

# Regulations Governing the Habilitation Procedure at the Faculty of Natural Sciences and Technology at Saarland University

14 October 2020

---

**Note:** This translation is provided for information purposes only. In the event of any discrepancy between the translation and the original German version published in the Official Bulletin (*Dienstblatt der Hochschulen des Saarlandes*), the provisions of the latter shall take precedence.

---

Pursuant to Section 71(6) of the Saarland Higher Education Institutions Act (*Saarländisches Hochschulgesetz SHSG*) of 30 November 2016 (Official Gazette of Saarland (*Amtsblatt*), Part I, p. 1080), most recently amended in law on 10 April 2019 (Official Gazette I, p. 412) and with the consent of the Saarland University Senate and the University Board, the Faculty of Natural Sciences and Technology at Saarland University hereby issues the following Regulations Governing the Habilitation procedure at the Faculty of Natural Sciences and Technology at Saarland University.

## Content

Preamble	
Section 1	General information
Section 2	Overview of the habilitation procedure
Section 3	Criteria for acceptance as a habilitation candidate
Section 4	Applying to be admitted as a habilitation candidate
Section 5	Introductory lecture open to the public
Section 6	Application review procedure
Section 7	Interim progress evaluation
Section 8	Requesting evaluation of the habilitation thesis or cumulative habilitation
Section 9	Decision of the Faculty Council regarding the topics of the academic lecture and the formal designation of the intended <i>venia legendi</i>
Section 10	Academic evaluation
Section 11	Retracting the evaluation request
Section 12	Continuation of the habilitation procedure after academic evaluation of the thesis or cumulative habilitation
Section 13	Academic lecture and teaching lecture
Section 14	Decision to award the habilitation qualification
Section 15	Inaugural lecture and award of qualification
Section 16	Revocation
Section 17	Extension or conversion of the <i>venia legendi</i>
Section 18	Notification of the University President
Section 19	Right of appeal
Section 20	Final provisions
Appendix 1	Agreement of objectives to be concluded with the habilitation candidate (document template)
Appendix 2	Information on structuring the interim report

## Preamble

The habilitation is a post-doctoral qualification that formally demonstrates the holder's academic and didactic competence to perform the duties of a university professor in an area of scientific enquiry that lies within the remit of the Faculty of Natural Sciences and Technology. Candidates who have successfully completed the habilitation procedure will have demonstrated their ability to teach at university level (*facultas docendi*) and they will be formally permitted to teach a particular subject at the level of a university professor (*venia legendi*).

## Section 1 General information

(1) In accordance with the provisions of these regulations, the Faculty of Natural Sciences and Technology at Saarland University provides the opportunity for candidates to demonstrate their ability to perform over an extended period of time independent and unsupervised teaching and research duties in a scientific discipline, and thus be granted permission to teach the designated subject at Saarland University at professorial level (*venia legendi*).

(2) For a candidate to demonstrate their ability to undertake independent and unsupervised academic teaching at the required level (*facultas docendi*) and to be granted permission to teach at Saarland University (*venia legendi*), they must have proven competence in academic teaching and independent scholarship. They are also required to:

1. present an academic lecture or a teaching lecture and participate in the subsequent colloquium
2. submit a habilitation thesis or, alternatively, a number of scholarly publications corresponding in content to that of a habilitation thesis in a field of scholarly enquiry that lies within the remit of the Faculty of Natural Sciences and Technology.

If a candidate submits a collection of scholarly publications ('cumulative habilitation'), these must be related in terms of their subject matter. Not all of these scholarly articles need to have been published at the time of submission, but those not yet published must have been accepted for publication. The thematic connection linking the publications submitted for evaluation shall be apparent from the introduction and a summary section of the cumulative habilitation. Any manuscript that has been previously used by the candidate to attain an academic degree cannot be submitted as a habilitation thesis.

(3) Each habilitation procedure shall be conducted by a habilitation committee specifically appointed by the Faculty Council and the Office of the Faculty Dean. A panel of subject mentors provide guidance to the candidate throughout the habilitation procedure.

(4) The panel of subject mentors is appointed by the Dean's Office and comprises at least one but no more than two subject mentors and an academic observer, all of whom shall be drawn from the professorial staff within the faculty. The academic observer shall be appointed in accordance with the principles of good scientific practice at Saarland University. Whenever possible, the persons appointed as subject mentors or academic observers shall be faculty professors who, at the time the habilitation committee is established, are expected to continue working at the university for at least another four years.

(5) The habilitation committee shall comprise six professors from the faculty, at least one of whom shall be from a department with which the applicant is not directly involved. The subject mentors are always members of the relevant habilitation committee. A chairperson and a deputy chairperson shall be appointed from among the members of the habilitation committee. In addition, two substitute members shall be selected who can function as replacements for those members of the habilitation committee who are neither subject

mentors nor academic observers. The habilitation committee is quorate when at least four members are present, of whom one is the chair (or deputy chair) and one is a subject mentor. Should the subject mentor only act in an advisory capacity pursuant to Paragraph 6, at least one other voting member of the committee shall be present. The decisions of the committee are made by majority vote. In the event of a tie, the chairperson shall have the casting vote.

(6) In the event that a subject mentor retires from the university, they may continue to attend meetings of the relevant habilitation committee in an advisory capacity and may actively contribute to other areas of committee work. In the event that the academic observer or another member or substitute member of the habilitation committee is unable to continue serving on the committee, the Faculty Council shall arrange for a second ballot to be held at the earliest opportunity in order to elect a replacement member.

(7) Professors at the faculty and members of the Faculty Council can attend meetings of the habilitation committee in an advisory capacity. They shall be notified whenever invitations to committee meetings are issued.

(8) Unless otherwise provided for, the written form requirement that is stipulated in these habilitation regulations shall be deemed to have been met when communications are sent by post, by fax or by electronic transmission.

(9) If an application is rejected on the basis of Section 6, Section 7(4), Section 8(3), Section 10(8), Section 12(6) or Section 14, the letter of notification shall include the reasons for the decision and information on the candidate's right of appeal.

## **Section 2**

### **Overview of the habilitation procedure**

The habilitation procedure starts when the candidate submits their application to be registered as a habilitation candidate. The stages of the habilitation procedure are: an introductory lecture that is open to the public; entry into the faculty register of habilitation candidates; a successful interim progress evaluation; submission and acceptance of the habilitation thesis or cumulative habilitation, an academic lecture or a teaching lecture or, where appropriate, both; and an inaugural lecture that is open to the public. The habilitation procedure concludes once it has been demonstrated that the candidate has the ability to teach at the required level and permission to teach at Saarland University has been conferred.

## **Section 3**

### **Criteria for acceptance as a habilitation candidate**

(1) In order to pursue a habilitation, the applicant must first be accepted as a habilitation candidate by the Faculty of Natural Sciences and Technology. The formal criteria for acceptance are an aptitude for academic teaching and a qualification demonstrating the skills necessary for independent scientific enquiry. Once accepted, the status of 'habilitation candidate' is typically conferred for a period of four years plus the time required for the evaluation phase as set out in Section 10. An extension to this time frame may be granted if exceptional circumstances arise. If requested, statutory periods of maternal leave, periods of parental leave and family care obligations (particularly caring for a child or adolescent or supporting family members with care needs) shall be taken into account. If the candidate becomes ill or if a child primarily cared for by the candidate alone becomes ill, an extension will be granted on presentation of appropriate supporting documentation. Extensions may also be granted for other reasons.

(2) Candidates who have successfully undertaken previous teaching activities at university level will be considered to have the required aptitude for academic teaching.

(3) A candidate will be deemed to have acquired the skills necessary for independent scientific enquiry if they meet the following formal criteria:

1. a doctoral degree of suitable calibre in the natural sciences, engineering sciences or in a related educational field, or
2. a foreign academic degree deemed to be equivalent in demonstrating the candidate's ability to teach at university level.

(4) The decision whether to accept a habilitation candidate is made by the Dean based on the recommendation of the relevant habilitation committee appointed by the Faculty Council pursuant to Section 1(5) above. More detailed information is provided in Section 6 of these regulations.

(5) A habilitation candidate will not be accepted if they have a criminal conviction that legally bars them from being appointed as a civil servant in Germany (*Beamter/Beamtin*) or if there are other circumstances whereby the candidate's doctoral degree qualification could be legally revoked.

#### **Section 4**

##### **Applying to register as a habilitation candidate**

(1) Applications to register as a habilitation candidate must be addressed to the Dean and submitted in writing to the relevant executive head of department (professor). In addition to the signed original application, the letter of application should also be sent in electronic form to the Office of the Dean. The application should include a suggestion for the composition of the panel of subject mentors and the subject area in which the applicant seeks to attain the habilitation qualification.

The application shall be submitted together with:

1. a comprehensive letter of support from the subject mentor
2. a written statement from the professor who is the current executive head of the relevant department
3. a CV that sets out the applicant's academic history and prior academic and scientific activities, including information on research projects and any external funding secured
4. a list of the applicant's previous teaching activities at university level and a statement explaining how the applicant plans to contribute to measures designed to improve the quality of academic teaching
5. documents certifying the applicant's previous academic and scientific activities (see item 3 above)
6. a list of academic publications
7. a list of published talks and presentations
8. a list of unpublished talks and presentations, including presentations made at scientific meetings and conferences (if not already included in item 7)
9. a statement explaining the overall concept of the scientific research that the applicant plans to conduct as a habilitation candidate, the results of which will be included in the habilitation thesis or cumulative habilitation to be submitted for evaluation (cf. Section 6(2))
10. a declaration whether and, if applicable, where and when the applicant has previously attempted to attain a habilitation qualification

11. official certification (doctoral degree certificate), either the original document or an officially certified copy, that verifies that the requirements of Section 3(3) have been met.

(2) After an application to register as a habilitation candidate has been received, the Dean's Office shall ask the panel of subject mentors to nominate members for the habilitation committee in accordance with Section 1(5) and to submit this proposal to the Faculty Council. Based on this proposal, the Faculty Council shall decide on the composition of the habilitation committee and its deployment.

### **Section 5** **Introductory lecture open to the public**

Applicants who have submitted an application to register as a habilitation candidate are required to introduce themselves to the faculty by giving a public lecture on a topic from their area of scientific interest. The lecture shall take place as part of an open meeting of the habilitation committee with invitations issued by the Dean of the faculty and the chair of the habilitation committee at least four weeks in advance.

### **Section 6** **Application review procedure**

(1) After the public introductory lecture has been held, the habilitation committee shall meet on at least one occasion to review and assess the application documents submitted and shall on the basis of these documents and the introductory lecture draw up their recommendation within four weeks during the main teaching period or eight weeks during the non-teaching period and shall submit this recommendation in writing to the Dean's Office. The recommendation should include statements and opinions regarding the subject area in which the candidate seeks to attain the habilitation qualification. When appropriate, the recommendation may contain a number of conditions that are to be included in the agreement of objectives to be signed by the Dean's Office and the habilitation candidate and that generally have to be met before the interim progress evaluation is conducted.

(2) When assessing whether the candidate has the skills necessary for independent scientific enquiry, the habilitation committee may adopt additional subject-specific criteria.

(3) If the habilitation committee recommends accepting the applicant as a habilitation candidate, the Dean's Office and the habilitation committee shall conclude an agreement of objectives with the candidate that sets out the details of the research and teaching targets that the candidate must meet in order to demonstrate their ability to teach at the required level (see sample agreement in Appendix 1). Once the agreement of objectives is signed, the habilitation candidate is officially accepted as such with the faculty.

### **Section 7** **Interim progress evaluation**

(1) No later than two years after the habilitation candidate registered with the faculty, the candidate shall undergo an interim progress evaluation pursuant to Section 71(4) of the Saarland Higher Education Institutions Act (*Saarländisches Hochschulgesetz*, SHSG). To this end the candidate shall automatically submit an interim report structured in accordance with Appendix 2 to these regulations. The report shall contain details of what the candidate has accomplished (cf. Section 6(2)) and additional information on the candidate's scientific development.

The interim report and any accompanying documents shall be submitted to the Dean's Office both on paper and in electronic form. The interim report shall be deemed to have been

submitted in time if the Dean's Office receives the original printed version and the electronic version has been transmitted successfully before the submission deadline expires.

(2) The habilitation committee shall examine the interim report and shall obtain from the student members of the Faculty Council or from the relevant departmental student organization (*Fachschaft*) a student-based assessment of the candidate's aptitude for academic teaching. The committee shall meet at least once to discuss this matter and shall within a period of two months compile a written evaluation for the Dean's Office. If the candidate's performance is not considered satisfactory, appropriate requirements shall be stipulated or the reasoning behind the negative assessment explained to the candidate.

(3) The interim report and the assessment issued by the habilitation committee shall be made available either in printed or in electronic form for inspection by the professorial staff or equivalently qualified members of faculty staff for a period of two weeks during the main teaching period or for a period of four weeks during the non-teaching period. Any person inspecting the documents should confirm that they have done so and may submit a written statement on the interim report and/or the committee's assessment.

(4) Based on the assessment issued by the habilitation committee and on the written statements from faculty professors, the Faculty Council shall decide whether to continue or terminate the habilitation procedure. If the Faculty Council determines that the candidate is unlikely to meet the agreed objectives, the habilitation procedure is terminated. The candidate shall be notified in writing of the council's decision. The reasons for the decision shall also be communicated to the candidate in written form.

(5) If the interim report is not submitted in accordance with the time frame set out in Paragraph 1 above, the habilitation procedure shall be deemed unsuccessful and shall be terminated. The same applies if the candidate requests termination of the habilitation procedure. No reasons for requesting termination of the habilitation procedure is required.

## **Section 8**

### **Requesting evaluation of the habilitation thesis or cumulative habilitation**

(1) If the habilitation procedure continues after the interim progress evaluation, the candidate shall apply to submit their final thesis or cumulative habilitation no later than two years after the decision pursuant to Section 7(4) above. When submitting the application, the candidate shall include the following supporting documents in printed or electronic form:

1. a report detailing the candidate's accomplishments since the start of the habilitation procedure and confirming that the targets set out in the agreement of objectives (see Section 6(2)) have been met.
2. four copies of the habilitation thesis or the cumulative habilitation, whereby the materials submitted must be in a common, unencrypted format.
3. if joint publications are submitted, four declarations explaining which parts of the work are the candidate's own contribution, and four copies of the candidate's academic CV with a list of publications (note: this may be incorporated into the copies of the habilitation thesis as per item 2 above).
4. three proposals for topics for the academic lecture pursuant to Section 13 below, including expository notes. Two of the proposed topics must be significantly different from each other and from the topic of the research presented in the candidate's habilitation thesis or cumulative habilitation.
5. a signed declaration that the electronic and printed versions of the habilitation thesis or cumulative habilitation are identical and that the candidate consents to the use of a plagiarism checker by the faculty and the thesis examiners.

(2) The Dean shall (i) notify the habilitation committee that the candidate has requested evaluation of the habilitation thesis or cumulative habilitation, (ii) make the materials listed in Paragraph 1 available to the members of the committee in suitable electronic form, and (iii) enable members of the committee to inspect the original versions of the materials.

(3) If the candidate is unable to submit the habilitation thesis or cumulative habilitation within the designated two-year period, the candidate may write to the Dean's Office requesting an extension and detailing the grounds on which the extension is sought. The Dean shall notify the habilitation committee that it has received a request for an extension. The committee shall decide within a reasonable period of time whether to accept or reject the request. The Dean shall notify the candidate in writing about the decision.

### **Section 9**

#### **Decision of the Faculty Council regarding the topics of the academic lecture and the formal designation of the intended *venia legendi***

(1) The Faculty Council shall decide on the suitability of the topics proposed by the candidate as the subject of the academic lecture pursuant to Section 8(1), item 4.

(2) The Faculty Council shall also assess the formal designation of the *venia legendi* to be granted if the candidate successfully completes the habilitation procedure. Before making its decision, the Faculty Council shall obtain the opinion of the habilitation committee. The Faculty Council may decide on another designation should the candidate be awarded the *venia legendi*. In such an event, the Council shall notify the candidate in writing accordingly.

### **Section 10**

#### **Academic evaluation**

(1) The Faculty Council shall appoint at least three professors as examiners, who will review the habilitation thesis or cumulative habilitation. The appointments shall be made on the recommendations received from the habilitation committee. At least one examiner shall be a member of the faculty; usually this will be a subject mentor. To avoid any potential prejudice, bias or conflict of interest with regard to the candidate or the subject mentor, at least two of the examiners shall be external examiners who are not members of the faculty.

If members of foreign academic or scientific institutions are to be appointed as examiners, the Faculty Council shall consult with the habilitation committee about the suitability of these potential examiners.

The conflict of interest rules issued by the German Research Foundation (DFG) shall be taken into account when selecting and appointing external examiners. The Faculty Council shall appoint a further examiner if so requested by one of the other examiners.

(2) Each examiner shall submit a report with their assessment of the habilitation thesis or cumulative habilitation within two months from the date of dispatch. If an examiner's report has not been received within this period, the Dean should arrange for a reasonable extension of the deadline. If the assessment has still not been received even after the extended deadline has passed, the appointment to examine the thesis or cumulative habilitation shall be deemed null and void and the Faculty Council shall appoint a new examiner. The examiner's written report (see sentence 1 above) must be sent by post.

(3) Each examiner shall give their opinion as to whether the candidate has the capacity to undertake independent academic research and whether the content and presentation of the habilitation thesis or cumulative habilitation satisfies the criteria pertaining to academic and scientific research. Each examiner shall state whether in their view the habilitation thesis or cumulative habilitation should be accepted, returned to the candidate for revision or rejected.

Any recommendation to reject the thesis or cumulative habilitation (and thus terminate the habilitation procedure) must be accompanied by a detailed justification.

(4) Once the examiners reports have been received, the Dean's Office shall notify all professors and equivalently qualified members of the faculty about the opportunity to inspect the candidate's thesis or cumulative habilitation as well as the examiners' reports. The professors and equivalently qualified members of the faculty may inspect the habilitation thesis or cumulative habilitation and the examiners' reports either in the Office of the Faculty Dean or electronically. The inspection period shall be a period of two weeks during the main teaching period or four weeks during the non-teaching period commencing on the date the notification was sent. Any person inspecting the documents should confirm that they have done so and may submit a written statement on the habilitation thesis or cumulative habilitation and/or the examiners' reports. Any written statements concerning the examiners' reports will be communicated to the relevant examiner(s).

(5) At the start of the inspection period, the Dean's Office will send electronic copies of the examiners' reports to the members of the habilitation committee.

(6) After the inspection period specified in Paragraph 4 above has ended, the habilitation committee will meet on at least once occasion to compile a statement for the Faculty Council. This statement shall include a recommendation whether in the opinion of the committee the habilitation thesis or cumulative habilitation should be accepted, returned to the candidate for revision or rejected, and thus whether to continue with or to terminate the habilitation procedure. Any recommendation to terminate the habilitation procedure must be accompanied by a detailed justification. When compiling this statement, the committee shall assess the candidate's overall accomplishments based on the report specified in Section 8(1), item 1, the reports written by the examiners and any statements concerning the examiners' reports that may have been received.

(7) If the habilitation committee recommends that the habilitation procedure should continue, the committee will determine the topic to be addressed in the candidate's academic lecture pursuant to Section 8(1), or will specify that the candidate must give a teaching lecture. In certain cases and where reasonable grounds apply, the committee may stipulate that the candidate must give both an academic lecture and a teaching lecture. The subject to be covered in the teaching lecture will be determined by the habilitation committee.

(8) If the habilitation committee recommends that the habilitation procedure should be terminated, this must be passed as a resolution at a meeting of the Faculty Council. The candidate shall be informed in writing of the reasons for the decision to terminate the habilitation procedure. In all other cases, the habilitation procedure will proceed in accordance with the provisions of Section 12.

### **Section 11**

#### **Retracting the evaluation request**

The candidate may retract the request submitted in accordance with Section 8(1) provided that the candidate has not received formal notification that the application requesting evaluation of the habilitation thesis or cumulative thesis has been rejected or the habilitation procedure terminated.

### **Section 12**

#### **Continuation of the habilitation procedure after academic evaluation of the thesis or cumulative habilitation**

(1) After receiving the statement compiled by the habilitation committee pursuant to Section 10(6), the Faculty Council shall decide by means of an indirect decision-making



process, set out in Paragraph 2, whether the habilitation thesis or cumulative habilitation should be accepted as the basis for habilitation (see Section 1(1) and Section 1(2)), whether the habilitation procedure should be continued and whether the candidate has to fulfil additional requirements.

(2) The Dean's Office shall notify all professors and equivalently qualified members of faculty staff when the statement from the habilitation committee has been received. The statement from the habilitation committee shall be deemed to have been adopted unless within three weeks of notification at least one tenth of the faculty's professorial staff have requested that the decision be formally adopted by resolution at a meeting of the Faculty Council.

(3) If the habilitation thesis or cumulative habilitation is accepted without amendment, the habilitation procedure moves to the next phase. If the thesis or cumulative habilitation is returned for revision, the habilitation procedure will be suspended. The thesis or cumulative habilitation can be returned for revision on one occasion only.

(4) If the thesis or cumulative habilitation is returned to the candidate for revision, the habilitation committee can impose the condition that the candidate revise the thesis within a reasonable period.

(5) A suspended habilitation procedure will be resumed when the candidate submits the revised thesis or cumulative habilitation within the designated time frame. Once resumed, the habilitation procedure shall be subject to the provision of Section 8 and Section 10, with the exception that no further suspension of the procedure is possible.

(6) The decision of the Faculty Council shall be communicated to the candidate in writing. If the habilitation procedure is suspended, the candidate may, on request, inspect the reports and statements submitted to the Faculty Council.

### **Section 13** **Academic lecture and teaching lecture**

(1) If the habilitation procedure is neither terminated nor suspended, the candidate shall be invited to give an academic lecture or a teaching lecture that will be followed by an academic discussion (colloquium). The academic lecture should not last more than 45 minutes; the duration of the teaching lecture shall be determined by the habilitation committee. The invitation sent to the candidate will state either the topic to be addressed in the academic lecture, which the Faculty Council selected from the proposals submitted by the candidate (see Section 8(1), item 4), or will state the type and duration of the teaching lecture. The invitation shall be sent to the candidate one week in advance. If, pursuant to Sec. 10(7), item 2, the candidate is required to give both an academic lecture and a teaching lecture, the candidate will be notified one week in advance in each case.

(2) The academic lecture and/or the teaching lecture and the subsequent academic discussion will be held at a meeting of the habilitation committee that is open to the public. The colloquium shall cover the content of the lecture and the candidate's field of research. If requested by the candidate, the Dean may exclude the public from the whole or parts of the colloquium. The request shall be granted if important legal or commercial interests of the candidate would otherwise be at risk. Those entitled to attend include all professors and equivalently qualified members of the faculty.

(3) Within a period of two weeks after the (final) colloquium has been held, the habilitation committee shall meet on at least one occasion to compile a recommendation for the Faculty Council as to whether the academic lecture and/or the competence demonstrated in the teaching lecture and the performance of the candidate in the colloquium or colloquia were of a satisfactory quality, and thus determine whether the candidate has the ability to teach at

university level and, as a result, recommend that the candidate be granted the *venia legendi* and so be permitted to teach in the specified field at professorial level. If no such recommendation is made, another academic lecture or another teaching lecture with subsequent academic discussion shall be held. Only one repeat attempt is permitted for the academic lecture and/or teaching lecture. The date for the repeat attempt pursuant to Paragraph 1 above shall be set no later than six weeks after the first attempt was made.

#### **Section 14** **Decision to award the habilitation qualification**

The Faculty Council shall decide whether the candidate has demonstrated the necessary ability to teach at university level and whether to grant the candidate permission to teach the specified subject at the level of a university professor (*venia legendi*). In case of doubt, the Faculty Council may request additional reports (oral or written) from further examiners. The decision to confirm the candidate's ability to teach at university level and to award them permission to teach the specified subject at the level of a university professor must be supported by a majority of the professors who are voting members of the Faculty Council. If the corresponding resolution is not passed, the candidate has failed in their attempt to be awarded a habilitation qualification. The decision not to award the habilitation qualification and the reasons for the decision shall be communicated to the candidate in writing.

#### **Section 15** **Inaugural lecture and award of qualification**

(1) The candidate shall give an inaugural public lecture on a topic of the candidate's choice to be held at the invitation of the Dean on a date scheduled no later than in the semester following that in which the Faculty Council announced the successful conclusion of the habilitation assessment phase.

(2) After the inaugural lecture, the candidate shall receive a certificate signed by the Dean confirming the candidate's ability to teach at the required level (*facultas docendi*) and a second certificate granting permission to teach (at Saarland University) in the intended subject area (*venia legendi*). Once the candidate has received the second certificate (*venia legendi*), the candidate is entitled to use the German academic title '*Privatdozent*' or '*Privatdozentin*'.

(3) The permission to teach at Saarland University (*venia legendi*) shall expire if the holder takes up a professorship at a German or foreign university or equivalent institution of higher education.

#### **Section 16** **Revocation**

Both elements of the habilitation qualification, *facultas docendi* and *venia legendi*, may be revoked by the Faculty Council if after the habilitation procedure has been completed it becomes apparent that

1. false or incomplete information was submitted during the application phase or the main phase of the habilitation procedure
2. a criminal conviction has been handed down for an offence that is incompatible with the regulations governing the conduct of civil servants in Germany (*Beamtenrecht*)
3. the conduct of the habilitation holder could damage the reputation and standing of the Faculty of Natural Sciences and Technology.

To prepare for the revocation of a habilitation qualification, the Dean shall appoint an advisory committee pursuant to Section 1(5) that shall advise the Faculty Council during its decision-making process.

**Section 17**  
**Extension or conversion of the *venia legendi***

The requirement to conduct the interim progress evaluation, the examination of the written thesis or cumulative habilitation and the academic lecture and subsequent colloquium may be waived at the request of the habilitation candidate, if:

1. the candidate intends to extend a *venia legendi* that has been awarded by a faculty of natural science and technology, or
2. the candidate has already been granted a *venia legendi* from another university and now seeks the same qualification from the Faculty of Natural Sciences and Technology at Saarland University (conversion).

**Section 18**  
**Notification of the University President**

The Dean shall inform the University President that the candidate successfully completed the habilitation procedure and was granted the *venia legendi*.

**Section 19**  
**Right of appeal**

An appeal procedure, as defined in the Procedural Code of the Administrative Courts (*Verwaltungsgerichtsordnung*), that is lodged against a decision taken by the Office of the Faculty Dean or the Faculty Council pursuant to these regulations shall be decided upon by the Faculty Council.

**Section 20**  
**Final provisions**

(1) These regulations shall come into force on the day after their announcement in the Official Bulletin of the Institutions of Higher Education in Saarland (*Dienstblatt der Hochschulen des Saarlandes*).

(2) For candidates who submitted an application for admission as a habilitation candidate in accordance with Section 5 of the previous habilitation regulations, their habilitation procedure may, on request, continue to be conducted in accordance with the provisions of the previous regulations.

Saarbrücken, 10 February 2021

President of Saarland University  
(Univ.-Prof. Dr. Manfred Schmitt)

## Appendix 1

### **Agreement of objectives to be concluded with the habilitation candidate (document template)**

#### **Agreement of objectives between Mr/Ms [*name of candidate*] and the Dean of the Faculty of Natural Sciences and Technology**

In accordance with the provisions of Section 6(2) of the Regulations Governing the Habilitation Procedure at the Faculty of Natural Sciences and Technology at Saarland University of XX Month 20XX

Subject area or intended *venia legendi* ...

It is hereby agreed with the habilitation candidate that they shall

- demonstrate an aptitude for university teaching by performing independent, unsupervised academic teaching activities (and, in some cases, by presenting a teaching lecture with subsequent academic discussion)
- demonstrate their ability to conduct independent research by submitting a habilitation thesis or a number of scholarly publications corresponding in content to that of a habilitation thesis in a field of scholarly enquiry that lies within the remit of the Faculty of Natural Sciences and Technology, and by presenting an academic lecture with subsequent academic discussion.

If a candidate submits a collection of scholarly publications ('cumulative habilitation'), these must be related in terms of their subject matter. Not all of these scholarly articles need to have been published at the time of submission, but those not yet published must have been accepted for publication. The thematic connection linking the publications submitted for evaluation shall be apparent from the introduction and summary sections of the cumulative habilitation.

The candidate's aptitude for university teaching throughout the habilitation qualification period, the candidate shall have sole responsibility for teaching unsupervised the course/module 'xyz', which will involve at least two hours of teaching per week during the main teaching period of each semester (*depending on specific circumstances, the candidate may be responsible for a basic lecture course, an advanced or other lecture course or, where appropriate, a lab or practical-skills course*). In addition, Mr/Ms [*name of candidate*] must provide proof that they have participated in the student teaching appraisal system (teaching appraisal forms must be submitted as part of the candidate's interim progress evaluation as per Section 7).

It is also agreed that the candidate shall typically achieve the following additional targets:

- independent academic publications (in which the candidate is the lead or corresponding author)
- supervision of Bachelor's and Master's theses
- securing of external research funding

The habilitation shall conclude with the submission of a habilitation thesis or a cumulative habilitation (see above), which in the latter case shall include

- a substantial introduction, discussion and summary (comparable to what is typically found a review article) with the publication manuscripts appended
- at least six scientific papers where the candidate is the lead or corresponding author, of which at least four have been accepted for publication and two have been submitted.

Candidates are encouraged to participate in the university's continuing education programme that offers training in university teaching methodologies and didactics.  
Mr/Ms [*name of candidate*] shall submit the interim report detailed in Section 7(1) no later than two years after the date of signing.

Signed by:  
Applicant and                      Dean of the Faculty

## Appendix 2

### **Information on structuring the interim report as per Section 7(1)**

The total length of the interim report **shall not exceed 10,000 characters incl. spaces.**

The report should include:

- a short self-assessment of the candidate's prospects.
- a list of publications, highlighting those that have been produced during the habilitation qualification period
- a brief outline of the candidate's teaching activities and of the academic theses the candidate has supervised
- a list of research topics and projects that the candidate has worked on, including a record of external funding that has been secured or applied for
- a brief description of other achievements and accomplishments, such as lecturing activities, prizes and awards, periods spent researching or teaching abroad, participation in training courses covering topics in university didactics
- a research programme and schedule for completing the habilitation