



# **COMMISSION FOR UNIVERSITY EDUCATION**

## **HARMONIZED CRITERIA AND GUIDELINES FOR APPOINTMENT AND PROMOTION OF ACADEMIC STAFF IN UNIVERSITIES IN KENYA**

**27<sup>TH</sup> OCTOBER, 2014**

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**THE UNIVERSITIES STANDARDS AND GUIDELINES, FIRST SCHEDULE,  
INSTITUTIONAL STANDARDS: HUMAN RESOURCES, INST/STD/04**

**HARMONIZED CRITERIA AND GUIDELINES AND FOR APPOINTMENT  
AND PROMOTION OF ACADEMIC STAFF IN UNIVERSITIES IN KENYA**

**IN EXERCISE** of the powers conferred by Section 70 (1) and (2) (d) of the Universities Act 2012, the Cabinet Secretary for Education; Science and Technology certifies that these Harmonized Guidelines and Criteria for Appointment and Promotion of Academic Staff in Universities in Kenya University are consistent with the provisions of the Act.

Dated the 7<sup>th</sup> ..... Day of July ..... 2015



**JACOB T. KAIMENYI**  
**Cabinet Secretary Ministry for Education, Science and Technology**

# **HARMONIZATION OF THE GRADING NOMENCLATURE AND CRITERIA FOR APPOINTMENT AND PROMOTION OF ACADEMIC STAFF IN UNIVERSITIES IN KENYA, AND WEIGHTED PUBLICATION POINTS**

## **1.0 PREAMBLE**

One of the functions of the Commission for University Education (CUE) is to promote, set standards and assure relevance in the quality of university education in accordance with Section 5.(1)(c) of the Universities Act No. 42 of 2012. The Legal Notice No. 76 of June 2014 brought into force the Universities Regulations 2014 and the Universities Standards and Guidelines which operationalised them. In the First Schedule on Institutional Standards, INST/STD/04 on Human Resources spells out Guidelines and Minimum Criteria for Appointment and Promotion of Academic Staff in Kenyan Universities. Stakeholders scrutinized these Guidelines and Criteria during a meeting on 11<sup>th</sup> July, 2015 and tasked a select Committee to further scrutinize and harmonize the Guidelines and Criteria. Subsequently, the Stakeholders adopted the harmonized Guidelines and Criteria on 27<sup>th</sup> October 2014, subject to incorporation of suggestions made during the same meeting. The final Guidelines and Criteria for Appointment and Promotion of Academic Staff in Universities in Kenya captured in this document are contained in the report that was received by the Cabinet Secretary, Ministry of Education, Science and Technology on 8<sup>th</sup> June, 2015

## **2.0 GUIDELINES FOR APPOINTMENT AND PROMOTION OF ACADEMIC STAFF**

### **2.1 Grading Nomenclature**

The Grading Nomenclature for Academic Staff in Universities in Kenya shall be:

- i. Graduate Assistant /Research Assistant
- ii. Tutorial Fellow /Junior Research Fellow
- iii. Lecturer /Research Fellow
- iv. Senior Lecturer /Senior Research Fellow
- v. Associate Professor
- vi. Professor
- vii. Adjunct Academic Staff
- viii. Visiting Academic Staff

All Grading Nomenclature shall carry the rider "or equivalent". Universities may have equivalents provided for in their individual Charters.

### **2.2 Usage of Academic Titles**

The Commission shall:

- i. Uphold the use of the title "Dr" consistent with existing standards and guidelines as provided for in the *Universities Standards and Guidelines (2014)*.
- ii. Maintain an updated list of *bona fide* Professors in Universities in Kenya and publish the list on the CUE website;

## 2.3 Awarding Weighted Points

Weighted points will be awarded for Research and Publication; Teaching and Learning; Administration and Responsibilities; and, Community Engagement and other Contributions. The maximum points awarded for Research and Publications shall be as specified in Table 1. Details of the sub-categories for Quality Teaching and Learning; Administration and Responsibilities; and Community Engagement and Other Contributions will be left to individual Universities and Appointing Committees to set up guidelines for scoring. The maximum weighted score shall be determined based on the relative weighted points as shown in Table 1.

### 2.3.1 Research and Publication

The maximum points that may be awarded for one item for each category are shown in Table 1.

*Table 1: Distribution of Weighted Publication Points*

No.	Type of Publication and other Scholarly Output	Maximum Points
1.	One University Level Scholarly Book *	24 points
2.	Patented Invention or Innovation	16 points
3.	One Article in a Refereed Journal *	8 points
4.	One Tertiary Level Scholarly Book	8 points
5.	Book Chapter in a University Level Scholarly Book	6 points
6.	Refereed Learning Modules	6 points
7.	One Reviewed Conference Paper	4 points
8.	One Secondary School Level Textbook	4 points
9.	Short Communication in a Refereed/Scholarly Journal	4 points
10.	Consultancy and Project Reports	4 points
11.	Refereed Exhibitions and Performances**	4 points
12.	One non - Reviewed Conference Paper	2 points
13.	Any Other Book	2 points
14.	Editorship of a Book or Conference Proceedings	2 points
15.	Scholarly Presentations at Conferences/Workshops/Seminars	2 points
16.	Book Review Published in Refereed Journals	1 point

\* For Multiple authorship of a Scholarly Book or Journal refer to the formula in Section (iv)

\*\*Refereed exhibitions and performances have to be accompanied with a write-up and list of experts who judged the exhibition or performance

### 2.3.2 Quality Teaching and Learning

In determining the score in this category, Universities shall rate the following sub-categories:

- i. Student evaluation of instructor and course
- ii. Lecture notes
- iii. Student advising and mentoring
- iv. Training in higher education teaching
- v. Post-graduate supervision
- vi. Any other sub-category as determined by individual Universities

### 2.3.3 Administration and Responsibilities

In determining the score in this category, Universities shall rate the following:

- i. Recognised university administrative positions
- ii. Other responsibilities

### 2.3.4 Community Engagement and Other Contributions

In determining the score in this category, Universities shall rate the following:

- i. Attracting research and development funding
- ii. Community service and outreach
- iii. Professional affiliations and portfolios
- iv. Recognition, Awards and Honours
- v. Any other sub-category as determined by individual Universities

### 2.4 Computation of Weighted Publication Points for Multiple Authorship

- i. The maximum number of weighted publication points that may be awarded for one scholarly article with multiple authors is eight (8).
- ii. The Weighted Distribution Approach shall be adopted for distribution of the eight (8) weighted publication points to each of the multiple authors.
- iii. Allocation of multiple authorship publication points will reflect the level of contribution of each author as determined by the position of the author's name in the listing of authors. The order of authorship is assumed to be proportional to the contribution of each author.
- iv. The formula below will be used to determine the proportion of the publication points to be allocated to each author:

$$\text{The formula} \quad 2 \left\{ \frac{(n+1)-i}{n(n+1)} \right\}$$

**Where:**

“i” represents the position of the author's name in the authors' list i.e. is the “i<sup>th</sup>” author; and “n” represents the total number of authors.

The formula given should be default, provided that the interviewing panel shall have the leeway to determine the points due to a particular candidate in case of mitigating factors.

**Example:**

Allocation of Weighted Publication Points for an article published by **three (3) authors**

**1<sup>st</sup> author of 3 authors:**

$$2 \left\{ \frac{(3+1)-1}{3(3+1)} \right\} = 2 \left\{ \frac{3}{12} \right\} = 2 \times \frac{1}{4} = \frac{1}{2}$$

The first of three (3) authors gets  $\frac{1}{2}$  of the 8 points i.e.  $\frac{1}{2} \times 8 = 4.0$  points

**2<sup>nd</sup> author of 3 authors:**

$$2 \left\{ \frac{(3+1)-2}{3(3+1)} \right\} = 2 \left\{ \frac{2}{12} \right\}$$

$$= 2\{2/12\} = 2 \times 1/6 = 1/3$$

The 2<sup>nd</sup> author gets 1/3 of the 8 points i.e.  $1/3 \times 8 = 2.67$

**3<sup>rd</sup> author of 3 authors**

$$2 \{(3 + 1) - 3 / 3(3+1)\} = 2\{1/2 \times 3\}$$

$$= 2\{1/12\} = 2 \times 1/12 = 1/6$$

The 3<sup>rd</sup> author gets 1/6 of the 8 points i.e.  $1/6 \times 8 = 1.33$

**The total weighted publication points for the three (3) authors is  $4.0 + 2.67 + 1.33 = 8.0$**

*Table 2: Summary of Relative Weighted Points in Various Categories for Different Cadres of Academic Staff\**

Areas of contribution	Relative Weighted Points			
	Lecturer	Senior Lecturer	Associate Professor	Professor
Research & Publication	40	50	60	65
Teaching and Instruction	30	25	20	15
Professional/consulting/Industry	-	10	10	10
Administration /Responsibility	20	10	05	05
Community Engagement /Other contributions	10	05	05	05
<b>TOTAL SCORE (per cent)</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>

*\*For Academic staff from Research Institutions and Practice/Industry, the relative weighted points are as specified in the tables for each category*

In determining suitability for appointment or promotion, Academic Staff will be evaluated on the basis of qualification, work experience, research and publication, quality teaching and learning, administration and responsibility, and community engagement and other contributions.

### 3.0 MINIMUM CRITERIA FOR APPOINTMENT OR PROMOTION OF UNIVERSITY ACADEMIC STAFF

**Table 3: Minimum Criteria for Appointment /Promotion of Academic Staff**

Grade	Appointment /Promotion Criteria
<b>3.1 Graduate Assistant/ Research Assistant</b>	<p>This grade is contractual to facilitate identification of outstanding Bachelor’s degree graduates to be trained for academic positions.</p> <p><b>A Graduate Assistant/Research Assistant shall:</b></p> <ol style="list-style-type: none"> <li>Have at least an Upper Second Class Honours Bachelor’s degree from an accredited and recognized university in the relevant field,</li> <li>Be expected to register for a relevant Master’s degree; and</li> <li>Be registered or registerable with the relevant professional body (<i>where applicable</i>).</li> </ol>
<b>3.2 Tutorial Fellow /Junior Research Fellow</b>	<p><b>A Tutorial Fellow/Junior Research Fellow must:</b></p> <ol style="list-style-type: none"> <li>Have a Bachelor’s degree and a Master’s degree qualification from accredited and recognized university in the relevant field;</li> <li>Be registerable for a Doctor of Philosophy (PhD) or equivalent Doctoral degree qualification; and</li> <li>Be registered or registerable with the relevant professional body (<i>where applicable</i>).</li> </ol>
<b>3.3 Lecturer /Research Fellow</b>	<p><b>A Lecturer /Research Fellow must have:</b></p> <ol style="list-style-type: none"> <li>An earned PhD or equivalent degree qualification in the relevant field from an accredited and recognized university; and be registered or registerable with the relevant professional body (<i>where applicable</i>).</li> </ol> <p><b>OR</b></p> <p>A Master’s degree in the relevant field from an accredited and recognized university (in special cases) with at least three (3) years teaching experience at university level or in research or in industry; and</p> <ol style="list-style-type: none"> <li>A minimum of 24 publication points, of which at least sixteen (16) should be from refereed journal papers; and</li> <li>Registered with the relevant professional body (<i>where applicable</i>).</li> </ol>

**Table 3.3: Relative Weighted Points and Minimum Points for by categories of contribution for Lecturers from different backgrounds**

Categories of contribution	Relative Weighted Points					
	University		Research Institution		Practice /Industry	
	Relative Weighting of Categories (%)	Minimum Points	Relative Weighting of Categories (%)	Minimum Points	Relative Weighting of Categories (%)	Minimum Points
Publications	40	24	70	42	20	10
Teaching and Instruction	30	15	-	-	-	-
Professional/ Consulting/Industry	-	-	-	-	50	30
Administration /Responsibility	20	8	20	8	20	8
Community Engagement /Other contributions	10	3	10	3	10	3
<b>TOTAL SCORE (per cent)</b>	<b>100</b>		<b>100</b>		<b>100</b>	



**3.4 Senior Lecturer/ Senior Research Fellow**

**A Senior Lecturer /Senior Research Fellow**

- i. An earned PhD or equivalent degree qualification (*or a Master's degree qualification in special cases*) in the relevant field from an accredited and recognized university;
- ii. At least three (3) years of teaching experience at the university level as a Lecturer or six (6) years research /industry experience
- iii. A minimum of thirty two (32) publication points as a Lecturer or equivalent, of which at least twenty four (24) should be from refereed scholarly journals;
- iv. Supervised at least three (3) post-graduate students to completion as a Lecturer or equivalent;
- v. Registered with the relevant professional body (*where applicable*).
- vi. For persons from Research Institutions, Practice/Industry, the provisions in Table 4 shall apply.
- vii. All applicants must meet the minimum points requirements for each subcategory to qualify for appointment

**Table 3.4: Relative weighted points and minimum points by categories of contribution for Senior Lecturers from different backgrounds**

Categories of contribution	Relative Weighted Points					
	University		Research Institution		Practice/Industry	
	Relative Weighting of Categories (%)	Minimum Points	Relative Weighting of Categories %	Minimum Points	Relative Weighting of Categories %	Minimum Points
Publications	50	32	65	39	25	15
Teaching	25	12.5	10	5	10	5
Professional/Consulting	10	5	10	5	50	25
Administration	10	4	10	4	10	4
Community Engagement /Other contributions	05	2	05	1.5	05	1.5
<b>TOTAL SCORE (per cent)</b>	<b>100</b>		<b>100</b>		<b>100</b>	

**3.5 Associate Professor**

**An Associate Professor must have:**

- i. An earned PhD or equivalent degree qualification in the relevant field from an accredited and recognized university;
- ii. At least three (3) years teaching experience at the university as a Senior Lecturer; or Senior Researcher /Industry experience or equivalent;
- iii. A minimum of forty eight (48) publication points as a Senior Lecturer or equivalent, of which at least thirty two (32) should be from refereed scholarly journals;
- iv. Supervised a minimum of four (4) post-graduate students to completion, including at least one doctoral student;
- v. Attracted research or development funds as a Senior Lecturer/Senior Research Fellow.
- vi. Registered with the relevant professional body (*where applicable*)
- vii. For persons from Research Institutions, Practice/Industry, the provisions in Table 3.5 shall apply.

**Table 3.5 Relative Weighted Points and Minimum Points by Area of Contribution for Associate Professors from Different Backgrounds**

Areas of contribution	Relative Weighted Points			
	University		Research Institution	
	Relative Weighting of Categories (%)	Minimum Points	Relative Weighting of Categories (%)	Minimum Points
Research and Publications	60	36	70	42
Teaching and Instruction	20	10	10	5
Professional/ Consulting/Industry	10	5	10	5
Administration /Responsibility	05	2	05	2
Community engagement/Other contributions	05	1.5	05	1.5
<b>TOTAL SCORE (per cent)</b>	<b>100</b>		<b>100</b>	

\*\*\*Persons from Research Institutions and Industry will be appointed to the position of Associate Professor or below.

**3.6 Professor**

**A Professor must have:**

- i. An earned PhD or equivalent degree qualification in the relevant field from accredited and recognized university;
- ii. At least three (3) years teaching experience as an Associate Professor or equivalent; and research experience
- iii. A minimum of sixty (60) equivalent publication points since attaining Associate Professorship or equivalent of which at least forty (40) should be from refereed scholarly journals;
- iv. Supervised a minimum of five (5) postgraduate students to completion, at least two at doctoral level;
- v. Registered with the relevant professional body (*where applicable*); and
- vi. Attracted research or development funds as an Associate Professor or equivalent.

**Table 3.6: Relative Weighted Points and Minimum Points for Professors**

Areas of contribution	Relative weighted points	
	Relative Weighting of Categories (%)	Minimum Points
Research & Publications	65	39
Teaching and Instruction	15	7.5
Professional/consulting/Industry	10	5
Administration /Responsibility	05	2
Community engagement/Other contributions	05	1.5
<b>TOTAL SCORE (per cent)</b>	<b>100</b>	

#### **4.0 ADJUNCT AND VISITING ACADEMIC STAFF**

The University Senate and Council shall institutionalize the positions of Adjunct Academic Staff to support teaching, research, collaborations, practical training, linkages, and promote relevance; and Visiting Academic Staff to cover short-term faculty vacancies.

#### **4.1 Adjunct Academic Staff**

The Adjunct Academic Staff shall be:

- i. Drawn from industry, public sector or private sector, locally and internationally;
- ii. A holder of an earned doctorate or equivalent degree qualifications in the relevant field from an accredited and recognized university;

**OR**

A Master's degree in the relevant field from an accredited and recognized university, with at least two (2) years industry or work experience; and

- iii. A Holder of qualifications as prescribed for the respective ranks

#### **4.2 Visiting Academic Staff**

The Visiting Academic Staff:

- i. Shall be sourced from local and foreign universities to support teaching, research and collaborations at the equivalent grade.
- ii. Must have an earned PhD or equivalent degree qualifications in the relevant field from an accredited and recognized university.
- iii. Shall be appointed or re-appointed for periods not exceeding twelve (12) months, and a period of consecutive service not exceeding two (2) years.
- iv. May be considered for a corresponding appointment which shall be treated as a new appointment subject to University Appointment Criteria.
- v. Shall join the University with the titles they hold from their parent institutions.

**5.0 GUIDELINES ON THE TRANSITION PERIOD FOR POSITIONS THAT ARE PHASED OUT; AND FOR STAFF WHO ARE IN-POST BUT DO NOT MEET THE MINIMUM STANDARDS:**

The effective date for implementation of the approved Guidelines and minimum Criteria for Appointment and Promotion of Academic Staff is 27<sup>th</sup> October 2014, being the date of approval by Stakeholders during the meeting held at the Kenyatta International Convention Centre (KICC).

From the date of commencement of the approved criteria and minimum standards:

- i. There shall be a transition period of five (5) years.
- ii. Universities shall no longer recruit Assistant Lecturers, and the Commission for University Education (CUE) shall cease to recognize the position of Assistant Lecturer which was a non-progressive position that had become permanent and pensionable, and could be occupied by senior members of Academic Staff.
- iii. All new appointments must meet the Minimum Criteria as provided for by Commission for University Education.
- iv. All existing Academic Staff who do not meet Minimum Standards should work towards attainment of the Minimum Standards within 5 years from the Commencement of these Criteria.