laude or equivalent;
2. as a rule, they have been scientifically active in research and teaching for several years.

(2) The evaluation according to para. 1 no. 1 can be waived if other scientific work corresponding to this evaluation are available.

(3) Upon application by the applicant, the Faculty Board may recognize another doctoral degree or an equivalent degree from an international university as a prerequisite for admission to postdoctoral studies. The recognition of an international academic title requires that the applicant is authorized to use it in the Federal Republic of Germany according to the legal regulations.

(4) Admission to the postdoctoral qualification shall be refused if:

1. the chosen subject or field is not represented by an existing chair at the Faculty of Environmental Sciences and the requirements according to § 1 para. 3 are not fulfilled,
2. the prerequisites mentioned in para. 1 are not fulfilled,
3. the submitted documents according to § 6 para. 2 are incomplete,
4. the applicant has submitted an application for postdoctoral studies elsewhere and this procedure has not yet been completed,
5. another postdoctoral procedure has been completed in the same subject area by the applicant; the possibility of a change in postdoctoral qualification according to § 17 remains unaffected,
6. the postdoctoral thesis was already submitted as part of an unsuccessful attempt - either partly or predominantly - to achieve a postdoctoral qualification, unless it is to repeat the postdoctoral qualification in accordance with § 18, or
7. the requirements for revoking the academic title or for prohibiting the candidate to work as a university lecturer are met.

(5) Academic assistants according to § 72 Act on the Autonomy of Institutions of Higher Education in the Free State of Saxony (SächsHSFG) in scientific subjects can be admitted to the postdoctoral qualification.

§ 5

Notification

The candidate must announce their postdoctoral project before submitting their application (notification). It is recommended that they do this as early as possible, but at the latest one year before the planned submission. For this purpose, the candidate may be invited by the Dean of the Faculty of Environmental Sciences to a Faculty Board meeting in order to introduce themselves and present essential aspects of their postdoctoral project. The notification is an especially good way of quickly establishing the scientific compatibility of the Faculty and to give the candidate hints and recommendations for subsequent work on their postdoctoral thesis as well as for the development and deepening of the teaching experience. A mentor of the Faculty according to § 1 para. 3 is to be named who will support the project and is prepared to evaluate the postdoctoral thesis. The notification does not have any legal consequences for officially submitting the postdoctoral thesis to the Dean at a later date.

§ 6

Submitting the Postdoctoral Thesis to the Dean

(1) The Dean of the Faculty of Environmental Sciences must be contacted in writing in order to apply for admission to the postdoctoral studies, stating the subject or field of the postdoctoral studies.

(2) The following documents must be included:

1. five copies of the postdoctoral thesis,
2. a summary of the postdoctoral thesis of no more than five pages,
3. a declaration that the postdoctoral thesis has been written independently by the candidate without any auxiliary materials other than those indicated, and that the content included as quotes or reformulated is indicated as such; in the case of joint work, a detailed statement of the candidate's contribution,
4. a declaration that the guidelines for ensuring good scientific practice, for the avoidance of scientific misconduct and for dealing with violations at Technische Universität Dresden, as amended, were observed in the preparation of the postdoctoral thesis,
5. a list of the candidate's scientific publications with at least four publications as the primary author, generally published within the last ten years in recognized journals with a peer-review system, as well as all publications relevant for the assessment of whether the candidate is academically prepared to write the postdoctoral thesis. Research results that have not yet been published may be submitted in manuscript form,
6. a curriculum vitae providing information about the candidates personal and professional achievements,
7. a description of previous academic teaching activities,
8. the doctoral certificate,
9. a declaration about any previous postdoctoral study attempts at other universities and about their results,
10. three topic proposals for the scientific presentation and three topic proposals for the trial lecture. The proposed topics for the scientific presentation and the postdoctoral thesis should come from different sub-areas of the subject or subject area for which relate to the postdoctoral studies applied for,

11. a declaration that a certificate of good conduct (*Führungszeugnis*) according to § 30 para. 5 Federal Central Register Act (*Bundeszentralregistergesetz*) has been applied for at the relevant registration office, and
12. a declaration of willingness of the mentor according to § 1 para. 3 to evaluate the postdoctoral thesis.

The candidate may change the proposed topics according to no. 10 until the decision on the acceptance of the postdoctoral thesis is made. The submission of the postdoctoral thesis to the Dean may also be accompanied by a proposal for six possible reviewers. The proposals do not constitute an entitlement for consideration. The requirement of four publications in recognized journals according to para 2 no. 5 may be waived if other comparable scientific achievements are available.

(3) The documents must be submitted in written form. The documents according to para 2 nos. 1 to 6 must also be submitted in electronic form. The submitted documents become part of the postdoctoral file.

(4) The Dean checks the subject compatibility of the Faculty of Environmental Sciences as well as the completeness and validity of the submitted documents and submits the postdoctoral thesis to the Faculty Board for a decision according to § 7. If the postdoctoral thesis and accompanying documents are incomplete, the Dean shall request that they be completed. If they deem the faculty to be incompatible with chosen subject, they shall inform the candidate accordingly. If the candidate nevertheless chooses to submit their postdoctoral thesis, the last half of sentence 1 applies.

(5) The candidate may withdraw the submitted documents up until the acceptance or rejection of the postdoctoral thesis is announced.

§ 7

Starting the Postdoctoral Procedure

(1) As a rule, the Faculty Board decides on the whether to accept the postdoctoral thesis within three months of receiving it. It then commences the postdoctoral procedure.

(2) The postdoctoral procedure will not be commenced if

1. the requirements specified in § 4 para. 1 are not fulfilled,
2. the requirements specified in § 4 para. 4 are fulfilled.

The commencement of the postdoctoral procedure may be refused if the documents to be submitted alongside the thesis are incomplete.

(3) After commencing the postdoctoral procedure, the Faculty Board appoints the Habilitation Committee as well as evaluators. The Dean notifies the candidate immediately in writing about the commencement of the postdoctoral procedure and about the composition of the Habilitation Committee, stating the appointed evaluators. After this, they hand over the postdoctoral procedure to the Habilitation Committee to implement it fully.

(4) The Habilitation Committee ensures that the procedure is carried out quickly. As a rule, no more than six months should elapse between the postdoctoral thesis being submitted to the Dean and the completion of the postdoctoral studies.

§ 8

Postdoctoral Work

For the postdoctoral studies, the following work must be successfully completed in the following order:

1. submitting the postdoctoral thesis. This must be independent scientific work in the subject or subject area for which the qualification is to be awarded; it must show how the subject of the postdoctoral thesis relates to the content of the subject or subject area, as well as contain novel, scientifically valuable findings while differing substantially from the dissertation. The majority of the thesis must have already been published or accepted for publication and must be written in German or English. Instead of submitting the postdoctoral thesis as a monograph, several scientific writings equivalent to a postdoctoral thesis may be submitted (cumulative habilitation),
2. proof of participation in a continuing education course in higher education didactics according to § 11. The goal is to expand the individual teaching competence of the postdoctoral candidate. Continuing education supports the postdoctoral candidate individually in the trial lecture,
3. which is a scientific presentation followed by a colloquium according to § 12. The presentation should deal with a fundamental problem of the subject or field of the postdoctoral studies. In the lecture and the subsequent colloquium, the candidate must demonstrate their ability to represent the chosen subject to an appropriate degree,
4. a trial lecture according to § 13. The lecture should address a fundamental subject area of the postdoctoral studies and must not include the topics of the postdoctoral thesis or the scientific presentation. First and foremost, the candidate should demonstrate the ability to present a complex topic to students.

§ 9

Evaluation of the Postdoctoral Thesis

(1) Three evaluators shall be appointed to evaluate the postdoctoral thesis. One evaluator must be an appointed professor of the Faculty of Environmental Sciences. Appointed professors, extraordinary professors and postdoctoral lecturers who are not members of Technische Universität Dresden may be appointed as additional evaluators.

(2) The evaluations must be submitted in written and electronic form and must be completed within three months. If an evaluator significantly exceeds this deadline, the Faculty Board may remove the evaluator in question and appoint a new one. The evaluator must include a clear decision proposal to accept or reject the submitted postdoctoral thesis as well as a statement on the candidate's suitability for the subject or field applied for.

(3) After receiving the evaluations, the postdoctoral thesis and the evaluations will be made available to the members of the Habilitation Committee as well as to all other university lecturers and those that have completed their postdoctoral studies at the Faculty of Environmental Sciences for inspection for a period of usually three weeks. You will be informed

of this in writing. The evaluations will also be submitted electronically. This is only permissible if state-of-the-art methods are employed to ensure that only members of the authorized group have access to the respective evaluations. Those entitled to inspect the documents (who are not members of the Habilitation Committee) are also entitled to submit a written statement on the postdoctoral thesis to the chairperson of the Habilitation Committee.

§ 10

Acceptance or Rejection of the Postdoctoral Thesis

The Habilitation Committee decides on the acceptance of the postdoctoral thesis, taking into account the evaluations as well as the written statements of the other university lecturers and those who have completed their postdoctoral studies at the Faculty of Environmental Sciences. If the evaluators do not come to a unanimous decision, the reason for this must be justified in writing. If the postdoctoral thesis is rejected, the postdoctoral procedure is terminated. § 18 applies if the procedure is to be repeated. If the postdoctoral procedure is repeated, the Habilitation Committee decides whether a revised version of the postdoctoral thesis can be submitted or whether a new postdoctoral thesis must be submitted.

§ 11

Continuing Education in Higher Education Didactics

(1) The postdoctoral candidate must provide evidence of having participated in continuing education in higher education didactics (e.g. in the Saxon Certificate Program in Higher Education Didactics or equivalent further training) to the extent of 80 work units (1 work unit = 45 minutes).

(2) If the postdoctoral candidate has already participated in continuing education in higher education didactics before commencing the postdoctoral procedure, the evidence of this can be credited upon application by the candidate. In addition to the participation in workshops, the participation in other formats, e.g. individual teaching consultations and shadowing, as well as university didactic working groups and university didactic meetings can also be credited. The Habilitation Committee decides on how this is to be credited.

(3) If the postdoctoral candidate has already received positive teaching evaluations after being observed by an expert in higher education didactics, the required work units can be reduced respectively according to para 1. The Habilitation Committee makes this decision.

§ 12

Research Contract and Colloquium

(1) After the postdoctoral thesis has been accepted, the Habilitation Committee sets the date for the scientific presentation and colloquium, and selects the presentation topic from the applicant's proposals. The Habilitation Committee can reject unsuitable topics and request that the candidate propose different topics.

(2) The chairperson of the Habilitation Committee invites the candidate to the scientific presentation and colloquium no later than two weeks before the set date and informs them of the topic. At the same time, the members of the Habilitation Committee are invited in writing, as are two students representatives who are to be nominated by the Faculty Student Council of the Faculty of Environmental Sciences. In addition, the chairperson of the Habilitation Committee may invite lecturers from other faculties or universities, as well as other postdoctoral candidates. The members of the Habilitation Committee are entitled to participate in the discussion. Generally, the presentation and colloquium are open to all faculty members.

(3) The scientific presentation should last 45 minutes. The colloquium should not exceed a total duration of 60 minutes. It is chaired by the chairperson of the Habilitation Committee and covers the entire subject or subject area in which the candidate has applied to conduct their postdoctoral studies. The topic of the scientific presentation is also the focus of the colloquium.

(4) The scientific presentation and colloquium are evaluated by the Habilitation Committee. The consultation, decision-making and announcement are not public and take place immediately following the colloquium. The chairperson of the Habilitation Committee will announce the result to the candidate in the presence of the Habilitation Committee. If the result is deemed sufficient, the Habilitation Committee shall determine the date and topic of the trial lecture.

(5) If the result is deemed not sufficient, the scientific presentation and colloquium can be repeated once after three months at the earliest, but six months at the latest. The Habilitation Committee will select another topic from the proposals submitted by the candidate. If the repeat attempt is also deemed not sufficient, the Habilitation Committee deems the postdoctoral procedure to be unsuccessful but complete.

§ 13

Trial lecture

- (1) The trial lecture should last 45 minutes.
- (2) The trial lecture is open to all members of the university. The trial lecture must be scheduled in a way that sufficient university members can attend.
- (3) § 12 para. 1 and 2 as well as 4 and 5 shall apply accordingly.

§ 14

Completing the Postdoctoral Qualification

(1) If the candidate has successfully completed all postdoctoral work, the Habilitation Committee closes the successfully completed postdoctoral procedure. The Habilitation Committee thereby specifies the subject or subject area in which the postdoctoral studies have been completed.

(2) The candidate receives a postdoctoral certificate and is awarded the academic title *habilitated doctor*. The certificate includes:

1. Last name, first name, date and place of birth of the candidate,

2. the academic title awarded,
3. the topic of the postdoctoral thesis,
4. the subject or subject area of the postdoctoral studies,
5. the confirmation that the candidate is authorized to teach in the subject or field (§ 15),
6. the date that the successfully completed postdoctoral procedure was closed the Habilitation Committee according to para 1,
7. the signatures of the Rector of Technische Universität Dresden and the Dean of the Faculty of Environmental Sciences, as well as
8. the seal of Technische Universität Dresden.

§ 15

Authorization to Teach

(1) The authorization to teach (*venia legendi*) is granted for the subject or field in which the postdoctoral certificate was awarded.

(2) Any candidate who has achieved the postdoctoral qualification (also in the case of a shorter procedure as a result of a transfer) shall, upon application, be awarded the title "*Privatdozent*" (private lecturer) if they assume teaching obligations of two hours per week in their chosen subject area. Further details are regulated by the "Regulation for conferring the title of "*Privatdozent*" of Technische Universität Dresden, as amended.

§ 16

Extending the Teaching Qualification and Authorization to Teach

(1) Upon application, a teaching qualification achieved in a previous postdoctoral procedure may be supplemented or extended. The candidate shall provide evidence of their special qualification for research and teaching in the extended or new subject area by means of scientific publications. §§ 9, 10 and 14 shall apply *mutatis mutandis* to the review of the publications and the decision of the Habilitation Committee.

(2) § 15 applies to the extended teaching authorization.

§ 17

Transfer in Postdoctoral Qualification

(1) Candidate who have already successfully completed their postdoctoral studies at another university may apply for a transfer to the Faculty of Environmental Sciences. In the event of a transfer, the Habilitation Committee decides on the basis of the postdoctoral thesis and the evaluations from the already successfully completed postdoctoral procedure. The colloquium and trial lecture are not necessary. §§ 9, 10 and 14 shall apply *mutatis mutandis* to the review of the publications and the decision of the Habilitation Committee.

(2) For the transfer, § 15 shall apply.

§ 18

Repetition of the Postdoctoral Procedure

If a postdoctoral procedure has not yet been completed, a new postdoctoral thesis may be submitted at the earliest one year after completion of the postdoctoral procedure. The procedure can only be repeated one time. For the repeat procedure, a new Habilitation Committee shall be appointed in accordance with § 2 of the Regulations.

§ 19

Termination of Postdoctoral Procedure

(1) The postdoctoral procedure may be terminated at any time without having achieved a grade if anything comes to light that excludes conveying the academic title. This applies in particular if the candidate was not truthful when providing proof of the admission requirements, if a violation of the guidelines for ensuring good scientific practice is discovered, for the prevention of scientific misconduct and for dealing with violations of Technische Universität Dresden in the currently valid version, as well as for circumstances that affect the personal requirements of the candidate for holding the academic title. If the postdoctoral procedure is terminated without being graded, all legal entitlements and claims that the candidate had in the postdoctoral procedure up to that point expire. The decision regarding termination is made by the Faculty Council at its own discretion.

(2) The candidate must be consulted before the postdoctoral procedure is terminated without being graded. In the event of suspected scientific misconduct, the regulations stipulated in the Guidelines for Ensuring Good Scientific Practice, for avoiding scientific misconduct and for dealing with violations at Technische Universität Dresden in the currently valid version apply to the procedure.

§ 20

Revoking the Academic Title

(1) The awarding of the title *habilitated doctor* is to be revoked if the candidate was not truthful when providing proof of the admission requirements or when carrying out the required postdoctoral work, or if something comes to light that would prevent the awarding of such a title. The Faculty Board makes this decision.

(2) If, after the awarding of the academic title, it comes to light that the requirements for admission to the postdoctoral procedure were not fulfilled without the candidate intending to deceive, this mistake can be remedied by passing the postdoctoral work.

(3) In the event of suspected scientific misconduct, the regulations stipulated in the Guidelines for Ensuring Good Scientific Practice, for avoiding scientific misconduct and for dealing with violations at Technische Universität Dresden in the currently valid version apply to the procedure.

§ 21

Entry into force, Expiration and Interim Regulations

(1) This statute amendment shall enter into force on the day following its publication in the Official Announcements of TU Dresden. Upon entry into force of these regulations, the Common Postdoctoral Degree Regulations of Technische Universität Dresden of February 14, 1996 (published in the Official Announcements of TU Dresden No. 3/1996 of March 18, 1996, p. 34) with effect for the Faculty of Forestry, Geosciences and Hydrosociences (renamed Faculty of Environmental Sciences by resolution of the University Executive Board on July 17, 2012, published in the Official Announcements of TU Dresden no. 4/2012 of August 27, 2012, p. 26) shall cease to be effective.

(2) All postdoctoral projects commencing after the entry into force of this amendment shall be conducted on the basis of these regulations. Decisions on acceptance as a postdoctoral student that were already made before these regulations came into force shall remain valid; however, these regulations shall apply beyond that. Postdoctoral procedures already underway at the time of the entry into force of these regulations shall be completed on the basis of the provisions stipulated in the Common Postdoctoral Degree Regulations of Technische Universität Dresden of February 14, 1996.

Issued based on the resolution of the Faculty Board of the Faculty of Environmental Sciences as of January 27, 2020, and the approval of the University Executive Board as of February 11, 2020.

Dresden, February 19, 2020

The Rector
of Technische Universität Dresden

Prof. Dr.-Ing. habil. DEng/Auckland Hans Müller-Steinhagen