

Postdoctoral (*Habilitation*) Regulations of the Faculty of Arts, Humanities and Social Science

**of June 19, 1996 (Official Announcements of TUD No. 09/1996), amended by resolution of the
Faculty Board of the Faculty of Arts, Humanities and Social Science of November 10, 2010 with
effect from April 28, 2011 (Official Announcements of TUD No. 02/2011)**

On the basis of § 37 para. 5 of the Act on Universities in the Free State of Saxony (Saxon Higher Education Act - SHG) of August 4, 1993 (SächsGVBl. p. 691), the Faculty of Arts, Humanities and Social Science adopted the following Postdoctoral (*Habilitation*) Regulations on April 3, 1996, which were approved by the Saxon State Ministry of Science and Art by decree of August 1, 1996 (AZ: 2-7843.11/24).

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(Translator's note: The English version of these regulations uses gender-inclusive pronouns i.e. the "singular they" that includes all genders)

§ 1 Postdoctoral qualification (*Habilitation*)

(1) The postdoctoral qualification serves to formally ascertain the particular proficiency for research and independent teaching in a specific subject or field (teaching qualification - *venia legendi*). The postdoctoral qualification confers the authorization to teach.

(2) As a result of the successful postdoctoral qualification, the candidate obtains the academic title of a *habilitated* doctor of the Faculty of Arts, Humanities and Social Science; if the doctoral degree already awarded does not correspond to the current doctoral degree awarded by the faculty, the previous doctoral degree is supplemented by the subject designation customary at the faculty (Dr et phil. habil.). Moreover, the successful postdoctoral qualification entitles the candidate to use the doctoral degree with the statutory title "PD" (*Privatdozent*) instead of the degree conferred pursuant to sentence 3.

(3) The postdoctoral qualification is only possible if the chosen subject or field is represented by a university lecturer mainly working at the Faculty of Arts, Humanities and Social Science and a habilitated university lecturer of the Faculty of Arts, Humanities and Social Science who represents this subject or field or is authorized to teach the subject or field agrees to evaluate the postdoctoral thesis.

(4) The postdoctoral procedure is carried out by the faculty to which the chosen subject or field is assigned. If a postdoctoral qualification is carried out by several faculties, a joint Habilitation Committee may be established by mutual agreement of these Faculty Boards.

§ 2 Habilitation Committee

(1) The Faculty Board appoints a Habilitation Commission which prepares the resolutions of the Faculty Board. As a rule, the Habilitation Committee consists of two representatives of the subject for which the teaching authorization is sought, as well as five other professors or habilitated professors working primarily at the Faculty of Arts, Humanities and Social Science. In addition, the Dean chairs the Habilitation Committee. They may delegate the role of chair to another professor of the Faculty of Arts, Humanities and Social Science who is not a member of the Committee. The appointed reviewers become members of the Habilitation Committee if they are not already members of it.

(2) The chairperson shall oblige all members of the Habilitation Committee who are not public service staff to maintain confidentiality.

(3) The meetings of the Habilitation Committee are not public.

(4) The Habilitation Committee has a quorum if the majority of its members is present. It passes resolutions based on the majority of the valid votes cast. Secret ballots and abstentions are not permitted. In the event of a tie, the chairperson has the deciding vote.

(5) Minutes shall be kept of the deliberations of the Habilitation Committee. The minutes must contain the wording of the resolutions and recommendations as well as the results of the votes.

§ 3 Habilitation Commission

(1) If the Habilitation Committee does not come to a conclusion when assessing the habilitation thesis, or if at least one third of the committee members request this, the Habilitation Commission must be convened.

(2) The Habilitation Commission is made up of the university lecturers and habilitated persons working primarily at the faculty. It is chaired by the Dean.

(3) The Habilitation Commission has a quorum if the majority of the members of the Faculty Board belonging to the group of university lecturers and at least half of the university lecturers and habilitated persons working primarily at the faculty are present. Resolutions are passed by a majority of the valid votes cast.

(4) If the number of members present at a duly convened meeting of the Habilitation Commission is not sufficient to pass a resolution, the Dean may convene a second meeting within one week, at which the Habilitation Commission shall have a quorum regardless of the number of other professors and habilitated persons present, provided that the majority of the members of the Faculty Board belonging to the group of professors attend the meeting.

In all other respects, § 2 para. 3 and 5 apply accordingly.

§ 4 Prerequisites for the postdoctoral qualification

(1) Candidates can only be admitted to the postdoctoral procedure if they

1. hold a doctoral degree of a German academic university in the disciplines of the faculty and
2. as a rule, have been scientifically active for several years.

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

(3) Anyone who has been employed as an Academic Assistant pursuant to § 72 SächsHSG must be admitted to the postdoctoral qualification.

§ 5 Postdoctoral work

For the postdoctoral studies, the following work must be completed:

1. submitting a postdoctoral thesis or equivalent academic publications (cumulative habilitation). This written postdoctoral work must be independent academic work in the subject or field for which the teaching qualification is to be awarded, and it must contain novel, scientifically valuable findings while differing substantially from the dissertation. It must be written in German. If a review can be assured, the Faculty Board may allow work written in another language.

Candidates must submit a corresponding application when the procedure is initiated. The Faculty Board decides on admission. In the case of the submission of a cumulative habilitation, the results, the broader context of the writings and the contextual connections must be presented in a summary.

2. an academic presentation followed by a discussion (colloquium). The presentation must not extend to the subject area of the postdoctoral thesis and should deal with a fundamental problem of the subject or field in which the postdoctoral degree is sought. In the presentation and the subsequent colloquium, the candidate must demonstrate their ability to broadly represent the subject of the postdoctoral degree.
3. a trial lecture including discussion. The trial 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 use the lecture and the subsequent discussion to demonstrate their ability to present a complex topic to students.

§ 6 Notification

The candidate must announce their postdoctoral project before submitting their application (notification). It is recommended that they do this at the latest one year before the planned submission. To this end, the Dean of the Faculty should invite the candidate to a meeting of the Faculty Board to introduce themselves and present key aspects of their habilitation project. The notification serves to in time establish 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 qualification. The notification does not have any binding and legally effective consequences for officially submitting the application for admission to the Dean at a later date.

§ 7 Submitting the postdoctoral thesis to the Dean

(1) The candidate submits a written application for admission to postdoctoral studies, stating the subject or field for which they wish to obtain the teaching qualification to the Dean of the Faculty of Arts, Humanities and Social Science.

(2) The following documents must be included:

1. the postdoctoral thesis or, in the case of a cumulative habilitation, the equivalent academic publications as well as a maximum three-page abstract in five copies each,
2. a declaration that the habilitation thesis or, in the case of an application for a cumulative habilitation, the other academic papers were written independently by the candidate and, if applicable, in the case of joint work as part of the cumulative habilitation, a declaration as to what the candidate's contribution extends to,
3. a list of the candidate's academic publications.
4. a curriculum vitae providing information about the candidate's personal and professional achievements,
5. suitable proof regarding the requirements pursuant to § 4 para. 1, in particular a certified copy of the doctoral certificate and specification of the doctoral thesis topic, and a report on previous academic teaching activities,

6. a declaration about any previous postdoctoral study attempts at other universities and their results, if any,
7. three topic proposals for the academic presentation and for the trial lecture; the candidate may change the proposed topics until the decision on the acceptance of the postdoctoral thesis is made,
8. a declaration that a certificate of good conduct (*Führungszeugnis*) according to § 30 para. 5 Federal Central Register Act (*Bundeszentralregistergesetz*) which is to be submitted to the Faculty of Arts, Humanities and Social Science has been applied for at the registration office, The submission of the postdoctoral thesis to the Dean may be accompanied by a proposal for three possible reviewers. The proposal does not constitute an entitlement for consideration.

(3) The documents enclosed in accordance with para. 2 must be submitted in written form and must be authorized by the candidate's signature or be officially certified.

(4) Upon opening of the procedure, the submitted documents become the property of TU Dresden, with the exception of offprints and publications.

§ 8 Duration of the procedure

The duration of the procedure should not exceed twelve months from the date of the candidate submitting the application.

§ 9 Withdrawal and repetition

(1) The candidate may withdraw the submitted documents until the time that the last expert opinion has been received.

(2) If a postdoctoral procedure has not resulted in a habilitation, a new postdoctoral thesis may be submitted at the earliest one year later. A postdoctoral thesis accepted by this faculty in an earlier procedure may be resubmitted in the repeat procedure. In all other respects, the provisions of these Postdoctoral Degree Regulations shall apply.

§ 10 Admission to the postdoctoral qualification

(1) The Dean checks the subject compatibility of the faculty as well as the completeness and validity of the submitted documents; they may reject an incomplete application..

(2) Otherwise, the Faculty Board decides on the admission to the postdoctoral qualification. The decision on admission must state the title of the postdoctoral thesis and the subject or field for which the candidate wishes to prove their teaching qualification.

(3) The Dean will notify the candidate in writing without delay of the decision on admission to the postdoctoral procedure.

(4) Admission to the postdoctoral procedure may only be refused if

1. the prerequisites mentioned in § 4 are not fulfilled,
2. the documents to be submitted alongside the thesis are incomplete,

3. the candidate has submitted an application for postdoctoral studies elsewhere and this procedure has not yet been completed,
 4. the candidate has repeatedly failed a postdoctoral procedure,
 5. the requirements for revoking the academic title or for prohibiting the candidate to work as lecturer are met.
 6. the postdoctoral thesis concerns a subject or field which is not represented by any university lecturer at the faculty, or if the faculty does not feel professionally able to assess the postdoctoral thesis,
 7. the candidate has been rejected elsewhere with the same or a similar postdoctoral thesis or the same equivalent academic papers for qualitative reasons or if such a procedure has not been completed successfully.
- (5) Once the candidate has been admitted to the postdoctoral qualification, the Faculty Board appoints the Habilitation Committee in accordance with
- § 2. All professors of the faculty must be informed of this in writing, enclosing the abstract submitted by the habilitation candidate in accordance with § 7 para. 2 no. 1.

§ 11 Evaluation of the postdoctoral thesis

- (1) The Faculty Board appoints three habilitated persons as reviewers. At least one reviewer should be external and at least one reviewer should be a member of the Faculty of Arts, Humanities and Social Science.
- (2) The reviews must be submitted in writing and must contain a recommendation on the acceptance or rejection of the submitted paper as a postdoctoral thesis as well as a statement on the scope of the intended teaching qualification.
- (3) If a review is not submitted within four months, the Faculty Board may appoint a new reviewer.

§ 12 Acceptance of the postdoctoral thesis

- (1) Once the reviews have been received, the postdoctoral thesis and the reviews will be made available to all members of the Habilitation Committee and all university lecturers and habilitated persons working primarily at the faculty, as well as the members of the Faculty Board, for inspection in the Dean's Office for a period of at least two weeks. They will be informed of this in writing. The university lecturers and habilitated persons have the right to submit a written statement. During the same period, the candidate has the opportunity to view the anonymized reviews.
- (2) The Habilitation Committee decides on the acceptance or rejection of the postdoctoral thesis on the basis of the submitted reviews and statements pursuant to para 1. If the reviewers do not come to a unanimous decision or if the Habilitation Committee wishes to deviate from a unanimous recommendation of the reviewers, it must justify the reason in writing.
- (3) If the Habilitation Committee does not reach a decision on the acceptance or rejection of the postdoctoral thesis, the Habilitation Commission must be convened in accordance with § 3 to make the decision.

(4) If the postdoctoral thesis is not accepted, the Faculty Board deems the postdoctoral procedure to be unsuccessfully terminated.

§ 13 Academic presentation and colloquium

(1) Once the postdoctoral thesis has been accepted, the Habilitation Committee or, in a procedure pursuant to § 12 para. 3, the Habilitation Commission, sets the date for the academic presentation and the colloquium and selects the presentation topic from the candidate's proposals; unsuitable topics may be rejected with a request to submit other topics.

(2) The Dean invites the candidate to the academic presentation and colloquium no later than two weeks before the set date and informs them of the selected topic.

(3) The Dean invites the Habilitation Committee, the university lecturers working primarily at the Faculty of Arts, Humanities and Social Science as well as the representatives of the academic and other staff and the students of the Faculty Board in writing to the academic presentation and the colloquium. In addition, they may invite university lecturers from other faculties or universities, representatives of other academic institutions, or other candidates for the postdoctoral qualification.

(4) The academic presentation and the colloquium are open to the faculty and will be announced on the notice board. At the colloquium, the members of the Habilitation Committee pursuant to § 2, the Habilitation Commission pursuant to § 3 and the Faculty Board are entitled to ask questions and take part in the discussion. The academic presentation should usually last 45 minutes. The colloquium is chaired by the Dean. In all other respects, § 5 no. 2 applies.

(5) Upon completion of the academic presentation and the colloquium, the Habilitation Committee deliberates and decides on the result. If the Habilitation Committee does not reach a decision, the Habilitation Commission must be convened. The chairperson will inform the candidate of the result after the decision has been made. The consultation, decision-making and announcement are not public.

(6) If the result is not deemed sufficient, the trial lecture is to be suspended and the Habilitation Committee or the Habilitation Commission may decide that the academic presentation and colloquium may be repeated once with a different topic within a reasonable period of time.

(7) If the result is deemed insufficient even after the repetition of a performance pursuant to para. 6, the Faculty Board determines that the postdoctoral qualification procedure has been unsuccessfully terminated.

§ 14 Trial lecture

(1) The Habilitation Committee selects the topic of the trial lecture from the two proposals of the candidate that have not been chosen for the academic lecture pursuant to § 7 para. 2 no. 7. The Habilitation Committee can reject unsuitable topics and request that the candidate proposes different topics.

(2) The Dean informs the candidate of the selected topic at least two weeks before the trial lecture. When doing so, the Dean explicitly refers to the requirement to prove pedagogical aptitude through the trial lecture. The trial lecture should usually last 45 minutes. In all other respects, § 5 no. 3 applies.

(3) The Dean invites the candidate, the members of the Habilitation Committee, the Habilitation Commission and the Faculty Board to the trial lecture and subsequent discussion and announces the date by posting a notice. § 13 para. 3 sentence 2 applies accordingly.

(4) The trial lecture and discussion are open to the faculty. All attending persons are entitled to participate in the discussion. In all other respects, § 13 para. 5 to 7 apply accordingly.

§ 15 Completing the postdoctoral qualification

(1) If the candidate has successfully completed all postdoctoral work, the Faculty Board decides on the proposal of the Habilitation Committee or the Habilitation Commission on the successful completion of the postdoctoral procedure. The Habilitation Committee thereby specifies the subject or field in which the teaching qualification has been obtained. If the decision of the Faculty Board deviates from the proposal of the Habilitation Committee, the Habilitation Commission must be convened before a final decision is made. § 12 para. 2 sentence 2 applies accordingly.

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

1. last name, first name, date and place of birth of the person who obtained the *habilitation*,
2. the academic title awarded,
3. the topic of the postdoctoral thesis,
4. the subject or field for which the teaching qualification has been obtained,
5. the date of the decision of the Faculty Board on the successful completion of the postdoctoral procedure according to para. 1,
6. the signatures of the Rector and the Dean of the Faculty of Arts, Humanities and Social Science,
7. the seal of TUD Dresden University of Technology.

(3) The candidate also receives a written notification from the Rector about the teaching authorization pursuant to § 1 para. 2 sentence 2.

§ 16 Extending the teaching qualification

Upon application of the habilitated person, the Faculty Board may extend the teaching qualification granted with the postdoctoral qualification. The candidate shall provide evidence of their special qualification for research and teaching in the extended or new subject area by means of academic publications. § 11 and § 12 shall apply accordingly to the review and decision-making process.

§ 17

Revocation of the postdoctoral qualification

(1) The revocation of the postdoctoral qualification and the withdrawal of the academic title are governed by the statutory provisions. The Faculty Board makes this decision.

(2) If it becomes apparent before the certificate is issued that the candidate obtained admission to the postdoctoral procedure by deception or was guilty of deception in the postdoctoral procedure, the Faculty Board will declare the examined assessments invalid and determine that the postdoctoral procedure failed.

§ 18 Negative decisions

Decisions that adversely affect the candidate, negative decisions, as well as the decision on the withdrawal of the postdoctoral qualification will be issued by the Dean; they must be justified in writing and must be accompanied by instructions on how to appeal.

§ 19 Required copies

Upon successful completion of the postdoctoral procedure, the candidate is obliged to ensure that the results of the postdoctoral thesis are published. In addition, the candidate must submit three copies to the Saxon State Library - Dresden State and University Library (SLUB). The candidate must provide the Dean's Office with proof that they have handed over the required copies by submitting a receipt from the SLUB.

§ 20 Access to documents and files

Within one year after completion of the postdoctoral procedure, the habilitated person must be granted access to the documents regarding the postdoctoral procedure upon request.

§ 21 Entry into force and interim regulations

This amendment will enter into force on the day after publication in the Official Announcements of TU Dresden.

Issued on the basis of the resolution of the Faculty Board of the Faculty of Arts, Humanities and Social Science of
November 10, 2010 Sciences and the approval of the University Executive Board of March 1, 2011.

Dresden, March 13, 2011

The Rector
of TUD Dresden University of Technology

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

Annex 1 to the Postdoctoral (Habilitation) Regulations of the Faculty of Arts, Humanities and Social Science

Design of the title page of the postdoctoral thesis

(Title of the thesis)

Habilitationsschrift

zur Erlangung des Grades eines habilitierten Doktors der Philosophie an

der

Philosophischen Fakultät

der

Technischen Universität Dresden

vorgelegt von

geb. am

in

Annex 2 to the Postdoctoral (Habilitation) Regulations of the Faculty of Arts, Humanities and Social Science

Declaration on the independent preparation of the postdoctoral thesis

I hereby confirm that I have completed the submitted work without any inadmissible help from third parties or the use of any aids beyond the ones specified. The data, concepts and texts taken directly or indirectly from other sources and references are marked as such, indicating the source.

The following persons have assisted me in selecting and evaluating the following material in the manner described in each case, either in return for payment or free of charge (delete as appropriate):

1. ...
2. ...
3. ...

No other persons were involved in the substantive preparation of this thesis. In particular, I have not made use of the paid assistance of intermediary or advisory services (postdoctoral qualification advisors or other persons). No one has received any direct or indirect monetary payments from me for work not mentioned in connection with the content of this postdoctoral thesis.

The work has not been submitted to any examination body in this country or any other in the same or a similar form.

I declare that I have told the truth to the best of my knowledge and have not concealed anything.

Before making the above declaration, I was informed of its significance and of the consequences under criminal law of an incorrect or incomplete declaration.

Place, date

Signature

Signature and position of the official or employee collecting the declaration.

Place, date

Signature