

KYAMBOGO UNIVERSITY

APPROVED CRITERIA AND GUIDELINES FOR THE APPOINTMENT AND PROMOTION OF ACADEMIC STAFF

*Approved by Council at its 90th meeting held on
15th October 2021*

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ABBREVIATIONS/ ACRONYMNS

DHR	Director of Human Resources
DVC (AA)	Deputy Vice Chancellor - Academic Affairs
NCHE	National Council for Higher Education
OA	Open Access
UL	University Librarian
UNESCO	United Nations Educational and Scientific Organisation
UOTIA	The Universities and Other Tertiary Institutions Act (2001, as amended).

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1.0 PREAMBLE

Kyambogo University was established in 2003 by the Universities and Other Tertiary Institutions Act (2001 as amended), Instrument No. 37.

Kyambogo University Strategic Direction

This includes the Vision, Mission, Motto and Core values of the University.

Vision

“To be a Centre of Academic and Professional Excellence.”

Mission

“To advance and promote knowledge and development of skills in science, technology and Education and such other fields having regard to quality, equity, progress and transformation of society.”

Motto

“Knowledge and Skills for Service”

Core Values

- i. **Quality:** Ensuring high quality of output and service delivery.
- ii. **Equity:** Ensuring equal opportunity for all in all its programmes.
- iii. **Integrity:** Promotion of a high sense of moral and ethical standards in all its dealings with stakeholders and the public.
- iv. **Professionalism:** Professionalism is to be observed in all dealings and execution of the University’s mandate.

- iv. **Inclusiveness:** support to diversity and inclusiveness.

Introduction

During the last decade, Kyambogo University has significantly improved its infrastructure, and currently working hard to change its internal processes to make it a world class University. The University has reviewed its governance structure and increased its focus on research by devoting more funds to research and building research capacity of its staff. In improving its first focus area

(Teaching and Learning), one area that has engaged the attention of Management is the recruitment and promotion of quality Academic Staff from the lowest position to Professor.

“The quality of Academic staff is key to the quality of a University ...Universities are supposed to be centres of research, academic excellence, scholarship, knowledge generation and publications. Institutional auditors shall assess the quality of research and knowledge creation of a given Institution” (NCHE Quality Assurance Framework for Universities, 2014, p16-17).

Academic staff contribute to the total output of the University in diverse ways, principally through teaching, research and creative activities, publications, administration and leadership in the University, professional practice, service to the community and extension. The methods used to assess applicants by the University across the board must be fair, transparent and equitable to facilitate the appointment and promotion of staff on merit.

At the request of Appointments Board meetings held on 17th and 18th January, 2017, and reiterated by the 61st Senate meeting held on 17th July 2018 and by the Appointments Board meeting held on 9th August 2019, the Vice Chancellor set up a committee chaired by the DVC-AA to propose appropriate guidelines for the appointment and promotion of academic staff for consideration by the University Appointments Board and University Council.

Objectives of the Guidelines

The general objective of these guidelines is to provide comprehensive criteria for establishing the academic merit of publications or creative works submitted for academic appointment, promotion, scholarship and any other academic purposes of the University.

Specifically, the criteria set in these guidelines are meant to:

- i) Guide Appointments and Promotions Committees to make sound and objective assessments of publications and/or creative works presented by academic staff for appointment or promotion.

- ii) Guide Appointments and Promotions Committees to scrutinize publications or creative works that are published in credible peer-reviewed journals from those that are published in predatory journals and books.
- iii) To create awareness among staff members of the University on the challenges posed by the currently mushrooming unethical publications' industry/publishers and to alert them to avoid publishing their scholarly works in predatory journals and/or books.
- iv) To guide the University Appointments Board in making appropriate decisions on appointment and promotion of Academic Staff.
- v) To ensure an effective and efficient appointment and promotion process which is fair, equitable, professional and timely enabling Kyambogo University to attract, retain and motivate quality academic staff.
- vi) To enable academic staff to apply for appointment or promotion by providing appropriate information based on the criteria against which appointment and/or promotion is considered.

The criteria shall apply to all Academic staff seeking appointment or promotion to the position of Assistant Lecturer, Senior Lecturer, Associate Professor and Professor (or equivalent for Library staff and Technicians).

2.0 TERMS AND DEFINITIONS

In this criteria, the following words, phrases or terms will have the meaning shown against them; for other definitions, please refer to Kyambogo University Human Resources Manual:

Academic Staff:

According to the Universities and Other Tertiary Institutions Act (2006 as amended), “**Academic Staff**” shall consist of

- (a) Deans of Faculties or Schools;
- (b) The Directors of Institutes, College or other academic bodies;
- (c) Professors, Associate Professors, Senior Lecturers, lecturers and Assistant Lecturers appointed on a full-time basis for teaching and research;
- (d) University Librarian and other library staff designated as academic members of staff; and
- (e) Such other persons as the University Council may designate, academic members of staff.

Book:

“A book” is a relatively lengthy scholarly work, often on a single topic and may be print or electronic. It should be peer reviewed, with an ISBN and published by a reputable publisher.

UNESCO defines a book as a non-periodical literary publication consisting of 49 or more pages, excluding covers.

Source: www.unesco.org (retrieved 29th September 2019).

Book Chapter:

“A book chapter” is one of the main divisions of a book.

Handbook:

A handbook is a book giving information such as facts on a particular subject. This therefore does not contain original scholarly work; hence, not used for academic promotion.

Journal:

A periodical devoted to disseminating original research on current developments within a specific discipline, sub-discipline or field of study, usually published in annual, biannual,

quarterly, bimonthly or monthly issues and sold by subscription or in case of open access journals freely available. Scholarly journals are peer-reviewed.

Source: <http://vlado.fmf.uni-lj.si/pub/networks/data/dic/odlis/odlis.pdf> (Retrieved on 29th September 2019)

Journal article:

“A journal article “refers to a scholarly article written by academics or professionals in particular field of study based on original research or analysis that the author(s) did. The research includes experimental work, observational studies, case studies, critical reviews, meta-analysis and theoretical work. An abstract usually precedes the text of the article, summarizing its content.

Journal articles include references and/or a bibliography at the end.

Open access (OA):

“Open access “is defined as freely available publication on the public internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, crawl them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself. The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors control over the integrity of their work and the right to be properly acknowledged and cited.

Source: <https://en.unesco.org/open-access/what-open-access> (Retrieved on 29th September 2019)

Gold open access:

“Gold OA” requires authors to pay publication fees thereafter making the final version of an article freely and permanently accessible for everyone, immediately after publication. Copyright for the article is retained by the authors and most of the permission barriers are removed. Gold OA articles can be published either in fully OA journals (where all the content is published OA) or hybrid journals (a subscription-based journal that offers an OA option which authors can chose if they wish)

Source: <https://www.springer.com/gp/authors-editors/authorandreviewertutorials/open-access/what-is-open-access/10286522> (Retrieved on 29th September 2019)

Green open access:

“Green open access” does not require authors to pay publication fees and involves publishing in a traditional subscription journal as usual, but articles are also 'self-archived' in a repository (institutional or external subject-based repository) and usually made available after an embargo period set by the publisher.

Source: <https://www.jisc.ac.uk/guides/an-introduction-to-open-access> (Retrieved on 29th September 2019)

Green OA, also referred to as self-archiving, is the practice of placing a version of an author’s manuscript into a repository, making it freely accessible for everyone. The version that can be deposited into a repository is dependent on the funder or publisher. Unlike Gold OA, the copyright for these articles usually remains with the publisher of, or the society/institution affiliated with, and there are restrictions as to how the work can be reused. There are individual self-archiving policies by journals or publishers that determine the terms and conditions e.g. which article version may be used and when the article can be made openly accessible in the repository (also called an embargo period).

Source: <https://www.springer.com/gp/authors-editors/authorandreviewertutorials/open-access/what-is-open-access/10286522> (Retrieved on 29th September 2019)

Peer -Review:

“Peer- review” refers to an independent process that involves an assessment or review of a publication in its entirety by independent, qualified experts before it is published. Independent in this context means independent of the author or authors. Peer review is relevant for journal activities, book chapters, text books and conference papers. It is a system assuring the academic quality of publications in which case manuscripts are submitted to an editor who then passes the

work to other professionals or “peers” for a critique upon which the work is then passed back to the original writer for any required changes to be made before being published, or to be rejected. Peer review helps to ensure the quality of an information source by publishing only works of proven validity, methodology and quality. Peer-reviewed journals or books are also called refereed or scholarly journals/books."

Peer reviewed publication: Is a scholarly journal/book that requires an article/chapter to be submitted to a process of critical evaluation by one or more experts on the subject, known as referees, responsible for determining if the subject of the article/chapter falls within the scope of the publication, and for evaluating originality, quality of research, clarity of presentation, etc. Changes may be suggested to the author(s) before an article is finally accepted for publication.

Source: <http://vlado.fmf.uni-lj.si/pub/networks/data/dic/odlis/odlis.pdf> (Retrieved on 29th September 2019)

Plagiarism:

“Plagiarism” is the act of academic dishonesty in which the author copies an idea, text, data or other creative work by presenting it as original result of own research work, without proper citation. From the Latin *plagiarius* meaning "kidnapper." Copying or closely imitating the work of another or same writer or composer with the intention of passing the results off as original work.

Source: <http://vlado.fmf.uni-lj.si/pub/networks/data/dic/odlis/odlis.pdf> (Retrieved on 29th September 2019)

Predatory Journal/Publisher:

A journal/publisher that actively solicits manuscripts and charges publication fees without providing robust peer review and traditional editorial process.

Source: <https://www.elsevier.com/connect/predatory-vs-trustworthy-journals-what-do-they-mean-for-the-integrity-of-science>. See section 4.2.2.1 – Indicators of good quality publications.

NB. For a list of some predatory journals see: <https://predatoryjournals.com/journals/> and <https://predatoryjournals.com/publishers/> for predatory publishers. (Retrieved on 29th September 2019)

Reputable journals / publications:

Also referred to as credible, if the journal is open access, it will be listed in the Directory of Open Access Journals (DOAJ), if the book is open access, it will be listed in the Directory of Open Access Books (DOAB). For journals that are not open access as well as those that are open access, the attributes are highlighted in section 4.2 of this criteria.

Publication:

“Publication” refers to any material (book, book chapter, journal, journal article) that has gone through the rigorous publication process (peer review, ISBN or ISSN etc.) which differentiates it from a printed document.

Patent:

“A patent” is a set of exclusive rights granted by a state to an inventor for a limited period of time in exchange for detailed public disclosure of the invention. An invention is a solution to a specific problem and is a product or a process. To have been included in this category, the creative work must have met **one** of the following requirements:

- a) Substantial creative or scholarly works which are separately bound/ repackaged and offered for sale or distribution under the imprint of a recognized commercial press or publisher, or to be recorded for commercial distribution the recording can be in any media such as CD, video, worldwide web, but must be commercially distributed by an entity whose core business is producing creative recordings and distributing them for sale. For this purpose, University and other self-supporting higher education institution processes are regarded as commercial publishers, provided that they have responsibility for the distribution of the publication and not only its printing.

OR

- b) Curated exhibitions of substantial collections of original works by an individual artist exhibited for the first time in a recognized gallery or museum. These must

be accompanied by published catalogue identifying the individual works and the timing and location of exhibition.

Includes:

- i) A product or process for which a full patent has been granted

Excludes:

- ii) Provisional patents.

3.0 PROPOSED GUIDELINES AND PROCEDURES FOR APPOINTMENT AND PROMOTION OF ACADEMIC STAFF

3.1 Introduction

Teaching, Research and Community engagement are central to the mission and vision of Kyambogo University. Therefore, it is expected that staff members of the University commit themselves to effective teaching and scholarship, constantly striving to expand and communicate their knowledge, ideas and understanding for the benefit of society.

Research is an important component of staff responsibility at the University. Staff members are expected to actively do research in pursuit of creating new knowledge to enhance the understanding of their areas of expertise. Academic staff are, therefore, expected to disseminate their new findings and knowledge through peer - reviewed publications and/or creative works.

Academic appointments and promotions are based on merit. They are never automatic. In general, academic appointments and promotions are made to recognise the level of staff members' contributions to the mission of the University in Teaching and supervision of students, Research and Community Engagement. Research and publications must be evidenced by vetted credible publications and/or creative research works.

The proposed appointments and promotions guidelines aim at enabling the University to develop and recognise the best academic talents available so that the University will be in a position to:

- a) Ensure that holders of academic posts have appropriate expertise;

- b) Provide academic staff with the opportunity to advance their careers within the institution, in accordance with their own strengths and the priorities of the University as set out in the Strategic plan.

The appointments and promotions guidelines will have the following primary principles:

- i) Recognise ability and potential;
- ii) Reward excellence;
- iii) Provide professional incentive towards higher quality performance and achievement;
- iv) Foster and encourage academic staff development;
- v) Recognise contribution to knowledge, teaching and evidence to community engagement;
- vi) Support to diversity and inclusiveness;
- vii) Address conflict of interest.

3.2 Appointment of Academic staff

The steps in table 1 for applicants seeking promotion also apply to applicants seeking new appointment.

3.2.1 Cross/Inter-departmental appointments

An academic member of staff in one department shall be eligible for appointment in another department where his or her services are relevant and required. Similarly, an administrative staff who meets the eligibility criteria for appointment as an academic staff shall be considered through the relevant department.

3.2.2 Appointment of applicants from research institutions

For Kyambogo University to attract applicants involved in full time research without the opportunity of lecturing and supervising graduate students to completion, such applicants shall be required to add extra peer reviewed publications in lieu of graduate students' supervision as indicated in the table next page. The rest of the requirements remain the same. This shall only

apply to the positions of Senior Lecturer and Associate Professor. The years of research experience shall be equated to the teaching experience if they are post PhD.

Table showing the extra number of peer reviewed publications required by researchers to be appointed without graduate supervision. (next page)

Position	Ordinary: Number of new peer reviewed publications required since last promotion plus supervision of graduate students to completion	Researcher: Number of peer reviewed publications required in lieu of graduate students' supervision to completion	Total number of peer reviewed publications required by the researcher to be appointed
Senior Lecturer	Three (3)	Four (4)	Seven (7)
Associate Professor	Three (3)	Six (6)	Nine (9)

3.3 PROMOTION OF ACADEMIC STAFF

Kyambogo University currently operates one track for promotion of staff, which is the ordinary track.

According to the Human Resource Manual (2014 as amended), promotion to the next higher grade requires an employee to have demonstrated potential for further development and possess relevant experience, qualifications and attributes prescribed for the position. As a general rule, one should have served in their present position for a minimum of three (3) years. Employees are promoted to positions which are one grade higher than their current ones, and their new job titles have to be in line with Kyambogo University titles. An employee shall not be recommended for promotion while on probation. Furthermore, an employee shall not be recommended for promotion to a post more than one step up the promotion ladder.

3.3.1 Eligibility

- a) Promotion shall be sought by an academic staff when it is due depending on availability of a vacancy in the establishment.

- b) All academic staff are eligible to apply for promotion to the next level after serving the minimum required interval at the lower level
- c) Applicants for promotion are required to hold a PhD to be considered for promotion to the position of Lecturer and above.
- d) Applicants for the position of Senior lecturer and above shall have research and peer reviewed publications.
- e) Supervision to completion of graduate students in an applicant's area of specialisation (Masters and/or PhD) since last promotion as indicated in the Human Resources manual.
- f) Any academic staff seeking promotion shall have a good track record of performance for at least four semesters.
- g) Other requirements for promotion are outlined in tables 2 to 7.

3.3.2 Application Procedure

Application for promotion by eligible academic staff at the University shall follow the steps outlined in Table 1.

The applicant shall submit the following documents: Application letter, CV, certified academic certificates (in case of new applicants), peer-reviewed publications (see step 2 of Table 1), three letters of reference or performance appraisal in case of serving KyU staff and any other relevant documents as may be determined by the University from time to time.

Table 1: Steps and estimated Timelines for Applicants seeking promotion

Step	Action	Timelines	Responsible Officer
1.	At the beginning of the academic year, each department will submit, to the office of DVC(AA), a list of potential vetters specifying the area(s) of specialisation. The list will be added to the existing Veters' database as indicated in section 3.3.3 (iii) page 19.	At the beginning of academic year	Head of Department
2.	The applicant shall select the best	One week	Applicant and

	publications to submit and indicate the areas of specialisation to guide the identification of vetters. The applicant shall then submit the appropriate number of publications to the University Librarian (UL) to check for anti-plagiarism and credibility, and the report will be signed by both the UL and the applicant. The UL will send a copy of the signed report to the Director of Human Resources (DHR) and copy to DVC-AA.		University Librarian
3.	An eligible applicant shall then submit the application to the DHR through the Head of Department (HOD) and the Dean of Faculty/School. The applicant shall ensure that all necessary documents are submitted at the time of application.	- Three weeks	Eligible applicant
5	DHR receives the application with minutes from the Faculty/School and verifies the completeness of the application. Then sends a request to DVC(AA) to select three vetters from the database (see step 1 above and 'Procedure for selecting vetters' on p. 20).	One week	DHR
6	After confirming their availability, DVC (AA) sends the selected vetters to DHR.	One week	DVC (AA)
7	DHR sends the publications for vetting, publications assessment form, conflict of interest declaration form and guidelines for vetters.	One week	DHR
8	Reviewing of publications by three vetters (initially 4 weeks and extended by 2 weeks maximum).	4-6 weeks	Vetters & DHR (DHR shall budget for payment of vetters)

9	After 4 weeks, if no response, DHR sends a reminder	4 th week	DHR
10	DHR may propose to DVC (AA) the need to change vetters depending on the situation.	Two + weeks	DHR and DVC(AA)
11	DHR presents Veters' reports to Top Management for discussion and making recommendations to Appointments Board.	Four weeks	VC
12	Appointments Board discusses reports and takes decision.	Eight weeks (Two months)	AB Secretariat
13	Decision of Appointments Board presented to University Council for appropriate action.	Twelve weeks (Three months)	Chairperson AB
14	Decision of University Council communicated by US to DHR and finally to an applicant.	Two weeks	Council Secretariat and DHR
The process takes ten months+/-			

*As a guide, a returned percentage of below 15% would indicate that no serious plagiarism has occurred. However, if the 15% of matching text is one continuous block, this shall be considered as plagiarism. A high percentage, therefore, shall be anything above 25%, which will not be acceptable.

***Conflict of interest should be declared at all levels to enable a transparent and fair appointment and promotion procedure.** Given the collegiality in Departments and Faculties/School and the fact that the applications are initially discussed at those two levels, members of Appointments Board and Council from the applicant's department/Faculty should not discuss the matter again when it reaches Appointments Board and Council. This will ensure objectivity and avoid conflicting interests.

The above procedure does not apply to visiting and honorary appointees of the University.

3.3.3 Vetting of Publications

The Human Resources Manual (2014 as amended) recommends vetting of publications. Publications submitted for appointment and promotion shall, therefore, be vetted.

Applicants for Senior Lecturer position shall be assessed by vetters at the rank of Senior Lecturer and above. Applicants for Associate Professor position shall be assessed by vetters at the rank of Associate Professor and above. Applicants for Professor position shall be assessed by vetters at the rank of Professor.

Vetting shall be done independently of the applicant by appropriately qualified experts. The vetting shall cover all publications and shall focus on the following:

- a) Originality and contribution to knowledge.
- b) Consistency to the applicant's area of specialisation and relevance to the academic discipline where the applicant is being considered for promotion or appointment.
- c) Relevance and currency of the publication (for promotion, since the last promotion date and new applicants not more than five years).
- d) Publication quality (the article, book chapter or book should have been published by a reputable/credible publisher).
- e) The overall quality of the publication (summation of the scores in (a)-(d) above as indicated in the Vetting score tool.

The following considerations shall be taken care of:

- i. Veters shall be given a maximum of six (6) weeks to submit assessment reports. Initially a Vetter shall be given four (4) weeks and upon expiry a reminder shall be sent to him/her and extend the period by two weeks.
- ii. Veters shall be remunerated promptly so as to motivate them to submit reports on time. The University shall facilitate the delivery and/or picking of the report where needed.
- iii. A database of veters shall be developed in the Office of the Deputy Vice chancellor (Academic Affairs). This database shall cover all disciplines in the University. The

Head of Department in consultation with other Academic Staff will make proposals of potential vetters indicating their areas of specialisation at the beginning of every academic year (see Step 1 in Table 1). The database should be updated regularly to take care of vetters who are no longer available and add new ones among other things.

Vetting Co-Authored Publications

To recognise joint research, an applicant shall be allowed to submit co-authored publications by not more than five co-authors or where the applicant is one of the first five listed authors. For promotion to Senior lecturer, an applicant shall be the Principal/First Author of at least one article; and for the other two articles, s/he may be one of the first five co-authors. For promotion to Associate Professor, an applicant shall be the Principal/First Author of at least two articles; and for the third article, s/he may be one of the first five co-authors. For promotion to Professor, an applicant shall be the Principal/First Author of at least three articles; and for the other two articles, s/he may be one of the first five co-authors. The onus will be on the applicant to prove that s/he is a Principal Author.

Summary:

Rank	No of publications as Principal/First Author	No of publications as one of the first five listed co-authors	Total since last promotion
Senior Lecturer	one	two	three
Ass Professor	two	one	three
Professor	three	two	five

Procedure for Selecting Veters

- (i) The DVC (AA) shall appoint the External Veters from the database being guided by the specified areas of specialisation of the vetters and the applicant as indicated in Table 1. He/she may further consult the Dean and/or the HoD. External vetters shall be senior academics in a relevant field from outside Kyambogo University. This is a best practice

in most Universities to avoid conflict of interest. Each applicant for the ranks of Senior Lecturer, Associate Professor, and Professor shall be assessed by three vetters.

- (ii) The DVC (AA) shall check whether there is no conflict of interest between the applicant and any of the vetters; for example, student-supervisor, co-authors of publications being submitted with the application, project team members. The vetters shall fill a form as evidence of no conflict of interest.
- (iii) An individual shall not be eligible to serve as a Vetter until after five (5) years of disengagement from the supervision of the applicant.
- (iv) Each Vetter must have attained professional eminence in a relevant academic discipline and, depending on the position applied for, be at the rank of Senior Lecturer, Associate Professor and Professor from a recognized University.
- (v) The proposed Vetter/s must have had teaching and/or research responsibilities in a recognised University or similar institutions.
- (vi) Vettors' consent to serve shall be obtained before publications are sent to them, and they shall be paid honoraria determined by Council in a given Financial Year.

Vettors' of publications' assessment form

CONFIDENTIAL PUBLICATIONS ASSESSMENT FORM

Name of candidate: _____

Discipline and area of Specialisation: _____

Department: _____

INSTRUCTIONS

The exercise of vetting publications shall remain confidential and a Vetter should not divulge any information to the candidate.

The assessment of the publication should reflect the following:

- a) Originality and contribution to knowledge.
- b) Consistency to the applicant’s area of specialisation and relevance to the academic discipline where the applicant is being considered for promotion or appointment.
- c) Relevance and currency of the publication (for promotion, since the last promotion date and new applicants not more than five years).
- d) Publication quality (the article, book chapter or book should have been published by a reputable/credible publisher).

Overall score is a summation of (a-d) above divide by 20 and multiply by 100.

For each aspect (a) – (d) above, a grade should be given as per the grading system shown below. A score of 5 (excellent) should only be awarded when indicators in (a), (b) and (c) are highly regarded. For overall quality and score of the publication, the grade should reflect the average of numbers (a) to (d).

Scores on each dimension will be supported by relevant comments in the comments column. The performance levels shall be described as Excellent, Very Good, Good, Fair and Poor. In order to quantify the assessment, the performance levels shall be awarded scores namely: **5 = Excellent; 4 = Very Good; 3 = Good; 2 = Fair; and 1 = Poor.** Right after the table below is a detailed description of the performance levels.

Assessment	Score
Excellent	5
Very Good	4
Good	3
Average	2
Poor	1

Publication 1:

SN	Quality dimensions	Score	Comments
1	Originality and contribution to knowledge.		
2	Consistency to the applicant’s area of specialisation and		

	relevance to the academic discipline where the applicant is being considered for promotion or appointment.		
3	Relevance and currency of the publication.		
4	Publication quality (the article, book chapter or book should have been published by a reputable/credible publisher).		
	TOTAL		
	Overall score (total divided by 20 multiply by 100)		

Publication 2:

SN	Quality dimensions	Score	Comments
1	Originality and contribution to knowledge.		
2	Consistency to the applicant's area of specialisation and relevance to the academic discipline where the applicant is being considered for promotion or appointment.		
3	Relevance and currency of the publication.		
4	Publication quality (the article, book chapter or book should have been published by a reputable/credible publisher).		
	TOTAL		
	Overall score (total divided by 20 multiply by 100)		

Publication 3:

SN	Quality dimensions	Score	Comments
1	Originality and contribution to knowledge.		
2	Consistency to the applicant's area of specialisation and relevance to the academic discipline where the applicant is being considered for promotion or appointment.		
3	Relevance and currency of the publication,		
4	Publication quality (the article, book chapter or book should have been published by a reputable/credible publisher).		
	TOTAL		
	Overall score (total divided by 20 multiply by 100)		

Promotion to Professor: This requires five publications

Publication 4:

SN	Quality dimensions	Score	Comments
1	Originality and contribution to knowledge.		
2	Consistency to the applicant's area of specialisation and relevance to the academic discipline where the applicant is being considered for promotion or appointment.		

3	Relevance and currency of the publication,		
4	Publication quality (the article, book chapter or book should have been published by a reputable/credible publisher).		
	TOTAL		
	Overall score (total divided by 20 multiply by 100)		

Publication 5:

SN	Quality dimensions	Score	Comments
1	Originality and contribution to knowledge.		
2	Consistency to the applicant's area of specialisation and relevance to the academic discipline where the applicant is being considered for promotion or appointment.		
3	Relevance and currency of the publication,		
4	Publication quality (the article, book chapter or book should have been published by a reputable/credible publisher).		
	TOTAL		
	Overall score (total divided by 20 multiply by 100)		

Recommendation: (Promote/ Do not promote; Appoint/Do not appoint)

ASSESSOR'S BRIEF BIO-DATA

Assessor's name: _____

Name of Institution _____

Academic Qualifications _____

Job Title: _____

Declaration that there is no conflict of interest between the assessor and the applicant (e.g. relative, student-supervisor, co-author, project team member)

Signature _____

Please attach your current Curriculum Vitae (if not already submitted), Bank Account details and where applicable indicate Supplier Number or TIN.

3.3.4 Departmental/ Faculty appointments, promotions and appraisal committee

Applications for both appointments and promotions shall be assessed and approved by the relevant levels of Academic Staff within the University. The Committee shall meet to consider all applications received with all the necessary documents including three letters of reference. The Director of Human Resources may attend Departmental and Faculty committee meetings to give guidance on University Human Resource policy. While assessing applicants for appointment and promotion, the relevant Committee will use the set criteria with due recognition to the following:

- a) The applicant's academic areas of specialization
- b) Level of appointment
- c) Professional and disciplinary background of the applicant and
- d) Conditions of appointment and job requirements.

3.3.5 Composition of the Departmental Appointment, Promotion and Appraisal Committee

As stated in the Human Resources Manual (2014 as amended), section 4.2, each teaching Department shall have a committee known as the Departmental Appointments, Promotions and Appraisal Committee. The Committee shall:

- i. Consist of at least 5 senior members of staff of the Department, appointed by authority of the Vice Chancellor. Only persons whose ranks are higher or equivalent to the rank of the person being considered for appointment or promotion, shall constitute the Committee.
- ii. Be chaired by the Head of Department. Where the Head of Department is a candidate, or where s/he has other conflicting interests e.g. has co-authored publications with the applicant or supervised the applicant for graduate research or where two or more members of the Departmental Committee are being considered, the Dean shall assume the Chair of the Committee meeting called for that purpose. S/he should also be free from any conflict of interest.
- iii. Co-opt qualified members of staff from a related discipline where a department is understaffed or lacks a quorum. The quorum of the Committee shall be three (3) members.

The terms of reference for the Departmental Appointments and Promotions Committee shall be as follows:

- (a) To receive and consider applications for appointment and promotions to teaching positions in the Department using the proposed point system;
- (b) To make recommendations to the Faculty Committee on applications for appointment and promotions of staff in the department;
- (c) To receive and consider performance appraisal reports on all members of staff in the Department.
- (d) To advise management on matters of employment and human resource management in the Department.

- (e) The decisions of the Departmental Committee shall be communicated to the Faculty Appointments, Promotions and Appraisal Committee with a copy to the Director Human Resources by the Chairperson in form of minutes which should bear the signatures of all members who attend the meeting.

3.3.6 Composition of the Faculty Appointments, Promotions and Appraisal Committee

As stated in the Human Resources Manual (2014 as amended), section 4.3, each Faculty, School or Institute there shall be a Committee known as the Faculty Appointments, Promotions and Appraisal Committee which shall be chaired by the Dean/Director. The Faculty/School/Institute Committee shall:

- i. Consist of at least one representative from each Departmental Committee. The minimum number of members of the committee shall be five including the heads of Department and the Dean/Director. The Vice Chancellor may appoint a senior member of staff to be a member of the Faculty Appointments, Promotions and Appraisal Committee. Only senior members of staff (Senior Lecturer and above) whose ranks are higher or equivalent to the person being considered for appointment or promotion, shall constitute the Committee.
- ii. Have a quorum of not less than two thirds of the entire membership. Where a Faculty, School or Institute is understaffed and cannot constitute a Committee due to lack of eligible staff members, the Committee shall co-opt qualified senior staff from related fields. Where a Dean/Director is the candidate, the Committee shall appoint a Chairperson from among the members present to assess the application.
- iii. Communicate its decisions to the Appointments Board through Management in the form of minutes which shall bear signatures of all the members who shall have attended the meeting.

In case of controversy within a Department or Faculty or lack of clarity about a recommendation of the Committee, the relevant Dean/Director/Head may be invited to appear before the Appointments Board to assist in resolving the problem. An employee who is not satisfied with the decision of the Appointments Board in respect of his or her appointment or promotion may appeal to the Staff Tribunal.

The Terms of Reference of the Faculty Appointments, Promotions and Appraisal Committee shall be:

- (a) To receive recommendations from Departmental Appointments, Promotions and Appraisal Committees and make recommendations to Management on issues of appointment, promotions and appraisal of staff in the faculty using the proposed point system;
- (b) To advise Management on matters of staffing and human resource management in the Faculty.
- (c) To handle any other matter in the faculty as may be requested by the Dean or Management.

4.0 APPOINTMENT AND PROMOTION: THE POINT SYSTEM

The assessment for each category of staff shall follow the proposed Point System Criteria for appointment and promotion of Academic staff at the Department / Faculty /School level.

4.1 Preliminary considerations

According to the Human Resources Manual (2014 as amended) section 8.4, the appointment and promotion of academic (teaching) staff shall be based on qualifications and the following:

- (a) Teaching which involves:
 - (i) preparation and administering lectures and practicals;
 - (ii) setting and marking coursework and examinations according to set guidelines;
 - (iii) providing advisory services to students;
- (b) Research, innovations and publications with reputable publishers;
- (c) Curriculum review and development of new programmes;
- (d) Participation in administrative functions of the department, faculty and the university e.g. by serving as a Head of Department or dean or membership on committees;
- (e) Supervision of students' research.

- (f) Service to the community
- (g) Conduct.

4.2. Publications

Determining the credibility of journals or publishers, whether or not journals or publications are genuinely peer reviewed is a serious task of appointments and promotion committees. This task requires close scrutiny. Therefore, each publication submitted for appointment or promotion should be appraised for scientific merit and the genuineness of the claimed peer –review status.

4.2.1 Types of Publications

4.2.1.1 Book

A peer reviewed authored book published by a reputable/credible publisher shall be equated to (3) three articles published in peer reviewed reputable/credible journals. The Human Resources Manual Section 8.4 Table 7 recommends that for one to be promoted to an Associate Professor level, he/she presents either 3 new journal articles/book chapters or one book in his/her area of specialisation.

For authored books and book chapters, the peer review condition is met if:

- i) The book is published by a reputable/credible publisher;
- ii) The book is available online, on sites that are not predatory ;
- iii) The book must be a major work of scholarship based on original research and makes a substantial contribution to a specified area of knowledge;
- iv) The book must have an International Standard Book Number (ISBN);
- v) The Book may be written by a single author or by joint authors.

Examples of books that do not meet the above criteria:

- i) Anthologies of previously published works
- ii) Printed books
- iii) Edited books
- iv) Handbooks
- v) Manuals

- vi) Creative works such as novels
- vii) Translations of works without original scholarly contributions
- viii) Revisions of older editions by non-original author
- ix) Working papers, Technical reports, Discussion papers, unpublished reports
- x) Unpublished documents from Academic units such as departments, colleges, offices and other institutions/NGOs.

4.2.1.2 Book Chapter

As already indicated under “Terms and Definitions”, a chapter in a peer –reviewed book published by a reputable/credible publisher and available on credible not predatory sites excludes the following:

- a) Entries in reference works such as encyclopedia and directories;
- b) Revisions of chapters previously published (but entirely new chapters in revised books shall be considered);
- c) Forewords;
- d) Introductions;
- e) Editorials ;
- f) Works already published independently, eg. a journal article or in conference proceedings, and converted into a book chapter;
- g) Appendices.

4.2.1.3 Journal article

A journal article includes original research work that has been subjected to a formal process of peer review and published in a scholarly reputable journal. It may or may not be co-authored (see guidelines under ‘Vetting Co-Authored Publications’ in section 3.3.3). The following shall not be considered as the main publications for academic appointment and promotion, but can be scored as other activities by academic staff:

- a) Short communications
- b) Editorials
- c) Commentaries

- d) Re-written or revised articles for both journals and books.

4.2.2 Quality of Publications

Publications are diverse, some are a result of rigorous research, whereas others are produced without extensive research. A good publication is that which is based on original research. A University should not be deluded by the number of publications. The content is more important than the number. Publications which appear in reputable/credible referred journals and books are of great academic value and should be considered as the most serious test of one's scholarship.

However, an author may produce work but does not have it published. Some of the works are based on compiled notes which have not been peer reviewed. Such work should not be submitted for appointment or promotion. Such publications include:

- a) Printed books
- b) Printed journals
- c) Manuscripts
- d) Monographs
- e) Instructional / Teaching Materials/pamphlets/leaflets
- f) Magazines
- g) Newspaper articles

4.2.2.1 Indicators of good quality publications

The following guidelines are used to identify a credible/reputable journal or book:

- a) Publisher: Should be an established Publishing Company. It can be a recognised professional Association/Society/Academy or a University press. The publisher should be indexed in the major bibliographic databases for the field. The publisher should preferably be a member of the Committee on Publication Ethics (COPE) or another agency that regulates and/or sets publishing standards.

Credible publishers have a "contact us" page with clearly identified detailed contact addresses: name of persons and institutions, telephone numbers, email, URL, mailing address and other relevant information for direct contact. They have a well maintained website, with no dead links.

- b) Publication frequency of a journal or other periodicals: There should be consistency in the publication interval for example: monthly, quarterly or annually. The journal should have continuously been published for a minimum of two (2) years with the exception of new journals.
- c) Publication process: There should be a clear publication process, for example: solicitation of articles, clear instructions to authors, ethical guidelines and copyright policy, article processing fees where applicable, etc. The editorial policy should be clearly indicated; this includes the peer review process per article or book chapter and feedback to the authors.
- d) Editorial board: Most reputable journals and books have an international editorial board of renowned scholars in the specific field. They clearly indicate the editor(s), editorial staff and review/editorial board members, with their titles, full correspondence addresses and their institutional affiliation; these are normally listed on the website and in the journal or book. Some names should be recognisable as most editorial boards are composed of prolific researchers.

The author of the article(s) presented for appointment or promotion should not be a member of the editorial board/committee of any of the journals where the articles are published.

- e) Indexing: Published journal articles and books should be discoverable since they are available in the major indexing and abstracting online databases, for example: Scopus (www.scopus.com/home.uri), Web of Science (on subscription), PubMed (<https://pubmed.ncbi.nlm.nih.gov/>). Credible Open access journals are indexed in the Directory of Open Access Journals (DOAJ) at doaj.com. Some are indexed in the African Journals Online (AJOL). Credible journals also have genuine standard identifiers, namely: Digital Object Identifier (DOI) and ISSN, whereas books have ISBN. Credible Open access books are listed in the Directory of Open Access Books (DOAB). One should be wary of journals that claim to be indexed by Google scholar, Research gate, etc as some of them are also listed as predatory.
- f) Impact factor: The credible journal impact factors are two: (i) The Journal Citation report by Web of Science, and (ii) Scimago Journal Rank by Elsevier. The departmental/Faculty/School committee should indicate, in the minutes, the Impact factor of the journal where the applicant's articles are published.

One should be cautious of Index Copernicus, Cite factor and Systematic Impact factor that are considered quack impact factors.

- g) A journal/book /publisher that does not meet the above guidelines and/or is listed among predators shall not be considered reputable by this policy.
- h) If in doubt, contact the University Library for guidance, training, etc. One general rule, before publishing, is review the Think.Check.Submit criteria (<https://thinkchecksubmit.org/sample-page/check/>)

Note: When a person authors two or more chapters in the same book, or two or more articles in the same journal issue, these shall only be considered for the same appointment or promotion if they are distinctly different.

4.3 The Point System Criteria for Academic Staff Appointment and Promotion used at the Department/Faculty/School:

The Point System is to serve as a guide to the Appointments and Promotions Committees from Departmental level to Appointments Board in reaching fair decisions. The pass mark is 60% at all levels. The points shall be based on parameters as outlined in tables 2 to 7 in the subsequent sections.

Table 2: Distribution of points on Academic and Professional Qualifications

S/no	Parameters	Maximum Scores
1.	Master's Degree	6
2.	PhD	12
4.	Other Academic and Professional qualifications (will include Fellow of academies, Postgraduate Diploma and other Distinguished Awards)	2
		Maximum points = 20

Table 3 below outlines the points for publications. New publications since the previous appointment or promotion shall be required. Publications shall be from credible/reputable publishers and peer-reviewed. Works published in predatory journals/books or by predatory publishers shall not be accepted for appointment or promotion. The following types of publications shall be considered:

- i. Articles published in reputable refereed journals;
- ii. Chapters in peer reviewed books and relevant to the candidates' discipline;
- iii. Books authored by the applicant and relevant to his/her discipline and published by reputable publishers;
- iv. Accepted (early cite) peer reviewed articles, chapters or books by reputable publishers. These may be used for promotion to all grades but only after being verified that they are genuine and with an acceptance letter valid for not more than six months from the date of issue.

The rest of the information about publications is in section 4.2.

Table 3: Distribution of Publication Points

S/No.	Parameters	Maximum Score each		
		Journal article each	Book chapter each	Book authored each
		10	10	30
A	Originality and contribution to knowledge	4	4	14
B	Consistency to the applicant's area of specialisation and relevance to the academic discipline where the applicant is being considered for promotion or appointment.	3	3	8
C	Relevance and currency of the publication (for promotion, since the last promotion date and new applicants not more than five years)	3	3	8
Maximum score = 50 points (or 60 points for two books)				

Table 4: Distribution of Points on Teaching and Experience

SNo.	Parameters	Maximum Score
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1	Teaching experience at undergraduate and graduate levels: a) Preparation and administering lectures and practicals as timetabled (2 points per year) – maximum 8 points b) Setting and marking coursework and examinations according to set guidelines and timely submission of results (2 points per year maximum 8 points) c) For librarians, information literacy instructions, each formal sessions conducted 2 points – maximum 12 points	
		Maximum points = 16
2	Curriculum review and development of new programmes	5
3	Supervision of students to completion a) PhD- each student 10 points b) Masters- each student 5 points c) Postgraduate Diploma- each student 2 points for a maximum of 6 points d) Undergraduate student reports- each student 0.5 points for a maximum of 4 points	25
		Overall Maximum Points = 46

Table 5: Distribution of Points on Other Academic Activities

SNo.	Parameters	Maximum Score
1.	Deanship of Faculty/ Director/ Coordinator of Learning Centres	7
2.	Headship of a Department	5
3.	Attendance at a Conference and presenting a paper- 0.5 point each; key note paper- 1 point each	2
4.	Convener of an academic Conference- 0.5 point each	2

5.	External Examination- each year 3 points	9
6.	Editing a published Book with ISBN - single editor each book 4 points; Joint editors each book - 1 point	8
7.	Editing published conference proceedings with ISBN - single editor each proceeding 2 points; Joint editors each 1 point	5
8.	Patent - each 5 points, maximum 2 patents	10
9.	Registered KyU Intellectual property, e.g. Software, Industrial design, Utility models, Trade mark plant variety	4
10.	Art exhibition with a write up- 2 points each- maximum 4 points	4
11.	Journal editor (not predatory journal) peer reviewed and published - single editor each issue 4 points; Joint editors each issue 2 points Journal commentaries, editorials, review articles, short communications in science (each 0.5 point and a maximum of 1 point)	8
		Maximum Points = 50

Table 6: Distribution of Points on Service to the University and the wider Community

SNo.	Parameters	Maximum Score
1.	Membership to Kyambogo and/or other recognised University Council and Senate Committees - 2 points for each committee	8
2.	Membership to Kyambogo and/or other recognized University Taskforce/Mission/Adhoc committee/Departmental or Faculty Committees -1 point for each committee	4
3.	Coordinator of ITCSP, Examinations and other approved responsibilities -2 points for each role/committee	5

4.	Membership to a National/District Technical Committee/Taskforce/ Commission- 2 points for each committee	4
5.	Membership to recognized professional bodies/Associations/International committees or bodies -1 point for each	3
6.	Involvement in other Community Activities (Membership to Executive Committee of Public or Private Organizations or Local Community)	2
		Maximum points = 26

Table 7: Conduct and Ethical Behavior

S/N	Parameter	Maximum score
1	Ethics (unethical behavior include: conflicting interests, inappropriate student-staff relationship, awarding/changing marks and other academic dishonesty)	10
2	Interpersonal relationship (being able to work in teams/relate with fellow staff and students)	5
3	Commitment to duty: (e.g attending departmental meetings and other activities)	3
		Maximum score=18

5.0 DECISION TO APPOINT OR PROMOTE

5.1 At a departmental and Faculty level

The Department will recommend an applicant to the Faculty and the Faculty will recommend her/him to DHR initially basing on the eligibility in section 3.3.1 and the steps in Table 1, and finally using Tables 2 to 7 to score her/him. The overall pass mark shall be 60%.

5.2 At the Appointments Board level

For a candidate to be appointed or promoted, the decision of the Appointments Board will be guided by the cumulative reports of the three vetters with at least two recommending the applicant for promotion or appointment after scoring 60% and above.

6.0 APPOINTMENT AND PROMOTION OF ACADEMIC LIBRARY STAFF

6.1 General Guidelines

- (a) The Library shall have a Committee charged with the task of scrutinising applications for appointment, confirmation and reviewing staff promotions. The Committee, made up of at least three members (preferably the most senior) chaired by the University Librarian, shall meet to review the progress of each member of staff for promotional or related considerations.
- (b) Where a Head of Section is a candidate or where two or more members of the Committee are being considered, or where the Committee has fewer than 3 members, the Committee shall co-opt members from a relevant discipline.
- (c) The Committee shall make recommendations to the Appointments Board, using the University Guidelines for Appointment and Promotion as defined here below:
 - i) No member shall be recommended for promotion to a post more than one step up the ladder.
 - ii) No member shall be recommended for promotion until she/he has served in the lower grade for a period of not less than three years. This will enable Librarians to gain the necessary professional practices/experience.
 - iii) No member of staff shall be promoted while on probation.
 - iv) Members of staff serving on probation shall be eligible for confirmation after six (6) months of service. Confirmation in the University Service shall be based on favourable appraisal reports from the Supervisor.

6.2 Appointment and Promotion of Academic Library Staff: The Point System

The appointment and promotion of the Academic Library staff shall follow the same point system elaborated in tables 1 to 7 and will be composed of the following elements:

- i) Academic and professional qualifications
- ii) Publications
- iii) Professional Library work/ Professional Practice
- iv) Research
- v) Information Literacy Instructions and Innovations
- vi) Other Academic Activities (Conferences/seminars attended and papers presented, lecturing, editors of periodicals, developing Library/Information courses, supervision of students, etc.)
- vii) Service to the University and the Community
- viii) Membership to Professional Bodies
- ix) Conduct.

6.3 Promotional outlet

As is the case with other academic staff in the Faculties/Schools/Institutes, promotion of Library academic staff shall be subject to availability of vacancies. The main consideration for the promotion of an academic member of staff from one scale to another, i.e. between M6 – M4 scales, shall take into account the availability of vacancies, required academic qualifications, professional proficiency or ability, research, publications and other requirements for the higher position.

6.4 Comparison with the teaching academics

Except for the two areas of Teaching and Supervision of Graduate students, which have been substituted with Professional Library work and Information Literacy Instructions, the rest of the elements for the Library Promotional criteria are exactly the same as those of the teaching academics.

6.5 Promotion of Librarians

- a. The promotion of Librarian Grade I (Academic) (M6.2) to Senior Librarian Grade I (Academic) equivalent to Senior Lecturer (M5) and then to Deputy University Librarian (M4) shall be based on the academic/scholarly activities carried out by the librarians.

- b. As it is the case for teaching academics, the requirement of a PhD shall apply to Librarians, starting from Senior Librarian Grade I (Academic).

6.6 University Library Structure for Staff Categorised as Academic

Table 8: Library structure for Staff categorised as Academic (See also the Scheme of service for library staff and the relevant sections of the HR Manual)

Scale	Position	Minimum Academic Qualifications	Years of Professional Library Work	Publications	Information Literacy Instructions	Contribution to Community
M7	Librarian Grade II (Academic)	Bachelor's Degree with an Upper 2 nd or First Class in BLIS	Not required	Not required	Required	Required
M6.2	Librarian Grade I (Academic)	Master's degree in LIS	Three years	Not required	Required	Required
M 6.2	Systems Librarian	Master's degree in LIS	Practical experience of three years	Not required	Required	Required
M 5	Senior Librarian	PhD in LIS	Six years	Three new peer reviewed publications in reputable journals and/or chapters in peered reviewed books in the area of specialisation since the last promotion.	Required	Required

M 4	Deputy University Librarian	PhD (LIS)	Nine years	Three new peer reviewed publications in reputable journals and/or chapters in peered reviewed books in the area of specialisation since the last promotion.	Required	Required
M3	University Librarian	PhD (LIS)	Twelve years + Managerial experience	Five new peer reviewed publications in reputable journals and/or chapters in peered reviewed books in the area of specialisation since the last promotion.	Required	Required

[** LIS = Library and Information Science is restricted to Librarianship, Information studies, Archives/Archival studies and Information Technology applicable to libraries.]
Source: Makerere University Human Resources Manual (2006 as amended).

7.0. PROMOTION DURING ABSENCE FROM THE UNIVERSITY

Section 12.13.10 of the Human Resources Manual (2014 as amended) stipulates that; “A member of staff on study leave shall not be considered for promotion during that period”.

8.0 APPEALS

The Universities and Other Tertiary Institutions Act, 2003 (as amended, 2006) under section 57 (1) provides that; “A member of staff may appeal to the University Tribunal against the decision of the Appointments Board within fourteen days after being notified of the decision”.

APPENDIX 1

Reference Materials

1. Academic Staff Promotions 2017: Imperial College London.
2. Commission for University Educations “Harmonized Criteria and Guidelines for Appointment and Promotion of Academic Staff in Universities in Kenya, 2014.
3. Extensions Publications Policies and procedures Manual 2012, University of Tennessee Institute of Agriculture, USA.
4. Guideline for Promotion of Academic Staff at Sistema University, 2016.
5. Guidelines for establishing merit of publications and creative works at Haramaya University, Asia 2015. Best Practice Guidelines on Publishing Ethics; A publisher’s perspective 2nd Edition,2015.
6. Letter from the Ag. Deputy Vice Chancellor Academic Affair to Heads of Departments and Deans on proposed amendments to the Promotion of Academic Staff at Kyambogo University, December,2017.
7. NCHE Quality Assurance Framework for Universities, 2014
8. Policy on Promotion tracks for Academic Staff of Makerere University; Reviewed and approved by the University Council, May, 2014.
9. Procedure for Promotion of Teaching Staff, 2014; Uganda Management Institute.
10. Promotion of Academic, Research and Teaching Staff: Criteria and Procedures; University of York.
11. Responses from Faculties on proposed guidelines for Promotion of Academic Staff from:
 - Faculty of Arts & Social Sciences,
 - Faculty of Education
 - Faculty of Vocational Studies
 - Faculty of Science
 - Department of Mechanical and Production Engineering
12. The University and Other Tertiary Institutions Act 2001 (Amended 2006)
13. University of Limerick: Policy and Procedures for the Promotion of Academic Staff, February, 2016.