

– NON-OFFICIAL VERSION –

This translation is based on the German version of the “Habilitation Regulations of the Faculty of Arts and Humanities” (Official Notice 31/2021).
The official German version is the only legally binding version.

Habilitation Regulations

of the Faculty of Arts and Humanities

at the

University of Siegen

of 30 April 2021

On the basis of § 2 par. 4 and § 68 of the Act on Higher Education Institutions of the State of North Rhine-Westphalia (Higher Education Act – HG) dated September 16, 2014 (Laws and Regulations [GV.] NRW. p. 547), last amended by the Law of 1 December, 2020 (Laws and Regulations [GV.] NRW. p. 1110) the University of Siegen has issued the following regulations:

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§ 1 General Information

- (1) The habilitation has the purpose of formally proving the candidate's ability to independently represent a an academic subject in research and teaching ("teaching qualification") (§ 68 HG).
- (2) The Faculty of Arts and Humanities of the University of Siegen determines the teaching qualification for a specific subject in a habilitation procedure and grants the teaching authorization for the corresponding subject.
- (3) The Faculty of Arts and Humanities can determine teaching qualifications in all subjects in the Faculty if they are represented by at least one professor who fulfills the requirements of § 36 paragraph 1 no. 4 of the HG NRW.
- (4) From the date of submission of the habilitation application, the duration of the habilitation process should not exceed 12 months.

§ 2 Admission Requirements

Requirements for admission to the habilitation procedure are:

1. A Doctor's degree of a German scientific higher education institution according to § 67 of the HG NRW or an equivalent academic degree obtained from a foreign scientific higher education institution. The doctorate should have been awarded in the intended teaching field.
2. Further scientific activity after the doctorate, which is documented, e.g., by lecturing or presenting academic papers and by publication activity in the intended field of teaching.
3. The candidate must have teaching experience.

§ 3 Habilitation Research

Habilitation research consists of a habilitation thesis and a presentation with oral examination and proof of teaching competence.

§ 4 Habilitation Thesis

- (1) The habilitation thesis must represent an independent scholarly achievement in the field in which the habilitation is sought. The thesis must be deemed suitable for advancing scientific knowledge to a particular degree.
- (2) The habilitation thesis should be written in German or English. In exceptional cases, as decided by the faculty council, it may also be written in another language.
- (3) The habilitation thesis may be replaced by several scholarly papers already published or accepted for publication, which in their entirety satisfy the requirements of a habilitation thesis. These papers must provide appropriate evidence of the candidate's qualifications in the area of specialization in which the habilitation is sought, must make subject-specific connections, and must have been published after the doctorate. The thematic and/or methodological context of the submitted writings must be outlined in a separate text. Shares of the candidate in group achievements are admissible as habilitation research, provided that the candidate's independent achievements can be clearly delineated and assessed. In exceptional cases, which are to be justified by the candidate, the habilitation board may decide whether scholarly work that is available in a manuscript form and that has been accepted for publication constitutes an equivalent for published work. In a positive case, § 14 paragraph 3 applies.
- (4) The dissertation is not recognized as habilitation research.

§ 5 Presentation and Oral Examination

For the presentation, three topic proposals (§ 12 paragraph 1) are to be submitted. They are to be taken from the intended area of specialization and should not substantially originate from already published scholarly work. The habilitation board selects a topic from the proposals. The presentation and the subsequent oral examination are open to the university public.

§ 6 Proof of Teaching Competence

Teaching competence is proven as follows:

1. Through training in the didactics of higher education, to the extent of at least 80 teaching units of 45 minutes each, and the independent conception and implementation of a course relevant to the habilitation, to the extent of 2 total number of hours per week during one semester. A professor of the faculty who fulfills the requirements of § 36 paragraph 1 no. 4 of the HG NRW accompanies the conception of the course and participates in at least two sessions of the course. The professor provides a short written assessment of the candidate's teaching performance, based on the conception and following the observation sessions. The written assessment also serves as a certification of proper supervision by the professor and is to be enclosed with the application for admission to the habilitation procedure.
2. Candidates who can demonstrate a course load total of at least 20 semester hours (e.g. 10 two-hour semester-long courses with weekly meetings) , of which at least 8 hours were offered after the doctorate, are exempt from providing the proof as specified under 1.

§ 7 Habilitation Application

- (1) The application for admission to the habilitation procedure must be submitted in writing to the dean of the Faculty of Arts and Humanities.
- (2) The application shall specify the area of specialization for which the candidate wishes to obtain the teaching qualification. The candidate may apply for a teaching certification in one subject, with the additional designation of an area of specialization.
- (3) The application must be accompanied by the following documents:
 1. a written statement provided by the candidate that confirms knowledge of the current habilitation regulation;
 2. a curriculum vitae stating the educational background and professional development;
 3. the doctoral certificate, or proof of obtaining a degree recognized as equivalent by a foreign scientific higher education institution and, if available, transcripts of higher education institutions;
 4. a copy of the candidate's dissertation;
 5. a list of the candidate's scholarly writings published or writings accepted for publication;
 6. three copies of the habilitation thesis or three copies of the scholarly writings submitted as habilitation research;
 7. a written statement about the extent to which the candidate has prepared the submitted scholarly paper(s) independently and a declaration that no aids other than those indicated have been used. If the written work was done in cooperation with other persons, their names, academic degrees and addresses must be stated. The candidate must also provide information as to whether these persons have, in turn, applied for habilitation or doctoral degrees and used the submitted writings in the process;

8. if applicable, a written declaration, stating that the dean is authorized to inform the persons involved in the collaboration declared under 7 and, if applicable, also additional information shared by the applicant in this context, with;
 9. a written statement that the monographic habilitation thesis has not been published to date or, if applicable, which parts of this habilitation thesis or which results have already been published; in the event of a partial publication, the relevant writings must be submitted. § 4 paragraph 3 remains unaffected.
 10. a written statement as to whether the candidate has previously applied or is simultaneously applying for a habilitation procedure. If this applies, the statement is to be provided with full details of its outcome;
 11. a written statement of criminal and disciplinary convictions, as well as pending criminal and disciplinary proceedings;
 12. documents concerning the Proof of Teaching Competence (§ 6).
- (4) The original or a certified copy of the application for the opening of the habilitation procedure and the attached documents, including one copy of each of the submitted papers, shall remain on file at the faculty.

§ 8 Admissions Procedure

- (1) The dean examines the application for the opening of the habilitation procedure and determines whether the application documents are complete.
- (2) If the documents are complete, the dean shall inform the faculty council without delay. The faculty council decides on the acceptance of the application. The application can only be rejected if the requirements as specified in §§ 2 to 7 are not fulfilled.
- (3) If the faculty council rejects the opening of the habilitation procedure, the dean shall immediately inform the candidate of this decision in a written statement providing the reasons for the decision. In this case, the procedure shall be considered as not having been initiated.
- (4) If the faculty council approves the application for the opening of the habilitation procedure, it will appoint a habilitation board. Suggestions for board members by the candidate can be taken into account.

§ 9 Habilitation Board

- (1) The habilitation board conducts the habilitation procedure. The constituent meeting should take place within six weeks after the dean's office has informed the appointed members of the habilitation board. The habilitation board shall coordinate the dates of the meeting.
- (2) The members of the habilitation board are:
 - at least six professors who fulfill the requirements of § 36 paragraph 1 no. 4 of the HG NRW or habilitated members of the faculty;
 - with an advisory vote, two academic staff members with doctorates and two graduate students.
 Different regulations apply to the habilitation in Protestant Theology (§ 19).
- (3) The habilitation board elects one of its professors as a chairperson.
- (4) The habilitation board decides by means of a simple majority. In the event of a tie, the chairperson can cast the decisive vote. The results of the meetings are recorded in minutes. The habilitation board has a quorum if more than half of the voting members are present.

§ 10
Examiner's Assessment

- (1) Once the habilitation procedure has been opened, the habilitation board selects three reviewers according to the criteria of the subject of the habilitation. The examiners may be selected from the members of the habilitation board. The examiners must fulfill the requirements of § 36 paragraph 1 no. 4 of the HG. At least one examiner shall be from another university. Different regulations apply to the habilitation in Protestant Theology (§ 19).
- (2) The names of the appointed examiners shall be communicated to the candidate without delay. The candidate has the right to reject an examiner within five days of receipt of this notification. The newly-appointed examiner cannot be rejected again.
- (3) The candidate may withdraw the application for admission to the habilitation procedure as long as no final decision has been made on the written habilitation research according to § 11 paragraph 2. In this case, the procedure shall be considered as not having been initiated.
- (4) The examiners shall submit independent written examiner's assessments of the submitted written work within a period of three months after receipt of the documents.
- (5) If an examiner cannot meet the set deadline, the habilitation board decides whether to grant an extension of the deadline or to appoint a new examiner.
- (6) The examiner's assessment must contain a reasonable and clear statement as to whether acceptance or rejection of the submitted work as habilitation research is recommended. The examiner's assessment should be limited to the evaluation of the work.

§ 11
Decision on the Written Habilitation Research

- (1) Once all examiner's assessments have been obtained, they will be made available for inspection in the dean's office, together with the submitted papers. Professors, habilitated members, academic staff of the faculty, members of the habilitation board and members of the faculty council are entitled to confidential inspection. The period of notice is four weeks. The period begins with the day of announcement. All professors and habilitated members of the faculty have the right to submit written comments on the recommendations, the examiner's assessment and the habilitation thesis or on the submitted work. They must submit their comments no later than one week after the deadline expires, which must be brought to the attention of the faculty council and the habilitation board.
- (2) At the latest three weeks after the deadline for comments, the habilitation board decides on the acceptance of the habilitation thesis on the basis of the examiner's assessment and comments. It may decide to obtain additional examiner's assessments. In this case, the procedure according to § 9 paragraph 4 and § 10 paragraph 1 is to be followed. If the habilitation thesis is rejected, the dean shall immediately notify the candidate of this decision in a written statement about the reasons and with instructions on how to appeal.

§ 12
Presentation, Oral Examination and Determination of Teaching Qualification

- (1) If the habilitation thesis is accepted, the dean asks the candidate to propose three topics for presentation to the habilitation board within two weeks. The habilitation board selects one of these topic. The habilitation board informs the candidate of this topic four to six weeks before the presentation. The habilitation board may reduce this deadline at the request of the candidate.
- (2) The dean invites the members of the habilitation board and the faculty council, the examiners, as well as all professors and research assistants of the faculty to the habilitation presentation and announces the date and topic of the presentation to the university.
- (3) The presentation duration should not exceed 30 minutes. The presentation is followed by an oral examination, which is usually chaired by the chairperson of the habilitation board. It may cover the entire subject for which the candidate is seeking a teaching qualification. The oral examination shall

not exceed one hour. The examiners and the members of the habilitation board have a half-hour priority right to speak.

- (4) On the day of the presentation, the habilitation board shall decide by means of a simple majority of the voting members present whether the candidate is qualified to teach. Each voting member present shall cast a vote for or against acceptance.
- (5) If the intention is to deviate from the candidate's proposal in the subject designation, the candidate must be heard on the matter.
- (6) Once the teaching qualification has been established, the dean shall present the candidate with a certificate confirming that the teaching qualification has been determined. This contains the essential personal data of the habilitated person (name, place of birth, academic degree), the topic of the habilitation thesis, if applicable, the designation of the scientific subject for which the teaching qualification has been determined, the date of the resolution, and the signature of the dean.
- (7) After completion of the habilitation procedure, the habilitated person will be granted access to the examiner's assessment upon request.

§ 13

Granting of the Authorization to Teach

- (1) After establishing the authorization to teach, the faculty council grants the candidate, upon application, the authority to independently teach courses in the subject for which the authorization to teach has been determined. Granting of the authorization to teach may only be denied for reasons that legally preclude appointment as a tenured professor.
- (2) The dean presents the certificate of the granting of the authorization to teach to the habilitated person. It shall contain the essential personal data of the habilitated person and the designation of the scientific subject for which the authorization to teach is conferred.
- (3) The habilitated person shall give an inaugural lecture within one year.
- (4) The habilitated person has the right and the obligation to teach at least one course at the University of Siegen each semester with a volume of two semester hours per week. The faculty council decides on exceptions.
- (5) The habilitated person is entitled to use the title "private lecturer" for the duration of the person's teaching activities at the University of Siegen. This does not constitute an employment relationship.
- (6) The conferral of the authorization to teach does not constitute an entitlement to employment or the transfer of a teaching position.

§ 14

Publication of the Habilitation Thesis

- (1) The habilitated person is responsible for the publication of the habilitation thesis. If the published version differs from the habilitation thesis, this must be stated in the publication.
- (2) The habilitation thesis may be published in the following ways:
 - through a commercial publisher who will distribute online and/or through bookstores;
 - in an academic journal or series;
 - electronically by the Siegen University Library.

In all cases, three printed specimen copies must be given to the faculty free of charge.

- (3) In the case of a cumulative habilitation thesis, the individual papers are to be published (electronically, if applicable), if this has not already been done. As soon as all of these papers have been published, three copies of a collection of them are to be given to the faculty free of charge.
- (4) The deadline for the publication and the delivery of the specimen copies or the submission of a legally valid publishing contract is three years after the awarding of the teaching qualification (§ 12 paragraph 6). Upon request, the dean may extend the deadline appropriately.

§ 15

Reapplication and Repetition of the Habilitation

- (1) If the habilitation procedure was terminated unsuccessfully, a new application for habilitation may be submitted at the earliest after one year, and only once.
- (2) If the procedure according to § 11 has failed, then, in addition to the documents according to § 7 paragraph 3, the scholarly writings that were submitted as habilitation research in the failed procedure must be submitted and identified. Furthermore, the procedure according to §§ 10ff. has to be followed.
- (3) If the procedure failed due to the performance in the Presentation and Oral Examination, the candidate may repeat the presentation within one year. Furthermore, the procedure is to be followed according to §§ 12ff.

§ 16

Termination of the Teaching Authorization and the Teaching Qualification

- (1) The teaching authorization expires upon written resignation of the private lecturer, upon revocation of the establishment of the teaching qualification, upon the effective date of the appointment to another scientific higher education institution or upon change of habilitation. In the case of a temporary appointment to another scientific higher education institution, the teaching license is suspended for the duration of the appointment.
- (2) The teaching qualification may be withdrawn if the private lecturer fails to comply with the obligation to publish (§ 14), has not taught a course at a scientific higher education institution for three years without a valid reason, unless the private lecturer has reached the age of 65, or if there are reasons that would lead to dismissal or removal from service in the case of a civil servant for life.
- (3) The establishment of the qualification to teach shall be revoked if the habilitation was obtained by deception, plagiarism, threat or bribery, or by information that was essentially incomplete. The determination of the qualification to teach may be revoked if the academic degree that was a prerequisite for admission to the habilitation procedure must no longer be used.
- (4) The faculty council shall decide on the revocation of the establishment of the qualification to teach and the withdrawal of the authorization to teach. The person concerned shall be given the opportunity to comment prior to this.
- (5) The decision on the revocation of the teaching qualification or the withdrawal of the teaching authorization shall be communicated to the person concerned in the form of a written notice, which shall be accompanied by a statement of reasons and instructions on how to appeal.
- (6) With the withdrawal of the teaching authorization, the right to use the "private lecturer" designation expires.

§ 17

Change of Habilitation

- (1) Persons who are habilitated at another scientific higher education institution may apply for the teaching license of the Faculty of Arts and Humanities.
- (2) The application for a change of habilitation is to be submitted in writing to the dean of the faculty. The application shall be accompanied by the documents specified in § 7, paragraph 3, points 1 to 5, as well as the habilitation thesis or the corresponding scholarly writings and the habilitation certificate.
- (3) If an application is submitted, the faculty council appoints a habilitation board according to § 9. This board decides whether or which parts of the required achievements can be waived and submits a proposal to the faculty council to accept or reject the application.
- (4) The faculty council decides on the application. In the case of a positive decision, the rehabilitated person shall present him/herself to the university public with a lecture.

§ 18

Extension of the Teaching Qualification and the Teaching Authorization

- (1) The teaching qualification and authorization to teach may be extended upon application. If an application is submitted, the faculty council appoints a habilitation board according to § 9. The latter submits a proposal to the faculty council as to which services are to be provided. The faculty council shall decide on the services to be provided.
- (2) For the further procedure, §§ 1 to 14 shall apply accordingly. Depending on the case, the services to be provided may be reduced in accordance with the resolution of the faculty council.

§ 19

Habilitation in Protestant Theology

- (1) In the subject of Protestant Theology, the regulations stated in this paragraph apply in deviation from the preceding provisions.
- (2) The candidate must belong to the Protestant Church.
- (3) The examiners of the habilitation thesis, in accordance with § 10 paragraph 1, must be professors who fulfill the requirements of § 36 paragraph 1 no. 4 of the HG NRW or private lecturers of Protestant Theology.
- (4) Up to two further examiners, who do not have to be professors of Protestant Theology, may be consulted for the assessment of subject-specific aspects beyond the field of Protestant Theology.
- (5) The habilitation board includes all professors of Protestant Theology at the University of Siegen who fulfill the requirements of § 36 paragraph 1 no. 4 of the HG NRW. If possible, all five sub-fields of Protestant Theology (Old Testament, New Testament, Church History, Systematic Theology, Practical Theology) should be represented on the habilitation board. The habilitation board is to be composed in such a way that professors of Protestant Theology form the majority among its habilitated members. The external examiners according to paragraph 3 are full voting members of the habilitation board.
- (6) Members of the habilitation board who are not Protestants shall only have an advisory vote in the decision on the establishment of the qualification to teach, pursuant to § 12, paragraph 4.
- (7) In all other respects, the provisions of these regulations shall apply accordingly.

§ 20

Transitional Arrangement

The habilitation procedures pending at the time of the entry into effect of these regulations shall be continued in accordance with the habilitation regulation under which they were opened.

§ 21

Entry into Effect

- (1) This habilitation regulation enter into effect on the day following its publication in the university gazette "Official Notices of the University of Siegen." The habilitation regulation of the Faculty of Arts and Humanities of the University of Siegen of 30 July 2012 (Official Notice 24/2012) shall expire at the same time. § 20 remains unaffected.
- (2) For the habilitation in Protestant Theology, this habilitation regulation shall enter into effect after the completion of the procedure for the participation of the responsible ecclesiastical bodies according to § 80 paragraph 4 of the HG.

Issued on the basis of the resolution of the faculty council of faculty I - Faculty of Arts and Humanities - of 4 December 2019.

Attention is hereby drawn to the point that, pursuant to § 12 paragraph 5 of the Act on Higher Education Institutions in the State of North Rhine-Westphalia (Higher Education Act – HG NRW), the assertion of any claim pertaining to a violation of procedural or formal regulations of said Higher Education Act, or of the University’s regulations (or other autonomous law), may no longer be asserted after a period of one year has elapsed since this announcement, unless

1. the statute has not been properly published
2. the Rectorate has previously objected to the resolution of the body adopting the statute,
3. the University has been notified in advance of a formal (or procedural) defect, indicating the legal provision that has been violated and the circumstance giving rise to said defect, or
4. no reference was made to the legal consequence of the exclusion of any notification of defects in the public announcement of the statute.

Siegen, 30 April 2021

The Rector

Signed

(University Professor Dr. Holger Burckhart)