

Habilitation procedure at the Faculty of Sciences; Guidelines
for habilitation candidates and subject mentors

dated 17 December 2014

The Faculty of Sciences is responsible for conducting the habilitation procedure for awarding the title Dr. rer. nat. habil. at Friedrich-Alexander-Universität Erlangen-Nürnberg (FAU). These guidelines govern the habilitation procedure in accordance with the Bavarian Higher Education Act (Bayer. Hochschulgesetz) and the Bavarian Law on Academic Personnel of Higher Education Institutions (Bayer. Hochschulpersonalgesetz) dated 23 May 2006 and the Habilitation Regulations of FAU Erlangen-Nürnberg dated 19 December 2003.

The Faculty Administration at the Faculty of Sciences is responsible for clarifying any questions relating to the habilitation procedure.

If a habilitation procedure is to be initiated, the candidate should submit an informal application for a habilitation stating the proposed habilitation subject to the Faculty Administration at least two weeks before the Faculty Council meets to make its decision.

In the application, the candidate can propose members of the committee of mentors. The application shall also include a declaration that the candidate

- has not yet applied to complete a habilitation at any university
- has not had an academic title revoked.

The following documents must be submitted with the application:

- Curriculum vitae
- List of publications
- List of lectures and seminars taught
- Report stating previous and planned research priorities (max. 1 page)
- Certified copies of Diplom/Master's and doctoral degree certificates; if the candidate is employed at FAU the copies do not need to be certified.

As well as submitting the application, the candidate should give an introductory presentation to the Department they belong to.

If the Department approves of the presentation, the Faculty Council shall decide whether to initiate the habilitation procedure, and shall appoint the committee of mentors and its chairperson. The Faculty Council shall take any nominations suggested by the candidate into account. A professor from the Faculty who is familiar with the candidate's work and career to date shall be invited to the meeting of the Faculty Council. This professor shall introduce the candidate and shall state whether they have the necessary teaching skills and whether an initial budget eligible for third party funding has been secured.

I. General duties of the committee of mentors:

The duties of the committee of mentors are stipulated in Section 8 (2) nos 1-8 and Section 9 of the Habilitation Regulations of FAU dated 19 December 2003 (HabilO). The duty of the chairperson is to ensure that the committee of mentors completes the following tasks.

First of all, the committee of mentors agrees with the habilitation candidate on the type and scope of the research and teaching achievements required to obtain the postdoctoral teaching qualification. It should be possible to complete the achievements within a maximum period of four years and they should be suited to correspond to the other tasks the candidate is required to fulfil within the context of their employment if the habilitation candidate is a member of the University. In the case of external habilitation candidates, the committee of mentors shall work together with the Dean to ensure that they are able to gain academic teaching qualifications and are given sufficient opportunity to teach. **A written record of the agreement shall be drawn up in English and filed with the Faculty Administration** (it must be able to be made available to the external reviewers at a later date).

II. The committee of mentors shall write an **annual teaching report** in consultation with the Dean of Studies which is submitted to the **Faculty Administration and the Dean.**

III. The committee of mentors shall carry out an **interim evaluation** two years after the initiation of the habilitation procedure. The committee of mentors shall evaluate in particular whether the achievements necessary for the postdoctoral teaching qualification have been met to such an extent that the candidate can be expected to complete the procedure successfully within the allotted time frame. For this purpose, the committee of mentors shall meet officially with the candidate to discuss the status of the habilitation and what plans the candidate has for continuing to meet the agreed targets. In addition, they shall assess the candidate's performance to date with respect to academic teaching, taking the annual teaching reports into consideration.

The committee of mentors shall submit a **written statement on the interim evaluation to the Dean. In this statement, the committee of mentors either states that**

- **it is to be expected that the habilitation procedure will be concluded successfully or**
- **the agreed targets are unlikely to be met. In this case, the committee of mentors recommends that the Faculty Council should dissolve the committee of mentors and terminate the habilitation procedure.**

A negative written statement is given to the Faculty Council in order for a decision to be taken.

IV. The postdoctoral thesis can be submitted either as a cumulative postdoctoral thesis or as a monograph.

A cumulative postdoctoral thesis can consist of a compilation of publications in prestigious scientific journals; these may be published in either German or English. They must demonstrate that the habilitation candidate has explored a scientific topic coherently, independently and in sufficient depth. The thesis should include a summary in either German or English. The summary must be submitted in English if all articles are published in English. This summary shall commence with a paragraph giving a straightforward and concise overview of the thesis.

Candidates shall submit their monographic postdoctoral thesis or cumulative postdoctoral thesis together with their current CV and list of publications to the members of the committee of mentors. Several copies shall also be submitted to the Faculty Administration. The exact number of copies required shall be stipulated by the Faculty Administration.

The committee of mentors shall forward the names of at least two external reviewers to the Faculty Administration.

The Dean shall ask the reviewers for a statement. Together with this request, reviewers shall be forwarded the candidate's CV and list of publications, one copy of the written postdoctoral thesis and the record of the agreed type and scope of achievements in teaching and research (see I.). They are asked to give their opinion

- on whether the targets agreed between the habilitation candidate and the committee of mentors have been met, and whether
- the candidate has proven their ability to conduct independent research.

V. After duly considering the submitted reports and the annual teaching evaluations, the committee of mentors submits a proposal to the Faculty Council via the Faculty Administration, citing reasons for their decision.

If the committee of mentors determines that the candidate has met the requirements agreed upon for obtaining the teaching qualification, it shall recommend to the Faculty Council that the candidate be granted the postdoctoral teaching qualification.

The proposal submitted by the committee of mentors, the written postdoctoral thesis and the reports from the reviewers should as a rule be available for inspection by the members of the Faculty Council and all professors from the Faculty for at least four weeks; the Faculty Administration shall inform this group of people that the documents are available for inspection.

If the committee of mentors determines that the targets have not been met or have not been met within the prescribed deadlines and are not expected to be met within a reasonable period of grace, the Faculty Council shall decide whether to terminate the habilitation procedure.

The evaluations and the statement of the committee of mentors and one example of the written postdoctoral thesis shall be circulated to the professors in the Department to which the habilitation candidate belongs. Whilst the documents are being reviewed, the candidate may give a presentation on the postdoctoral thesis in the respective Department.

- VI. If no objections are raised to the completion of the habilitation procedure with the Faculty Administration, the Faculty Council shall decide on awarding the teaching qualification and determine the subject for which the qualification is awarded. The chairperson of the committee of mentors shall be invited to participate in the meeting and report on the progress of the habilitation procedure. After the meeting, the habilitation candidate shall receive the result of the resolution in writing from the Dean.

- VII. If the habilitation procedure is completed successfully, a certificate shall be issued bearing the seal of the University and the signatures of the President and the Dean; the certificate shall state the subject for which the postdoctoral teaching qualification has been awarded as suggested by the committee of mentors and decided by the Faculty Council when agreeing to award the postdoctoral teaching qualification; reasons must be given if the subject deviates from the subject stated in the original application.
The certificate shall be given to the habilitation candidate by the Dean or a representative who belongs to the Faculty Administration.

- VIII. After receiving the habilitation certificate, the habilitation candidate may apply for authorisation to teach in the subject for which the postdoctoral teaching qualification has been awarded; the Faculty Administration shall instruct the habilitation candidate which steps have to be taken.