

Guideline for Conducting the Habilitation Procedure

approved by the Faculty Meeting of the Faculty of Humanities and Social Sciences, as last amended on 14 October 2013, including amendments of 22 February 2016

Current regulations:

Habilitation Regulations of the University of Lucerne of 25 June 2003

1 Opening the habilitation procedure

¹ The application for opening the habilitation procedure is to be submitted to the Dean. It shall include:

- a. details of the specialist field for which the award of the authorization to teach / Venia Legendi is sought as well as details of the mentor.
- b. a curriculum vitae giving information on the scientific educational background and the professional activities exercised.
- c. doctoral certificate with indication of grade.
- d. evidence of four courses taught of two semester periods each at a university, of which two with proof of their evaluation. In addition, evidence of attending a teaching course recognized by the Dean's office of the Faculty of Humanities and Social Sciences. All evidence may be submitted by no later than on the vote on the acceptance of the habilitation thesis.
- e. indication of any habilitation procedures at other faculties.
- f. an abstract of the planned habilitation thesis (scope approx. 10,000 characters including spaces, content: questions posed, state of research, method, material).

² The habilitation procedure is considered as opened if the general conditions for habilitation (Section 3 Habilitation Regulations) have been met, the preliminary examination procedure has been completed and the Faculty Meeting has agreed to the application for opening of the habilitation procedure (Sections 6-8 Habilitation Regulations).

2 Habilitation Thesis and Assessment

¹ In addition to Section 4 (a) of the Habilitation Regulations the individual departments of the Faculty of Humanities and Social Sciences issue rules for accumulated habilitation theses.

- a. The rules require approval by the Faculty Meeting and are to be appended to this Guideline.
- b. The dissertation as well as the resulting publications must not be an integral part of a cumulative habilitation thesis.

² The habilitation thesis is to be submitted to the Dean's office. The number of copies depends on the number of referees plus one copy for archiving.

³ If the referees have not already been appointed by the Faculty in the preliminary examination procedure, they must be appointed no later than on the submission of the habilitation thesis at the request of the Dean by the members of the Faculty Meeting (Section 10 (2) Habilitation Regulations).

⁴ The members of the Faculty Meeting shall decide on the basis of the assessments on the continuation, suspension or discontinuation of the habilitation procedure (Section 11 (1) Habilitation Regulations). In the event of suspension, the Faculty Meeting shall decide on either the preparation of a further assessment or the revision of the thesis as a whole or in parts.

3 Appointment of the Referees

¹ The referees shall be appointed at the request of the Dean by the members of the Faculty Meeting (Section 10 (2) Habilitation Regulations). The first referee should as a rule be the supervisor. Proposals for the second and third assessment (or further assessment) shall be made by the supervisor for the attention of the Dean.

² Appointing the referees shall be carried out on the opening of the habilitation procedure but no later than on submission of the habilitation thesis.

³ In the case of non-cumulative habilitations (monograph), grounds for exclusion for second and third referees (or further referees) are the supervision of an earlier qualification thesis, co-authorship, joint work on a research project in each case within the last five years on the date of submission of the habilitation thesis as well as family relationship or personal dependence.

⁴ In the case of cumulative habilitations the following applies:

- a. Two of three referees must not have been involved in any of the article submitted for the cumulative habilitation as co-authors. Irrespective of this, family relationship or personal dependence are a reason for exclusion.
- b. Should a referee be at the same time a co-author, the referee shall not express an opinion in the assessment on the contribution concerned.

4 Trial lecture, colloquium

¹ The trial lecture is a scientific lecture that should be structured to also be comprehensible and didactically convincing to attendees outside the specialist area.

² The colloquium is a discussion on the subject matter of the trial lecture and should shed light on the applicant's capacity for scientific argument.

³ The habilitation candidate shall submit three subject proposals for the trial lecture to the Dean's office for the attention of the Faculty Meeting. The subjects must be clearly different from the subject of the habilitation thesis. The Faculty Meeting shall select a subject (Section 11 (3) Habilitation Regulations). The habilitation candidate will be notified of this by the Dean's office in writing.

⁴ The invitation of the habilitation candidate and the Faculty Meeting to the trial lecture with colloquium will be sent by the Dean (Section 11 (2) Habilitation Regulations). The trial lecture (duration 30 min.) with colloquium to follow (duration 30 min.) will if possible take place in the first hour of an ordinary Faculty Meeting.

⁵ The Faculty Meeting will decide after the trial lecture with colloquium on the acceptance, suspension or rejection of the habilitation application (Section 11 (4) Habilitation Regulations) based on the performance of the following habilitation activities:

- habilitation thesis
- trial lecture with colloquium

The courses taught and evaluations carried out will likewise be taken into account. In the event of suspension, the Faculty Meeting shall decide whether the trial lecture with colloquium should be repeated. It is possible to repeat it once.

5 Establishment of the authorization to teach / Venia Legendi

¹ With the submission of the habilitation thesis the habilitation candidate is making an application for establishment of the authorization to teach to the Dean for the attention of the Faculty Meeting (Section 9 (1-3) Habilitation Regulations).

² The Faculty Meeting shall establish the authorization to teach directly after acceptance of the habilitation application (Section 11 (4) Habilitation Regulations).

³ After establishing the authorization to teach, the Dean shall make the application for approval of the habilitation and granting of the authorization to teach to the Senate (Section 12 Habilitation Regulations).

6 Rights and obligations

¹ The authorisation to teach shall confer the obligation to teach two hours per week during the academic year (this means one lecture per academic year). In addition the „Privatdozentin / Privatdozent“ can claim to teach two unpaid lectures (this means four hours per week) per academic year (Section 14 (2-3) Habilitation Regulations).

² Associated to the academic title „Privatdozentin / Privatdozent“ the person has the right to confer the doctorate. The person belongs to the habilitated members of the Faculty of Humanities and Social Sciences.

7 Withdrawal of the habilitation application

The habilitation candidate may withdraw the habilitation application at any stage of the procedure by making a written statement to the Dean.

8 Certificate

The certificate will be issued after the completion of the habilitation procedure (approval by the Senate) by the Dean's office.

9 Coming into Force

This document is a translation of the original and exclusively binding German version of the document «Wegleitung zur Durchführung des Habilitationsverfahrens»

This amended guideline comes into force on 1 August 2016. Habilitation procedures up to that point shall be carried out under the guideline valid on the date of opening.

Appendices

(B) Rules for the accumulated habilitation thesis in the Department of Sociology

Approved in the Faculty Meeting of 18 March 2013

1. The collection of papers presented in the accumulated habilitation is to be equivalent to a monograph. In this the applicant shall present a collection of at least eight book contributions or scientific articles in specialist journals.
2. In addition the accumulated habilitation thesis shall contain an introduction that presents the sociological research context in which the contributions collected in the habilitation thesis have been written.
3. For book contributions or scientific articles that have been written with co-authors it must be presented in the introduction which parts the applicant has contributed to them.

(C) Rules for the accumulated habilitation thesis in the Department of Political Science

Approved in the Faculty Meeting of 16 September 2013

1. For an accumulated habilitation the applicant shall present a collection of at least six scientific articles or book contributions, of which at least three have been published or accepted for publication in recognised journals.
2. In addition the accumulated habilitation thesis shall contain an introduction that presents the research context in which the contributions collected in the habilitation thesis have been written.
3. Scientific articles and book contributions written with co-authors are also admissible. In the introduction it must be presented which parts the applicant has contributed of the articles or contributions. At least three articles or contributions must however have been written in sole authorship.

(D) Rules for the accumulated habilitation thesis in the Department of Study of Religions

Approved in the Faculty Meeting of 16 September 2013

1. General introductory chapter in the scope of at least 35-40 pages in which a conceptual personal contribution is discernible and the theses submitted as part of the habilitation work are contextualised;
2. At least eight chapters or essays that may have already been published or accepted for publication in journals.
3. Scientific articles and book contributions written with co-authors are also admissible. At least four articles or contributions must however have been written in sole authorship.

(E) Rules for the accumulated habilitation thesis in the Department of Health Sciences & Health Policy

Approved in the Faculty Meeting of 16 September 2013

1. For an accumulated habilitation with medical orientation the applicant shall present a collection of at least sixteen original articles that have appeared or been accepted for publication in internationally recognised and peer-reviewed journals. For at least eight of the articles the applicant must be either the first or last author.
2. For an accumulated habilitation with a humanities or social sciences orientation the applicant shall present a collection of at least eight original articles that have appeared or been accepted for publication in internationally recognised and peer-reviewed journals. For articles in co-authorship the scientific personal contribution must be presented.
3. On the request of the applicant, the minimum number laid down in a) or b) may be reduced if the work submitted stands out by its excellent quality. Credit may be given for medical “case reports” in exceptional cases and only on request if an innovative contribution is involved. The Faculty Meeting will decide about the respective request.
4. The applicant shall append to the habilitation thesis a summary of a maximum of three pages (Lay Summary) in which the scientific contribution of the habilitation thesis to the specialist field is presented.