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The original German version of the doctoral regulations can be found here:

[http://www.geschkult.fu-berlin.de/studium/Habilitation/Habilitationsordnung\\_D.pdf](http://www.geschkult.fu-berlin.de/studium/Habilitation/Habilitationsordnung_D.pdf)

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# Notice

**Freie Universität Berlin**

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Regulations on postdoctoral university instruction qualifications  
(*Habilitation*) for the Department of History and Cultural Studies at Freie  
Universität Berlin

**DEPARTMENT OF HISTORY AND CULTURAL STUDIES**

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**Regulations on postdoctoral university instruction qualifications  
(Habilitation) for the Department of History and Cultural Studies  
at Freie Universität Berlin**

Based on § 14 Para. 1 No. 2 of the Partial Basic Rules and Regulations (*Teilgrundordnung*) (test model) of Freie Universität Berlin, dated October 27, 1998 (Freie Universität Notice No. 24/1998), the Department Council of the Department of History and Cultural Studies of Freie Universität has enacted, on February 7, 2001, the following regulations on postdoctoral university instruction qualifications (*Habilitation*): )\*

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**§ 1****Purpose of habilitation**

- I. The process of obtaining postdoctoral university instruction qualifications (*Habilitation*) serves to prove a candidate's ability to represent a scientific or academic subject or subject area (the credential subject, or *Habilitationsfach*) independently in his or her research and teaching activities (teaching credential).
- II. A credential subject is an academic or scientific field whose content can be delineated from that of other fields; typically, the credential subject is already established within the Department's teaching and research activities and represented by at least one professor or other member of the Department who holds habilitation.

)\* Confirmed by the Senate Administration with jurisdiction on March 26, 2001.

- III. Credential subjects within the Department may also be determined by way of a resolution of the Department Council, as expanded pursuant to the Basic Rules and Regulations (*Grundordnung*). Such determination may take place as part of a specific habilitation process.
- IV. In order for a candidate to be granted a teaching credential, the scientific or academic subject or subject area must be described in as much detail as possible.

**§ 2****Achievements required for habilitation**

- I. The achievements required for habilitation (the *Habilitationsleistungen*) are:
  1. a) an extensive scholarly monograph (habilitation treatise, or *Habilitationssschrift*), which must represent a significant academic or scientific contribution to the subject in which the candidate wishes to obtain the credential,
  - or
  - b) a monograph and published results of research that, taken as a whole, represent achievements equivalent to those expressed in a habilitation treatise,
  - or
  - c) published results of research that, taken as a whole, represent achievements equivalent to those expressed in a habilitation treatise.

The published results of research submitted as written achievements for habilitation must be preceded by a detailed summary.

2. A public presentation from the subject in which the candidate wishes to obtain the credential, with a scientific or academic discussion.
3. Teaching activity at an academic higher education institution in a scientific or academic subject or subject area that is essential to the teaching credential sought.
- II. In the case of written achievements required for habilitation as described in Para. I (1) above that have been prepared in cooperation with other scholars or scientists, the portion thereof contributed by the habilitation candidate must be clearly delineated and suitable for evaluation. The habilitation candidate is obligated to present a detailed report on his or her contribution to the conceptualization, implementation, and drafting of the report.
- III. For the public presentation as described in Para. I (2) above, which should last a maximum of 45 minutes, candidates should submit three proposed topics, with a short explanation of each. The Habilitation Board shall reject proposals and demand that new proposals be submitted if the proposals are closely connected with each other, with the topics of the written achievements for habilitation, or with the topic of the candidate's dissertation. The scientific or academic discussion regarding the presentation should generally last 60 minutes, and can also refer to achievements as described in Para. I (1) above. The purpose of the presentation and discussion is to demonstrate that the habilitation candidate can present a scientific or academic topic in an understandable form, and that he or she possesses extensive knowledge and the ability to engage in scholarly discussion.
- IV. The teaching activity should generally be performed before the admission application is submitted. Candidates are required to submit proof of courses amounting to not less than eight credits,

typically within four semesters, among them four credits for courses taught in a broader area of the subject or subject area.

### § 3

#### Admission requirements

- I. The minimum requirements for a candidate to be admitted to the habilitation process are:
  1. a course of study at a higher education institution within the scope of application of the Hochschulrahmengesetz (Framework Act on Higher Education), concluded by way of a state examination or a higher education examination,
- and
2. entitlement to use the academic degree of doctor.
- II. Equivalent examinations must be acknowledged as meeting the admission requirements. With regard to the equivalency of examinations and academic degrees outside of the scope of application of the Hochschulrahmengesetz (Framework Act on Higher Education), a statement from the Zentralstelle für ausländisches Bildungswesen (Central Office for Foreign Education) must be obtained where applicable.

### § 4

#### Admission process

- I. The process begins with the submission of a written admission application to the Dean of the Department. The application must state the scientific or academic subject or subject area in which the candidate wishes to obtain the credential (habilitation subject). The application must be accompanied by the following documents:
  1. certificate regarding the state examination or higher education examination;
  2. doctoral certificate;
  3. curriculum vitae with information on the candidate's academic career;
  4. written achievements for habilitation as described in § 2 Para. (I) (1) above, in at least three copies; in the case of results prepared in cooperation with other scholars or scientists, the names of the other contributors must be indicated, and the portion thereof contributed by the habilitation candidate must be clearly specified as described in § 2 Para. (II) above;
  5. proposed topics for the public presentation as described in § 2 Para. I (2) above (may be submitted afterward);
  6. proof of courses held as described in § 2 Para. IV above;
  7. dissertation;
  8. list of other scholarly publications, along with one copy of each publication relevant to the assessment of the candidate's application;
  9. an explanation regarding any habilitation processes that have already been concluded or are in progress.
- II. If proof of the requisite teaching activities as described in § 2 Para. IV has not yet been furnished, the candidate must immediately be offered the opportunity to take on a teaching assignment to prove his or her teaching activities as stipulated in the Basic Rules and Regulations (*Grundordnung*).
- III. The Department Council shall decide regarding the admission application, taking into account its subject-specific

responsibilities, without delay, and shall do so within one month following receipt of the application if the application is submitted during the period when classes are in session. In the case of interdisciplinary habilitation processes implemented as per § 7 Para. I b) hereof, the Department Council's responsibilities in this regard will be assumed by the Joint Commission.

- IV. If the Department Council rejects the application for admission to the habilitation process, the candidate must be notified thereof within two weeks. The notice must include a written explanation of the reasons for the rejection. If any deadline or time limit is exceeded, the candidate must likewise be notified thereof in writing, with an explanation of the reasons therefor.

### § 5

#### Admission of candidates already holding higher education instruction qualifications (habilitation, professors)

- I. Any person who has earned habilitation for a scientific or academic subject or subject area at a different higher education institution within the scope of application of the Hochschulrahmengesetz (Framework Act on Higher Education) also holds a credential to teach that subject at Freie Universität Berlin. A new credential cannot be granted for the same subject.
- II. If a person who already holds habilitation credentials wishes to obtain a higher education teaching credential in a different scientific or academic subject or subject area, the candidate's application for admission must be treated in the same manner as it would be treated if it were an application for an initial higher education teaching credential.
- III. The provisions of § 18 apply to those who already hold habilitation credentials and wish those credentials to be expanded or reworded to apply to a different subject.
- IV. Professors appointed to teach at higher education institutions without first having undergone the habilitation process may be admitted to the habilitation process. For professors appointed to teach at Freie Universität Berlin without first having undergone the habilitation process, this applies only if the Department or members of another department that were already involved in the appointment are not required to judge the candidate's habilitation achievements.

### § 6

#### Denial of admission

- I. Applications for admission are subject to rejection for the following reasons:
  1. failure to meet the requirements stipulated in § 3;
  2. failure to submit the documents stipulated in § 4 Para. I (not including No. 6);
  3. failure to comply with the time limit specified in § 15 Para. IV;
  4. one failed repetition of a habilitation process within the scope of application of the Hochschulrahmengesetz (Framework Act on Higher Education) in the same scientific or academic subject or subject area;
  5. simultaneous implementation of a habilitation process in the same scientific or academic subject or subject area at a different location.
- II. The application for admission may be rejected if the subject thereof falls outside of the Department's responsibility as stated in § 1 Para. II and III.

### § 7

#### Interdisciplinary habilitation processes

- I. A habilitation candidate may apply to the Dean of the Department to have his or her habilitation process implemented jointly by multiple departments whose subjects are involved (interdisciplinary habilitation process). The Dean shall notify the additional department or departments of such an application. The department councils are responsible for deciding whether the process will be implemented
  - a) within only one of the departments
  - or
  - b) by a Joint Commission (*Gemeinsame Kommission*) of the departments.

In the event that the councils do not agree, the Academic Senate will decide the matter.
- II. If the process is implemented in accordance with Para. I a) above, the additional departments whose subjects are involved must be granted a hearing beforehand and included in an appropriate manner in the Habilitation Board (*Habilitationskommission*).
- III. Even without an application pursuant to Para. I Sentence (1) above, the Department Council may resolve to have a habilitation process implemented by multiple departments. In such a case, the parties will proceed according to Para. I.

### § 8

#### Habilitation Board

- I. With its decision to admit the candidate, the Department Council shall form a Habilitation Board that will prepare for its further decisions.
- II. The Habilitation Board shall consist of at least three and not more than seven professors and members of the permanent commission who hold habilitation qualifications as voting members. One non-faculty member of the academic staff and one student shall also participate in the Board in an advisory capacity.
- III. Within the Habilitation Board, the only members eligible to vote are those who are able to judge the written habilitation achievements in whole or in part with regard to the subject-specific discipline under which they fall. The composition of the Habilitation Board must be such that it is able to judge the written habilitation achievements on the whole. The majority of the voting members of the Habilitation Board must belong to the scientific or academic subject or subject area for which the candidate is seeking the higher education teaching credential. Professors from other departments or other academic higher education institutions may also belong to the Habilitation Board.
- IV. The Habilitation Board meetings shall not be open to the public. The members and other participants are obligated to maintain confidentiality. Persons who are not public servants must undertake a separate obligation in that regard. The Board itself shall determine its organization and working methods independently.

### § 9

#### Opinions on written achievements for habilitation

- I. The Habilitation Board shall designate two reviewers to issue an opinion on the written achievements put forward by the candidate for the habilitation process in accordance with § 2

Para. I (1). At least one reviewer shall be from outside of the Department. The Habilitation Board may designate additional reviewers, typically not more than two, if necessary for the subject-specific assessment of the written achievements for the habilitation process. In the case of interdisciplinary habilitation processes as described in § 7, a number of additional reviewers that is in accordance with the number of additional subjects involved must be designated.

- II. The only persons eligible to serve as reviewers are those who are able to judge the written habilitation achievements in whole or in part with regard to the subject-specific discipline under which they fall. The reviewers must, between them, be able to judge the written habilitation achievements on the whole. Reviewers from outside the department must be informed of the applicable provisions of the regulations on the habilitation process.
- III. The reviewers are required to make assessments that enable the Habilitation Board to make one of the recommendations mentioned in § 10 Para. I to the Department Council. The assessments must be accompanied by a statement of the reasons therefor. In the event that the reviewers' assessments differ, additional reviewers, typically not more than two, may be designated. The Habilitation Board is responsible for ensuring that opinions are prepared independently from each other.
- IV. The opinions should be presented within three months; otherwise, the Habilitation Board may set a subsequent deadline or designate new replacement reviewers.
- V. The opinions must be presented for the review of the members of the Department Council, as expanded in accordance with the Basic Rules and Regulations, for a period of four weeks, prior to the decision regarding the candidate's written habilitation achievements. If a member of the expanded Department Council who is eligible to vote pursuant to § 10 Para. III announces, within such deadline, that a counter-opinion will be submitted, the time limit will be extended until such time as the counter-opinion has been presented, but not by more than four weeks.

### § 10

#### Decision regarding written achievements for habilitation

- I. With reference to the opinions, the Habilitation Board shall recommend that the written achievements submitted be
  1. accepted
  - or
  2. rejected

as habilitation achievements pursuant to § 2 Para. I (1), and shall provide a written statement of the reasons for such action. A monograph as stated in § 2 Para. I (1) can also be returned for revision. The deficiencies that require remediation must be noted in writing.
- II. In the case of acceptance as stated in Sec. I (1) above, the topic of the presentation required pursuant to § 2 Para. III must be selected and proposed.
- III. The Department Council, as expanded in accordance with the Basic Rules and Regulations, shall decide in a non-public session as to the recommendations and proposals presented pursuant to Para. I and II above. The members of the Department Council who are fully or partly qualified to decide the issue in terms of subject matter shall have a vote in the decision, while the other members shall participate therein in an advisory capacity. In the event of acceptance, the subject of the presentation must be determined and the presentation date and

time set without delay and published within the university. In other cases, the procedure set forth in § 15 Para. I or § 16 Para. II (1) shall be followed.

- IV. All votes on the assessment of a candidate's achievements shall be cast openly; abstentions are not permitted.

### § 11

#### Public presentation with scientific or academic discussion

- I. The presentation shall take place in public, and as a basic principle, shall be held during the period when classes are in session.
- II. The members of the Department Council, as expanded in accordance with the Basic Rules and Regulations, and of the Habilitation Board shall participate in the scientific or academic discussion. The Dean shall lead the discussion, or he or she can assign the chair of the Habilitation Board to do so. The head of the discussion is entitled to allow members of the audience to ask questions.
- III. Following the scientific or academic discussion, the Department Council, as expanded in accordance with the Basic Rules and Regulations, shall consult in a non-public session as to whether to acknowledge the discussion as a habilitation achievement pursuant to § 2 Para. I (2). If and insofar as the members of the Habilitation Board do not belong to the Department Council as expanded in accordance with the Basic Rules and Regulations, they have the right to speak and make requests.

### § 12

#### Opinions on teaching achievements

- I. The Habilitation Board shall present an opinion regarding the candidate's teaching activity and the teaching achievements accomplished during such activity. Such opinion shall form the basis for the decision of the Department Council as expanded in accordance with the Basic Rules and Regulations.
- II. The Board shall designate one member to prepare the opinion. If the candidate makes a suggestion, such suggestion shall be taken into consideration. The member designated shall document and evaluate the candidate's teaching achievements and abilities.
- III. Upon the suggestion of the student who is participating in the Board in an advisory capacity, students of the subject or subject area in question may present their evaluations of the candidate's teaching activities to the Board and/or submit written evaluations. These evaluations must then be addressed in the Board's opinion.

### § 13

#### Granting of teaching credential

- I. The Department Council, as expanded in accordance with the Basic Rules and Regulations, shall decide, in a non-public session, as to whether to acknowledge
  1. the public presentation and scientific or academic discussion pursuant to § 11, and
  2. the candidate's teaching achievements pursuant to § 12 as habilitation achievements.

The Department Council is required to vote separately on both types of achievement. If both are acknowledged, an overall resolution shall be drafted concerning all of the candidate's

achievements and granting the candidate the higher education teaching credential. All votes shall be cast openly; abstentions are not permitted.

The provisions of § 10 Para. III Sentence 2 shall apply accordingly to the decision pursuant to Sentence 1 No. 1 above.

- II. The designation of the subject in which the credential is granted must be decided at the same time in the overall resolution passed pursuant to Para. I, based on a recommendation to that effect from the Habilitation Board.
- III. After the teaching credential is granted, a certificate in accordance with the annex hereto must be issued to the successful candidate. After the issuance thereof, the candidate has the right to apply to the Department for the granting of teaching authorization in accordance with the statutory provisions.

### § 14

#### Obligation to publish

The successful candidate is obligated to make monographs as per § 2 Para. I (1) available in an appropriate manner to the academic and scientific community by reproducing and disseminating such monographs.

### § 15

#### Return, repetition of achievements for habilitation

- I. In the event that the written habilitation achievements pursuant to § 10 Para. I (2) are returned, the Department Council, as expanded in accordance with the Basic Rules and Regulations, shall decide at the same time as to the period within which the stated deficiencies therein must be remedied. The period shall amount to not more than 12 months. Returning of such materials for remediation of defects a second time is not permitted.
- II. The foregoing applies accordingly to the public presentation with scientific or academic discussion, if it has not been acknowledged pursuant to § 13 Para. I. A new public presentation must be scheduled, with a new topic. Repetition of the public presentation stage a second time is not permitted.
- III. If the candidate's teaching achievements have not been acknowledged, the candidate must be given the opportunity, during the two following semesters, to hold further courses, regarding which an opinion must be drafted pursuant to § 12. Candidates will not be given a second opportunity to hold further courses.
- IV. In the event that the candidate's written achievements are rejected as habilitation achievements pursuant to § 10 Para. I (2), a one-time repetition of the process, with submission of written achievements pursuant to § 2 Para. I (1), is permitted. Candidates are not permitted to apply for admission to a new habilitation process in the same subject or subject area until after a period of 12 months has elapsed. The foregoing provision also applies to processes concluded at other higher education institutions without issuance of the teaching credential. Acknowledged achievements can be credited toward the new process by request.

### § 16

#### Conclusion of process without issuance of teaching credential

- I. The candidate is entitled to retract his or her application for admission until the Habilitation Board has issued its recommendation (see § 10 Para. I). If the application is retracted

pursuant to the foregoing sentence, the process is considered not to have been a concluded habilitation process as specified in § 4 Para. I (9) and § 6 Para. I (4).

- II. The application for issuance of the teaching credential must be denied if:
  1. one of the achievements to be demonstrated conclusively fails to meet the requirements for a habilitation achievement, or if achievements are not performed in due time;
  2. in the event of return of written achievements or granting of the opportunity to repeat a different achievement, the time limits that have been set therefor are not complied with, without the candidate's stating compelling reasons for such failure;
  3. in the event of attempted deception or fraud on the candidate's part, doubts in that regard have not been allayed even after the candidate has been granted a hearing.
- III. Rejection must be accompanied by a statement of the reasons therefor. The statement of the reasons must be drafted and resolved in the wording stipulated by the Department Council, as expanded in accordance with the Basic Rules and Regulations.

#### § 17

##### Retraction of teaching credential

If, after the teaching credential is granted, it becomes known that in the context of the admission process or in the further course of the process, deception, fraud, or administrative offenses or misconduct have been perpetrated, those achievements in whose case such misconduct has applied must be declared rejected as habilitation achievements. The teaching credential that has been issued must be retracted and the habilitation certificate confiscated.

#### § 18

##### Changes in teaching credential

- I. Candidates who have already successfully completed the habilitation process are entitled to apply for changes (expansion or rewording) of their teaching credentials. The admission requirements are considered met with the presentation of the habilitation certificate. The application must mention those achievements upon which the application for the change is based. If and insofar as the matter concerns written documents, those documents must be submitted in accordance with § 4 Para. I (4).
- II. The Department Council, as expanded in accordance with the Basic Rules and Regulations, shall decide whether the application can be approved without an additional process. If an additional process is considered necessary, the provisions on the implementation and conclusion of habilitation processes shall apply accordingly. The body granting the authorization is not permitted to demand the presentation of a habilitation treatise pursuant to § 2 Para. I (1 a) in a process concerning a change in the teaching credential.

#### § 19

##### General procedural provisions

- I. With regard to all procedural decisions and all decisions concerning the assessment of achievements within the habilitation process, the provisions of the *Verwaltungsverfahrensgesetz* (Administrative Procedure Act) with regard to concerns of bias apply.

- II. The Dean is obligated to ensure that the entire process, aside from processes conducted pursuant to § 4 Para. II, can be concluded within nine months if at all possible, counted from the time of submission of the admission application onward. If this cannot take place within this period, the Department Council must pass a resolution that the time limit will be exceeded and must notify the candidate thereof in accordance with Para. IV hereof. All of the parties to the process are entitled to call the Dean by phone.
- III. The participants may bring problems within the habilitation process to the attention of the *Ständige Kommission für Forschung und wissenschaftlichen Nachwuchs* (Standing Commission on Research and Junior Scholars and Scientists). This body must be notified of the status of the process.
- IV. All notices to the candidate that are material to the process must be made in written form. This applies in particular to decisions establishing any obligation, and to statements regarding time limits and deadlines. The latter must be accompanied by a statement of the reasons therefor, where required. The candidate has the right to examine the files within the scope provided in the Administrative Procedure Act. The confidentiality of expert opinions must be ensured.
- V. If the candidate raises objections to a decision made by the expanded Department Council within one year after receipt thereof, such decision must be reviewed with an eye to such objections and a resolution must be effectuated regarding the result.

#### § 20

##### Entry into force

- I. These rules and regulations on habilitation shall take effect on the day after their publication in the *Official Gazette* (*Mitteilungsblatt*) of Freie Universität Berlin.
- II. The rules and regulations on habilitation of the former Department of History and for the subjects of Scientific Study of Religion, Japanese Studies, Korean Studies, Chinese Studies, Islamic Studies, Iranian Studies, Turkic Studies, Jewish Studies, Catholic Theology, and Protestant Theology of the former Department of Philosophy dated March 7, 1966 (*Notices for Instructors and Students* (*Mitteilungen für Dozenten und Studenten*) No. 108, dated May 1, 1966), as well as for the subjects of Comparative and Indo-European Linguistics, Indian Language and Literature and Art History, Egyptology, Ancient Near Eastern Studies, Near Eastern Archaeology, Prehistoric Archaeology (Prehistory and Early History), Classical Archaeology, Semitic Studies, and Arabic Studies of the former Department of Archaeological Studies dated August 13, 1993 (*Freie Universität Notice No. 3/1994*) shall cease to apply to the Department of History and Cultural Studies as of this date.

#### § 21

##### Transitional provisions

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

Annex

The Department of History and Cultural Studies  
of Freie Universität Berlin

granted

**Dr. ...**

born on (date) ..... in (place) .....

the

**HIGHER EDUCATION TEACHING CREDENTIAL**

for the subject or subject area of

on (date) ...

In the course of a process to obtain postdoctoral university instruction qualifications (*Habilitation*) that was conducted in accordance with the Rules and Regulations on Habilitation of the Department of ..... dated ..... (Official Gazette of Freie Universität Berlin No. 10/Year 2001, p. ....), Dr. .... proved, by means of a habilitation treatise/with written habilitation achievements on the topic of

.....

and a public presentation on the topic of

.....

that he/she is able to represent the subject or subject area of ..... independently in his/her research and teaching activities.

Berlin, on (date) .....

Seal

.....  
(Dean)