

**HARMONIZED APPOINTMENT AND PROMOTION CRITERIA FOR
ACADEMIC AND RESEARCH STAFF IN KENYAN UNIVERSITIES: A
QUALITY ASSURANCE MECHANISM AND GOOD PRACTICE IN
HIGHER EDUCATION**



Prepared by Prof. Anne Nangulu

**Deputy Commission Secretary, Quality Audit & Standards
and**

Professor of History, Moi University, Eldoret, Kenya

E-mail: anangulu@cue.or.ke ; anangulu@gmail.com

Phone Number: + 254 (0) 733 870 502

**Presented at the Tuning Africa Project II, Meeting Held in
Johannesburg, South Africa, 2nd to 5th April 2014**



Outline



□ Harmonized Criteria is part of:

- Dynamics in the university education
- Based on the demands of quality assurance
- Student centered learning
- harmonization
- Standardization;
- and internationalization debate that currently affect higher education globally

□ Background

- Commission for Higher Education (CHE) established by Act of Parliament in 1985
- To regulate Private Universities & Tertiary Institutions
- Public Universities (each) by then established by an Act of Parliament
- Universities Act No. 42, 2012 – brought into being Commission for University Education – replaced CHE - with expanded mandate
- Mandated to regulate university education – both Public & Private Universities operating in in Kenya; including Foreign Universities & Student Recruitment Agencies
- Private & Public Universities – Chartered as per the Universities Act, No. 42, 2012
- Tertiary Education - brought under TVETA (Technical, Vocational Education and Training Authority) through the TVET Act of 2013

Public & Private Universities in Kenya, By April 2017 (70)



Type of University	Status	Number
Public Universities	Chartered	30
Public Constituent Colleges	Undergoing Process for Charter	4
Private Universities	Chartered	18
Private Universities	Operating under Letter of Interim Authority	13
Private Constituent Colleges	Undergoing process of Charter	5
		Total = 70
Private University	Revoked for not meeting University requirements	One (1)

Student Data – Estimated as of May 2015



Type of University	Bachelors	Masters	Doctorate /PhD	Post Graduate diploma	Sub Total
Public Universities	315342	33400	3727	335	352804
Public Constituent Colleges	13759	181	16	0	13956
Private Universities	42333	4843	480	18	47674
Private (Letter of Interim Authority)	2960	389	0	0	3349
Private Constituent Colleges	2124	152	18	18	2312
Private Registered Colleges	1006	51	0	0	1057

The Law, Policies, Regulations, Standards , Guidelines, Placement Service & Vision 2030



- The Kenya Constitution 2010 – Law of the Land
- Universities Act, No. 42, 2012
- The Universities Regulations 2014
- University Standards and Guidelines (published by CUE)
- Technical and Vocational Education and Training (TVET) Act 2012
- Sessional Paper No. 14 of 2012 (Reforming Education and Training Sectors in Kenya).
- Kenya Universities and Colleges Central Placement Service
- Science , Technology & Innovation Act 2013
- Appointment and Promotion Criteria ; Universities Rating and Ranking
- Vision 2030 ; Millennium Development Goals

Laws and Policies



- East Africa National Qualification Framework
- UNESCO Frameworks & Guidelines e.g. on Intercultural Education 2007 ; and Intercultural Education Strategy 2010-2015
- International Conventions and Treaties
 - Arms of Lisbon Recognition Convention (1997)
 - African Case, based on the, **“Regional Convention on Recognition of Studies, Degrees, Diplomas, Certificates and Other Academic Qualifications in Higher Education in African States (adopted at Arusha on 5 December 1981); and referred to as Arusha Convention (1981). The reference point of the UNESCO Revised Regional Convention (Addis Ababa, December 2014)**

Vision 2030



□ Acknowledges and emphasizes:

- The need to reform education and training to great a sector good for purpose
- Link between education and the labor market
- To create entrepreneurial skills and competences
- Strong Public and Private Partnership (PPP)
- Engage in long-life learning
- Development of a middle level country - able solve complex problems affecting the country and citizens (declared low income by October 2014)

- **NOTE: Outcome – an industrializing country; middle income country; providing high quality life for all citizens by the year 2030**

Role of University Education in National Development



- For sustainable pool of highly trained, skilled and competent human resource capital
- Quality education and relevant
- Accessible based on equity
- Skills, Competencies, knowledge and attitudes
- Talent and creativity; innovations and patents
- University education for national cohesion & integration
- Based on benchmarking and best practices – partnerships, collaborations, exchange programmes, networks e.g. Alumni networks, BIGSAS & CARTA Initiative
- For National, Regional & Global competitiveness

The Enactment of the Universities Act, No.42 of 2012 (henceforth University Act) & Related Amendments



- ❖ **Prior to enactment of the Universities Act No.42 of 2012 by the Kenya Government:**
 - Public Universities in existence in Kenya had been established by Acts of Parliament; and
 - Private Universities Chartered by the President based on the recommendations of the Commission for Higher Education (CHE) (replaced by Commission for University Education under the Universities No.42 of 2012)
 - The Act Repealed all Acts of Parliament that had established Public Universities
 - Public and Private Universities in existence and established after 2012 had to undergo accreditation process; to acquire Charters awarded by the President upon recommendation from Commission for University Education (CUE)
 - Thus, Chartered Universities in Kenya are accredited and recognized by CUE as per national regional and international legal provisions and conventions
 - **In the meantime, both Private and Public Universities had in place:**
 - Guidelines; Rule and Regulations;
 - Terms of Service or Criteria for appointment and promotion of academic and research staff to cater for teaching, training, research, partnerships , and community service at the university

Background to the Harmonized Criteria: As a Trend and Policy Issue in Higher/University Education:



❖ Why the Harmonized Criteria?

❖ To address:

- “Academic Fraud” – fake academic certificates and fake promotions
- Academic Moonlighting
- Universities to recruit, promote and retain quality academic staff in Kenya and outside Kenya
- Harmonize and standardize recruitment and promotions at University level – both public and private without compromising “institutional uniqueness”
- Tap qualified staff from research stations, industry the public and private sector, including non-governmental and community based organizations
- Enhance PhD training for example in Medicine, Law and Engineering; and in Sciences, Social Sciences and Humanities
- Promote academia as a “Common Good”

Background to the Harmonized Criteria: As a Trend and Policy Issue in Higher/University Education:



❖ Method:

- Commission for University Education in collaboration with universities in Kenya, carried out research to come up with harmonized criteria for appointment and promotion of academic and research staff that can carry out core activities of university education bearing in mind student centered learning, attachment, internship and research among other aspects
- The research process took place in 2013 and 2014; where Guidelines: Rules and Regulations; Terms of Service; and Criteria from Universities for appointment and promotion of staff were assessed, interpreted and eventually harmonized
- Stakeholders scrutinized these Criteria and Guidelines during a meeting on 11th July, 2015 and tasked a select Committee to further scrutinize and harmonize the Criteria and Guidelines
- Resulting in the “Harmonized Criteria for Appointment and Promotion of Academic Staff in Kenya Universities”
- On 27th October 2014, universities among other stakeholders adopted the harmonized criteria for implementation” and endorsed by the Cabinet Secretary, Ministry of Education

Harmonized Criteria Spelt out the Following: Guidelines for Appointment and Promotion of Academic Staff



1. Harmonized the Grading Nomenclature

- The Grading Nomenclature for Academic Staff in Universities in Kenya shall be:
- Graduate Assistant /Research Assistant
- Tutorial Fellow /Junior Research Fellow
- Lecturer /Research Fellow
- Senior Lecturer /Senior Research Fellow
- Associate Professor
- Professor
- Adjunct Academic Staff
- Visiting Academic Staff
 - **All Grading Nomenclature shall carry the rider “or equivalent”. Universities may have equivalents provided for in their individual Charters**

Usage of Academic Titles & Relative Weighted Points



2. Usage of Academic Titles & Relative Weighted Points for Teaching, Community Service, Responsibilities & Administrative Duties, Research & Publications (Critique)

□ The Harmonized Criteria shall:

- Uphold the use of the title “Dr” and “Prof” consistent with existing standards and guidelines as provided for in the *Universities Standards and Guidelines (2014)*
- Weighted points will be awarded for Research and Publication; Quality Teaching and Learning; Administration and Responsibilities; and, Community Engagement and other Contributions
- The maximum points awarded for Research and Publications specified
- 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

3. Research and Publication

The maximum points that may be awarded for one item for each category stated:

- ** For Multiple authorship of a Scholarly Book or Journal based on the formula in Section (iv) of the Criteria*
- ***Refereed exhibitions and performances have to be accompanied with a write-up and list of experts who judged the exhibition or performance*

Computation of Weighted Publication Points for Multiple Authorship



□ Computation of Weighted Publication Points for Multiple Authorship

- The maximum number of weighted publication points that may be awarded for one scholarly article with multiple authors is eight (8)
- The Weighted Distribution Approach shall be adopted for distribution of the eight (8) weighted publication points to each of the multiple authors
- 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
- The formula below will be used to determine the proportion of the publication points to be allocated to each author:
-

Quality Teaching and Learning



4. Quality Teaching and Learning

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

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

Administration, Community Engagement and Other Contributions



• 5. Administration and Responsibilities

- ❑ In determining the score in this category, Universities shall rate the following:
 - Recognised university administrative positions
 - Other responsibilities

• 6. Community Engagement and Other Contributions

- ❑ In determining the score in this category, Universities shall rate the following:
 - Attracting research and development funding
 - Community service and outreach
 - Professional affiliations and portfolios
 - Recognition, Awards and Honours
 - Any other sub-category as determined by individual Universities

Note: Computation of Weighted Publication Points for Multiple Authorship (Critique)

- ❑ **Staff Mobility, Appointment & Promotion – Academic & Research /Industry Staff (Critique)**
- ❑ For Academic staff from Research Institutions and Practice/Industry, the relative weighted points are as specified in each category
- ❑ **In determining suitability for appointment or promotion, Academic Staff will be evaluated on the basis of:**
 - Qualification & work experience
 - Research & publication
 - Quality teaching & learning,
 - Administration & responsibility
 - Community engagement, outreach & extension Service
 - Attracting research & development funds & other contributions

- **Staff Mobility, Appointment & Promotion – Academic & Research /Industry Staff (Critique)**
- ❖ For Academic staff from Research Institutions and Practice/Industry, the relative weighted points are as specified in each category
- ❖ **In determining suitability for appointment or promotion, Academic Staff will be evaluated on the basis of:**
 - Qualification & work experience
 - Research & publication
 - Quality teaching & learning,
 - Administration & responsibility
 - Community engagement, outreach & extension Service
 - Attracting research & development funds & other contributions

- **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
- A Holder of qualifications as prescribed for the respective ranks

8. Visiting Academic Staff

❖ The Visiting Academic Staff:

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

GUIDELINES ON THE TRANSITION PERIOD FOR POSITIONS THAT ARE PHASED OUT



❑ GUIDELINES ON THE TRANSITION PERIOD:

- The effective date for implementation of the approved Harmonized Criteria and Guidelines or Appointment and Promotion of Academic Staff is 27th 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 minimum standards and criteria:
 - There shall be a transition period of five (5) years
 - 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

GUIDELINES ON THE TRANSITION PERIOD – FOR STAFF WHO ARE IN-POST BUT DO NOT MEET THE MINIMUM STANDARDS



- All new appointments must meet the Minimum Standards as provided for by Commission for University Education
- 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 harmonized Criteria

Outcome and Ripple Effect



□ Resistance:

- A first response from UASU and individual academic staff e.g. from Medicine, Law and Engineering; Business; Human Resource; Social Sciences and Humanities – Challenging a quality assurance mechanism & quality path
- **In the same breath Professors at Moi University met and expressed their discontentment with the Criteria & proposed changes before implantation of the same**
- **At the National Status Conference on Higher Education in Kenya UASU team at Kenyatta University presented & accused CUE; Terming the Harmonized Criteria as:**
 - CUE but not Universities Document
 - Highly criticized as being: unfair, too impractical and too strict – and it will curtail upward mobility through promotion
 - It will “kill” collaborative research & publication particularly among staff in science and health based disciplines

Argument to Maintain the Status Quo

- ❑ Expansion of Universities verses quality academic staff
- ❑ **Argument & critique that Harmonized Criteria based on the following:**
 - Infringing on academic freedom of the individual academic staff and of the institution/Universities & Senate as spelt out in the Kenya Constitution 2010 and Universities Act, No. 42 of 2012
 - Argument – challenging the Legal Provision of Professional Bodies
 - Eroding “Academic & University Culture”
- ❑ **Prospect:**
 - Implementation of the Harmonized Criteria is on going with a “Ripple Effect” in Universities in Kenya (Public and Private); and the East Africa region

Globalization & Global Dynamics



- ❑ **Component (s) for International Practices:**
 - Global dynamics – education as a “tradable good” – declared by the world trade organization
 - “Commercialization of University education” – as opposed to knowledge creation; knowledge production, innovations and patent
 - The Bologna process (European Dynamics – Case of the Netherlands & Germany)
 - The Role of UNESCO (United Nations educational, Scientific and Cultural Organization)
 - The American dynamics – e.g. USA and Cost Rica
 - Asian dynamics- case of Korea
 - Dynamics from the Islamic World
- ❑ **Alumni networks to tap into existing global dynamics & strive to make an impact in the global scene and benefit the global society**

University Teaching, Training, Research & Outreach - Part of International Best Practices – ning Addressed in the Harmonized Promotion Criteria

- Balancing all these aspects – a major challenge
- Research foundation – based on postgraduate training and fellowships – a challenge
- Supervision & mentorship – emphasis is on supervision
- Outreach as part of social corporate responsibility – not adequately addressed
- **Note: There is need to induct the academic fraternity in handling all these aspects aimed at provision of quality education**
- **Pedagogical & didactic (educational; instructive strategies) - part of staff**
- **Note: This has been partly addressed in the Harmonized Promotion Criteria**

Concluding Remarks

- This presentation evaluates:
 - The legal provisions and research method that led putting in place the harmonized criteria
 - Implementation process of the harmonized criteria
 - Challenges and critique by stakeholders, mainly university academic and research staff
 - Of importance, this is part of dynamics in the university education, based on the demands of quality assurance, student centered learning, harmonization; standardization and internationalization debate that currently affect higher education globally

In Sum



- **The Harmonized Criteria Appointment and Promotion Criteria serve as:**
 - A quality assurance mechanism and good practice for academic and research staff bestowed with responsibility of teaching, training, research and community service as per objects of university education
 - **Minimum Criteria for Appointment or Promotion of University Academic Staff – Universities are expected to go a notch high**
 - Promoting best practices through internal & external mechanisms & benchmarking
 - **Based on the premise that - Quality and Quality Assurance is: “Doing the right things in the right way”; achieving goals and aims; and checking on the outcomes**



Commission for University Education (CUE) (Kenya)

CUE CONTACT

www.cue.or.ke

**THANK YOU
ASANTE SANA**