

– Inofficial translation –

**Habilitation Regulations of the Faculty of Economics and Management  
at Technische Universität Berlin**

**11 May 1988**

In accordance with Section 36 (6) of the Berlin Higher Education Act (*Berliner Hochschulgesetz – BerlHG*) from 13 November 1986 (GVBl. p. 1771), the Faculty Board of the Faculty of Economics (FB 18) of Technische Universität Berlin has issued the following regulations.

**Section 1– Teaching qualification**

Passing all stages of the Habilitation procedure at a university as defined by the Framework Act for Higher Education (*Hochschulrahmengesetz -HRG*) entitles a candidate to the qualification and status of “habilitiert” (Section 36 (2) BerlHG).

**Section 2 – Requirements for admission to the Habilitation procedure**

Admission to the Habilitation procedure requires an academic degree and doctoral degree (Section 36 (4) BerlHG).

**Section 3 – Academic achievement**

The minimum level of academic achievement required for the award of the teaching qualification are:

1. An extensive monograph (*Habilitationsschrift*) or publication of research findings of a scope and status equivalent to a “*Habilitationsschrift*”.
2. A public lecture in the research area followed by a defense.
3. A report from the responsible university body focusing on the teaching record of the applicant (Section 36 (4) BerlHG).

**Section 4 – Application to commence the Habilitation procedure**

- (1) Applications to commence a Habilitation procedure are to be submitted to the dean of the Faculty in writing.
- (2) The application is to specify the subject area in which the applicant wishes to achieve the teaching qualification.
- (3) The application is to include:
  1. A curriculum vitae
  2. Certificates and other documents pertaining to the university degree and doctoral degree in original and copy.
  3. Documents in accordance with Section 3 no. 1.  
Should the applicant submit a monograph, they are also permitted to submit further publications of research findings pertinent to the assessment of the applicant’s academic achievement. Should the character of the supplementary work submitted for evaluation within the scope of the Habilitation procedure have necessitated collaboration with other researchers, it can still be taken into account, provided that the applicant's contribution can be clearly identified for individual assessment.

4. A written declaration from the applicant stating that they have worked entirely independently to complete the monograph or the publications in lieu of a monograph and have stated all the resources which they used to do so.  
When submitting work completed in collaboration with other researchers, the applicant must clearly mark their own independent contribution. They are to state the names, academic qualification and addresses of any co-authors. The applicant must also state whether these co-authors have submitted parts or all of this work within the scope of a separate (and completed) academic degree procedure or a Habilitation procedure, or plan to do so. The applicant is to state their agreement to their co-authors being informed about the submission of this work within the scope of the Habilitation procedure.
  5. A list of academic publications from the applicant.
  6. Documents pertaining to the independent academic teaching performed by the applicant.  
Teaching experience includes lectures or seminars and possibly even practical tutorials. Teaching experience can have been gained at research institutes or similar institutions.
  7. A written declaration from the applicant that they worked independently to prepare and teach the courses specified in no. 6.  
No. 4 applies accordingly to courses which the applicant has conducted in collaboration with other academics.
  8. Personal information
  9. A written declaration from the applicant stating that they are familiar with and understand the Habilitation regulations.
  10. A statement indicating whether the applicant has already registered for or completed a separate Habilitation procedure.
- (4) The Faculty can require further information regarding the subject-specific development of the applicant.

## **Section 5 – The Habilitation procedure**

- (1) Immediately after receiving an application for admission to a Habilitation procedure, the dean is to inform the Committee for Research and Junior Scholars and all other faculties about the application and the date of receipt. The dean will check the application documents. In accordance with Section 71 (1) no. 4 BerlHG, the dean is to obtain a decision from the Faculty Board within a month regarding the applicant's admission to the Habilitation procedure or their rejection. The decision is to be communicated to the Committee for Research and Junior Scholars immediately.
- (2) If an application is received for a subject represented by one or more professors within a faculty as defined in Section 99 BerlHG, the faculty must declare its responsibility conditional to Subsection 3 and initiate the procedure.
- (3) Should another faculty, in which at least one professor as defined in Section 99 BerlHG represents the subject area of the application, oppose the responsibility of the faculty to which the application has been made within a month of the application having been received, or should another faculty require involvement in the procedure, the deans of the faculties involved are to work together under the supervision of the Committee for Research and Junior Scholars to reach an agreement. The two faculty boards are to make a decision on this matter at their next meetings. Should they fail to reach an agreement, the Academic Senate will make a decision at its next meeting upon the recommendation of the Committee for Research and Junior Scholars. The record of the agreement must either establish the responsibility of a single faculty for the Habilitation procedure or recommend the establishment of a joint Habilitation committee with the powers to make decisions in accordance with Section 74 (5) BerlHG. The members of this joint committee are to exercise the rights of the members of the Faculty Board. Section 74 (5) BerlHG applies to all the professors of the faculties involved. The committee is chaired by the dean of Faculty 18.

- (4) If a recommendation is made for the establishment of a joint Habilitation committee, the faculty boards of the faculties involved are to discuss the composition of the joint Habilitation committee at their next meetings and, working under the lead of Faculty 18, appoint the members of the joint committee in accordance with Section 74 (2) BerlHG as well as their deputies in accordance with Section 74 (6) BerlHG.

Should the two faculties fail to reach agreement on the composition of the joint Habilitation committee, the dean of Faculty 18 must act immediately and request that the Academic Senate reach a decision at its next meeting in accordance with Section 74 (3) BerlHG.

- (5) All members of the Faculty Board have right of access to the documents submitted by the applicant.
- (6) If the Faculty Board provides its approval to the applicant to commence the Habilitation procedure on the basis of Subsection 2, it is also to appoint two examiners at the same meeting. The first examiner must be a professor of the Faculty. The second examiner must be a professor of the Faculty or another faculty of Technische Universität Berlin. In certain special cases, a professor from another university can be appointed to this role, if it should appear to be advantageous.
- (7) The dean is to communicate the decision taken by the Faculty Board to initiate the Habilitation procedure and the name of the examiners to the candidate immediately.
- (8) The Faculty Board is to check the documents stipulated in Section 4(3) no. 6 and determine whether the teaching experience cited by the applicant is sufficient. Should this not be the case, the procedure will be suspended for a short time after the appointment of the examiners. The dean is to inform the candidate immediately and provide them the opportunity to demonstrate their suitability on the basis of their independent academic teaching. As soon as the candidate has gained sufficient teaching experience, the procedure will be continued following the appropriate decision by the Faculty Board.
- (9) Working on the basis of the documents submitted in accordance with Section 4 (3), the examiners must submit independent written reports pertaining to the academic achievement of the candidate in the areas of research and teaching in which they provide an assessment of the candidate's ability to perform independent research and teaching in an academic subject (Section 36 (1) BerlHG).

The reports are to provide a comprehensive assessment of the innovative achievements of the candidate. Each report is to record the opinion of the examiner as to whether the academic record of the candidate requires an adjustment to the subject applied for.
- (10) All members of the Faculty Board are entitled to view the reports. The reports must be available for viewing in the faculty administration for at least three weeks. Members of the Faculty Board who hold a Habilitation have the right to issue a written statement regarding the research documents submitted and the reports. These statements are to be considered in further decisions made by the Faculty Board.
- (11) Should the Faculty Board decide that the reports do not permit an unequivocal decision, it should commission a further external report.
- (12) The report on the academic performance of the candidate in both research and teaching provides the basis for the Faculty Board to decide whether to continue with the procedure or reject the application.
- (13) The Faculty Board can also decide whether to change the definition of the subject area as specified in the application. This decision is to be substantiated in writing.
- (14) At the same meeting, the Faculty Board will work in accordance with Section 46 (3) and Section 70 (4) BerlHG to draw up the report on the teaching record of the candidate in accordance with Section 36 (5) no. 3 BerlHG.
- (15) If the decision is taken to continue with the Habilitation procedure, the candidate is required to present a list of three topics for the lecture, to be submitted at the latest by the deadline for submitting the reports. The Faculty Board will choose the topic of the lecture from this list. The topics may not be the same as that covered by the monograph or the equivalent work submitted.

- (16) The candidate is to hold a 45-minute lecture on an topic from their research area. The dean will issue a public invitation to attend at least 14 days prior to the lecture. The members of the Faculty Board, the president of TU Berlin and the deans of the other faculties are to be issued with a personal invitation. The dean can invite further persons. The lecture and the subsequent public defense are to be conducted in German.
- (17) The defense is to be led by the dean in the form of a colloquium. All those issued with a personal invitation to attend the lecture have the right to participate in the defense.
- (18) A comprehensive report covering the candidate's performance in the Habilitation procedure in terms of both research work and teaching is to be drawn up in accordance with Section 36 (5) no. 3 BerlHG. This report is to be based on the various reports and statements regarding the research and teaching work of the candidate and the assessment of the lecture and the subsequent defense. This report is to be decided on by the voting members of the Faculty Board meeting in a private session in accordance with the specifications of Section 46 (3) and Section 70 (4) BerlHG. This session should be conducted immediately after the defense. At the same time, a decision will be taken regarding the granting of the teaching qualification in accordance with Section 36 (2) BerlHG. The Faculty Board can issue a designation for the *venia legendi* that differs from that specified in the candidate's application.  
The Faculty Board can require the lecture and the defense to be repeated once.  
Should the candidate's submissions be deemed insufficient, the candidate's application shall be rejected.
- (19) As soon as the candidate has submitted the documents stipulated in Section 7 (2), the dean will provide the candidate with a document stating that the Faculty has issued them with a teaching qualification for the subject specified. This certificate will record the date on which the teaching qualification was issued, will be signed by the president of TU Berlin or his deputy and the dean, and will bear the University seal. The teaching qualification is valid from the day of its issue. The Committee for Research and Junior Scholars is to be informed of the conclusion of the procedure.
- (20) All decisions taken within the scope of the Habilitation procedure are to be communicated to the candidate immediately. The candidate is to be provided with written explanation of any missed deadlines and negative decisions; the Committee for Research and Junior Scholars is also to be informed.

#### **Section 6 – Rescinding the application for and termination of the Habilitation procedure**

- (1) The dean must comply with any request submitted by the candidate for their application to be rescinded if it is received before any of the examiners' reports have been submitted. Should these reports already have been submitted, the request is to be granted if the Faculty Board has decided to amend the *venia legendi* stipulated in the original application.
- (2) Should the candidate fail or refuse to comply with any requests pertaining to the Habilitation procedure made within a certain time, without providing sufficient reason, the Faculty Board will terminate the Habilitation procedure.
- (3) If the candidate is found to have engaged in misconduct, the Faculty Board will decide to terminate the Habilitation procedure.
- (4) If the Habilitation procedure is terminated in accordance with Subsection 3, the dean is to inform the president of TU Berlin. The president shall contact other German and German-language universities in a confidential manner as well as the member of the Berlin Senate responsible for universities, to inform them of this development.
- (5) The Committee for Research and Junior Scholars is to be informed of all decisions taken in accordance with Subsections 1 to 4.

## **Section 7 – The rights and obligations of holders of a Habilitation**

- (1) In accordance with Section 118 (1) BerlHG, holders of a Habilitation have the right to request the *venia legendi*.
- (2) At least one copy of all documents stipulated in Section 4 (3) no. 3 which form the basis of the evaluation of the candidate's academic record are to be submitted to the University Library and Faculty within a year and in a form suitable for making copies. These documents are to contain information pertaining to the Habilitation procedure (its initiation and the issue of the certificate) and the authors of all the reports generated within its scope.

## **Section 8 – Storage of the documents**

The application for registration in a Habilitation procedure and the documents submitted in accordance with Section 4 (3) nos. 1 and 3 to 10 are to be retained by the Faculty; the documents submitted in accordance with Section 4 (3) no. 2 are to be copied or transcribed and these copies or transcripts are to be retained by the Faculty.

## **Section 9 – Termination and withdrawal of the teaching qualification**

- (1) The teaching qualification will be terminated if its holder loses the right to their doctoral qualification. Decisions pertaining to termination are to be taken by the president of TU Berlin at the request of the dean (Section 36 (7) BerlHG).
- (2) The teaching qualification will be revoked by a decision of the Faculty Board if the Habilitation is revoked or it becomes clear that it has been obtained dishonestly.

## **Section 10 – Transitional provisions**

Habilitation procedures which had already been initiated at the time these regulations take effect are to be subject to the Habilitation regulations which were in force at the time.

## **Section 11 – Entry into force**

These regulations enter into force the day following their publication in the Official Gazette of Technische Universität Berlin.

### **- Implementation provision -**

#### **Decision FBR 14 – 2/6/27.04.1994:**

The Faculty Board of Faculty 14 has decided that at least one of the examiners must hold a Habilitation in the subject area for which the *venia legendi* has been applied, or hold a professorial chair in this subject area at an external university.

**(10:0:3) accepted**

## Cumulative Habilitation

The Faculty Board of Faculty VIII endorses the regulations for a cumulative Habilitation.

### Preliminary remarks

- A cumulative Habilitation represents an alternative to the classical monograph-based model.
- The following text proposes a set of regulations regarding the completion of a cumulative Habilitation. Decisions regarding the permissibility of a cumulative Habilitation are to be taken on a case by case basis. This requires an expert academic opinion on the advisability of doing so.
- The final regulations for a cumulative Habilitation are to be agreed by the Faculty Board.
- Lengthy passages of classical Habilitations composed as a monograph usually assume the character of an overview, whereas individual publications usually present original research findings. Collections of individual publications can only be considered as a equivalent to a monograph if they have been accepted for publication in journals with a strict and blind review procedure.

### Basic regulations

1. No publications directly taken or derived from a doctoral dissertation can be considered for acceptance as part of a cumulative Habilitation.
2. Individual publications will usually be accepted as part of the Habilitation submission if they have been published in journals which are listed in widely-accepted journal indices such as SCI or SSCI of the Institute of Scientific Information (ISI), VHS-Journal (Verband der Hochschullehrer für BWL e.V.), Journal Quality List (the Netherlands), ranking of l'Ecole des Hautes Etudes Commerciales de Montreal (Canada).
3. A minimum of three individual publications (also co-authored publications) must be submitted. Publications which have been accepted for publication but which have not yet been published will be accepted in the Habilitation process.
4. The individual publications must each constitute an independent academic contribution to a debate.
5. The following minimum score provides guidance for assessing the scope of work as being equivalent to achieving a Habilitation:
  - A national peer-reviewed journal constitutes 4 points, an international peer-reviewed journal constitutes 6 points.
  - In the case of co-authorship, the score is to be calculated as follows: (number of points awarded to the journal / number of authors) + 1The candidate must achieve a minimum of 15 points.
6. In addition to the individual pieces of work submitted as part of the Habilitation, further qualified publications will be expected.
7. The Habilitation procedure will assess whether taken as a whole the sum of the individual submissions corresponds to the requirements of a Habilitation. Reports – if necessary, from external examiners – are to be collected to assess this point.