

**Habilitation Regulations (Rules) for the  
Faculty of Business, Economics and Social Sciences  
at Kiel University  
of 12 March 2020**

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Based on Section 55 (1) of the Schleswig-Holstein Higher Education Act (HSG) in the version published on 5 February 2016 (GVOBl. Schl.-H.) p.39, amended by the Act of 13 December 2019 (GVOBl. Schl.-H. p. 612), after a resolution was passed by the Faculty Convention of the Faculty of Business, Economics and Social Sciences of 22 January 2020, the following Rules were issued:

**Section 1  
Basic information**

- (1) The Faculty of Business, Economics and Social Sciences at Kiel University (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, Statistics, Econometrics, Political Science and Sociology.

**Section 2  
Habilitation examinations**

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 all decisions in habilitation matters as well as performing individual habilitation procedures.
- (2) The Faculty Convention selects as members of the Committee:
  1. Eight full-time Faculty professors and a further eight full-time Faculty professors as their deputies, as proposed by members who are university lecturers. The majority of the professors must spend their work time predominantly at the Faculty.

2. A research associate who is a habilitation graduate and who works at the Faculty, and another research associate who is a habilitation graduate and who works at the Faculty as their deputy, as proposed by members of the academic staff.
  3. The Dean is an ex officio member and chairs the Committee. A Vice Dean may substitute for the Dean.
- (3) Each habilitation procedure requires at least one full-time professor of another faculty at Kiel University as a Committee member with voting rights.
- (4) If a member of the Committee is appointed as an assessor, their voting right is transferred to their deputy.
- (5) The Committee can appoint other Faculty members who are habilitation graduates, retired professors, as well as full-time professors of other academic universities as additional members for individual habilitation procedures. 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**

- (1) 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, or the Committee must have recognised another doctorate at the request of the habilitation candidate; the application shall be submitted punctually, if possible before completion of the written habilitation thesis;
  3. present a written habilitation thesis in accordance with Section 7,
  4. provide evidence of academic teaching in the form of lectures or seminars covering at least two units per week per semester (SWS) at the Faculty for at least four semesters, and
  5. have taken part in at least one of the courses offered by Kiel University for young post-doctoral scientists on university didactics, or taken part in an equivalent event on university didactics.
- (2) Admission to the habilitation procedure requires that the Faculty can ensure assessment of the written habilitation thesis by a full-time professor at the Faculty in accordance with Section 8 (1).

## **Section 5**

### **Applying 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 (1) Nos. 1, 2 and 5,
  3. a certain number (decided by the Committee by resolution) of bound copies of the written habilitation thesis in accordance with Section 7, as well as an electronic version,
  4. a list of all other academic works,
  5. a list of lectures conducted,
  6. information on the chosen teaching qualification and
  7. a declaration stating that the habilitation thesis has been written independently, listing the resources used, and confirming that the rules of scientific practice have been observed, any other habilitation procedures and their results, as well as consent to the use of plagiarism detection software to check the paper.
  
- (2) If a habilitation procedure has already been started or completed at another academic university or another faculty of Kiel University, a copy of the previous written habilitation thesis must be enclosed with the habilitation application.

## **Section 6**

### **Decision on admission**

- (1) The Committee decides each individual case of admission.
  
- (2) Admission is to be granted if all requirements have been met in accordance with Section 4 and if paragraph 3 is not in conflict.
  
- (3) Admission is to be refused if two habilitation procedures in the subject in which the teaching qualification is sought have been concluded without success, or the written habilitation thesis has already been submitted in another habilitation procedure which was concluded without success, or another habilitation procedure in the subject in which the teaching qualification is sought and/or with the same written habilitation thesis has not yet been concluded. Admission may be refused if the documents referred to in Section 5 are incomplete, and this is not rectified within a reasonable deadline set by the Chairperson of the Committee.
  
- (4) Admission must not be dependent on the habilitation candidate being proposed or supervised by a professor or on a certain period of time 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 is produced as a habilitation paper or a cumulative habilitation. The details shall be decided by the Committee by resolution.
- (3) The written habilitation thesis can be published already, in full or in part. It must be written in German or English.
- (4) A piece of work that the habilitation candidate has used in full or in part to satisfy the examination requirements in another academic examination is not permitted to be used as a habilitation thesis.

## **Section 8**

### **Assessment of the written habilitation thesis**

- (1) On the recommendation of the Chairperson of the Committee, the Committee shall appoint at least three 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 at a different university. At least one assessor must be a full-time professor of the Faculty and primarily work at the Faculty. In the case of a cumulative habilitation, no more than one assessor may be a co-author.
- (2) Other Faculty members who are habilitation graduates or retired professors may also be appointed as assessors.
- (3) 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.
- (4) The Chairperson of the Committee forwards the written habilitation thesis directly and in full to the assessors, and sets them a deadline of a maximum of four months by which they are to submit their reports.
- (5) The reports must be submitted in writing, in German or English. They must include a justified recommendation for the acceptance or rejection of the written habilitation thesis.
- (6) In cases of doubt, the Committee can obtain further reports.

## **Section 9**

### **Viewing the written habilitation thesis**

- (1) The members of the Committee, the full-time professors and the habilitation graduates of the Faculty who are employed at the Faculty may view the written habilitation thesis at the Dean's Office, from the day of its submission onwards.
- (2) The Committee members, the full-time professors and the habilitation graduates of the Faculty who are employed at the Faculty 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 produce 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 Chairperson of the Committee 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 at least 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) If minor defects were identified in the written habilitation thesis, the Committee can return it for revision and determine the conditions for such revision. If already-published statements in the written habilitation thesis are corrected, this must be highlighted. The revision period is to be decided by the Committee; it may be one year at the most. Exceptions to the one-year period may be allowed by the Chairperson of the Committee if there is a valid reason, in particular illness, parental leave or maternity leave. If this deadline is not observed or the revised written habilitation thesis is rejected as inadequate by Committee on the basis of reports, especially those of the appointed assessors, the habilitation procedure is concluded without success.

- (6) The Chairperson of the Committee 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. The habilitation lecture must be in German. The habilitation candidate may choose whether to conduct the habilitation presentation and subsequent colloquium in German or English.
- (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 open to the university public and should take no longer than 90 minutes. In accordance with Section 9 (2), the habilitation candidate has until the end of the viewing period to propose a topic in writing. 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. The members of the Committee are the authorised examiners for the presentation and colloquium. The following persons may attend as listeners: Members of the Convention, full-time professors at the Faculty, doctoral and habilitation graduates who are Faculty members. On application, the Chairperson of the Committee may allow others to attend.
  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 Chairperson of the Committee 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.
- (4) Immediately after acceptance of the written habilitation thesis, the Committee decides on the topic of the habilitation lecture, and which of the three topics submitted must be used for the habilitation presentation.
- (5) The Committee sets 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 time 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) Immediately after the colloquium associated with the habilitation presentation, the student members of the Faculty Convention present are to be heard regarding the suitability of the habilitation candidate as a teacher. Thereafter, the Committee decides on the acceptance of the oral habilitation examinations.
- (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 parts should be repeated. The Committee determines the topics and dates for this on the basis of the existing proposals, or if necessary, it can request new proposals from the habilitation candidate. 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 ascertained on the basis of the written habilitation thesis and taking into account 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 Chairperson of the Committee 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 Economics and Social Sciences. Habilitation graduates who 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) After successful conclusion of the habilitation procedure, the Committee decides on granting the authorisation to teach (venia legendi) in accordance with the Higher Education Act (HSG).



- (2) The Chairperson of the Committee shall issue the habilitation certificate to the habilitation graduate within a reasonable period of time.

### **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**

The rights and obligations of the habilitation graduates are set out in the Higher Education Act (HSG).

### **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 assessment of the written habilitation thesis, the oral habilitation examinations and, where applicable, additional requirements in terms of Section 4, may be waived partly or entirely. With the habilitation transfer procedure, the Committee decides on granting the authorisation to teach (*venia legendi*) in accordance with the Higher Education Act (HSG).

### **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. The application must be accompanied by a certain number (decided by the Committee by resolution in terms of Section 5 (1) No. 3) of copies of the academic papers on which it is based.
- (2) The academic papers will be reviewed in accordance with the rules for assessing and deciding on written habilitation theses. On request, the Committee may waive the oral habilitation examinations.



- (3) A decision is to be made on the application within six months.
- (4) With an extension to the teaching qualification, the Committee decides on granting the authorisation to teach (*venia legendi*) in accordance with the Higher Education Act (HSG).

## **Section 20**

### **Invalidity of the habilitation**

- (1) The Committee must declare the habilitation examinations invalid if, before handing out the certificate, it turns out that, due to reasons for which the habilitation candidate is responsible, essential requirements for admission to the habilitation procedure have been assumed erroneously.
- (2) The Faculty must revoke the right to use the academic title denoting the habilitation if, after handing out the certificate, it turns out that, through the wilful deceit of the habilitation candidate, essential requirements for admission to the habilitation procedure have been assumed erroneously by the Faculty.
- (3) Before a decision in cases described in paragraphs 1-3 is taken, the accused must be heard.
- (4) If the right to use the academic title denoting the habilitation is revoked, all related certificates must be surrendered.

## **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 Chairperson of the Committee shall notify the University Board at Kiel University of the habilitation, the habilitation transfer (*Umhabilitation*), the extension of the teaching qualification and the revocation of the right to use the academic title denoting the habilitation.

## **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 Chairperson of the Committee 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, expiry**

- (1) These Rules enter into force on the day after the date they are published.
- (2) At the same time the Habilitation Regulations (Rules) of 11 December 2000 (NBl. MBWFK. Schl.-H. 2001, p. 16), amended by the Rules of 29 January 2010 (NBl.MWV Schl.-H. p. 4), cease to be in force.

The University Board at Kiel University granted its approval in accordance with Section 55 (1) of the Schleswig-Holstein Higher Education Act (HSG) in its letter dated 11 March 2020.

Kiel, 12 March 2020

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