



# Fact Sheet on Habilitation Procedures at the Faculty of Arts and Social Sciences of the University of Zurich

(15 April 2021)

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## 1 Legal Basis

This fact sheet applies to the habilitation and rehabilitation procedures at the Faculty of Arts and Social Sciences (PhF) of the University of Zurich (UZH). The legal basis for this fact sheet is the Framework Ordinance on Habilitation at the University of Zurich (dated 16 December 2019) and the Habilitation Regulations of the Faculty of Arts and Social Sciences of the University of Zurich (HabilO PhF) (dated 15 October 2020).

## 2 Habilitation Application

The application for habilitation according to § 3 of the habilitation regulations is submitted in writing to the dean of the PhF. The applicant agrees with the responsible contact person in the Office of the Dean of the PhF on the procedure for submitting the application (appointment for personal delivery of all documents or procedure for postal and electronic transmission of the documents). The contact details of the contact person can be found on the PhF website.

The habilitation application includes the following documents, whereby the habilitation thesis must be submitted both in printed form and as a PDF document with identical content, the other documents only as PDF documents:

1. *Habilitation thesis* (as integral PDF (max. 100 MB) as well as paper version in eight double-sided copies in single adhesive or spiral binding)
2. *Abstract of the habilitation thesis* (one A4 page)
3. *Letter of application* (dated on the day of submission) with a precise description of the subject area in German and English for which the authority to teach (*venia legendi*) is being applied for, including proposals for external experts, if applicable.
4. *Declaration* on the independent preparation of the habilitation thesis and on the protection of all rights of other authors (HabilO PhF) as well as declaration whether a habilitation procedure has already been opened at another higher education institution (RVO Habil)
5. *Curriculum vitae* in tabular form incl. list of *publications* with complete bibliographical details and list of courses *held to date* (details of higher education institution, semester, title and type of course, number of hours per week per semester).

The first page of the resume must contain the following information:

- Name and first name(s)

- academic title
  - Date of birth
  - Nationality
  - only for Swiss nationals: Place of citizenship/ canton
  - Private address
  - Business address
  - E-mail address
  - Phone number (reachable during business hours)
  - Details of obtaining the doctorate (university / year)
6. *Doctoral degree certificate* (in case of rehabilitation also copy of *habilitation certificate*) – if necessary, certified translation(s)
  7. *Proof of qualifications in Center for University Teaching and Learning* (e.g. courses in Center for University Teaching and Learning, internships or mentoring, team teaching, course evaluations).
  8. If there has been no employment at UZH within the last five years: *proof of a research collaboration with a subject representative or letters of support from at least two subject representatives (in the case of small subjects also from subject-related representatives).*

Once all required documentation is received, the appropriate contact person in the Office of the Dean will direct forwards it to the vice dean career and sends the applicant a confirmation of the submission of the application and the opening of the habilitation procedure.

After submitting the habilitation application, the PDF document of the habilitation thesis is published in the password-protected area of the PhF website to members of the Faculty Assembly, and made available to the management of the PhF institutes and seminars.

### **3 Interview with Vice Dean of Career Development**

Generally, within four working weeks after the submission of the Habilitation application, the Vice Dean Career invites the habilitation candidate to a discussion about the further procedure and the composition of the Habilitation Committee. The interview can be conducted by telephone or as a video conference (e.g. via Skype).

### **4 Establishment of the Habilitation Committee**

According to § 4 of the habilitation regulations, the Faculty Council appoints the Habilitation Committee at the earliest possible date on the proposal of the Vice Dean. Afterwards, the responsible contact person in the Office of the Dean invites the president and the committee members to participate on behalf of the vice dean and sends them the documents related to the habilitation application in digital form. In addition, each committee member receives a paper copy of the habilitation thesis.

The responsible contact person in the Office of the Dean informs the habilitation candidate in writing about the composition of the committee. The Faculty Assembly is informed about the appointed committees in the password-protected area of the faculty website.

## **5 General Responsibilities of the Habilitation Committee, the Subject Representatives and the President**

The Habilitation Committee prepares the report for the assessment of the written habilitation performance for the attention of the Faculty Assembly and decides on and appoints the external experts. In addition, the members of the committee attend the meeting of the Faculty Assembly in which the committee's report is discussed, as well as the job talk and the colloquium, if possible.

The president of the Habilitation Committee acts as an ombudsperson of the faculty. He or she coordinates the work of the committee and ensures that the schedule is adhered to. In addition, he or she is responsible for communications with the habilitation candidate, the external experts and the Office of the Dean.

The members of the committee are responsible for the professional assessment of the habilitation performance and prepare the text for the Committee's report.

## **6 Procedure of the Committee's Work**

As soon as the Habilitation Committee has agreed on the assessment of the habilitation thesis, it decides on possible external experts. The President obtains two external experts (6.1), committees the members of the committee to prepare the committee's report (6.2), plans the agenda for the committee's proposal and the job talk with the Dean's Office (6.3), asks the habilitation candidate to propose three topics for the job talk (6.4), and sends the necessary documents to the management of the Dean's Office for the attention of the Faculty Assembly (6.5).

### **6.1 External Experts**

The committee appoints the external experts, taking into account any suggestions made by the habilitation candidate as well as possible biases in accordance with the Guidelines on Recusal in Professorial Appointment and Promotions (of 29 May 2018).

As soon as the external experts have agreed, the president of the committee sends their contact details to the responsible contact person in the Office of the Dean. The contact person then sends the experts the habilitation thesis in digital form and, if desired, also as a paper copy.

The external expert's report acknowledges the scientific quality of the habilitation thesis and includes as a rule, no more than about 8,000 characters with spaces. The President of the Habilitation Committee explicitly advises the external experts that the report should not contain an extensive summary of the habilitation thesis; furthermore, it should be confirmed in the report that there is no bias towards the habilitation candidate.

The external experts send the reports to the President of the Habilitation Committee and a copy to the responsible contact person in the Office of the Dean. The names of the experts may only be disclosed to the habilitation candidate with his/her consent. If there are important reasons, the right of inspection can be further restricted in the sense of § 23 of the law on information and data protection (IDG).

## **6.2 Committee Report**

The committee report, including the proposal for the attention of the Faculty Assembly, shall include, usually no more than three A4 pages and is divided into the following sections:

- Assessment of the (monographic or cumulative) habilitation thesis
- Statement on the *venia legendi* applied for
- Motion to the Faculty Assembly
- Overview of external experts obtained
- Committee composition

A template for the committee report is available on the faculty intranet on the Habilitation Procedure page.

## **6.3 Dates for Placing the Committee Proposal on the Agenda and for the Job Talk**

As soon as the timetable of the Committee's work, including the deadlines for the preparation of the external expert's opinion has been determined, the President, with the involvement of the committee and the habilitation candidate, agrees with the responsible contact person or the management of the Office of the Dean on the dates for the Faculty Assembly's consideration of the committee's proposal and for the job talk.

In scheduling its work, the Committee shall ensure that, between the meeting of the Faculty Assembly, in which the committee discusses the proposal and chooses the topic of the job talk, and the meeting in which the job talk takes place, must be at least three weeks apart as per § 20 para. 5 of the habilitation regulations. An overview of the free dates for job talks is given in writing by the dean.

## **6.4 Obtaining the Topic Proposals for the Job Talk**

As soon as the date of the job talk has been set, the president will ask the habilitation candidate for three suggestions for topics for the job talk. The three proposals each consist of the title and a short abstract of the presentation, whereby the document should not exceed one A4 page in total.

The Habilitation Committee examines the topic proposals and, in accordance with § 20 para. 3 of the habilitation regulations, ensures that none of the topics is very close to the thematic concentration of the written habilitation performance.

## **6.5 Sending the Committee Application to the Office of the Dean**

At least 10 days before the meeting of the Faculty Assembly for which the committee proposal and the choice of the topic for the test lecture is to be put on the agenda, the President sends the following documents to the responsible contact person or the management of the Office of the Dean:

- Committee report (Word document)
- external experts (PDF document)
- Three proposed topics approved by the committee (three presentation titles and three short abstracts totaling approx. 1 A4 page) for the job talk (PDF or Word document)

Furthermore, the President informs the responsible contact person or the management of the Office of the Dean about a possible preference of the committee for one of the proposed topics for the job talk.

## **7 Revision of the Habilitation Thesis**

According to § 13 and § 14 of the habilitation regulations, a habilitation thesis the revision may be returned to the habilitation candidate for the purpose of amending minor deficiencies. In this case, the dean will inform the habilitation candidate in writing after consultation with the Habilitation Committee, setting a deadline for revision.

In addition, the president invites the habilitation candidate to a discussion with the committee in order to present the criticism and to submit a list of desired changes in writing. The president appoints a committee member to draft this list.

The habilitation candidate shall be given the opportunity to comment on the return of the habilitation thesis or to withdraw the application for habilitation. The committee has to consider the statement appropriately in its final decision regarding the list of change requests. This decision is to be communicated to the habilitation candidate in writing.

The committee's change requests must be clearly and conclusively stated. If the revised habilitation thesis meets the change requests, the committee cannot again judge the written habilitation thesis as failing grade.

The deadline for revising the habilitation thesis is usually not more than six months and is set by the committee for the attention of the dean after discussion with the habilitation candidate, depending on the final requests for changes.

If the habilitation candidate accepts the offer for revision, the procedure is suspended for the agreed period. The Dean informs the Faculty Assembly in an appropriate manner about the suspension of the procedure.

The resubmission of the revised writing is made to the Office of the Dean by the end of the specified period. In addition to the PDF document of the revised habilitation thesis, paper copies may also need to be resubmitted in consultation with the committee. A cover letter for the revision must also be submitted at this time. In addition, an updated curriculum vitae may be included.

## **8 Rejection of the Habilitation Thesis**

If the committee rejects the habilitation thesis as failing grade in writing, the dean informs the habilitation candidate about the rejection by registered letter.

The habilitation candidate shall be given the opportunity to comment in writing on the rejection of the habilitation thesis or to withdraw the application for habilitation. At the express request of the habilitation candidate, the committee will hold an oral hearing.

If the habilitation candidate withdraws the habilitation application, the dean writes off the habilitation procedure as irrelevant. If the habilitation candidate maintains the application for habilitation, the

committee prepares an expert opinion and submits a proposal to the Faculty Assembly to reject the application. If the habilitation candidate has written a statement, the committee will take this appropriately into account in its proposal. The statement is to be attached to the documents for the attention of the Faculty Assembly.

### **9 Notification of the Topic for the Job Talk**

In accordance with § 20 of the habilitation regulations, the Faculty Assembly selects the topic of the test talk at the same meeting at which it approves the committee's application for recognition of the written habilitation performance and for continuation of the procedure. Following the meeting, the management of the Office of the Dean informs the habilitation candidate about the resolution via e-mail and assigns the topic of the job talk at least three and not earlier than four weeks before the date via e-mail.

### **10 Participation in Job Talks of Other Habilitations Candidates**

According to § 21 para. 2 of the habilitation regulations, the habilitation candidates have the right to attend the job talks and colloquia as audience members. The Office of the Dean informs the habilitation candidates regularly via e-mail about the dates and topics of the planned job talks.

Habilitation candidates are not admitted during the Faculty Assembly debate.

### **11 Title and Habilitation Certificate**

The title of privatdozent may only be used after the Extended Executive Board of the University has granted the *venia legendi*. The General Secretariat sends the privatdozent a corresponding notification together with the habilitation certificate by mail to the private address.

### **12 Publication of the Habilitation Thesis**

If not already published as a whole or in parts, the habilitation thesis must be published via the repository assigned by UZH after the awarding of the *venia legendi*. For further information on the procedure in this regard, please refer to the corresponding website: <https://www.zora.uzh.ch/>

### **13 Entry into Force**

This fact sheet comes into force on 15 April 2021 and replaces the fact sheet on the habilitation procedure at the Faculty of Arts and Social Sciences of the University of Zurich dated 1 December 2017, which will be repealed on the same date.

### **14 Changes to this Fact Sheet**

The Faculty Council is responsible for changes to the content of this fact sheet.