

Habilitation Regulations (Rules)
of the
Faculty of Business, Economics and Social Sciences
at
Christian–Albrechts–Universität zu Kiel

Based on Section 95 (4) of the Schleswig-Holstein Higher Education Act (HSG) in the version published 4 May 2000 (GVOBl. Schl.-H. (Law and Ordinance Gazette of Schleswig-Holstein), p. 416), after a resolution was passed by the Faculty Convention of the Faculty of Business, Economics and Social Sciences of 25 October 2000, the following Rules were issued:

Section 1

Basic information

(1) The Faculty of Business, Economics and Social Sciences at Christian–Albrechts–Universität zu Kiel (hereinafter referred to as the Faculty) provides the opportunity for students to prove their ability to carry out independent research and teaching in subjects within its specialist academic field by completing a post-doctoral qualification called the habilitation.

(2) The subjects within the academic field of the Faculty are Economics, Business Administration, Statistics, Econometrics, Political Science and Sociology.

Section 2

Habilitation theses

The ability to carry out independent research and teaching is proven by a written habilitation thesis and oral habilitation examinations.

Section 3

Habilitation Committee

(1) The Habilitation Committee (hereinafter referred to as the Committee) is responsible for making specialist decisions in habilitation matters as well as performing individual habilitation procedures.

(2) The Committee comprises full-time faculty professors, university lecturers and private lecturers. The Dean chairs the Committee.

(3) Each habilitation procedure requires at least one full-time professor of another faculty at Christian–Albrechts–Universität zu Kiel as a committee member with voting rights. On request by the Committee, these external members shall be appointed by the faculty to which they belong. The relevant faculty and external members shall be proposed by the assessors in accordance with Section 8 (1).

(4) Insofar as the Faculty can propose an assessor for habilitation procedures in other faculties, this decision is made by the Committee.

(5) The Committee can appoint other Faculty members who are habilitation graduates, in particular emeritus or retired professors, as well as full-time professors of other academic universities as additional members for individual habilitation procedures. Without prejudice to Section 8 (2), they have no voting rights.

(6) Consultations and resolutions by the Committee relating to a habilitation procedure are not public.

Section 4

Requirements for admission to the habilitation procedure

In order to be admitted to the habilitation procedure, the habilitation candidate must

1. have studied at an academic university and completed a degree programme with a standard period of study of at least eight semesters or consecutive degree programmes with a standard period of study of at least four academic years,
2. have studied at an academic university and acquired a doctorate in the field chosen for the habilitation with at least a grade of "cum laude" (good) or the Committee must have recognised another doctorate or waived the requirement for a doctorate or minimum grade at the request of the habilitation candidate; the application shall be submitted punctually, if possible before creation of the habilitation paper;
3. present a written habilitation thesis in accordance with Section 7,
4. provide evidence of academic teaching for at least four hours per week per semester (SWS). If evidence cannot be provided at the time of applying for admission, the habilitation candidate is to be given the opportunity to complete such teaching prior to the habilitation presentation.

Section 5

Application for admission to the habilitation procedure

(1) The application for admission must be submitted in writing to the Dean. The following should be enclosed with the application:

1. a Curriculum Vitae,
 2. evidence of fulfilment of the requirements stated in Section 4 No. 1 and 2,
 3. 13 copies of the written habilitation thesis in accordance with Section 7,
 4. a list of all other academic works each with a specimen copy,
 5. a list of lectures conducted,
 6. information on the chosen teaching qualification,
 7. a sworn declaration on any other habilitation attempts.
- (2) If a habilitation attempt has already been made at another academic university or another faculty of Christian–Albrechts–Universität zu Kiel, a copy of the previous written habilitation thesis must be enclosed with the habilitation application.

Section 6

Decision on admission

(1) The Faculty Convention decides each individual case of admission.

(2) Admission is to be granted if all requirements have been met in accordance with Section 4.

(3) Admission is to be refused if previously two unsuccessful habilitation attempts have been made or if another habilitation procedure has not yet been completed. Admission can be refused if the documents in accordance with Section 5 are

incomplete and are not provided in full within an appropriate period determined by the Dean.

(4) Admission must not be dependent on the habilitation candidate being proposed or supervised by a professor or on a certain period elapsing after acquiring a doctoral degree.

Section 7

Written habilitation thesis

(1) The written habilitation thesis is designed to prove the author's ability to perform independent academic research and teaching and to justify and present this work in an appropriate manner.

(2) The written habilitation thesis comprises a habilitation paper or academic works that are together equivalent to a habilitation paper.

(3) The written habilitation thesis can be published already, in full or in part. It must be written in German or English; the Committee may permit another language to be used at the request of the habilitation candidate.

(4) In principle, a piece of work that has been used as examination in full or in part in another academic examination is not permitted to be used as a habilitation thesis. The Committee may make exceptions to this rule by request.

Section 8

Assessment of the written habilitation thesis

(1) On the recommendation of the Dean, the Committee shall appoint at least two assessors who represent the fields dealt with in the written habilitation thesis for the assessment of the written habilitation thesis following the candidate's admission to the habilitation procedure. At least one assessor must be a full-time professor of the Faculty.

(2) Other Faculty members who are habilitation graduates, in particular emeritus or retired professors, may also be appointed as assessors. Voting rights in the habilitation procedure are linked with the appointment as assessor.

(3) The Habilitation Committee can obtain reports from professors from other faculties of Christian–Albrechts–Universität zu Kiel or other academic universities. Paragraph 2 Sentence 2 applies accordingly.

(4) Before the assessors are appointed, the professors who represent the academic subject of the written habilitation thesis shall be given the opportunity to make proposals for their selection.

(5) The Dean forwards the written habilitation thesis directly and in full to the assessors and sets an appropriate deadline by which they are to submit their reports.

(6) The reports must be submitted in writing. They must include a justified recommendation for the acceptance or rejection of the written habilitation thesis.

(7) In cases of doubt, the Committee can obtain further reports.

Section 9 Viewing the written habilitation thesis

(1) The Committee members and the other Faculty members who are habilitation graduates can view the written habilitation thesis from the day it is submitted at the Dean's Office.

(2) The Committee members are to be given at least four weeks during the lecture period to view the written habilitation thesis and the reports of the appointed assessors and to request additional reports.

(3) The Committee members must be informed immediately of the receipt of additional reports and they are to be given the opportunity to view them. The viewing period may be extended by two weeks at the most for this purpose.

Section 10 Decision on the written habilitation thesis

(1) At the end of the viewing period the Dean shall call the Committee to a meeting to make a decision on the written habilitation thesis. This meeting must take place during the lecture period. The decision must be either acceptance or rejection, unless the Committee permits a revision of the work in accordance with paragraph 5.

(2) The decision requires a majority vote by Committee members with voting rights present at the meeting. The voting is done openly, abstention is not permitted. The Committee constitutes a quorum if all members are invited and more than half of the members with voting rights are present.

(3) If the majority of the submitted reports state the same recommendation, a dissenting vote must be justified verbally during the meeting. The written version of the justification must be presented during the meeting or submitted in writing immediately afterwards.

(4) If the written habilitation thesis is rejected, the habilitation procedure is concluded without success.

(5) In exceptional cases, the Committee can return the written habilitation thesis for revision and determine the requirements for such revision. The revision period is to be decided by the Committee; it may be one year at the most. If this deadline is not observed or the revised written habilitation thesis is rejected as inadequate on the

basis of reports, especially those of the appointed assessors, the habilitation procedure is concluded without success.

(6) The Dean shall immediately inform the habilitation candidate of the Committee's decision.

Section 11

Oral habilitation examinations

(1) The oral habilitation examinations comprise the habilitation lecture and habilitation presentation with subsequent colloquium.

(2) The following rules apply to the habilitation lecture:

1. The habilitation lecture is designed to prove the habilitation candidate's didactic skills. It is public and should take no longer than 90 minutes. The subject matter of the habilitation lecture must be within the academic field of the teaching qualification applied for.
2. The Committee may dispense with the habilitation lecture by request for habilitation candidates who were academics at an institute of the Faculty and gained relevant specialist teaching experience as such.

(3) The following rules apply to the habilitation presentation and the subsequent colloquium:

1. The habilitation presentation is designed to prove the habilitation candidate's ability to present an academic topic at an advanced level. The subsequent colloquium covers the subject to be demonstrated for the teaching qualification. The presentation and colloquium should last no longer than 45 minutes each. Committee members as well as members of the Faculty Convention and Faculty members with doctoral degrees are entitled to participate.
2. In accordance with Section 9 (2), the habilitation candidate must propose three topics for the habilitation presentation and submit these in writing to the Dean by the end of the viewing period. The topics for the habilitation presentation should relate to areas that have not already been dealt with or not dealt with in depth in the written habilitation thesis.
3. Directly following acceptance of the written habilitation thesis, the Committee selects one of the three submitted topics for the habilitation presentation.

(4) The Committee decides the dates for the oral habilitation examinations. The habilitation lecture is held before the habilitation presentation. Both dates must be during the lecture period. The period between the two oral examinations must be at least one week. The notice period for the habilitation candidate is two weeks; the habilitation candidate may waive this in writing.

Section 12
Decision on the oral habilitation examinations
and on the teaching qualification

(1) Directly following the colloquium connected to the habilitation presentation, the Committee decides on the acceptance of the oral habilitation examinations. The student members of the Faculty Convention are to be heard regarding the suitability of the habilitation candidate as a teacher.

(2) For the voting, Section 10 (2) applies.

(3) If the oral habilitation examinations are accepted, the habilitation procedure is concluded with success.

(4) If the oral habilitation examinations are rejected, the Committee decides whether one or both examinations should be repeated. It determines the topics and dates for this on the basis of current or newly submitted proposals. If rejected again, the habilitation procedure is concluded without success.

(5) The habilitation includes the determination of the teaching qualification. The Committee determines the field in which the teaching qualification is to be determined on the basis of the written habilitation thesis and taking into account the dissertation and other academic works as well as previous teaching experience. This field may not be broader than the field applied for at the time of admission.

(6) The Dean shall immediately inform the habilitation candidate of the Committee's decision.

Section 13
Academic title

The habilitation graduate is entitled to add "habilitata" or "habilitatus" (for short: habil.) to the title of Doctor of Business, Economics and Social Sciences. Habilitation graduates who do not have doctoral degrees or have a different doctoral degree will be awarded the title "Dr. sc. pol. habil."

Section 14
Authorisation to teach and issuing of the habilitation certificate

(1) On successful conclusion of the habilitation procedure, the Committee recommends that the Senate of Christian–Albrechts–Universität zu Kiel awards the authorisation to teach (*venia legendi*) for the field of the teaching qualification.

(2) Thereafter the Dean issues the habilitation certificate to the habilitation graduate.

Section 15 Inaugural lecture

Habilitation graduates must hold a public inaugural lecture on an academic subject of their choice from their specialist field within one year.

Section 16 Rights and obligations of the habilitation graduates

- (1) The rights and obligations of the habilitation graduates are set out in the Higher Education Act (HSG).
- (2) The habilitation does not form the basis of any legal claim to an appointment or career at Christian–Albrechts–Universität zu Kiel or to payment for lectures.

Section 17 Repeating the habilitation procedure

If a habilitation procedure is concluded without success, only one repeat application for admission may be submitted and usually not before a year has passed. Requests to shorten this period are decided on by the Committee.

Section 18 Habilitation transfer (Umhabilitation)

By request a habilitation completed at another academic university may be recognised as a habilitation of the Faculty (habilitation transfer or, in German, Umhabilitation). The Habilitation Regulations apply accordingly to this procedure. The oral habilitation examinations may be dispensed with either completely or in part. The habilitation transfer can be combined with the recommendation to the Senate of Christian–Albrechts–Universität zu Kiel to grant the habilitation graduate authorisation to teach in the field of the teaching qualification.

Section 19 Extending the teaching qualification

- (1) At the request of a Faculty habilitation graduate, the Committee can extend the teaching qualification to additional areas of economics and social sciences if relevant academic achievements can be proven. Four copies of supporting academic papers are to be included with the application.
- (2) Oral habilitation examinations are not required. Apart from that the Habilitation Regulations apply accordingly.
- (3) A decision is to be made on the application within six months.

(4) The Committee can combine an extension of the teaching qualification with the recommendation to the Senate of Christian–Albrechts–Universität zu Kiel to extend the habilitation graduate's authorisation to teach accordingly.

Section 20 Loss of academic title

(1) The Committee can rescind the right of the habilitation graduate to use the academic title denoting the habilitation, if

1. essential requirements for the issuing of the title were not fulfilled and this was known to the habilitation graduate, or
2. if the habilitation graduate used unfair means to gain the habilitation.

(2) The habilitation graduate is to be heard by the Committee before it makes its decision.

Section 21 Procedural rules

(1) The Committee makes its resolutions based on the majority vote of the members with voting rights present.

(2) In accordance with these Habilitation Regulations, the habilitation candidates must be notified of the Committee's decisions in writing. Rejection decisions must be justified and accompanied by instructions on the right to appeal.

(3) A habilitation procedure should be completed within one year starting from the date of admission. The habilitation candidate must be notified of reasons for exceeding this period in writing.

(4) The Dean notifies the relevant ministry of the habilitation, the habilitation transfer (Umhabilitation), the extension of the teaching qualification and the rescission of the right to use the academic title denoting the habilitation via the Rector's Office of Christian–Albrechts–Universität zu Kiel.

Section 22 Viewing the examination records

Within a reasonable period within a year of completing the habilitation procedure, the habilitation candidate shall be granted access to view all the documents relating to his/her habilitation procedure by request.

Section 23 Objection and complaint

- (1) Objections against decisions made by the Committee may be submitted to the Dean in accordance with current statutory provisions.
- (2) Objections are decided on by the Committee. A complaint may be raised against the objection decision in accordance with statutory provisions.

Section 24 Entry into force

- (1) These Habilitation Regulations (Rules) enter into force on the day of their publication.
- (2) At the same time the Habilitation Regulations (Rules) of 13 November 1990 cease to be in force.
- (3) Habilitation procedures in which admission had been granted before these Habilitation Regulations entered into force may be concluded according to the previous version of the Habilitation Regulations by request.

Approval in accordance with Section 14 (1) HSG was granted by the Ministry for Education, Science, Research and Cultural Affairs of the Land Schleswig-Holstein on 21 November 2000.

Kiel, 11 December 2000

THE DEAN
of the Faculty of Business, Economics and Social Sciences
Professor Dr Sönke Albers