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Technische Universität Dresden  
Faculty of Linguistics, Literature and Cultural Studies

## **Postdoctoral (*Habilitation*) Degree Regulations**

as of January 31, 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), last amended by Art. 2 para. 27 of the Act of April 5, 2019 (SächsGVBl. p. 245), the Faculty Board of the Faculty of Linguistics, Literature and Cultural Studies of Technische Universität Dresden has issued the following Postdoctoral Degree Regulations as statutes. [*Translator's note: for the purpose of these regulations "postdoctoral" is used synonymously to "habilitation"*]

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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.

## **§ 2**

### **Postdoctoral committees**

(1) The committee responsible for postdoctoral qualifications is the Faculty Board 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 Dean, the Vice-Dean or the Dean of Studies, four additional professors or persons with habilitation working at the faculty as their main profession, up to three additional professors or persons with habilitation working at other faculties of Technische Universität Dresden as their main profession, and the three reviewers of the postdoctoral thesis. § 8 para. 1 shall apply to the reviewers. The Habilitation Committee is chaired by the Dean. The Dean appoints the Vice-Dean or the Dean of Studies as their deputy. The chairperson is not allowed to also be a reviewer of the postdoctoral thesis.

(3) The meetings of the Habilitation Committee are not public. Its members are bound by confidentiality. 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 Fundamental Principles of Technische Universität Dresden for university committees 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 these regulations will be communicated to the candidate in writing. The chairperson of the responsible committee shall announce decisions that adversely affect candidates by notification that is open to appeal, 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 have the quality of an administrative act. The Faculty Board is the appeal authority. Decisions in the postdoctoral procedure which have the quality of an administrative act are in particular:

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 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 candidate shall be granted access to the postdoctoral file after completion of the habilitation procedure.

#### **§ 4**

#### **Prerequisites for the postdoctoral qualification**

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

1. those who hold a degree of a doctor of philosophy from a German university and
2. as a rule, who have been scientifically active in research and teaching for several years.

(2) Upon application by the candidate, 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 candidate is officially authorized to use the title in the Federal Republic of Germany according to the legal regulations.

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

1. the chosen subject or field is not represented at the faculty with a regular Chair, and if an appointed professor of the subject or field does not agree to review the habilitation thesis,
2. another postdoctoral procedure has been completed in the same subject area by the candidate; the possibility of a transfer of the postdoctoral qualification according to § 15 remains unaffected,
3. the postdoctoral thesis was already submitted as part of an unsuccessful attempt – either partly or predominantly – to achieve a postdoctoral qualification, or
4. the requirements for revoking the academic title or for prohibiting the candidate to work as a university lecturer are met.

#### **§ 5**

#### **Submitting the postdoctoral thesis to the Dean**

(1) The Dean must be contacted 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. the printed postdoctoral thesis,
2. a summary of the postdoctoral thesis of no more than three pages,
3. a declaration that the postdoctoral thesis has been written independently by the candidate or, in the case of joint work, a declaration 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 academic publications, enclosing author's copies or copies,
6. a curriculum vitae providing information about the candidate's 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 academic presentation,
11. 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 has been applied for at the registration office,
12. the declaration of willingness of an appointed professor of the faculty according to § 4 para. 3 no. 1 to review the habilitation 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 three possible reviewers. The proposals do not constitute an entitlement for consideration. The candidate may also submit proof of participation in any continuing education courses in university didactics that they already completed.

(3) The documents must be submitted in writing and must be authorized by the candidate's signature; the doctoral certificate must be submitted as an officially certified copy. The documents according to para. 2 nos. 1 to 5 must be enclosed in five copies; with the exception of the author's copies according to no. 5, which must be enclosed in one copy. The documents 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 as well as the completeness and validity of the submitted documents and submits the postdoctoral thesis to the Faculty Board for approval according to § 6. 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 the 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.

## **§ 6 Starting the postdoctoral procedure**

(1) The Faculty Board decides whether to accept the postdoctoral thesis and 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. 3 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 reviewers. 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 reviewers. Moreover, they inform all university lecturers of the faculty in writing about the opening of the procedure, enclosing the abstract of the habilitation thesis submitted by the candidate. 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.

## **§ 7**

### **Postdoctoral work**

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

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 either German or English. If a review can be assured, the Faculty Board may allow work written in another language. If the candidate submits a cumulative habilitation, the overall result of the individual publications, the relation of the papers to the subject or field, and their contextual relationship must be presented in a detailed résumé,
2. proof of participation in a continuing education course in university didactics according to § 10. As a rule, the habilitation candidate must provide proof of this no later than four months after the opening of the postdoctoral procedure. The goal of taking part in continuing education in university didactics is to expand the individual teaching competence of the postdoctoral candidate,
3. an academic presentation followed by a colloquium according to § 11. 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 both the presentation and the subsequent colloquium, the candidate must demonstrate the ability to represent the postdoctoral subject in an appropriate breadth and to present fundamental problems of the subject or field to students in a comprehensible manner.

## **§ 8**

### **Evaluation of the postdoctoral thesis**

(1) The postdoctoral thesis must be evaluated by three reviewers. The reviewers must be professors that are primarily employed at an academic university. One of the reviewers shall not be a member of Technische Universität Dresden.

(2) The reviews must be completed within three months. If a reviewer significantly exceeds this deadline, the Faculty Board may remove the reviewer in question and appoint a new one.

The reviews must contain a clear proposal for a decision to accept or reject the submitted work as a habilitation thesis.

(3) After receiving the reviews, the postdoctoral thesis and the reviews will be made available to the members of the Habilitation Committee as well as to all other university lecturers and persons with habilitation working at the faculty as their main profession for inspection for a period of usually three weeks. They will be informed of this in writing. Those entitled to inspect the documents (who are not members of the Habilitation Committee) are also entitled to submit a written statement.

## **§ 9**

### **Acceptance or rejection of the postdoctoral thesis**

The Habilitation Committee decides on the acceptance of the postdoctoral thesis, taking into account the reviews as well as the written statements of the other university lecturers and those persons with habilitation working at the faculty as their main profession. If the reviewers do not come to a unanimous decision or if there is a deviation from a unanimous decision, the reason for this must be justified in writing. If the postdoctoral thesis is rejected, the postdoctoral procedure is terminated. § 16 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.

## **§ 10**

### **Continuing education in university didactics**

(1) The postdoctoral candidate must provide evidence of having participated in continuing education in university didactics (e.g. in the Saxon Certificate Program in Higher Education Didactics or equivalent further training) to the extent of 60 work units (1 work unit = 45 minutes).

(2) If the postdoctoral candidate has already participated in continuing education in university didactics before commencing the postdoctoral procedure or acquired other relevant knowledge in university didactics, the evidence of this can be credited upon application by the candidate. In addition to the participation in workshops, the participation in other forms, e.g. individual teaching consultations and shadowing, university didactic working groups or university didactic conferences can also be credited. The Habilitation Committee decides on how this is to be credited, taking into account the previous teaching experience of the postdoctoral candidate.

## **§ 11**

### **Academic presentation and colloquium**

(1) After the postdoctoral thesis has been accepted, the Habilitation Committee sets the date for the academic presentation and colloquium, and selects the presentation topic from the candidate's proposals. The Habilitation Committee can reject unsuitable topics and request that the candidate propose different topics. The presentation must be scheduled in a way that a sufficient number of university members can attend.

(2) The chairperson of the Habilitation Committee invites the candidate to the academic 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 to attend in writing. The members are entitled to participate in the discussion. Generally, the presentation and colloquium are open to all university members.

(3) The academic presentation lasts 45 minutes. The presentation and colloquium together must not exceed 90 minutes. The topic of the academic presentation is also the focus of the colloquium.

(4) The Habilitation Committee will evaluate the academic presentation and the colloquium together. The consultation, decision-making and announcement take place immediately following the colloquium. Before the decision on the result is taken, the chairperson of the Habilitation Committee shall give the student the opportunity to comment in an appropriate manner. The chairperson of the Habilitation Committee will announce the result to the candidate in the presence of the Habilitation Committee.

(5) If the result is deemed not sufficient, the academic 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.

## **§ 12**

### **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 field in which the postdoctoral studies have been completed.

(2) The candidate receives a postdoctoral certificate and is awarded the academic title *habilitated doctor* of philosophy. 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 field of the postdoctoral studies,
5. the confirmation that the candidate is authorized to teach in the subject or field (§ 13),
6. the date that the successfully completed postdoctoral procedure was closed by the Habilitation Committee according to para. 1,
7. the signatures of the Rector and the Dean, as well as
8. the seal of Technische Universität Dresden.

### **§ 13**

#### **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 “Privatdozentin” or “Privatdozent” (private lecturer female/male) 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.

### **§ 14**

#### **Extending the teaching qualification and the 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 academic publications. §§ 8, 9 and 12 shall apply *mutatis mutandis* to the review of the publications and the decision of the Habilitation Committee.

(2) § 13 applies to the extended teaching authorization.

### **§ 15**

#### **Transfer of the postdoctoral qualification**

(1) Candidates who have already successfully completed their postdoctoral studies at another university may apply for a transfer to the Faculty of Linguistics, Literature and Cultural Studies. In the event of a transfer, the Habilitation Committee decides on the basis of the postdoctoral thesis and the reviews from the already successfully completed postdoctoral procedure. The academic presentation and colloquium are not necessary. §§ 8, 9 and 12 shall apply *mutatis mutandis* to the review of the postdoctoral thesis and the decision of the Habilitation Committee.

(2) In all other respects, § 13 shall apply for the transfer.

### **§ 16**

#### **Repetition of the postdoctoral procedure**

If a postdoctoral procedure has not resulted in a habilitation, a new postdoctoral thesis may be submitted at the earliest one year after termination of the postdoctoral procedure. The procedure can only be repeated once. For the repeat procedure, a new Habilitation Committee shall be appointed in accordance with § 2 of the regulations.



## **§ 17**

### **Discontinuation of the postdoctoral procedure**

(1) The postdoctoral procedure may be terminated at any time without having achieved a result if facts come to light that exclude 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, for avoiding scientific misconduct and for dealing with violations" of Technische Universität Dresden as amended is discovered, 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 Board at its own discretion.

(2) The candidate must be consulted before the postdoctoral procedure is discontinued 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 as amended apply to the procedure.

## **§ 18**

### **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 facts come 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 as amended apply to the procedure.

## **§ 19**

### **Entry into force, expiry and interim regulations**

(1) These regulations come into force on the day after publication in the official announcements of Technische Universität Dresden. The postdoctoral degree regulations of the Faculty of Linguistics, Literature and Cultural Studies of January 30, 2011 shall cease to be in force when these regulations come into force.

(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 by the Faculty of Linguistics, Literature and Cultural Studies of January 30, 2011.

Issued based on the resolution of the Faculty Board of the Faculty of Linguistics, Literature and Cultural Studies as of December 18, 2019, and the approval of the University Executive Board as of January 14, 2020.

Dresden, January 31, 2020

The Rector  
of Technische Universität Dresden

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