

OFFICIAL TRANSLATION OF
“Habitationsordnung des
Fachbereichs Wirtschaftswissenschaften
der Universität Hamburg vom
7. Juli 1982“
(Amtlicher Anzeiger S. 637,
vom 25. März 1986)

THIS TRANSLATION IS FOR
INFORMATION ONLY – ONLY
THE GERMAN VERSION SHALL
BE LEGALLY VALID AND
ENFORCEABLE!

***Habilitation* Regulations**
for the Department of Economics at
Universität Hamburg

dated 7 July 1982

On 2 May 1983 the Ministry of Science and Research ratified the *Habilitation* Regulations (regulations for postdoctoral qualifications) of the Department of Economics at Universität Hamburg adopted by the Department Council of the Department of Economics pursuant to Section 97 subsection 2 of the Hamburg higher education act (Hamburgisches Hochschulgesetz, HmbHG) dated 22 May 1978 (Hamburg statutes and regulations gazette page 109) on 7 July 1982 after commentary from the Academic Senate in accordance with Section 137 of HmbHG as amended.

Section 1
Purpose of the *Habilitation*

- (1) The *Habilitation* in the Department Economics serves as proof of the special aptitude for independent scholarly research in one of the Department's research areas.
- (2) Of these areas of research, a *Habilitation* may be awarded in the fields of

economics, business administration, statistics, and econometrics.

Section 2
Habilitation work

- (1) The particular aptitude for independent scholarly research will be established through a *Habilitation* thesis consisting of one or more scholarly publications or work of significance or, in exceptional cases, by an outstanding dissertation. The *Habilitation* work should represent a material contribution to the advancement of scholarship.
- (2) Self-contained contributions to cooperative

works, which are clearly distinguishable from contributions by other authors and can be assessed independently, may be recognized and credited as *Habilitation* work. The applicant must separately present a suitable description of the content and scope of the overall work so that the type and scope of the individual work can be reviewed.

- (3) Scholarly works must be composed in German. The Department Council shall decide on any exceptions to this rule.

Section 3
Admission requirements

- (1) Admission to a *Habilitation* requires the completion of a higher education degree program and a doctorate in economics from a German academic higher education institution. In justified exceptional cases, degrees and doctorates outside the field of economics may also be recognized. The requirement of a doctorate may be waived in justified exceptional cases.
- (2) Foreign academic degrees shall be equivalent to domestic degrees if they have the same guarantee of qualification.
- (3) Those who have already applied for admission to a *Habilitation* in another department or university are not eligible for admission. Exceptions are possible in justified cases.
- (4) The Department Council shall decide on the matters set forth in subsections 1 through 3 above.

Section 4
Admission application

- (1) The applicant must submit a written application to the spokesperson of the Department for admission to the *Habilitation*, setting forth the area of research. The application must be submitted at a time which allows the Department Council to decide upon it during the period when lectures are in session in accordance with Section 5 subsection 1 herein.
- (2) The application must include the following:
 1. a university degree, a doctoral diploma setting forth the dissertation; in cases of Section 3 subsection 2 herein, certificates of foreign examinations or proof of having passed;
 2. an affirmation and statement setting forth whether and with what success the applicant has otherwise applied for admission to a *Habilitation*;
 3. four copies of the scholarly work intended as the *Habilitation* work;
 4. in the case of contributions within the scope of cooperative work, information in accordance with Section 2 subsection 2 sentence 2 and the names of the other authors;
 5. an affirmation that the *Habilitation* work was conducted without the aid of any third party, using only the stated resources;
 6. a short curriculum vitae that emphasizes an academic career;
 7. a complete list of scholarly publications.

(3) The spokesperson of the Department shall review the documents submitted for completeness and in cases set forth in Section 3 subsection 2 herein obtain any requisite information.

Section 5
Admission to the *Habilitation*

(1) The Department Council shall render a decision within two months after receipt of the application and the requisite supporting documents about admission to the *Habilitation*. After admission, the Department Council shall convene a *Habilitation* committee and appoint a chair and vice-chair upon the recommendation of the spokesperson.

(2) If the applicant is a member of the Department Council, then his or her rights and obligations as a member of the Department Council shall be suspended in all matters concerning his or her *Habilitation* procedure.

Section 6
Habilitation committee

(1) The *Habilitation* committee shall consist of seven professors or scholars that have completed a *Habilitation*, the majority of which must be members of the Department of Economics. The applicant may nominate one member of the *Habilitation* committee.

(2) The *Habilitation* committee is responsible for executing the *Habilitation* procedure. The *Habilitation* committee shall only have a quorum when at least half of all members are present. Decisions on the acceptance or rejection of the *Habilitation* work shall require the presence of all members and require a vote by a majority of the members of the *Habilitation* committee. Abstentions are not permitted. In special cases, the required presence of all committee members for the evaluation of the *Habilitation* work may be foregone and a vote submitted in writing permitted, provided that scheduling a new meeting is not possible or appointing a new member is not feasible. This will be decided by the Department Council.

(3) The *Habilitation* committee shall appoint at least three professors or scholars that have completed a *Habilitation* as assessors. At least two should be members of the Department of Economics at Universität Hamburg. The Department Council shall appoint two external assessors to review the assessments of an evaluated dissertation if the *Habilitation* work is by a member of the Department. Assessments should be completed within three months.

(4) In the case of work undertaken jointly with others (Section 2 subsection 2), the *Habilitation* committee may obtain specific information on the applicant's share of work and it also has the option of requiring the applicant to present his or her share of the work and defend the results in a colloquium with the *Habilitation* committee.

The *Habilitation* committee may invite experts to this colloquium.

Section 7

Withdrawal from the *Habilitation* procedure

The applicant may only withdraw from the *Habilitation* procedure without having such withdrawal equated with a rejection of the *Habilitation* work until such time as the assessors have been appointed. The Department Council shall decide on any exceptions to this rule.

Section 8

Inspection of the *Habilitation* work and the assessments

(1) All assessments shall be submitted to the *Habilitation* committee. In addition, the assessments and the *Habilitation* work shall be made available for at least a period of three weeks for confidential inspection by all parties involved in the procedure.

(2) Department professors and faculty members that have completed a *Habilitation* shall also be authorized to confidentially inspect the work and assessments. They may submit their own comments about the *Habilitation* work for placement in the academic file.

(3) The inspection period shall commence upon notice given by the spokesperson to those persons permitted to inspect the work. The Department Council may extend the period upon request.

(4) The applicant may request to inspect the assessments. In such an event, it must be warranted that the assessors remain anonymous.

Section 9

Decision about the *Habilitation*

(1) After the inspection period has expired, the *Habilitation* committee shall decide whether the applicant has demonstrated a particular aptitude for independent research.

(2) If the *Habilitation* committee recognizes and accepts the *Habilitation* work, the spokesperson shall inform the applicant and the Department Council about the decision without undue delay.

(3) If the *Habilitation* committee does not recognize and rejects the *Habilitation* work, the spokesperson shall provide the applicant with written notice about this decision. All assessments, with the names of the assessors redacted, prepared for the procedure must accompany this notice. The applicant may within one month after the receipt of the notice of decision and the assessments submit a written response and request to meet with the assessors and members of the *Habilitation* committee to pose and discuss questions about his or her evaluated work.

(4) If, in the case of subsection 3 above, the applicant takes advantage of his or her time period, the committee shall render a decision once it has received a submission. If the applicant fails to act within the time period provided, then the decision pursuant to subsection 3 sentence 1 shall become final. If the work has been conclusively rejected, the spokesperson shall notify the Department Council.

(5) A decision on the verification of the research qualification shall be taken within eight months of receipt of the application and the requisite supporting documents (Section 4). In the case of subsection 3 herein, an additional three-month period shall be added thereto in order to allow for the completion of the procedure.

Section 10 Completion of the *Habilitation*

(1) The *Habilitation* procedure shall be complete upon the issuance of the decision recognizing and acknowledging the research qualification. The spokesperson shall execute and issue a diploma of the same affixed with the seal of the Department. It shall indicate the field of research in which the *Habilitation* work was performed.

(2) The postdoctoral graduate shall present the results of his or her work demonstrating the particular aptitude for independent scholarly research to the members of the Department in a public lecture and subsequent round of discussion. The spokesperson shall dispatch an invitation at a public Department Council meeting.

Section 11 Notice of the *Habilitation*

The Department spokesperson shall notify the president of the University in writing about the *Habilitation*.

Section 12 Library copies

The applicant shall provide the State and University Library three copies of any *Habilitation* work that has yet to be published within three months of the recognition and acceptance of the *Habilitation* work.

Section 13 Renewed attempt

If the *Habilitation* work is rejected, the applicant may re-submit a new application for admission to the *Habilitation* procedure after one year at the earliest. This may only be done once.

Section 14 Revocation

The Department Council must revoke the decision to recognize the research qualification if it was acquired by deception as to the existence of essential admission requirements or the independent composition of the written work submitted. The postdoctoral graduate must be afforded the opportunity to be heard on the matter prior to

any decision. The postdoctoral graduate must be informed about the decision on revocation setting forth the reasons therefor in writing and the president of the University notified. The *Habilitation* diploma must be confiscated.

Section 15 Review of the procedure

(1) The Department Council shall rule on objections from participants and the applicant pursuant to Section 64 subsection 5 sentence 3 HmbHG.

(2) This notwithstanding, participants and the applicant may submit an application to review the *Habilitation* procedure with the committee for research and early career researchers (Ausschuss für Forschung und wissenschaftlichen Nachwuchts) or petition for judicial relief against the decisions of the Department Council and the *Habilitation* committee.

Section 16 Effective date and transitional provisions

(1) These *Habilitation* Regulations shall become effective the day after their publication in the official government gazette. The *Habilitation* Regulations of the Faculty of Business, Economics and Social Sciences dated 20 June 1958 for the Department of Economics shall be repealed on the same day.

(2) A *Habilitation* procedure that is already pending upon the effective date of these *Habilitation* Regulations may, at the applicant's request, be completed pursuant to the prior *Habilitation* regulations.

Hamburg, 18 May 1983

Ministry of Science and Research

Official Gov't Gazette p. 869

Amendment
to the *Habilitation* Regulations for the Department
of Economics at Universität Hamburg

On 25 March 1986 the Ministry of Science and Research ratified the following amendment to the *Habilitation* Regulations (regulations for postdoctoral qualifications) of the Department of Economics at Universität Hamburg dated 7 July 1982 (Government publication gazette page 869) as adopted by the Department Council of the Department of Economics on 8 January 1986 pursuant to Section 97 subsection 2 of the Hamburg higher education act (Hamburgisches Hochschulgesetz, HmbHG) dated 22 May 1978 (Hamburg statutes and regulations gazette page 109) after commentary from the Academic Senate in accordance with Section 137 of HmbHG.

Section 13 shall read as follows:

“Section 13
Renewed attempt

- (1) If the *Habilitation* work is rejected, the applicant may resubmit a new application for admission to the *Habilitation* procedure after one year at the earliest. This may only be done once.
- (2) The application may only be based on other or materially amended *Habilitation* work.
- (3) If, in the opinion of the spokesperson of the Department, the application does not meet the requirements of subsection 2 above, the spokesperson shall notify the applicant accordingly prior to the Department Council's discussion of the application for admission. The applicant shall have the opportunity to withdraw the application for admission within one month of receipt of notice. The period pursuant to Section 5 subsection 1 sentence 1 shall be extended accordingly. The option of withdrawing the application for resubmission may only be invoked once.”

Hamburg, 25 March 1986

Ministry of Science and Research