

**Statutory Regulations for Habilitation
at the Faculty of Life Sciences
at the University of Leipzig¹**

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According to §§ 41 and 88 of the Act Governing Higher Education in the Free State of Saxony (Sächsisches Hochschulfreiheitsgesetz –SächsHSFG) as published on January 15th, 2013 (Law and Ordinance Bulletin SächsGVBl. p. 3 and amended by article 2 sec. 27 by the law from April 5th, 2019 (Law and Ordinance Bulletin SächsGVBl. p. 245), on July 1st 2019 the Board of the Faculty of Life Sciences at the University of Leipzig has adopted the following Statutory Regulations for obtaining a habilitation.

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¹ While striving to use gender inclusive language, any remaining masculine grammatical forms used in this document denote any gender.

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§ 1

Right to award post-doctoral / habilitation degrees

- (1) On the basis of statutory habilitation procedures the Faculty of Life Sciences awards, on behalf of the University of Leipzig, the degree of doctor habilatus (Dr. habil.) in addition to a previously obtained doctoral degree. The denominations are:
 - doctor rerum naturalium habilatus (Dr. rer. nat. habil.)
 - doctor philosophiae habilatus (Dr. phil. habil.)
- (2) A habilitation can be carried out only if it belongs to a subject area covered by a full professor appointed at the Faculty, and if the professor accepts to act as a reviewer of the habilitation thesis.
- (3) It is not possible to acquire multiple habilitations with the same denomination.

§ 2

Aim of the habilitation

The habilitation testifies a person's outstanding qualification to conduct research and self-contained university teaching in a subject area of the Faculty of Life Sciences.

§ 3

Bodies involved in the habilitation

- (1) The Faculty Board conducts the habilitation examination. Faculty professors who are not members of the Faculty Board may participate and cast a vote in matters pertaining to the habilitation (extended Faculty Board).

- (2) Each habilitation is conducted by an Examination Board specifically appointed by the extended Faculty Board and possessing expertise in the subject area. It consists of a Chair and four regular members. One of the four members must belong to another faculty of the University of Leipzig. Appointees can be full-time lecturers or professors of the University of Leipzig. Professors must hold the majority in the Examination Board. Members of the Faculty of Life Sciences must hold a majority in the Examination Board. The Examination Board has a quorum when more than half of its members are present and of these, at least three are professors of the Faculty. University lecturers and professors of other universities may also be appointed as members of the Examination Board.
- (3) The Dean or one of the vice deans chairs the Examination Board. No one appointed as Reviewer can act as a Chair in the same habilitation examination procedure.
- (4) In case of personal involvement, a member of a habilitation body must be excluded according to administrative procedural laws (§§ 20 and 21 VwVfG in connection with § 1 p. 1 Sächs-VwVfZG).
- (5) The Examination Board has a quorum if the majority of its members and the Chair or the Vice Chair are present. Decisions are taken upon majority of votes. Meetings are not open to the public.
- (6) Minutes are to be taken down for each meeting of the Examination Board.
- (7) All members of the Examination Board are bound to handle all matters in a confidential way. The Chair shall enforce confidentiality for any member who is not a public employee.
- (6) Incriminating decisions must be substantiated, communicated to the candidate in writing, and include information on legal remedies.

§ 4

Required performances

- (1) A habilitation degree is awarded after delivering the following performances:
 1. a written scientific research thesis (habilitation thesis) or equivalent scientific publications
 2. a scientific talk followed by a colloquium (defence)

3. a public talk (first lecture)

Once the Examination Board has accepted a habilitation thesis, a candidate is admitted to the scientific talk and the ensuing colloquium. The public talk (first lecture) can be scheduled at any given time after examination entry within the deadlines.

- (2) The habilitation formally testifies a person's qualification to undertake self-contained university teaching and research in a certain subject area. A habilitation degree awards the ability to teach according to the Act Governing Higher Education in the Free State of Saxony (§ 41 sec. 3 Sächs-HSFG). The habilitation degree does not grant a teaching position at the University of Leipzig.
- (3) The Faculty acknowledges habilitation degrees from other universities for the same subject area. A habilitation does not need to be renewed, e.g. through a recognition procedure.
- (4) The habilitation consists of an applicant's own performance.

§ 5

Prerequisites for entry

- (1) Entry to a habilitation examination procedure is conditional upon:
 1. having obtained a doctoral degree from a German university or an equivalent academic institution or an equivalent academic degree from a foreign academic institution in the subject area of the intended habilitation;
 2. having a record of multiannual or at least biannual scientific activity in the subject area;
 3. having submitted a scientific thesis according to § 7, together with the commitment of a professor who covers the subject area within the Faculty, to review the work.
 4. having submitted a record of all scientific publications and of copies of the most relevant publications;
 5. not having failed a previous examination procedure in the same subject area; not having entered another examination procedure;
 6. providing evidence of teaching experience of at least two years with at least 2 hours per week in undergraduate courses;
 7. submitting an application as per §§ 1 and 4, with all the required documents as per § 6; and
 8. not being unworthy of holding the habilitation degree.

Academic assistants (Akademischer Assistent) in scientific subject areas as per § 72 SächsHSFG are admitted to habilitation by their employment.

- (2) In cases of doubt about the equivalence of an academic degree of a foreign academic institution, the Dean will seek to clarify matters via the Central Office for Foreign Education (Zentralstelle für ausländisches Bildungswesen ZAB).

§ 6

Application

- (1) A written application for habilitation examination entry is to be addressed to the Dean, and specify the intended academic grade and the subject area.
- (2) The application must include, either in German or in English:
 1. three hardbound copies of the thesis (for cover page see attachment 1); if more than two reviewers are appointed during the examination procedure, additional copies must be submitted;
 2. 20 copies of the abstract;
 3. a bibliographic description;
 4. a *curriculum vitae* that describes the scientific and professional career;
 5. a list of all academic publications, print-outs of the most relevant publications, and for a cumulative habilitation print-outs of the most relevant publications that are not part of the habilitation thesis.
 6. a list of all teaching courses, arranged per semester and share of semester hours per week, or clock hours;
 7. certified copies of the doctoral degree, the graduate degree (bachelor, master, state examination, diploma etc.) or other academic achievements (legally attested transcripts or legally attested copies); for foreign certificates certified copies of the originals are to be submitted, as well as certified translations into German or English, in case the certificates are not issued in English;
 8. three suggestions for possible topics for the public talk (first lecture) as per § 13 sec. 1;
 9. a declaration that the habilitation thesis has not been submitted in this or in similar form for examination at another institution; if ap-

- plicable a statement about previous habilitation attempts, specifying place, time, faculty and title;
10. a declaration, that the habilitation thesis is the candidate's own work, that no sources and aides have been employed other than those identified, and that citations either in word or in meaning have been clearly marked as such;
 11. a declaration, in which the present Statutory Regulations for Habilitation are acknowledged;
 12. a police clearance certificate or a receipt giving evidence that such a certificate has been applied for no longer than three months before.
- (3) The application and all documents shall be submitted to the Deanery. All documents are considered then property of the University of Leipzig as per § 6 sec. 2, independently of the outcome of the habilitation examination procedure. In case of non-entry to the habilitation examination, two hard copies of the habilitation thesis are returned to the candidate. Copies sent to the Reviewers will remain with them after review.
- (4) Submission date, and therefore entry date to the examination procedure, is the date on which all documents are completely submitted.
- (5) An application can be withdrawn at any time in written form. As long as no review has been received, the withdrawal is not considered a failed habilitation attempt. The same holds true if an application is withdrawn upon good cause at a later moment, as long as no adverse review has been received. If one or more adverse reviews have been received, a withdrawal after this moment is considered as a failed habilitation attempt.

§ 7

Habilitation thesis

- (1) A habilitation thesis is a scientific research work written by the applicant in the subject area for which the habilitation is sought. Its content must differ significantly from the content of the candidate's doctoral thesis, represent an academic achievement of much greater extent than a doctorate, and enhance scientific knowledge.
- (2) A habilitation thesis can consist of:
 - a monography
 - a collection of a number of scientific publications on a common or

connected topic; it is preceded by a presentation of the theoretical background and a general summary of all scientific findings. Notwithstanding § 4 sec. 4, in a cumulative habilitation thesis co-authorship is permitted. A candidate must declare his or her share in authorship in written form.

- (3) A habilitation thesis can be submitted in German or in English. If submitted in English, a German abstract of about 5 pages must be incorporated.
- (4) It is not permitted to submit a work that has been rejected by another university as habilitation thesis or has otherwise been under examination.
- (5) A habilitation thesis must be arranged in the following order:
 - the cover page (see attachment 1);
 - the bibliographical description;
 - the table of content including page numbers;
 - the main body including annotations, pictures, tables and so forth;
 - the bibliography;
 - the declaration of sole authorship and that all resources and aids have been identified as such
 - the scientific *curriculum*

§ 8

Habilitation examination entry

- (1) The Faculty Board opens the habilitation examination procedure after assessing the candidate's complete application according to § 6, and after verifying that all requirements for the entry have been met. The Faculty Board authorises the Examination Board to evaluate the application. The Board recommends:
 - to enter or not to enter the examination
 - which reviewers are to be appointed
 - the theme for the public talk (first lecture)

The Examination Board is authorized to make suggestions to the Faculty Board about modifying the theses and the title of the habilitation thesis, to suggest further themes for the public talk (first lecture), and to ask for clarification of incomplete documents

- (2) The Faculty Board evaluates the recommendation of the Examination Board as per sec. 1 on entry or non-entry of the examination, the appointment of reviewers and the theme of the public talk (first lecture). This decision is to be taken within two months upon submission.
- (3) The Faculty Board can give their consent to provisional entry, if they see the need to enhance the substance of the theses, to modify the title, to suggest additional themes for the public talk (first lecture), and to clarify unclear documents. In addition, the Faculty Board can make the implementation of the above modification conditional for examination entry.
- (4) A candidate will be notified by the Deanery about decisions concerning examination entry, non-acceptance of entry, and appointment of reviewers within a week from the decision.
- (5) If habilitation examination entry is denied, the application and one copy of the habilitation thesis and the theses remain with the Deanery. All other documents submitted by the candidate shall be returned.
- (6) Non-acceptance must be justified in writing and submitted along with instructions on the right to appeal.

§ 9

Reviewers

- (1) A thesis must be reviewed by at least two appointed full professors. Of these, one must not be a member of the University of Leipzig; the other must be a member of the Faculty of Life Sciences and must cover the subject area of the thesis. Appointment of more than two reviewers is possible, especially if § 11 sec. 3 applies.
- (2) In individual cases, further reviewers can be
 - a) professors or university lecturers having a habilitation or an equivalent qualification (as might be the case with foreign reviewers)
 - b) habilitated professionals.
- (3) In case a reviewer is personally involved, he cannot continue to act as a

reviewers and must be excluded according to §§ 20 and 21 Administrative Act (Verwaltungsverfahrensgesetz)

§ 10

Reviews

- (1) The Chair of the Examination Board requests and receives the reviews, which are to be handled confidentially.
- (2) A review determines whether the habilitation thesis fulfils the criteria for obtaining the degree of Dr. habil. The reviews should therefore include a recommendation to either accept or reject the thesis.
- (3) It is not possible to recommend acceptance on condition of adjustments.
- (4) Reviews should be submitted within three months after thesis reception. In case of delayed review submission, the Dean's Office sends a written reminder.

§ 11

Acceptance of the habilitation thesis

- (1) The habilitation thesis shall be available for inspection between examination entry and defence. All university teachers and members of the Faculty Board have the right to inspect the habilitation thesis and the summary in the Dean's Office or in another designated room.
- (2) Upon reception of all reviews, the Examination Board
 - resolves to either accept or to not accept the habilitation thesis upon due consideration of the reviews and, if applicable, of additional statements issued after inspection of the habilitation thesis;
 - sets a date for the defence of the thesis.

The Dean's Office notifies the candidate of all decisions in written form.

- (3) Reviews are instrumental in the decision-making procedure. However, if after due evaluation of the reviews, the Examination Board does not

come to an agreement on acceptance or rejection of the habilitation thesis, the Faculty Board appoints at least one additional reviewer.

- (4) If acceptance has been made conditional upon modifications according to § 8 sec.3, all modifications must be implemented and confirmed by the Chair of the Examination Board. Then, the Examination Board decides acceptance of the habilitation thesis. All modifications must be implemented within two months from the date of notification of the candidate. The Dean can extend this deadline upon good reason. Failure to meet the deadline leads to termination of the habilitation examination procedure by the Faculty Board.
- (5) After acceptance of the habilitation thesis, a candidate can inspect the reviews in compliance with data protection regulations.

§ 12

Defence (scientific talk and discussion)

- (1) Main points of the habilitation thesis are to be presented in public; this includes answering questions on the subject of the thesis as well as on the subject area of the habilitation thesis. The defence can be conducted in German or in English, and it consists of a presentation (maximum 30 minutes) and a discussion (at least 15 minutes, maximum 30 minutes).
- (2) The date for the defence shall be set by the Chair of the Examination Board in agreement with the members of the Examination Board and upon consultation with the candidate. The date of the defence is communicated to the candidate by the Dean's Office.
- (3) The date of the defence shall be announced by the Chair of the Examination Board two weeks prior to the defence.
- (4) The defence can take place at the date and time that has been set
 - if no evidence of temporary ill health (physical or mental) is provided by the candidate; and
 - if the Examination Board reaches the quorum
- (5) The defence is conducted by the Chair of the Examination Board or by a professor appointed by the Chair. It is necessary to
 - introduce the members of the Examination Board;

- introduce the candidate;
 - read out main parts of the reviews;
 - reject questions outside the subject area of the thesis.
- (6) The Examination Board decides in non-public consultation and immediately after the defence if the candidate passed the examination. The Chair of the Examination Board informs the candidate orally about the result.
- (7) Content and course of the defence need to be protocolled; the evaluation must be substantiated. The protocol must be signed by the Chair of the Examination Board.
- (8) In consideration of sec. 5, the Faculty Board can establish further details for the arrangement of the defence.

§ 13

Public talk (first lecture)

- (1) The topics submitted for the public talk as per § 6 sec. 2 point 8 need to be from to the subject area of the habilitation thesis. The public talk cannot cover the same topic as the habilitation thesis.
- (2) The topic for the public talk is determined by the Faculty Board according to § 8.
- (3) The Examination Board determines the theme for the public talk upon consultation with the candidate and the Faculty Board confirms the date. The Chair of the Examination Board communicates the date of the public talk (first lecture) at least two weeks in advance
- (4) The format of the public talk is that of a lecture of 45 minutes. It gives evidence of a candidate's aptitude for academic teaching. The date should be set during the lecture period.
- (5) The public talk can take place on condition that
- if no evidence of temporary ill health (physical or mental) is provided by the candidate; and
 - if the Examination Board reaches the quorum
- (6) The Examination Board decides in non-public consultation and immediately after the defence about approval or non-approval of the talk (first

lecture). The Chair of the Examination Board informs the candidate orally about the result immediately thereafter.

§ 14

Re-takes in the habilitation examination procedure

- (1) It is possible to retake single examination steps during the habilitation procedure.
- (2) An examination step can be retaken within a year, yet not earlier than three months. The examination procedure has been failed definitely, if a candidate fails a retake.

§ 15

Conferment

- (1) Upon successful completion of all examination steps, the Examination Board informs the Faculty Board (extended Faculty Board) about their decision to approve or to not approve
 - the habilitation thesis
 - the defence
 - the public talk (first lecture).

In a non-public consultation, that takes place after the last examination step, the Examination Board works out a recommendation about completion of the procedure, conferment of the academic degree and the subject area of the habilitation thesis. The extended Faculty Board decides to confer the academic grade *doctor habilitatus* for a specific subject area and by this awards the teaching ability; this decision is to be taken during the first regular meeting of the Faculty Board scheduled after the Examination Board has issued the recommendation to approve the examination and to complete the procedure. The candidate must be informed in writing about the decision to confer the degree within two weeks.

- (2) The Dean's Office will take care to issue a certificate (and a duplicate) that testifies the conferment of the academic degree of *Dr. habil.* as per attachment 3. The Certificate will be in German and is issued with the

date of the conferment decision. It bears the embossed stamp of the University of Leipzig, and it is signed by the Dean of the Faculty and the Rector.

- (3) The certificate is handed out to the candidate by the Dean or a person appointed by the Dean. The candidate must exhibit an acknowledgment of receipt of the legal deposit of the habilitation thesis of the University Library as per § 16 sec. 4.
- (4) The habilitation examination procedure is concluded once the certificate is handed over. From this moment on, the candidate has the right to use the academic title *Dr. habil.*
- (5) Whenever a *Dr. habil.* makes a commitment to teach at least two semester hours at the Faculty of Life Sciences, he or she can request to add “PD” (Privatdozent) to the degree. The Dean will issue the respective certificate (and a duplicate). It is in German and bears the date of the conferment decision, as per attachment 4.

§ 16

Legal deposit, publication

- (1) The publication of the habilitation thesis is part of the habilitation examination procedure. The publication can be done in printed form or online.
- (2) The habilitation thesis is deemed published and accessible to the scientific public when four copies, printed on wood-free and acid-free paper, are deposited free of charge at the Library of the University of Leipzig. The Library takes care to include the thesis immediately into the catalogue and grants permanent storage. The cover page must be according to attachment 2.
- (3) Alternatively, it is possible to choose online-publication via the document server of the University Library. Here too, the Library takes care to include the thesis immediately into the catalogue and grants permanent online access to the habilitation thesis.
- (4) The thesis must be deposited at the University Library (UB) within six months. If a habilitation thesis shall be published by a publishing house, the Dean may twice grant a deadline extension of one year.

- (5) The legal deposits must be identical to the printed version submitted to the Examination Board.

§ 17

Non-completion of the habilitation examination, revocation of the post-doctorate degree Dr. habil.

- (1) Any merits obtained in the habilitation examination may be declared void and the habilitation not completed, or the right to use “habil.” in addition to the degree of doctorate, as well as the use of “PD” may be revoked if the following becomes known:
1. It was wrongly assumed, that essential prerequisites for admission to the habilitation examination were fulfilled.
 2. Merits were obtained in a dishonest way, in particular if additional support has been accepted from third parties
 3. The post-doctoral candidate or the holder of a habilitation certificate is unworthy of pursuing a habilitation.

If prerequisites were not fulfilled, however not with fraudulent intent, and if this default becomes known only after the conferment of the certificate, the default is cured by the merits obtained during the habilitation examination procedure.

- (2) Revocation of the right to use “habil.” in addition to the degree of doctorate or to use “PD”, includes the loss of both ability and permission to teach.
- (2) The decision about non-completion or about revocation lies with the Faculty Board. Before any decision is taken, the habilitation candidate must be heard. The decision must be substantiated in writing and the candidate must be informed about legal remedies.

§ 18

Habilitation dossier

- (1) All documents collected or submitted during the habilitation examination constitute the habilitation dossier, which is kept in the Deanery.

- (2) Minutes (see § 3 sec. 6) must be duly signed by the Chair of the Examination Board and included in the habilitation dossier.
- (3) The habilitation dossier is kept in the Deanery until it is handed over to the Leipzig University Archives according to the Archive Regulations.

§ 19

Transitional provisions

- (1) Habilitation examinations that started prior to the coming into effect of these regulations, the previous regulations may be applied.
- (2) Candidates that were admitted to the habilitation examination procedure before the coming into effect of these regulations are deemed admitted to the procedure and fulfil the prerequisites according to the present regulations, unless otherwise agreed in a case-by-case decision.

§ 20

Coming into effect

- (1) These Statutory Regulations for Habilitation at the Faculty of Life Sciences come into effect the day after publication in the University's bulletin. The Faculty Board adopted the regulations on July 1st, 2019; the Rectorate approved it on July 25th, 2019.
- (2) Concurrently, these regulations replace and invalidate the regulations for habilitation at the Faculty of Biosciences, Pharmacy and Psychology dated October 1st, 2017.

Leipzig, September 30th, 2019

Professor Dr. Tilo Pompe
Dean of the Faculty of Life Sciences

Professor Dr. med. Beate A. Schücking
Rector

Attachment 1

Cover page for habilitation thesis submission

.....
.....
(title)

Der Fakultät für Lebenswissenschaften

der Universität Leipzig

eingereichte

H A B I L I T A T I O N S S C H R I F T

zur Erlangung des akademischen Grades

.....
(akademischer Grad)

.....
(Kurzform)

vorgelegt

von
(akademischer Grad, Vorname Name)

geboren am in

Leipzig, den
(Einreichungsdatum)

Attachment 2

Cover page for legal deposit

.....
.....
.....

(Titel)

Von der Fakultät für Lebenswissenschaften

der Universität Leipzig

genehmigte

H A B I L I T A T I O N S S C H R I F T

zur Erlangung des akademischen Grades

.....

(akademischer Grad)

.....

(Kurzform)

vorgelegt

von

.....

(akademischer Grad, Vorname Name)

geboren am in

Date of conferment:

Reverse side of cover page:

Gutachter:

.....

Attachment 3

Sample of Habilitation Certificate

Universität Leipzig

(Traditionssiegel)

Unter dem Rektorat des Professors/der Professorin für

.....
(Name)

und dem Dekanat des Professors/der Professorin für

.....
.....
(Name)

verleiht die Fakultät für Lebenswissenschaften

Herrn/Frau

geboren am in

den akademischen Grad

.....
(Dr.habil.)

Und stellt seine/ihre Lehrbefähigung für das
Fachgebiet

fest, nachdem in einem ordnungsgemäßen Habilitationsverfahren
und durch die Habilitationsschrift

.....
.....(Titel).....

seine/ihre besondere Befähigung für Forschung und Lehre nachgewiesen hat.

Leipzig, den (Prägesiegel)

Der Rektor

Der Dekan

Attachment 4

Sample of Certificate of Permission to Lecture

Universität Leipzig

(Traditionssiegel)

Unter dem Rektorat des Professors/der Professorin für

.....
(Name)

und dem Dekanat des Professors/der Professorin für

.....
(Name)

verleiht die Fakultät für Lebenswissenschaften

Herrn/Frau

geboren am in

mit Rücksicht auf die erfolgte Habilitation in dem Fachgebiet

.....

den Titel
Privatdozent.

Damit ist die Verpflichtung verbunden, Lehrleistungen im Umfang von zwei Semesterwochenstunden an der Fakultät für Lebenswissenschaften zu erbringen.

Leipzig, den (Prägesiegel)

Der Rektor

Der Dekan