



University of Nairobi

**Academic Staff Appraisal Instrument
Faculty Manual**

Appraisal Instrument Version 20190515

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Overview and Scoring Criteria

1.1 Overview

The University Academic Staff Appraisal Instrument has been developed to provide a more holistic assessment of academic staff performance as well as be better aligned to the Academic Staff Appointments and Promotion Tool. The instrument enables Academic staff to carry out an initial self assessment based on their achievements and performance between July 1 and June 30 of each academic year.

The instrument is then passed onto the chairperson who completes the *Chairperson's Assessment*, after which both the Chair and the faculty member go over the appraisal, before it is considered final.

1.2 Evaluation Criteria

Evaluation is divided into five broad categories: Research and Publications I & II; Teaching and Learning; Professional Engagements and Grants; Administrative Responsibilities and Community Engagement; and the Chairperson’s Evaluation. Each category has different weights depending on the staff member’s level. The general principle for assignment of weights is that more weight is assigned to research categories, with a corresponding reduction in teaching and the chairperson’s evaluation categories with increase in seniority. Further, *Research Fellows* are expected to do more research than teaching compared to their faculty colleagues. As a result, the weights assigned to research fellows are higher in their research categories. A summary of the weights for academic positions is presented in Table 11.

Table 11: Weights for each section based on Academic Rank

Section	Prof. /Assoc. Prof.	Snr. Res. Fel.	Snr. Lect./Lect.	Res. Fel.	Tut. Fel./Jr. Res. Fel.
Research and Publications-I	25	35	20	35	10
Research and Publications - II	10	10	5	5	5
Teaching and Learning	30	20	35	20	20
Professional Engagements and Grants	10	10	10	10	10
Administrative Responsibilities and Community engagements	10	10	10	10	0
Chairperson’s Evaluation	15	15	20	20	55

The scores associated with each area of performance are similar to those found in the Appoints and Promotion Tool. The individual scores attributed to each level of achievement are summarised in Table 12 and 13. Unlike the appointments and promotion tool, faculty members get full points for all publications irrespective of the number of authors.¹

¹Faculty should however remain aware that prorated formula for point allocation based on number of authors and author position shall still remain in effect for Appointments and Promotion.

Table 12: Different Sections of Assessment and Points Attributed to Each Task

SN	Session/Area	Points
I	Research and Publications – I	
1A	Journal Publications	8
1B	University Level Scholarly Book	24
1C	Patents and other protected Intellectual Property	16
1D	Tertiary Level Book (excluding University)	8
1E	Book Chapter	6
	Research and Publications – II	
1F	Learning Module	6
1G	Exhibitions and Performances	4
1H	Other books	2
1I	Editorship	2
1J	Conference Paper	4
1K	Conference/Workshop Presentations	2
II	Teaching and Learning	
2A	Teaching	2
2A	Course Evaluation	Average % divided by 5
2B	Supervision of Post-graduate students	
	<i>Doctorate Proposal and Research Phase</i>	5
	<i>Doctorate Completed</i>	10
	<i>Masters Proposal and Research Phase</i>	3
	<i>Masters Completed</i>	5

Table 13: Different Sections of Assessment and Points Attributed to Each Task

SN	Session/Area	Points
III	Professional Engagements and Grants	
3A	Professional Engagements	2
3B	Research and Consultancy Grants	
	<i>Research</i>	10
	<i>Consultancy, Development and Training</i>	5
IV	Administrative Responsibilities and Community Engagement	
4	Administrative Responsibilities	
	<i>Dean/Director</i>	20
	<i>Assoc. Dean</i>	13
	<i>Chairman</i>	10
	<i>Committee</i>	5
5	Community Engagements	2
V	Chairperson Evaluation	
	Chairperson's Score (for each item)	
	<i>Does not demonstrate</i>	1
	<i>Demonstrates</i>	13
	<i>Exemplifies</i>	10

1.3 Points, Scores and Ratings

An explanation of the three terminologies – Points, Scores and Ratings – is as follows:

Points - Each accomplishment that measures your accomplishments is assigned a certain number of points as was presented in Tables 12 and 13.

Scores - As the appraisal instrument is being filled out, each category *total points* is automatically computed and simultaneously converted to a *Score* between 0-10. An academic member of staff is expected to perform well in each of the five evaluation categories. A *Weighted Overall Score* based on each of the individual category scores and the weight for each category is also calculated. This presents on a scale of 0 to 10, your overall assessed performance for the year.

Ratings - Finally, the score for each category and for the *Weighted Overall Score* is converted to a *Category Rating* and your overall *Assessment Rating*, respectively. The correspondence between scores and ratings used for all categories and the overall assessment is presented in Table 14.

Table 14: Correspondence between scores and ratings

Score Range	Ratings
Score less than 2	Poor
Score greater than or equal to 2 and less than 3	Below Average
Score greater than or equal to 3 and less than 4	Average
Score greater than or equal to 4 and less than 6	Good
Score greater than or equal to 6 and less than 7	Very Good
Score greater than or equal to 7 and less than 8	Excellent
Score greater than or equal to 8	Exemplary

1.4 Appraisal Instrument Structure

The structure of the appraisal instrument is shown in Figure 11. The Instrument consists of twenty separate connected spreadsheets, each providing a table to report activities carried out during the course of the year under review. The sheet labelled “Summary” displays an aggregate of the points, scores and ratings as information is entered in the other sheets.

For all sheets and as shown represented by Area 1 in Figure 11, information can only be entered in the white areas of the spreadsheet. The other coloured cells are all locked and cannot be changed or information added.

At the top right of the Summary sheet, Area 2, the *Weighted Overall Score* and the *Overall Rating* is displayed. These shall continuously change as new information is added. As can also be seen under each evaluation category, the corresponding total number of points, score and rating is listed.

Finally, at the bottom of the instrument are the different spreadsheets, each labelled corresponding to the evaluation measure it represents (shown as ‘3’ in Figure 11). You are advised to go through each sheet in order from left to right when completing the instrument, to ensure that you have entered all required information.

Version 20190515
ACADEMIC STAFF APPRAISAL

Name: _____
P/F NO: _____
Designation: _____
Department: _____

SCORE 0.00 **RATING Poor**

1

Category	Item	Weight (%)	Score	Rating
I Research and Publications – I	1A Journal Publications		0	
	1B University Level Scholarly Book		0	
	1C Patents and other protected Intellectual Property		0	
	1D Tertiary Level Book (excluding University)		0	
	1E Book Chapter		0	
	Total Points		0.0	Score (Max. 10)
		Poor	Rating	
Research and Publications – II	1F Learning Module		0	
	1G Exhibitions and Performances		0	
	1H Other books		0	
	1I Editorship		0	
	1J Conference Paper		0	
	1K Conference/Workshop Presentations		0	
	Total Points		0.0	Score (Max. 10)
		Poor	Rating	
II Teaching and Learning	2A Teaching		0	
	2A Course Evaluation (average % divided by 5)		0	
	2B Supervision of Post-graduate students		0	
Total Points		0.0	Score (Max. 10)	
		Poor	Rating	

3

Summary | 1A-Journal Publications | 1B-Scholarly Books | 1C-Patents and IP | 1D-Tertiary Level Book | 1E-Book Chapter | 1F-Learning Module | 1G-Exhibitions | 1H-Other Published

Figure 11: Summary Page and Key Signposts

Completing the Instrument

2.1 Starting Point - Summary Sheet

The assessment starts with entering your details onto the Summary Sheet as shown in Figure 21, Name, P/F No., Designation and Department. Once you click into the Cell for 'Designation' you shall be presented with eight choices as shown in the figure. Select one of them. Note that the selection of the designation shall automatically enter in the corresponding weights for each of the evaluation categories (Figure 28).

2.2 Step 2 - Research and Publications

The first sheet for data entry under the *Research and Publications* category is sheet 1A - *Journal Publications*, see Figure 23. As shown, provide the full details for each publication with each of the cells. Note that the score for recognition of the publication shall only appear when information corresponding to each cell has been completed.

2. COMPLETING THE INSTRUMENT

Version	20190515	SCORE	0.00	RATING	Poor
ACADEMIC STAFF APPRAISAL					
Name	Madara Ogot				
P/F NO	123456				
Designation	Professor				
Department					
	Assoc. Professor				
	Senior Lecturer				
	Senior Research Fellow				
1A	Lecturer		0		
1B	Research Fellow		0		
1C	Tutorial Fellow		0		
1D	Junior Research Fellow		0		
1E			0		
			0.0	Total Points	Score (Max. 10)
			Poor		Rating
Research and Publications - II					
1F	Learning Module		0		
1G	Exhibitions and Performances		0		
1H	Other books		0		
1I	Editorship		0		
1J	Conference Paper		0		
1K	Conference/Workshop Presentations		0		
			0.0	Total Points	Score (Max. 10)
			Poor		Rating
II Teaching and Learning					
2A	Teaching		0		
2A	Course Evaluation (average % divided by 5)		0		
2B	Supervision of Post-graduate students		0		
			0	Total Points	

Figure 21: Entering personal data on the summary sheet

Please note that information is required **only for publications that appeared between July 1 and June 30 of the year under review**. Those publications that have been accepted, but have not been published should be counted for evaluation in subsequent years in which they appear.

Important Note: For each publication entered, a copy of the first page must be made. These shall be submitted to the Chair as evidence of the publication.

For each of the other publications areas covered by Sheets *1B-Scholarly Books* to *1I-Editorships* as shown by the example entries in Figures 24 to 29, the information is entered in a similar manner.

2.2. Step 2 - Research and Publications

University of Nairobi Academic Staff Appraisal Tool v201900514.xlsx

Professor

Version	20190515	SCORE	0.00	RATING	Err:522
ACADEMIC STAFF APPRAISAL					
Name	Madara Ogot				
P/F NO.	123456				
Designation	Professor	Designation			
Department	Mechanical and Manufacturing	Choose one from the list of options			
		Weight (%)			
I Research and Publications – I					
		25			
1A	Journal Publications		0		
1B	University Level Scholarly Book		0		
1C	Patents and other protected Intellectual Property		0		
1D	Tertiary Level Book (excluding University)		0		
1E	Book Chapter		0		
			0	Total Points	
			0.0	Score (Max. 10)	
			Poor	Rating	
Research and Publications – II					
		10			
1F	Learning Module		0		
1G	Exhibitions and Performances		0		
1H	Other books		0		
1I	Editorship		0		
1J	Conference Paper		0		
1K	Conference/Workshop Presentations		0		
			0	Total Points	
			0.0	Score (Max. 10)	
			Poor	Rating	
II Teaching and Learning					
		30			
2A	Teaching		0		
2A	Course Evaluation (average % divided by 5)		0		
2B	Supervision of Postgraduate students		0		

Summary | 1A-Journal Publications | 1B-Scholarly Books | 1C-Patents and IP | 1D-Tertiary Level Book | 1E-Book Chapter | 1F-Learning Module | 1G-Exhibitions | 1H-Other Published Book

Sheet 1 of 19 | PageStyle_Summary | English (UK) | Average: ; Sum: 0 | 85%

Figure 22: Corresponding weights based on designation selection

2. COMPLETING THE INSTRUMENT

University of Nairobi Academic Staff Appraisal Tool v201900514.xlsx

	A	B	C	D	E	F	G	H	I	
1	1A. JOURNAL PUBLICATIONS						Points			
2							8			
3	Note: Scores are only provided for complete entries with all columns filled.									
4		Names of all authors in order.	Publication Year	Article Title	Journal	Vol, No., Pages				
5	1	Madara Ogot, Peter Mwangi, James Kiiru	2018	Spatial and Seasonal Variation of Air Quality in Nairobi County	Air Quality	Vol. 2, No. 5, pp. 23-34	8			
6										
7										
8										
9										
10										
11										
12										
13										
14										
15										
16										
17										
18										
19										
20										
21										
22	These must be papers published between July 1 and June 30 in academic year under review. Papers accepted for publication, but not yet published should not be included. They shall be accounted for when published.									
23										
24										
25										
26										
27										
28										

Summary | 1A-Journal Publications | 1B-Scholarly Books | 1C-Patents and IP | 1D-Tertiary Level Book | 1E-Book Chapter | 1F-Learning Module | 1G-Exhibitions | 1H-Other Published Book

Sheet 2 of 19 | PageStyle_1A-Journal Publications | English (UK) | Average: ; Sum: 0 | 85%

Figure 23: Example of journal publication entry

2.3 Step 3 - Teaching and Learning

Under teaching and learning, and with reference to Figure 210, enter on line for each of the courses taught during the year under evaluation, whether Module I, II or III. For each course enter the percent that you taught, typically 100 divide by number of instructors assuming each teaches the same number of classes. If not, then calculate your percentage from the number of classes you taught divide by total number of classes in the semester times 100. **It is important that this is entered as a percentage, i.e. range from 0-100.**

For each course the corresponding course evaluation score (again on a score 0-100) is entered. The number at the top right of the page shall display the simple average from all the courses taught during the year under review.¹

2.4 Step 4 - Postgraduate Supervision

Postgraduate Supervision information is entered into Sheet 2B. With reference to Figures 211 and 212 the post-graduate students degree type (Figure 211) and their current status (Figure 212) are selected from pre-determined lists. Once completed the appropriate scores for each student is assigned (Figure 213).

¹From the fiscal Year 2019-2020 when the course evaluation system goes online, this information shall be entered by Department chairs, and shall also include the number of students enabling automatic determination of annual teaching load.

2. COMPLETING THE INSTRUMENT

1	2B. POSTGRADUATE SUPERVISION					Points
2						0
3	Student Name	Registration No.	Degree Programme	Degree Type (Pick from list)	Stage (Pick from List)	
4	1 Elizabeth Njoroge	D93/1234/2019	Energy Management	Doctorate	Proposal Research Stage Completed	
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						
25						
26						
27						
28						
29						
30						
31						
32						
33						
34						
35						
36						
37						

Figure 212: Example of postgraduate supervision selection of student status from predefined list

here.

This sheet has two columns that require a selection from a predetermined list. The first is the *Grant Type* as shown in Figure 215 , and the second, the current status of the project (see Figure 216). A complete example entry is shown in Figure 217.

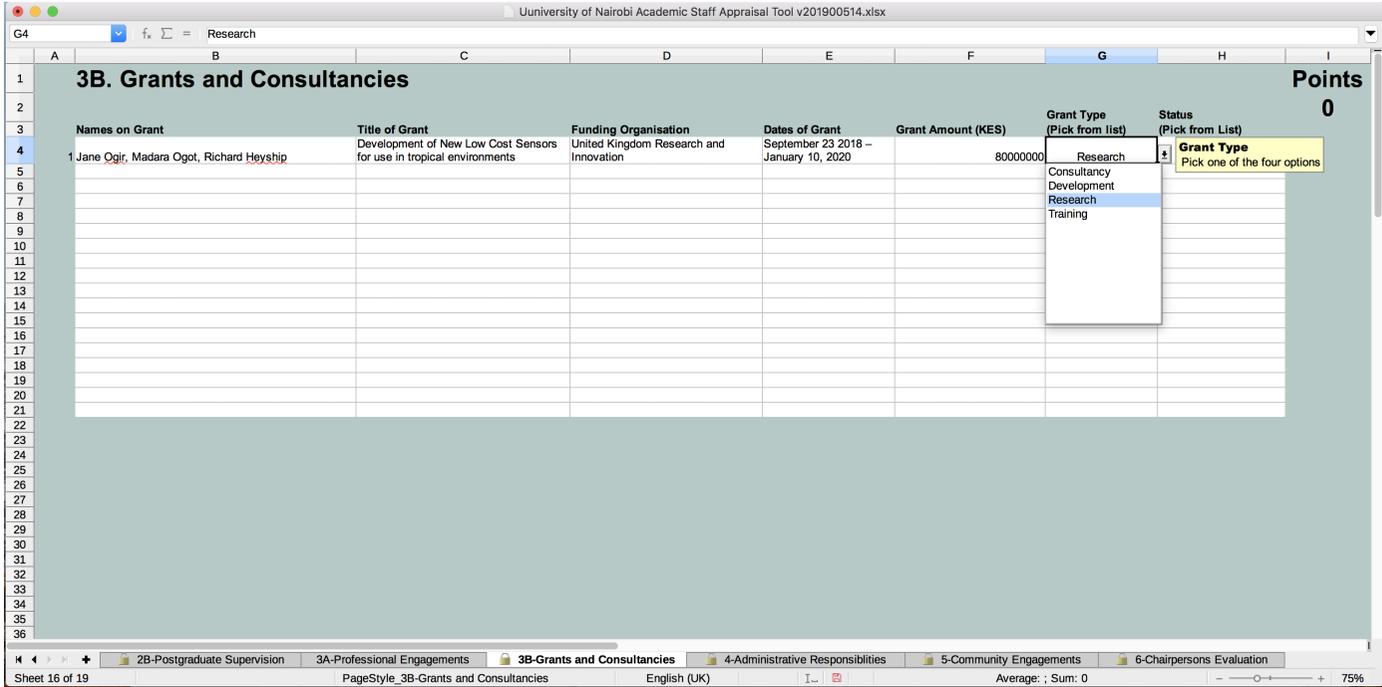


Figure 215: Example of grants and consultancies selection of grant type from predefined list

2. COMPLETING THE INSTRUMENT

	A	B	C	D	E	F	G	H	I
1	3B. Grants and Consultancies								Points
2									0
3	Names on Grant	Title of Grant	Funding Organisation	Dates of Grant	Grant Amount (KES)	Grant Type (Pick from list)	Status (Pick from List)		
4	1 Jane Ogir, Madara Ogot, Richard Heyship	Development of New Low Cost Sensors for use in tropical environments	United Kingdom Research and Innovation	September 23 2018 – January 10, 2020	80000000	Research	New On going Completed		
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									
17									
18									
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28									
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32									
33									
34									
35									
36									

Figure 216: Example of grants and consultancies selection of status from predefined list

The screenshot shows an Excel spreadsheet with the following data:

1	3B. Grants and Consultancies							Points
2								10
3	Names on Grant	Title of Grant	Funding Organisation	Dates of Grant	Grant Amount (KES)	Grant Type (Pick from list)	Status (Pick from List)	
4	Jane Ogir, Madara Ogot, Richard Heyship	Development of New Low Cost Sensors for use in tropical environments	United Kingdom Research and Innovation	September 23 2018 – January 10, 2020	80000000	Research	On going	10
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
16								
17								
18								
19								
20								
21								
22								
23								
24								
25								
26								
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28								
29								
30								
31								
32								
33								
34								
35								
36								

Figure 217: Example of grants and consultancies complete entry

2.7 Step 7 - Administrative Responsibilities

This category captures all the administrative responsibilities held in the university in the year under review. These include departmental, school, college or university wide responsibilities.

This sheet has two columns that require a selection from a predetermined list. The first is the *Responsibility* as shown in Figure 218, and the second, the current status of that responsibility (see Figure 219). A complete example entry is shown in Figure 220.

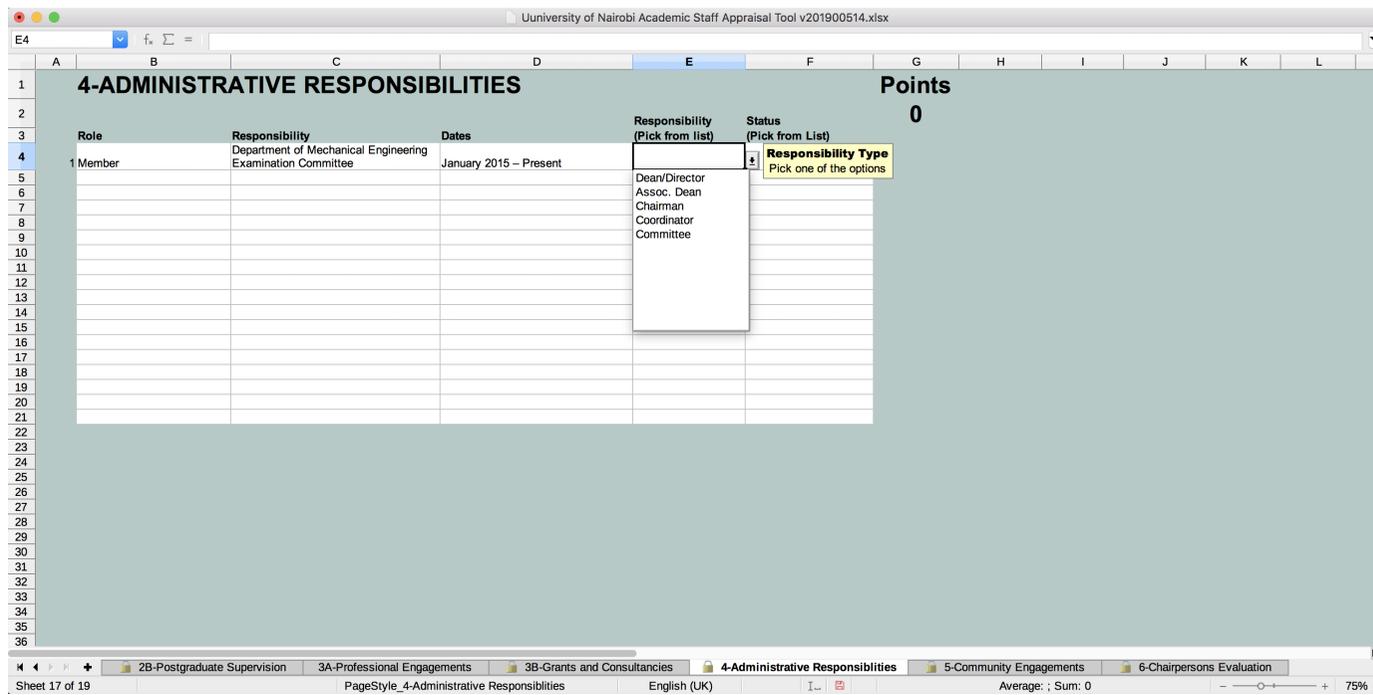


Figure 218: Example of selection of administrative responsibility type from predefined list

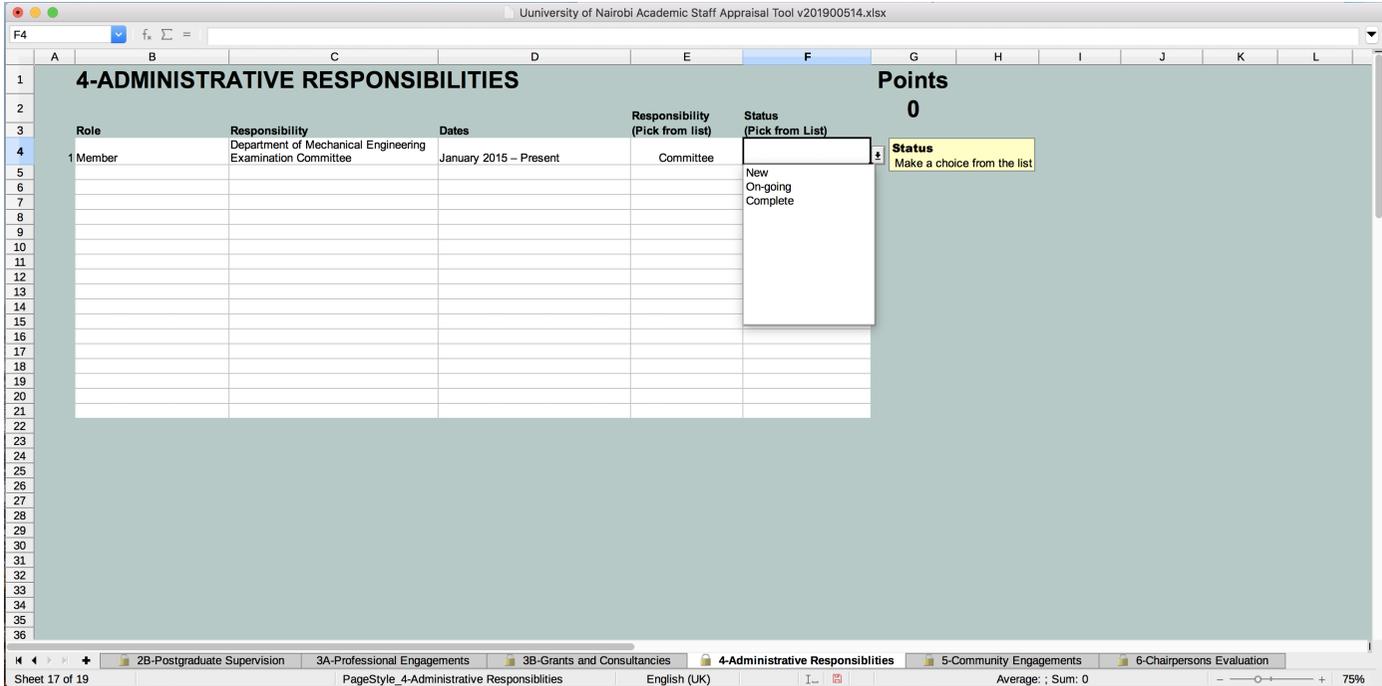


Figure 219: Example of selection of administrative responsibility status from predefined list

2.8 Final Step - Chairperson's Evaluation

Once you have completed filling out all the information in the previous sheet, the completed worksheet should be emailed to your chairperson who shall complete the last step. Details on who to email to and the address to send to shall be provided by your chairperson. This should be accompanied by hard copy package of photocopies of the first pages of all publications and grants as evidence.

This last step is to be completed by the Chairperson. With reference to Figure 221, the chairperson shall evaluate you based on ten areas:

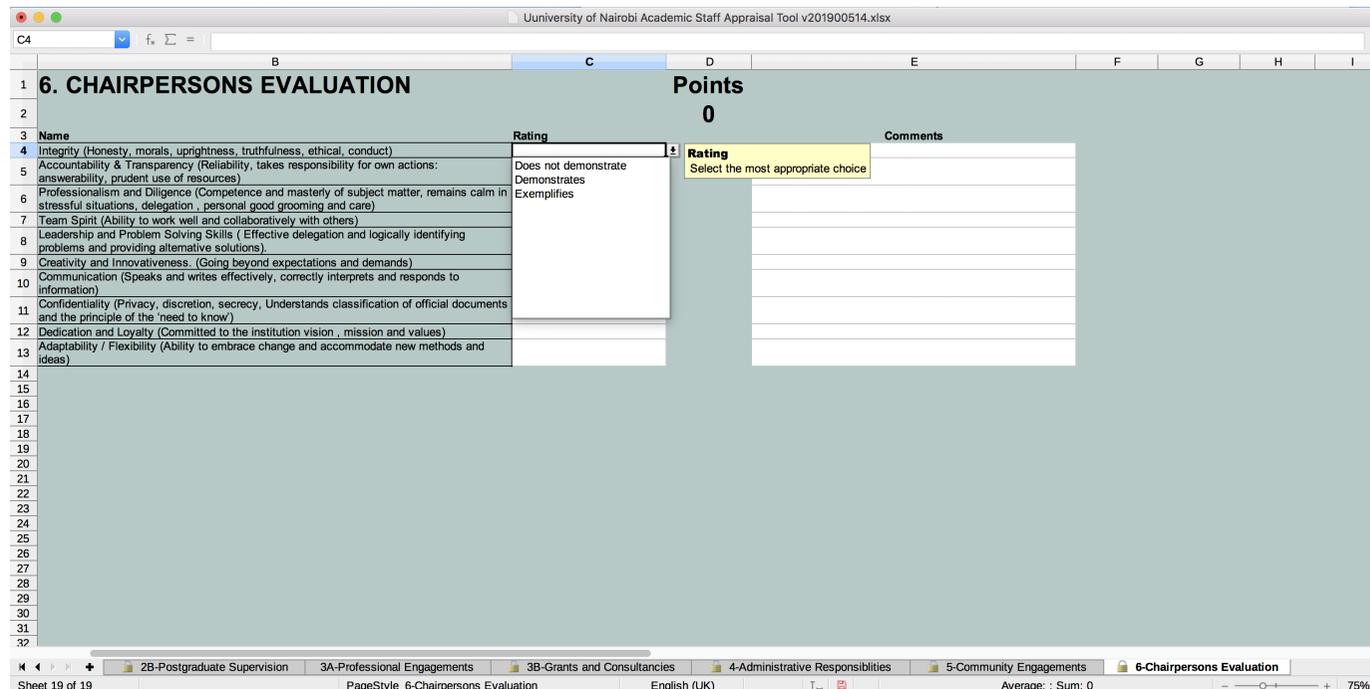


Figure 221: Example of chairperson's selection of rating for each evaluation criteria from predefined list

2. COMPLETING THE INSTRUMENT

1. Integrity (Honesty, morals, uprightness, truthfulness, ethical, conduct)
2. Accountability & Transparency (Reliability, takes responsibility for own actions: answerability, prudent use of resources)
3. Professionalism and Diligence (Competence and mastery of subject matter, remains calm in stressful situations, delegation , personal good grooming and care)
4. Team Spirit (Ability to work well and collaboratively with others)
5. Leadership and Problem Solving Skills (Effective delegation and logically identifying problems and providing alternative solutions).
6. Creativity and Innovativeness. (Going beyond expectations and demands)
7. Communication (Speaks and writes effectively, correctly interprets and responds to information)
8. Confidentiality (Privacy, discretion, secrecy, Understands classification of official documents and the principle of the 'need to know')
9. Dedication and Loyalty (Committed to the institution vision , mission and values)
10. Adaptability / Flexibility (Ability to embrace change and accommodate new methods and ideas)

The ratings are *Does not demonstrate* - 1 point, *Demonstrates* - 3 points, and *Exemplifies* - 5 points.

Where a rating of *Does not demonstrate* or *Exemplifies* is given, a brief comment justifying the rating MUST be provided (see Figure 222).

Once the chairperson has completed their review, they should call in the faculty member and go over the complete appraisal, specifically also discussing any areas of concern and areas for improvement.

6. CHAIRPERSONS EVALUATION		Points	
Name	Rating		Comments
Integrity (Honesty, morals, uprightness, truthfulness, ethical conduct)	Demonstrates	3	
Accountability & Transparency (Reliability, takes responsibility for own actions: answerability, prudent use of resources)	Exemplifies	5	Manages the Department Income vote, providing timely, transparent reports, and prudent use of resources
Professionalism and Diligence (Competence and mastery of subject matter, remains calm in stressful situations, delegation, personal good grooming and care)	Does not demonstrate	1	Often yells at colleagues during meetings, and does not adequately delegate responsibilities
Team Spirit (Ability to work well and collaboratively with others)			
Leadership and Problem Solving Skills (Effective delegation and logically identifying problems and providing alternative solutions).			
Creativity and Innovativeness. (Going beyond expectations and demands)			
Communication (Speaks and writes effectively, correctly interprets and responds to information)			
Confidentiality (Privacy, discretion, secrecy, Understands classification of official documents and the principle of the 'need to know')			
Dedication and Loyalty (Committed to the institution vision, mission and values)			
Adaptability / Flexibility (Ability to embrace change and accommodate new methods and ideas)			

Figure 222: Example of selection of administrative responsibility status from predefined list