

TUMAINI UNIVERSITY MAKUMIRA

1.0 RECRUITMENT AND PROMOTION CRITERIA: JULY 2014

1.1 Recruitment and Promotion criteria for teaching staff

Cluster	Position		Minimum Requirements
	From	To	
1.	Tutorial Assistant/ Assistant Library Trainee		First Degree (First class 4.4-5.0 or Upper Second Class 3.7-4.3) or B+ grade in the relevant subject for unclassified degree and should also demonstrate the potential of becoming an academic member of staff upon successful completion of University Qualifications Framework (UQF) Level 9 Master Degree.
2.	Tutorial Assistant / Assistant Library Trainee	Assistant Lecturer/ Assistant Research Fellow/ Assistant Librarian	Where the Master Degree is the first degree then UQF level 9 Master Degree at 4.0 GPA or A cluster 1 requirements and UQF level 9 Master Degree at 4.0 GPA
3.	Assistant Lecturer /Assistant Research Fellow/ Assistant Librarian	Lecturer/ Research Fellow/ Librarian	3.1 Cluster 2 (i.e. Assistant Lecturer) requirements and UQF level 10 PhD Degree with a Master Degree at 4.0 GPA or 3.2. Where the PhD degree was obtained on upgrading a Master degree then cluster 1 (i.e. Tutorial Assistant) requirements and UQF Level 9 PhD Degree or 3.3. Where the PhD degree was obtained on the basis of a Master degree without a Bachelor's degree, then cluster 2 requirements and UQF level 10 PhD Degree
4.	Lecturer*/ Research Fellow/ Librarian	Senior Lecturer/ Senior Librarian/ Senior Research Fellow	4.1 Cluster 3 (i.e. Lecturer) attributes and: a) Publications which on assessment produce 5 points for Senior Lecturer or 7 points for Research Fellow (See Table 1A and 1B) b) Teaching, research and public service experience of not less than three (3) years on attaining the qualifications at cluster 3.
5.	Senior Lecturer / Senior Librarian/ Senior Research Fellow	Associate Professor/ Associate Research Professor/ Associate Library Professor	5.1 Cluster 4 (i.e. Senior Lecturer) requirements and: a) Publications, which on assessment produce 7 points for Associate Professor or 10 points for Associate Research Professor b) Teaching, research and public service experience of not less than 3 years on attaining the qualifications at cluster 4 (Senior Lecturer) • At least 70% of the publications from referred Journal papers; 30% of points from either single authored papers or co-authored papers of which the staff to be promoted is the main author. 1 st or last or equally contributed.
6.	Associate Professor Research Professor/ Associate Library Professor	Professor	6.1 Cluster 5 (i.e., Associate Professor/Research Fellow/ Associate Library Professor) requirements and: a) Publications which, on assessment, produce 12 points for Associate Professors or 17 points for an Associate Research Professor. b) Teaching research and public service experience of not less than three years on attaining the qualifications at cluster 5. • At least 70% of the publications from refereed Journal papers; 30% of points from which either single authored papers or co-authored papers of which the staff to be promoted is the main author 1 st or last or equally contributed
7	Professor	<ul style="list-style-type: none"> • A full professor is the highest academic rank in the academy. • One is expected to be leading in terms of research, academic papers and production of knowledge for the consumption of others. • One is expected to be leading in terms of service, seeking and obtaining funds for research, 	

		<p>supervision of upcoming younger scholars.</p> <ul style="list-style-type: none"> • A full professor should not rest simply because he/she has come to the top. He/she has the tools, knowledge, skills; and so he/she must be more productive than other members in the academy. • Conduct at least one public Lecture in a year. • At least 26 cumulative points.
<p>* For clinical staff (and staff in similar discipline) may be required to do other things beyond publications based on the discipline involved.</p>		

2.0 GUIDELINES FOR ASSESSMENT OF ACADEMIC PUBLICATIONS

2.1 Guidelines for assessment of individual's publications and related papers

(i) **Dissertations and Research Reports:** Dissertations and Theses shall not be counted for promotion.

(ii) **Conference Papers Retrievable from Proceedings**

- a) Only papers retrievable from refereed proceedings shall be considered for promotion.
- d) The evaluated papers shall be awarded 0.1 – 0.5 points each.

(iii) **Compendium, Manuals and Study Material**

- a) Technical notes or Compendium shall be considered for promotion.
- b) Compendium. Manuals and study materials shall be assessed and approved by the Faculty/ Department and must address specific needs of the Department/Faculty
- c) Must satisfy the Faculty/ Academic Board on the originality, depth and coverage
- d) It should have a complete list of modules relevant to the courses offered in the College/University
- e) It should cite adequate, relevant and recent literatures.
- f) It should be assessed/ reviewed by two independent reviewers
- g) They shall be evaluated and awarded 0.2-1.0 points

(iv) **Book Reviews**

- a) Book reviews shall be considered for promotion.
- b) They shall be evaluated and awarded 0.1 - 0.5 points each.

(v) **Consultancy/Research Reports**

- a) Consultancy/ Research report registered by Faculties/Institutes/Universities shall be considered for promotion.
- b) Consultancy/ Research Reports must show evidence of contribution of their share of income to their Faculties/Institutes/Universities.
- c) Individuals who contribute to Institutional through a scholarly awards shall be awarded points as follow:
 - 5000-30,000USD--0.5point
 - > 31,000- 100,000 USD--1.0 point
 - > 100,000 USD.--2.0 points
- d) Consultancy/ Research reports shall be evaluated and awarded .05-2.0 point each

(vi) **Publications in Local Refereed Journals**

- a) Journals published in Tanzania in the region or anywhere in the world, and do not meet criteria stipulated for international journal shall be regarded as local journals.
- b) These journals shall be regularly evaluated (every three years) to ensure their quality and standards.
- c) Local journal papers shall be evaluated and awarded 0.2 – 1.0 point.

(vii) **Publication in International Refereed Journals**

- a) International journals in this context refer to those recognised journals retrievable from International Citation and with ISSN, international editorial board, international circulation, and regular frequencies.
- b) Similar to the local journals, international journals shall be regularly evaluated to ensure their quality and standard.
- c) International journal papers shall be evaluated and awarded 0.2 – 1.0 point.

(viii) **Extension /Outreach materials**

Out reached, public and community services registered with the institution be awarded units as follow: 2 points for 20 services and above since last promotion, 1 points for 10-15 services since last promotion. The score will be awarded based on recorded evidence and contribution to academic or the community of the services provided.

(ix) **Text Books and Chapter in a Book**

1. General

- a) A book in a specialized academic discipline or specific dictionary for use in Higher Learning institutions that have been published by a registered publishing house (which has editorial Board and ISBN numbering system) shall, upon being evaluated by reviewer.
- b) Where authors contribute chapters (in form of research papers or otherwise) to a book, each chapter shall be evaluated as a paper worth 0.2 – 1.0 point
- c) Where a book is written by more than one author, a confirmation of one’s contribution shall be made in writing by the Chief author or co-authors.
- d) A book use in secondary school or certificate and diploma programmes be awarded 2 units if grade A, 1.5 if awarded B+ 1.2 if awarded B,0.8 if awarded C and 0.5 if awarded a D

2. Dictionaries

- a) For General Dictionaries, e.g. English – Swahili, Swahili – English, Swahili – Swahili, etc. each Dictionary which will be completed and accepted for publication shall be evaluated and awarded between 3.0 and 9.0 points to the author or authors and shared accordingly).
- b) For Discipline Dictionaries e.g. Dictionary of Legal Terms, Medical Dictionary, Dictionary of Computer Science and Information, Dictionary of Literary Terms etc., each dictionary shall be evaluated as a book and hence have between 2.0 and 6.0 points also shared by the contributors.

3. Other than dictionaries

- a) Where authors produce a book on a subject matter, it should be evaluated as a book and awarded 2.0– 6.0 points (shared by authors according to their contribution).
- b) Where authors contribute chapters (in form of research papers or otherwise) to a book, each chapter shall be evaluated as a paper worth 0.2 – 1.0 point.

2.2 Grading System

- a) The letter grade system shall be used.

A	Excellent
B+	Very Good
B	Good
C	Satisfactory
D	Unsatisfactory

- b) For the purpose of determining the points of publications, the letter grade awarded for “overall quality” of the paper shall be used
- c) Co – authored published papers
 - There shall be consistency with other Universities in awarding authors of co – authored paper.
 - To encourage multidisciplinary research co–authors should be awarded full points if the publication is proved to be a multidiscipline one and the disciplines involved are apparent, it is emanating from a known research group, it is a joint effort to solve a unique society problem, for example HIV/AIDS, Malaria Consortium.
 - If these conditions are not fulfilled, points awarded to the co- authored papers shall be shared among authors according to their contribution. Confirmation of one’s contribution shall be made in writing by the co- authors. Where such declaration is not available equal sharing of points shall be adopted.

- d) Co – authored published books and dictionaries
 Co- authored books and dictionaries shall be shared among authors according to their contribution.
 Confirmation of one’s contribution shall be made in writing by the co- authors. Where such declaration is not available equal sharing of points shall be adopted.

The conversion of letter grades to points shall be as follows:

Table 1 A: Conversion of Letter Grades to Units of Publication

Letter Grade	(i) Conference Papers Retrievable from Proceedings	(ii) Compendium and Study Material	(iii) Book Reviews	(iv) Consultancy Research Reports	(v) Publications in Local Refereed Journals	(vi) Publication in International Refereed Journals	(vii) Extension materials
A	0.5	1.0	0.5	0.5	1.0	1.0	0.5
B+	0.4	0.8	0.4	0.4	0.8	0.8	0.4
B	0.3	0.6	0.3	0.3	0.6	0.6	0.3
C	0.2	0.4	0.2	0.2	0.4	0.4	0.2
D	0.1	0.2	0.1	0.1	0.2	0.2	0.1

Table 1 B: Text Books and a Chapter in a Book

Letter Grade	1. General		2. Other than Dictionaries	
	a) General Dictionaries	b) Discipline Diction	a) General/ Discipline book	b) Chapters in Books
A	9.0	6.0	6.0	1.0
B+	7.5	5.0	5.0	0.8
B	6.0	4.0	4.0	0.6
C	4.5	3.0	3.0	0.4
D	3	2.0	2.0	0.2

(x) Number of papers which have to be published in journals retrievable from international citation for promotion to professorial ranks

- A minimum of two (2) papers published in retrievable internationally cited journals for promotion to associate professorial ranks shall be required.
- A minimum of four (4) papers published in journals retrievable from international citation shall be required for promotion to research/ librarian professorial ranks.
- Quality of all journals should be assessed regularly every 3 – 5 years. The assessment shall be based on citation indices, range of international subscription and composition of an editorial board. Maintenance of a publication on an internationally retrievable citation index justifies its continued good quality.

(xi) Peer review

All publications submitted for promotion shall be peer reviewed by at least two experts in that field. Where the two reviewers differ, Departmental/Institute/Faculty staff assessment committee shall make the final decision after going through the necessary documents and reports.

2.3 Balance between various types of publications and service for promotion

- Balance between journal papers, books, conference papers, research reports, consultancy reports, and chapters of books for various categories of teaching staff.

a) Teaching Staff

Journal papers should contribute at least 50% to one's promotion to Senior Lecturer and 60% to professorial rank; the remaining may come from a good mix of other forms of publications, clinical service and teaching.

Table2: Balance between various types of publications

Type of Papers /Publications	Assistant Lecturer to Lecturer	Lecturer to Senior Lecturer	Senior Lecturer to Associate Professor ****	Associate Professor to Professor ****
Journal Papers***	PhD	Min 50%*	Min 60%	Min 60%
Books / Chapters of a book / Conference Papers / Consultancy Research Reports / Extension Service Report / Clinical service / Teaching Manuals /Compendium Manual and study Materials	Max 50%**	Max 50%**	Max 40%**	Max 40%**

* 50% of the publications should come from papers where the member of staff to be promoted is the main author: 1st or last or equally contributed

** A good mix of publication in this category shall be encouraged.

*** All journals must be recognized by the University Senate.

**** New research results are (usually) initially published in Journals

At least two (2) papers are required to be published in international journals for promotion to associate professorial rank.

- (ii) Balance between Journal papers, books, conference papers, research reports, consultancy reports and chapters of books for various categories of Research fellows and Librarians.

b) Research/Library staff

Journal papers should contribute at least 70% to one's promotion to Senior Lecturer and 80% to professorial ranks; the remaining may come from a good mix of other forms of publications and teaching.

Table 3: Balance between various types of publications

Type of Publications	Ass. Research Fellow / Ass. Librarian to Research Fellow/ Librarian	Research Fellow /Librarian to Senior Research Fellow / Senior Librarian	Senior Research Fellow / Senior Librarian to Associate Research Professor/Associate Library Professor	Associate Research Professor /Associate Library Professor to Research Professor / Library Professor
Journal Papers	PhD	Min 70%	Min 80%	Min 80%
Books: Chapters of a book: Conference Papers: Consultancy Reports: Clinical service: Teaching (where applicable)	Max 70*	Max 30%**	Max 20%**	Max 20%**

* 50% of the publications should come from papers the member of staff to be promoted is the main author: 1st or last or equally contributed

** A good mix of publication in this category shall be encouraged.

At least four (4) papers are required to be published in journals retrievable from international citation for promotion to professorial rank.

NB: Any combination of the components fulfilling the above criteria shall give the total of 100%.

3.0 GUIDELINES ON THE ASSESSMENT OF TEACHING EFFECTIVENESS

- a) Teaching evaluation by students shall be considered for promotion.

- b) Teaching effectiveness evaluation shall be made by a committee of not less than three Senior Staff in the Department/Institute.
- c) For objective teaching effectiveness, evaluation criteria in **Table 4A and 4B** shall be used as a guide by the Evaluation team in awarding points.
- d) Teaching effectiveness shall be awarded 1.0 – 5.0 points

Table 4 A. Assessment of Clinical Service

		Frequency and quality in performance				
		All the time	Almost all the time	Often	Some of the time	Scantly
	Criterion Points	5.0	4.0	3.0	2.0	1.0
1.	Clinical meetings					
2.	Academic forum/ Colloquiums					
3.	Makes ward rounds as required					
4.	Attends departmental meetings <ul style="list-style-type: none"> • Morning report, Journal clubs, Staff meeting 					
5.	Conducts outpatient clinics as required)					
6.	Availability for emergency calls					
7.	Attends clinical outreach					
8.	Punctuality (as per signed departmental Register					
9.	Conducts diagnostic and or therapeutic procedures in the department as required					
10	Conducts surgical theatre sessions as required					
	TOTAL X					
	AVERAGE Y					

Y=X divided by number of applicable criteria. The academic staff will receive ‘Y’ points on the annual staff evaluation for promotion. For conformity in grading, A = 5.0, B+ = 4.0, B = 3.0, C = 2.0, D = 1.0 points.

Table 4 B. Teaching effectiveness evaluation guidelines

		Frequency and quality in performance				
		All the time	Almost all the time	Often	Some of the time	Scantly
	Criterion Points	5.0	4.0	3.0	2.0	1.0
1.	Taught the minimum required hours					
2.	Fairness, impartiality and carefulness when marking and grading any kind of student work					
3.	Availability for consultation					
4.	Punctuality to classes.					
5.	Supervises students’ work and research projects					
6.	Carefulness in keeping students’ grade records					
7.	Promptness in returning students’ examination and course work results					
8.	Keeps students’ records updated and correctly					
9.	Participates in curriculum development, seminars and other academic and departmental matters					
10.	Ranked very well in teaching at least 50% of the students.					
	TOTAL X					
	AVERAGE Y					

Y=X divided by number of applicable criteria. The academic staff will receive 'Y' points on the annual staff evaluation for promotion. For conformity in grading, A = 5.0, B+ = 4.0, B = 3.0, C = 2.0, D = 1.0 points.

4.0 MEASURES TO BE TAKEN FOR STAFF WHO STAY IN ONE POSITION FOR A LONG TIME WITHOUT PROMOTION.

University has to devise measures to take in order to assist the staff who has stagnated in one position for long time without promotion. Some of the measures to be taken are summarized on Table 5.

Table 5: Measures to be taken for academic staff staying in one position for a long time without promotion.

Year on the same Post	3-5 years	7 years	9 years	> 9 years
Tutorial Assistant	Within 3 years of service staff should have registered for Master. College to create a conducive atmosphere for staff to pursue master's degree.	Not applicable	Not applicable	Not applicable
Assistant Lecturer	Within 5 years of service staff should have registered for PhD. If failed, staff to explain why he /she has not registered for PhD. Head of Department (HoD) to find out the reasons for the delay and create a conducive atmosphere for staff to be able to complete PhD.	The appointments Committee (Academics) to recommend staff to seek an alternative employment within or outside the University; if staff has failed to register for PhD.	Not applicable	Not applicable
Lecturer	Staff to explain why he/she has not published enough for promotion. HoD to find out the reasons for not publishing enough. HoD to remove/diminish the obstacles.	If staff does not have enough publications, to seek an alternative employment within or outside the University, Dean/Director to warn staff on the possibility of re-categorization. Dean/Director to give support to the HoD to implement Head's action. Staff to explain why he/she has not registered for PhD Staff who is in study must furnish the employer with academic progress report depending policies governing postgraduate training.	Seek for alternative employment	Not applicable
Senior Lecturer	Staff to explain why he/she has not published enough for promotion. HoD to encourage staff to publish more HoD to create a conducive atmosphere for staff to be able to intensify research and to publish.	Dean/Director to find out the reasons for not publishing enough. Dean to find out the reasons for not publishing enough and assist in diminishing the obstacles within a reasonable period to be determined by the respective College.	DVCAA to give a 6 month time-off to allow staff to do research and to publish more.	Seek for alternative employment
Associate Professor	Staff to explain why he/she has not published enough for promotion. HoD to encourage staff to publish more HoD to create a conducive atmosphere for staff to do more research and to publish more.	Dean/Director to find out the reasons for not publishing enough. Dean to find out the reasons for not publishing enough and assist in diminishing the obstacles within a reasonable period to be determined by the respective College.	DVCAA to assist staff to arrange a sabbatical leave.	Seek for alternative employment
Professor	Staff to explain why s/he did not perform well	The respective College/ University to act accordingly.		

5.0 GENERAL GUIDELINES FOR ASSESSMENT OF ACADEMIC STAFF

5.1 Evaluation team

- a) Every Faculty/Institute/Department (depending on the size of the department) shall form a team for assessing publications, consultancy reports and other materials submitted for promotion exercise plus the

evaluation reports from the reviewers before they are submitted to higher committees. The Department Committee shall comprise: the Head of Department and at least three senior staff elected by the academic staff while at Faculty level, the committee shall comprise: the Dean, Heads of Academic Departments and one co-opted Senior Academic staff from each Academic Department when discussing matters from that department. In no case shall the evaluation be done by a single person.

- b) An evaluation team or paper reviewers shall normally comprise senior members of staff. The team should be encouraged to be active. Independent assessors outside the Faculty or Department shall be used if and when necessary. Smaller Faculties/Departments may merge or co-opt senior members from other units of similar disciplines to sit on the evaluation committee.
- c) Staff on leave without pay shall not be reviewed for promotion purposes.
- d) A Staff Member being evaluated should not be sitting in the committee during evaluation.

5.2 Teaching effectiveness

- a) Teaching effectiveness shall be assessed using the criteria in Section 3.
- b) The review report shall have two parts (i) descriptive (ii) letter grade.

5.3 Research quality assessment

5.3.1 In assessing quality of research papers/thesis or dissertation, the following attributes shall be considered:

- a) Nature of the research and time taken
- b) Originality, significance and relevance
- c) Contribution to knowledge
- d) Coverage of subject matter

5.3.2 The Criteria for Annual Confidential forms.

5.4 Appraisal Policy for Administrative Load

- 5.4.1 Top Executives and their Deputies who teach or do administrative work shall get 2 points.
- 5.4.2 Administrators such as Directors, Deans, and Head of Departments shall get 1.5 points.
- 5.4.3 Deputies shall get 1 point.

TABLE 6: Criteria to be used for assessing staff effectiveness as a Consultancies researcher shall be as follows:

Effectiveness level	Qualification/Criteria
Excellent	At least one book OR three publications . All published within the evaluation year of which at least two must have been published in recognized journals/chapters in books.
Very Good	Two publications, all published within the evaluation year of which at least one must have been published in recognized journals or be a chapter in a book. Or very good clinical service.
Good	One publication published within the evaluation year. The publication may either be in a recognized journal/chapter in a book, or in edited conference /workshop proceedings.
Satisfactory	Involvement in research activities within or outside the department/Institute, which may include supervision of student research projects.
Poor	Non-involvement in research activities within or outside the department / Institute.

5.5 Consultancy/ Research reports

- a) Only registered consultancies and paying to the University the share of income shall be evaluated.
- b) Faculties/Institutes shall have to assess and report on the level and the relevance of the Consultancy /Research reports.

5.6 Assessment of Academic Performance

The same evaluation team in departments shall be used for assessing Vice Chancellor, Provost, Deputy Provosts, Deans, Directors and Heads of department.

These administrators are members of Academic Departments.

5.7 Assessment of publications

- a) For promotion to ranks of Assistant Lecturer to Senior Lecturer, the assessment shall be done internally by academic staff with ranks above that of the individual being assessed.
- b) For promotion to the ranks of Associate Professor and Professor, the assessment shall be done by one internal and one external reviewer/assessor. The assessor shall be an Associate Professor or Professor for the Associate Professor rank and a Professor for the Professor rank. In case there is no Professor in the field of the staff to be promoted, two external reviewers/assessors shall be used.

5.8 Staff who fails Masters/ PhD

- a) A member of staff who fails a Masters/PhD degree shall be advised to seek alternative employment.
- b) Staff who does not attain a GPA of 4.0 shall be advised to seek alternative employment within or outside the university

5.9 Delivery of professorial inaugural lecture

- a) Professors shall be required to deliver professorial inaugural lectures within one year after promotion.
- b) The University shall pay an equivalent of **TZS 3,000,000/=** to facilitate delivery and publication of the inaugural lecture. (this figures to be revised from time to time)
- c) The university shall give half a year time off to Professors for preparation of the lecture if necessary. During this period the University should endeavour to pay for respective expenses in accordance with the respective policy and procedures that have already been approved by the University.
- d) The university should have a budget for the lectures. Each professor shall submit a budget for approval before embarking on the preparations of lecture

5.10 Authenticity of degree certificates and submission of copies of dissertation/thesis

- a) Staff shall be required to show original Masters/PhD certificates and submit a copy of dissertation/thesis within six month after completion of studies.
- b) Staff who fail to show the original Master/PhD certificate and copy of dissertation/thesis within specified period shall be considered to have failed to complete the PhD programme and therefore liable for termination.
- c) Certificates from unaccredited Universities shall not be recognized.

5.11 The right to be informed.

Individuals shall be informed by the Head of the Department as why they were not promoted and individual shall have the right to be informed as to why they have not been promoted. An appeal may be forwarded to Senate Chairperson or Council as the case may be.

5.12 Review of staff performance assessment criteria

In the spirit of maintaining uniform criteria within the context of other National Universities Guidelines, the staff performance assessment criteria shall be reviewed from time to time in order to take into consideration the new demands of the changing society.

5.13 Effective starting date

The Tumaini University Makumira staff performance assessment criteria shall be effective after approval by Tumaini University Makumira Council.