

PLEASE NOTE:

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Regulations and Procedures Governing the Habilitation at the University of Mannheim

as at

¹Based on section 39 subsection 5 of the Act on Higher Education of Land of Baden-Württemberg (LHG) as at 1 April 2014 (GBl. p. 99) last amended by article 1 of the LHG at 13 March 2018 (GBl. p. 85) the Senate of the University of Mannheim has passed these regulations and procedures governing the habilitation on 4 December 2019.

²The president has passed them on _____.

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Section 1 Purpose of the Habilitation

(1) The habilitation serves to prove the holder's particular ability to independently represent an academic discipline in research and teaching.

(2) Based on a successful habilitation the university confers the venia legendi, the permission to lecture, for a particular academic discipline or a branch of a discipline.

²The conferment of the venia legendi allows its holder to bear the title "Privatdozentin"

or “Privatdozent”, provided that they teach at least classes worth two credit hours in their discipline. These classes may not depend on a remuneration for the services.

Section 2 Requirements for Habilitation

The following tasks need to be completed for a habilitation:

1. a habilitation thesis or equivalent academic publications according to section 7,
2. proof of the candidate’s pedagogical and didactic suitability according to section 8,
3. an academic presentation followed by a colloquium in front of the habilitation committee according to section 9.

Section 3 Habilitation Committee

(1) ¹The habilitation committee of the school decides on the habilitation and makes further decisions according to the Regulations and Procedures Governing the Habilitation (HabilO). ²It is composed of

1. the dean, the professors, other members of the school holding a habilitation and the junior professors, who have proved themselves successful in the mid-tenure review according to section 51 subsection 7 of the LHG.
2. professors emeriti and retired professors who have declared to the dean before the candidate was admitted to the habilitation process that they are willing to participate in the process.
3. further professors and holders of a *venia legendi* who are consulted in individual cases.

(2) ¹The dean chairs the committee. ²They can delegate the chair to another member of the habilitation committee in case they are unable to chair themselves. If the chair has not been delegated, the vice dean chairs the committee.

(3) ¹For ascertaining the presence of a quorum for the habilitation committee the members according to section 1 sentence 2 number 2 and 3, the further members holding a *venia legendi* according to section 1 sentence 2 number 1 and the members according to section 1 sentence 2 number 1, who are not members or only visiting members at the University of Mannheim are not taken into account. ²The habilitation committee has a quorum when at least a third of the remaining members according to subsection 1 sentence 2 number 1 are present and the meeting is chaired properly. ³This also applies if, by way of exception, decisions are made in writing by way of circulation.

(4) Decisions of the habilitation committee require a majority from the members present.

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Section 4 Initiation of the Habilitation Procedure and Interim Evaluation

(1) ¹The initiation of the habilitation procedure is requested with the dean of the responsible school that is home to the discipline or branch of a discipline of the candidate. ²The request must include the discipline or the branch of a discipline for which the candidate aspires to receive the *venia legendi* as well as the school at which the habilitation procedure is to take place. ³Applicants who are not members of the University of Mannheim have to introduce themselves with an academic presentation before the initiation of the habilitation procedure. ⁴The candidate announces their plan for a habilitation at least one year before submitting their request (notification).

(2) ¹The candidate additionally submits a proposal for a class within a program of study at the University of Mannheim in which they plan to complete the proof of the pedagogical and didactic suitability according to section 8. ²Moreover, the candidate must include a list of all classes taught, proofs of successfully completed courses in educational development and convincing documents of results of course evaluations.

(3) ¹The habilitation must be completed within a time frame of four years after the notification. ²After three years at the latest, the habilitation committee conducts an interim evaluation. ³The evaluation is based on the essential results of the habilitation thesis that are completed by then. ⁴The habilitation committee decides on exceptions from the deadlines in sentences 1 and 2. ⁵The habilitation committee can decide to terminate the habilitation procedure in case the results do not show sufficient progress. In this case, the candidate can no longer submit a request for habilitation. ⁶The candidate can withdraw their notification up until the beginning of the meeting in which the interim evaluation is discussed. As a result, the notification is deemed not made.

Section 5 Request for Habilitation

(1) The request for habilitation is to be submitted to the responsible dean.

(2) ¹The candidate must hold a doctoral degree of a German higher education institution or an equivalent academic degree of a foreign higher education institution. ²The date of the oral examination for the doctoral degree and the date of the request for habilitation need to be at least two years of academic activity apart. ³The candidate must have published academic papers and prove this.

(3) The request is to include

1. a professional and academic vita,
2. the doctoral degree certificate as a notarized copy,
3. four copies of the habilitation thesis, in case of an article-based thesis, candidates must include a declaration listing the contents of the thesis they have worked on independently and a declaration from their co-authors that confirms this,

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4. a register of all other academic publications. The candidate lists up to five publications as best publications; one copy of each of these publications is to be included with the request,
5. the following declaration: “Thereby declare that I have adhered to the rules of proper scientific conduct and that the publications listed in section 5 subsection 3 numbers 3 and 4 of the Regulations and Procedures Governing the Habilitation are my own work. I have employed no other sources or means except the ones listed. I clearly marked any quotations derived from the works of others. In particular, I did not seek assistance from a third party such as a commercial consulting service.”,
6. a list of all classes taught,
7. three proposals for the academic presentation according to section 9 subsection 1 deriving from the discipline or the branch of a discipline for which the candidate aspires to receive the *venia legendi*. Yet, the proposals for presentation must differ from topic of the habilitation thesis,
8. a declaration about possible other ongoing habilitation procedures of the candidate,
9. a recent official certificate of good conduct. Depending on the dean's decision, university members may be exempt from providing a certificate of good conduct.

(4) ¹The documents submitted become property of the university. This does not apply to the original certificates or the attached academic publications. ²The dean can permit for the documents to be submitted electronically, if appropriate.

Section 6 Admission to Habilitation

After examination of the requirements as set out in sections 4 and 5, the habilitation committee decides whether a candidate receives the admission to habilitation.

(2) Admission is to be denied if

1. the candidate does not meet the requirements according to sections 4 and 5,
2. the subject is outside of the field of responsibility of the university or the responsible school,
3. the candidate has been convicted by a German court in a criminal proceeding and for civil servants this conviction would result in forfeiting civil service rights.

(3) As a rule, admission is to be denied if more than one habilitation procedure for the discipline or the branch of a discipline according to section 4 subsection 1 sentence 2 have been terminated unsuccessfully.

(4) Admission can be denied if

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1. the candidate has committed an act which would entail a disciplinary measure for a civil servant that can only be imposed in a formal disciplinary proceeding,
2. a reason exists which would justify a withdrawal of the status as a civil servant,
3. the candidate's academic degree has been revoked or grounds exist which justify the revocation of the academic degree,
4. research misconduct according to the current version of the Statutes of the University of Mannheim on Procedures for Handling Research Misconduct was committed.

(5) If a criminal proceeding is pending due to an offense which might entail the revocation of an academic degree or if there are any doubts about research misconduct according to the current version of the Statutes of the University of Mannheim on Procedures for Handling Research Misconduct, the decision on the admission is to be suspended until the completion of these proceedings.

(6) ¹The dean will notify the candidate in writing, if they have not been admitted. ²In this case, the habilitation procedure is terminated.

(7) The request for habilitation can be withdrawn until the start of the meeting that is to approve the habilitation thesis. In this case, the request is deemed not submitted.

Section 7 Habilitation Thesis

(1) ¹The habilitation thesis has to be an independent academic work from the discipline or the branch of a discipline for which the candidate desires the *venia legendi*. ²The academic discipline must benefit from the thesis. Moreover, the thesis must correspond to an academic performance that is required of a junior professor by the responsible school by the end of a successful junior professorship. ³The habilitation committee can accept a scientific work that has already been published as a habilitation thesis. ⁴This does not apply to a doctoral dissertation.

(2) ¹If a candidate requests a habilitation without providing a habilitation thesis, the academic publications they provide must form a coherent work which, as a whole, fulfills the requirements of a habilitation thesis. ²The candidate has to present all findings together and the coherence of the individual works is to be justified.

(3) ¹In case the candidate provides joint works, they must indicate the parts they have worked on independently in each paper. ²This is to be confirmed in writing by the co-authors. ³Co-authors of joint works which are submitted as a habilitation thesis must not be appointed as evaluators.

(4) ¹For the evaluation of the habilitation thesis, the habilitation committee appoints at least three evaluators who hold a *venia legendi* or are equally qualified, or who hold a professorship. ²Among these evaluators, there must be at least one member of the

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responsible school, and at least one member of a different school or a different higher education institution. ³In the written evaluation, the supervisors and evaluators report whether they suggest accepting or rejecting the habilitation thesis. ⁴The evaluation is to be completed no later than four months after the submission of the habilitation thesis. ⁵If an evaluator fails to submit the evaluation in time, the habilitation committee can appoint a new evaluator.

(5) ¹Once the evaluators have submitted the evaluation, the dean informs the habilitation committee without delay. ²All members of the habilitation committee have the opportunity to submit a vote concerning the habilitation thesis.

(6) ¹Taking into account the evaluations of all evaluators, as well as possible votes submitted by members of the habilitation committee, the habilitation committee decides on the habilitation thesis. ²In cases of doubt, the committee can obtain another evaluation.

(7) ¹The dean notifies the candidate in writing, in case their habilitation thesis is rejected. ²In this case, the habilitation procedure is terminated.

Section 8 Proof of Pedagogical and Didactic Suitability

(1) ¹After the notification, the dean assigns the class in which the candidate has to complete the proof of pedagogical and didactic suitability. ²Every class which is part of the degree plan of the respective discipline or branch of a discipline is a suitable class. ³The class is to comprise two teaching hours over one semester.

(2) ¹The habilitation committee forms a commission consisting of two members who examine the candidate's ability to teach in an academic setting and their pedagogical and didactic suitability. The commission reports to the habilitation committee in writing. ²The habilitation committee decides on the pedagogical and didactic suitability on the grounds of this report. ³If the habilitation committee decides that the candidate did not provide proof of their pedagogical and didactic suitability, the dean will notify the candidate in writing. ⁴In this case, the habilitation procedure is terminated.

(3) ¹The habilitation committee may consider the proof to teach in an academic setting and the pedagogical and didactic suitability provided if the candidate has already taught classes as a member of the University of Mannheim in the respective program for at least two semesters. ²The pedagogical and didactic suitability can also be considered ascertained if the candidate provides proof of successfully completed courses in educational development or presents convincing documents regarding successful course evaluations.

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Section 9 Presentation and Colloquium

(1) ¹Once the habilitation thesis has been accepted and the decision regarding the pedagogical and didactic suitability has been made, the habilitation committee chooses the subject of the academic presentation from three proposals the candidate has provided; the habilitation committee also sets a date for presentation and colloquium. ²The dean informs the candidate about the date and the selected subject at least three weeks before the presentation.

(2) ¹The presentation should be 30 minutes. ²In the subsequent colloquium, the candidate has the possibility to defend their presentation against any possible objections and to prove that they are familiar with other problems within their discipline or branch of a discipline.

(3) ¹If the presentation and the colloquium are not accepted, the candidate can propose a new subject for a presentation with a subsequent colloquium within the scope of the ongoing habilitation procedure. ²Sections 1 and 2 apply accordingly. ³If the candidate declares not to make use of this possibility or if they do not propose three subjects for the academic presentation within three months, the dean notifies the candidate about the end of the habilitation procedure in writing.

(4) If the second presentation and colloquium are also not accepted, the dean notifies the candidate about the end of the habilitation procedure in writing.

Section 10 Completion of the Habilitation

(1) Based on the performance of the candidate the habilitation committee decides whether the habilitation is complete and decides on the specific denomination of the discipline or branch of a discipline.

(2) The dean informs the candidate about the result of the habilitation procedure.

Section 11 Conferment of the Venia Legendi

¹On the grounds of a successful habilitation, the venia legendi is conferred for a specific discipline or branch of a discipline. ²The habilitation certificate includes:

1. the candidate's last name, first name, date of birth, place of birth and academic degrees,
2. the title of the habilitation thesis
3. the denomination of the discipline or branch of a discipline for which the venia legendi is conferred,

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4. the date of the decision on the habilitation and the date of the conferment of the *venia legendi*,
5. the signature of the President as well as the signature of the dean or the vice dean as deputy of the dean of the responsible school,
6. the seal of the university.

Section 12 Expansion of the *Venia Legendi*

¹Upon request, the habilitation committee may expand the *venia legendi* to additional branches of a discipline or subjects on the grounds of further academic publications. ²It is not necessary for the holder of the *venia legendi* to take another oral examination or to have their teaching in an academic setting evaluated. ³For the procedure, sections 7, 10 and 11 apply *mutatis mutandis*.

Section 13 Termination, Suspension and Revocation of the *Venia Legendi*

(1) A *venia legendi* of a *Privatdozentin* or *Privatdozent* terminates if

1. they have been appointed as professor at a different higher education institution,
2. they have been appointed *Privatdozentin* or *Privatdozent* or have received a *venia legendi* at a different higher education institution,
3. they have waived their right to hold the *venia legendi* and have informed the President in writing,
4. a decision on the termination was made; this occurs if, for over one year, the *Privatdozentin* or *Privatdozent* has not taught classes of at least two credit hours per academic year within their discipline or branch of a discipline (*Titellehre*, duty to teach) due to reasons they are responsible for.
5. they have been convicted in a criminal proceeding by a German court and for a civil servant this conviction would result in forfeiting civil service rights.

(2) The *Privatdozentin* or *Privatdozent* is suspended from their duty to teach

1. as long as they are employed with a certain teaching workload at their own university,
2. as long as they are employed with a certain teaching workload at a different university,
3. once they have reached the statutory retirement age for civil servants with life tenure according to section 36 subsection 1 of the act on civil servants of the Land of Baden-Württemberg (*Landesbeamtengesetz*, LBG).

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(3) Notwithstanding sections 48 and 49 of the administrative procedure act of the Land of Baden-Württemberg, the habilitation committee may revoke the *venia legendi* of a Privatdozentin or Privatdozent if

1. they have committed an act which would entail a disciplinary measure for a civil servant that can only be imposed in a formal disciplinary proceeding,
2. a reason exists which would justify the withdrawal of the appointment in the case of a civil servant,
3. they have been revoked their academic degree,
4. they have committed research misconduct according to the current valid version of the Statutes of the University of Mannheim on Procedures for Handling Research Misconduct.

(4) Before a decision according to subsections 1 to 3 is taken, the holder of the *venia legendi* has the possibility to make a statement.

(5) Once the *venia legendi* terminates or has been revoked, the right to hold the title Privatdozentin or Privatdozent is forfeited as well.

Section 14 Announcement of the Habilitation

¹The President informs the Ministry of Science, Research and Arts about the successful habilitation and provides a copy of the certificate of conferment. ²The same applies to decisions according to section 13.

Section 15 Conferment of the Venia Legendi in Exceptional Cases (Umhabilitation)

(1) ¹In case a Privatdozentin or Privatdozent is holder of a *venia legendi* from a different higher education institution and requests a habilitation at the University of Mannheim, the habilitation committee of the responsible school examines the academic qualification of candidate. ²Section 5 applies accordingly, however the holder does not have to produce a new habilitation thesis.

(2) ¹In preparation for the decision, the habilitation committee usually appoints two evaluators who provide a written evaluation of the habilitation work, particularly focusing on the academic publications. ²The school awards the Privatdozentin or Privatdozent a teaching contract in order to evaluate their teaching experience as well as their pedagogical and didactic suitability.

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(3) Based on this evaluation, the habilitation committee decides whether they accept the habilitation work and, in case of acceptance, they request issuing the certificate of conferment in accordance with section 11 sentence 2, provided the candidate has previously waived their right to hold the former *venia legendi*.

Section 16 Access to Records

¹For one year after the completion of the procedure, the candidate has the right to access their records in accordance with section 29 of the administrative procedure act of the Land of Baden-Württemberg. ²The dean decides on the time and place for accessing the records.

Section 17 – Commencement; Transitional Regulations

(1) ¹These regulations and procedures governing the habilitation will come into effect on the day after their publication in the Bulletin of the President's Office (Amtliche Bekanntmachungen des Rektorats). ²At the same time, the regulations and procedures governing the habilitation of 10 November 2006 cease to be effective.

(2) ¹In case a completed request for habilitation or a notification are submitted prior to the commencement of these regulations and procedures, the habilitation procedure is continued in accordance with the former regulations and procedures governing the habilitation. ²Upon request, the habilitation procedure may be continued in accordance with the recent regulations and procedures governing the habilitation.

Approved and issued:

Mannheim,

Prof. Dr. Thomas Puhl
President

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