

## Preliminary remarks

According to the Habilitation Regulations (HabilO) of FAU, habilitation is intended to demonstrate an individual's ability to teach and conduct research as a professor at a university. These guidelines give recommendations for completing a habilitation procedure at the Faculty of Engineering, and give more detail on how the requirements stipulated in the Habilitation Regulations are to be met. They are intended to give young researchers guidance and support, encouraging a climate of mutual trust and understanding and respecting the differences between the various disciplines.

### 1. Habilitation Committee

The Habilitation Committee at the Faculty of Engineering monitors habilitation procedures and ensures that they are conducted correctly, prepares Faculty Council resolutions concerning admission of habilitation candidates, interim evaluations, and the decision as to whether a habilitation procedure is to be terminated or whether it has been completed successfully, and advises habilitation candidates on the procedure. The Committee consists of one representative of each department (full-time professor) and the Dean. The Committee meets twice per semester.

### 2. Committee of mentors

A committee of mentors is appointed for each habilitation procedure (in accordance with Section 8 HabilO). One member should come from another university. The committee of mentors agrees with the habilitation candidate on the type and scope of the research and teaching targets that should be able to be achieved over a period of four years, and sets these out in a target agreement that is kept by the committee of mentors. During the procedure, the committee of mentors provides habilitation candidates with help and advice in completing the required research and teaching tasks, carries out the interim evaluation, and draws up a final report. The final report must state, with reasons, to what extent the committee of mentors considers that the requirements necessary in order to be awarded the postdoctoral teaching qualification have, or have not, been met.

### 3. Requirements for initiation of the habilitation procedure

In order for candidates to be admitted to the habilitation procedure, they have to prove that they have a doctoral degree or equivalent research qualifications as well as the necessary teaching skills (see Section 5 HabilO).

Proof that candidates are particularly suited to carrying out academic research is provided by an outstanding doctoral degree or scientific research conducted after completing their doctoral degree. Proof of candidates' previous experience in teaching as well as attendance at teacher training should be submitted if applicable.

### 4. Application for admission to habilitation procedure

In order for the application to be considered by the Habilitation Committee, the necessary documents have to be submitted to the Dean's Office at the latest two weeks before the Committee is next scheduled to meet. The following list states exactly which documents are required pursuant to Section 6 HabilO.

1. Application to the Dean, citing the subject area in which the habilitation is to be completed.
2. Signed CV in tabular form, in either German or English, including a photo
3. Abitur certificate (evidence of university entrance qualifications), university degree certificates and doctoral degree certificate
4. Names of proposed members of the committee of mentors
5. A declaration from the applicant detailing any previous or ongoing habilitation procedures and stating whether they have ever had an academic title revoked

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6. List of all projects for which the applicant organised third-party funding and any scholarships they have been granted
7. List of teaching experience and attendance at courses for enhancing teaching skills.
8. Report on research conducted to date
9. List of publications (publications should be numbered, with the most recent listed first and the applicant's name and the name of the journal or conference printed in bold)
10. Official certificate of good conduct, unless the applicant is employed in the public service, in which case their certificate of appointment to the public service or employment contract with FAU should be submitted
11. A declaration from the relevant head of department stating whether the required initial budget can be provided

After the application documents have been checked, the chairperson of the designated committee of mentors and the habilitation candidate will be invited to appear before the Committee. If the Habilitation Committee determines that the requirements for admission to the habilitation procedure have been met, they shall submit a recommendation to the Faculty Council.

### **5. Commencement of habilitation procedure**

Based on the recommendation from the Habilitation Committee, the Faculty Council decides whether or not to admit the candidate to the habilitation procedure. All university lecturers in attendance cast their votes in a secret ballot. At the same time as approving the application, the Faculty Council confirms the members of the committee of mentors.

### **6. Required research and teaching achievements**

Scientific achievements obtained during the course of the habilitation procedure can be documented either by publications in internationally renowned journals or, depending on the established conventions within the relevant subject area, by conference proceedings for conferences at which the habilitation candidate has given a presentation. The committee of mentors is responsible for ensuring that the habilitation candidate is given sufficient opportunity to publish research independently and that subject-specific standards regarding the sequence of authors are complied with (for example, depending on the conventions in the specific subject, being named as the lead author for research carried out predominantly by candidates themselves or as a senior author in research organised or supervised by the candidate). Habilitation candidates should be encouraged to lead (sub) projects independently and apply for funding for their research themselves. The committee of mentors should especially ensure that applications for third-party funding drawn up by the habilitation candidate are submitted in the candidate's own name. Habilitation candidates are expected to meet the required teaching achievements by holding lectures totalling at least six semester hours per week for at least two semesters. Depending on the teaching situation in the respective department, the lectures should as far as possible be self-contained. Teaching evaluations are to be submitted together with the required annual teaching report. The committee of mentors should arrange for the lectures given by the habilitation candidate to be listed in the candidate's name in the relevant databases (e.g. UniVIS) and for the candidate to be granted eligibility to administer examinations in the teaching units taught by the candidate, providing all relevant requirements are met.

### **7. Interim evaluation**

The committee of mentors is obliged to carry out an interim evaluation two years after the habilitation candidate is admitted to the habilitation procedure (Section 11 HabiO). The committee of mentors evaluates in particular whether the achievements required for the postdoctoral teaching qualification have been met to such an extent that it is to be expected that the candidate will complete the procedure successfully. The results are noted in a report, which is presented to the Habilitation Committee by the chairperson of the committee of mentors. The results of the interim evaluation are communicated to the Faculty Council.

## 8. Habilitation thesis

The written habilitation thesis either takes the form of a monograph (habilitation thesis) or a structured compilation of specialist publications with scientific findings equivalent to a habilitation thesis (cumulative habilitation thesis).

8.1 A monograph should provide a (comprehensive) discussion of the topic of the habilitation, focussing on independent research carried out by the candidate, and taking the current status of research into account.

8.2. A cumulative habilitation thesis can consist of a compilation of (peer-reviewed) publications in renowned journals or, depending on the conventions in the respective subject, conference proceedings from conferences at which the candidate has given a presentation. It must include a comprehensive, structured summary clearly stating the contribution the habilitation candidate has made to advances in scientific knowledge in the subject area.

The habilitation candidate should submit the habilitation thesis to the chairperson of the committee of mentors.

## 9. Awarding of postdoctoral teaching qualification / Assessment of habilitation thesis

The committee of mentors evaluates the quality of research and teaching carried out by the candidate. The candidate presents their achievements as a basis for the assessment. An updated CV, a research report, an overview of any third-party funding obtained (broken down according to funding providers) and an overview of all teaching units taught together with all results of evaluations also have to be submitted to the Dean's Office.

In addition, at least two other external reviews of the written thesis have to be obtained. When choosing reviewers, care should be taken to avoid any situations where a conflict of interests may arise. At a minimum, the valid DFG guidelines for avoiding conflicts of interest must be complied with. In addition, anyone who acted as a supervisor to the habilitation candidate during the course of an undergraduate, postgraduate or doctoral degree and anyone who has worked together with the candidate at the same institute in the past, in particular former members of the department in which the habilitation candidate is based, may not be asked to be a reviewer. The chairperson of the committee of mentors will give the Dean the names of the proposed reviewers in good time. The Dean ensures that the rules governing conflicts of interests have been complied with and asks the external reviewers to submit a review within a reasonable period of time. The external reviews are forwarded to the chairperson of the committee of mentors.

After due consideration of the external reviews, the committee of mentors drafts a recommendation for the Faculty Council. This document states, giving reasons, whether the candidate has met the requirements necessary for being granted authorisation to teach and whether the postdoctoral teaching qualification can be awarded. The final report has to be presented to the Habilitation Committee. After that, the final evaluation, the external reviews and the written thesis are made available for inspection by all university lecturers at the Faculty for a period of four weeks. If no objections are raised, the Faculty Council passes a formal resolution granting the postdoctoral teaching qualification.

## 10. Public lecture by habilitation candidate

In addition to the provisions stipulated in the HabilO, candidates are expected to introduce themselves to the Faculty as a whole after submitting their habilitation thesis and before the procedure is completed by holding a lecture on the topic of the habilitation, followed by an interview. Notice of the lecture will be published in good time throughout the Faculty. External reviewers should also be informed.

## 11. Authorisation to teach

Once the habilitation process has been completed, successful candidates must submit a request via the Faculty with the University Administration (Referat P2 or P3) in order to be granted authorisation to teach (Art. 65, Section 10 Bavarian Higher Education Act (Bayerisches Hochschulgesetz,

BayHSchG)). Candidates may only use the title 'Privatdozent' once they have obtained this authorisation to teach.

We recommend holding an inaugural lecture once you have been granted your authorisation to teach.

### 12. **Changing university or subject area**

Anyone who has successfully completed a habilitation procedure at another university can also be granted authorisation to teach at FAU. One prerequisite which must be met is that the applicant has proven their ability to represent an academic subject adequately in research and teaching after completing their habilitation. It is not necessary for another habilitation thesis to be submitted.

Applicants have to submit the following documents to the Dean's Office:

1. Application for permission to teach at FAU, stating the specialist subject
2. Certificate granting postdoctoral teaching qualification and (former) authorisation to teach, as well as doctoral degree certificate
3. Current CV including a list of publications and a list of all theses supervised to date
4. Written statement from the department where the subject is taught, giving details on teaching requirements in particular.

The Faculty Council gives their official opinion on the application, but the final decision is taken by the President.