

HUMAN RESOURCE MANUAL

1. VISION, MISSION, AND PHILOSOPHY OF THE UNIVERSITY

Mission

To provide the higher quality of education programmes that match the labour market and development needs of Rwanda for graduates who are capable of contributing to national economic and social needs and who can compete on the international labour market.

Vision

To be a pole of radiance and excellence nationally, regionally and internationally, with its quality education, research and provision of innovative services to the community.

Philosophy

The University of Kigali has the vision of being a pole of radiance and excellence nationally and internationally, with its quality education, research and provision of innovative services to community and utilization of new information and communication technologies.

2. AIM OF THE HUMAN RESOURCE MANUAL

To ensure the quality of higher education services provided by the University of Kigali (UoK) and to sustain its continued growth, it is imperative that academic and administrative staff of required qualifications, experience and skills are recruited, inducted and retained. It is essential for the continuing success of the UoK that all recruitment and selection activities are carried out in a fair, effective, consistent and professional manner. The UoK Human Resource Manual and Procedures aim to provide managers and employees guidance on advertisement, recruitment, probation, and promotion related to the overall success of the UoK. Among others, the policy aims to ensure that the appointment of the best candidates is made on the basis of objective criteria which include qualifications, competencies, skills, knowledge, and experience.

It aims to provide a fair, transparent and equitable method for the appointment of all categories of academic and administrative staff and for the promotion of those staff whose performance and contribution to the UoK has been excellent or outstanding. UoK

HUMAN RESOURCE MANUAL

recognizes the importance of encouraging good performance and enabling all staff to develop their potential and will provide a range of means to assist staff, such as performance reviews and training and development opportunities, as well as recognizing and rewarding excellence in promotion. These procedures have been drafted with due regard to the guidelines and procedures stipulated by the higher education council and confirm or exceed those requirements.

3. RECRUITMENT POLICY AND PROCEDURES OF UNIVERSITY OF KIGALI

3.1. Policy Statement

Effective recruitment and selection procedures are vital in attracting and retaining high-quality staff.

For recruitment and selection procedures to be effective, it is essential that they are fair, rigorous and transparent. It is the Policy of the University of Kigali to ensure that the best candidate for the job is selected. All decisions relating to recruitment and selection must be consistent with the criteria outlined for the post. The policy covers guidelines for recruitment of all staff.

The following are the key Policy Statements:

- The University of Kigali is an equal opportunity employer and all people are recruited on merit
- All vacancies are advertised either internally, externally or both against the established university structure.
- The appointing authority shall depend on the job category.
- Eligible candidates shall be selected through a process determined by the relevant organ.
- The University reserves the right to hire, promote and transfer staff.

3.2. Aims of the Procedure

It is intended that the operation of the procedure will provide a fair, systematic and effective process for recruitment and selection which:

- Ensures the appointment of the best candidate for the post on the basis of objective criteria which include qualifications, competencies, skills, knowledge, and experience
- Enables the filling of vacancies within agreed timescales in a cost-effective manner
- Eliminates discrimination
- Recognizes internal redeployment requirements.

3.3. Identifying and Developing a Rationale for Replacement/Appointment

A vacancy can occur for a number of different reasons, such as an increase in workload, a requirement for new skills, a change in structure or when a member of staff leaves or retires. Therefore, whenever a post falls vacant it should be examined critically to ensure it needs filling and to identify any changes in the job content. In examining the post the following questions should be considered:

- Is a direct replacement or a new post required?
- Does the work carried out by the previous post holder need to continue to be done?

- Can any of the required work be reallocated?
- Is the post correctly defined and graded?
- Do future changes or uncertainty suggest that a temporary or fixed-term position should be considered?

In considering the above questions managers are advised to give careful consideration to the following sources of information: strategic business plans, current and project student/staff ratios, current establishment figures, any feedback received from an exit interview and any feedback/consultation received from other members of staff.

3.4. Developing a Post/Candidate Profile and Job Advertisement

Once a vacancy has been identified, an Application for Replacement/Appointment of Staff must be completed (Appendix 1). The Post Profile (including the Candidate Profile) and the job advertisement must be compiled.

If a Post Profile exists it should be reviewed and amended to reflect the current requirements of the post. The Post Profile should clearly and accurately detail the duties and responsibilities of the post and include a section detailing the Candidate Profile: qualifications, knowledge, experience and skills/abilities/competencies essential to perform the job.

A standard Post Profile is attached (Appendix 2). It should include:

- The Faculty/Department/Unit/Directorate
- To whom the post holder is responsible
- Salary/grade
- Post number
- The main purpose of the post
- The main duties and responsibilities of the post
- Where the position is being advertised and the closing date.

The Post Profile should always include the standard flexibility clause – e.g.

As a term of employment and after due consultation, staff may be required to undertake such other reasonable duties and/or working arrangements as may be required to meet the needs of the institution.

The Candidate Profile should include the following:

- a) **Qualifications:** The level of education and examination standard required for the effective performance of the post.
- b) **Knowledge:** the range and type of knowledge that is required for the effective performance of the post should be specified. Knowledge should be specific and can be obtained through studying, development and/or work experience.

HUMAN RESOURCE MANUAL

- c) **Skills/abilities/competencies:** the range and type of practical and specialized skills/competencies required for the effective performance of the post should be specified – e.g. the ability to use spreadsheet applications, communication, and organizational skills, fluency in French and/or English.
- d) **Experience:** the type, level and length of work experience that it is expected the post holder will have should be broadly specified – e.g. at least two years of previous general office experience, significant experience of generating income.
- e) **Discrimination:** care should be taken not to include criteria that are not essential and discriminate against women or men or disabled people.

Following the production of a posting profile, including the candidate profile, the advertisement should be produced. No permanent appointment or contract of more than 6 months shall be made without advertisement. It is crucial that the content of the advertisement be well thought out and constructed to meet the main requirements of the post in relation to current market trends and that it takes into account any needs of the Institution.

The fair selection means establishing a system of vacancy notification which reaches the widest possible audience of those that meet the minimum selection criteria. All vacancies should be advertised internally. Where authority to advertise externally has been obtained the Director of Administration and Human Resources should ensure the post is advertised in the relevant press. The post may not be advertised before the official permission to do so has been granted by the Vice Chancellor or the Chairman of Directors as may be applicable. The Content of the advertisement for academic staff must be approved by the Director of Quality and the respective Dean of the Faculty, and the content of the advertisement for support staff must be approved by the Director of Human Resource in consultation with the head of the respective unit.

External advertising can be very expensive; therefore it is important the posting profile is used as the basis of the advertisement to keep the text as specific and relevant to the post as possible. The advertisement should consist of the following information:

- UOK Employment Equity Statement
- Job Title (and, specifically, whether the post is temporary or fixed-term and the duration, where applicable)

HUMAN RESOURCE MANUAL

- A brief summary of the relevant details of the post
- A brief summary of the qualifications, knowledge, skills/abilities/competencies and/or experience required by the post holder
- The method of application and when and from where potential applicants can obtain further details of the vacancy and an application form.
- Closing date for application

The HR Officer will insert standard information into advertisements, such as to whom candidates should apply, the closing date, etc. For internal vacancies only, a statement will be included which indicates that only employees of the Institution are eligible to apply.

3.5. Authority to Recruit

Authority to recruit to a post is given only by the VC or the Chairman of the Board. Requests to fill vacancies should be made to the Vice Chancellor or the Chairman of Board of Directors who will progress the request as appropriate.

Once authority to recruit has been given each post should be given a unique identifying number and all advertisements and information on applying for vacant posts should advise the potential applicant that they must put the post number and post title on the letter of application, the application form and (for academic posts) the CV.

3.6. Service Level Guidelines

Through the introduction of service level targets, the Director of Human Resources should aim to ensure an efficient and effective recruitment, selection and appointment process.

For a 'standard' post the following guideline timescales should apply:

Closing date for advertisement	1 week after vacancy is advertised
Applicant information packs sent out by HR Officer	1-2 working days from receiving the request

HUMAN RESOURCE MANUAL

Short listing completed and returned to the HR Office	Within 1 week of closing date
Interviews arranged	within 1 week of receipt of the Short listing Selection Form
Interview packs ready for collection/sent to DVCA or DVCAF as appropriate	no later than 2 working days before interviews
Original Qualifications, checked	at short listing
Offer letter and appropriate terms and conditions	sent within 5 working days of the decision of final interview
Letter of regret sent after acceptance from successful candidate	within 2 working days of receiving acceptance
References checked	Reference request letters issued 2 working days of issuing offer to the successful candidate.

From the above information the recruitment, selection and appointment turnaround time will be recorded and monitored. This will ensure that the progress of the vacancy and any problem areas are highlighted and dealt with.

In addition to working to the service-level timescales, the following objectives should be highlighted to all managers who are recruiting:

- To treat all applicants and candidates for employment with respect and dignity
- To adhere to the principles set out in the policy, procedures, and guidelines
- To ensure the highest standards in non-discriminatory practice
- To convey the best impression of the institution as an employer at all times where possible

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HUMAN RESOURCE MANUAL

- returning telephone calls within one working day
- responding to all written inquiries within one working week
- communicating promptly within one working week to all applicants if there are unforeseen delays in the recruitment process
- To provide professional support and guidance to all managers involved in recruitment and selection, Including involvement at all stages of the procedure
- To challenge any practice that does not comply with the Institution's policies, procedures, and guidelines.

3.7.Applications

3.7.1 Application packs

Within the posted advertisement details will be given on how to apply. Applicants should also be advised that they **MUST** submit typewritten/word-processed applications.

Packs containing the following information should be made available to internal candidates and be sent to external candidates:

- The advertisement
- Post and Candidate Profiles
- An Application Form (Appendix 10)
- (For academic posts) a curriculum vitae template (Appendix 9).

A covering letter will also be enclosed with the pack, thanking the applicants for their interests and asking them to apply by completing the Application Form and, in the case of academic posts, supplying curriculum vitae.

3.7.2 Logging Applications and Short listing

All applications should be logged when they are received. Immediately following the closing date the HR Officer should collect the application forms and a copy of the log. A

HUMAN RESOURCE MANUAL

copy of all the applications should be made; the originals should remain with the HR Office at all times.

The HR Officer will issue all Application Forms and a copy of the log to the Vice Rector Academic and the Vice Rector Administration and Finance within 1-2 working days of the closing date. Along with the Application Forms, the following documents will be supplied:

- A Shortlist Selection Form
- Guidance Notes for Interviewers
- Post and Candidate Profiles
- The job advertisement.

A short listing meeting should be held within 1 week of the closing date, involving as many of the interviewers as possible but always at least two people (including the nominated Interview Committee) to ensure objectivity. Short listing must be based on the completed Application Forms and measured and recorded against the requirements specified in the Shortlist Selection Form

3.8. **Types of Appointments and Appointing Authorities**

3.8.1. Appointments by the Board of Directors (BOD):

The following appointments and related activities will be conducted by the Board of Directors. An appropriate official form which the University management will provide necessary assistance in conducting the recruitment process including interviews etc.

- Vice Chancellor
- Director of Quality Assurance
- University Administrator

All other appointments and related activities will be conducted by the University Management. The composition of interview committee will depend on the post to be filled. The University shall have the following types of staff to carry out its mandate.

3.8.2. Academic Staff

Based on qualification and experience full-time academic staff will be appointed at one of the following academic ranks as may be appropriate:

- Tutorial Assistant
- Assistant Lecturer
- Lecturer
- Senior Lecturer
- Associate Professor
- Professor

Part time staff will be accorded the designation of `visiting faculty` irrespective of their qualification and experience.

3.8.3. Academic Leadership Position

Members of the academic staff will be nominated into academic leadership positions (HODs, Deans etc.) by the management in consultation with relevant stakeholders. These appointments will be performance based fixed term temporary appointments and shall carry on honorarium as approved from time to time by the University management.

3.8.4. Administrative and Support Staff

The university of Kigali recognizes the valuable contribution of administrative and support staff and has the following broad categories of staff. Based on the growth of the University and developmental needs new posts may be created or existing posts may be consolidated and or reorganized.

- Registrar
- Chief Financial Officer
- Director of Human Resources
- Chief Accountant
- Librarian
- Accountants

- Examination Officers
- Admin officers
- Lab Technicians
- Admin Assistants

3.9. Interview Arrangements

3.9.1. Composition of Interview Committee

Interview committees should be as broadly representative as possible and the level and nature of the post being filled will determine the size of interview committee.

For most short term contract and student contracts, a small interview committee is recommended, allowing for diversity within such an interview committee.

Interview committees for all other categories and levels of posts should be constituted in accordance with the guidelines as indicated below:

3.9.2. Full-time academic appointments

The following members should constitute the interview committee for full-time academic positions. At least three fourth of the members should be present to continue the quorum for the interview committee to proceed with interviews.

- Vice Chancellor or delegated authority (Chair)
- Deputy Vice Chancellors: Academic Affairs and Research
- Director of Quality and Assurance
- Director of Human Resource
- Dean/Director of relevant faculty/school
- A maximum of two experts (professor or associate professor depends on the candidate's academic title) drawn from within the UoK or from the industry as the need may be

3.9.3. Full-time administrative appointments (at the rank of directors/registrar/CFO/librarian)

The following members should constitute the interview committee for full-time administrative positions specified above. At least three fourth of the members should be present to continue the quorum for the interview committee to proceed with interviews.

- Vice Chancellor or delegated authority (Chair)
- DVCA/DVCR
- University Administrator
- Director of Human Resources (Secretary)

HUMAN RESOURCE MANUAL

- Director/head of relevant unit
- A dean of any faculty
- A maximum 2 experts drawn from the UoK or from Industry as the need may be

3.9.4. Full-time administrative appointments (all other ranks)

The following members should constitute the interview committee for all other full-time administrative positions. At least three fourth of the members should be present to continue the quorum for the interview committee to proceed with interviews.

University Administrator

Director of Human Resources

Director/head of relevant unit

Chief Finance Officer

3.9.5. Part time Academic /Administrative Appointments

The following members should constitute the interview committee for part time positions specified above. At least three fourth of the members should be present to continue the quorum for the interview committee to proceed with interviews.

Deputy Vice Chancellor Academics (Chair- Academic Positions only)

University Administrator (Chair- Administrative positions only)

Registrar (Administrative positions only)

Director of Human Resource (Administrative Positions Only)

Director of Quality Assurance (Academic positions only)

Dean/Director of relevant faculty/school (for academic positions only)

A maximum of one expert drawn from within the UoK or outside

Head of relevant Department

3.9.6. Responsibilities of the Committee

The Interview Committee sets the date and place of interviews, their length and whether any presentations or other tasks are required, in liaison with the Director

of HR. The DHR is responsible for making all arrangements and notifying candidates and the panel. This includes arranging reception arrangements, any hospitality, and the subsequent notification of the arrangements, including any presentations to be made or tasks or tests to be undertaken, so that letters or telephone calls inviting applicants to interview can be sent out in good time. Candidates should be given a specific time to arrive and informed where they are to report to on arrival. Candidates should NOT all be asked to arrive at the same time but at 30-minute intervals. If more than one post is being interviewed for on the same day all the candidates for one post should be interviewed successively and a decision reached by the interview panel before the interviews for another post commence. A room for candidates to wait in should be arranged.

On the day of the interviews, the Office of the DHR should ensure the rooms in which the interviews are to be conducted is appropriately laid out at least 10 minutes before the interview panel is due to convene. The interview panel should be asked to convene 30 minutes before the time that the first candidate is invited to attend for interview.

3.9.7. Responsibilities of the Chair of the Interview Committee

The Chair of the interview committee shall:

- Ensure that the correct selection procedure is followed
- Ensure that all members of the interview committee are aware of the UOK policies to guide the selection of appropriate candidates.
- Require committee members to read the advertisement and job description for the post and the candidate`s full CVs and referee reports (where applicable) prior to the interviews.
- Ensure that all candidates are graded, in accordance with the advertised criteria
- Ensure that there is discussion in the interview committee on the rationale for the grading of the candidates, and at the conclusion of the work of the interview committee, summarizes the rationale for the grading of all the possible candidates, the reasons for recommending the appointment of the successful

candidate and the reasons for the others candidates being unsuccessful. Ensure that this process is documented.

- Ensure that a process of questioning is discussed and agreed upon by the committee, to ensure that all candidates are equally assessed.
- Sign off interview committee minutes and recommendations.

3.10. **The Selection Process**

Good selection methods are essential to ensure that the best candidate is appointed and that the decision-making process is fair, transparent and effective. The main sources of evidence that will be used in coming to a decision about an appointment are:

- The Post and Candidate Profiles
- The interview
- The contents of the Application Form
- Tests, tasks or presentations, depending on the level and content of the job
- The references.

The selection process for all advertised academic posts should involve candidates making a presentation to staff. A senior member of staff will be asked to collect the views of staff present at the presentation and pass them on to the Interview Chair. These will be used to form part of the selection process.

3.11. **Disclosure of Relationship by Interviewer**

Employees will not be involved in the recruitment and selection of close relatives, partners or friends.

The employment of close relatives and partners should be in line with the Institution's values and principles of governance. Such employment should not raise any questions or concerns, either internally or externally, about the reason or method of recruitment and/or working relationships with any other employee. In addition, such employment should not put any employee in a situation that raises allegations of favorable treatment towards a close relative or partner.

HUMAN RESOURCE MANUAL

The interview panel should agree in advance the questions be asked and which member of the panel is going to lead on which question. All candidates should be asked the same questions by the interview panel in the same order. Supplementary questions or specific questions about the information supplied in the application may be asked that vary between candidates.

At the outset of the interview, the chair should welcome the candidate and introduce the members of the panel. The Chair should explain how the interview will be conducted, ensure that the candidate has an opportunity to ask questions at the end of the interview and explain to the candidate when and how they will be informed of the outcome.

The HR Officer is present to the clerk the proceedings, provide legal and other advice as necessary and to monitor for equal opportunities. The HR Officer is not a member of the panel with respect to making a decision on the appointment of candidates.

3.12. **Canvassing**

Candidates found canvassing with interviewers prior to the interview shall be disqualified.

3.13. **Recording of the decision-making**

All recruitment and interview processes must have a record and the Chair of the Interview committee should ensure that such a record is compiled. All interviewers should complete the Interview Selection Assessment Form (Appendix 5) and should attach any additional notes that they have made. This form can be amended to include other methods of selection. All notes must be based on objective selection criteria only. The Interview Committee must complete the Interview Decision Form (Appendix 6) and all documentation should be returned to the HR Office. Reports should include:

- The selection criteria
- A description of the recruitment strategies employed
- The profile (CVs) of the candidates who we interviewed
- The interview committee's reason for recommending the appointment of a candidate and its reasons for the other candidates being unsuccessful, as summarized by the chair and agreed to by the committee.

3.14. **References**

In relation to references for academic appointments please refer to Appendix 8.

The HR Officer will take up two written references for the successful candidate, including the current or most recent employer. All offers will be subject to satisfactory references and police clearance.

3.15. **Offer of appointment**

The recommendations of the interview panel will be conveyed in writing to the Executive Committee who will confirm the appointment recommendations. All appointments are subject to final confirmation by the Board of Directors.

A written offer will be sent out by the Human Resource Officer, following consultation with the Chair of Executive Committee, and will be made subject to satisfactory references, police clearance and confirmation of the Board of Directors. For Academic and research posts a 6-month probationary period may apply. Expatriate contracts are for two years, renewable.

3.16. **Minimum Appointment Criteria for Academic Staff**

Tutorial Assistant: should be in possession of a relevant Bachelor`s degree with a level of attainment equivalent to an Upper Second (i.e. B grade average) or higher.

Assistant Lecturer should be in possession of a masters degree or a post graduate diploma with a level of attainment equivalent to an Upper Second (i.e. B grade average) or higher

The lecturer should be in possession of a relevant Master`s degree or equivalent with a level of attainment equivalent to an Upper Second (i.e. B grade average) or higher. Candidates should have a minimum of two years lecturing experience and at least one refereed journal article published. Industry applicants may be given relaxation in experience requirements on a case by case basis.

HUMAN RESOURCE MANUAL

Senior Lecturer should be in possession of a relevant Ph.D. degree. Three (3) years of service as a lecturer, and a satisfactory record of teaching, research and publication, and service to the academic and wider community.

The lecturer should have a cumulative record of four (4) publications, two (2) of which must have been published since attaining the grade of Lecturer. At least two (2) of the publications must be refereed scholarly works.

Associate Professor should be in possession of a relevant Ph.D. degree. Three (3) years of service as a Senior lecturer, a satisfactory record of teaching, research and publications, and service to academic and wider community. One must have a cumulative record of eight (8) publications of which four (4) must have been published since becoming Senior Lecturer. At least six (6) of the publications must be refereed scholarly works of which at least (3) must have been published since appointment as senior lecturer.

Full Professor should be in possession of a relevant Ph.D. degree Five (5) years of service as an Associate professor, satisfactory contribution in teaching, research and publication and service to the academic and wider community. One must have a cumulative and sustained record of sixteen (16) publications of which eight (8) must have been published since attaining the rank of Associate professor. At least ten (10) of the publications must be refereed scholarly works, of which at least 5 must have been published since appointment as associate professor.

3.17. **Minimum Appointment Criteria for Librarians**

Assistant Librarian should be in possession of a relevant Bachelor`s degree

Librarian should be in possession of a relevant Master`s degree in Library and Information Science (or equivalent). Three years of satisfactory service as Assistant Librarian. One should have a satisfactory record of research and publication which includes a cumulative record of two (2) publications.

3.18. **Minimum Appointment Criteria for Administrative Staff**

Registrar/Director HR/CFO/Other higher positions

- A master`s degree/Professional qualification in the relevant field
- Six (6) years of relevant experience in the field of expertise as required
- Four (4) years should be at a Senior management level
- Record of contribution to the field of expertise
- Excellent managerial and leadership skills
- Other job specific criteria as may be required

Note: For other administrative/support positions the relevant qualification and experience will be determined by the job requirements. The requesting department should specify the requirements.

3.19. **Equal Opportunities**

The University of Kigali is committed to working towards the principles of social justice and equal opportunity in all aspects of the Institution`s life and creating a positive atmosphere where there is a shared commitment to value diversity and respect difference. The UOK is dedicated to promoting equality, diversity and a supportive environment for its students, staff, and others closely associated with its work and affirm the right of individuals to be treated fairly and with respect. All those associated with UOK, especially staff and students, should expect fair treatment without discrimination when applying to work or study at the Institution. UOK strives to ensure that people are treated equally regardless of their sex, marital status, race, color, ethnic or national origin, nationality, economic background, disability, religion, age or other inappropriate distinctions. Staff and students are expected to act in accordance with the equal opportunity principles set out in this policy. The institution will not tolerate discriminatory behavior.

3.20. **Role of the Director of Human Resources**

It is the responsibility of the Director of HR to ensure that all University policies and procedures are adhered to in terms of advertising, short-listing, recruitment and interviewing. The Director of Human Resources works closely with the respective

HUMAN RESOURCE MANUAL

faculties/offices for the effective conduct of the recruitment process and shall be assisted by the faculty/office administration as may be necessary.

The director`s primary function is to advise and assist in the recruitment and interview process including the following:

- Handling all the administration for posts advertised.
- Advice on policies, procedures, employment equity and legislation.
- Assisting with informing short-listed candidates of the details and requirements of the interviews.
- Informing and negotiating with the successful candidates
- Coordinating and arranging meetings of the interview committee.
- Coordinating and acknowledging receipt of applications.
- Reference checking as may be required.
- Arranging travel and accommodation for out of town candidates (when approved)
- Preparing a report on the recruitment and interview process.
- Preparing the minutes and recommendation(s) of the interview committee.
- Forwarding the minutes and recommendations to the Vice Chancellor or delegated authority for approval
- Prepare an offer and appointment letters.

4. INDUCTION PROCEDURE

Before new staff members commence work, the immediate supervisor or nominee is responsible for the new staff member's induction.

Once the new staff member commences work, he/she should be introduced to the UOK and his/her new job by means of an induction programme as determined by the UoK. It will be the joint responsibility of the Director of Human resource and the immediate supervisor that all new appointees are inducted into new positions in a timely manner.

4.1. Checklist for the Induction of a new Staff member

To ensure that staff members are welcomed and properly inducted into their new departments the following checklist must be used for each staff appointed. It may also be of benefit to staff that has been transferred from another campus/department.

- Allocate sufficient time to welcome the new staff member and to introduce her/him to the Department. Alternatively, decide who will be fully responsible for the induction of the new staff member and ensure that the person has freed up enough time for this purpose
- Draw up an induction programme for the new staff member. Keep in mind that the person will need some basic information and instruction in the beginning such as procedures to follow, e-mail and communication procedures, research administration. University, faculty and departmental policies and where to find other necessary information etc.
- The Director of Human Resource will ensure that the new staff member is received at the airport and the relevant accommodation is arranged, i.e. if the person is from outside Rwanda.
- The Director of Human resource will then at the appropriate time accompany the new staff member to the relevant Department where the HOD will welcome and introduce the new staff member to fellow colleagues and members of staff in the Department.

HUMAN RESOURCE MANUAL

- Show the new staff member around the Department and building (including essential amenities and services)
- Discuss basic conditions of service to ensure that the new staff member fully understands these
- Where relevant, explain the probationary policy and procedure
- Discuss with the new staff member what is expected of the person in that Department, i.e. general rules/procedures/systems used in the Department.
- Discuss the responsibilities/duties of the specific role/job into which the new staff member has been employed and the expectations/standards of the Department.
- As appropriate provide information on, introduce the new member of staff to resources and services relevant to lecturing, student evaluation, professional development etc.
- Ensure that the new staff member has all the basic equipment and furniture that he/she will need to perform hi/her duties as well as a `start-up` stationery supply.
- Arrange for all necessary computer access that the person will need
- Inform the relevant colleagues and the members of the Department preferably through a brief introductory meeting. Explain what his/her area of responsibility will be brief introductory meeting. Explain what his/her area of responsibility will be (alternatively this can be done via email where all relevant staff have access to e-mail)
- Inform any other department(s) that need to know about the arrival of the new staff member

4.2. The Director of Human Resource will ensure that following documents for appointment are submitted on new staff`s file like every other staff

- Comprehensive CV
- Certified copies of all relevant qualifications
- Equivalence Document from HEC if the degree is from a foreign institution
- Certified copies of identity Document or Passport
- Work permit (if applicable)

HUMAN RESOURCE MANUAL

- Social Security number (if applicable)
- Bank Details
- Contract of Employment
- Appointment Letter

The staff member will not be paid if all documents are not completed and submitted to the Human Resource Office

5. PROBATION POLICY

- 5.1. UoK requires a new staff member to be subject to a probationary period to determine whether a new staff member has the required skills, attitude and knowledge towards work and people to effectively perform his/her duties
- 5.2. The strengths and weakness of a staff member, as identified during the probationary period, should be addressed as soon as possible in order to create the opportunity for the staff member to develop and grow in his/her position. Probationary periods furthermore provides the opportunity to determine whether a new employee is placed correctly or whether he/she would not perform better in another position.
- 5.3. All new staff members to be appointed in a full-time capacity on the establishment of the University (both administrative and academic) shall serve a probationary period of six (6) months from the date of appointment. A different length of probation period may be applicable in exceptional cases as may be decided by the management/ Board of Directors.
- 5.4. All administrative staff members promoted to a higher rank/position shall also serve a probationary period of six (6) months from the date of promotion.
- 5.5. The immediate supervisor will monitor the performance of the new staff member during the probation period and document every 3 (three) months in the relevant report form for academic and administrative staff. The report shall be forwarded to the head of Unit for corrective direction and finally to the Director Human Resources for filing.
- 5.6. It is required that both the staff member and his/her immediate supervisor sit together to discuss and complete the probation report. It is of vital importance that the supervisor creates a congenial atmosphere where the matters at hand may be discussed frankly and honestly.

HUMAN RESOURCE MANUAL

- 5.7. On submission the final probation report, the immediate supervisor must recommend whether the appointment of the employee should be confirmed as a permanent appointment or not.
- 5.8. In a case, a staff member is not recommended for permanent appointment, or where the extension of the probationary is recommended, the immediate supervisor must submit detailed reasons for such recommendation.
- 5.9. The staff member concerned will be notified in writing of the appropriate committee's decision, within 15 calendar days after the expiry of the probation period. If the staff member concerned is not informed formally within 30 calendar days, the probation may be accepted as confirmed.
- 5.10. If confirmation of a particular probation period is not recommended, and termination of employment/transfer to another position is recommended instead, the supervisor must provide full details for the recommendations to the appropriate committee.
- 5.11. Should termination of appointment be recommended on the basis of `good cause` and approved by the applicable committee, a 30 calendar days notice period will be effective. A shorter notice period shall be considered upon request of the staff member concerned who will have the opportunity to resign voluntarily from the service of the university.
- 5.12. Good cause means
- Failure through physical or mental incapacity or through inability, unsuitability or persistent neglect of the staff member to perform the duties of his/her office properly, and /or
 - Misconduct of such a nature as to render the staff member unfit to continue to hold his/her office (a recommendation based on mental incapacity must be supported by an evaluation report by a qualified and registered psychologist. It is the responsibility of the immediate supervisor and Human resources Directorate to ensure that such evaluation is done.)

6. PROMOTION POLICY

- 6.1. Academic staff promotions will depend on satisfactory performance in all three key areas of teaching, research and community service
- 6.2. General Procedures
 - 6.2.1. Applications for promotions will be scrutinized at three levels i.e. faculty, university and external for promotions to the rank of Associate professor /Full professor, Applications for promotions at all other levels will be scrutinized at two levels i.e. faculty and university
 - 6.2.2. Staff members who wish to apply for promotion will hand in their promotion application in the prescribed form to the Office of Human Resource during the first week of any trimester.
 - 6.2.3. All applications will be checked for completeness by the Office of HR and candidates will be informed in writing of any missing documents.
 - 6.2.4. The Office of Human resource will coordinate the distribution of applications to the relevant Dean/head of Departments
 - 6.2.5. Relevant head of Department / Dean will set up a peer Committee (level1) to evaluate the promotion application following the UOK guidelines and criteria as stipulated in this document. The faculty peer Review Committee will have a maximum of one month to complete their evaluation. The Dean/Head of Department will then return the promotion applications with the duly completed recommendation form(s) and report (s) to the Office of Human Resource for onward distribution to the next level.
 - 6.2.6. The Vice Chancellor will set up a University Peer Review Committee (level 2) to evaluate the promotion application following the UOK guidelines and criteria as stipulated in this document. The University Peer Review Committee will have a maximum of one month to complete their evaluation. The VC will then return the promotion application/s with the

HUMAN RESOURCE MANUAL

duly completed recommendation form(s) and report(s) to the Office of Human Resource for finalization of the application/onward distribution to the next level, as the case may be.

- 6.2.7. At all levels, applicants may be called to provide clarifications and information to the relevant committee during the meeting. Applicants will thus be informed of the date and time when their applications will serve on the relevant committee.
- 6.2.8. The review Committees at each level will be required to complete and submit the relevant Summary Staff Promotion Assessment form, as well as written report.
- 6.2.9. Once an application has been submitted it will pass through both faculty and university levels unless the application is withdrawn by the applicant. This is to ensure that the candidate is not unduly disadvantaged at any level.
- 6.2.10. The external referees will be selected from amongst scholar of distinction in the fields of specialization of the applicant. Both the external referees will be identified by the office of Vice Chancellor in consultation with the relevant faculty. Should there be a discrepancy in the evaluation of the two identified referees, a third external referee will be appointed.
- 6.2.11. Successful applicants will be informed via the office of the Vice Chancellor regarding their promotion. Unsuccessful applicants will receive a letter indicating the shortfalls with their applications from the Office of University Administrator
- 6.2.12. Academic staff promotion is a highly confidential process. Discussions and decisions taken at all three levels of the process are strictly confidential and any unauthorized disclosure of information by any member will be regarded as a serious offense. Similarly, the candidate will not be entitled to obtain any information on the discussions and decisions taken at any level until the final decision is communicated to him/her via the relevant offices. Any attempt from the candidate to influence the process will be regarded as a serious offense.

HUMAN RESOURCE MANUAL

- 6.2.13. The candidate will be entitled to enquire about the progress of his/her application through the various levels, strictly through the Office of Human Resource. The office of Director of Human Resource will further inform candidates of the movement of their applications through the relevant committees.
- 6.2.14. Staff members applying for promotion will submit the following documents:
- A completed Promotion Application Form
 - Copies of the Annual Staff Appraisal Form of the three years preceding the promotion
 - An updated Curriculum Vitae
 - Copies of all publication clearly numbered according to the publication list as submitted with the promotion form.
 - Any other evidence to substantiate information provided in the promotion application form.
- 6.2.15. Teaching effectiveness will be assessed based on (i) Student evaluation forms (%40) and (ii) Peer assessment by the head of Department/Dean (%20), and Director of Quality (%20), DVCA (%20).
- 6.2.16. Research and publication productivity will be assessed using procedures and guidelines outlined and annexed at the end of this policy.
- 6.2.17. Community service contribution will be assessed with respect to the staff member's involvement in active participation in University administration and various committees (such as Task Forces, curriculum development, invigilation etc) as well as service provided to the wider community on the national and International level. This assessment will be based on information provided by the candidate in the annual appraisal forms and the promotion application form.
- 6.2.18. Candidates applying to the levels of Associate professor/full Professor, who received a positive recommendation from the peer review Committees, will proceed to external evaluation.

HUMAN RESOURCE MANUAL

- (a) Applicants will be required to select their best/most influential publications for external evaluation
 - (i) An applicant for promotion from the rank of the Senior Lecturer to the rank of Associate professor must select six (6) publications of which at least four must be refereed journal articles.
 - (ii) An applicant for promotion from the rank of Associate professor to the rank of full professor must select twelve (12) publications of which at least eight (8) must be refereed journal articles.
 - (iii) Copies of the selected publications, together with an updated CV and complete list of all publications and the publication points awarded to each of these by the peer review Committees will be forwarded to the two external reviewers (simultaneously where possible) by the office of the Human Resources.
 - (b) Evaluation by external reviewers will be based on the CV, complete publication list indicating publication points and the selected publications. External reviewers will be requested to specifically comment on the quality of the selected publications and whether or not these are comparable to what is acceptable to what is acceptable at similar institutions.
 - (c) External reviewers will further be informed of their right to request any additional publications from the submitted list if required.
- 6.2.19. Provision will be made for an applicant to lodge an appeal if she/he is not in agreement with the final decision as communicated to him/her. The final decision on whether or not an appeal will be granted rests with the UoK Executive Committee. In the case where an appeal is granted, a different evaluation team will be appointed.
- 6.2.20. The promotion will be effected on the first of the month following the date of approval by the Vice Chancellor.

- 6.3. Recognition of Services Rendered by Academics and Deans/Associate Deans of Faculties/ Directors and Heads of Departments (Discount on publication requirements). Members of the academic staff who serve as Deans, Associate Deans, and Directors or as Heads of Departments, or on other special assignments/task, render vital and extensive service to UoK. Their activities include attending Committee meetings, serving as members of various task forces, handling staff and student problems, etc. in addition to their teaching, research and publication contributions.
- (i) All applicants for promotion in the above category must follow the normal procedures for the promotion of academic staff as outlined above.
 - (ii) Deans/Associate Deans/ Directors / Heads of Departments will be allowed a discount on publications since their extensive service in administrative work makes it difficult for them to vigorously pursue research, publication and other scholarly activities.
 - (iii) Deans/Associate Deans/ Directors / Heads of Departments who demonstrate exemplary leadership throughout his/her term (not less than 3 years) should earn a maximum discount of two publications (which represents a maximum of 4 publication points) for the entire period of holding office (term). One of these two discount publications could be regarded as a refereed journal article. Applicants who served less than 3 years but not less than 2 years in such position(s) be allowed a maximum discount of one publication (representing 2 publication points) for successfully and satisfactorily completing the term. This discounted publication could be regarded as a refereed journal article.
 - (iv) Discounts on the number of refereed articles and other publications generated by administrative service cannot fully replace the requirement to produce refereed scholarly works and other publications. Therefore, a staff member applying for promotion from lecturer to Senior Lecturer must still generate a minimum of 1 refereed article since attaining the post of lecturer.

HUMAN RESOURCE MANUAL

- 6.4. Administrative staff promotions will be handled on a case by case basis based on the performance of the incumbents and the position requirements, should a new position be available offering avenues for promotion.

HUMAN RESOURCE MANUAL

7. REMUNERATION AND BENEFITS POLICY

All UoK staff will be remunerated according to the job positions they hold and in accordance with the approved UoK salary structure. More specific details on remuneration are contained in individual contracts or any other related communication.

The Board of Promoters reserve the right to remunerate staff a person to holder salary

The agreed remuneration between the University and the employee is referred to as the Net Salary payable to the employee. UoK pays the following in addition to the net salary:

- NSSF organization`s contribution: 5% of Basic Salary
- Pay as You Earn (Income Tax)
- Medical Insurance
- Any other contractual benefits and allowances as applicable

A member of staff has the responsibility to claim his/her allowance at the end of the period of assignment

All claims for remuneration shall be made to..... through the relevant supervisors.

Staff whose positions are part-time shall have their remuneration mutually agreed with the University.

All staff, except those under a special arrangement, shall be paid a monthly salary through their banks.

Appeals of any nature shall be addressed to the Vice Chancellor

The following are the types of allowances under this policy;

Responsibility allowance

Acting allowance

Extra Load allowance

Out of station allowance

HUMAN RESOURCE MANUAL

Per diem allowance

Outside Travel allowance

8. LEAVE POLICY

8.1. All leave must be approved prior to the commencement of leave, except in cases where it is not practically possible to get leave approved in advance. The University reserves the right to call employees back from the leave should there be a need for the concerned employee to be at work.

8.2. As per the contract signed between the UoK and employees, they are entitled to the following types of leave:

- Annual Leave
- Medical leave
- Compassionate leave
- Special Leave/Study leave/ Staff Development leave
- Maternity leave
- Leave of Absence

8.3. **Annual Leave:** 30 days or as agreed between the individual employee and the Uok. At the end of twelve (12) months of service, the UoK employee benefits from an annual statutory leave of thirty (30) calendar days in case of permanent staff. The annual leave is calculated on the basis of two and a half days per month (2.5) and may be divided up into four (4) periods maximum. Where a UoK employee has not been able to benefit from his/her annual leave during the previous year for service reason though he/she applied for it, he/she is allowed to carry over unutilized leave for accumulation up to two years. Generally, an UoK employee cannot stay in service for more than two consecutive years without taking his/her annual leave. In exceptional cases, alternative arrangements can be agreed between the UoK and the Concerned employee. Such deferment must be on the written authority of the appropriate line manager who will then report his exception to his or her manager and to the HR unit.

Public holidays will be designated as statutory holidays in keeping with Rwanda Labour law. Requests for annual leave must be submitted in writing to the staff member's line manager. It is the responsibility of the individual staff member to ensure that their annual leave is taken. However, sufficient notice must be given

by the staff member to enable appropriate job cover arrangements to be made during their absence.

8.4. **Medical leave** An employee may be granted sick leave with full pay for a maximum period of fifteen (15) days justified by a medical certificate issued by an authorized doctor.

8.4.1. Where a UoK employee is not in a position to resume service following a medical notice by an authorized doctor, he/she benefits from his/her annual leave days if any.

8.4.2. On the first working day of sickness, the staff member should notify their line manager before 10.00 am on the morning of the nature of the sickness and possible return date.

8.4.3. If the employee remains unable to resume work after the extended annual leave for a period of one month, he/she may be dismissed based on the situation of his/her sickness.

8.5. **Compassionate leave/Incidental Leave**

8.5.1. If at any time during the course of employment under the contract, a close relative of the employee falls seriously ill or dies at the home of the employee, the UoK may at its discretion grant the Employee leave for such period as it may consider appropriate.

8.5.2. A close relative is limited to

- (i) the employee and his spouse
- (ii) the employee`s own children
- (iii) the employee`s parents
- (iv) the employee`s next of kin. The employee will complete a form titled `record of next of kin` which shall be annexed to his contract of employment and be an integral part thereof.

8.5.2. When an application for compassion leave is made on the grounds of the serious illness of a close relative, it must be supported by a certificate from a medical practitioner.

HUMAN RESOURCE MANUAL

8.5.3. Compassionate leave will be granted during a year shall not exceed 15 days.

8.6. **Maternity Leave** UoK employees are allowed twelve (12) consecutive weeks for maternity leave. Breast feeding mothers will be allowed 1 hour every day to breast feed their children for 12 months

8.7. **Paternity Leave:** UoK employees are allowed four (4) days of paternity leave

8.8. **Leave of Absence:** An authorized leave of absence (for one day maximum at a time which is not deductible from the annual leave may exceptionally be granted to a UoK employee by his/her immediate superior for duly justified reasons, provided the employee has already exhausted his annual leave. Such leave of absence may be granted only twice a year.

8.7. **Special Leave** This leave is granted to academic staff to attend conference or workshops related to their professional fields. This leave may also be used as study leave /staff development leave for writing examinations for programs related to staff member's field or specialization. This leave is granted for a maximum of 5 days in a year. In case more than 5 days are required. For such purpose, it will be deducted from annual leave.

9. STAFF DEVELOPMENT POLICY

The UoK subscribes to ensure that all its staff is availed conducive environment to improve their qualifications, knowledge, and skills while in the employment of the UoK to pave up to the way for their continuous professional development and to ensure that quality of service delivery is enhanced as a continuous process. All staff shall be accorded the opportunity to participate in staff development activities including further studies, attending seminars, conferences and workshops, work based learning through academic leadership positions among others. Staff training and staff development include all activities aimed at the improvement of skills and knowledge to enhance the institution`s capacity to be a center of excellence. The salient features of the UoK staff development policy are as follows:

- 9.1. Individual contracts specify the specific roles and responsibilities of all staff appointed by UoK.
- 9.2. All staff shall be annually appraised using the appraisal form to identify areas that need improvement.
- 9.3. Academic staff shall be encouraged to study for doctoral degrees preferably on a part-time basis through the institutions of higher learning in the country or from elsewhere. Administrative staff shall be allowed to study for master`s degree at UoK or other institutions of higher learning.
- 9.4. There shall be the provision for study leave to facilitate staff to prepare and sit for examinations as well as to attend conferences and workshops.
- 9.5. UoK also shall facilitate payment of tuition fees by advancing interest-free loans to its staff, repayable in easy installments as shall be agreed between the UoK and the staff involved. This, however, shall attract an agreed bonding period and a bonding form shall be signed.
- 9.6. Staff progress/outcomes will be regularly monitored. Staff attending external conferences and workshops will be expected to submit a report on their return.

HUMAN RESOURCE MANUAL

- 9.7. Staff whose competence or performance is deemed to be below that required by the post may be required to undertake staff development as may be recommended by the university management.
- 9.8. All UoK full-time teaching staff are required to acquire a formal qualification in teaching such as a Postgraduate Certificate/ Diploma in Learning and Teaching in Higher Education.
- 9.9. UoK shall actively engage in partnership with other institutions of higher learning and other international organizations to seek opportunities for staff development including scholarships for its staff to pursue higher studies.
- 9.9. Staff mentorship is institutionalized to ensure that senior staff especially expatriate staff work jointly with junior staff on research and publications to ensure skills transfer.

10. PRIVATE WORK PROCEDURES

10.1. General Rules

This section provides guidelines to members of staff who wish to engage in private work outside the terms of their University contract, and the steps they should take to inform the University and obtain its permission to undertake such work.

10.1.1. The University encourages its staff to undertake contract research, consultancy, and other advisory work. It supports individuals who wish to contribute to the public service, industry, and commerce.

10.1.2. The University regards private activities of this nature as an enrichment of experience, a support for the academic work of departments, an aid to recruitment and retention of staff, and a service to society and the national economy.

10.1.3. The University wishes to foster the development of private links provided that these are compatible with its main functions of teaching and research and that they do not conflict with the interest of the department, faculty or University.

10.1.4. The professional commitment of full-time members of staff is to the University. The quantity and nature of private work should not be such as to have an adverse effect on the individual's primary commitment nor on the University.

10.1.5. In terms of UOK human resource policy, it is required that all full-time staff members of the University must seek permission, from the Vice-Chancellor through the Director Administration & Finance, to undertake private work. This includes permission to act as a Director or Board member of a company

10.2. Definition of Private Work

10.2.1. Private work includes activities, which are added to the teaching, research and other requirements of the individual's University appointment as defined in the contract agreement. This includes consultancy and similar work, or other engagement with a third party, as well as membership of Governmental organizations, Boards, and Directorships. Where relevant to the professional discipline, it also includes private practice.

10.2.2. The following does not constitute private work, hence permission is not required to engage in such works:

- i. Writing and publishing of academic / reference books
- ii. Writing and publishing of research articles
- iii. Writing and publishing of newspaper articles
- iv. Providing services as external moderators/examiners

NB: The opinion expressed through such literary works should be of the individual staff member, not the University. No claim can be filed against the UoK as a result of such works.

10.3. Disclosure of Private Work

In addition to the duty of an employee to an employer regarding disclosures of private work, the University has the following reasons for expecting disclosure:

- 10.3.1. Accountability: To justify accountability of activities undertaken by the employee, which is not part of the formal contract of employment.
- 10.3.2. Cost recovery: The use of University facilities, personnel or material, must be paid for at a rate determined prior to the commencement of such work.
- 10.3.3. No private work should be undertaken which implies any contractual obligations with a third party on the part of the University unless the Vice-Chancellor, on behalf of the Council, has agreed to such obligations.
- 10.3.4. Private work should be academically and professionally appropriate; it should not bring the University's good name into disrepute.

10.4. Intellectual Property

The University will exercise its rights to the ownership of intellectual property created by its, employees whether in the normal course of their employment (or in any private work related to their professional expertise). Any private work which is likely to give rise to conflict with this provision should be discussed with the Vice-Chancellor and a written report must be submitted to the Director of Human Resource.

10.5. Disclosure of Earnings

It is mandatory that the earnings generated by such private work are disclosed to the University. The university shall get a percentage of earnings as decided by university management / Board of Directors from time to time or in respect of a particular work engagement.

10.6. Conditions for Doing Private Work

- 10.6.1. The practice of private work must not interfere with the delivery of normal lecturing, research and administrative functions for which the applicant is responsible as a member of UOK's staff.
- 10.6.2. Permission to undertake private work does not automatically imply the granting of a leave of absence from the University for specific days/time periods. Such leave must be applied for in advance. In case of failure to do so unpaid leave will be processed and appropriate disciplinary action will be taken.
- 10.6.3. A member of the lecturing staff who has been granted permission to undertake private work must be readily available in his/her office in accordance with UOK and departmental/faculty rules and regulations.
- 10.6.4. The University is not liable for any claims, which may arise from private work undertaken by a staff member.
- 10.6.5. A staff member undertaking private work as approved by the University shall subscribe to the highest level of ethical conduct to ensure that UoK name is not brought into disrepute. Failure to maintain a high level of ethical conduct may result in disciplinary action against the employee involved.
- 10.6.6. Where contractual obligations are involved, the staff member shall acknowledge in writing to his/her client that the contract is a private contract between him/herself and the other contracting party/parties and that the University of Kigali may not be held liable in any way whatsoever, for any claims in respect of alleged damages or other losses of whatever nature except where the University of Kigali is the contracting party.
- 10.6.7. Vacation leave may be granted for a private contract i.e. a contract between a staff member of the University and his/her client. In cases where the university is the contracting party Special leave may be granted to the staff member acting on behalf of the university.
- 10.6.8. Withholding of any information and breaching of contractual obligations may result in disciplinary actions being implemented by the university.

10.5. Procedures to be followed in Respect of Private Work

- 10.5.1. Staff members undertaking or who wish to undertake private work should contact their immediate supervisor in the first instance to discuss the intended private work.
- 10.5.2. Staff members must complete the application form and forward it to the immediate supervisor.

HUMAN RESOURCE MANUAL

- 10.5.3. The completed application form must be submitted, via the Director of Administration & Finance to the Vice-Chancellor for approval.
- 10.5.4. Should an application not be supported by the immediate supervisor, the staff member concerned may approach the next level supervisor. Full detail as to why the application was not supported must be submitted.
- 10.5.5. The Vice-Chancellor in consultation with the Chairman Board of Directors will have the final decision regarding approval to engage in private work.
- 10.5.6. Applications must be accompanied by a detailed contractual, staffing and financial implications which are to serve as a guide to the approving authorities

11. PERFORMANCE MANAGEMENT POLICY

11.1. Scope

The policy covers the guidelines and procedures relating to evaluating performance expectations.

It is aimed at providing a comprehensive and equitable performance management framework for regular and constructive discussion between the supervisor and supervisee. This enables creating a clear direction for staff to ensure that their work is aligned with the strategic objectives of the University. Through a good performance system, strengths and weaknesses, performance gaps and training needs are identified and attended to. The unique competencies that individual staff demonstrate are also identified and documented by supervisors

11.2. Policy statements

- Performance evaluation shall be carried out bi-annually
- Every staff shall be given a job description.
- There shall be a standardized performance management system with standard performance evaluation instruments for the different categories of staff in the University.
- It is the responsibility of every supervisor and supervisee to implement the evaluation.
- The supervisor and supervisee shall set a performance plan with clear performance indicators in relation to the given job description and this will be the basis for evaluation.
- The performance evaluation session shall be participatory and open, involving the supervisor, supervisee, and any other person if the need arises.
- The academic staff shall also be assessed by the students.

11.3. Guidelines for Policy Implementation

Strategies shall include: Documentation, committee reviews and compliance

Processes shall include:

- (i) **Performance plan:** The supervisor and staff shall develop an annual performance plan with clear Key performance indicators. While the staff shall comply with the requirements in the work plan, the supervisor shall assist the staff to carry out the duties.

HUMAN RESOURCE MANUAL

- (ii) **Performance Monitoring:** The supervisor shall regularly monitor the progress of performance. The supervisor shall ensure that adequate and regular facilitation is provided for the staff to perform and work out a schedule for supervision.
- (iii) **Performance Evaluation** The staff shall initiate the evaluation by filling their section of the form. The supervisor shall also fill their part within one week. The two shall then arrange an evaluation meeting to fill the last part of the form jointly and set targets for the coming period. The form will then be taken to a Departmental evaluation committee for evaluation and filing of the final part by either approval of evaluation results, referring the matter back to the supervisor for re-evaluation, involving a third party or forwarding to the DHR who will present the results to management.

Management shall make appropriate decisions.

12. **Dignity Policy: Complaints, Grievance, and Dignity**

12.1. **Introduction and Scope of Policy**

12.1.1 The purpose of this policy is to assist in establishing an environment in which harassment, bullying, and victimization are regarded as unacceptable across the University. Individuals should have the confidence to complain about harassment or bullying, and lack of consideration, in the knowledge that their concerns will be dealt with appropriately and fairly. This policy outlines procedures to be followed if anyone at the University feels they are being harassed, bullied or victimized.

12.1.2 The principles of this policy apply to all staff, students, associates and any contractors working on campus. It is the responsibility of the Human Resources Department to issue this to all staff. Heads of School/Department must make sure that their staff have received awareness training and understand the context of this policy.

12.1.3 All employees and students involved in the harassment and bullying complaints procedure and/or the investigation process are required to respect the need for confidentiality.

12.1.4 Information will be kept confidential if it has been given in confidence unless the information provided is of a serious nature and the University is under an obligation to use it to fully discharge the duty of care.

12.2. **Harassment**

12.2.1 The relevant legislation makes harassment on the grounds of a protected characteristic unlawful. This protection includes people who find the behaviors offensive even if it is not directed at them and even if they do not possess the characteristic.

12.2.2 The Law offers protection from:

- Unwanted conduct that is related to the protected characteristics of age; disability; gender reassignment; race; religion or belief; sex; sexual orientation and that violates the person's dignity or creates an intimidating, hostile, degrading, humiliating or hostile environment for that person
- Unwanted conduct of a sexual nature (sexual harassment)
- Less favorable treatment for rejecting/submitting to sexual harassment or harassment related to sex or gender reassignment

HUMAN RESOURCE MANUAL

12.2.3 Harassment that is targeted at an individual or group of individuals may occur on the grounds of:

- A person's **actual** personal characteristics - for example, a person's views are persistently ignored or not sought because they have diagnosis of mental ill health
- A person's **perceived** personal characteristic – for example, homophobic/derogatory remarks are made to a person assumed to be gay, whether they are or not
- The characteristic of a person with whom someone is **linked** – for example, a person is harassed because of the religious or philosophical beliefs of a relative or friend

12.2.4 Alternatively, harassment may not be personally targeted **at** an individual at all. For example, if, in a particular team, a culture exists which permits offensive or stereotypical jokes, then a person may have a valid complaint of harassment, even if these do not relate directly to the complainant. For instance, a racist work culture which negates minority ethnic groups may create an offensive environment for staff of all races. People of any race or ethnic background would have a right to complain even where the offensive remarks were aimed only one particular race.

12.2.5 Harassment can take a variety of different forms ranging from repeatedly ignoring a colleague or subjecting them to unwarranted attention, to intimidation, humiliation, ridicule or offense. Harassment may not be deliberate; someone may harass another person unintentionally.

12.2.6 Differences of attitude or culture and the misinterpretation of social signals can mean that what is perceived as harassment by one person may not seem so to another. People should feel comfortable about explaining why particular words or conduct are unacceptable to them and should be able to expect that others will treat their views seriously.

12.2.7 People in positions of trust and authority and those with a pastoral role have a particular obligation to ensure that they do not use their power to harass other staff or students of the University.

Please see section 12.5. Harassment and Bullying Examples for the most prevalent forms of harassment.

12.3. Bullying

12.3.1 Bullying is the exercise of power over another person through negative acts or behaviors that undermine him/her personally and/or professionally. It is often characterized by inconsistent treatment of people. Bullying can be threatening, insulting, abusive, disparaging or intimidating behavior; placing inappropriate pressure on the recipient which can affect self-confidence or has the effect of isolating or excluding them. It involves behavior that is unacceptable to the recipient and creates an intimidating, hostile or offensive environment for employment, study or related social activities.

12.3.2 Bullying may consist of a single incident, sporadic events or a continuing process. Behavior that may appear trivial as a single incident can constitute bullying when repeated.

12.3.3 As with harassment, bullying is not always deliberate; someone may demonstrate bullying behavior without intending to. Whichever form it takes it will often cause embarrassment, fear, humiliation or distress to an individual or group of individuals.

12.3.4 Bullying may be by an individual against another individual (perhaps by someone in a position of authority such as a manager or tutor) or groups of people (perhaps a person will act in a bullying manner towards several colleagues). Similarly, a group of people may also be responsible for bullying behavior towards an individual (for example, if a group of staff members acts in a way that leaves an individual feeling isolated or excluded). People in positions of authority can be bullied by those who are not.

HUMAN RESOURCE MANUAL

12.3.5 Harassment and bullying are to be distinguished both from the sort of vigorous academic debate which is to be encouraged at a University and from the actions of a manager or tutor making reasonable and appropriate (but perhaps unpopular) requests of his/her staff or students. These are examples of conduct that (whether or not acceptable to the recipient) are warranted in the circumstances. Management actions that go beyond reasonable and appropriate requests within the context of the staff /student relationship may be considered to be harassment or bullying.

12.3.6. The defining features of harassment and bullying are therefore that the behavior is both unacceptable to the recipient and unwarranted by the circumstances of the relationship between the parties.

12.4. Victimization

12.4.1 Victimization occurs when a person is treated less favourably because he/she has, in good faith, made an allegation of harassment, or has indicated an intention to make such an allegation, or has assisted or supported another person in bringing forward such an allegation, or participated in an investigation of a complaint, or participated in any disciplinary hearing arising from an investigation

12.4.2 We will not tolerate any victimization of anyone raising a concern under this policy.

12.5. Harassment & Bullying Examples

12.5.1 Some of the most prevalent forms of harassment include the following:

Sexual harassment can take the form of ridicule, sexually provocative remarks or jokes, comments about dress or appearance, the display or distribution of sexually explicit material, sexual advances or physical contact, demands for sexual favors, or assault.

Racial harassment may include jokes about, or gratuitous references to a person's color, race, religion, or nationality; and assumptions based on racial stereotypes. It can also include offensive remarks about dress, culture, or customs that have the effect of ridiculing or undermining an individual or fostering hatred and/or prejudice towards individuals or particular groups.

Harassment of people with disabilities can take the form of individuals being ignored, disparaged or ridiculed because of mistaken assumptions about their capabilities. Their disability rather than their ability can become the focus of attention and harassment can

HUMAN RESOURCE MANUAL

include inappropriate personal remarks, jokes or inappropriate reference to an individual's appearance. People may be wrongly excluded from activities because their requirements have not been considered.

Harassment on the grounds of a person's sexuality may be aimed at heterosexuals but is more usually experienced by gay men and lesbians, transsexuals or bisexuals. Examples of harassment relating to sexuality include homophobic remarks or jokes, offensive comments relating to a person's sexuality, threats to disclose a person's sexuality to others or offensive behavior/abuse relating to HIV or AIDS status. The response of lesbians and gay men to harassment may also be complicated by the fact that in order to complain about it or confront it, they may be forced to be open about their sexuality (perhaps for the first time).

Harassment on the grounds of age may include jokes about a person's age or the age of those with whom the individual associates. It may not be targeted at an individual(s) but consist of a general culture which, for instance, appears to tolerate the telling of ageist jokes. Harassment may also take the form of individuals being ignored or overlooked because of mistaken assumptions about the person's capability and/or willingness to take part in activities, for example, exclusion of those near retirement from training and development opportunities.

Harassment on the grounds of religion or belief may include any behavior, language or conduct relating to a person's religion or belief, or to their not following a religion or belief. Examples of harassment include offensive remarks or jokes about items of clothing and religious artifacts; refusing to work with a person because of their religion or belief; or excluding someone from workplace activities.

The above list of examples is not exclusive and harassment can also take place on other grounds, such as a person's religion, or any other characteristic, whether or not it makes them different from the majority or from the person who harasses them.

12.5.2 Bullying is more than a break down in working relationships. Examples of bullying can include:

- Derogatory name-calling;
- Derisory remarks, verbal abuse, insults, and threats;
- Ridiculing or belittling of an individual;

- Repeated comments in reference to personal traits or appearance;
- Assumptions based on stereotypes;
- Verbal or practical jokes;
- Exclusion from normal workplace conversation or social events — this may be implicit in where or when a social event is held;
- Offensive graffiti or insignia;
- Display or electronic transmission of offensive material;
- Physical attack;
- Incitement of others to do any of the above.

12.6. **Bullying and Harassment Examples Relevant to Students**

12.6.1 **Chanting:** Rivalry during week one between halls of residence leads to X Hall of residence chanting derisory comments at Y Hall residents. Beginning as ‘banter’ the behavior becomes more aggressive and protracted – chants aimed at members of ‘X’ hall become obscene personal insults and the aim is to humiliate any student from that hall.

12.6.2 **Abusive Communication:** An individual student receives a text message from another student, the text contains language which is offensive and alludes to violence.

12.6.3 **Threatening behavior:** A student is the victim of a physical or verbal attack – this is misconduct and should be reported to campus security.

All conduct described above is contrary to the Code of Discipline for Students and this policy.

12.7. **Harassment, Bullying, and Victimization by Electronic Methods**

12.7.1 Electronic bullying and harassment can take place through electronic media, for example, instant messaging, social networking websites (e.g. Facebook, Twitter, blogs) or text messages. In sending emails, all staff and students should consider the content, language, and appropriateness of such communications.

12.7.2 The use of online social networking sites has grown considerably over the last few years. The following guidance is relevant for both students and staff:

- avoid using language which would be deemed to be offensive to others in a face-to-face setting as the impact on the individual will be much the same

- avoid forming or joining an online group that isolates or victimises fellow students or colleagues
- avoid using such services in classes unless tutors have given express permission
- ensure that you never use such sites to access or share illegal content

12.7.3 If occasions of what might be online bullying, harassment or victimization are reported they will be dealt with the same way as if it had taken place in a face-to-face setting.

12.8. What to do if you are being harassed or bullied

12.8.1 Anyone who considers that they may have been the subject of harassment or bullying has the right to be listened to and to be given informed advice on how the matter may be resolved. There are usually a number of options. Anyone who feels they have been harassed or bullied is likely to wish to speak to someone with whom they feel they share something in common. For this reason, they should be able to approach one of a number of different people within the University who has been specifically trained for this role

12.8.2 If you feel that you are being subjected to harassment, bullying or victimization in any form by another member of staff or student they should refer to the relevant procedure contained in this policy:

- Procedure for raising complaints against a member of staff
- Procedure for raising complaints against a student
- Staff/students and student/staff complaints

12.8.3 There is a section on examples of what may constitute harassment or bullying behavior.

12.8.4 If you have been accused of bullying, harassment or victimization, please see section 12.11. Guidance for those accused of Bullying, Harassment or Victimization.

12.9. Support and Further Information for Staff

12.9.1 The University provides a number of services which you can access if you believe you are experiencing the bullying, harassment and victimization issues identified in this policy and guidance.

- Your line manager: ideally, you should talk to your manager if you have experienced or observed harassment, bullying or victimization, or if a complaint is made against you under this policy.
- The DHR (Director of Human Resources) is available for a confidential chat if you don't initially want to involve your line manager. The DHR can sensitively discuss your concerns relating to harassment, bullying or victimization.

12.10. Support and Further Information for Students

12.10.1 Students may refer to the University Student Code of Discipline which outlines expected behavior for advice.

12.10.2 A number of services are available at the University which may be accessed if you believe you are experiencing the bullying, harassment and victimization issues identified in this policy and guidance notes:

- Dean of Student who is trained to advise on matters relating to this policy. Students can seek advice, support, and guidance from the Dean if they have a concern about bullying, harassment, and victimization.
- Security: The security team are not only available to help keep our campuses safe but also to support students who feel threatened or concerned about their safety
- Tutorial Assistants: Your departmental personal tutor is someone who can advise you about sources of support as well as support your academic studies. Contact via your school.

12.10.3 If a student wishes to seek advice and support about making a complaint against a member of staff or student, they may contact the Students' Guild. They will be able to provide advice regarding the options available and support if the student wants to raise a complaint under this policy.

12.11. Guidance for those accused of Bullying, Harassment or Victimization

12.11.1 If you are approached informally by a member of staff or student about your behavior, do not dismiss the complaint out of hand. Remember that all people find different things acceptable and everyone has the right to decide what behavior is acceptable to them and to have their feelings respected by others. You may be offending them without intending to in such a scenario and a simple apology may resolve the matter.

12.11.2 You may seek confidential advice. It would be advisable to do this before taking any other steps. Any discussion will be confidential but you should be aware of the limits to confidentiality. If necessary request a statement setting out limits of confidentiality from whatever source you are seeking advice.

12.11.3 If you come to realize that you have harassed or bullied another person be ready to change the behavior causing offense. Training, coaching, and counseling may be available to support you to change behaviors that may have caused offense or distress.

12.11.4 If after reflection you believe the accusation is unfounded, you should say so and participate fully in the proceeding so that any matter can be resolved as quickly as possible. Mediation and informal resolutions can be effective in resolving any matter informally; therefore, these should be considered a serious attempt to mend working relationships.

12.11.5 For members of staff, if a formal procedure is invoked both you and the complainant has a right to be accompanied at meetings by a work colleague.

12.11.6 Malicious (1) or vexatious (2) allegations of harassment or bullying may give grounds for disciplinary proceedings against the complainant.

1 Malicious - motivated by wrongful, vicious or mischievous purposes

2 Vexatious – not having sufficient grounds for action and seeking only to annoy or cause embarrassment to the recipient

12.11.7 For members of staff, regardless of the outcome of the complaint, you will be required to take reasonable steps to restore adequate working relations between yourself and the person who made the complaint.

12.11.8. Formal Complaint

12.11.8.1. The University will deal with cases of alleged harassment or with the bullying impartially and sensitively. A formal complaint should be put in writing and forwarded to the Director of Human Resources who will nominate a staff to make arrangements for the complaint to be investigated. 12.2 The letter of complaint should state times, events and witnesses of events, how the complainant was feeling and any action they have taken. It should be noted that this letter of complaint will be forwarded in full to the person being complained about.

12.11.8.2. The Human Resources Department will acknowledge the complaint and notify the person being complained about that a formal complaint has been made against them. A senior member of the School/Department will be identified by the Head of School/Department to be the Investigating Officer. Where the complaint is against the Head of School/Department, another Head of School/Department will be responsible for the investigation. The Investigating Officer will send a copy of the complaint to the person being complained about who will be asked to provide a statement of response to the allegations, which should be returned within 5 working days to the Investigating Officer. The response will be forwarded to the complainant. Both parties will be given an opportunity to submit any supporting documentary evidence and a list of any witnesses. The Investigating Officer will request statements/accounts from witnesses.

12.11.8.3. Once the Investigating Officer has collated all the necessary evidence and carried out a preliminary assessment, they will determine with advice from HR if there is a case to answer and either:

- Submit the case to a Dignity Panel; or
- Where evidence of issues arise that cannot appropriately be addressed under this policy (e.g. misconduct which is more than/other than those issues addressed under the Dignity at University of Kigali Policy) refer the case for consideration under the Disciplinary and Grievance procedures as appropriate; or
- In exceptional circumstances and after gaining formal advice from Human Resources where there appears to be no case to answer or the complaint is manifestly inappropriate, or trivial, it will be dismissed without a hearing

HUMAN RESOURCE MANUAL

12.11.8.4. Where at the conclusion of the investigation, the Investigating Officer believes there is no case to answer; they will forward their assessment to a relevant Dignity Panel member for confirmation. Where the panel member agrees, the case will be dismissed without hearing. HR will be notified of the case being dismissed. The Investigating Officer will write to both parties setting out their reasons for dismissing the complaint without a hearing.

12.11.8.5. For cases that are submitted to a Dignity Panel, both parties will be advised that a Dignity Panel will be convened to hear the complaint. The Human Resources Department, in cases where the person accused is a member of staff, will convene the Dignity Panel consisting of:

i) Professor or equivalent (Chair). This may be the DVCA (Chair) in cases involving an academic member of staff; ii) a senior member of staff (not from the School/Department or Central Services Department of either party); iii) another specially trained member of staff (not from the School/Department or Central Services Department of either party)

12.11.8.6. Members of the Dignity Panel will be appointed by the VC, with a consultation of the DHR.

12.11.8.7. Members of the Dignity Panel will be sent the original complaint, the response from the person accused, any documentary evidence and recommendations from the Investigating Officer. The Chair may identify additional information that is required and request this from the HR. This information will be circulated to both parties.

12.11.8.8. At the hearing, the Dignity Panel will hear evidence from the complainant, the person being complained about and any witnesses. In certain cases, the complainant may be unable to be present in the room and therefore will be available to respond to questions from an alternative site.

12.11.8.9. Based on the evidence heard and considered it is the Dignity Panel's responsibility to determine whether the complaint of harassment or bullying should be upheld or dismissed. In arriving at this decision the standard of proof of dispute facts is on the balance of probabilities. In addition, the Dignity Panel may make recommendations for consideration by the appropriate Head of School/ Department or Central Services Department.

12.11.8.10. If the complaint is upheld and the Dignity Panel believes that the findings warrant a disciplinary sanction the Dignity Panel may issue the person accused with a formal disciplinary warning (see Disciplinary Procedures) with any supplementary action that is deemed appropriate. Where dismissal is being contemplated advice must be sought from HR as to how this may be effected in line with the relevant Disciplinary procedure.

12.11.8.11. If the Dignity Panel believes that the complaint of harassment is brought with malicious or vexatious intent the Dignity Panel may refer the issue for consideration under the appropriate Disciplinary Procedure for staff and students. It does not follow that if a complaint is dismissed it was necessarily brought maliciously or vexatiously.

12.11.8.12. Individuals may appeal against the disciplinary warnings and decisions in accordance with the appeals mechanisms within the relevant disciplinary procedure.

12.11.8.13. The HR department is responsible for ensuring that all recommendations are considered and addressed as appropriate.

12.11.9. Rights of Representation

In a hearing held in accordance with section 12: Staff may be accompanied at the meeting by a legal representative or a work colleague. Staff who have a disability may also be accompanied by a support worker (e.g. a sign language interpreter or mental health worker) as appropriate to their requirements.

12.11.10. Procedure for Raising a Complaint Against a Student

12.11.10.1. This section is to be read in conjunction with the University Code of Discipline for Students.

12.11.10.2. The University is committed to the promotion of an inclusive, respectful and considerate community and will not tolerate harassment or bullying of one member of its community by another.

12.11.10.3. The University of Kigali expects every student:

- To behave in a respectful, inclusive and responsible manner to all members of the University community
- Not to participate in, or condone any act of harassment or bullying.

- To modify their behavior if they become aware that it is unacceptable in the light of this policy.

12.11.11. Dealing with Bullying and Harassment

12.11.11.1. Taking personal action: If you feel that you have been, or are being, subjected to harassment, bullying or victimization, you should not feel that it is your fault or that you have to tolerate it without question. The behavior in question could be coming from another student, a member of staff at the University or someone else associated with the University.

12.11.11.2. Generally, complaints are most easily resolved if they are raised at the time the problem first occurs and with the person/s directly involved. If you feel that you have been, or are being, subjected to harassment, bullying or victimization, you may feel able to take action on your own to make the other person aware of the effect of their behavior on you (we refer to this as “taking personal action”).

12.11.11.3. In many situations, this can be the most effective way to raise concerns; however, you should not feel pressured to raise concerns in this way and should also be aware of the other options open to you – namely, making a complaint to the relevant school or service or making a complaint about the behaviour of another student.

12.11.11.4. There are a variety of ways in which you might take personal action, some of which enable concerns to be raised without making reference either to the individual(s) concerned or to the specific nature of the complaint. Here are some examples of types of personal action which might be worth considering:

- You can have a conversation with, or write to, the other person and explain, as clearly as possible, what it is that you consider unacceptable about their behavior and ask them to stop behaving in this way.
- You could enlist the help of a peer to find ways of bringing the topic of harassment, bullying or victimization into a conversation in the presence of the person causing offense.
- If you do choose to contact the person, you might wish to seek advice or support beforehand from:
 - your personal tutor or another member of staff within your school

- the Dean of Student
- Student Guild Rep

12.11.11.5. If you do decide to raise your concerns directly with the person concerned, face-to-face, you may wish to invite someone else to be present when you are having the conversation.

12.11.11.6. If you decide to raise your concerns in writing, you should keep copies of relevant pieces of correspondence. In either case, it may be advisable to note down factual information.

11.11.7. If you feel able to take personal action to raise concerns and feel comfortable about doing so, this can often be an effective and relatively low-key method of resolving issues.

12.11.12. Complaints

To be read in conjunction with The University Code of Discipline for Students.

If you feel that you have been, or are being, subjected to harassment or bullying and you cannot or have not been able to resolve this through personal action the matter may be considered as part of the University's disciplinary code. This applies when there is misconduct by another person which contravenes this code.

12.11.13. Personal Safety

If at any time you feel that your personal safety is threatened please contact security as soon as possible.

See examples of bullying and harassment.

12.11.14. Staff/student and student/staff complaints

12.11.14.1 When deciding which procedure to use, the process which relates to the person being complained about being used.

In the circumstances whereby one party is a student and the other a member of staff, the Department of Human Resources or Dean of Student, as appropriate, will ensure that their counterpart is informed of the matter (Director of Human Resources and Dean of Student).

13. DISCIPLINARY POLICY AND PROCEDURE

13.1. INTRODUCTION, APPLICATION AND GENERAL PROVISIONS

13.1.1. Purpose

The aims of this procedure are:

- to encourage improvements in the conduct or performance of staff and to this end, the procedure should not be seen primarily as a means of imposing formal disciplinary sanctions;
- to protect the interests of staff, so that in cases where disciplinary action is appropriate it should be considered and applied fairly and consistently;
- to ensure that a member of staff will not be dismissed for a first disciplinary offense unless it is a case of gross misconduct, in which case the misconduct is deemed sufficiently serious to destroy the employment contract and to make any further working relationship untenable. In such cases, summary dismissal may be justifiable i.e. without the normal period of notice or payment in lieu of notice.

13.1.2. Scope

13.1.2.1 This procedure applies to all employees of the University. The conditions and mechanisms of any contractual probationary period will supersede this process, where they apply.

13.1.2.3. No member of staff shall be subject to a disciplinary sanction as a result of appropriately exercising their right to academic freedom, as defined by the University statutes.

13.1.2.4.. The provisions of this procedure in relation to dismissal do not apply where dismissal arises out of:

- the expiry of a fixed-term contract of employment;
- the termination of casual or temporary contracts of employment;

- redundancy;
- the termination of a probationary contract under the rules of the relevant probation arrangements;
- the termination of a training grade contract when failure to obtain the qualification required for transfer to a substantive grade occurs;
- incapacity due to long-term or chronic ill health.

13.1.2.3. Disciplinary Procedure Relating to the Dignity Policy

Any case of alleged harassment will initially be dealt with under the University's Dignity Policy.

13.1.2.4. Grievances raised during disciplinary proceedings

If an employee raises a grievance during the disciplinary process, the disciplinary process may be temporarily suspended in order to deal with the grievance. Where the grievance and disciplinary case are related it may be appropriate to deal with both issues concurrently. The application of this procedure may be modified as deemed appropriate by the Director of Human Resources to facilitate this. The purpose of this paragraph is to assist all parties by allowing both the substantive issues and any complaint or grievance from the employee to be considered expeditiously, avoiding multiplicity of procedures and associated delay.

13.1.2.5. Police Enquiries

Where an employee is subject to an investigation by the police for alleged criminal offenses (other than minor motoring offenses except where a clean driving license is a requirement of the job), the University is entitled to pursue its own or complementary confidential inquiries, but these will not hinder the police inquiry. Investigation and disciplinary action under this procedure will not necessarily wait or be dependent upon the outcome of police inquiries or legal proceedings. Each such case will be considered on its individual merits without necessarily setting precedents. Where during the course of an investigation under this Disciplinary Procedure alleged criminal offenses are suspected the matter will be referred to the Police by the Vice Chancellor.

13.1.2.6. **Human Resources Department**

13.1.2.6.1. The role of Human Resources is sole to provide advice and assistance on the use of the Informal and Formal Disciplinary Procedure and to ensure that the principles of natural justice and equity are adhered to.

13.1.2.6.2. The manager seeking to instigate a formal disciplinary process must consult with the Human Resources Department prior to a hearing being held under the Formal Disciplinary Procedure. A member of the Human Resources department will be present at the hearing.

13.1.2.7. **Right to be accompanied**

13.1.2.7.1. At all stages of the disciplinary procedure employees may wish to seek advice from their companions.

13.1.2.7.2. The chosen companion will be allowed to address the hearing or meeting in order to put the employee's case, sum up the employee's case, and respond on behalf of the employee to any view expressed at the meeting. The companion does not have a right to answer questions on the employee's behalf.

13.1.2.7.3.. Members of staff are requested to give notice of the name and relevant details of any companion to the Human Resources representative responsible for the case at least three working days prior to the meeting, so that relevant details can be forwarded to this individual. Where such notice is not given, it is the employee's responsibility to notify his/her representative of the arrangements for the meeting and to ensure that s/he has all of the relevant paperwork.

13.1.2.7.4. If the chosen companion cannot attend on the date proposed (and a suitable alternative companion cannot be found) an alternative date will be arranged. All parties will make every reasonable effort to make themselves available for the meeting at the earliest date possible and make attendance at the meeting their highest priority. The new date should be, wherever possible, within 5 working days of the original date proposed.

13. 1.2.6.5. If the employee is disabled, it may be appropriate to allow him/her to be accompanied by a suitable person because of his/her disability, in addition to any chosen companion.

13. 2. INFORMAL DISCIPLINARY PROCEDURE

13.2.1. Cases of minor misconduct are usually best dealt with by a manager informally and without delay. The manager should speak to the employee in private, and advise him/her of the problem and what is required of the employee to rectify it. The disciplinary procedure should only be used where informal action has failed or the misconduct is considered sufficiently serious to warrant formal action.

13.2.2. For issues of poor conduct or performance, which are of a minor nature, the immediate line manager or supervisor may give informal advice or guidance to the employee concerned. This is not an action under the formal disciplinary procedure and will normally be dealt with in an informal interview on a one to one basis.

13.2.3. Managers are encouraged to consider the benefits of informal advice or guidance to staff to improve their conduct or performance where necessary. In the first instance it will not normally be necessary to retain a note, but where a note is kept the employee should be informed of its existence and content, and it must be kept in accordance with the principles of privacy

13.3. FORMAL DISCIPLINARY PROCEDURE

13.3.1. Allegations

13.3.1.1. Where there are allegations of misconduct which are not minor, or a position of consistent failure to perform to the required standard or where there are persistent aspects of misconduct which have not responded to informal advice or counseling, these allegations of misconduct should be referred to the appropriate line manager/Dean of Faculty Senior management for initial consideration.

13.3.1.2. Where the manager is able to conclude that there is no substance to the allegations, no formal action will be taken. In all other cases, the manager will consult

with the Human Resources Department and make arrangements to investigate the case. Suspension may be considered, in line with paragraph 3.2.

13.3.2. Suspension

13.3.2.1. A senior member of Administration (the Vice-chancellor or the Administrator depending on the person concerned whether academic or administrative staff) may suspend from duty, with pay, any employee to whom this procedure applies, for alleged gross misconduct or other good and urgent cause. Where suspension takes place it should be without undue delay. Such suspension is a serious act but does not constitute disciplinary action and shall be without prejudice to the outcome of the proceedings. Examples of circumstances in which suspension may be necessary are where:

- the allegation may constitute gross misconduct;
- the employee's presence at work may hinder the investigation;
- there are health and safety concerns or other risks about the continued presence of the employee at work, e.g. risks to University property or to other individuals or the individual him/herself.

13.3.2.2. Written notification of the suspension signed by the Vice Chancellor will be provided setting out the grounds on which the decision to suspend has taken place. The Director of Human Resources or nominee should be informed of any suspension as soon as possible and, where practicable, should be consulted prior to the suspension being decided upon.

13.3.2.3. Employees who are suspended may not for the period of suspension enter any building or premises occupied by the University or contact any member of staff without the express permission of the Director of HR or nominated deputy. Permission to enter the premises in order to contact or consult their companion will not be unreasonably withheld.

13.3.2.4. All suspensions will be subject to review every three weeks while the suspension remains in force.

13.3.3. Investigation

13.3.3.1. Before any disciplinary hearing is convened, there will be an investigation into the circumstances undertaken by an appropriate manager/investigating officer, in liaison with a member of the Human Resources Department. The investigation process will consider the facts of the allegations, interview all relevant people and present a report of the findings.

13.3.3.2. The investigation process will depend on the nature of the alleged misconduct, the initial evidence against the employee, and whether the individual has admitted to the misconduct. In cases where the facts are very clear and not in dispute, the investigation will be very short and it may be appropriate for it to be undertaken by the manager who receives the allegations.

13.3.3.3.. Where a more detailed investigation is required, the manager should appoint an investigating officer to conduct the investigation and provide the manager with a report. The investigating officer should normally be someone who does not work closely with either the individual under investigation, the individual(s) making the complaint (if appropriate), or the manager, and should not have had any previous involvement in the case. The investigating officer will receive advice and guidance from a member of Human Resources. If the employee under investigation believes that the investigating officer is not appropriate (i.e. that they do normally work closely with the individual, manager or complainant or has had previous involvement in the case) they must raise this with the member of Human Resources in writing at the earliest opportunity and where possible prior to any investigatory interview having taken place. The Director of Human Resources will decide upon the appropriate course of action.

13.3.3.4. An employee who is the subject of an investigation will be informed as soon as is practicable and appropriate that the investigation is going to take place and why. This information will be confirmed in writing as soon as possible. The investigation will be concluded as quickly as possible.

13.3.3.5. An employee who is the subject of an investigation will normally be required to attend an investigatory interview. Normally 5 days' notice will be given of the interview.

HUMAN RESOURCE MANUAL

However, in situations where time is of the essence to establish the facts of a particular incident, this may be reduced, so that the employee will receive at least one working day's notice of the initial interview. This will not be a disciplinary hearing but will be part of the process for assessing whether disciplinary action is warranted. Although there is no statutory right to be accompanied at this interview, a request to be accompanied in line with the provisions of Article 1.2.7. of this procedure will not be unreasonably refused. The employee should inform the investigating officer of any witnesses that s/he feels are relevant to the case.

13.3.3.6. The investigating officer will normally be accompanied by a member of Human Resources who will take a formal note of the interview (this will be a summary rather than verbatim notes). This note should be agreed, signed and dated by the employee and included as an appendix to the investigation report. Where agreement cannot be reached, the individual should be invited to give reasons for his/her disagreement, and this should be reflected in the investigation report.

13.3.3.7. The investigating officer will obtain signed witness statements at the earliest opportunity where witnesses have been identified by the investigating officer; the person under investigation or the person(s) making the allegations. In addition to or as an alternative to obtaining a witness statement, the investigating officer should interview relevant witnesses as part of the investigation. The investigating officer will normally be accompanied by a member of Human Resources or another colleague who will take a formal note of the interview (this will be a summary rather than verbatim notes). This note should be signed and dated by the witness and included as an appendix to the investigation report, together with any witness statements. Any disagreement about the interview note should be reflected in the investigation report.

13.3.3.8. Witnesses will be informed that their statements and interview notes may use in the disciplinary hearing, in which case they would normally be made available to the employee under investigation. In extreme situations, for example, serious allegations of harassment or violence, witnesses will be offered the opportunity to provide evidence in a protected environment. This shall be arranged by Human Resources in such a way as to

balance the need to give vulnerable individuals confidence to provide information to the investigation and the right to natural justice and a fair process for all parties.

13.3.3.9. Following the investigation, the investigating officer will assess the case and recommend any further action to the manager/Head of Department/School who initiated the investigation. Possible outcomes of the investigation are:

- to resolve the issue without the need to take further action - a letter confirming that there is considered to be no case to answer will be sent to the individual who has been the subject of the investigation;
- to arrange advice, support and/or training in an attempt to resolve the problem without recourse to the disciplinary procedure;
- to arrange a disciplinary hearing without undue delay.

Employees should be advised of the outcome as soon as is practicable.

13.3.4. Convening a disciplinary hearing

13.3.4.1.. Where a decision is taken by the manager/Head of Department/Dean of Faculty or the Vice Chancellor to proceed to a disciplinary hearing the employee will receive, at least 5 working days in advance of the hearing, written notification of: the reason for the hearing; the date, time and venue of the hearing and a reminder of his/her right to be accompanied. Two copies of the investigating officer's report, any other relevant documents, and these procedures will be attached to the letter. The letter will give notice of any witnesses that are to be called to give evidence in support of the complaint at the hearing. If the employee is unable to attend at the stated time, they must communicate this as soon as possible to the person arranging the hearing, stating their reasons. Where it is reasonable to do so, an alternative date will be provided.

13.3.4.2. The employee shall provide the names of their companion and any witnesses they wish to call at least three working days before the hearing, and any additional documentation they wish to be considered at the hearing. In very exceptional scenarios the Disciplinary Manager may reasonably determine that certain witnesses may not be called (either by the employee or the University). In that case, he would not materially add

to the evidence and to allow the witness would prevent the timely or appropriate conduct of the Hearing.

13.3.4.3. Should the employee wish to be accompanied or to call witnesses, it will be his/her responsibility to provide his companion and any witnesses with all the appropriate details, including the date, time and location of the hearing, as well as the details and documentation related to his/her case.

13.3.5. Postponing the hearing

13.3.5.1. Notwithstanding paragraph 3.3.9, an alternative date will be arranged where an employee requests that the hearing is postponed due to circumstances beyond his/her control and not foreseeable at the time the details of the hearing were communicated to the employee. Where a postponement is agreed, this should be confirmed in writing with the new date for the hearing. Any further request for postponement may be refused unless there are exceptional circumstances.

13.3.5.2. If the employee is absent due to sickness prior to the hearing, the individual may be required to see the University's Occupational Health Adviser to assess his/her fitness to attend a hearing and to give advice on any special requirements or adjustments for the hearing. Human Resources will make the necessary arrangements.

13.3.5.3.. It is possible to proceed with the hearing in the absence of the employee (for example, where the employee is remanded in custody, on long-term sick leave). A hearing in absence will only be used in extreme circumstances and normally following more than one postponement, in which case all details that will be considered at the hearing should be made available to the employee in advance of the hearing, and the individual should be invited to make a written submission. Alternatively, the hearing may be conducted with a representative nominated by the employee, after careful consideration and the full agreement of the employee and his/her chosen representative.

13.3.6. Disciplinary Hearing

13.3.6.1. The Hearing will be convened as stated in this policy.

HUMAN RESOURCE MANUAL

13.3.6.2. The Hearing will be attended by the employee and his or her companion, and the investigating officer, who shall be the parties to the proceedings. A member of the Human Resources Department will also be present.

13.3.6.3.. As an introduction to the hearing, the Disciplinary Manager will:

- introduce everyone present at the hearing
- confirm that the hearing represents a formal disciplinary hearing in line with the university's disciplinary procedure and check that those present are familiar with this document;
- confirm that the details of the discussion should remain confidential between those present until a decision is made;
- explain the nature of the alleged breach of discipline and make sure that the employee understands the complaints(s) made against him/her;
- explain that the investigating officer will be present throughout the hearing, and additional individuals will be called into the hearing as required;
- offer the employee the opportunity to request reasonable time to confer with his/her representative at any time during the hearing.

13.3.6.4. The procedure for the hearing shall be as follows:

- the investigating officer shall present the case against the employee, by reference to the investigation report and by calling witnesses as relevant;
- the employee and/or his or her companion will be given an opportunity to reply to the allegations, to call witnesses if desired, and to make a statement of mitigation where appropriate;
- a witness may be asked questions by the Disciplinary Manager or by either party to the proceedings. The witness will withdraw at the conclusion of the questioning;
- the Disciplinary Manager may ask questions of any party;
- before concluding the Hearing the employee and/or his or her companion and the investigating manager will be given the opportunity to offer a summarising statement or final comments;

- at any stage of the proceedings, either party may request an adjournment to confer or to seek further information, which the Disciplinary Manager will not unreasonably refuse. Having heard the evidence of both parties the Disciplinary Manager will ask the parties to withdraw. The Disciplinary Manager will make findings of a reasonable belief of the facts of the case and will decide what disciplinary action, if any, will be taken in the light of those findings, having regard to the sanctions specified in paragraphs 13.3.7-13.3.8.

13.3.6.5. Any decision which is given on the day of the hearing will be confirmed in writing within five working days, with a copy sent to the employee's representative. Where it is not possible to make a decision on the same day as the hearing, this fact will be confirmed in writing to the employee within 2 working days of the hearing and will confirm the date by which the decision will be made. Normally this will be within 10 working days of the hearing, but if for any reason it is not possible to communicate the decision within the stated timescale, the Disciplinary manager will write as soon as possible to the employee to inform them of this and giving the reason for the delay. Where a sanction has been applied, the letter detailing the outcome will include the right to appeal.

13.3.7. Disciplinary action - sanctions

13.3.7.1. When a decision has been made to take disciplinary action the Disciplinary Manager will take into account all the relevant circumstances including the employee's previous record, position, general performance, awareness of the standards required, and any mitigating circumstances. Sanctions available are:

13.3.7.2. **Formal Oral Warning** - normally used in the first instance for breaches of the University's Disciplinary Rules (see Appendix 1 below) or similar offences which are deemed more serious than those for which the informal procedure is appropriate, or for poor performance. A record will be kept on the employee's personal file for a maximum period of 26 weeks. The employee will be informed by the HR Department when the record is removed from the employee's personnel file.

HUMAN RESOURCE MANUAL

13.3.7.3. **Formal Written Warning** - normally used either for repeated or subsequent minor breaches of the University's Disciplinary Rules or for similar offences, or for poor performance deemed to require action in excess of a Formal Oral Warning, or in first instances of more serious offences. A record will be kept on the employee's personal file for a maximum period of 52 weeks. The employee will be informed by the HR Department when the record is removed from the employee's personnel file.

13.3.7.4. **Formal Final Written Warning** - normally used when a Written Warning has not resulted in the required standard of conduct or performance being achieved or maintained, or in serious cases where a Formal Oral Warning or Formal Written Warning would be inappropriate but the offence does not warrant dismissal. A Formal Final Written Warning will remain on the record for 104 weeks, and will clearly state that any continued failure to improve the performance or a further act of misconduct may result in salary cut. The employee will be informed by the HR Department when the record is removed from the employee's personnel file.

13.3.7.5. **Suspension** – normally used when a Formal Written Warning has not resulted in the required standard of conduct or performance being achieved or maintained or in serious cases where a Formal Final Written Warning would be inappropriate but the offence does not warrant dismissal. The employee shall be suspended up to eight (8) and he will be paid only for the time he had worked.

13.3.7.6. **Dismissal** - normally used in sequence to Formal Warnings, and suspension, or may be appropriate in the first instance of an offence amounting to gross misconduct. If at the conclusion of the Hearing a decision is reached that the matter constitutes gross misconduct, whether or not a previous warning has been given, the normal penalty (in the absence of special or substantive mitigating circumstances which justify the application of a lesser penalty) will be summary dismissal with immediate effect, without prior notice or payment in lieu of that period. In cases of dismissal other than for gross misconduct (including dismissal on the grounds of performance or capability), the employee will be entitled to the period of notice, or payment in lieu of that period specified in his/her contract of employment.

13.3.7.7. **Supplementary Disciplinary Sanctions** - In conjunction with any Formal Warning the Disciplinary Manager may impose supplementary sanctions which may include a period of disciplinary suspension from duties with loss of pay, a period of non-entitlement to the University Sick Pay Scheme where appropriate, transfer to another department/post/grade with or without loss of earnings.

13.3.8. Appeals

13.3.8.1. An employee who does not agree with the outcome of a disciplinary procedure, to which they have been subjected, shall have a right of appeal. Appeals will be heard as per Appendix 2 of this procedure.

The appeal decision will be final.

13.3.8.2.. An appeal is not a rehearing of the case but is a mechanism to address procedural irregularity in the previous stages of the case. Procedural irregularity includes, but is not necessarily limited to:

- A failure to follow the procedure which thereby led to an unjust outcome.
- The imposition of an inappropriate penalty considering the facts of the misconduct and mitigating circumstances.
- A perverse finding by the disciplinary manager, taking into consideration the totality of the evidence and the manager's normal discretion to make a reasonable decision based on the balance of probabilities.
- Where new, significant, relevant evidence has come to light, which could not have been presented at the Hearing, this may form the basis or part of the basis of an appeal.

13.3.8.3. Witnesses other than the Appellant and the Disciplinary manager will not normally be called. If the Appellant wishes to propose that evidence is heard at the appeal hearing from any person other than the Appellant themselves and the Disciplinary Manager, they should name such proposed witnesses in their grounds of appeal and explain, by reference to the ground of appeal, why their evidence is required.

13.3.8.4. The Human Resources Department will arrange for an Appeal Hearing to take place, normally within four weeks or as soon as possible thereafter.

13.3.8.5. The Human Resources Department will request the Appellant to submit a written statement of the full reasons for the appeal, together with statements of any possible witnesses to be called by the Appellant, any relevant documents or records, any new evidence to be presented, together with any mitigating circumstances, which must be received at least five working days prior to the Appeal Hearing.

13.3.8.6. The Human Resources Department will arrange for an Appeal Hearing to take place, normally within four weeks or as soon as possible thereafter. Where an Appellant requests that the hearing is postponed due to circumstances beyond their control and not foreseeable at the time the hearing was arranged, an alternative date will be arranged. Where a postponement is agreed, this should be confirmed in writing with the new date for the hearing. Any further request for postponement may be refused unless there are exceptional circumstances.

13.3.8.7. The Human Resources Department will circulate the submitted cases to the Registrar (or nominee), the VC or Appeal Panel as appropriate and to both parties before the Appeal Hearing at least 3 days prior to the hearing.

13.3.8.8. A member of the Human Resources Department will be present throughout the Appeal Hearing.

13.3.9. Conduct of the Appeal Hearing

13.3.9.1. The Appeal will be heard by the relevant party under Appendix 2, in accordance with the procedure set out below, with appropriate adjustment.

13.3.9.2. The University's representative will normally be the Disciplinary Manager.

13.3.9.3. The Appellant, their companion, and the University representative will attend at the start of the meeting.

HUMAN RESOURCE MANUAL

13.3.9.4. The Chair (where applicable) will introduce Panel members, the Appellant, the Appellant's companion and the University's representative, and explain the background to the case. The Chair will draw the attention of members to the written documentation.

The Appeal Chair will:

- introduce everyone present at the hearing
- confirm that the hearing represents a formal appeal in line with the university's disciplinary procedure and check that those present are familiar with this document;
- confirm that the details of the discussion should remain confidential between those present until a decision is made;
- explain the order of the proceedings;
- offer the Appellant the opportunity to request reasonable time to confer with his/her representative at any time during the hearing.

13.3.9.5. The Chair will invite the Appellant's companion to present the Appellant's grounds of appeal. If new evidence is being relied upon, and/or witnesses, the Appellant/or companion, will present the new evidence and/or call witnesses.

13.3.9.6. Only one witness may appear before the Panel at any one time. Witnesses may make a statement and may be questioned by the University's representative, by members of the Panel, and by the Appellant or Appellant's companion. The witness will withdraw at the conclusion of the questioning.

13.3.9.7. The Chair will invite the University's representative to respond to the grounds of appeal. Witnesses may be called with permission of the Chair and questioned by the University's representative, the Appellant, and his/her companion and by members of the Panel. The witness will withdraw at the conclusion of the questioning.

13.3.9.8. The Chair will invite the Appellant to make a brief response and sum up his/her case and will then ask the Appellant's companion, to sum up on the response.

HUMAN RESOURCE MANUAL

13.3.9.10. The Chair will ensure that members of the Panel have no further questions, before asking the Appellant, their companion and the University's representative to withdraw.

13.3.9.11. The Panel will discuss the case in private, and reach a decision of a reasonable belief of the facts of the appeal and will decide what action, if any, will be taken as permitted under the policy.

13.3.9.12. The Chair will convey the Panel's decision verbally, and this will be confirmed in writing.

13.3.9.13. The appeal decision is final.

13.3.10. **Appeal Decision**

13.3.10.1. The Appeal Manager or Appeal Panel must uphold or dismiss the disciplinary sanction, or substitute a less serious sanction and give the reason for their decision. Where an appeal against a disciplinary warning is upheld, and a lesser disciplinary warning issued, this will be confirmed to the employee in writing and a copy placed in the personal file.

13.3.10.2 Employees appealing against dismissal will not be paid pending or during this appeal. When an appeal against dismissal has been unequivocally allowed, the employee's pay and service will be restored so that there is no break in them.

13.3.11. **Time Limit**

13.3.11.1. The disciplinary investigation will begin at the time of not more than a month starting from the day that the administrative (head of department/dean of faculty/ the VC) becomes aware of the misconduct subject to the investigation.

13.3.11.2. The disciplinary process will be completed in six months.

13.3.11.3. In the case of not being aware of the misconduct, the time limit for initiation disciplinary procedure cannot be longer than two years.

13.3.11.4. The disciplinary actions outside the time limit stated above will be deemed to invalid.

13.3.11.5. The disciplinary investigations which started before this disciplinary policy and procedure have been implemented are not limited to this time limits.

13.4. DISCIPLINARY RULES

13.4.1. General Disciplinary Rules

13.4.1.1. These general Disciplinary Rules cannot cover all circumstances or be exhaustive or exclusive, but together with further rules found within individual departments and on University Notice Boards provide guidance on the standard of conduct and performance required. Breaches of General Disciplinary Rules are likely to lead to disciplinary action.

13.4.1.2. All staff is expected to:

- meet acceptable standards of work performance either or both in terms of quality and/or quantity, and acceptable standards of professional competence;
- attend work on a regular and continuous basis including maintaining good time-keeping in accordance with their contract of employment;
- comply with the University's Dignity Policies and practices;
- comply with the University's Financial Regulations;
- comply with the University's rules on reporting sickness absence as set out in the Conditions of Employment;
- comply with all reasonable instructions given by proper authority;
- report to the Head of Department/School police investigations and convictions for criminal offenses other than minor motoring offenses, except where a clean driving license is a requirement of the job.
- Be on time in classes for the lectures
- Not to leave class before the time set by the administrative
- Attending the committee meetings on time as requested and not to leave meetings without permission

- Not being absent from work

Breaching of the above rules shall constitute misconducts.

13.4.3. Breaches of Disciplinary Rules Amounting to Gross Misconduct

13.4.3.1. It is not possible to define each and every instance of behavior, which might be classed as gross misconduct. The following list, which is not exhaustive or exclusive, sets out examples which are likely to be regarded as gross misconduct:

- any act of theft or attempted theft from the University, fellow employees, students or any person on University property or premises;
- unauthorized use of University property or facilities for private purposes or personal gain;
- any deliberate attempt to defraud the University, including abuse of official time or false claims for payment whether in the form of pay, expenses or any benefit derived under Conditions of Employment;
- any physical aggression or assault whilst on duty, whether or not this takes place on University property or premises;
- grossly anti-social behavior, using foul or abusive language or indecent acts;
- negligence or any deliberate act which causes or could cause a substantial safety hazard;
- malicious, deliberate or reckless damage to University property or premises or to the property of members of staff or others on University premises;
- deliberate or willful disregard of reasonable instructions given with proper authority;
- being unfit to work whilst on duty through abuse of alcohol or illegal drugs;
- being in possession of or supplying illegal drugs whilst at work;
- breaching confidentiality of information gained, whether directly or indirectly in the course of University employment, except where this has otherwise come into the public domain;
- discrimination or harassment at work;
- Continuously being late for the work,

HUMAN RESOURCE MANUAL

- Insisting on delaying the work he/she is supposed to finish in the time limit given by the superior staff
- Repeating the misconducts stated in Paragraph 2 may lead the salary cut and then dismissal.

13.5. COMPOSITION OF THE DISCIPLINARY PANEL

13.5.1. Disciplinary panel for academic staff will be consisting of following members

- Vice Chancellor
- Deputy Vice Chancellor Academic
- Deputy Vice Chancellor Research
- Director of Quality
- Dean of relevant Faculty
- Director of Human Resources
- One professor or Associate professor appointed by the VC

13.5.2. Disciplinary panel for administrative Staff will be consisting of following members

- Vice Chancellor
- Deputy Vice Chancellor Finance and Administration (if the post is not full Deputy Vice Chancellor Academics will replace him/her)
- University Administrator
- Head of Relevant Office
- Director of Human Resources
- Director of Quality Assurance
- One senior Manager appointed by the VC (Academic Registrar or Chief of Finance Office or Librarian)

13.5.3. Appeal Panel shall be consisting of members of Board of Promoters.

HUMAN RESOURCE MANUAL

Categories of Offences and Disciplinary process

No	Misconduct / Offence	Level / Category	Disciplinary Process
1	Negligence of duty	Minor Infractions	Progressive disciplinary process
2	Forgery and falsification of records, Plagiarism, reports or information	Gross misconduct	Summary dismissal
3	Theft and embezzlement of funds	Gross misconduct	1. Summary dismissal 2. Refund
4	Failure to declare conflict of interest	Minor infraction	Progressive disciplinary process
5	Involvement in illegal activities e.g. Bribery	Gloss misconduct	Summary dismissal
6	Insubordination	Minor infraction	Progressive disciplinary process.
7	Gross Insubordination	Gross Misconduct	Summary dismissal
8	Visible discourteous behavior, antagonistic or repeated combative attitude towards others	Minor Infraction	Progressive disciplinary process
9	Intoxication, reporting to duty drunk or drinking on the job, and getting drunk.	Minor Infraction	Progressive disciplinary process
10	Absence from work without a justifiable reason and tardiness	Minor Infraction	Progressive disciplinary process
11	Sexual harassment or immoral behavior	Gross Misconduct	Summary dismissal
12	Interfering with the work or performance of another member of staff or student	Minor Infraction	Progressive disciplinary process
13	Misuse of University resources, damaging equipment, and property	Gross Misconduct	Summary dismissal
14	Willful violation of work ethic, code of conduct, and safety regulations	Gross Misconduct	Summary dismissal
15	Failure to perform duty in an acceptable manner or set time table	Minor Infraction	Progressive disciplinary process
16	Incompetence	Gross misconduct	Summary dismissal
17	Revealing for gain or other reasons, confidential information to unauthorized persons	Gross misconduct	Summary dismissal
18	Antagonism or betrayal towards the University, employees or students and incitement of discontent on the campus	Gross misconduct	Summary dismissal
19	Unauthorized use of University Facilities	Minor Infraction	Progressive disciplinary process

HUMAN RESOURCE MANUAL

20	Conviction of criminal offense by a court of law. Causing the University disrepute	Gross misconduct	Summary dismissal
21	Any other misconduct detected and identified and is prejudicial to good order in the University Community.	Misconduct	Dismissal with notice
22	Being late for work repeatedly	Gross misconduct	Summary dismissal
23	Discrimination	Minor infraction	Progressive disciplinary process
24	Failure to give accountability/misappropriation of University funds	Gross misconduct	Summary dismissal
25	Consumption and dealing in illegal drugs, e.g. Marijuana, cocaine. etc	Gross misconduct	Summary dismissal
26	Smoking cigars and Tobacco, etc on campus	Minor infraction	Progressive disciplinary process
27	Unauthorized carrying of firearms, weapons, explosive and any other harm harmful substances including poison	Gross misconduct	Summary dismissal
28	Careless driving of vehicles and any other machines on campus, insensitive parking of vehicles, etc.	Minor infraction	Progressive disciplinary process
29	Poor performance	Minor infraction	Progressive disciplinary procedure
30	Incompetence	Gross misconduct	Summary dismissal
31	Fighting while on duty, physical assault	Gross misconduct	Summary dismissal
32	Use of abusive threatening and foul language	Minor infraction	Progressive disciplinary procedure
33	Threatening Violence	Minor infraction	Progressive disciplinary procedure
34	Staff involvement in examination malpractice	Gross misconduct	Summary dismissal
35	Loss of University records and property	Gross misconduct	Summary dismissal

HUMAN RESOURCE MANUAL

.ANNEXURES: JOB APPLICATION FORM

University of Kigali
PO Box 2611 Kigali, Rwanda

Application for faculty position

NB: Complete the form electronically and return to recruitment@uok.ac.rw. Attach copies of Masters and Ph.D. certificates, experience certificates and best 2 publications, as may be applicable. Insert more rows if necessary.

PART A: GENERAL INFORMATION AND ACADEMIC BACKGROUND

1.	Name (in Block Letters):	
2.	Father's Name:	
3.	Department & Position applied for	
4.	Date and Place of Birth:	
5.	Gender:	
6.	Marital status:	
7.	Nationality:	
8.	Address for correspondence (with Post code)	
9.	Telephone No:	
10.	Email:	

11 Academic Qualifications (Matric onwards):

Examinations	Name of the Board/ University	Year of passing	Percentage of marks obtained / CGPA	Major Subject (s)

HUMAN RESOURCE MANUAL

12. Positions held prior to this application (most recent first)

Designation	Name of Employer	Date of		Reason of leaving
		Joining	Leaving	

13. Years of teaching experience: Postgraduate Classes

Undergraduate Classes

14. Fields of Specialization:

15. Subjects you are comfortable to lecture

16. Details of Contribution to Educational Innovations, design of new curricula and courses and technology mediated teaching learning process

PART B: ACADEMIC PERFORMANCE INDICATORS

Published Papers in Journals

S. No.	Title with page nos.	Journal	ISSN/ISBN No.	No. of co-authors	Whether you are the main author

HUMAN RESOURCE MANUAL

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Articles/Chapters published in Books

S.No.	Title with page nos.	Book Title, editor & publisher	ISSN/ISBN No.	No. of co-authors	Whether you are the main author

Full Papers in Conference Proceedings

S.No.	Title with pages nos.	Details of Conference Publication	ISSN/ISBN No.	No. of co-authors	Whether you are the main author

Books Published as author or as editor

S.No.	Title with page nos.	Type of Book & Authorship	Publisher & ISSN/ISBN No	No. of co-authors	Whether you are the main author

Ongoing and completed research projects and consultancies

S. No.	Title	Agency	Period	Grant Amount

HUMAN RESOURCE MANUAL

Research Guidance

S. No.	Number Enrolled	Thesis Submitted (Number)	Degree awarded (Number)
M. Phil or equivalent			
Ph. D. or equivalent			

PART C: OTHER RELEVANT INFORMATION (provide details of any other relevant information, including academic leadership positions held, if any)

DECLARATION

I certify that the information provided is correct. I know that providing false information may

Name	
Signature	
Date & Place	

Annexure 2: Probation report - academic

HUMAN RESOURCE MANUAL

UOK - PROBATION REPORT (ACADEMIC STAFF)(First / Second)

STRICTLY CONFIDENTIAL

The purpose of this form is to serve as an indication of the progress of the staff member on probation and provide an opportunity for early detection and correction of problems. The staff member is entitled to see the report after the Head of Department/immediate supervisor has completed it.

NAME OF STAFF MEMBER: _____

FACULTY: _____

DEPARTMENT: _____

RANK / POSITON: _____

DATE OF APPOINTMENT: _____

PROBATION EXPIRES ON: _____

SECTION A: To be completed by the staff member.

List your teaching activities since appointed/your last report. You should indicate the size of the classes taught and the approximate number of teaching hours given to each class as well as the number of courses taught during the period under review.

HUMAN RESOURCE MANUAL

List the administrative and general duties you have performed in the Department since appointed/your last report.

Report progress in your research and/or higher degree and/or other scholarly activities since appointed/your last report, and your future plans for scholarly work.

Report briefly on your activities such student consulting / guidance / mentoring and innovative teaching approaches / methods used during the period under review

Do you consider the time and facilities available to you for the performance of your duties and pursuance of your scholarly activities as adequate? If not indicate how UOK might assist you

HUMAN RESOURCE MANUAL

Any additional information which may be in support of your performance in reference to job requirements as stipulated in your employment contract.

PROBATIONER'S SIGNATURE: _____ **DATE:** _____

SECTION B: To be completed by the Head of Department or Dean

What is your assessment of the competence, conscientiousness, and diligence of the staff member with regards to teaching, tutoring, research and community work?

HUMAN RESOURCE MANUAL

Comment on the scholarly work undertaken and produced since appointment or last report.

Comment on the staff member's interest and cooperation in the work of the department, participation in the administration thereof, and initiative in suggesting and implementing innovations in courses and methods of teaching.

Comment on the staff member's working relationship with colleagues.

HUMAN RESOURCE MANUAL

Comment on the staff member's availability to students and interest in assisting students.

If specific criteria/conditions for confirmation have been defined in the letter of appointment, is the staff member meeting them?

GENERAL ATTITUDE TOWARDS DUTIES (concentration, application, hard work, enthusiasm)

1	2	3	4	5	6	7	8	9	10
Total lack of interest		Less than satisfactory		Acceptable		Shows initiative and intelligent interest		Exceptionally motivated	

RELIABILITY – in carrying out tasks, dependability

HUMAN RESOURCE MANUAL

1	2	3	4	5	6	7	8	9	10
Unreliable		Needs constant reminders to proceed with work		Reasonably reliable needs occasional reminders		Very reliable		Completely reliable can be left to work on own	

Please provide the leave record of the staff member for the period under review.

Are there any areas in which the staff member could be assisted by UOK (eg. Training needs, funds for research, technical assistance etc.)

Recommendation to the Academic Staff appraisal and Promotions Committee (in case of this being the final probation report).

Any additional information

HUMAN RESOURCE MANUAL

PROBATION REPORT (NON-ACADEMIC STAFF)(First / Second)

STRICTLY CONFIDENTIAL

The purpose of this form is to serve as an indication of the progress of the staff member on probation and to provide an opportunity for early detection and correction of any shortcomings. The staff member is entitled to see the report after the immediate supervisor has completed it.

NAME OF STAFF MEMBER: _____

DEPARTMENT: _____

RANK: _____

DATE OF APPOINTMENT: _____

PROBATION EXPIRES ON: _____

SECTION A: To be completed by the staff member.

List your activities since appointment/your last report.

Do you consider the time and facilities available to you for the performance of your duties as adequate? If not, indicate how the University might assist you

HUMAN RESOURCE MANUAL

Name the professional societies etc. of which you are a member and indicate how you have contributed to their activities.

Any additional information which may be relevant to your performance as required by your contract of appointment

PROBATIONER'S SIGNATURE: _____ **DATE:** _____

SECTION B: To be completed by the immediate supervisor.

What is your assessment of the competence, conscientiousness and diligence of the staff member?

Comment on the staff member's interest and co-operation in the work of the Department.

Comment on the staff member's working relationship with colleagues.

HUMAN RESOURCE MANUAL

If specific conditions (criteria) for conformation have been defined in the letter of appointment, is the staff member meeting them?

Please comment on the GENERAL ATTITUDE TOWARDS DUTIES (concentration, application, hard work and enthusiasm)

1	2	3	4	5	6	7	8	9	10
Total lack of interest		Less than satisfactory		Acceptable		Shows initiative and intelligent interest		Exceptionally motivated	

Please comment on the RELIABILITY of the staff member– in carrying out tasks, dependability.

1	2	3	4	5	6	7	8	9	10
Unreliable		Needs constant reminders to proceed with work		Reasonably reliable needs occasional reminders		Very reliable		Completely reliable can be left to work on own	

Comment on the staying power of the staff member. Provide details of leave taken during period under review, inclusive of sick leave.

Are there any areas in which the staff member could be assisted by the University (e.g. training needs)._____

HUMAN RESOURCE MANUAL

Recommendation to Administrative Staff appraisal and Promotions Committee (in case of final report)

Any additional information.

SIGNATURE OF IMMEDIATE SUPERVISOR

DATE

SIGNATURE OF STAFF MEMBER

DATE

COMMENTS BY DIRECTOR/DEAN/REGISTRAR/ EXECUTIVE DIRECTOR

SIGNATURE _____ **DATE**

Annexure 4: Application for promotion

University of Kigali

APPLICATION FOR PROMOTION

(To be filled in by staff member electronically and submitted in hard copy)

GENERAL INSTRUCTIONS

- This form must be filled in electronically, and the hard copy must be submitted to the Office of the Director: Administration and Finance
- A complete, updated CV must be attached.
- Copies of the Annual Staff Appraisal forms for each of the three academic years preceding the application must be attached.
- Copies of all publications and letters of acceptance of publications must be attached
- Any other documents to substantiate information as may be necessary must be attached
- Applicants should insert more lines and rows in tables when needed.
- Completed applications and documentation must be submitted in an envelope or a sealed box marked “application for promotion to the post of”.
- Please note that the application form needs to be signed and dated by the applicant.
- Once the entire evaluation process has been completed, the applicant will be informed about the outcome of his/her application.

HUMAN RESOURCE MANUAL

PERSONAL PARTICULARS

FULL NAME:

DATE OF BIRTH:

HIGHEST ACADEMIC QUALIFICATION:

FACULTY:

DEPARTMENT:

CURRENT RANK:

DATE OF APPOINTMENT TO CURRENT RANK:

RANK APPLIED FOR:

ADMINISTRATIVE POSITIONS HELD AT UOK OVER THE LAST THREE TO FIVE YEARS

(e. g. Head of Department, Dean, Director)

Table 1 – Administrative positions held

Position	From (date)	To (date)

HUMAN RESOURCE MANUAL

QUALIFICATIONS OBTAINED SINCE APPOINTMENT / LAST PROMOTION

Table 2: Qualifications obtained

Academic qualification	Main study area	University	Year obtained

CONTRIBUTIONS IN TEACHING OVER THE LAST THREE YEARS AT UOK

Table 3 – Summary of Undergraduate and postgraduate teaching (insert additional rows as may be needed or attach a separate sheet)

YEAR 1: 20.				
Name of module	Module code	Trimester (1, 2 or 3)	Contact hours per module including practicals, seminars)	Number of students
YEAR 2: 20...				

HUMAN RESOURCE MANUAL

YEAR 3: 20.				

Table 4: Evaluation of Teaching effectiveness (attach copies of student evaluations report)

Year	Score obtained	Score verified by the supervisor

Table 5 - Supervision of Postgraduate Students over the last three years

Level of supervision (Masters or Ph.D.)	Name of student	Thesis/Dissertation title	Main-, co-, or only supervisor	Date graduated or progress*

* insert status, e.g.; developing proposal; proposal approved; data collection, thesis submitted,

HUMAN RESOURCE MANUAL

Table 6 – Contribution as external and/or internal moderator

Dates	Institution	Subjects moderated (specify major subject areas)	Undergraduate/postgraduate

ANY OTHER CONTRIBUTION WITH REGARD TO TEACHING

(e.g. field trips, students with disabilities, etc).

CONTRIBUTIONS IN RESEARCH AND CONSULTANCIES SINCE PREVIOUS PROMOTION

PUBLICATION CONTRIBUTIONS

Give full bibliographical details of all your publications (and submit a clearly numbered copy of each publication to your Dean / Head of Department). Please organize these publications according to the categories as explained in the guidelines. (Extend the list as required)

Table 7 – List of publications

NO	Full bibliographical details of publications	Category A, B, C,....	Refereed Scholarly work yes/no	Allocation of publication units by evaluation committee		
				Level 1	Level 2	Level 3

HUMAN RESOURCE MANUAL

For each of the refereed scholarly works listed above that has not been published yet, but **accepted** for publication, provide copies of the letters of acceptance:

CONTRIBUTIONS WITH REGARD TO SERVICE TO UOK AND THE WIDER COMMUNITY

In addition to your contributions in teaching, research, and publications, as outlined above, present an outline of the key service activities in which you were involved over the last three years. Also indicate the level of service (e.g. Department, UOK, National or International). If any recognitions or any honors were earned as a result of the quality of these services, state so:

Table 8: Community Service contribution (list various activities for each of 3 years)

Community Service contribution (with points claimed)	Evaluation by the committee		
	Level 1	Level 2	Level 3
Year 1			
Year 2			
Year 3			

PROFESSIONAL DEVELOPMENT

Give an overview of your professional development over the last three to five years (for example membership to professional associations, internships, short courses etc)

Signature by Staff Member
Date

Annexure 5: Guidelines for assessing publications

PROCEDURES AND GUIDELINES FOR ASSESSING PUBLICATIONS BY ACADEMIC STAFF AT THE UNIVERSITY OF KIGALI

INTRODUCTION

When assessing prospective candidates for promotion, the **quality** of publications will also be addressed. The various categories of publications will be analyzed, weighted, and allocated publication units.

WEIGHTING OF PUBLICATIONS FOR PROMOTION AT UOK

1. REFEREED SCHOLARLY WORKS

For a publication to be recognized as a refereed article such a publication should appear in a Journal/Bulletin which fulfills the following criteria:

The journal must have an International Editorial Board, whose membership is known by names.

The production of the journal should be regular, and its circulation should be wide, going beyond the local/national boundaries.

Both conventionally printed and online journals will be accepted but the production of the journal should be of international quality and fulfill the above criteria.

The target readership of the journal should be aimed at tertiary educational institutions and research centers.

2. NUMBER OF AUTHORS & ALLOCATION OF PUBLICATION POINTS

Where a publication is authored by the applicant alone, the full allocated points (refer to table 1 for details) for the publication will be awarded.

Where the publications are co-authored the points will be allocated as follows:

Where a publication is authored by three or fewer authors two third (2/3) of allocated points for the publication will be awarded if the applicant is the first author. In other cases, one half (1/2) of allocated points for the publication will be awarded.

Where a publication is authored by four or more authors one-half (1/2) of allocated points for the publication will be awarded if the applicant is the first author. In other cases, one third (1/3) of allocated points for the publication will be awarded.

Committees at each level have the right to investigate the contribution of each author to the publication.

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Table 1: Allocation of publication points

KEY	Category of publication	Publication Points
A	Academic books (ranging from medium-sized standard academic work to highly original, substantive academic contribution)	3 – 6
B	Smaller books and monographs (depending on volume and academic weight)	1 – 3
C	Chapters in books,	1 – 2
D	Article in refereed journal/proceedings (depending on research input, academic substance, and originality)	2 – 4
E	Research report (depending on the quality of the research, the sample size, the depth of analyses, etc)	1 – 2
F	Academic papers published in conference or workshop proceedings	0.5 – 1
G	Consultancy, technical and commissioned reports available for reference in local/regional libraries (depending on size, format and academic quality)	0.5 – 1
H	Teaching manuals & study guides (depending on size, format and academic quality)	1 – 3
I	Contributions as editor (ranging from compiler of workshop or conference proceedings to editor of well-planned academic work on a researched topic)	1 – 2
J	Creative work: original creative work (art, music, novel, drama, literature, computer software, electronic media, video production, etc.); depending on the nature and quality of the creativity.	1 – 4
K	Unpublished national and international conference papers and posters (in full script format) including details of conference – maximum of 2 publication points can be earned under this category.	0.5 - 1
L	An article in popular publication e.g. newspapers and magazines – these are not considered as refereed scholarly works and a maximum of 1 publication point can be earned under this category.	0.5 – 1
M	Recognition for administrative duties	4-8 (1 – 2

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		refereed articles)
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Please note that Masters and Ph.D. theses do not earn publication points.

Further note that full points should only be awarded for extensive and comprehensive publications of international quality. Therefore, the range of points indicated in the table above is meant to allow flexibility within each category, for example, for a book to be awarded the maximum points (6), it should consist of several chapters of high quality and with an extensive reference list. The technical aspects of the book should also fulfill international standards. For all categories, the maximum points can only be allocated for a publication of international standard within the specific category.

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Annexure 6: Application for Private work

APPLICATION FOR PRIVATE WORK

NAME OF APPLICANT: _____

DEPARTMENT/CENTRE _____ /
FACULTY: _____

DATE: _____

Name of project/company/business: _____

Please provide a short description of the concept of the project/company/ business. (Describe the services to be provided e.g. research project of 6 weeks duration for Company X).

Describe how the work is a service to the public, advances the employee's knowledge of their field of work, is aligned to the employee's academic discipline, and provides a flow of benefit to the university.

Taking your workload into consideration, describe how this will be apportioned (e.g. 4 weeks work in December vacation, two afternoons per week consulting with clients, etc.)

Describe the arrangements that have been made for the use of university equipment, office space, infrastructure and resources. Also give details of how the university will be compensated for such usage, if applicable.

Detail the estimated annual income generated by the private work in question (Attach copy of advert / agreement as may be applicable)

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APPLICANT’S SIGNATURE & DATE

COMMENTS BY IMMEDIATE SUPERVISOR

SIGNATURE OF IMMEDIATE SUPERVISOR & DATE

COMMENTS BY THE DEAN / DVCA/ED

RECOMMENDED / NOT RECOMMENDED FOR APPROVAL

SIGNATURE & DATE

COMMENTS BY VICE-CHANCELLOR

APPROVED/NOT APPROVED

SIGNATURE OF VICE CHANCELLOR & DATE

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APPLICATION FOR REPLACEMENT/APPOINTMENT OF STAFF

Faculty/Directorate/Centre

Post

(Please delete yes or no as appropriate below)

Academic Yes/No **Research** Yes/No **Support** Yes/No ____

Grade **Permanent** Yes/No **Temporary** Yes/No

Is post within existing and agreed staffing plan? Yes/No

If yes, whom is it replacing?

Does the post that is being replaced have supervisory responsibility? Yes/No

Funding details

Source of funding

Sum of money

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REASON/RATIONALE FOR POST (please consider the following):

- Does the work carried out by the previous post holder need to continue? Can work be reallocated?
- Could the job be carried out under different working arrangements (e.g. part-time, term-time only, job share?)
- If you wish to make a fixed-term appointment you must provide clear justification for the temporary nature of the post.

(please attach any further information to the back of the form)

AUTHORISATION PROCEDURE TO BE FOLLOWED

Stage 1: *Manager to complete recruitment form*

Signature _____ **Print name** _____

Date _____

(Dean/Director)

Stage 2: *Manager sends recruitment form to relevant VR for approval. VR takes to Management Committee.*

Signature _____ **Print name** _____

Date _____

(the VC)

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- **Please send signed recruitment form, post profile, candidate profile and advertisement to the Personnel Assistant ***
-

For Human Resource Office use only

Date received by HR (date stamp)

Human Resource Office signature

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POST PROFILE FORM

Faculty/Centre/Unit/Directorate:

Role code (to be completed by Personnel Officer)	Post Title:
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Responsible to:	Responsible for: (staff type and numbers)
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Main purpose of the post (that is, the reason why the role exists – and the statement should summarize the main areas of activity and responsibility)
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Principal duties or key objectives (this listing should specify only the highest level of duty and/or the major areas of responsibility and activity which will be used to assess achievement and performance; list a maximum of ten)

1

2

3

4

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6

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8

9

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10

As a term of employment and after due consultation, staff may be required to undertake such other reasonable duties and/or working arrangements as may be required to meet the needs of the Institution.

Any special features:

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CANDIDATE PROFILE FORM

This section should include the basic, essential requirements the postholder should have in order to carry out the role to an acceptable level of performance. You can also add in desirable items.

1 Qualifications and/or Membership of Professional Bodies:
2 Experience:
3 Knowledge:
4 Skills/abilities/competencies:

Signature _____ Print name _____

Date _____

Line manager:

Dean/Director

Signature _____ Print name _____

Date _____

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Vice Chancellor.

Signature _____ Print name _____

Date _____

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Grade/Salary:

Post number:

Advertised:

Closing date:

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A SHORTLIST SELECTION FORM FOR THE POST

Please specify the standard requirement of the post, for each application, by using the following scores to rate each of the candidates on the next page.

- 0 – Does not meet minimum/essential requirements**
- 1 - Partially meets minimum/essential requirements**
- 2 - Fully meets minimum/essential requirements**
- 3 - Exceeds minimum/essential requirements (i.e. meets ‘desirable’ characteristics)**

It is the responsibility of the Interview Chair to arrange a suitable date and place for members of the Appointments Committee/Short listing Panel to view application forms and shortlist the applicants.

Shortlisting panel: (please sign the Interview Chair’s copy of the form)

<u>Name (printed)</u>	<u>Signature</u>
<u>Date</u>	
(Chair) _____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

This form should be signed by all participants and sent to the appropriate Personnel Assistant. As many of the interviewers as possible should be involved in the short listing process, but always at least two, including the Interview Chair. Where possible each interviewer should read all applications and complete the proforma as a guide in advance of the short listing meeting.

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Interview Details Form

It is the responsibility of the **Interview Chair** to complete the following details and arrange with the Appointments Panel a suitable date and place for the interviews. Please remember that HR Office requires up to two weeks to notify the candidates.

Appointment Panel _____ **(Chair)**

(print names)

Interview date _____

Length of interview: _____

Start time for interviews: _____

Interview Room (Building, number) _____

Person to report to before interview: _____

Is a presentation to Staff required? **Yes No** (ring one)

If yes: length: _____

Topic/title:

Are other tasks/tests required? **Yes No** (ring one)

Please specify:

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Signed (Chair) _____

Date: _____

NOTES OF GUIDANCE ON SELECTION AND INTERVIEWING

The Short listing/Interview Panel should bear in mind a commitment to Equal Opportunities. The purpose of selection is to select the best candidate in a fair and transparent way that allows all appropriate candidates to be considered. No candidate should be excluded, or fail to be appointed, because of factors peripheral to what is needed to do the job and which tend to show a structured bias against one group and in favor of another. All interviews must be carried out in line with the requirements of the Ministry of Labour requirements for public-sector appointments: the selection process for all non-academic posts must include a written test and a representative of the Ministry of Labour must be invited to be on the interview panel.

1 Short listing Candidates for Interview

At the short listing meeting, the Interview Panel should refer to the selection criteria as specified in the Post Profile in order to assess applicants for interview. Candidates must be assessed solely on their qualifications, relevant knowledge, experience and skills/abilities as presented in the Application Form.

2 Deciding on Interview Questions

Once applicants have been selected for an interview, the Interview Panel should meet in advance of the interviewing to decide interview questions. You should agree what questions should be asked to assess further the candidate's match to the criteria for the post. Questions specific to each individual should also be agreed in order that gaps/issues highlighted in the candidate's Application Form can be probed. A skeleton outline of the interviews should be agreed to detail the order of questions and who will ask each question.

Care must be taken not to phrase questions in a way that might suggest an intention to discriminate.

Do not ask questions relating to any of the following:

- Marriage, family plans, children or domestic circumstances

(If you need to know that the person can work late or at weekends, then simply ask **all** the candidates about their availability to work unsociable hours).

- Religion or political beliefs

3 Questioning Technique

- Begin the questioning by concentrating on areas which are familiar to the candidates – e.g. present job, recent studies – before discussing previous experience and the interviewee’s thoughts about the job.

Ask open questions which cannot be answered with just ‘yes’ or ‘no’, by beginning the questions with ‘how’, ‘why’, ‘where’, ‘which’ or ‘what’.

- Do not ask multiple questions.
- Listen carefully to the answers and be prepared to ask further probing questions to clarify areas which the candidate has not covered fully or which appear to be vague or confused.

4 Conducting the Interview – Structure

Opening stages:

- Welcome and introduction by the Chair.
- Outline the structure of the interview, let the candidate know when he or she can ask questions and tell him or her probably the length of the interview.

Questioning stage:

- The Panel should follow the skeleton outline of questions agreed in advance but feel free to ask follow-up questions to probe candidates’ replies to questions, as necessary – particularly where failure to answer satisfactorily will be a factor in the judgment to appoint or not to appoint.

Closing stages

- Candidates should be given the opportunity to ask their own questions.
- Candidates should be told when they will receive notification of the outcome of the interview.

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After the interviews

- After all the interviews have been completed the Chair may inform the successful candidate orally that he or she is the preferred candidate for the post, subject to satisfactory references and police clearance.
- When all the relevant documentation has been received by the HR Officer, a contract will immediately be sent to the successful candidate, who will be required to reply **within seven days**.
- External candidates whom the panel has decided not to appoint should immediately be sent a letter of regret by the Personnel Officer. External candidates judged appointable and held in reserve as second or third choices for appointment to the post should be sent an initial letter explaining the situation and then a letter of regret if a preferred candidate accepts the post.
- Internal candidates should be informed personally of the outcome of the Panel and offered feedback on performance by the Director of Human Resources.

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COMPOSITION OF APPOINTMENT/SHORTLISTING PANELS

Notes:

- 1 Posts which may carry the title of Professor or Assistant Professor are appointed initially by a Senior Lecturer Appointment Panel. The decision to confer the title is taken subsequently (normally as soon as possible after the Appointment Panel) by the Professorial Panel (Appendix 8).**
- 2 All panels will be attended by a member of the Human Resources Directorate of appropriate rank, to ensure that policies are applied consistently.**
- 3 All panel members must be of at least the equivalent rank to that of the post to which appointment is being made.**

Panel for Directorial posts

Vice Chancellor (Chair)

Deputy Vice Chancellor

Director of Quality Assurance

One member of senior staff with relevant expertise

Director of Human Resource

Panel for Lecturer and Senior Lecturer posts

Deputy Vice Chancellor Academic (Chair)

Director of Quality

Dean of the appropriate Faculty (or representative)

Head of the appropriate subject area within Faculty

Another member of Faculty, from outside the subject area

One member of another Faculty with relevant expertise.

Panel for Assistant Lecturer and Tutorial Assistant posts

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DVCA (Chair)

Dean of the appropriate Faculty

Head of the appropriate subject area within Faculty

Another member of Faculty, from outside the subject area

One member of another Faculty with relevant expertise.

Director of HR

Panel for Technical posts

Vice Rector Administration and Finance or Vice Rector Academic (Chair)

Technical Manager

One other senior technician

Senior member of a relevant customer department

Panel for administrative posts below the rank of Director

Vice Rector Academic or Vice Rector Administration and Finance (Chair)

Director of Unit

Director of another Unit

Panel for manual posts

Line manager (Chair)

Senior member of a relevant non-academic department

One other person with appropriate knowledge or expertise

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ACADEMIC STAFF APPRAISAL FORM

Section A: Deployment details

Name of Staff.....

Date of Current appointment...../...../.....

Faculty.....

Department.....

Current Designation.....

Terms of engagement

Section B: Performance targets

1. Levels taught in the Years

Undergraduate

Postgraduate Diploma

Masters

PhD

2. Progress

Day.....

Evening.....

Weekend

3. Subjects taught during the year

NO	Course Units	Program/ Work	Level

Section C: Performance evaluation

A. Lecturing attendance

Activity	Target	Poor	Fair	Good	Very Goo	Excellent
Course Unity	Hours Taught	1	2	3	4	5
Total Hours						

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Overall Score.....

Remarks by Staff Member.....

Rating and comments by Supervisor.....

B. Competence

Activity	Target Planned	Performance		
		Done	Partly done	Not done
		2	1	0
Set examination papers				
Shared setting with colleagues				
Participated in exam moderation				
Prepared examination attachments				
Set course work				
Marked Coursework				
Set and mark Tests				
Marked examination Scripts				
Invigilated examinations				
Practical work assessed				
Dissertations Marked				
Submission of results both examinations and course work				
Total Points				

Total hours planned.....Taught.....

Overall score.....

Table to be filled by a member of staff

Activity	Target Planned date of submission	Performance Actual date of submission	Timing of submission			
			In 3	On 2	Late 1	Not 0
Examination papers						
Marked examination scripts						
Examination Results						
Course work Results						
Results of Tests Given						
Results of practical work supervised						
Results of research supervised						
Marking scheme for each paper						
General report on students' performance						
Total points						

Overall Score.....

Rating and comments by supervisor based on the above overall scores and remarks

HUMAN RESOURCE MANUAL

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PERFORMANCE COMPETENCE AREA

3: Other areas

No	Role	Always	Rarely	Never
		2	1	0
1	Uses computer to Prepare Lectures			
2	Carries out Library Research			
3	Carries out research in the field			
4	Participate in workshops/Seminars			
5	Participate in Public Lectures			
6	Active member of Academic Association			
7	Leadership role in the University			
8	Participate in consultancy work			
9	I do voluntary work			
10	Responsibility in community			
11	Have carried out research			
	Total point			

Overall score.....

Remarks by a member of staff.....

Rating and comments by supervisor based on the above overall scores and remarks

Part IV: OVERALL ASSESSMENT OF THE SUPERVISOR

a) Technical performance

No	Area of performance	Poor Does not fulfill what is planned (0-25%)	Fair Fulfils partly what is planned (26-50%)	Good Fulfils what is planned (51-75%)	Excellent Beyond planned (76-100%)
1	Performance competence area 1				
2	Performance competence area 2a				
3	Performance competence area 2b				
4	Performance competence area 3				
	Total scores				

HUMAN RESOURCE MANUAL

a) Behavioural performance

No	Area of Performance	Poor	Fair	Good	Excellent
1	Team work				
2	Integrity				
3	Customer care				
4	Commitment				
5	Responsive				
6	Communication				
7	Observe of staff code of conduct				
8	Respect for Self and others				

Rating and comments by supervisor based on the above overall scores

.....

Part V: ACTION PLAN TO IMPROVE PERFORMANCE

The action shall be jointly agreed during the appraisal meeting, taking into account the member of staff's required competencies, facilities, resources and the identified performance gaps.

The action plan to improve performance include may include training, coaching, job rotation, counseling and or provision of facilities and resources.

Performance	Agreed action	Time frame

Comments of the member of staff.....

SIGNATURES:

After filling this evaluation form, review and discussion by the member of staff and Supervisor, their signature shall be appended as the confirmation of the agreed way forward.

Signature of the member of staff

Signature of the member of staff

Date...../...../.....

Date...../...../.....

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EVALUATION FORM FOR STAFF

SECTION A: TO BE COMPLETED BY MEMBER OF STAFF

1. PERSONAL INFORMATION

Name of member of staff		Staff ID No	
Gender		Salary Scale	
Job title		Date of Birth	
Department / school		Date of Employment	
Name of title of supervisor		Date of employment in the current position	
Highest qualification held		Length of time served at UoK	

2. ACHIEVEMENT OF OBJECTIVES AND STANDARDS

Objectives	Standards achieved		
	Exceeds expectations (15 marks)	Meets expectations (10 marks)	Below expectations (5 marks)

Supporting document and comments if applicable by the member of staff

Supervisor's comment in relation to the objective performance

3. KEY COMPETENCIES	3	2	1
Communication –Written& Verbal			
Customer Care			
Teamwork			
Work-related knowledge and skills			
Organisational skills			
Time management			
Attitude to work			

Supervisor's comments in relation to key competencies if applicable

4. SIGNIFICANT ACHIEVEMENTS DURING THE REVIEWED PERIOD
Supervisor's comments if applicable
List Challenges faced during the review period
Supervisor comments if applicable

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SECTION B: THE WAY FORWARD

1. Critical areas observed

No	Critical area	Action required
1		
2		
3		

Recommendations

Please tick on what is applicable

a) Confirmation

1	Confirmation in The University	
2	Nonconfirmation in the University	
3	Extension of probation for a period of.....	

b. Promotion

1. Promotion from the grade of
2. Promotion because of the following reason:
I.
II.
III.
.....
.....
.....

b) Renewal of contract

1	Renewal of contract	
2	Nonrenewal of contract	

c) Annual evaluation

.....

3. Mutually agreed on actions

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.....

4. If the member of staff is not in agreement with the overall assessment, he or she should state his or her point of disagreement and sign as indicated in number 10 below

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SECTION C: PERFORMANCE PLAN TO IMPROVE PERFORMANCE

Performance gap	Agreed action	Time frame

Comments, of the member of staff.....
.....

SIGNATURES

After filling this evaluation form, review and discussion by the member of staff and supervisor, their signatures shall be appended as confirmation of the agreed way forward

Signature of the member of staff

Signature of supervisor

Date...../...../.....

Date...../...../.....

Comments by the departmental committee

.....

Signature of the Chairperson

Signature of the Secretary

Date...../...../.....

Date...../...../.....

Recommendations by the Human Resource Direct

.....
.....
.....

Signature__

Date...../...../.....

