

# PhD Holders' Academic Promotion Guidelines at GIU

## Executive Summary

This document gives detailed guidelines about the procedures for promoting PhD holders from a Lecturer position to an Associate Professor position, from a Lecturer Position to a Full Professor position, and from an Associate Professor position to a Full Professor position. The process of promotion is a two-step procedure involving quantitative and qualitative criteria to measure the performance of PhD holders in research, in teaching and in university management affairs. Its implementation spans some period of time. For reasons of transparency, this document is to be communicated to the whole academic body of the GIU and is to be published on the GIU Web pages.

GIU is a **German** Research University committed to the Humboldt principle of excellence by the “integration of research and teaching”. As it is located in Egypt, it follows the Egyptian law No. 101 regarding the establishment of private universities in Egypt, as well as the Presidential Decree No. 335 (1996) and No 27 (2002) for establishment of the GIU. Accordingly, the GIU vision is to be a leading Higher Education Institution nationally and on the international level providing excellence in research and in teaching. Moreover, it would like to provide smart and focused technology transfer in many of its disciplines, such as pharmacy and biotechnologies, management technology, engineering and material sciences, media engineering technologies, information engineering and technology, applied sciences and arts, civil engineering, and architecture and urban planning. GIU is driven to excellence by the cooperation of its academics, administration staff and students in adequate facilities (campus, buildings, laboratories). As GIU is a German Research University, the processes implemented for PhD holders' promotions are in line with the 355/1996 bylaws.

Capacity building of academic human resources at GIU is one of its main missions and responsibilities. Therefore, academic promotion of its best talents is one of its major concerns. However, **this promotion is independent of the individual contract and does not have any financial impact.** Furthermore, it does not lead automatically to the occupation of vacant higher academic positions, which are regularly filled by open advertisement and competition. Thus, every PhD holder who wishes to be promoted should contribute to the visions above. His/her contributions to excellence in research and teaching are measured by various indicators. In artistic subjects such as applied arts and design and architecture, a PhD is not a prerequisite for an appointment as professor in the German university system, and thus also not in the GIU. Here alternatively, the proof of outstanding artistic work is required by a sub-commission of experts.

In order to implement an objective system, which can be applied for all PhD holders and artistic staff, GIU distinguishes between the measures for research, teaching, and on-campus

activities. The output indicators to be measured for research are: (1) Publications in refereed journals and proceedings and monographs, with high impact factor and resulting in a specified h-index. (2) supervision of PhD students, (3) supervision of MEng/MSc and MBA theses, and finally (4) acquisition of research funds/grants for GIU and/or to organize conferences and workshops at the university. These indicators are complemented by the candidate's teaching performance. (5) In the artistic subjects, the evaluation for (1) is alternatively based on: internationally recognized design awards, competition awards, curated competitions and exhibitions, participation in exhibitions in museums, recognised galleries and art galleries with publication of the works in monographs, catalogues or collective works. Moreover, outstanding work in practice with companies or from independent work might be recognized as well. Moreover, the candidate must be involved in management affairs of his/her faculty to further develop GIU. Nowadays, the scientific communities of all research fields and technologies are organized by academic networks around the globe. In order to get international team-working skills, every scientist at GIU, who is interested to become promoted is encouraged to spend some time abroad, in a well-acknowledged international university.

The following steps for the promotion of PhD Holders are implemented:

- (1) First of all, a position for the promotion must be available, and has been approved by the Board of Trustees. This position might be a result of the development plan of a faculty, or is vacant some time, or is the result of an overall sustainable GIU Structure and Development Plan.
- (2) The applicant submits his/her Promotion Booklet or Promotion Kit to the GIU Human Resources Department.
- (3) The HR Department reviews completeness of files and eligibility according to the criteria of excellent scientific performance in research, in teaching and in on-campus activities. If all criteria match the GIU requirements for academic promotion, the Promotion Booklet is given to the Academic Promotion Committee. If something is missing, the process is paused, and the candidate will be informed.
- (4) The Academic Promotion Committee (APC) is a university committee directly reporting to the Board of Trustees – it is chaired by the BoT chairman. It will meet at least six times per year. The APC is processing in detail all aspects of the candidate's performance in research, teaching and on-campus activities. Members of the APC are: Members of the Academic Founding Committee, the university president, the dean of the postgraduate faculty, and the head of the HR. In order to validate excellence in research for each candidate's specialization, a sub-committee of APC can be established for recommendation of external examiners and for assisting in the evaluation of incoming requests about the candidate. The members of this sub-committee should be: Some members of the APC, and maybe the Founding Dean of the candidate's faculty, and two esteemed external (national/international) professors of his/her discipline. The APC committee will check all the documents of the individual candidate for completeness and eligibility, in particular the candidate's future plan at GIU, the appropriate Journals of the discipline as proposed by the faculty, the HR statements with regard to this

promotion, the student's evaluation and the recommendation letter of the dean and/or the Department Head, respectively. If all submitted files meet the expected format, the indicators for performance in research, for teaching and for administrative activities are derived/evaluated. If all indicators are meeting the GIU thresholds, the APC will recommend further steps of promotion. If some indicators are not (yet) fulfilled, the process is stopped here and the university president will inform the candidate about the result.

(5) He/she will be invited to give a brief teaching excerpt and a scientific presentation in front of the APC members (Open Meeting). Afterwards an interview with the APC members in a closed meeting will take place.

(6) Supposing the candidate is eligible by all GIU measures external assessments are requested to approve the eligibility based on the international standards of promotion.

(7) If these assessments are positive and all other criteria are fulfilled, the APC will draft a "Resume for Academic Promotion" to be submitted to the University Council (UC), for making a statement. Just in case of critical remarks by the UC, the university president should write a comprehensive report addressing the reasons, and submit it back to the APC. This report has to be balanced with comments of the candidate concerned, who is asked for her/his statement after two weeks of the UC critical remarks. If the reasoning of the UC is not convincing, the APC has the right, after re-examing all facts by the APC and its corresponding sub-committee, to submit the dossier directly to the GIU Board of Trustees for comprehensive judgement and final approval.

(8) After the positive statement of the UC, the proposal is submitted to the GIU Board of Trustees (BoT) for final approval.

(9) Right after the positive approval by the GIU BoT, the GIU President will inform the candidate about the final decision.

(10) The Chairman of the BoT will invite the candidate for a meeting and will execute the academic promotion.

### **Side Notes:**

Only appointed academic staff at GIU is eligible for academic promotion.

If a first application for academic promotion has been denied for some reasons, a second application can only be submitted after 12 months of the denial, at the earliest point in time.

As an orientation, the process of academic promotion should on average **be concluded within 6 to 9 months.**

The Hirsch Index (h-index) is an author-level metric attempting to measure both, the productivity and citation impact of the publications of a scientist and a scholar. It is based on the set of the scientist's most cited papers and the number of citations that they have received in other publications. A scholar has a h-index "h" if h of her/his total publications N have been cited h times.

## Introduction

The German International University (GIU) is a **German** Research University committed to the Humboldt principle of excellence by the “integration of research and teaching” – the driving force of all research universities in Germany. As the GIU is located in Egypt, it follows the Egyptian law No. 101 regarding the establishment of private universities in Egypt, as well as the Presidential Decree No. 335 (1996) and No. 27 (2002) for establishment of the GIU. Furthermore, it has implemented the study regulations of the Universities of Ulm and Stuttgart, and especially the Presidential Decree 219 (2002) regarding the executive provisions (bylaws) for law No. 101 (1992). Accordingly, the GIU vision is to be a leading Higher Education Institution in Egypt and on the international level providing excellence in research and in teaching. Moreover, it aims to provide smart and focused technology transfer in many of its disciplines, such as pharmacy and biotechnologies, business administration, engineering and material sciences, media engineering technologies, applied arts and design, civil engineering, and architecture and urban planning. GIU is driven to excellence by the cooperation of its academics, administration staff and students in adequate facilities (campus, buildings, and laboratories). As the GIU is a German Research University, the processes implemented for PhD holders’ promotions are in line with the 355/1996 bylaws.

Capacity building of academic human resources at GIU is one of its main missions and responsibilities. Therefore, academic promotion of its best talents is one of its major concerns. However, this promotion is independent of the individual contract and does not have any financial impact. Thus, every PhD holder who wishes to be promoted should show substantial contributions to the GIU vision. His/her local impact on excellence in research and teaching is evaluated according to various indicators. In artistic subjects such as applied arts and design and architecture, a PhD is not a prerequisite for an appointment as professor in the German university system, and thus also not in the GIU. Here alternatively, the proof of outstanding artistic work is required, by a sub-commission of experts.

In order to implement an objective system, which can be applied for all PhD holders and artistic academic staff, GIU distinguishes between the measures for research, teaching, and on-campus activities. The output indicators to be measured for research are: (1) Publications in refereed journals and proceedings and monographs, with high impact factor and resulting in a specified h-index. (2) supervision of PhD students, (3) supervision of MEng/MSc and MBA theses, and finally (4) acquisition of research funds/grants for GIU and/or to organize conferences and workshops at the university. These indicators are complemented by the candidate’s teaching performance. (5) In the artistic subjects, the evaluation for (1) is alternatively based on: internationally recognized design awards, competition awards, curated competitions and exhibitions, participation in exhibitions in museums, recognized galleries and art galleries with publication of the works in monographs, catalogues or collective works. Moreover, outstanding work in practice with companies or from independent work might be

recognized as well. Moreover, the candidate must be involved in management affairs of his/her faculty to further develop GIU.

Nowadays, the scientific communities of all research fields and technologies are academic networks around the globe. In order to get international team-working skills, every scientist at GIU, who is interested to become promoted is encouraged to spend some time abroad, in a well-acknowledged international university. This would also have impact on one of the main requirements for promotion at the GIU to set-up his/her own “school of young scientists”, and this means to establish a team from amongst Post Docs, PhD students and Master’s students and to be the team leader.

A significant part of the promotion resume at GIU is an external international evaluation of research and professional contributions by leaders in the scholar’s discipline. It would be helpful if the external reviewers would address in some detail the significance, originality, and impact of the scholar’s research and published work; his standing among scholars, and impact of his/her scientific leadership; his/her overall contributions to the national and international scientific enterprise, and his continued potential as a productive and creative scholar. Those candid comments will become part of the resume that is thoroughly reviewed at various university levels before final action is taken. However, the external international reviewers should not comment on whether a GIU scholar should or should not be promoted at GIU or any other institution, as GIU cannot provide the external reviewers with sufficient information to make an informed assessment of his/her teaching and service to the university.

The indicators of research are complemented by the candidate’s performance in teaching, which is continuously assessed by both GIU students and the administration. A scholar, who wants to be promoted, should have received always positive teaching evaluation for at least of two-thirds of his appointment period at GIU, i.e. the evaluation must be above the average threshold of all scholars in his/her discipline. This information has to be delivered by the HR Department and the study dean(s) for a critical and objective recommendation.

Moreover, the candidate must be involved in management affairs of his/her faculty to further develop GIU. Those activities have to be reflected by the relevant parties of the corresponding faculty.

## **Criteria for the Promotion at GIU**

In order to measure the scholar’s performance with regard to research, teaching and further on-campus activities a system of measures/indicators is established and calibrated. According to the types of promotion, that means, from a lecturer level to Associate Professor and from Associate Professor to Full Professor level those measures become more and more challenging. In rare cases there might be an option to promote directly from Lecturer level to the Full Professor level.

### **Indicators for Research at GIU**

As stated earlier, the performance of a GIU scholar should be objectively measured by: (1) Publications in refereed journals, proceedings and monographs, (2) supervision of PhD students, (3) supervision of MEng/MSc and MBA theses, supervision of BSc theses, and finally (4) the acquisition of research funds/grants for GIU, applying for and being successful in patents, and/or organizing conferences and workshops at GIU.

GIU is aware of the scientific citation indices (h-Index etc.) for academic promotion. The h-index is the impact factor or “footprint” of a scholar (f/m) to measure her/his reputation with regard to the publications output, based on citations of her/his monographs, articles and papers. GIU introduces different minimum h-indices, depending on the level of academic promotion.

### From Lecturer to Associate Professor Level

*A) Publications:* The impact of a scholar in social sciences, in basic sciences, in pharmaceutical and biotechnological sciences, and in engineering at national and international levels is measured by publications in refereed journals and refereed proceedings. Therefore, a system is implemented to evaluate this impact and to consider the “team-building capability” within GIU. To fulfill the publication criteria, the number of publications required is at least 7, from which one must be a single-authored and the remaining 6 might be co-authored with 2 or more authors. In order to maintain high standards in research, only outstanding publications will be considered. These publications, which are published in refereed journals, proceedings and monographs with high impact factor, are weighted for internal assessment: A paper with 3 authors is allocated the “unit weight 1”, a paper with 2 authors will have “weight 3/2” and the single-authored paper will “weight 3”. If there are more authors than 3, weight fractions can be computed: 3/4, 3/5, etc. A publication may be considered as a single-authored, if it is performed by one author or more than one author from different disciplines, and provided that it can be proven and demonstrated by the overall path of research, that this publication is in direct relation with her/his research profile. Without contradicting the minimum number of published articles, an overall score of 9 must be achieved in the research field. **Therefore, the minimum overall weight criterion to fulfill is 9.** In order to align academic staff at GIU with international standards a **minimum h-index of 5** (Google Scholar) has to be fulfilled. For artistic academic staff the APC Sub-committee will make a recommendation.

*B) Supervision:* To demonstrate his/her team-building capabilities and leadership and to contribute to the GIU vision to grow with specifically educated academic personnel at least 1 PhD student (weight 3) has to be supervised within a minimum of 3 years and a maximum of 5 years. Besides, at least 3 MSc or 3 MBA theses have to be supervised as well; during the same time period (1 MSc or MBA thesis has weight 1). In this way a “GIU tree” of specifically educated academic personnel can be established, which is necessary to maintain and extend the number of Technical and Research Assistants and to meet fluctuation measures. **The minimum overall weight criterion to fulfill for this section is 6.**

*C) Professional Activities:* The performance of attracting Funded Research projects, the organization of workshops, symposia and congresses as well as extra achievements, such as



scientific awards, patents and the provision of tools or prototypes, is measured leading to additional scores.

Every funded research project – no matter being a Principal Investigator (PI) or Co-PI - with value of USD <100.000 will get weight 1, the volume between USD 100.000 and <300.000 will be weighted 2, the budget between USD 300.000 and <500.000 will be weighted 3 and finally budgets of USD 500.000 and higher will weigh 5. GIU expects from its scholars, who wish to be promoted Associate Professor, at least 1 funded research project with weight 1 within 12 month, as minimum requirement.

In order to demonstrate his/her impact on the national and international community he/she should have organized workshops, symposia and congresses. A workshop with <100 participants will be weighted 1, a symposium between 100 and 200 participants will be weighted 2 and a congress with > 200 participants with weight 3. In the three year time period, after being first appointed at GIU, at least 1 workshop should have been organized at GIU.

The extra achievement category comprises successfully granted patents (weight 5), awards (internationally weight with 2, national with weight 1, local with weight 0.5) and providing service to the community by tools and prototypes (weight 1). Those activities have to be listed as a potential substitute to compensate other measures given above. **The overall weight criterion of section C is 3.**

**In summary, the score of indicators to be considered as an eligible candidate to continue with the process of promotion for Associate Professor at GIU is 18.** However, the score of each sector has to be satisfied individually.

### **From Associate to Full Professor Level**

*A) Publications:* The impact of a senior scholar in social sciences, in basic sciences, in pharmaceutical and biotechnical sciences, and in engineering at national and international level is measured by publications in refereed journals and refereed proceedings. Therefore, a system is implemented to evaluate this impact and to consider the “team-building capability” within GIU. To fulfill the publication criteria the number of publications required is at least 10, from which three, at least, must be single-authored and the remaining 7 might be co- authored, published with 2 or more authors. In order to maintain high standards in research only outstanding publications will be considered. These publications, which are published in refereed journals, proceedings and monographs with high impact factor, are weighted for internal assessment: A paper with 3 authors is allocated the “unit weight 1”, a paper with 2 authors will have “weight 3/2” and the single-authored paper will have “weight 3”. If there are more authors than 3, weight fractions can be computed: 3/4, 3/5, etc. A publication may be considered as a single authored, if it is performed by one author or more than one author from different disciplines, and provided that it can be proven and demonstrated by the overall path of research that this publication is in direct relation with her/his research profile. Without contradicting the minimum number of published articles, an overall score of 16 must be achieved in the research field. **Therefore, the minimum overall weight criterion to fulfill is**

**16.** In order to align academic staff at GIU with international standards a **minimum h-index**

of 12 (Google Scholar) has to be fulfilled. For artistic academic staff the APC Subcommittee will make a suitable recommendation.

*B) Supervision:* To demonstrate his/her team-building capabilities and leadership and to contribute to the GIU vision to grow with specifically educated academic personnel at least 3 PhD students (weight 3) have to be supervised within a minimum of 3 years and maximum of 8 years. Besides, at least 5 MSc or 5 MBA theses have to be supervised as well; within the same time period (1 MSc or MBA thesis has weight 1). In this way a “GIU tree” of specifically educated academic personnel can be established, which is necessary to maintain and extend the number of Technical and Research Assistants and to meet fluctuation measures. **The minimum overall weight criterion to fulfill this section is 14.**

*C) Professional Activities:* The performance of attracting Funded Research projects, the organization of workshops, symposia and congresses as well as extra achievements, such as scientific awards, patents and the provision of tools or prototypes, is measured leading to additional scores.

Every funded research project – no matter being a Principal Investigator (PI) or Co-PI - with value of USD <100.000 will get weight 1, the budget between USD 100.000 and <300.000 will be weighted 2, the budget between USD 300.000 and <500.000 will be weighted 3 and the budget of USD 500.000 with weight 5. GIU expects from its scholars, who wish to be promoted Full Professor, at least 3 funded research projects with at least weight 1, each within 36 month, as minimum requirement.

In order to demonstrate his/her impact on the national and international community, s/he should have organized workshops, symposia and congresses. A workshop with <100 participants will be weighted with 1, a symposium between 100 and 200 participants will be weighted 2 and a congress with > 200 participants with weight 3. In the three year time period, after the first appointment at GIU or following an earlier promotion at GIU, at least 3 workshops should have been organized at GIU.

The extra achievement category comprises successfully granted patents (weight 5), awards (internationally weighted with 2, national with weight 1, local with weight 0.5) and providing services to the community by tools and prototypes (weight 1). Those activities have to be listed as a potential substitute to compensate other measures given above. **The minimum overall weight criterion of section C is 6.**

**In summary, the number of indicators to be considered as an eligible candidate to continue with the process of promotion for Full Professor at GIU is 36. However, the score of each sector has to be satisfied individually.**

### **From Lecturer to Full Professor Level**

*A) Publications:* The impact of a senior scholar in social sciences, in basic sciences, in pharmaceutical and biotechnological sciences, and in engineering at national and international level is measured by publications in refereed journals and refereed proceedings. Therefore, a system is implemented to evaluate this impact and to consider the “team-building capability” within GIU. To fulfill the publication criteria, the numbers of publications required is at least



12, from which three, at least, must be single-authored and the remaining 9 might be co-authored with 2 or more authors. In order to maintain high standards in research, only outstanding publications will be considered. These publications, which are published in refereed journals, proceedings and monographs with high impact factor, are weighted for internal assessment: A paper with 3 authors and more is allocated the “unit weight 1”, a paper with 2 authors will have “weight  $3/2$ ” and the single-authored paper will have “weight 3”. If there are more authors than 3, weight fractions can be computed:  $3/4$ ,  $3/5$ , etc. A publication may be considered as single author, if it is performed by one author or more than one author from different disciplines, and provided that it can be proven and demonstrated by the overall path of research, that this publication is in direct relation with her/his research profile. Without contradicting the minimum number of published articles, an overall score of 18 must be achieved in the research field. **Therefore, the minimum overall weight criterion to fulfill is 18.** In order to align academic staff at GIU with international standards a **minimum h-index of 15** (Google Scholar) has to be fulfilled. For artistic academic staff the APC Subcommittee will make a suitable recommendation.

*B) Supervision:* To demonstrate his/her team-building capabilities and leadership and to contribute to the GIU vision to grow with specifically educated academic personnel at least 3 PhD students (weight 3) have to be supervised within a minimum of 3 years and maximum of 8 years. Besides, at least 5 MSc or 5 MBA theses have to be supervised as well; during the same time period (1 MSc or MBA thesis has weight 1). In this way a “GIU tree” of specifically educated academic personnel can be established, which is necessary to maintain and extend the number of Technical and Research Assistants and to meet fluctuation measures. **The minimum overall weight criterion to fulfill for this section is 14.**

*C) Professional Activities:* The performance of attracting Funded Research projects, the organization of workshops, symposia and congresses as well as extra achievements, such as scientific awards, patents and the provision of tools or prototypes, is measured leading to additional scores.

Every funded research project – no matter being a Principal Investigator (PI) or Co-PI - with value of USD <100.000 will get weight 1, the budget between USD 100.000 and <300.000 will be weighted 2, the budget between USD 300.000 and <500.000 will be weighted 3 and the budget of USD 500.000 with weight 5. GIU expects from its scholars, who wish to be promoted Full Professor, at least 3 funded research projects with at least weight 1, each within 36 month, as minimum requirement.

In order to demonstrate his/her impact on the national and international community he/she should have organized workshops, symposia and congresses. A workshop with <100 participants will be weighted with 1, a symposium between 100 and 200 participants will be weighted 2 and a congress with > 200 participants with weight 3. In the three years time period, after the first appointment at GIU or following an earlier promotion at GIU, at least 3 workshops should have been organized at GIU.

The extra achievement category comprises successfully granted patents (weight 5), awards (internationally weighted with 2, national with weight 1, local with weight 0.5) and providing

services to the community by tools and prototypes (weight 1). Those activities have to be listed as a potential substitute to compensate other measures given above. **The minimum overall weight criterion for section C is 6.**

**In summary, the number of indicators to be considered as an eligible candidate to continue with the process of promotion for Full Professor at GIU is 38. However, the score of each sector has to be satisfied individually.**

#### **Side Notes for all three processes of academic promotion:**

Special consideration should be given for those candidates who have teaching overloads, which might have an impact on her/his research activities. If she/he is a superior teacher as assessed by the students, and his/her administrative contributions to committees of the faculty and/or the university is outstanding, a balance can be made to overcome missing scores of section A.

### **Preparation for the Promotion at GIU**

In order to get promoted at GIU, the eligibility of the candidate has to be proven. Only academics with outstanding performance in research, teaching and further on-campus activities, for instance in academic self-government and/or student affairs are eligible for a promotion. As academic promotion is a very sensitive issue, not too many persons should be involved to maintain respect and privacy for every candidate.

Every PhD Holder – Lecturer or Associate Professor , who has three years practice after his PhD awarding, and who spent **at least three years after first appointment at GIU** and believes her/himself to fulfill the Criteria for Promotion at GIU is encouraged to submit a promotion booklet of his/her performance to the Head of the Human Resources Department. However, the promotion of a Lecturer to Full Professor requires at least five to eight years of practice after the date of awarding his/her PhD and being appointed at GIU.

The promotion booklet – a file or collection of files, stored also on CD/DVD – should contain specific information which can be proved in detail.

#### **The Promotion Booklet/Kit**

The following information should be included in the booklet:

1. Brief education history (max 1p A4)
2. Work experience (max 2p A4, last 3 years)
3. A research summary (visions, missions, and history record at GIU, max 3p A4)
4. A list of **refereed** articles in scientific journals and proceedings. As the scientific requirements vary from faculty to another depending on the nature of the faculty, community acknowledged arts and design work as well as as-built objects (buildings, compounds etc. in architecture) will be accepted.
5. A list of conference publications and speech invitations
6. Contributions to books, monographs (books and book chapters authored and/or edited)

7. A list of supervised PhD students at GIU (differentiated in completed and on-going supervision)
8. A list of supervised MSc/MEng/MBA students at GIU (differentiated in completed and on-going supervision)
9. History record of research grants for GIU, awards and prizes
10. A report about teaching objectives @ GIU, no longer than 2p A4.
11. A list of courses taught @ GIU with the students' evaluation for each
12. A list of supervised Bachelor theses at GIU
13. A list of Further Academic Activities @GIU (academic self-government within GIU, record of services done at GIU and its bodies/committees)
14. For candidates who have been previously promoted, a short report of less than a page with emphasis on the work done since last promotion
15. An updated CV

## Implementation of the Academic Promotion at GIU

The following steps for the promotion of PhD Holders are implemented:

- (1) First of all, a position for the promotion must be available, and has been approved by the Board of Trustees. This position might be a result of the development plan of a faculty, or is vacant for some time, or is the result of an overall sustainable GIU Structure and Development Plan.
- (2) The applicant submits his/her Promotion Booklet or Promotion Kit to the GIU Human Resources Department (in soft and hard copy format), for review of completeness.
- (3) The HR Department reviews the completeness of the Promotion Kit and the eligibility according to the criteria of excellent scientific performance in research, teaching and on-campus activities. If all criteria match the GIU requirements for academic promotion the Promotion Booklet is given to the Academic Promotion Committee. If something is missing, the process is paused until all files are available.
- (4) The Academic Promotion Committee (APC) is a university committee directly reporting to the Board of Trustees – it is chaired by the BoT chairman. It will meet at least six times per year. The APC is processing in detail all aspects of the candidate's performance in research, in teaching and in on-campus activities. Members of the APC are: Members of the Academic Founding Committee, the university president, the dean of the postgraduate faculty, and the head of HR. In order to validate excellence in research for each candidate's specialization, a sub-committee of APC can be established for recommendation of external examiners and for assisting in the evaluation of incoming requests about the candidate. The members of this sub-committee should be: Some members of the APC, maybe the Founding Dean of the candidate's faculty, and two esteemed external (national/international) professors of his/her discipline. The APC committee will check all the documents of the individual candidate for completeness and eligibility, in particular the candidate's future plan at GIU, the appropriate Journals of the discipline as proposed by the faculty, the HR statements with regard to this promotion, the student's evaluation and the recommendation letter of the dean and/or the

Department Head, respectively. If all submitted files meet the expected format, the indicators for performance in research, in teaching and in administrative activities are derived. If all indicators are meeting the GIU thresholds, the APC will recommend further steps of promotion. If some indicators are not (yet) fulfilled, the process is stopped here and the university president will inform the candidate about the result. All processing at this level is strictly confidential and the members of APC and its corresponding sub-committees are working under Non-Disclosure Agreements (NDAs).

(5) In case of positive decision of the APC, the candidate will be invited to give a brief teaching excerpt and a scientific presentation in front of the APC members (Open Meeting). Afterwards an interview with the APC members in a closed meeting will take place.

(6) Supposing the candidate is eligible by all GIU measures, external assessments are requested to approve the eligibility based on international standards of promotion.

(7) If these assessments are positive and all other criteria are fulfilled, the APC will draft a “Resume for Academic Promotion” to be submitted to the University Council (UC), for making a statement. Just in case of denial by the UC, the university president should write a comprehensive report addressing the reasons, and submit it back to the APC. This report has to be balanced with comments of the affected candidate, who is asked for her/his statement after two weeks of the UC denial. If the reasoning of the UC is not convincing, the APC has the right, after re-examing all facts by the APC and its corresponding sub-committee, to submit the dossier directly to the GIU Board of Trustees for comprehensive judgement and final approval.

(8) After the positive statement of the UC, the proposal is submitted to the GIU Board of Trustees for final decision. The BoT will discuss the Dossier for Academic Promotion in its regular meetings and will finally come to a decision

(9) Right after the positive decision (approval) by the GIU BoT, the GIU president will inform the candidate about the result.

(10) The Chairman of the GIU Board of Trustees will invite the candidate for a meeting and will execute the academic promotion.

#### **Side Notes:**

The academic promotion is not linked by any mean to any vacant higher academic position since all GIU positions are regularly occupied through open competition including external candidates.

The only scientists at GIU who can be promoted are those who have a Full Time Appointment contract.

If a first application of a PhD Holder for Academic Promotion at GIU has been denied for some reasons, a second application can only be submitted after 12 months of the denial, at the earliest point in time.

As an orientation, the process of academic promotion should on average **be concluded within 6 to 9 month.**

## Conclusions

With the guidelines above, GIU provides a transparent pipeline of regulations, assessments and approvals. It is a 10-step procedure that is in keeping with the high standards for PhD holders' promotion both in Germany and abroad. Every PhD holder at GIU, who believes in his/her performance, is encouraged to submit his/her promotion kit to start this transparent and objective process.

As per the GIU Public Records, all documents related to promotion, including letters of evaluation, are public records subject to lawful requests to the university for viewing and/or copying. While we cannot promise full confidentiality, these documents are rarely requested.