

UNIVERSITY OF TECHNOLOGY AND ARTS OF BYUMBA



Post. Box: 25, Byumba, Gicumbi District
Northern Province, Republic of Rwanda
Phone: +250 – 789 350 053
Email: info@utab.ac.rw
Web: www.utab.ac.rw

UTAB POLICY

ON ACADEMIC APPOINTMENT

AND PROMOTION PROCEDURES

Byumba, 2016

1. Policy Statement

The aim of this procedure is to provide a fair, transparent and equitable method for the appointment of all categories of academic staff and for the promotion of those academic staff whose performance and contribution to the institution has been excellent or outstanding. Institutions recognise the importance of encouraging good performance and enabling all staff to develop their potential and will provide a range of mechanisms to assist staff, such as performance reviews and training and development opportunities, as well as recognising and rewarding excellence by promotion. These procedures have been drafted with due regard to the National Policy on Academic Appointment and Promotion and UTAB “*Manuel de Procédures Administratives et Financières*”. It is expected that, in their implementation, these practices will provide equality of opportunity for all staff.

2. Grades of Academic Posts and Criteria for Appointment /Promotion

UTAB appoints staff to the following academic posts:

1. Tutorial Assistant
2. Assistant Lecturer
3. Lecturer
4. Senior Lecturer
5. Associate Professor
6. Professor

3. Appointment and Promotion Criteria

For all categories of appointment and promotion the guidance recognises the potential for candidates to demonstrate achievement in one or more of the following five areas of activity:

- research
- teaching in Higher Education
- knowledge transfer/income generation
- academic administration/management
- outreach to business and community

Tutorial Assistant

To be appointed “tutorial assistant”, the candidate must hold a bachelor’s degree with distinction. A tutorial assistant who cannot attain higher qualification within 5 years should be considered for retrenchment.

Assistant Lecturer

To be appointed assistant lecturer, the candidate must have a master's degree which must be related to the bachelor's degree. An assistant lecturer who cannot attain higher qualification within 5 years should be considered for retrenchment.

A tutorial assistant doing PhD straight from Bachelor's degree is promoted Assistant Lecturer when he/she obtains a MPhil.

Lecturer

PhD holders with no prior teaching experience are appointed lecturers.

To be promoted lecturers, assistant lecturers who are Master's holders must have been on the AL post for not less than 3 years, and have demonstrated teaching and research potential through publications, contribution to module and programme specification, production of e-learning materials. One unit of publication is considered adequate for the purposes of assessing research and scholarly ability for Lecturer.

Senior Lecturer

Minimum requirements for appointment as Senior Lecturer include

- Possession of PhD
- Minimum 3 units of publications

Minimum requirements for promotion: to SL

- Possession of a PhD
- Minimum of three years of teaching experience as Lecturer with evidence of teaching excellence.
- Minimum of 2 units of publications since last promotion

Associate Professor

Minimum requirements for appointment or promotion:

- Possession of a PhD with at least three years of relevant successful teaching experience as a Senior Lecturer in a recognized Institution of Higher Education
- A minimum of five units of research publications.
- Active involvement in research and evidence of ability to supervise master's and PhD students.

Full Professor

Minimum requirements for appointment or promotion:

- Possession of a PhD with at least three years of relevant successful teaching experience as Associate Professor in a recognized HEI
- A minimum of five units of research publications since the last promotion
- Active involvement in research and evidence of ability to supervise master's and PhD students.

4. Appointment Procedures

The procedures for appointment for all academic posts are as set out in UTAB's *Manuel de Procédures Administratives et Financières*. The needs of academic staff are expressed by the Department Council, then submitted to the Faculty Council and to the Senate. After that follow the procedures for official vacancy announcement by the Deputy Vice Chancellor Administration and Finance, staff selection and interview by the Senate Recruitment Committee composed by the Deputy Vice Chancellor Academic, Dean of the Concerned Faculty, the HoD of the Concerned Department, and the Director of HR and a lecturer in the field of the candidate. The report of the selection and interview is presented to the Senate for approval and provisional appointment. The definitive appointment is done by the Board of Directors.

5. Promotion Procedure

The Administration and Human Resource Service will circulate (a) information on the Academic Promotion Procedures (b) a Proforma and (c) Applicant Guidance Document along with the closing date for submissions.

Applicants should submit a covering letter highlighting the basis of their application on no more than 3 pages, plus a curriculum vitae and any additional material that demonstrates their case that they meet the criteria for promotion, plus the pro forma sheet. Applicants are required to submit three copies of the complete submission, one to the HoD, another to the Administration and HR Service and the last one to the Dean of their Faculty. The Department Council analyses the application and gives their opinion on the application to the Faculty Council. The Faculty Council analyses the dossier and gives their opinion to the Senate which transmits the dossier to the Senate Promotion Committee. The Senate Promotion Committee examines the dossier and if there is a need for an external review, this committee identifies them, sends articles to be reviewed and collects the feedback from reviewers for consideration and final recommendation to the Senate. Then the dossier is submitted to the Board of Directors for the final decision.

The Promotion Committee

The Promotion Committee, which is a standing committee of UTAB Senate, will comprise of members of Senate and be chaired by the Deputy Vice Chancellor Academic. External members may be exceptionally added to this Committee. In all cases where the committee agrees that the candidate meets the minimum criteria for promotion, the committee will make a recommendation to the Senate, who will in turn make recommendations to the Board of Directors who will make a final determination on all promotions.

Appeals Procedure for all Unsuccessful Applications

Following a written notification/ explanation from the Chair of the Senate on the success or failure of the application for promotion, applicants will have the opportunity to submit a formal written appeal against an unsuccessful application.

Applicants should note that an appeal is not an opportunity to reconsider the original application.

The grounds for appeal should be detailed and fall under one or more of the following headings:

1. Information is now available, which was pertinent at the time, but which was not available, for good reason, to the Promotions Committee
2. Procedural error
3. Mistakes of fact in the original application that can now be corrected.
4. The panel misdirected itself in some way (to be defined by the employee appealing).

Applicants should make contact with the Deputy Vice Chancellor Academic, immediately on receipt of the letter informing them of their lack of success, if they wish to take advantage of the opportunity to review the reasons as to why their application was unsuccessful and to focus constructively on development areas. A meeting should normally take place within two weeks of receipt of the unsuccessful letter. Applicants who wish to proceed with an appeal after meeting the Deputy Vice Chancellor Academic must submit it in writing, outlining the grounds.

Appeals should be submitted to the Director of Administration and HR in the first instance. The appeal will then normally be sent to the appellant's immediate Dean for comment on factual accuracy.

A committee made up of appropriate members of Senate who were not substantively involved in the original decision and chaired by the Vice Chamcellor will consider appeals. The decision of the Appeal Panel in the case of applications for promotion to Lecturer/Senior Lecturer, which will be communicated in writing, will be final. In the case of those appealing against the decision not to promote to Associate Professor/Professor, where the appeals committee is of the view that there is a case to be considered, the appeal will be forwarded to the Promotions Committee. The Chair will take advice on the substance of the appeal from four full professors, including at least two external to the candidates' institution, who were not on the Promotion Committee. The decision of the Chair will be final.

Appendix 1: Promotion Request Form

Items	For the applicant	For the review panel
Full name		
Department		
Line manager		
Current grade		
Grade applied for		
Date of last promotion		
Date of appointment		
Academic qualifications <i>(Give dates of award)</i>		
Peer reviewed journal articles <i>- List in reverse date order</i> <i>- Indicate which have been published since last promotion</i> <i>- Provide full details</i> <i>- Attach a copy of articles</i>		
Books and book chapters <i>Give details as above and provide a review if available</i>		
Papers accepted for publication: <i>- Provide evidence of acceptance</i> <i>-Attach a copy of article</i>		
Conference presentation <i>-Specify if abstract was scrutinized prior to acceptance</i> <i>-Make clear the type of presentation, e.g. written, purely oral, poster etc. and whether the paper was selected on submission or invited by the organizers</i>		
Consultancy reports <i>- Only reports registered with UTAB Consultancy Bureau can be considered</i> <i>- Give details as above</i>		
Current research projects <i>-Give details as above</i>		
Completed research projects <i>-Give details as above</i>		
Teaching materials produced <i>-Attach a copy</i>		
Institution's productions <i>(e.g. strategy paper)</i> <i>- Attach a copy</i>		
Professional activities or productions that form part of the basis for the claim <i>-Give details</i>		
Other		

-Give details		
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Annex 2: Assessing publications for promotion

1. Papers in Refereed Journals, rated at 1.00 units each
2. Papers in fully Peer Reviewed Refereed Proceedings of international conferences, rated at 1.0 units each
3. Books that has been refereed, reviewed and published by a reputable publisher, 0 to 6.00 units, OR each chapter rated at 1.0 unit up to a maximum of 6.00 units (note only research monographs/chapters reporting original research findings count as **research** publications. Other contributions may count as publications)
4. Consultancy and research Reports: After peer review, can be rated between 0 to 2 depending on quality and contribution to knowledge.
5. Theses and Dissertations are not considered
6. In co-authored publications, each co-author is given a unit.
7. Inventions and innovations that have impact on social and economic development should be considered for promotion. Artefacts and performances should be considered in the Arts.

Note: ‘peer review’ means that the contribution has been fully reviewed by acknowledged experts in the relevant specialisation. If an applicant wishes account to be taken of research reports, including consultancy reports that have not previously been subject to peer review, they must be reviewed by at least two independent experts.

The publication should be assessed using grades A=Excellent, B= Very Good, C= Good, D= Fair, and E = Poor accordingly, using criteria in the Table below:

No	Assessment Item	Grade
1	Coverage of subject matter	
2	Originality	
3	Contribution to Knowledge	
4	Relevance to Academic discipline	
5	Relevance to individuals specialization	
6	Presentation	
7	Relevance to Policy and Practice	
8	Overall quality of publication	

Appendix 3: Assessment of Publications Submitted For Promotion

Name of Candidate

Department

Faculty.....

Present Rank.....

Academic Year.....

Overall Assessment

S/N	Publications/Books/Consultancy Reports/Research Reports	No of Publications/ Book chapters/ Reports	No. of Points
1	Publications in Peer Review Journal (Rated at 1.0 Point for each journal paper)		
2	Publications in refereed proceedings of international conferences (which are retrieved from proceedings for evaluation)		
3	Book Publications in the relevant field. The book should have been refereed, reviewed and published internationally or locally by a reputable publisher. (Rated between 0 - 6 units, OR each chapter rated 1.0 unit up to a maximum of 6 units)		
4	Consultancy Reports and Research Reports. The quality of these reports should be of good standard and acceptable to the institute. (Rated between 0 – 2 units)		
TOTAL NUMBER OF POINTS			

RECOMMENDATIONS BY REVIEWER

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Name of Reviewer

Signature.....Date