



# ***HUMAN RESOURCE MANUAL***

March 2025





*Approved by the University Council of Mountains of the Moon University,  
under Minute 175/11th/MMU UC/NOV/24.:*

Signature:..........Date 27th March 2025

**ENG. DR. BEN MANYINDO**  
**CHAIRPERSON UNIVERSITY COUNCIL**



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## FOREWORD

I am pleased to note the revised Mountains of the Moon University (MMU) Human Resource Manual, which provides a framework for employee attraction, retention, development, and exit as one of the key achievements in the University's policy formulation. The revision of the Manual followed a consultative process, through stakeholder engagements, including the review of existing laws governing human resource practices in Uganda.

The Human Resource Manual is a key cornerstone in enabling MMU to recruit and manage a highly profiled caliber of workforce and to provide a competitive working ethos, necessary for enhancing the image and success of the University.

I am conscious that the Manual will guide the University Management in ensuring a desirable workplace environment that stimulates high-level productivity. Moreover, the Manual will be instrumental in guiding the University Council in handling various staff affairs, through the available regulations, rules, systems, processes, and procedures outlined therein.

On behalf of Mountains of the Moon University, I would like to encourage all staff and other stakeholders to recognize and implement the usage of the MMU Human Resource Manual to realize the University's vision, mission and objectives.

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**Eng. Dr. Ben Manyindo**

**CHAIRPERSON UNIVERSITY COUNCIL**



## ACKNOWLEDGEMENTS

Mountains of the Moon University is committed to the principles of good governance, as demonstrated in the just concluded revised Human Resource Manual of 2024. The approval of the Human Resource Manual by the University Council, is pivotal in providing an enabling mechanism for the University to attract and retain employees capable of delivering the mandate of MMU.

MMU notes that the work of reviewing the Human Resource Manual was not only tedious but engaging and extends deep appreciation to all those who made endless efforts towards the realization of this milestone. Specifically, the University is thankful to the Appointments Board for their keenness and thoroughness, during the review process; the University Council for approving this Human Resource Manual, Members of the Top University Management and the entire staff, for their valuable contributions during the review.

It is my hope and prayer that all the stakeholders will keenly read, uphold, protect, implement and comply with the provisions of the MMU Human Resource Manual 2024, to strengthen the University's public image.

**'Heights for Progress'**

**Prof. Pius Coxwell Achanga, PhD (Cranfield)**

**VICE CHANCELLOR**



## DEFINITIONS

In this Human Resource Manual, unless the context otherwise requires, the following terminologies shall be taken to mean:

ITEM	DESCRIPTION
<b>Abscondment</b>	Absence from duty without permission for a continuous period of ten working days.
<b>Academic Department</b>	Unit under a faculty or Directorate, or Institute, that runs its academic programmes as approved by the University Council
<b>Allowances</b>	Monetary benefits an employee is entitled to receive which assist with costs incurred for such items as housing and transport, which shall vary from time to time
<b>Appointing Authority</b>	The Chancellor, Council, Appointments Board and the Vice-Chancellor
<b>Appointment</b>	The formal engagement of an employee in the service of Mountains of the Moon University, per the Council regulations
<b>Appointments Board</b>	The Appointments Board of Mountains of the Moon University, which is a committee of the Council
<b>Basic Salary</b>	The salary exclusive of allowances
<b>Casual worker</b>	A person employed to perform unclassified tasks on a day-to-day ad-hoc basis of MMU
<b>Chancellor of the University</b>	The Chancellor, as defined in the Universities and Other Tertiary Institutions Act CAP 262
<b>Child or Children</b>	An employee's dependants, natural, or legally adopted child, or children under 18 years of age, registered with the University
<b>Conduct</b>	Behaviour, attitude and character exhibited by a staff of MMU within and outside the working environment with respect to the core values of the University
<b>Conflict of Interest</b>	Situation where an employee's interests disagree with those of the University, as defined in the Leadership Code Act CAP 33
<b>Consolidated Salary</b>	Basic salary, plus allowances indicated in the letter of appointment and reflected on the pay slip
<b>Contract</b>	Shall mean employment in the service of the University for a specific, prescribed period, under such terms and conditions as shall be agreed upon and prescribed in a service agreement entered into between an employee and the University.
<b>Contract Gratuity</b>	Payment made annually to Officers of the University and Administrative staff on contract at scale PU3



<b>Dean</b>	A person appointed and designated by the Council as Dean/ Manager or Head of a Faculty, Institute or School
<b>Death Gratuity</b>	A special form of assistance paid upon the death of an employee of the University per Section 16.2 of this Manual
<b>Disability</b>	Any condition of the body or Mind (impairment) that makes it more difficult for the person with the condition to do certain activities (activity limitation) and interact with the world around them (participation Restrictions).
<b>Disciplinary Panel</b>	People appointed by the Appointing Authority to handle disciplinary cases or matters.
<b>Discrimination</b>	Treating someone differently, especially because they look different, they have a disability or any other negative perception.
<b>Dismissal</b>	Discharge of an employee from employment at the initiative of his or her employer when the said employee has committed verifiable misconduct
<b>Employee</b>	A person employed by the University either under a contract of service, on permanent, temporary, probationary or casual terms
<b>An employee on permanent terms</b>	An employee who has satisfactorily completed the prescribed probationary period and has been confirmed in service as permanent staff and notified in writing to that effect.
<b>Established Position</b>	Approved and declared job position as stipulated in the job categories under Section 2 of this Manual
<b>Faculty/ School/ Institute</b>	The academic unit comprising academic or research units
<b>Grievance</b>	Complaint concerning an issue arising from an employee's work, workplace, and/or work environment within the University
<b>Gross Misconduct</b>	Severe breach of the terms and conditions of service and/or the service regulations, professional, ethical, or other law in force at the time construed by the Appointments Board
<b>Gross neglect of duty</b>	Neglect of duty to a level construed by the Appointments Board as severe
<b>Head</b>	The person appointed and designated by the Council as being accountable for a unit administratively.
<b>Home</b>	Place of origin, within Uganda as stated by the employee on the HURIS form at the time of appointment. For non-residents, 'Home' shall be defined as Kampala.
<b>Human Resource Manual</b>	This Manual
<b>Immediate Family</b>	The employee's spouse and four biological/legally adopted children registered with the University



<b>Interdiction</b>	Temporary stoppage of MMU staff by the Chief Executive Officer from exercising the powers and functions of his or her office to pave the way for investigation of a case. The staff will get half of the salary for the period of interdiction.
<b>Leave</b>	The official time off from University work as provided for in this Manual
<b>Management Committee</b>	The formal Top University Management (TUM) committee is set up by the Vice-Chancellor to advise him/her on administrative matters.
<b>Misconduct</b>	Breach of the terms and conditions of service and/or the service regulations, professional, ethical or other laws in force at the time
<b>Occupation category</b>	Group of jobs within a career path with similar or related tasks varying in degrees of complexity
<b>Overtime</b>	Any additional hours worked in a day over and above the normal hours an employee is expected to work
<b>Plagiarism</b>	Unauthorized use or close imitation of the language and thoughts of another author and the representation of them without acknowledging the source
<b>Probation</b>	Prescribed period of six months for which an employee has to serve prior to being confirmed in service
<b>Reasonable accommodation</b>	Adjustments made to enable a staff with disability work such as fixing a ramp, adjusting toilet facilities, purchase of enabling equipment, hire of a helper among others
<b>Resignation</b>	Termination of service with the University, at will by an employee, after giving due notice as required by the regulations
<b>Retirement</b>	Leaving service of the University upon reaching the mandatory age of 60 or on medical grounds by an employee who has been on permanent terms of employment
<b>Retirement Age</b>	Staff shall retire at the mandatory age of 60 years
<b>Staff</b>	All persons appointed by the University in the academic, administrative, and support categories
<b>Staff Attachment</b>	Attachment of staff to another organization or any other study centre, for purposes of getting technical expertise, proficiency, and knowledge transfer



<b>Sexual Harassment</b>	Conduct of sexual nature that affects the dignity of women and men, which may be explicit, verbal, or non-verbal (for example use of signs, and gestures) or implicit and creates an intimidating, hostile, or humiliating working environment for the recipient
<b>Summary Dismissal</b>	When an employer terminates the service of an employee without notice or with less notice than that to which any statutory provision or contractual term entitles the employee
<b>Suspension</b>	Situation where an employee is caused to stay off duty temporarily pending investigations into the cause of the suspension by the Appointments Board
<b>Term</b>	In relation to an employee on contract, the period of service with the University as stipulated in his/her contract
<b>Teaching</b>	Lecturing, actual teaching (drawing course outlines, setting course works and marking, setting and marking examinations, supervision), research, and outreach
<b>Termination</b>	Discharge of an employee from employment at the initiative of the employer for justifiable reasons other than misconduct, such as the expiry of the contract and attainment of the mandatory retirement age
<b>University Secretary</b>	Secretary to the University Council as provided for under Section 33 of the Universities and Other Institutions Act (UOTIA) CAP 262 as amended
<b>The University</b>	Mountains of the Moon University (MMU)
<b>The University Council</b>	The Council set up under Sections 38 and 40 of UOTIA CAP 262 as amended
<b>Vice Chancellor</b>	The Vice Chancellor of Mountains of the Moon University who is the Chief Executive Officer of the University as per Section 31 of UOTIA CAP 262 as amended
<b>Volunteer</b>	Individual authorized to render services to the University without pay for a period of six months, renewable once.



## ABBREVIATIONS AND ACRONYMS

<b>AR</b>	Academic Registrar
<b>AB</b>	Appointments Board
<b>ASAMMU</b>	Administrative Staff Association of Mountains of the Moon University.
<b>CHR</b>	Chief Human Resource
<b>DCHR</b>	Deputy Chief Human Resource
<b>DCIA</b>	Deputy Chief Internal Auditor
<b>DICTS</b>	Department for Information & Directorate Information Communication Technology Support
<b>DoHRM</b>	Directorate of Human Resource Management
<b>DVC (AA)</b>	Deputy Vice Chancellor for Academic Affairs
<b>DVC (FA)</b>	Deputy Vice Chancellor for Finance and Administration
<b>HURIS</b>	Human Resource Information System
<b>ICT</b>	Information Communication Technology
<b>MMU</b>	Mountains of the Moon University
<b>MMUASA</b>	Mountains of the Moon University Academic Staff Association
<b>MUSG</b>	Mountains of the Moon University Students Guild
<b>NCHE</b>	National Council for Higher Education
<b>NUEI</b>	National Union of Educational Institutions
<b>PI</b>	Principal Investigator
<b>TUM</b>	Top University Management
<b>UOTIA</b>	University and Other Tertiary Institutions Act
<b>US</b>	University Secretary
<b>VC</b>	Vice Chancellor



## PREAMBLE

MMU is a Public University established in January 2022, having been taken over by the Government of the Republic of Uganda and established under Statutory Instrument, Number 2 of 2022. This Manual is a representation of the approved Human Resource policies and practices by the University Council, which is the chief policy formulation organ of the University. Statutory Instrument, Number 2 of 2022 of MMU defines the object and functions of the University as follows:

### The Object of the University

#### **The object for which MMU is established is to:**

- a) provide quality teaching and learning that is relevant and competitive;
- b) offer courses that address the needs of the local, national and international community;
- c) promote research for the social-economic and political development of the country; and
- d) engage in activities for self-sustainability.

### Functions of the University

#### **The functions of MMU are stipulated to provide an enabling teaching and learning environment by:**

- a) designing, developing and implementing relevant programmes;
- b) conducting examinations and assessments leading to the award of degrees, diplomas, certificates, and other honours as may be determined by law;
- c) stimulating intellectual, social and cultural development of students and staff;
- d) conducting research and facilitating publication of books, papers to reputable journals and international conference proceedings so as to disseminate and ensure dialogue with the global research community;
- e) identifying, recruiting, retaining and developing competent staff, capable of contributing to the academic enterprise;
- f) continuously strengthening the resource base of the University by mobilizing funds and generating funds in order to develop the infrastructure and manpower capacity of the University for sustainability;
- g) initiating relevant ideas and strategies for engaging the community as a means of transforming society;
- h) extending the learning environs by establishing affiliates, constituent colleges, campuses, schools, faculties, and departments as the Council may from time to time determine; and
- i) carrying out any other functions as may be permitted and approved by the Council from time to time.



## Vision

To be a Centre of Excellence in Teaching, Research and Community Engagement for Sustainable Development.

## Mission

To provide Innovative and Transformative Education, Research and Community Engagement for Social-economic Transformation.

## Core Values

**MMU in the pursuit of its mission will be guided by the following core values:**

- a) Professionalism: Adherence to high ethical principles; truthfulness, fairness, 'doing what one says they will do and speaking forth about why one does what they do.
- b) Innovativeness: Applying solutions that make everything better every day and embracing change.
- c) Integrity: Being honest and trustworthy in one's work.
- d) Teamwork: Working together to achieve the best possible outcomes for all.
- e) Social Responsibility: Committed to adding value in whatever one does and acting in a manner that benefits the people within and outside the University.

## The University Governance and Administrative Structure

The University Council is the supreme organ of the University, responsible for the overall administration of the Institution and ensuring the due implementation of the objects and its functions. The Council shall therefore be responsible for the direction of the administrative, financial and academic affairs of the University. The Senate is the organ responsible for the organization, control and direction of the academic matters of the University, and reports to Council. The Chancellor is the ceremonial head of the Institution, while the Vice Chancellor is its Administrative and Academic head, referred to as the CEO of the University. The macro administrative structure of MMU is illustrated in Appendix -1.



## SECTION ONE: INTRODUCTION

### 1.1 The Human Resource Manual

The MMU Human Resource Manual, approved in 2024, establishes the human resource policies, procedures, and rules, applicable to all categories of employees/staff. This Manual aims to establish the human resource policies and practices, for governing the relations between MMU and its employees. The Manual will constitute part of the employment contract, and is to be interpreted as a whole, rather than as individual sections or sentences in isolation and out of context.

### 1.2 The Directorate of Human Resource Management (DoHRM)

The mandate of the Directorate is to manage the process of employee entry, stay, and exit, through attraction, development of skills, shaping MMU culture, motivation, and promoting continued commitment towards service delivery. The Directorate also provides technical support to the Appointments Board.

### 1.3 Purpose, Accessibility, and Revision of the Manual

#### 1.3.1 Purpose

##### The purpose of this Manual is to:

- i) Manage the human resource from entry to exit;
- ii) consolidate all Human Resource policies, procedures and guidelines in one document for ease of reference;
- iii) outline the expectations of the employer for the workforce to accomplish while in service of MMU; and
- iv) serve as a reference framework for the management of human resource in the University.

#### 1.3.2 Accessibility

The DoHRM shall make the manual accessible to all the University employees. It shall be the responsibility of the University Management to promote access to this manual by all staff, including those with disabilities, as defined under the laws of Uganda. In addition, the University shall promote physical accessibility to all infrastructure accessible to the Community of the University including toilets, halls, and lecture rooms among others

#### 1.3.3 Revision

The Manual shall be reviewed from time-to-time, as Council may decide. An employee or organ of the University may communicate in writing the need for revision or addition to any part of the Manual.



Such recommendations shall be delivered to the head of DoHRM, who will present the proposal for the review of the Manual to the Top University Management and the Appointments Board, thereafter, to the University Council for consideration and approval. The decision of the Council shall be communicated in writing to all members of staff.

## **1.4 Interpretation**

The interpretation and enforcement of this Manual shall be vested in the University Council, whose interpretation shall be final in as far as it does not conflict with the Constitution of the Republic of Uganda 1995 (as amended), the Universities and Other Tertiary Institutions Act 2001 (as amended), the Employment Act, statutes, policies, regulations, guidelines in force and any other relevant or related laws.

## **1.5 Provisions**

1.5.1 This Manual will be cited as the Mountains of the Moon University Human Resource Manual (2024), as approved by the University Council.

1.5.2 The Human Resource Manual shall constitute the University's Terms and Conditions of Service for all categories of its employees. It shall complement and be read together with the employment contract and other University policies, regulations made thereunder, administrative instructions issued from time-to-time and all relevant laws of Uganda that may be in force at any given time. In case of a conflict between the Law and this Manual, the Law shall prevail.

1.5.3 If any matter arises which this Manual does not cover, it shall be brought to the attention of the University Council and the Appointments Board through the Top University Management for consideration and approval.

## **1.6 Implementation and Coordination**

The responsibility to Implement and Coordinate the HR Manual is outlined as follows;

1.6.1 The implementation and coordination of this Manual is vested in the DoHRM in liaison with the University Secretary.

1.6.2 There will be an implementation framework and budget developed through a consultative process by the DoHR and approved by the Appointments Board.

1.6.3 Commencement of the HR Manual.

This Manual shall come into force on approval by Council and on the date of signature by the



Chairperson Council. Any reference to the HRM of April 2022 shall cease with immediate effect. Notwithstanding, any commencing proceedings prior to the cessation of the MMU HR Manual 2022, shall be progressed to its logical conclusion in accordance with the provisions of the MMU HR Manual 2022, provided there is no breach on the sections of the provisions under the new manual.



## SECTION TWO: EMPLOYMENT TERMS AND PROCEDURES

### 2.1 Introduction

Mountains of the Moon University is an equal opportunity employer, and appointment to all positions in the University service is based on the principle of MERIT. In essence, the University Council shall approve all the job establishments. The appointment of employees of the University shall be vested in the Appointing Authority, in accordance with the relevant policies.

### 2.2 Terms of Employment

Appointment into the University service shall be on the following terms:

#### 2.2.1 Permanent Terms

Appointment on permanent terms shall be the type of employment where the period of service is up to the mandatory retirement of 60 years.

#### 2.2.2 Contractual Terms

Appointment on Contract shall be the type of employment where the terms are as defined in a particular contract between the University and an employee.

Eligibility to such appointments shall be as follows:

- i) The VC and DVCs shall be hired on contractual terms of five (5) years each, renewable once, subject to good performance, and compliance to core values of the University.
- ii) All University Officers within the salary scale PU3 shall be hired on contractual terms of five (5) years each, renewable once, subject to good performance, and compliance to core values of the University.
- iii) All Heads of Directorates/Units within the salary scale PU3 and Deputy Heads of Administrative Directorates/Departments/Units within the salary scale PU4 will be hired at the age of 45 and above and shall be on a contract of five (5) years, renewable once subject to good performance, and compliance to core values of the University.
- iv) Assistant Lecturers shall be appointed on a five (5) year contract, to enable them to attain a doctoral degree for consideration as a Lecturer. In the (5) year period, the appointed staff shall enroll for a doctoral degree programme and demonstrate satisfactory progress of study annually to the University. Extension of such a contract will depend on the satisfactory progress exhibited.
- v) Teaching Assistants shall be appointed on a three (3) year contract, to enable them to attain a Master's degree for consideration as Assistant Lecturer. In the (3) year period, the appointed staff shall enroll for a Masters degree programme and show satisfactory progress of study annually to the University. Extension of such a contract will depend on the



satisfactory progress exhibited.

vi) Religious officials:

a) The Appointments Board may source candidates to fill the position of religious officers, by requesting recommendations from the respective religious authority within the jurisdiction.

b) The Appointments Board shall subject the person or persons so recommended by the relevant religious authority for appointment to the processes of appointment in this Manual, with the necessary modifications.

c) A religious officer shall be appointed on a contract of five (5) years renewable upon satisfactory performance and on the recommendation of their respective religious leaders.

d) The Appointment of a religious officer shall be subject to posting to the University by the relevant religious authority and such appointment shall be terminated with notice upon the relevant religious authority withdrawing the posting.

vii) For avoidance of doubt, any new contracts shall be in accordance with this manual. Staff whose contracts came into effect before this manual, shall serve their contract period until expiry provided they comply with the provisions of this manual. The renewal of any contract thereafter, shall be in accordance with this manual. For staff who fall under PU3 and PU4 cited under 2.2.2(ii) and (iii) but were not on contract, shall be issued a five (5) year contract at the commencement of this manual in accordance with section 2.20.

### **2.2.3 Part time Terms**

Appointment on Part-time Terms shall be the type of employment where an employee is paid per hour worked. Their appointment shall follow the guidelines, as approved by Council.

### **2.2.4 Short Term Contract**

An employee may be given a short-term contract of one year based on the need, performance and subject to medical review. Such applications shall be addressed to the Vice Chancellor and will be ratified by the Appointments Board.

### **2.2.5 Casual Terms**

Appointment on Casual Terms shall be the type of employment where an employee is engaged to perform defined tasks on a day-to-day basis and whose remuneration is based on completed tasks. The engagement for this category shall be authorized by the University Secretary, under guidelines as approved by Council.



## **2.2.6 Honorary Terms**

Appointment on Honorary Terms is the type of employment that attracts no remuneration from the University and is only extended to persons of academic and/or professional distinction as determined by the Council. Some incidental expenses for this category of appointment shall be made to the appointee by the University, as may be determined by Council.

## **2.2.7 Adjunct Terms**

Appointment on Adjunct Terms, is the type of employment where an external person is committed by the University on terms and conditions approved by Council, on temporary expertise or professional services.

## **2.2.8 Staff Attachment**

The staff of MMU placed in another organization for hands-on experience, knowledge and skills will be treated under the provisions of this Manual.

## **2.3. Categories of Employees**

There shall be three categories of staff, namely; the academic, administrative and support as provided under Section 51 of the UOTIA, 2001 as amended.

### **2.3.1 Staff Tenure**

The University shall hire staff either on permanent or on Contract, in accordance with the provisions of this manual.

### **2.3.2 Casual Staff**

Casual staff shall be persons employed to perform defined tasks on an adhoc basis and remunerated following the Council guidelines.

### **2.3.3 Volunteers**

- i. The University may have volunteers who shall be authorized in writing by the University Secretary upon application to render services to the University for a specific unit, for a period of six (6) months and renewed once when the need arises, as enshrined in the attached Guidelines for appointing Volunteers in Appendix -2.
- ii. A volunteer shall not receive a salary from the University but may be facilitated subject to guidelines as approved by the Council.



## **2.4 Minimum Qualifications for Appointment**

There shall be minimum qualifications required for appointments to the positions as categorised below:

### **2.4.1 Professor Emeritus**

The purpose of an award of Professor Emeritus/Emerita is to enable MMU to appoint the desired person, with the intention of acquiring or retaining the expertise of the said individual as an academic leader, and he/she should be 70 years and above. The appointment shall follow the MMU Guidelines as approved by the Council, attached in **Appendix (3)**.

### **2.4.2 Academic Staff**

The University shall employ staff who meet the qualification standards set by the NCHE under Statutory Instrument No. 50 of 2010. The minimum qualification for academic staff at the position of a Professor, Associate Professor, Senior Lecturer, and Lecturer, is a doctoral degree in a specific discipline, from a recognized institution and a Masters degree in a clinical discipline for a lecturer.

The position of Assistant Lecturer shall require a Masters Degree in a specific discipline. The positions of Teaching Assistant shall require a first degree in a clinical discipline.

### **2.4.3 Research Fellows**

The University will employ staff in Research Positions, as Research Professor, Associate Research Professor, Senior Research Fellow, Research Fellow and Assistant Research Fellow, respectively, with minimum qualifications, as prescribed by the NCHE under Statutory Instrument No. 50 of 2010.

### **2.4.4 Library Staff**

The Library Staff shall include librarians, paraprofessional library staff, skilled technical, clerical teaching staff. The terms of employment of library staff shall be equivalent to the terms of employment of the academic staff as defined in Statutory Instrument No. 50 of 2010 of NCHE.

### **2.4.5 Administrative Staff**

The minimum qualification for administrative staff in the University service is an Honours Bachelor's degree in a relevant field from a recognised awarding institution.

### **2.4.6 Support Staff**

The minimum qualification to be eligible for employment as a support staff in the University service shall be a Uganda Certificate of Education (UCE) with five credits, English being mandatory.



## **2.4.7 Person with Disabilities (PWDs)**

- i. Subject to the inherent requirements of a particular job, the University shall advertise for vacancies and encourage PWDs to apply.
- ii. The University shall not, while conducting interviews for employment, use screening methods that have the effect of discriminating against a person on the grounds of his or her disability.
- iii. Applicants with any disability shall be advised to indicate the nature of the disability to enable the University provide the necessary assistance and devices during the interviews.
- iv. The University shall ensure that the physical facilities are accessible to PWDs and shall provide assistance and devices to an employee with a disability to enable him/ her to execute his or her duties.
- v. The University shall file annual returns of employment for persons with disabilities in accordance with Regulation 35 (10) of the Employment Regulations 2011.

## **2.5 Recruitment Procedures**

### **2.5.1 Vacancies**

Posts shall be deemed to be vacant as a result of the following:

- i) End of contract
- ii) Retirement
- iii) Resignation
- iv) Dismissal
- v) Death
- vi) Restructuring/establishment
- (vii) Harmonisation
- viii) Rejection of appointment offered
- ix) Termination with notice or payment in lieu of notice

### **2.5.2 Notification of Vacant positions and those expected to fall vacant**

The Faculty Dean, Heads of Academic and Administrative Departments or units, shall immediately notify the Head of Human Resource Management of existing vacancies or positions expected to fall vacant within six (6) months of such occurrence for the attention of the University Secretary, who shall take appropriate action.

### **2.5.3 Methods of Filling Vacancies**

Vacancies shall be filled through any one of the following methods:



### **2.5.3.1 Appointment of the Vice Chancellor and Deputy Vice Chancellors**

The positions of Vice Chancellor, Deputy Vice Chancellor (Academic Affairs) and Deputy Vice Chancellor (Finance and Administration) shall be filled through a search committee in accordance with Sections 31(3) and 32(1) of the Universities and Other Tertiary Institutions Act, CAP 262.

#### **a) Vice Chancellor**

The position of Vice-Chancellor shall be filled through the procedure provided for in Section 31(3) of the Universities and Other Tertiary Institutions Act Cap. 262.

#### **b) Deputy Vice-Chancellor**

- i) The process for the appointment of a Deputy Vice-Chancellor shall commence by the Council declaring the position of Deputy Vice-Chancellor vacant.
- ii) The University Council shall set guidelines to be followed by the University Senate in executing its mandate under Section 32(2) of the Universities and Other Tertiary Institutions Act Cap. 262.
- iii) The Senate shall be required to establish a search committee of 5 members to search for the Deputy Vice Chancellors.
- iv) The Senate shall consider the Search Committee's report and recommend candidates it deems qualified to Council for approval.
- v) Council shall consider the candidates submitted by the Senate from whom recommendations will be made to the Chancellor for appointment.

### **2.5.3.2 Internal advert**

Where a Dean, Director, or Head of an academic or administrative department or unit is satisfied that there are employees who are competent to fill a vacant post, the responsible dean, director, head of academic or administrative department or unit, shall notify the Head of Human Resource Management. The head of HR shall liaise with the US to initiate the process of filling those vacant post(s) internally, in liaison with the Top University Management and the Appointments Board.

### **2.5.3.3 External advert**

Where the responsible heads of academic and administrative units are satisfied that there is no qualified candidate from within to fill the vacancy, the Head of Human Resource Management shall be notified. The Head of HR shall then liaise with the US to initiate the process of filling those vacant post(s) externally, in liaison with the Top University Management and the Appointments Board.



### **2.5.3.4 Head-hunting**

Head-hunting offers an opportunity for the Appointments Board to approach individuals directly, rather than through advertisement, to fill the vacant position(s), attracting qualified candidates who otherwise may not have applied for the position(s). The process of head-hunting shall follow the guidelines as approved by Council hereby attached as Appendix -4.

## **2.6 Election of Faculty Deans, Institute Directors, and Heads of Academic Departments**

Election of Faculty Deans, Institute Directors and Heads of Department shall be conducted as prescribed under Sections 53 and 54 of the UOTIA CAP 262 and with the Guidelines approved by Council hereby attached as Appendix -5.

### **2.6.1 Renewal of Contract**

2.6.1.1 An employee on contractual terms may be re-appointed in line with the contract guidelines.

2.6.1.2 Employees seeking renewal of their contracts shall apply to the appointing authority indicating reasons why their contracts should be renewed at least three (3) months before the expiry of the contract and one (1) month for Part-time staff, to give sufficient time to the appointing authority to obtain sufficient information to make a decision.

2.6.1.3 The decision to renew any request for contract shall be at the explicit preserve of the appointing authority.

## **2.7 Application**

All persons seeking employment with the University shall do so through a written application addressed to the University Secretary and submitted as prescribed in the call for applications, either electronically or physically.

## **2.8 Processing Applications and Verification**

The following steps shall ensure the processing of applications and verification:

2.8.1 Applications shall be received by the University Secretary who shall process them in line with the approved guidelines.

2.8.2 Applications and supporting documents will be verified in line with guidelines approved by Council.

2.8.3 Cases of impersonation, falsification of documents or giving false/incomplete information whenever discovered either before appointment or after, shall lead to automatic cancellation of candidature or appointment.



## 2.9 Short Listing

2.9.1 Shortlisting of applicants shall be the responsibility of the Appointments Board (AB).

2.9.2 The short-listing shall always be guided by agreed criteria as provided by the AB.

2.9.3 Shortlisting shall be done within a period of not more than one month from the closure of receiving applications.

2.9.4 Shortlisted applicants shall be notified and given ample notice not exceeding 14 days for interviews under external recruitment and headhunting and five working days under internal recruitment.

2.9.5 Invitations for interviewing shall specify the time, and place of the interview. Notice shall be made by e-mail, or telephone, post, or hand-delivered letter.

## 2.10 Interview

The Appointments Board may invite an external person(s) with technical expertise to support the interview process as the need may arise. The final decision is the responsibility of the AB.

## 2.11 Selection Process

a) The Appointments Board shall select or appoint applicants to specific established posts.

b) The selection process may take the following forms:

i) Interviewing candidates to get the most suitably qualified

ii) Vetting the candidates to determine their suitability

iii) Performance appraisal and interfacing with the staff seeking re-appointment or promotion

c) Where applicable, selection tests shall be administered to verify the competency of the applicant for the position in question. This may be followed by a selection interview.

d) Due diligence on the applicant for positions in scales PU1 to PU5 shall be undertaken by the University Secretary/Secretary to the Council before offering the appointment.

## 2.12 Selection of other specific categories of academic/administrative appointments

### 2.12.1 Visiting Professors and Lecturers

a) The engagement of Visiting Professors and Lecturers shall be made by the Vice Chancellor based on the identification of the needs by the respective heads of academic units. Management at the earliest convenience shall bring it to the attention of the Appointments Board for noting.

b) Visiting Professors or Lecturers shall be appointed by Mountains of the Moon University,



based on their status from their parent institution, as long as the parent institution where he/she is serving, is a recognized University or an academic institution of repute.

- c) A Visiting Professor or Lecturer shall be appointed for two years renewable on the recommendation of their respective unit and supported by their parent institution. Their appointment shall not be subjected to age limits.
- d) The Parent Institution shall be responsible for the promotion of Visiting Academic Staff.
- e) Visiting Academic Staff shall not be entitled to earn a salary from MMU, but may receive an honorarium as may be recommended by the recipient unit from its non-wage budget, at rates prescribed in the guidelines and/or approved allowance schedule by the University Council.

### **2.12.2 Acting Appointments**

- a) There shall be two types of acting appointments namely; where one acts in a vacant post, and where one acts in the place of an incumbent who is temporarily out of office.
- b) All acting appointments except for the Vice-Chancellor shall be authorized by the Appointments Board or the Vice-Chancellor who shall report such appointments to the Appointments Board. Conditions for an Acting Appointment in a vacant post:
  - i. An employee shall receive a written letter of appointment to act for a continuous period not exceeding 6 months and renewed once.
  - ii. An employee in an acting Appointment shall be entitled to all benefits attached to the post and shall be paid an acting allowance which shall be the difference between the employee's current salary and the bottom of the salary scale where he/she is acting.
  - iii. To qualify for an acting allowance, an employee shall have worked with MMU for a minimum of 30 continuous working days.
  - iv. An employee shall not hold more than one acting position at the same time.
  - v. An employee on probation shall not be eligible to act in any position.

### **2.12.3 Appointment of an Acting Vice Chancellor**

When the position of Vice Chancellor falls vacant, before a substantive one is appointed the DVC (AA), shall perform the duties of the VC as per Section 32(3) (b) of the UOTIA CAP 262.

### **2.12.4 Assignment of Duties**

An officer may be assigned to perform duties over and above his/her position until such a time that the position is duly filled.



## 2.12.5 Research Fellow Appointments

This shall be a non-salaried appointment of distinguished scholars in their various academic disciplines and/or areas of professional specialization but shall be remunerated according to the provisions of payments in the allowance schedules.

A proposal for a Research Fellow position within an Academic Unit should demonstrate a significant contribution to one or more of the following areas:

- i) Training/Teaching, for example, in curriculum development, programme design or delivery with emphasis on practical skills
- ii) Direct contribution to research collaboration
- iii) Influence where an appointment could significantly benefit the Unit's objectives
- iv) Strategy development where an appointment contributes significantly to the development of strategy in any of the areas of current or future University activity

### 2.12.5.1 Criteria for Research Fellow Appointment

Candidates must demonstrate achievement at a level appropriate to the title in at least one of the following areas:

- a) Teaching/training
- b) Research or
- c) Professional eminence or Entrepreneurs

## 2.12.6 Part time Appointment

2.12.6.1 A part-time employee is appointed where a vacancy exists and it has not been possible to fill that vacancy substantively on a full-time basis.

2.12.6.2 The working hours on a part-time basis shall be as determined by the University Council from time-to-time. The current maximum, is twenty hours (20) a week.

2.12.6.3 For academic staff, part-time appointments shall be in accordance with the Guidelines on hiring Part-time staff hereby attached as Appendix 6.

2.12.6.4 Part-time appointments for non-academic staff shall be made by the Vice Chancellor in line with the guidelines approved by Council.

## 2.13 Recruitment of Non-Citizens

- a) A non-citizen shall be appointed where there is need for a specialized skill not readily available from nationals and meets the requirements of the position.
- b) The appointment shall be subject to work clearance by the relevant government authorities.



- c) All non-citizens shall be employed on local contractual terms or in exceptional circumstances, on terms negotiated by both parties before appointment.

## **2.14 Medical Examination**

All appointments shall be conditional upon receipt of a satisfactory medical report issued by a Referral/Regional/District hospital in Uganda.

## **2.15 Offer of Appointment and Acceptance**

- a) Letters of appointment shall be issued to successful candidates by the US after the due process, in any case not later than two weeks from the time of interview. The offer of appointment shall be made in writing by the University Secretary, and copied to the VC, DVC FA, or DVC AA, and relevant departments shall receive copies of such offers.
- b) The appointment letter shall embody the following: name of appointee, effective date of appointment, rank appointed to, reporting relationship, terms of appointment, validity period of appointment, salary scale and allowances, including any other entitlements as may be applicable.
- c) The appointee shall be required to indicate in writing, their offer of acceptance and attach three copies of passport-size photographs of their current likeness. The appointee shall indicate the earliest time he/she would be available to take up the post. The decision to accept the reporting time suggested by the appointee, shall be approved by the Appointing Authority.
- d) All new employees shall be required to fill in the personal data form which captures their bio-data and other information required by the University during and after their tenure of employment.
- e) It shall be the appointee's responsibility to provide up-to-date information about their bio-data to capture significant changes during their tenure of employment.

## **2.16 Induction/Orientation**

Induction is the first step in building a two-way relationship between the University and the employee. The induction shall introduce the new employee to the work environment at the University and the various aspects of the employee's work.

- a) All new employees shall take oaths, as prescribed by the University, prior to commencement of duties.
- b) Induction shall be mandatory to properly initiate all new staff (hired, promoted or transferred) into their new tasks.
- c) The induction programme shall be arranged by the Directorate of Human Resource and the relevant head of department or immediate supervisor as soon as the employee



reports. The induction programme shall not exceed one month.

## 2.17 Probationary Period

- a) The maximum length of a probationary period is six(6) months, but it may be extended for a further period of not more than six(6) months with the agreement of the employee.
- b) An employee shall not be employed for a probationary period of service on more than one occasion by the University unless he/she is engaged for work of a different nature.
- c) A contract for a probationary period may be terminated by either party, by giving not less than fourteen(14) days' notice of termination or by payment of fourteen days' wages in lieu of notice by either party.
- d) New employees on contractual terms may also be subjected to probation for a period as may be specified in their contract with the University.
- e) Notwithstanding the provisions of (a) above, the appointing authority may waive the whole or part of the probationary period of service in certain cases especially where the employee has offered prolonged service beyond the probationary period on temporary terms.
- f) An employee shall not be promoted during his or her probationary period.

## 2.18 Confirmation

An employee who has successfully completed his/her probation shall be confirmed in the University service with effect from the date of expiry of their probationary period.

The procedure for confirmation shall be as follows:

- a) An employee concerned shall, through the Head of the Academic or Administrative Department/Unit, submit an application, a Curriculum Vitae and a statement of achievements to the Chief of Human Resource, two (2) months before the expiry of the probationary period.
- b) Where the performance of an employee due for confirmation is found satisfactory, the Head of Academic or Administrative Department/Unit, shall forward to the Chief, Human Resource, a recommendation from the Departmental Appointments and Promotions Advisory Committee that the employee should be confirmed.
- c) Where the Departmental Appointments and Promotions Advisory Committee finds the performance of an employee due for confirmation to be unsatisfactory, the head shall so inform both the appointing authority and the employee in writing and indicate clearly the recommendation of the committee.
- d) Confirmation in all cases shall be processed within the probationary period of an employee. In the event that this is not done and the probationary period expires, the employee shall be entitled to have their confirmation back-dated to the date it was first due.
- e) Heads of units who fail to carry out staff appraisal within the probationary period, shall



face disciplinary action as may be determined by the Appointing authority.

## **2.19 Employment at the University**

Staff of MMU employed on full time basis, or on contract, shall not hold any other employment with another entity, without the approval of the University. Any staff found to be in contravention of this clause, may face disciplinary action, including dismissal from the employment of MMU.

## **2.20 Employment Terms and Conditions**

The University may change the terms and conditions of an employee, on how he/she is deployed, within the service, but without reducing the employee's earlier agreed remuneration. Any such change, or variation in the terms and conditions of employment, shall be communicated to the affected employee in writing.

## SECTION THREE: REMUNERATION

### 3.1 Preamble

Remuneration shall be in the form of salary and allowances, as per the allowances schedule approved by the University Council. Other forms of remuneration may be payable to various categories of employees as approved by the University Council and guided by the Ministry of Public Service. The directorate of Human Resource shall ensure accurate records on establishment and salary grades are accurately captured in the Human Capital Management Information system and salaries are paid out accordingly.

### 3.2 Salary

3.2.1 All posts in the University shall be classified by title and salary grade in accordance with the duties and responsibilities carried out by the post. The salary grade codes changed from M to PU (Public University) effective December 2022.

3.2.2 Part-time employees shall be paid an hourly rate as determined by the University Council to a maximum of 20 hours per month. The salary of part-time employees and any other refund shall be paid upon submission of a duly filled claim form through the Head of Department.

### 3.3 Allowances

The categories, rates and criteria for payment of allowances and benefits shall be laid out in the allowances schedule as approved by the Council. Below is a list of the allowances and benefits. Allowances and benefits are payable at the discretion of the employer, subject to the availability of funds.

#### The Allowances may include:

i)	Acting allowance	ii)	Night allowance
iii)	Duty allowance	iv)	Sitting allowance
v)	Presentation and Extra load allowance	vi)	Mobile Telephone allowance
vii)	Overtime allowance	viii)	Honoraria
ix)	Lunch allowance	x)	Retainer allowance
xi)	Out of Pocket Allowance	xii)	Medical allowance
xiii)	Safari day allowance	xiv)	Settling-in- allowance
xv)	Mileage allowance	xvi)	Annual leave allowance
xvii)	Fuel allowance	xviii)	Housing allowance
xix)	Top-up Allowances	xx)	Welfare and Entertainment allowances
xxi)	Warm clothing allowance	xxii)	Transit Allowances
xxiii)	Baggage allowance	xxiv)	Gratuity
xxv)	Headship allowances	xxvi)	Security allowance



xxvii)	Bereavement	xxviii)	Wedding package
xxix)	Responsibility allowance	xxx)	Per diem



## SECTION FOUR: OFFICIAL WORKING HOURS AND ATTENDANCE TO DUTY

### 4.1 Preamble

Mountains of the Moon University strives to provide services to its clients 24 hours, 7 days a week. The working time for all staff at MMU shall be based on the minimum prescribed 40 hours per week in all cases. Due to the nature of work in a university setting, the appointment letter shall stipulate the working time which has an expandable mode, beyond 5 pm, weekends, virtually and in the field. In each case, a supervisor shall specify the minimum required hours of work and the expected expandable hours to be accomplished, depending on the job requirements.

### 4.2 Academic Staff

- a) Teaching refers to the preparation a staff makes, the actual imparting of knowledge to learners, and the evaluation of their performance. Teaching involves drawing course outlines, presenting knowledge to learners through lectures, and other forms of knowledge dissemination, setting and marking coursework assignments and examinations, supervising students, and counselling and guiding them.
- b) The minimum and maximum teaching load shall be a minimum of 15 and 20 maximum contact hours per week respectively, depending on the level of academic staff.
- c) A contact hour shall be equivalent to one hour of lecture/tutorial or two hours of practical/fieldwork//clinical, abbreviated as Lecture Hour (LH), Tutorial Hour (TH), Practical Hour (PH), Clinical Hour (CH), and Course Units (CU).
- d) Notwithstanding the provisions contained in (b) above, a teaching load lower than 15 hours a week may be granted under special circumstances mutually agreed upon with the relevant Committee of a Faculty for reasons such as studentship, supervising graduate students, special duties, and illness, among others.
- e) Staff that work over the weekend shall be compensated with rest days over the course of the week.

### 4.3 Administrative and Support Staff

- a) Official working hours of MMU are 8.00 am – 5.00 pm, Monday to Friday. All Staff, unless engaged elsewhere, with the approval of the University Authority, shall attend work for the time specified above.
- b) The maximum working hours for an employee shall be forty-eight (48) hours per week.
- c) The minimum working hours per week shall be forty (40) hours
- d) Subject to the provisions in Section 4.2.1 (a) and for flexibility as duty may demand some categories of staff, the normal working time for an employee shall be at least eight (8) hours per day, Monday to Friday as follows:



**Morning: 8:00 am to 1.00 pm**

**Afternoon: 2:00 pm to 5:00 pm**

- e) The MMU employee shall be granted a one-hour lunch break every working day.
- f) Where persons are employed in shifts, it shall be permissible to employ persons over ten (10) hours in any one day or forty-eight (48) hours in any one week, where the average number of hours over three weeks exceeds neither ten hours per day, nor fifty-six (56) hours per week.
- g) Excess hours worked shall be compensated as provided for in the allowance schedule under the Finance and Accounting Manual.
- h) Where more hours, over eight hours (8) per day or forty-eight (48) hours per week are worked, they shall, in the absence of a written agreement to the contrary, be remunerated at the minimum rate of one and a half times of the normal hourly rate, if the overtime is on the normal working days, and at two times the hourly rate where the overtime is worked on gazetted public holidays.

#### **4.4 Special Duty**

Employees on special duty shall have special working schedules suitable for the particular duty.

#### **4.5 Attendance Register**

All Deans, or Directors, or Heads of Institutes, or Heads of Departments/Academic Units, shall maintain a daily duty attendance register (including electronic), to keep track of staff reporting and departure time, and shall be required to make a report to their supervisors. The Human Resource Directorate shall ensure that the above cited record of attendance are properly obtained, analysed and reported to the University Secretary, for the attention of the Vice CHancellor.

#### **4.6 Absence from duty**

- a) Absence from duty shall be subject to permission by the supervisor who shall make appropriate arrangements to make up for the employee's schedule of duties during the absence.
- b) In circumstances where prior permission may not be possible, notification to the supervisor or head of the unit must be done within six hours (6) of the absence.
- c) Failure to comply with the above regulations may attract disciplinary action.



## 4.7 Public Holidays

Public holidays shall be those designated days by Government from time-to-time.

Date	Month	Description
1st	January	New Year's Day
26th	January	Liberation Day
16th	February	Archbishop Janani Luwum Day
8th	March	International Women's Day
-	As they occur each year	Good Friday
-	As they occur each year	Easter Monday
-	As they occur each year	Eid al-Fitr
1st	May	Labour Day
3rd	June	Martyr's Day
9th	June	National Hero's Day
-	As they occur each year	Eid-al-Adha
9th	October	Independence Day
25th	December	Christmas Day
26th	December	Boxing Day



## SECTION FIVE: CODE OF CONDUCT, ETHICS AND DISCIPLINE

### 5.1 General

This code has incorporated some provisions of the Code of Conduct and Ethics for Public Service.

5.1.1. The Code of Conduct, Ethics and Discipline, is aimed at providing a framework within which the University authority can work with members of staff to ensure satisfactory standards of discipline and conduct that encourage and promote improvement where necessary. The intention is to set clear parameters for both employers and employees to follow when handling disciplinary issues in the workplace.

5.1.2 The implementation of the Code of Conduct, Ethics and Discipline is the responsibility of the University Top Management, in liaison with the Directorate of Human Resource Management for technical guidance and support, to ensure that all staff adhere to the set standards of discipline through accessing the standards, thereafter, acknowledging and affirm their consent to observe the same.

5.1.3 Any code of conduct, ethics and discipline breach shall constitute an offence and is subject to disciplinary action.

5.1.4 Employee disciplinary actions are corrective measures MMU takes in response to an employee failing to meet performance expectations or exhibiting unacceptable behaviours, or conduct or work ethics.

5.1.5 The power to exercise disciplinary control is vested in the Appointing Authority.

### 5.2 Conduct and Ethics

#### 5.2.1 Observance of Regulations of the University

Members of staff of MMU shall observe and comply with all MMU statutes, policies, regulations, guidelines and procedures as applicable or notified from time-to-time, through information on notice boards, e-mail, website, gazette, the intranet or any other means of communication.

##### 5.2.1. 2 Complying with all official and lawful instructions given at all times

Staff shall Comply with the core values of the University that include;

- i) Professionalism: Adherence to high ethical principles, truthfulness, fairness, doing what you say you will do and speaking forth about why you do what you do.
- ii) Innovativeness: Applying solutions that make everything better every day and embracing change.
- iii) Integrity: Being honest and trustworthy in our work.



- iv) Teamwork: Working together to achieve the best possible outcomes for all.
- v) Social Responsibility: Committed to adding value in whatever we do and acting in a manner that benefits the people within and outside the University.

### **5.2.2 Attendance to Duty**

- i) MMU staff shall observe the working hours in accordance with the regulations and shall always be available for official duty when called upon.
- ii) MMU staff shall without exception, perform their duties in a manner that conveys professionalism, respect and conforms to morally accepted standards.
- iii) MMU staff shall commit working hours to official duties.
- iv) An employee of MMU in a position of authority shall exercise such authority with diligence and trust and shall demonstrate a high standard of performance of duty and conduct.
- v) MMU staff shall not hold two full-time jobs at any point in time (moonlighting), and shall not draw two salaries from two entities' payrolls.
- vi) MMU staff shall be results-oriented and committed to the performance of their duties.
- vii) MMU staff shall set clear standards of performance that all stakeholders can reasonably expect.

### **5.2.3 Time Management**

- i) MMU staff shall have strict regard to the working hours. He/she shall not come late to office, meetings and official functions, be it virtual or physical, without reasonable cause.
- ii) MMU staff shall endeavour to accomplish planned activities on time. He/she shall desist from engaging in behaviour or conduct that disrupts or interferes with the work of other officers, such as, but not limited to:
  - a) Being lazy and idle at work.
  - b) Full-time non-official engagement on social media, reading newspapers, keeping the radio or other sounds loud so as to disrupt concentration, playing computer games or surfing the Internet irresponsibly. The only exceptions are training-related programmes such as Television and video programmes, Video Conferencing, and Open and Distance Learning.
  - c) Transacting private business in the office and during office hours. d) Engaging in private conversation and gossip during working hours



## 5.2.4 Absence from Duty

- i) Absence from duty may be extended to staff who provide a reasonable ground to enable them to attend external meetings or conferences or represent the University. It may also be granted due to the need to attend to personal matters such as family issues, ill health, and bereavement among others. The MMU staff shall seek and obtain formal permission from his/her supervisor to be absent from duty, justifying the need. For any absence from duty beyond five days, University Officers shall seek permission from the Vice Chancellor and copy the Head of Human Resource. For the support staff, permission shall be sought from the University Secretary through their immediate supervisor, while the rest of the staff shall obtain permission from the DVC (FA) through the Head of Human Resource and immediate supervisor.
- ii) The MMU staff shall, during official working hours, report his/her absence from office to his/her immediate supervisor or relevant persons.

## 5.2.5 Sexual Harassment

5.2.5.1 The MMU staff shall avoid unethical and unbecoming behaviour such as the use of rude, abusive and obscene language; indecent dressing, sex for marks and sexually suggestive gestures to students or staff, which constitute sexual harassment and hence a violation of human rights.

5.2.5.2 The MMU staff shall not subject others or be subjected to conduct of a sexual nature affecting his or her dignity, which is unwelcome, unreasonable and offensive to the recipient.

5.2.5.3 A sexually suggestive and offensive behaviour may manifest itself in such forms:

- a) An employee being forced to choose between acceding to sexual demands or losing job benefits (sexual blackmail).
- b) A staff of the University using their position to demand sex from students in exchange for marks, changing grades or any other favour.
- c) Verbal and non-verbal sexually offensive behaviour exhibited by colleagues (or even customers).

5.2.5.4 An MMU staff member who is subjected to sexual harassment overtures shall report such a case with the adduced evidence, where applicable, to the Directorate of Human Resource for investigating cases of sexual harassment with a view to obtaining redress.

5.2.5.5 The MMU Staff who has lodged any complaint regarding sexual harassment using the established complaints procedure shall not be unduly victimised.

5.2.5.6 Remedies for sexual harassment shall be those prescribed under the policy on sexual harassment hereby attached as Appendix 7, the Employment Act, 2006, the Employment (Sexual Harassment) Regulations of 2011 and other relevant laws.



## 5.2.6 Client Relations Management

The MMU Staff shall serve all stakeholders with fairness, transparency, promptness, clarity, respect and courtesy with a view to ensuring customer satisfaction and enhancing the image of the public service. Particularly, MMU staff shall:

- i) Professionally serve every stakeholder in accordance with the set standards;
- ii) Not discriminate against or harass any stakeholder, and ensure that the services are available and applied equally to all;
- iii) Accord courtesy, empathy and fairness to all stakeholders with special attention to persons with disabilities, the aged, sick and expectant mothers;
- iv) Respond to all stakeholders' requests with promptness and clarity; and
- v) Uphold teamwork and advance the public good for efficient delivery of service at the University

## 5.2.7 Conflict of Interest

- i) In the execution of official University business, MMU staff shall not put himself or herself in a position where his or her personal interest conflicts with his or her duties and responsibilities as an employee of MMU. The employee is required to inform his or her supervisor of the nature and extent of his or her interest.
- ii) The MMU staff shall not either directly or indirectly enter into any goods or services supply contract with MMU. This is unethical since it affects the impartiality of MMU Staff and affects his/her reasonable judgment.

## 5.2.8 Financial Credibility

An MMU employee shall not engage in any arrangement that would cause him or her financial embarrassment, e.g., borrowing beyond one's capacity to repay or bankruptcy, failure to fulfil loan agreements, obtaining goods, money, services or works under false pretence, extortion and blackmail, issuance of a bouncing cheque, failure to pay a debt or any other form of indebtedness.

## 5.2.9 Communication of Information

### 5.2.9.1 Official Oath and Oath of Secrecy

- i) Every staff shall take an official oath and oath of Secrecy hereby attached as Appendix 7. Breach of the oaths will constitute an offence as stipulated under Section (5.3.2.3) (x) of this manual.
- ii) The MMU staff shall continue to maintain secrecy and confidentiality of official information even after he/she has left the service of MMU. Such information shall not at any



point in time be used against MMU.

### **5.2.9.2 Publishing of official information**

- i) The MMU Staff shall not publish any official information on any platform, in any document, article, book, play, film or otherwise without explicit permission from the Vice Chancellor.
- ii) For Royalties, Patents and Copyrights, MMU Staff shall notify his or her supervisor who shall bring to the attention of the Vice Chancellor if he or she creates what is believed to be an invention. This should be in line with the guidelines on Intellectual Property (IP) and the policy on IP.

### **5.2.9.3 Communication to the Press**

The MMU staff shall not communicate with the media on issues related to work or official policy without due permission from the Vice Chancellor

### **5.2.9.4 Anonymous communication**

The MMU staff are prohibited from writing or disseminating anonymous and malicious letters and printing of graffiti intended to demean the image of the University, fellow staff or any other person.

### **5.2.9.5 Use of official information for personal gain**

The MMU staff shall not use official information acquired in the course of official duties to advance personal gain.

### **5.2.9.5 Chain of Command**

MMU staff aggrieved by the decisions or actions of his or her immediate supervisor shall follow the established disputes and settlement procedure in seeking redress.

### **5.2.10 Removal, destruction or altering of records**

The MMU staff shall not, without the permission of the person immediately in charge, willfully remove, destroy or alter University records from the office or section to which they belong or from any other office premises



### **5.2.11 Human Resource Directorate**

The Human Resource Directorate shall;

- i) Ensure that an employee under his or her supervision has clear job descriptions, key performance indicators and appraisal forms, in line with this manual and understands the scope of their work.
- ii) Without favour, support the employee under his or her supervision to enhance their competencies and self-development.
- iii) Ensure respect for subordinates, colleagues and supervisors.

### **5.2.12 Administrative**

- i) The MMU staff shall be accountable both for actions and inactions through approved tiers of authority and will adhere to meritocratic principles in decision-making.
- ii) Where MMU staff believes that he/she is being required to act in any way inconsistent with this Code of Conduct, he/she shall refrain and report the matter to the next-line supervisor.

### **5.2.13 Handling of Gifts, Favours and Presents**

- i) An employee of MMU shall not ask for, or accept any property or benefit of any kind for himself or herself, or for any other person on account of anything done or omitted to be done by him/her, in the discharge of his/her duties or by virtue of his/ her official position.
- ii) An employee of MMU shall not solicit or accept any gift, gratuity or favour from any person or a body incorporated or unincorporated, whether Ugandan or foreign, which:
  - a) Has or seeks to obtain contractual or other business or financial relations with MMU;
  - b) Conducts any operation or activities regulated by MMU; or
  - c) Has any interest that may be substantially affected by the performance or non-performance of the official duties of the employee.
- iii) A gift or donation to an employee of MMU on any public or ceremonial occasion, shall be treated as a gift to MMU, except that an employee of MMU may accept personal gifts or donations from relatives or personal friends to such extent and on such occasions as are recognized by custom as per Section 10(1) of the Leadership Code Act CAP 33.
- iv) An employee is prohibited from accepting a gift under this section if the gift is in the nature of a souvenir or ornament and exceeds a value of UGX 100,000/= as per Section 10(3) of the Leadership Code Act CAP 33.



### **5.2.14 Dress and Appearance**

- a) For the promotion and projection of a good image of the University, MMU Staff shall at all times dress appropriately and appear decent and respectable in a way that is generally acceptable.
- b) An employee may dress in corporate wear on those days designated by the University Secretary.
- c) An employee may dress in smart casual wear on Fridays or weekends where an employee is required to work on weekends.
- d) Nothing in this Section shall prevent an employee from dressing according to his or her religious beliefs as long as they are in conformity with limits of decency under this Section.
- e) An employee shall wear protective gear when entering rooms or works where machines are operating.

### **5.2.15 Engagement of Employees in Political Activities**

An employee may participate in politics within the provisions of the law, rules and regulations.

He/she shall avoid in particular:

- a) Canvassing political support for candidates;
- b) Participating in public political debates; and
- c) Displaying party symbols.

## **5.3 Disciplinary Offences**

### **5.3.1 Definition of a disciplinary offence**

A disciplinary offense means any act done or omitted to be done without reasonable excuse by a member of staff, which amounts to a failure to perform any duty assigned to him/her or any act or omission that is in breach of laws, MMU statutes, policies, procedures and regulations that are applicable or which is otherwise prejudicial to the efficient conduct of MMU, or tends to bring MMU into disrepute.

### **5.3.2 Forms of Misconduct**

Without prejudice to the generality of the definition of Disciplinary Offences in this Section, the following are forms of misconduct:



### 5.3.2.1 Minor misconduct

Minor misconduct shall result in disciplinary measures like verbal warnings but not suspension, dismissal or any other form of removal from office. The following are forms of minor misconduct:

- i) Minor breach of laws, MMU statutes, policies, procedures and regulations.
- ii) Poor timekeeping and attendance to duty.
- iii) Smoking in non-designated premises within the University.
- iv) Failure to attend scheduled meetings.
- v) Obtaining sick leave, maternity leave or any other leave under false pretence

### 5.3.2.2 Serious Misconduct

Serious misconduct is the misconduct that shall attract a written warning, then suspension from work as a maximum penalty depending on the gravity of the offence committed. The following are forms of serious misconduct:

- i) Unauthorized use of the University property
- ii) Misuse of University e-mail or internet for private matters
- iii) Holding more than one full-time employment
- iv) Making false statements related to employment
- v) Making inappropriate, inconsiderate and unreasonable correspondences to his/her superiors, other members of staff and any other persons
- vi) Intentionally accessing websites containing pornographic, offensive, or obscene material using University facilities
- vii) Misuse of the University property or name
- viii) Persistence in minor misconduct
- ix) Failure to account for University Resources
- x) Accepting gifts from a student, client, supplier, contractor or any other third party in the course of one's employment contrary to MMU Policy
- xi) Failure, without a just reason, to participate in performance appraisal
- xii) Wilful Insubordination or disobedience and refusal to take lawful orders
- xiii) Writing or uttering threatening communications
- xiv) Acting under Conflict of Interest
- xv) Refusal to comply with posting instructions without just cause
- xvi) Threatening violence



- xvii) Failure to meet set time frames, including providing progress reports, when on study leave or while undertaking studies under the sponsorship of the University or a partner
- xviii) Unauthorized absence from work
- xix) Noncompliance with performance management requirements
- xx) Financial embarrassments like failure to pay a debt or loan
- xxi) Any other conduct, or behaviour deemed necessary to a written warning, then suspension

### **5.3.2.3 Gross misconduct**

Gross misconduct is the type of conduct that is serious enough to grossly affect the relationship and trust between MMU and a member of staff or a section(s) of the University or the general public. Cases of gross misconduct may lead to dismissal or summary dismissal, subject to the disciplinary procedure.

The following are forms of gross misconduct:

- i) Malicious damage to property
- ii) Intimidation and threatening behaviour
- iii) Taking part in, assisting in, or abetting examination malpractice
- iv) Deliberately refusing, neglecting, or failing to perform one's official duties and/or discharge ones duly assigned official responsibilities
- v) Unauthorized access to or removal, alteration, mutilation or destruction of the University documents, records, or information including doctoring of official reports and documents
- vi) Incitement with intent to cause student strikes or unlawful industrial action
- vii) Uttering false information
- viii) Theft or unlawful removal of university property or the property of a student, staff member, contractor, client, or member of the general public from the University premises
- ix) Fraud, corruption, forgery, or other dishonesty, impersonation, fabricating of expenses claims and attendance sheets
- x) Knowingly using counterfeit or altered documents with the intent to deceive others
- xi) Deliberate damage to the University buildings, fittings, property or equipment, or the property of a student, a member of staff, a contractor, a client, or a member of the public
- xii) Actual violence or assault
- xiii) A criminal conviction or behaviour that may harm the University's reputation or relationships with employees, students, or the general public, or otherwise jeopardizes a member of staff's ability to continue working for the University
- xiv) Being under the influence of alcohol, illegal drugs, or other intoxicating substances while on duty



- xv) Possession, use, supply, or attempted supply of illicit drugs to students or fellow staff
- xvi) Repeated or serious disobedience of instructions, or other serious acts of insubordination
- xvii) Abscondment from duty
- xviii) Giving false information as to qualifications in order to gain employment or other benefit from the University
- xix) Harassment or discrimination against students, fellow members of staff, contractors, clients, or members of the public on the grounds of race, sex, marital status, gender, race, Special Needs, religion, or age
- xx) Making false allegations against another member of staff
- xxi) Having been issued with three consecutive written warning letters within a period of 12 months
- xxii) Plagiarism
- xxiii) Refusal to handover office and University property
- xxiv) Unauthorized disclosure of official information contrary to the University Communications Policy
- xxv) Driving a university vehicle under the influence of intoxicating liquor or a stupefying drug or substance
- xxvi) Coming to work under the influence of alcohol or prohibited substances
- xxvii) Participating in, promoting, or sponsoring unnatural sexual practices such as homosexuality and lesbianism in the university community
- xxviii) Use of obscene and abusive language or other offensive behaviour against fellow staff, students and other stakeholders
- xxix) Directly participating in partisan politics
- xxx) Any other conduct, or behaviour deemed necessary to grossly affect the relationship and trust between MMU and a member of staff or a section(s) of the University or the general public

## 5.4 Disciplinary Procedures

### 5.4.1 General

a) MMU shall ensure that any disciplinary matter is handled fairly and all necessary steps are taken to establish the facts, in accordance with the set disciplinary procedure. Members of staff (including those on probation) shall not be subjected to disciplinary action without being provided with the following:



- i. Affected staff shall be given a written statement of allegations against them
  - ii. The notice of hearing shall be 14 days from receipt of the written statement
  - iii. Fair hearing
  - iv. The right to an appeal
- b) Minor misconduct issues shall be resolved formally, between a member of staff and his/her immediate supervisor. In cases of a verbal warning, there should be a written statement regarding this warning on the employee's personnel file.
- c) Any steps taken under this procedure regarding minor misconduct shall be taken within 14 working days except where exceptional circumstances require a longer or shorter period, in which case, it will be brought to the knowledge of the affected employee.
- d) Any steps under this procedure, regarding gross misconduct, shall be taken within 3 months where the matter does not involve police or court.
- e) A member of staff who is not satisfied with the disciplinary action taken against him/her, is free to appeal, following the laid down procedure.
- f) The internal disciplinary process shall be stopped, when a matter is under court and until the matter is disposed of.
- g) When an employee is undergoing criminal court proceedings, he/she shall immediately report the matter to the University Secretary.
- h) A staff facing a criminal charge shall be presumed innocent at all times, until he/she is proven guilty, or pleads guilty in accordance with Section 28 of the Constitution.

### **5.4.2 Investigations**

- a) Where a matter that may attract disciplinary action has been reported or is suspected to have been committed, investigations to establish the facts may be instituted.
- b) In case of any misconduct by staff, the supervisor shall inform the Chief Human Resource (CHR) for necessary action(s).
- c) A member of staff must cooperate fully and promptly in any investigation.
- d) Following any investigation, if it is considered by MMU that there are sufficient grounds for disciplinary action, a member of staff shall be informed in writing.
- e) After completion of the investigation, appropriate action will be taken by the responsible officer.
- f) In the case of the Vice Chancellor and Deputy Vice Chancellors, who are alleged to have violated the university policies, guidelines and regulations, the University Council shall constitute an ad hoc committee for purposes of investigation.



### 5.4.3 Interdiction

- a) In cases of alleged gross misconduct where the employee's continued presence in the office is deemed to interfere with the investigation process or the disciplinary hearing, the employee shall be given notice in writing of the intention of the employer to interdict the employee including the grounds of removal.
- b) Subject to Section 5.4.3(a) above and the Universities and Other Tertiary Institutions Act, 2001 (as amended):
  - i) The University Council, by a two thirds majority, may interdict the Vice Chancellor or a Deputy Vice Chancellor; and
  - ii) The Chairperson of the University Council shall communicate the decision of the University Council to the affected parties.
- c) Other officers of the University shall be interdicted by the Vice Chancellor and communication made to the affected parties.
- d) Where a staff member is interdicted, investigations shall be concluded expeditiously, but not more than 2 (two) months for cases that do not involve the Police and Courts of law.
- e) A member of staff on interdiction shall hand over office and all University property.
- f) A member of staff on interdiction shall receive half of his or her basic salary. If the charge/charges are withdrawn and the interdiction is lifted, the staff will receive full salary and arrears.
- g) A member of staff on interdiction due for retirement or end of contract, shall have his/her benefits calculated and frozen until he or she is cleared or acquitted. This provision does not apply to mandatory employer contributions in respect of money an employee is entitled to or an employee's share of the contribution to a retirement scheme.
- h) A member of staff on interdiction shall not resign, until the disciplinary process has been concluded.
- i) A member of staff on interdiction may not leave the country without the permission of the Vice Chancellor.
- j) A member of staff on interdiction shall not access MMU premises and property, physical or electronic, except with permission.

### 5.4.4 Hearing of Disciplinary Cases

- a) A member of staff shall be given a written notice of 14 calendar days indicating the date, time, and place of the disciplinary hearing.
- b) The hearing shall be conducted as follows:
  - i) For a case against the Vice-Chancellor or a Deputy Vice-Chancellor, that does not involve removal from office shall be heard by the Appointments Board.



- ii) For a case against the Vice Chancellor or a Deputy Vice Chancellor involving removal from office shall be handled in accordance with Section 55(1) of the Universities and Other Tertiary Institutions Act Cap. 262.
- iii) For other Officers of the University, the case shall be heard by the Appointments Board.
- iv) Hearing of cases against other staff members shall be conducted by a Disciplinary Panel as an ad hoc committee of TUM. In the event of failure to resolve the matter, it shall be referred to the Appointments Board for further action.
- c) A member of staff facing disciplinary action shall have a right to:
  - i) Appear in person;
  - ii) Legal representation; and
  - iii) Representation by a labour union.
- d) A member of staff shall have the right to present witnesses in support of his/her defence.
- e) A member of staff shall have the right to cross-examine witnesses called against him or her.
- f) The accused member of staff shall be informed in writing of the decision together with the reasons for that decision within two(2) weeks after the disciplinary hearing.

#### **5.4.5 Staff Appeals**

- a) A member of staff has the right to appeal.
- b) In cases where TUM has handled the investigations, the Appointments Board shall handle appeals of aggrieved parties. The appeal to the Appointments Board shall be made within 14 days.
- c) A member of staff who is dissatisfied with the decision of the Appointments Board, may appeal to the University Staff Tribunal within 14 days of being notified of the decision.
- d) A member of staff aggrieved by the decision of the Staff Tribunal may appeal, within thirty (30) days from the date he or she is notified of the Tribunal's decision, to the court of competent jurisdiction for judicial review or seek any other applicable legal redress.

#### **5.4.6 Staff Opting for Legal Redress in the Courts of Law**

5.4.6.1 Staff are expected to exhaust all disciplinary processes.

5.4.6.2 Staff should proceed to Court after exhausting all structures of the appeal mechanisms of the University.



## 5.5 Disciplinary Stages

The disciplinary process shall take the following stages:

### 5.5.1 Stage1: Verbal warning

- i) A verbal warning shall be given once by a supervisor for a minor act of misconduct where a member of staff is a first-time offender.
- ii) A record of the warning shall be placed on the staff member's personal file and shall remain active for three (03) months from the date it is given, after which, it expires.

### 5.5.2 Stage 2: Written warning

The employee who fails to correct his/her behaviour or commits another offense after being given a verbal warning shall receive a written warning. The written warning shall specify the following:

- i) The identified deficiencies or inadequacies and improvement required
- ii) Any recommendations to assist the employee reform
- iii) The period within which an employee must show improvement beyond which subsequent disciplinary action shall be taken, a second written warning shall be served as the final warning and shall be given where an employee has failed to achieve the improvement required under (i), (ii), and (iii). The employee shall be subjected to a disciplinary procedure if, within the same period of one year, he/she repeats a similar offense

### 5.5.3 Stage 3: Suspension

- a) The power to suspend the services of an employee shall be vested in the Vice Chancellor and/or the AB .
- b) Failure of an employee to reform after the second written warning, shall lead to suspension on half pay for a period not exceeding four (4) weeks, or the duration of an inquiry, whichever is shorter.
- c) An employee shall be suspended from duty on half pay to enable commencement of investigations into allegations.
- d) An employee may also be suspended from duty on half pay, where such an employee has been apprehended on account of an offense that requires investigations or is charged in a court of law or is remanded pending criminal proceedings.
- e) The appointing authority shall take a decision in the case of a suspended employee at the expiry of four (4) weeks, or the conclusion of an inquiry into the case, whichever comes first.



- f) Where an employee is re-instated, he/she shall be entitled to claim the half pay of the salary withheld during the suspension period

#### **5.5.4 Stage 4: Termination**

- i) The power to terminate the services of an employee shall be vested in the appointing authority.
- ii) The appointing authority shall terminate an employee's employment contract, with or without notice, should it believe that the continued employment of such a person would prejudice or affect other employees' performance or compromise the University's interest.
- iii) Termination without notice shall attract payment in lieu of notice.
- iv) Termination shall be with benefits, as the appointing authority shall decide.

#### **5.5.5 Stage 5: Dismissal**

##### **5.5.5.1 The power to dismiss an employee shall be vested in the Appointing Authority.**

- i) Both gross misconduct and neglect of duty, are punishable by dismissal from employment.
- ii) An employee who is dismissed from service as a result of a criminal conviction shall neither be given notice, nor paid salary and loses all the benefits attached to the appointment.
- iii) An employee who is dismissed, following suspension, shall forfeit the half salary withheld, during the period of suspension as well as any other benefits.
- iv) The provision in (iii) above shall not apply to personal contributions to the terminal benefits scheme(s).
- v) The dismissal process shall be guided by the provisions in the Employment Act 2006.

##### **5.5.5.2 Summary Dismissal**

Where the Disciplinary Authority finds that an employee has fundamentally broken his or her obligations arising under a contract of service, the employee shall be summarily dismissed. An employee who is summarily dismissed shall forfeit all the benefits attached to the appointment.

#### **5.6 Grievances Management Process**

- i) A member of staff with a grievance, shall present it to the Head of Department, Section or Unit, in writing within 7 days from the time the grievance occurred.
- ii) A member of staff who is aggrieved by his/her Head of Department, or Section or Unit shall report directly to the Chief Human Resource for resolution.



- iii) A member of staff who is aggrieved by the Chief Human Resource, shall present such grievance in writing to the University Secretary for resolution.
- iv) In case the grievance is not resolved by the University Secretary, an ad hoc grievance committee shall be constituted by Vice chancellor and chaired by the DVC (Finance & Administration) for administrative and support staff or DVC (Academic Affairs) for academic staff, with a membership of five (05).
- v) Any grievance which cannot be resolved by the ad hoc committee in 5.6.4 (iv) above, shall be referred to the Appointments Board.
- vi) Any grievance which cannot be resolved by the Appointments Board, shall be referred to the Staff Tribunal.



## SECTION SIX: APPOINTMENT ON PROMOTION

### 6.1 Staff appointment and promotion

Mountains of the Moon University is an equal opportunity employer and appointment to all positions in the University service shall be based on the principle of MERIT.

6.1.1 It is the policy of the University to recruit qualified, competent, and experienced staff to ensure efficient and effective service delivery.

6.1.2 The University Council shall have ultimate authority and responsibility for all appointments, through the Appointments Board, except as provided for by the Act.

6.1.3 The University shall ensure the existence of the staff promotion criteria that provides clear, transparent and fair processes for internal job postings and progression of an individual within the University, as outlined herein. The promotion will be based on performance evaluation, availability of a vacancy and budget, and meeting technical requirements for the job.

### 6.2 Academic Staff

#### 6.2.1 Main objectives of the MMU promotion for Academic staff

- i) Enable advancement of Academic Staff whose performance demonstrates particular merit in teaching (and related duties) including student supervision, research and publications, scholarship and creative activity, administration, service and leadership in the University, and professional practice including service to the community;
- ii) Provide a fair and equitable method of assessment to encourage a diverse range of applicants to get appointed and promoted; and
- iii) Enable flexibility in assessment so that the various ways in which staff contribute to the achievement of the University's vision can be rewarded based on consistently applied standards

#### 6.2.2 PhD/Doctoral Requirement as a Prerequisite for Promotion/Appointment to Lecturer Position

The qualification of PhD for the Lecturer position shall be applied for appointment and promotion to all positions and disciplines.

#### 6.2.3 Exemption to PhD requirement for Lecturer Position

Scholars in Clinical disciplines are exempted from the requirement of a PhD/doctoral qualification for promotional purposes. A Clinical Scholar shall be defined as a holder of a first and second degree in a clinical discipline. The definition of Clinical Scholar as stated above, shall apply to the various categories as follows:

- i) Teaching Assistant: A first degree in the relevant discipline



ii) Assistant Lecturer: A first degree in a clinical discipline and having registered and successfully passed all the first-year courses in a relevant Master's Degree

Programme

iii) Lecturer: A Clinical Scholar who holds a Master's degree in a clinical discipline shall be appointed to the Lecturer position.

iv) The promotion of a Clinician Scholar shall be based on achievements in research, refereed publications, textbooks, and, where appropriate, (found in dissertations and/or excellent publications), professional practice, and in teaching ability or Fellowship Awards.

#### **6.2.4 Exempted Clinical Disciplines**

The Exempted Clinical disciplines which are found in the Faculty of Health Sciences, shall include the following: Public Health, Allergy and Immunology, Anaesthesiology, Dermatology, Radiology, Emergency Medicine, Family Medicine, Internal Medicine, Medical Genetics, Neurology, Nuclear Medicine, Gynaecology, Ophthalmology, Pathology, Pediatrics, Physical Medicine and Rehabilitation, Preventive Medicine, Psychiatry, Oncology, Surgery Urology, Life Sciences (laboratory services...), Clinical Physiology (e.g., audiology or cardiac physiology...), Physical Sciences (e.g., medical physics-bioengineering or clinical photography), and any other disciplines that may be added, as approved by the authority.

#### **6.2.5 Non-exempted Disciplines**

The Basic Science and Humanities/Social Science/Arts scholars who are found in the Faculty of Health Sciences and Humanities shall not be exempted and shall be required to obtain a PhD/ doctoral qualification before being appointed or promoted to lecturer position..

#### **6.2.6 Provision for Fast Track Promotions**

The University shall, where it deems necessary, consider staff who have been confirmed in service, but may not possess the requisite experience, publication and students supervision, for fast-track promotion, in the service of MMU. Notwithstanding the above mentioned clause, the University may promote a staff who has been confirmed in service, under exceptional circumstances, resolved by the Appointments Board and approved by Council.

The promotion to the various academic positions under the Fast Track option is as indicated in Table 1 below.

The teaching experience required shall be as follows:

a) Senior Lecturer:

Two years of teaching and research experience and supervision of at least three (3) graduate students to completion.



b) Associate Professor:

Four years of teaching and research experience and supervision of at least six (6) graduate students to completion one (1) of whom is a PhD student. Applicants who have not supervised PhD students shall be required to supervise an additional three (3) Master's students to completion.

c) Professor:

Six years of teaching and research experience and supervision of at least eight (8) graduate students to completion one (1) of whom must be a PhD student.

For the avoidance of doubt:

- i) The teaching experience shall be cumulative with effect from appointment to the rank of Lecturer;
- ii) An applicant for promotion under the Fast-Track provision shall be required to serve for two years at each level before being considered for promotion to the next level; and
- iii) A graduate student is regarded as one having studied a programme leading to the award of a Master's degree or PhD from a recognized university.

**Table 1: Provisions For Fast-Track Promotions**

Post	Minimum Academic Qualifications	Years of Teaching	Publications	Supervision of Graduate Students	Grant Attraction Portfolio
Lecturer	2 years of teaching at a level of teaching assistant in a higher education institution or an institution of higher learning.	Not required	Supervision of at least three (3) Masters graduate students to completion	Not required	Not required
Senior Lecturer	3 years of teaching at a level of Lecturer in a higher education institution	At least 3 new publications in the area of specialization and should be the main author for two (2) of the publications	Supervision of at least 3 Graduate Students to completion	Required	Not required

Associate Professor	5 years of teaching experience at a level of Senior Lecturer	5 recognized publications in the area of specialization and should be the main author for half of the publications	Supervision of at least 5) Graduate Students to completion one of whom is a PhD student, or 7 Masters students	Required	At least USD 50,000 as a PI or Co-PI within the last five years may be required.
Professor	7 of teaching experience at a level of Associate Professor	7 new recognized publications since the last promotion to the rank of Associate Professor	Supervision of at least Nine (9) Graduate Students to completion two (2) of whom must be at PhD. One PhD can be an equivalent to 3 masters	Required	At least USD 100,000 as a PI or Co-PI within the last five years may be required.

**Note: Academic qualification is a PhD or Masters in Clinical medicine and this cuts across all areas.**

### 6.2.7 Provision for Ordinary Track Promotion

Promotions to various academic positions under the Ordinary Track option shall be as indicated in the Table 2 below:

**Table 2 Ordinary Track Promotion**

Post	Minimum Academic Qualifications	Years of Teaching	Publications	Supervision of Graduate Students	Grant Attraction Portfolio
Teaching Assistant	Bachelor's Degree with a First Class or Second-Class Upper Division	Not required	Not required	Not required	Not required



Assistant Lecturer	Bachelor's Degree with a First Class or Upper Second and in pursuit of a Master's Degree, or has a Master's Degree	2 years at a level of teaching assistant or attained relevant Masters without experience of teaching at universities or higher institutions of learning	Not required	Not required	Not required
Lecturer	PhD or Master's Degree in Clinical Sciences	3 years of teaching at a level of Assistant Lecturer or practice at an institution of higher learning.	At least two publications after attainment of a PhD	Not required	Not required
Senior Lecturer	PhD	5 Years of Teaching Experience at a level of Lecturer or 5 years in clinical private practice	At least three new publications in the area of specialization.	Supervision of at least three (3) Masters Graduate Students to completion	May or may not be required
Associate Professor	PhD or Master's Degree in Clinical Sciences	7 Years of Teaching experience at a level of Senior Lecturer	5 new recognized publications in the area of specialization	Supervision of at least five (5) Masters Graduate Students to completion one of whom should be a PhD	Evidence of at least USD 50,000 as a PI or Co-PI within the last five years

Professor	PhD or Master's Degree in Clinical Sciences	9 Years of Teaching experience at a level of Associate Professor	7 new publications in the area of specialization	Supervision of 7 Graduate Students to completion 2 of whom should be PhDs.	Evidence of at least USD 100,000 as a PI or Co-PI within the last 5 years.
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**NOTE: The following achievements shall be considered in evaluating the eligibility of a Staff qualification for promotion:**

- i) All publications shall be in blind peer-reviewed journals and the year of publication not exceeding the last 5 years.
- ii) Community contribution is critical and takes the form of sitting on boards of schools, councils, and universities, action research that is relevant to communities, community outreaches, exhibitions, community engagement through the radio, bazaars, etc.
- iii) A member of the professional certification body.

### 6.2.8 Research Staff

The University shall use the criteria indicated in Table 3 to appoint research staff.

**Table 3: Minimum Qualifications and Experience for Research Staff**

Post	Terms of Service	Minimum Qualifications and Requirements	Area of Specialization	Grant Attraction Portfolio
Research Professor (PU3)	Permanent	PhD 1. A minimum of ten (10) years of proven research 2. A minimum of twelve (12) new publications in refereed Journals and/or four (4) books 3. Evidence of successful research grant proposals 4. Recognized service to the community 5. Membership to Professional Organizations	In any area of the University niche and/or research agenda	Evidence of at least USD 300,000 as a PI or Co-PI within the last three years



Research Associate Professor (PU4)	Permanent	PhD 1. A minimum of ten (10) years of proven research 2. A minimum of twelve (12) new publications in refereed Journals and/or four (4) books 3. Evidence of successful research grant proposals 4. Recognized service to the community 5. Membership to Professional Organizations	In any area of the University niche and/or research agenda	
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Explanatory notes on requirements for promotion in new entrants, first track, and ordinary track above:

- i. 1st Author/Corresponding Author/Principal Author – 1st Author is listed first, the corresponding author is indicated on paper as responsible for responses from the review process, and the Principal Author is listed last, either as the supervisor, PI, or subject expert.
- ii. One must be the first/corresponding/principal author in at least 50% of the publications under consideration.
- iii. Publication must be from peer-reviewed journals excluding conference papers for the rank of Associate Professor and Professor.
- iv. From Associate Professor to Professor, Graduate students must include at least 1 PhD student supervised to completion.

### 6.3 Library Staff

The University shall have two cadres of Library staff namely Academic and Administrative Library staff.

#### 6.3.1 Academic Library Staff

The Academic Librarians shall be expected to conduct research, publish and carry out other academic activities as a contribution to the academic growth of the University and their promotion/appointment shall be as indicated in table 4 below.



### 6.3.2 Promotion and Appointment Criteria

This shall be composed of the following elements:

- i) Academic and professional qualifications;
- ii) Publications;
- iii) Professional Library work/ Professional Practice;
- iv) Research;
- v) Information Literacy Instructions and Innovations;
- vi) Other Academic Activities (e.g. conferences/seminars attended and papers presented, lecturing, editors of periodicals, developing Library/Information courses, and supervising students);
- vii) Service to the University and the community;
- viii) Membership in professional bodies, and;
- ix) Conduct.

### 6.3.3 Promotional Interval

- i) No member of staff shall be promoted while on probation.
- ii) Staff serving on probation shall be eligible for confirmation after 6 months of service. Confirmation in the University Service shall be based on satisfactory appraisal reports approved by the Appointments Board.
- iii) Staff shall be eligible for promotion after they have served in the lower grade for not less than three years.

### 6.4 Promotional Outlet

Promotion of Academic Library staff will be handled in the same way as other Academic staff in the University. The main consideration for the promotion of any member of staff from one scale to another, i.e., between PU6 – PU4 scales, shall take into account the satisfaction of the academic, professional qualifications, professional proficiency or ability, research, publications, and other requirements for the higher position.

### 6.5 Comparison with the teaching academics

Except for the two areas of Teaching and Supervision of Graduate students, which have been substituted with Professional Library work and Information Literacy Instructions, the rest of the elements for the Library Promotional criteria are the same as those of the teaching academics. In addition, some librarians teach various University courses/programmes and carry out various other academic activities.



## 6.6 Promotion of Academic Librarians

i) The promotion of Academic Librarian I (PU6) to Senior Librarian equivalent to Senior Lecturer (PU5) and then to Deputy University Librarian/Associate Library Professor (PU4) shall be based on the academic/scholarly work carried out by Librarians.

ii) The requirement of a PhD, as is the case for teaching academics, shall apply to Librarians' promotion starting from a Senior Librarian position. This is because the Librarian 1 position combines the Assistant lecturer and Lecturer positions.

The Librarian 1 position is responsible for handling routine library tasks and duties, which do not require a PhD. Promotion to the position of Librarian 1 (PU6) requires a Master's degree in LIS, some research and professional library work experience shall suffice.

iii) An administrative Librarian who attains a PhD in Library and Information Science focusing on a topic relevant to Mountains of the Moon University library work shall be allowed to change from administrative to academic terms.

## 6.7 Promotion to/Appointment at PU7

The promotion/appointment and promotion of Academic Librarian II (PU7) shall follow the existing guidelines governing the promotion and appointment of other academic staff at PU7. The promotion and appointment of administrative Librarian II (PU7) shall follow the guidelines governing the appointment of other administrative staff at PU7.

## 6.8 The Position of University Librarian

a) The University Librarian shall have a PhD in LIS. He/she shall have served for at least 8 years in an academic library environment, 3 of which shall have been at a managerial level. He/she shall have mentored LIS professionals by teaching or supervising their research work and/or setting up LIS units. Four (4) new publications/conference papers will be required.

b) At the end of the contract of an incumbent, he/she may remain in the University Library service as a Library Professor.

**Table 4: Promotion/Appointment of Academic Library Staff**

Scale	Post	Minimum Academic Qualifications	Years of Professional Library Work	Publications	Information Literacy Instructions	Contribution to Community
PU 6.2	Assistant Librarian	Bachelor's Degree with an Upper or First Class in BLIS		Not required	Not required	Not required
PU 6.2	Librarian Archivist	Master's degree ILIS	Three Years	Not required	Required	Required

<b>PU5</b>	Senior Librarian	PhD in LIS	Six Years	Three newly recognized publications in the area of specialization since last promotion	Required	Required
<b>PU 4</b>	Associate Library Professor	PhD (LIS)	Nine Years	Three newly recognized publications in the area of specialization since the last promotion	Required	Required
<b>Deputy University Librarian</b>	Library Professor	PhD (LIS)	Ten Years	Five newly recognised publications since the last promotion	Required	Required
<b>PU 3</b>	University Librarian/ Professor	PhD (LIS)	12 Years + managerial experience	This is not a promotional position. Therefore, the eligibility should be that “Must be at the rank of Library Professor or Associate Library Professor”	Required	Required

### 6.9 Administrative Librarians

The promotion of Administrative Librarians shall follow the procedure as approved for the promotion of administrative staff in the University as indicated in table 5 below.

**Table 5: University Library Structure for Administrative Librarians**

Position/Rank	Minimum Qualifications	Salary Scale
Senior Librarian	MLIS & 9 years' experience	PU5
Librarian	MLIS	PU6.2
System Administrator Library	MScCS & 6 years' experience	PU6.2
Archivist	BSc-Records	PU6.2
Library Binder	BFA	PU13
Administrative Secretary	B.Sc./ B.A & 3 years' experience	PU 6.2
ICT Technician	Dip ICT	PU6

## 6.10 Criteria for Filling Vacant Positions of Vice Chancellor and Deputy Vice Chancellors

The process of filling a vacant position of the Vice Chancellor and Deputy Vice Chancellor substantively, shall be in accordance with the provisions of the UOTIA, 2001 as amended.

## 6.11 Consideration for Post-Retirement Contract Staff and Staff Promotions

The appointment of post-retirement contract staff and the promotion of both academic and administrative staff shall adhere to the established criteria outlined in Sections 6.12 and 6.15.

## 6.12 Scoring System for Post-Retirement Contract Staff

The performance of staff who apply for contracts shall be appraised and scored based on Table 6.6 below.

**Table 6: Scoring for Post-Retirement Contract Staff**

No	Teaching Ability 40%	Score
1	Involvement in teaching	10
2	Curriculum development	10
3	Supervision of Graduate Students	10
4	Mentoring Junior Staff	10
<b>Research and Publication 40%</b>		
1	Involvement in Quality Research Programme with credible research results which solve society's problems or advance knowledge	20
2	Having an on-ground publication record in books or scholarly journals at least one in the last five years or contract period	20
<b>Service to the University and the Community 20%</b>		
1	Participation in the democratic process of the University Service such as Committee Membership	5
	Quality Assurance Procedures of an Institution such as	
2	Appraisal, Vetting, Moderation, Editorial Board	10
3	Participation in community service e.g., External Boards, External bodies offering consultancy service	5

- a) An academic staff member at the rank of Associate Professor shall be given a contract up to the age of 65 years broken into two (3, 2) - the first contract being 3 years and the second one 2 years, to allow for review;
- b) An academic staff member at the rank of Professor shall be given a contract up to the age 70 years broken into three (4, 4, 2) for review with the first contract being 4 years, the second contract being 4 years, and third contract 2 years; and
- c) Staff who are awarded contracts shall not block staffing positions to be filled by younger staff

## 6.13 External Vetting for Positions of Associate and Professor.

Promotion to the ranks of Associate Professor and Professor shall take into account an external



vetting process based on the following guidelines:

### 6.13.1 Grading by External Vetting Officer

For each aspect (a) to (c) above, a grade should be given as per the grading system shown in Table 7 below. A score of A (Excellent) should only be awarded when indicators in (a), (b), and (c) are highly regarded. For number 6.13.2.6 above (i.e., overall quality), the grade should reflect the average of numbers (a) to (e) above.

**Table 7: Grading by External Vetting Officer**

Grade	Points	Comment
A	6	Excellent
B+	5	Very Good
B	4	Good
C	3	Average
D	2	Poor

**Table 1.8: Evaluation Form**

Paper/ Book	(a) Originality and contribution	(b) Relevance to academic discipline	(c) Relevance and currency of literature	(d) Relevance or consistency to individual's specialization in
academic discipline	(e) Quality of published work	(f) Overall quality		

### 6.13.3 Overall Assessment (Promote/ Do not promote; Appoint/Do not appoint)

.....

.....

### 6.13.4 Any other comments/suggestions/recommendations (Please attach any other relevant additional information).

.....

Assessor's brief bio-data

Assessor's Name: .....

Name of Institution.....

Academic Qualifications: .....

Title: .....

Signature: .....



## **6.14 Promotion of Administrative Staff**

### **6.14.1 Procedure**

- i) Each administrative department shall have a committee charged with the task of reviewing staff promotions for both administrative and support staff. The committee, made up of three (3) members (preferably the most senior) and chaired by the head of the department shall meet to review the progress of each member of staff for promotional consideration.
- ii) Where a head of department is a candidate, the immediate supervisor shall constitute a review committee for his/her promotion. Where a department cannot constitute a committee of three, the head of the department shall constitute the review committee consisting of senior staff from other departments.
- iii) The committee shall make recommendations to the Appointments Board for its consideration.
- iv) No member shall be recommended for promotion to a post more than one grade up the ladder unless he/she is recommended for accelerated promotion.
- v) No employee shall be recommended for promotion until he/she has served in the lower grade for a minimum period of three years unless he/she is recommended for accelerated promotion.

### **6.14.2 The Promotional Criteria**

The promotional criteria for the Administrative staff shall be composed of the following elements:

- i) Academic/professional qualifications;
- ii) Performance appraisal based on Annual Progress Report;
- iii) Years of relevant experience;
- iv) Added advantage; and
- v) Personal conduct.

### **6.14.3 Promotional interval**

#### **6.14.3.1 Probation**

- i) An employee serving on probation shall be eligible for confirmation after six (6) months of service.
- ii) No employee shall be promoted while on probation.

#### **6.14.3.2 Years of Subsequent Promotional Interval**

- i) The promotional interval from one post to the next shall be 3 years except under special circumstances of outstanding performance.



ii) Notwithstanding (i) above, the number of years of experience at a particular job grade may be waived by the appointing authority in cases where an employee has attained a higher qualification sufficient to enable him/her gain the minimum professional point score.

#### **6.14.3.3 Appointment on Person to Holder**

i) Staff in positions that have been downgraded or removed arising out of restructuring or harmonisation will be considered for positions they qualify for or will be given personal to-holder salaries.

ii) Notwithstanding (i) above, supernumerary promotion shall only apply to positions below PU3.

iii) Posts established to cater for supernumerary promotion shall be person-to-holder.

#### **6.14.4 Promotion across job categories**

Promotion from one job category to another i.e. from the support category to the administrative, teaching, and non-teaching staff category is not automatic. Available vacancies shall be advertised internally or externally and shall be competed for by all eligible candidates..

#### **6.15 Promotion of Support Staff**

Staff who are full time employees of MMU shall be eligible for promotion as provided below.

##### **6.15.1 Application Procedure**

An employee seeking for promotion, shall make an official application for the promotion to the Head of Human Resource Management through both the immediate supervisor and the head of department.

##### **6.15.2 Consideration of the Application**

a) The Appointments and Promotions Committee of the department shall consider the application subjecting it to the assessment criteria.

b) The minimum score to merit promotion under the criteria shall be 60 points out of 100.

c) All the applications for promotion shall be forwarded to the appointing authority by the head of department together with appropriate recommendations contained in the Minutes of the Departmental Appointments and Promotions Advisory Committee.

d) The appointing authority shall make the final decision depending on the availability of a vacancy.

#### **6.16 Re-designation**

i) Re-designation shall not amount to promotion. It shall be a lateral re-assignment of duties and responsibilities at the same level deemed administratively prudent. The Head of Human Resource Management shall in consultation with the Deputy Vice Chancellor Finance and Administration, re-designate employees as shall be deemed necessary to



promote efficient human resource utilisation. TUM shall inform the Appointments Board for consideration and approval.

ii) Where duties and responsibilities remain unchanged, re-designation shall not apply. A change of title without a change in the substance of the job does not call for re-designation but an automatic change of title.

## **6.17 Confirmation**

Confirmation in the university service shall be based on satisfactory appraisal reports from the supervisor, approved by the Appointments Board. Staff on probation shall be invited to apply for confirmation at least two months before the end of the probationary period.



## SECTION SEVEN: PERFORMANCE MANAGEMENT

### 7.1 Introduction

Performance Management is a continuous improvement process of planning, checking, and measuring employee performance. It is a model that allows Management to better achieve organizational goals through a structured process. It shall be a recurring process/cycle. The process assesses whether the workforce is meeting organizational goals and objectives through an appraisal. The directorate uses the insights gained to create or provide training and development opportunities as needed; including rewards or sanctions as approved by the Council; career progression, talent management, and succession planning of potential leaders within the organization and creating succession plans to ensure MMU business continuity.

### 7.2 General Provisions

- a) Performance Management shall be a continuous process involving an agreement between employee and supervisor on performance targets in every unit for every employee, formulating strategies to achieve the targets, evaluation and review of performance and agreeing on new targets.
- b) It shall aim at improving the productivity and development of all employees of the University.
- c) Performance assessment reports shall be the basis for determining performance gaps: training needs: promotion and other forms of rewards: review of job designs and disciplinary action.
- d) Performance Management shall be very critical to the achievement of the University objectives and individual targets. The performance management cycle is summarized in Table 9 below

:

**Table 9: The Performance Management Cycle**

Months of the Performance Academic Year (July to June)	Performance Management Activity
1	Reviewing and Setting targets
2-5	Implementation (Phase I)
6	Mid-erm review and adjustment of targets
7-10	Implementation (Phase II)
11	Appraisal

### 7.3 Appraisal

- a) Appraisal shall be one of the key tools in performance management.



- b) It shall be transparent and participatory involving the supervisor and, supervisee.
- c) Each Supervisor shall conduct physical appraisal meetings for his/her staff in the Department/Unit.
- d) A 360-degree performance appraisal will be used where an employee is collectively rated by supervisor, subordinates, colleagues, and customers.
- e) Each employee shall be entitled to feedback of the appraisal from the immediate supervisor.
- f) All appraisal reports from immediate supervisors shall be submitted through the Heads of Department to the Head of Human Resource Management for further management.
- g) On the basis of the appraisal reports, the University Authority shall take appropriate action, including but not limited to: confirmation, promotion on the basis of good performance, training for performance improvement, retirement, transfer, recognition, special awards, and disciplinary proceedings.

## **7.4 Confirmation**

Confirmation in the service of Mountains of the Moon University service shall be based on satisfactory appraisal reports from the supervisor.

## **7.5 Appraisal tools**

Appraisal shall be conducted using the tools presented in the attached Appendix 9, or as and when amended by the University Council.

## **7.6 Appraisal Interval**

The appraisal reports shall constitute an essential record on every employee of the University and therefore all members of staff shall be appraised at least once a year.

## **7.7 Participation**

- a) Employees, supervisors, line managers, HR personnel and University Management shall be duty-bound to participate in the appraisal process at their respective levels.
- b) An employee who fails to perform/play their role in the stipulated time shall face disciplinary measures.

## **7.8 Appeal Mechanism on Appraisal**

- a) An employee with a grievance about the appraisal process shall present it in writing to the Head of Human Resource Management, in any case not later than 14 days after the



appraisal meeting.

- b) The Head of Human Resource Management, after consultation with the complainant's Head of Department/Unit shall handle the grievance and conclude it or present it to an ad-hoc Grievance Committee chaired by the Deputy Vice-Chancellor (FA) with a membership of not less than five.
- c) Where an employee has a grievance about the appraisal process that involves the Head of Human Resource Management, they shall present it in writing to the US.
- d) The appellant shall be entitled to a hearing and response to his/her case by the DVC (FA), in any case within two months from the time the appeal is registered.

### **7.9 Recognition and Awards**

As a means of motivating employees, the University, through the Directorate of Human Resource Management, shall develop and/or review guidelines for recognition and award of staff who excel in their duties for approval by Council.



## SECTION EIGHT: HUMAN RESOURCE DEVELOPMENT

### 8.1 Human Resource Development Policy

- a) Human Resource Development at Mountains of the Moon University is important because it is an investment in the Institution's employees that will ultimately result in a stronger and more effective workforce.
- b) The HR directorate at MMU is responsible for setting a strategic plan regarding the University and its workforce. HR professionals assess the MMU's functions and objectives and determine workforce strategies that help accomplish them as part of the HR planning process, the directorate coordinates and manages employee training and development.
- c) New employees undergo training to learn MMU policies and procedures and the specific skills, tools, or resources needed to perform their job or implement programmes that train the existing workforce on specific skills or knowledge.
- d) When MMU develops its employees, it strengthens its assets and makes these employees even more valuable.

#### 8.1.1 Principles underlying Human Resource Development Policy

The University shall support training and development of staff to address institutional competency and individual career development. Specifically, this policy shall be guided by the following principles:

- i) Professionalism: Training shall be planned, monitored and evaluated.
- ii) Transparency: Training opportunities shall be made known to all stakeholders. Fairness will be reflected in all decisions concerning training.
- iii) Demand driven approach: Training shall be based on identified training needs of an individual for better performance and productivity.
- iv) Value for Money: Training funds shall be optimally utilized for the benefit of the university community.

#### 8.1.2 Objectives of the Human Resource Development Policy

The objectives of the policy are to:

- a) Uphold the vision and mission, as well as foster values and commitments to the University.
- b) Ensure the integration of all Human Resource development initiatives, practices and processes.
- c) Enhance employee job satisfaction, employability and advancement.
- d) Redress the imbalances in gender equity and equality.



- e) Make development opportunities available to all employees.
- f) Ensure a high level of legitimacy among all stakeholders.
- g) Ensure rational and optimal use of resources available for Human Resource development.

### **8.1.3 Principles of the Human Resource Development Policy**

- a) An employee shall be entitled to attend academic, professional, and/or workplace skills training programs and shall be allowed to attend/ take up development opportunities, wherever possible.
- b) Guidelines shall provide the context and procedures for the different types of training in line with the University's Mission Statement.
- c) Human Resource Development initiatives shall be based upon a framework of a thorough training needs assessment using professionally recognized methodologies that are gender sensitive.
- d) The development needs of the University shall always take precedence over those of the individual employee.
- e) Each employee shall obtain permission to attend a relevant training programme.
- f) Beneficiaries of Human Resource Development initiatives shall share the acquired knowledge, skills, and values with the University community.
- g) The opportunities and funds available for Human Resource Development programmes shall be approved by the University Council and communicated periodically to stakeholders.
- h) This Policy shall be implemented in line with the accompanying Regulations as well as relevant provisions in the University's policies and guidelines.
- i) The University's Human Resource Development Policies and the Regulations shall be reviewed, periodically.

## **8.2 Structures for Implementing the HRD Policy**

### **8.2.1 The Individual Employee**

In recognition of the benefits that Human Resource Development holds for both the University and the individual, each employee is encouraged to:

- a) Develop a Personal Development Plan (PDP), stipulating intended achievements against a specified timeline, and share it with the Head of Department/ Unit or Supervisor;
- b) Seek opportunities to upgrade his/her skills and competencies in line with the provisions of this policy and relevant to his/her current occupation as well as the PDP;
- c) Use the performance appraisal process as a mechanism for presenting his/her



PDP detailing his/her education, training, and career development needs, to the Head of Department/ Unit/ Supervisor;

- d) Consider upgrading his/her formal qualifications through further studies in order to prepare for future responsibilities at the University in line with the University's priorities and Development Plan; and
- e) Contribute towards the costs of his/her education and training as and when necessary.

## **8.2.2 Departmental/Unit Human Resource Development Committee**

### **8.2.2.1 Composition of HRD Committee at the Department/Unit**

The following will constitute membership of the Committee:

- a) Chairperson - Head of Department/ Unit;
- b) Two representatives of academic staff: one male, one female, for a term of two years renewable once;
- c) A representative of administrative staff, alternating between male and female after one of them completes a two-year term of office, renewable once;
- d) A representative of support staff, alternating between male and female after one of them completes a two-year term of office, renewable once.
- e) A representative from the Directorate of Human Resource Management; and
- f) Personal Secretary to the Head of Department – Secretary.

### **8.2.2.2 The Terms of Reference of the Committee**

The terms of reference for the Human Resource Development Committee shall be:

- a) Analysing and identifying needs for HRD (per group and individual) by means of the performance management system and other appropriate means.
- b) Recommending Departmental/Unit needs for HRD (for individuals or groups) to the HRDC of Top Management through the Faculty, Institute, or School Committee.
- c) Develop a training plan on an annual basis, clearly spelling out the order of priority.
- d) Monitoring progress on learning programmes and supervising a structure for mentoring.
- e) Identifying needs and funding of learning and development interventions in line with the Training Policy and its Operational Guidelines.
- f) Keeping a record of the learning and development interventions undertaken, the beneficiaries, and the costs involved.



## **8.2.3 The Faculty Human Resource Development Committee**

### **8.2.3.1 The Terms of Reference of the Committee shall be:**

- a) Coordinating the annual training needs analysis in the Faculty, Institute, and School;
- b) Prioritizing and recommending eligible staff members to the HRD Committee of TUM for further education, training, or development;
- c) Managing the funds allocated for education, training, or development of staff in the Faculty/Institute/School budget;
- d) Keeping a record of the learning and development interventions undertaken, the beneficiaries and costs involved in the Faculty, Institute, or School; and
- e) Liaising with the Head of Human Resource in the implementation of the training policy.

### **8.2.3.2 Composition of HRD Committee at the Faculty**

The following will constitute Membership of the committee:

- i) Chairperson – Dean or Director;
- ii) Heads of Department;
- iii) Two representatives of Academic Staff; one male, one female for a two-year term, renewable once;
- iv) A representative of Administrative Staff, alternating between male and female after one of them completes a two-year term of office, renewable once;
- v) A representative of support staff, alternating between male and female after one of them completes a two-year term of office, renewable once;
- vi) A representative from the Directorate of Human Resource Management; and
- vii) Faculty Registrar – Secretary.

## **8.2.4 The Human Resource Development Committee of Top Management (HRDCTM)**

### **8.2.4.1 Membership of the Human Resource Development Committee**

- a) Deputy Vice-Chancellor - Academic Affairs (Chairperson), as a member of the Staff Development Committee, given the role
- b) One Academic Staff Representative
- c) One Senior Administrative Staff Representative
- d) A representative of Deans/Managers of Academic units
- e) One Senate Representative
- f) A person with disability



- g) Chief Human Resource
- h) DVC (FA), as a member of the Staff Development Committee, given the role.

#### **Ex-Officio:**

- a) University Secretary;
- b) Academic Registrar; and
- c) Deputy Chief, Directorate of Graduate Studies, Research and Innovations
- d) Chief Planner

#### **8.2.4.2 The Terms of Reference of the Committee shall be to:**

- a) Recommend policy, procedures, and strategies for the training and development of staff in the University to Council;
- b) Recommend to Council sources of funding for Human Resource training and development;
- c) Disburse funds that may be made available for the staff development programme;
- d) Recommend budgets, receive and consider financial, evaluative, and activity reports about Human Resource training and development activities in the University;
- e) Endorse the annual Career Development Plan (CDP), Workplace Skills Plan (WSP) and Implementation Report;
- f) Submit to Council biannual reports showing the progress and future plans for Human Resource training and development in the University; and
- g) Perform such other Human Resource-related functions as may be delegated by Council.

### **8.3 The Directorate of Human Resource Management**

One of the strategic objectives of the Directorate is to develop and implement a Human Resource development policy that will address all the identified needs of the University employees in line with the University's Mission. The Department seeks to achieve this by:

- a) periodically reviewing the HRD strategies of the University in consultation with stakeholders;
- b) providing a needs assessment framework for workplace education and training;
- c) identifying, developing, and communicating to all employees the training priorities for a given period;
- d) capturing and updating the skills inventory for all employees in the University;
- e) drawing up annual strategies for career and development initiatives for employees;
- f) facilitating institutional reaction to national HRD strategies and legislation;



- g) coordinating the establishment and implementation of a framework for knowledge management at the University;
- h) compiling and disseminating reports about the Human Resource Development activities within the University; and
- i) liaising with other units of the University and all stakeholders in implementing the Human Resource Development Policy

### **8.3.1 Training Categories**

In-service training shall be as follows:

- a) Induction
- b) Performance Improvement
- c) Professional development
- d) Pre-retirement training

#### **a) Induction**

All University staff must be inducted into their new jobs in order to orientate them to the culture of the MMU as well as the challenges of their new jobs/responsibilities.

#### **b) Performance Improvement Training**

Every University staff shall undergo at least one performance improvement training programme once in every three years. Such courses shall be of short duration targeted towards improving specific aspects of a given Job.

#### **c) Professional Development Training**

University staff shall undertake identified short or long-term training programmes at different levels within their career. Such training can be of a full or part-time nature. Quality Assurance for professional development training shall be the responsibility of parent ministries.

#### **d) Pre-retirement training**

The Human Resource Department shall plan and coordinate the implementation of pre-retirement training programmes to prepare University staff for life after active public service.

### **8.3.2 Part time training**

All University staff shall be allowed to undertake part time courses regardless of the duration, as long as they are relevant and do not interfere with the fulfilment of official duties. In situations where training requirements conflict with official duties, the latter shall take precedence.



## 8.4 Regulations

### 8.4.1 Priorities for Human Resource Development

- i) The development needs of the University and the individual
- ii) The development needs of the University are derived from its Vision, Mission, and Strategic Objectives.
- iii) The development needs and priorities of the University shall take precedence over those of an employee, irrespective of the source of sponsorship.
- iv) Supporting employees in the context of a changing Information Technology (IT) environment. Given the impact of continuing change, the pace of development of the IT infrastructure in general, and the fact that most of the University's work has become computer dependent, all employees should be supported to keep abreast.
- v) Bolstering the work of academic and other managers (Leadership and Management Development). There are development needs to be met for top managers if current and future leadership potential is to be realized. There is also a definite and continuing need for appropriate forms of advice and support before, during and after becoming a head of Unit, Section, Department, Faculty, and indeed the Vice Chancellor of the University. In particular, the needs of employees that are assuming management responsibilities for the first time, when they have had little time to prepare for an increasingly demanding management role, should be addressed.
- vi) Academic training and professional development of employees. The University shall support employees in Academic training and professional development with a view to improving their performance and output.
- vii) The Professional Development of Researchers. Given the place of research in the mission and strategic focus of the University, there is a need to ensure that employees involved in research, at different stages of their careers (post-doctoral through to principal investigator), are provided with appropriate skill sets to help them maximize their potential in each of these distinctive roles, and to help them manage each of these career transitions effectively.
- viii) Organization and attendance of conferences
- ix) There is a need to support employees to keep abreast with developments in their discipline, profession or work. The University, if the budget allowed, would support employees to present papers at conferences.
- x) Supporting managers in addressing performance issues. The University should at all times plan for funds to train and retrain new and old staff to improve their performance in their respective job requirements.
- xi) Reviewing Training Priorities. The Human Resource Development priorities shall be periodically reviewed in light of changing circumstances.



- xii) Equity and Equality of opportunity. The University shall ensure equal opportunity for training and development for staff and across all gender

## **8.4.2 Eligibility for Training**

### **8.4.2.1 Academic Training Programmes**

An employee confirmed in the University Service shall be eligible to go for further training leading to academic qualification, subject to fulfilling the provisions of these guidelines and the availability of funds.

- a) Criteria for further academic training program
- i) The recommending Department/ Unit lacks sufficiently trained employees in a specified area of expertise;
  - ii) Efforts to recruit suitably trained employees have proved futile; and
  - iii) An employee has secured a fully funded scholarship from a source outside the University.
- b) An employee on contract outside the training grades is not eligible for sponsorship to training that leads to academic qualifications or lasts for more than one month. c) An employee who obtains a higher qualification after training under provisions in b) above will first resume service under the original terms of appointment before applying for appointment on new terms, promotion, or confirmation in service.
- d) Except in special circumstances as determined by the Human Resource Development Committee, an employee who completes a training programme lasting at least nine months shall be eligible for permission, and sponsorship where possible, to undertake another programme after serving the University for the bonded period as stipulated in the training agreement.
- e) Given the limited funding available for Human Resource Development, and the profile of qualifications in the job market in Uganda, there shall be no support for an employee who wishes to obtain Certificates, Diplomas, and Bachelor's degrees, except in special circumstances as determined by the Human Resource Development Committee.
- f) Table 10 sets out the age limits for an employee who seeks study leave and/or permission to register for an academic programme, and the maximum period to be spent on training for academic qualification

**Table 10: Permissible maximum age for an employee to commence training and permissible maximum period an employee shall spend on a training programme**

Level of Academic Training	Maximum age permissible at the commencement of training (in years)		Period permissible for one to spend on a training programme (in years)	
	Female	Male	Minimum	Maximum
Master's degree	40	35	2	3
PhD	45	40	3	5

#### 8.4.2.2 Professional and Workplace Skills Training Programmes

All employees shall attend these programmes including staff on contract in line with:

- a) The identified training needs, personal development plans, and Institutional succession planning framework; and
- b) Recommendations from the Faculties/Departments/Units in liaison with the Directorate of Human Resource Management to address particular and/or profession-specific skills or performance gaps.

#### 8.4.2.3 Factors to be considered in the identification and approval of the employees to be trained

The Human Resource Development Committees at the various levels, while considering applications for any form of training, shall take into account the following factors:

- a) Age of the applicant;
- b) Gender of the applicant;
- c) Availability of funding;
- d) The University's Human Resource Development priorities;
- e) Lack of expertise of employees in a given specialty in the Department/Unit;
- f) The workload among employees in a department vis-à-vis the number of employees already on study programmes;
- g) An employee's career development plan;
- h) Performance management reports about the applicant;
- i) Purpose of the training to be undertaken mutually agreed upon by the individual employee, the Directorate, and the Head of Human Resource Management, including but not limited to: career development, capacity building, strategic training for succession line up, gender balance or form of affirmative action.
- j) The projected effect of the training on the individual employee's performance at work

## 8.5 Procedure for Handling Training Applications

The handling of the applications will follow the procedures as indicated below:

### 8.5.1 Full sponsorship

- a) Eligible employee(s) shall submit the application to the Human Resource Management through the respective Heads of Department/Units. The application will then be forwarded to the Human Resource Development Committee (HRDC) for consideration.
- b) The DHR compiles the applications and submits them to the relevant Departmental HRDCs for assessment.
- c) The Department/Unit HRDCs shall consider the applications, prioritize those recommended and forward them to the Faculty's HRDCs for consideration, accompanied by a cover letter and minutes signed by all members of the committee.
- d) The Faculty, Institute, or School HRDCs shall examine the applications, prioritize those recommended for further consideration, and forward them to the Directorate of Human Resource Management.
- e) The Head of Human Resource Management shall present the applications to the HRDC of Top Management for consideration.

### 8.5.2 Selection of Employees to be Sponsored by the University

The selection process shall be conducted twice a year. This will take place from January to March for staff who wish to join programmes that start during July to December of the same year; and July to December for those who wish to join programmes during January to June, the following year.

**Table 11: Cycle of processing applications for academic training**

Month	Activity
January	Applications from employees submitted to Departmental/Unit HRDCs. Departmental/Unit's HRDC recommendations submitted to the Faculties, or Institute or Schools' HRDCs
February	Consideration of applications at the Faculty, Institute or School HRDC and submission to the Directorate of Human Resource

### 8.5.3 Permission for Study and/or Study Leave

- a) An employee who intends to register for any type of training programme on a full-time basis shall apply for study leave from the Vice Chancellor, through the Head of Department,



and Head of Human Resource. Academic staff registered for MMU study programmes shall be required to undertake some teaching workload, in their respective departments as shall be reasonably determined by the head of department.

- b) Permission for study leave shall be granted where an employee provides proof of the source(s) of funding and satisfies the provisions of both the Human Resource Development Policy and the accompanying Regulations.
- c) The study leaves granted shall not exceed the duration of the training programme as stipulated in the admission letter.
- d) Extension of study leave shall ONLY be granted to an employee where:
  - i) The Head of Department has made a positive recommendation;
  - ii) The cause of the failure to finish in time is deemed to have been inevitable;
  - iii) The applicant provides a satisfactory progress report from his or her supervisor; and
  - iv) One secures full funding to register for a PhD immediately after a Master's Degree.
- e) Extension of study leave shall be considered after providing proof of the source(s) of funds to cover the extended period.
- f) An employee's permission for study leave is valid only when he/she has duly completed and signed the bonding Agreement.
- g) An employee who proceeds for training without permission or registers for any form of training outside these regulations does so illegally and shall be liable for disciplinary action, including but not limited to suspension, termination, or dismissal.

## **8.5.4 Sabbatical Leave**

### **8.5.4.1 Eligibility**

For an employee to be eligible for sabbatical leave, he/she must fulfil the following:

- i) Be on permanent terms of employment at Mountains of the Moon University;
- ii) Have served at a level not less than a Senior Lecturer/ Senior Research Fellow/ Senior Librarian/ Senior Officer in the administration of the University at PU5 and above, for a continuous service period of at least four years; and
- iii) Have served the University for at least four years since a previous Sabbatical or completely served out the bonded period after Study Leave.

### **8.5.4.2 For Departments/Units that have more than one eligible sabbatical leave candidate at a given period:**

- i) An employee who has served the University longer since the completion of PhD or since the previous sabbatical leave shall merit a higher priority consideration;



- ii) An employee who has just completed two terms as University administrator (e.g., Vice Chancellor, Deputy Vice-Chancellor, Dean, Manager, or Head of Academic or Administrative Department), during which period he/she had relatively little time available for research, shall also be placed on a high priority;
- iii) The Departments should ensure that there are personnel, to take on the responsibilities of the staff who is scheduled to go on sabbatical leave; and
- iv) The Sabbatical leave would be substituted when an employee takes a year off for further training (e.g., post-doctoral research) for a fellowship, for a special assignment, and for secondment to the Government or other organizations. The experience acquired during the period of absence from the University shall be considered as compensation to a sabbatical leave.

#### **8.5.4.3 Procedure of applying for sabbatical leave**

- a) An employee applying for sabbatical leave shall submit his/her application to the Head of Human Resource, through the respective Department and Faculty, for the approval of the Vice-Chancellor.
- b) An employee shall provide evidence of (a) source(s) of funding when applying for the sabbatical leave.
- c) Upon completion of the sabbatical leave, the employee shall submit a report to the Vice-Chancellor through the Head of Department and Head of Human Resource.

#### **8.5.4.4 Duration of sabbatical leave**

- a) The duration of the sabbatical leave shall be one calendar year. Under special circumstances, extensions of up to 3 months may be granted.
- b) The sabbatical leave shall be taken on a piecemeal basis, where the candidate is a Principal, Dean, Manager, Head of Department, Librarian, or another approved category of administrator. The officers above should not be absent from office for exceeding six months, as it is judged detrimental to the University's operations.
- c) In an event where the Principal/ Dean/ Director/ Head of Department is unable to go on a piece-meal sabbatical leave, the officer should notify the University authority six (6) months in advance, so that a new substantive office bearer is appointed in accordance with the law and regulations.

#### **8.5.4.5 Sabbatical activities**

- a) While on sabbatical leave the employee shall focus his/her efforts on undertaking the following:



- i) Advancing frontiers of knowledge through research;
  - ii) Processing of research data and publishing the results in the form of scholarly papers and/ or books; and
  - iii) Consultancy work, where there is evidence of research involvement and benefit to both the University and the employee.
- b) The employee shall adhere to the approved sabbatical leave activities.
  - c) Disciplinary action shall be taken against an employee who deviates from the approved sabbatical leave activities.

#### **8.5.4.6 Financial Arrangements**

- a) An employee who plans to take a sabbatical leave may apply for funds from the Human Resource Development Fund or a Development Partner.
- b) An employee who receives an allowance for meeting one's living and research expenses from a Development Partner during the sabbatical leave period shall not receive allowances from the University during the approved sabbatical leave period

#### **8.5.4.7 Bonding of Staff Who Register for Further Studies**

- a) An employee sponsored by the university for further studies shall sign a bonding agreement specifying the training, type of study program, and whether they are on study leave or not.
- b) On completion of the training, an employee shall be required to work for the University for a period corresponding to the duration of training received (See Table 12 below).

**Table 12: Training period and corresponding bonding periods**

Program Type	Period Spent (Years)	Bonding Period (Years)
Post-Doctoral	1	1
PhD	3 – 4	3 - 4
Masters	1- 2	1 - 2

- c) When an employee leaves the University service before serving the period for which he/she is bonded, he/she shall be required to refund to the University the balance of the money paid for tuition.

**Table 13: Percentage of Period Served after Training and the Corresponding Percentage of Training Costs to be refunded.**

Percentage of Period Served by Staff after Training (%)	Percentage to be Refunded by Staff to the University (%)
0 – 20	100
21 – 40	80%
41 – 60	60%
61 – 80	40%
81 – 99	20%
100	0%

- d) Since the training loan is mainly recoverable from terminal benefits, and since loans from banks and other financial institutions are also recoverable from the same source, an employee on a study programme shall not be eligible for University secondment to the banks and other financial institutions for loans against the said terminal benefits.
- e) After the study period/leave, an employee may apply for a loan whose value is not more than all terminal benefits less the balance on the training loan.

#### **8.5.4.8 Accountability**

- a) All beneficiaries of sabbatical leave shall be required to fully account for all funds received from the University.
- b) Failure to do so shall attract disciplinary proceedings as stipulated in the University's Code of Conduct.

#### **8.5.5 Salary**

- a) The University shall pay salary to and remit benefits for an employee on study leave.
- b) Allowance that is work-related, such as Top-Up, shall not be paid to an employee during the study leave.
- c) Payment of salary and benefits to an employee shall stop where an employee fails either to submit reports as stipulated in Section 8 (below) or to report back for duty at the end of the study leave.
- d) Disciplinary proceedings shall be instituted against an employee who absconds from the University service during or after the end of the study period and/or leave, and the University shall recover all training costs plus salary and benefits paid to such an employee during the study period and/ or on study leave.



### **8.5.6 Tuition and Other Statutory Fees**

- a) The University shall meet in part or in full, as shall be decided from time-to-time, such tuition and other statutory fees as levied by the Institutions or Universities or service providers in respect of an employee-sponsored by the University to attend academic, professional or work place skills' training programmes.
- b) The University reserves the right to grant waiver of tuition fees in respect of an employee, spouse, or biological child, studying in any of the academic units at Mountains of the Moon University.
- c) The University shall not accept responsibility, beyond what will have been approved, for each employee on training.
- d) In all cases where University funds have been paid to an Institution, the employee being trained shall submit full accountability to the Bursar through the Directorate of Human Resource Management.
- e) Failure to account for funds shall attract disciplinary measures, including but not limited to, recovery of funds from salary, suspension from the University service, and attachment of terminal benefits.

### **8.5.7 Stipend**

- a) Stipend shall be paid to an employee on a training programme of more than four weeks duration, at a venue located beyond at least 30 km outside Fort Portal City.
- b) Stipend covers living costs such as accommodation, feeding, laundry, transport between Institution and place of residence, etc.
- c) The HRDC of Top Management shall periodically determine the rate of stipend to be applied.
- d) An employee fully sponsored by a Development Partner shall not be eligible for a stipend or other forms of support from the University.

### **8.5.8 Textbooks and Stationery Allowance**

- a) The University shall contribute to textbooks and stationery allowance for staff directly sponsored by the University at a rate, as shall be approved by HRDC of Top Management.
- b) Payment of this allowance shall be made once to Master's Degree students; and twice to PhD students, in the first and second years only.
- c) From year three onwards, PhD candidates shall include textbook and stationery costs in the research budget.



### **8.5.9 Transport for Staff on Study Programmes**

- a) An employee shall be provided with one return air ticket, except where one has to defend the thesis.
- b) A coupon of the ticket (or boarding pass in case of electronic tickets) and a photocopy of the passport pages with exit and entry stamps shall, in all cases, be submitted to the Bursar through the Head of Human Resource and Head of Department as proof of travel.
- c) Costs of inland travel shall be met by the University Council.
- d) The Human Resource Development Fund shall not cover research expenses and attendance at graduation.

### **8.5.10 Per Diem**

An employee who attends a full-time short programme beyond at least 30 km outside Fort Portal City for a period not exceeding four weeks shall be paid per diem, using the approved rate.

### **8.5.11 Medical Insurance**

The University shall insure an employee sponsored by the University and studying outside Uganda, at a rate approved by Council.

### **8.5.12 Research Funds**

Research funds are managed by the Directorate of Graduate Studies to which applications should be made, through the Higher Degrees and Research Committee of the Faculty/ Institute/ School.

### **8.5.13 Co-sponsorship**

Subject to availability of funds, the University shall co-sponsor an employee where:

- i) The other party allows for co-sponsorship;
- ii) That other party offers partial funding of at least 50%; and
- iii) That other party provides proof of their total itemized financial commitment for the entire study period.
- iv) The University's financial commitment in respect of such an employee shall be worked out fully and documented for the entire study period before that employee embarks on the training programme.
- v) A funding agreement shall be signed between the University and the employee to that effect.



#### **8.5.14 Visa Fee, Transit Fee, Out of Pocket and Warm Clothing Allowance**

A lump sum shall be determined by Council to cater for these items.

### **8.6 Support to Employees in Respect of Conferences and Workshops**

- a) The Directorate of Human Resource Management shall organise training to equip employees with skills that will enable them make effective presentations as well as organise and host conferences.
- b) Faculties and Departments are encouraged to organize workshops, conferences, and short courses to raise revenue.

### **8.7 Reports**

#### **8.7.1 Departure for and Return from Study Leave**

- a) An employee who obtains permission to proceed on study leave, shall register with the Directorate of Human Resource Management.
- b) Similarly, an employee who completes academic training, shall report to the Head of Human Resource Management for registration and debriefing.
- c) An employee who completes academic training, shall be required to present his/her original and photocopy of the transcript and/or original and photocopy of certificate to the Directorate of Human Resource Management.
- d) An employee who completes academic training at any other institution other than MMU, shall be required to submit a hard and soft copy of the dissertation/thesis to the Head of Human Resource Management within two weeks after assumption of duties for the deposition in the library.
- e) All the employees on study leave are required to abide by the provisions in a, b, c and d above.

#### **8.7.2 Work plan**

- a) An employee, who registers for training leading to a qualification through research shall be required to submit a detailed work plan to the Directorate of Human Resource Management within the first three months of the programme.
- b) Changes in the work plan shall be communicated to the Directorate of Human Resource Management with reasons and a supporting statement from the supervisor/promoter.



### **8.7.3 Progress Report**

An employee, who registers for a training programme leading to a qualification, shall submit an annual progress report including, but not limited to:

- a) Work covered vis-à-vis work planned;
- b) Work to be covered in the next twelve months;
- c) Expected date of completion; and
- d) Opportunities and challenges expected during the next twelve months.
- e) An employee on a training programme leading to a qualification, shall submit a progress report after every six months, written by his/her supervisors, but using the format approved by the School of Graduate Studies. Such reports shall be considered by an appropriate Sub-Committee as shall be agreed by the Human

Resource Development Committee (HRDCC), and recommendations made to the HRDC of Top management about the quality and relevance of training and the corresponding value for money.

### **8.7.4 Evaluation Report**

An employee who registers for any form of training, of any length, whether qualification-awarding or not, shall submit an evaluation report at the end of the training, using the approved format of HRDC of Top University Management.

### **8.7.5 Employee Performance During Training**

#### **8.7.5.1 Good Performance**

The University shall continue recognizing and attaching importance to academic excellence.

#### **8.7.5.2 Failure**

- a) An employee shall be deemed to have failed when he/she does not complete such a programme within the statutory maximum period, or fails to stick to the work plan with no substantial reason.
- b) An employee who fails shall be deemed to be incapable of providing leadership in his/her area/discipline of specialty and shall have his/her services terminated

### **8.8 Implementation of the HRD Regulations**

- a) Meaningful implementation of these regulations is primarily the responsibility of each and every employee of the University.
- b) The Head of Human Resource shall coordinate the overall implementation and evaluation of the HRD Policy and Regulations.



- c) The Head of Human Resource shall oversee the activities of the key players as indicated in the structure for implementing the Human Resource Development Policy.
- d) The Regulations shall be reviewed when need arises through a consultative process with all stakeholders.



## SECTION NINE: LEAVE

The main purpose of leave is diversion, recreation, relaxation and recuperation with a view to restoration or improvement of an employee's efficiency, effectiveness and output except as may be explicitly stated to a particular type of leave.

### 9.1 Annual Leave

9.1.1 Annual leave shall be earned basing on a government Financial Year.

9.1.2 Every employee shall be entitled to go for annual leave with full pay, in accordance with the various leave entitlements as approved from time to time by Council.

9.1.3 An employee shall then apply for annual leave on a prescribed Annual Leave Form hereby attached as Appendix 10.

9.1.4 An employee shall not proceed for leave until approval has been obtained in writing from the supervisor.

9.1.5 The rate of staff entitlement to annual leave shall be defined depending on the salary scales as follows:

- i) Employees within salary scale PU1 –PU5: 30 Working days
- ii) Employees within salary scale PU6 – PU16: 24 Working days

9.1.6 In compelling circumstances, days off may be granted against leave.

9.1.7 The Vice Chancellor shall seek the Council Chairperson's approval before proceeding for leave.

9.1.8 Annual Leave that is not taken within the leave year or officially deferred shall be forfeited.

9.1.9 Due to the urgency of service delivery to meet the needs of the University, the Chairperson Council or US may defer a given annual leave within a particular year.

9.1.10 A request to carry forward annual leave must be submitted to the Chairperson of Council/ University Secretary through the Head of Department and CHR for approval by the 15th day of June with evidence that an employee requested for annual leave but due to the urgency of service it was deferred in the same FY.

9.1.11 Female employees may combine annual leave with maternity leave.

9.1.12 Annual leave shall not be accumulated in excess of 60 (sixty) working days.

9.1.13 Every employee shall be required to take leave in full unless recalled or rescheduled.

9.1.14 Where an employee is recalled from leave prematurely, the remainder of the leave shall be deferred and the University shall meet the travel expenses.

9.1.15 Where an employee fails to resume duty upon expiry of leave, such employee shall be regarded as being absent from duty without permission and therefore liable for disciplinary action. Where such absence exceeds ten (10) working days without written notification and permission of



absence, such employee shall be deemed to have absconded from duty.

9.1.16 The period an employee is on suspension; study leave or sabbatical leave shall not earn annual leave.

## 9.2 Leave Schedules

- a) The heads of departments/directorates shall work with their staff to schedule annual leave at the beginning of each financial year, taking into consideration the workloads and schedules of work. A copy of the template is attached in Appendix 11.
- b) Every department shall have an approved leave roster by the University Secretary at the beginning of each FY year and a copy of which shall be availed to the Head of Human Resource Management, who will compile an electronic version of the leave roster for the year.
- c) To enable proper planning and processing, employees must apply for leave, through their Heads of Department and Head of Human Resource Management at least two months in advance.
- d) Before departing for leave, all employees shall inform their Head of Department and provide addresses where they can be contacted if need arises.
- e) All employees proceeding on annual leave shall submit a comprehensive handover report to the satisfaction of the immediate supervisor

## 9.3 Sick Leave

- a) Sick leave shall be the period during which an employee is genuinely absent from duty owing to sickness.
- b) An employee who is unable to attend work because of sickness for a period exceeding two (2) working days shall be required to be examined by a Government Medical Officer or a certified medical practitioner for purposes of obtaining a medical report.
- c) An employee is required to inform the immediate supervisor within the first 2 - 5 days of sickness, for sickness beyond 5 days, the Chief Human Resource Officer should be informed in writing with evidence in b) above.
- d) The maximum period of sick leave with full pay shall be six (6) months. After this period, if the employee is still in ill health, he/she shall be on half pay for a further period of 6 months.
- e) Council reserves the right to terminate the services of an employee after 12 months of continuous sick leave.
- f) It is recognised that sick leave may have to be approved in retrospect because when an employee falls sick, his or her medical officer cannot at that stage be sure when an



employee will be fit to resume duty. This is in order, provided the employee is under the care of a qualified Medical Officer.

- g) If an employee falls sick while on annual leave, the period of sickness shall be taken as part of annual leave. If, however, the period of sickness extends beyond the employee's approved annual leave, paragraphs d and e above, shall apply.
- h) An employee who falls sick while on duty outside Uganda shall, for the purpose of being granted sick leave, be treated in accordance with the appropriate rules as if he or she had been in Uganda when he or she became ill.

## 9.4 Study Leave

Study leave may be granted by the University to enable staff to pursue studies. The course content must be relevant to the performance needs of the University or the career progression of the officer. The University shall accord Staff study leave as detailed in Section 8.5.3 of the Human Resource Development Policy.

## 9.5 Maternity Leave

- a) A female staff regardless of status and terms of service shall as a consequence of pregnancy be entitled to sixty (60) working days of maternity leave on full pay.
- b) A female staff may be allowed to proceed on maternity leave, when she is between 36 and 38 weeks pregnant as determined by the qualified Medical Officer.
- c) When the immediate supervisor notices deterioration in the female officer's output, attributable to advanced pregnancy and after obtaining the opinion of a qualified Medical Officer the US may, request the staff to apply for her maternity leave before the officially recognized time.
- d) If a member of staff requires, for maternity purposes, an additional period of absence from duty over and above the sixty (60) days of maternity leave stated in paragraph (a) above, she shall apply for additional number of days to be determined by a registered medical practitioner.
- e) Subject to paragraph (d) above, absence from duty beyond the limits laid down in this Section shall be treated as absenteeism without permission and may lead to disciplinary action against a member of staff.
- f) Where a female employee is absent from her work or remains absent for a longer period as a result of illness, she shall submit a medical recommendation from a registered medical practitioner, arising out of childbirth and rendering her unfit for work, the provisions under sick leave shall apply.



## 9.6 Paternity Leave

After a registered wife of a staff has had a delivery or miscarriage, the employee shall immediately be entitled to paternity leave not exceeding four (4) working days once a year

## 9.7 Forced Leave

Forced leave shall be where an employee is sent on leave under any of the following circumstances:

- a) To allow for investigation or inquiry, and;
- c) Sickness warranting seclusion.

## 9.8 Sabbatical Leave

The University shall accord Staff sabbatical leave to stay away from the University to spend time in another University or entity for the purpose of professional engagement.

## 9.9 Compassionate Leave

- (a) At the discretion of the University Authority, Compassionate Leave on full pay may be granted to an employee under special circumstances such as sickness/hospitalization/death of a spouse, biological/legal Child. Such leave shall not exceed five (5) working days..
- (b) Compassionate Leave may be granted on not more than two (2) occasions in a year.

## 9.10 Public holidays

- a) Staff shall be entitled to holiday with full pay on all the days gazetted as public holidays by the Government of Uganda.
- b) Staff who work on public holidays shall be entitled to payment as specified under the Financial and Accounting manual.



## SECTION TEN: WELFARE AND BENEFITS

Staff welfare is a holistic approach an organization takes to ensure the health, happiness and overall well-being of its employees. Employee well-being impacts productivity and job satisfaction. At MMU, this will encompass many initiatives and policies, from ensuring safe working conditions to promoting work-life balance and providing access to necessary benefits

### 10.1 Medical Care

- a) The University shall have in place a Medical Insurance Scheme or other appropriate arrangement approved by the Council to cater for the medical requirements of its employees.
- b) Eligibility to the MMU Medical Insurance Scheme shall be limited to the full-time staff, with the inclusion of the number of dependants as Council may determine from time to time.
- c) The University shall design dedicated HIV and AIDS workplace and Medical Insurance policies.

### 10.2 Travel Insurance

The University shall provide insurance coverage for employees traveling by air on official duty.

### 10.3 Risks and Hazards Insurance

The University may provide insurance coverage to employees against risks and hazards in the process of employment. The HR directorate shall be responsible for developing and implementing health and safety measures in the workplace in compliance with the Occupational Safety and Health Act (OSHA).

### 10.4 Salary Loans

- a) The University may recommend confirmed employees to obtain loans against their salary from financial institutions on terms and conditions mutually agreed upon between those institutions and in line with other University regulations as approved by Council.
- b) The University shall only recommend and not act as a guarantor for salary loans.

### 10.5 Recreational Facilities

- i) The University recognizes that the health of its employees is very critical in their efficient and effective delivery of services. Various recreational facilities such as clubs, playgrounds, swimming pool, and canteens, may be established at the University.
- ii) The University shall institute at least 2 hours weekly for physical exercise sessions for



purposes of promoting good health of the staff at MMU

### **10.6 Counselling services**

Counselling services shall be available to employees, their spouses, and registered children under 21- years who may need such services at the University Counselling Centre.

### **10.7 Spiritual Services**

The University shall recognize and respect freedom of worship.

### **10.8 Financial Services**

The University Council will approve the schemes that employees may voluntarily join where they can save and borrow money.

### **10.9 Wedding of MMU Employee**

When an employee of MMU weds in church or Mosque, the University will provide the wedding package in kind limited to a sum of money determined and reviewed from time to time by the Council.

### **10.10 Lactation Mothers' Lounge**

The University may provide a lactation mothers' lounge to cater for babies of staff. This will provide space for female employees at the University to take time off to breast feed their babies among other things. The related costs to caring for the caretaker of the baby and baby's welfare, shall be the responsibility of the mother.



## SECTION ELEVEN: SECONDMENT AND CONSULTANCY

### 11.1 Secondment

- a) Shall mean the attachment of an employee of the University with specialist skills and competencies to support an institution or agency for a period agreed upon.
- b) With the approval of the Appointing Authority, MMU may also recommend any of its Technical or management staff for secondment in any partner institution/ organization with the view to attaining, among others, the following objectives:
  - i) MMU shall support the operations of the partner institution.
  - ii) The time that University staff spends on secondment shall be considered as part of the running employment contract.
  - iii) The seconded staff shall continue getting the salary and benefits as per his/her conditions of service at MMU, but the allowances and other forms of remuneration shall be the responsibility of the recipient organization.
  - iv) Seconded staff shall be entitled to terminal benefits as applicable to the University employees.
  - v) Upon expiry of the period of secondment, the employee shall return to their original position at MMU. In the event that such an employee does not return after the period of secondment without formal resignation, after ten consecutive working days such employee shall be deemed to have absconded.
  - vi) The period of secondment shall NOT be treated by Mountains of the Moon University as a break in service

### 11.2 Consultancy

- a) The University may be contracted to do consultancies and assign an employee to perform these duties. The University shall retain 15% of the gross sum of the contract.
- b) Subject to the University Intellectual Property Management Policy and guidelines approved by the Council, an employee, through the immediate supervisor may be permitted by the University Authority to do private consultancy work. This is on condition that it does not prevent/interfere with such employee performing the University duties diligently. The university will retain 10% of the income from the consultancy.
- c) The University may hire staff to work as consultants to perform duties either in academic or administrative works as defined in the guidelines approved by Council.
- d) The University may second staff to work as consultants under its other business entities (Holding Company, Farm)



## SECTION TWELVE: EMPLOYMENT RECORDS

### 12.1 Records Policy

Employment records, also known as personnel files, are records kept by an employer that track an employee's relationship with the company. At MMU, the University shall have a records policy and all University human resource records both manual and electronic shall be managed within the provisions of that policy approved by the Council.

### 12.2 Biodata Form

- a) All employees shall be required to complete a biodata form capturing basic details about them, and especially the National Identification Number (NIN) required for processing of remunerations within government hereby attached as **Appendix - 12**.
- b) The record shall be continuously updated and it is incumbent upon the employee to provide the updated information, for example, marital status, family members, academic qualifications, and residential address.
- c) The initial records provided shall be taken as the true and authentic record and any changes thereafter shall require proof of authenticity beyond any doubt to the Chief Human Resource.
- d) The date of birth provided at the time of an employee's first appointment **SHALL NOT BE ALTERED** under any circumstances in the course of one's employment.
- e) All employees shall provide photographs attached to their bio data forms to be updated every five (5) years.

### 12.3 Personal Files

- a) All records about an employee shall be kept on their personal file.
- b) There shall be three sets of personal files; The open, confidential files kept and maintained in the Central Human Resource Registry and the ordinary files kept and maintained at the Department/Unit. The Directorate of Human Resource shall also keep the two categories of files in a digitized form.
- c) An employee shall not access their confidential files

### 12.4 Records Management

All records are confidential and shall only be accessed upon express written request to the Head of Records and Information through the Chief Human Resource.



## 12.5 Update of Record

- a) All requests for updating records shall be communicated to the Head of Human Resource as soon as the need arises but, in any case, all employees shall be required to update their records after every five years.
- b) No requests for a change of date of birth shall be considered.
- c) Falsification of records or information when discovered at whatever stage shall lead to disciplinary action



## SECTION THIRTEEN: EMPLOYEE SAFETY

All University employees shall be accorded a safe and secure working environment in line with the Occupational Health and Safety Act 2006.

### 13.1 Obligations of the University

The University shall provide:

- a) A safe working environment;
- b) Systems of work, plant, and machinery that are safe and secure;
- c) Provision of personal protective equipment (PPEs) where applicable;
- d) Ways to reduce hazards and risks to health;
- e) Training on employee safety; and
- f) Competent supervision, generally ensuring that safe working practices are in place and enforced

### 13.2 Obligations of the Employee

The employee, while at work, shall:

- i) Take maximum precaution regarding their health and safety at work;
- ii) Cooperate with Management in complying with health and safety requirements;
- iii) Carry out lawful orders and obey all health and safety rules;
- iv) Report unsafe situations to the Supervisor or Head of Department; and
- v) Report all incidents that result in, or may have resulted in injury to the Supervisor or Head of Department

### 13.3 Compensation

The University shall abide by the provisions of the Workers Compensation Act, currently in force whose salient features for purposes of this manual are indicated below::

- i) If the personal injury by accident arises out of and in the course of a worker's employment, the injured worker's employer shall be liable to pay compensation in accordance with this Act.
- ii) The employer shall not be liable in respect of an injury which does not either:
  - a) Result in permanent incapacity; or
  - b) Incapacitate the worker for at least three consecutive days from earning full wages at the work at which he or she was employed.



- iii) An act shall be deemed to be done out of and in the course of employment when a worker acts to protect any person on the employer's premises whom the worker believes to be injured or imperilled, or when a worker acts to protect property on the employer's premises.
- iv) Any personal injury by accident arising while the employee is traveling directly to or from his or her place of work for the purpose of employment shall be deemed to be an accident arising out of and in the course of his or her employment.
- v) For the purposes of this section, it shall be for the employee who suffers injury by accident arising while traveling to or from his/her place of work to show that such travel was direct.
- vi) Compensation shall be payable under this section whether or not the incapacity or death of the worker was due to the recklessness or negligence of the worker or otherwise.
- vii) Any accident arising in the course of employment shall, unless the contrary is proved, be presumed to arise out of employment.
- viii) Compensation in cases of permanent incapacity or death shall, in principle, be paid in the form of periodic payments; otherwise, they may be awarded in lump sums as provided under this Act



## SECTION FOURTEEN: OFFICIAL TRAVEL

### 14.1 General provisions

Subject to the provisions specified in the financial regulations, travel by an employee of the University shall be as follows:

- a) On initial appointment
- b) On official duty
- c) On retirement as stipulated in the rules and regulations
- d) On special assignments
- e) Any other forms of authorized travel

### 14.2 Per diem

- a) Per diem to cover accommodation, meals, and incidentals shall be paid to an employee who will be required to travel on duty away from the duty station at rates per night to be fixed by Council from time to time, per category of staff.
- b) No per diem shall be claimable where official travel is fully sponsored except for a modest out-of-pocket allowance not exceeding 20% of the per diem applicable.
- c) The obtaining rates shall be available at the office of the Head of Human Resource.

### 14.3 Transit Allowance

A transit allowance, as fixed by Council from time to time, shall be provided to an employee on a trip that involves a change of flights and a waiting period of at least 4 hours.

### 14.4 Warm Clothing Allowance

- a) This shall be a sum of money payable to an employee on an official trip to a temperate zone as provided in the MMU Schedule of Allowances.
- b) The allowance shall be paid after every 3 years at a rate determined by Council from time to time.

### 14.5 Day Travel Allowance

An employee on duty but away from the designated duty station for a period of more than six (6) hours but not amounting to one night shall be entitled to a day travel allowance as provided for in the MMU Schedule of Allowances.

- a) Residents

The University shall not be liable to incur any expenses on the initial appointment of residents



unless authorized by Council as provided for in the allowances schedule

## **14.6 Authorization of Travel Outside the Country**

Notwithstanding the current government standing on foreign travel for public servants, the following shall apply to employees of MMU traveling abroad.

- a) All employees seeking to travel abroad, shall seek for permission from the stipulated authority, through the Vice Chancellor.
- b) The Vice-Chancellor shall obtain permission to travel outside the Country from the Chairperson of the University Council and notify the Chancellor.
- c) The Vice-Chancellor shall authorize official and specific travel of the DVCs, Principals/ Deans/ Directors, and members of Top University Management.
- d) The Deputy Vice-Chancellor (F&A) shall authorize official and specific travel of other employees through their relevant supervisors and Director of Human Resource.
- e) An employee must personally ensure that necessary authorization is obtained before travel. In the event that the University has to bear the travel expenses of an employee's dependant, the employee shall ensure that such travel has been authorized.
- f) The route for all authorized travel shall be the most economical and safe.
- g) All employees traveling by air shall use economy class except for those whose contracts or terms of service stipulate otherwise.
- h) An employee who resigns from service of the University shall not be entitled to payment of the return travel expenses for self or dependents.
- i) An employee granted permission to travel shall submit a report about the trip and any necessary financial accountability upon return.

## **14.7 Travel Insurance**

The University shall provide insurance coverage for employees traveling abroad on official duty.



## SECTION FIFTEEN: EMPLOYEE RELATIONS

### 15.1 Employee organisations

The University shall recognize and work with the employee-affiliated labour-related organizations within the University system to promote good employee relations and foster a healthy work culture. Detailed information about each of these employee organizations can be obtained from their respective secretariat and in accordance with the Employment Act and other laws regulating employee relations.

### 15.2 Admissibility criteria

The University reserves the right to require the inclusion of admissibility criteria into any Association intending to operate at its premises

### 15.3 Leadership of staff organisations

The University shall require that leadership of the Academic, Administrative and Support Staff Associations, be held by the staff holding a minimum position at a senior level, within the University.

### 15.4 Eligibility to stand for leadership positions in staff organisations

Any staff who is undergoing a disciplinary proceeding, or has undergone a disciplinary proceeding and has been sanctioned, in the last three years at the time of elections of leadership of the Academic, Administrative and Support Staff Association, shall not be eligible to stand for leadership positions of the referenced Academic, Administrative and Support Staff Association. For the avoidance of doubt, the affected leadership positions shall be the headship (chairperson, or president, or whatever title used for the headship, the vice, or deputy headship and the secretary to the Associations).

### 15.5 Dispute resolution

The University shall recognize the provisions of dispute resolution in accordance with the Universities and Other Tertiary Institutions Act 2001 (as amended) Sections 56 and 57.



## SECTION SIXTEEN: DEATH OF EMPLOYEE

### 16.1 General Provisions

The contact person upon the unfortunate demise of any MMU staff is the Chief HR.

a) Where an employee dies:

- i) At the place of work, the employer shall notify the employee's next of kin or legal representatives and shall obtain a copy of the death certificate.
- ii) Other than at the place of work, the employee's next of kin or legal representative shall notify the University and present a copy of the death certificate and/or any other evidence of death to the Directorate of Human Resource for record and subsequent action

b) When an employee dies in service, the University will meet burial expenses including the following;

- (i) The cost of the transportation of the body from where the employee died to the official burial place. If the employee should die in another country, the cost of transporting the body will be covered by MMU if the employee was on official duties.
- (ii) The purchase of the coffin of the deceased employee
- (iii) Radio/print announcements. (iv) Treatment of the Body
- (v) Construction of the grave
- (vi) The University may provide a cash contribution to support the deceased family in meeting other incidental burial and funeral expenses.
- (vii) In case of inaccessibility to the deceased's traditional burial grounds, the University may assist the next of kin/or legal representative to secure temporary burial grounds in Fort Portal or to transport the body to an alternative burial site as will be determined by the next of kin/legal representative. In the event that the deceased's burial grounds become accessible, the University shall only provide transport to the final place of burial

c) Notwithstanding (b) above, the University may prefer to use the services of a prequalified funeral service provider to provide the above services.

d) On matters relating to the estate of the deceased, the University shall only deal with the legal representative of the deceased as approved by the Administrator General or Court of law.

e) The University shall pay death gratuity and any other payment in accordance with the regulations to the legal representatives of the deceased subject to the production of letters of administration or letters of probate.

f) The University Council shall determine and review from time-to-time, the appropriate bereavement rates payable by the University on death of a staff member.

g) In the event of death of a registered spouse or natural or legally adopted child, the University will contribute not more than a sum of money determined by Council from time to time towards the burial expenses. This shall be limited to one legal spouse and four (4) biological or legally adopted children under 18 years in addition to transporting the body to the burial place within Uganda.



## 16.2 Death Gratuity

Death gratuity is a special form of assistance in addition to the University's contribution towards funeral expenses. It shall be a one-month consolidated salary and shall be payable to the registered spouse/next of kin immediately after the death of a member of staff as a 'one off' payment.

All University employees shall be accorded a safe and secure working environment in line with the Occupational Health and Safety Act 2006.

The University shall provide:

- a) A safe working environment;
- b) Systems of work, plant, and machinery that are safe and secure;
- c) Personal protective equipment (PPEs) where applicable;
- d) Ways to reduce hazards and risks to health;
- e) Training on employee safety; and
- f) Competent supervision and generally ensure that safe working practices are in place and enforced



## SECTION SEVENTEEN: TERMINATION OF SERVICE

### 17.1 General Provisions

Services of an employee shall be terminated under any of the following circumstances:

- a) Death of an employee
- b) Incapacity to continue in employment
- c) Resignation
- d) Retirement
- e) Expiry of Contract
- f) Redundancy
- g) Upon conviction and sentence of a criminal case e.g., fraud, murder, rape, corruption, safety, forgery, defilement, malicious damage to property, assault and/or battery, etc

### 17.2 Voluntary Termination

#### 17.2.1 Resignation

- i) An employee may resign from office by giving a duly written and signed resignation notice.
- ii) An employ who resigns from, or declines a leadership position at MMU without justified reasons, may not be considered for future leadership positions while in service at the University.
- iii) All notices of resignations (other than the Vice-Chancellor and the Deputy Vice-Chancellors whose resignation notices shall be addressed to the Chancellor through the Chairperson of Council), shall be addressed to the Director, Human Resource through their supervisors and forwarded to the appointing authority for consideration and appropriate decision.
- iv) An employee shall not resign while under investigation or suspension.
- v) The period of notice shall be three (3) months for Professors, Associate Professors, Deans, Managers, Senior Lecturers or equivalent and substantive Heads of Department or payment in lieu of notice.
- vi) For all other categories of employees, the required notice of resignation shall be one (1) month or payment in lieu of notice or as shall be indicated in their appointment letters.
- vii) The resignation of an employee shall not be accepted under the following circumstances:
  - a) where an employee has not served the bonding period;
  - b) where an employee has not fully handed over all University equipment/property; or
  - c) where an employee is under investigation..



- vii) Acceptance/rejection of resignation shall be communicated to the employee before the expiry of the resignation notice.
- viii) In the event that resignation is rejected, the grounds for refusal as well as the consequences shall be clearly stated in the letter to the employee
- ix) Any employee who feels aggrieved by the outcome of (vi) may appeal to the University Staff Tribunal.
- x) An employee whose resignation has been accepted by the appointing authority shall be entitled to terminal benefits as provided for under Section 18 of this manual less what may be due to the University and other parties.
- xi) An employee whose resignation has been rejected by the appointing authority for good cause but goes ahead to leave service shall be deemed to have absconded from duty

### **17.2.2 Early retirement**

An employee who is 55 years and above and has been in the University service for at least 10-years, shall be eligible for retirement and entitled to terminal benefits as provided for in Section 18.

## **17.3 Termination by the Employer**

### **a) Expiry of Contract**

- i) On expiry of the contract of the employee, the University may terminate the employment contract or re-engage the employee based on the initial provisions in the expired contract.
- ii) In case an employee on contract does not inform the appointing authority in writing of intentions to renew the contract, their contract shall be deemed to have lapsed upon its expiry
- iii) For contracts of four (4) years and above, application for renewal shall be forwarded to the appointing authority at least six (6) months before the expiry of the contract. For contracts between two (2) to three (3) years, submission of application for renewal shall be at least three (3) months before the expiry of the contract, and for contracts less than two (2) years submission of application for renewal shall be one (1) month before the expiry of the contract.

### **17.3.2 Re-engagement of retired staff**

Upon retirement, employees may be re-engaged on a contractual basis depending on the need, satisfactory health condition, and approval by the Appointments Board up to the age as indicated below:

- i) Administrative staff at Senior Administrative Level – 65 years;



- ii) Senior Lecturers- PhD –65 years;
- iii) Associate Professors 75 years; and
- iv) Professors 80 years.

### **c) Redundancy**

Termination by reason of redundancy shall be based on the following:

- i) When the University has ceased/intends to cease to carry on the activity for the purposes of which the employee was appointed or employed by the University or has ceased or intends to cease to carry on that activity in the place in which the employee concerned worked.
- ii) Where the requirements of that activity for the employee to carry out work of a particular kind have ceased/diminished or are expected to cease/diminish.
- iii) The procedures for termination on account of redundancy shall be as agreed upon with the relevant Workers' Union or as stipulated in the Employment Act in force

### **d) Termination due to natural causes**

- 1) Death

Refer to Section 17 of this Manual.

- 2) Incapacitation

- i) Incapacity due to illness

- If an employee is prevented by illness from carrying out their duties, the University Council may request the Medical Board to examine him/her.
- After considering the Medical Board's report, the Council shall decide whether or not to terminate the appointment, on medical grounds.

- ii) Incapacity due to other factors

If an employee is prevented by any other factor from carrying out his/her duties, the Council may decide to terminate the services of such employee, if it deems it fit.

### **e) Procedures to Terminate**

The procedures for termination shall be as laid out in the specific employment letter/ contract and in conformity with the Employment Act, of 2006 and any other relevant law.

### **f) Exit Interview**

Whenever feasible, the University shall conduct exit interviews, to get feedback for purposes of policy



review and any other changes considered necessary to promote better employee management practices.

#### **17.4 Certificate of Service**

An Officer of MMU upon retirement or termination of his/her appointment shall be provided with a certificate of service



## SECTION EIGHTEEN: TERMINAL BENEFITS

The University may operate terminal benefits schemes as shall be determined by Council from time to time.

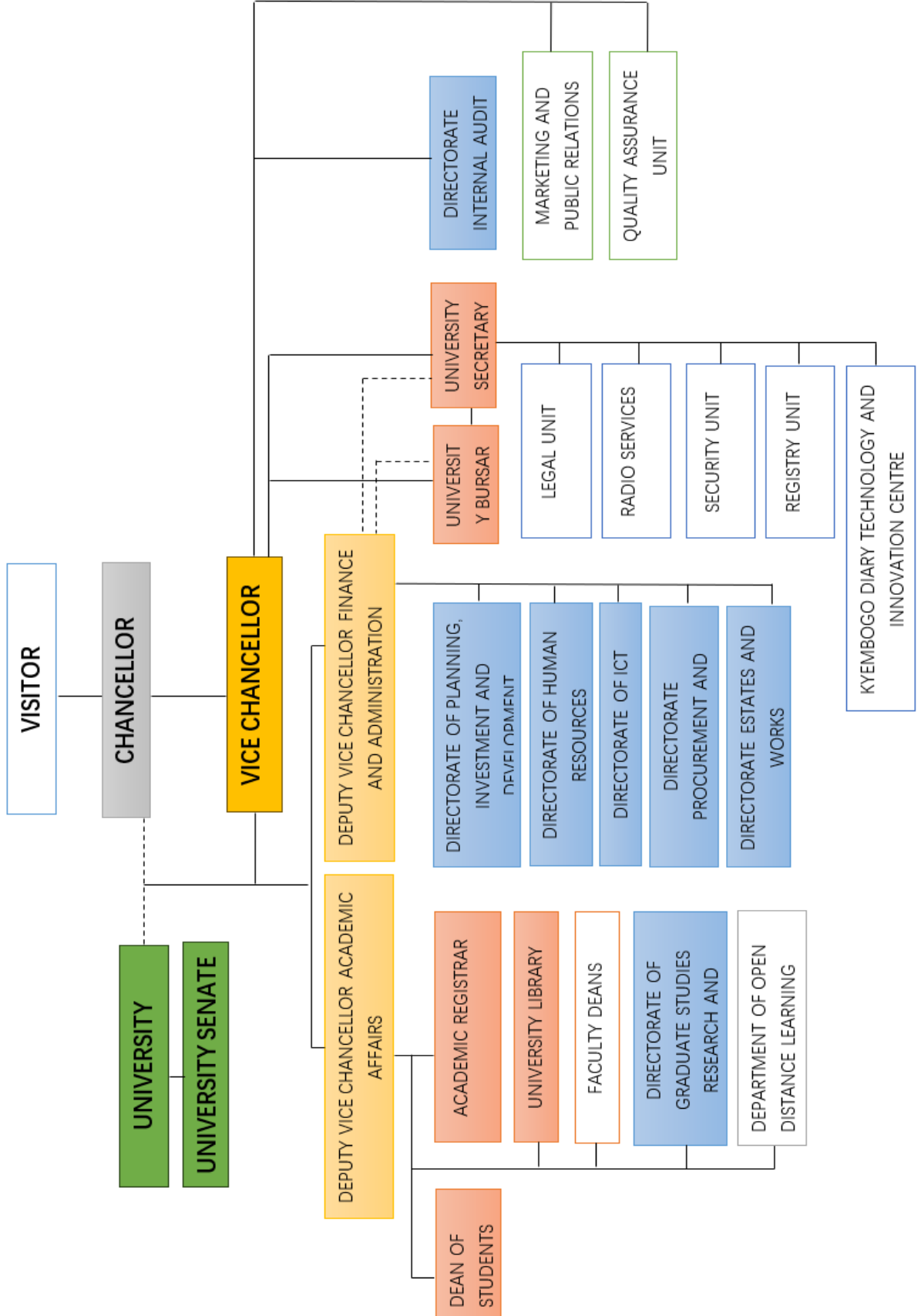
### 18 Contributory Schemes

- a) The University makes contributions to the National Social Security Fund (NSSF) for all University employees on permanent and contract terms of service.
- b) Employees who reach the age of 55 years may voluntarily continue to contribute to the NSSF by permitting the University to deduct 5% of their monthly salaries and the University shall contribute 10%.
- c) Employees who reach the age of 55 years shall indicate their willingness to voluntarily continue contributing to the NSSF by writing to the University Secretary indicating their willingness.

# APPENDICES

## Appendix 1: MMU Organogram

### MACRO STRUCTURE FOR MOUNTAINS OF THE MOON





## Appendix-2 Guidelines for Engagement of Volunteers



**MOUNTAINS OF THE MOON UNIVERSITY**

**OFFICE OF THE UNIVERSITY SECRETARY**

**GUIDELINES**

**FOR**

**ENGAGING VOLUNTEERS IN ADMINISTRATIVE/SUPPORT  
STAFF ACTIVITIES AT MMU**

*November 2024*

*Heights for Progress*



## 1.0. INTRODUCTION

### 1.1. Background

Mountains of the Moon University is cognizant of the need to engage volunteers in administrative and support-related activities to benefit both the Institution and the Volunteer. Section 2(2)(f) of the Human Resource Manual formally acknowledges volunteers as a distinct category within the organisation's employment structure. Although volunteers contribute their time and efforts without receiving traditional compensation, their inclusion in this manual underscores their valued role and their vital contributions to organisational goals and community impact. The Institution will engage volunteers under strict/close supervision by the assigned supervisor/head of the Unit to ensure that the duties being performed by the Volunteer add value to the Institution.

The operationalisation of the guidelines for the engagement of graduate volunteers will go a long way toward strengthening volunteers' capacity-building in key competencies, skills, and practices that simultaneously contribute to achieving the University mission.

The current policies, regulations, and guidelines do not provide for the engagement of volunteers in the university's administrative/support functions; hence, this guideline is needed.

### 1.2. Objectives

These guidelines aim to attract early career graduates (those who have recently finished their studies) into administrative and support functions at MMU under close supervision.

Specifically, the scheme is meant to:

- i. The guidelines' purpose is to enable individuals to grow their skills and talent pipelines and make themselves competitive in the job market.
- ii. To fill the void in occasionally pick activities MMU full-time staff cannot cope with.
- iii. Offer service to community members by enabling volunteers to be part of the esteemed MMU staff community for skills and talent development.



### 1.3. Scope

The scheme shall focus on posting administrative and support staff.

## 2.0 VOLUNTEER STAFF

### 2.1. Definition

*A volunteer is a person authorized to render voluntary services to the University for no pay in accordance with Section 2(2)(f) of the Human Resource Manual and these guidelines.*

A volunteer shall be admitted into an administrative/support unit and should have a relevant higher education qualification or lower, but not below an Ordinary Certificate of Education (UCE), and must be below 35 years of age.

### 2.2. Duration

- a) In accordance with Section 2(2)(f) of the Human Resource Manual, a volunteer's agreement shall be for a period of six months.
- b) Notwithstanding guideline 2(2)(a), in special circumstances, as determined by the University Secretary on the advice of the head of unit/supervisor of the volunteering person, a volunteer's agreement may be renewed after appraisal.
- c) A volunteer shall not be engaged for a period exceeding one (1) year.
- d) The appointment of a volunteer shall be on a rolling basis of six (6) months.

## 3.0 DUTIES AND RESPONSIBILITIES

- i. Volunteers shall be deemed to be professional trainees at the University.
- ii. Volunteers shall take on administrative and support duties at any department/faculty/unit in the University.
- iii. Volunteers shall not hold another job during the duration of the scheme.
- iv. Every Volunteer shall be assigned a departmental/faculty/admin-unit mentor at the beginning of the engagement scheme.
- v. The mentor/supervisor shall assist the Volunteer in developing a work program that will be approved by the head of the department.
- vi. Volunteers shall be appraised based on the approved training/work scope.



#### **4.0 OBLIGATIONS AND PRIVILEGES**

Volunteers shall be bound by all University regulations to the extent to which they shall apply to them.

#### **5.0 GOVERNANCE AND ADMINISTRATION**

The Office of the University Secretary shall manage the volunteer scheme, and each Volunteer will be supervised by the head of the department/unit or assigned senior staff.

#### **6.0 RECRUITMENT METHOD**

- a) The volunteer scheme at MMU is open to any interested person who meets the requirements to serve in such a posting and also falls within the Unit's needs.
- b) Any interested person can apply to the head of the Unit, who will express the need for the University Management to engage such a person.
- c) The officer fronting the need should not bear any conflict of interest or unfair treatment and should exhibit transparency and a high degree of integrity.
- d) The University's Top Management will handle the selection of volunteers on recommendation by the Chief Human Resource.
- e) The University's Top Management shall conduct a reference check for all applicants.

#### **7 VOLUNTEER AGREEMENT**

- a) Volunteers will receive a volunteer agreement containing the role description, information about their chosen area of work, the University's responsibilities and the Volunteer's responsibilities.
- b) A person shall not be engaged as a volunteer without a volunteer agreement.

#### **8 INDUCTION**

- a) A volunteer shall be inducted and receive training appropriate to the specific tasks to be undertaken.
- b) It shall be the responsibility of the Unit under which a volunteer is posted to induct and train the Volunteer in consultation with the Department of Human Resources.



- c) A volunteer shall consciously subscribe to the Code of Conduct and Ethics of MMU by swearing the Official Oath and the Oath of Secrecy prescribed in the Human Resource Manual before undertaking any responsibility with the University.

## **9 RECORDS**

- a) A record of all volunteers shall be maintained by the Department of Human Resource.
- b) The record will include, but not be limited to, agreements, references, placement details, contact of a next of kin, correspondence and any other relevant information.
- c) The record of volunteers will be treated with the same confidentiality as any other record of the University.

## **10 EXPENSES**

- a) A Volunteer is not entitled to remuneration for services offered.
- b) A volunteer may receive reasonable reimbursement of reasonable expenses associated with volunteering at MMU.
- c) The reimbursement may cover expenses including but not limited to travel costs, out-of-pocket expenses, meals, and airtime.
- d) The reimbursement of expenses, if any (based on availability of funds), will be paid as a consolidated monthly stipend not exceeding-
  - (i) 300,000/= for a volunteer with qualifications of a Bachelor's degree or above and.
  - (ii) 200,000/= for a volunteer with only a diploma qualification and below.

## **11. IDENTIFICATION**

- a) Volunteers shall be issued with an identification card, which they must wear at all times while on university premises.
- b) The Chief Human Resource shall be responsible for ensuring that all volunteers are issued with an identification card.
- c) A supervisor of a volunteer shall ensure that at all times, a volunteer is properly identified as such while executing work of the University.



## **12 FINANCIAL IMPLICATION**

- a) Volunteers' expenses shall be met out of the responsible university unit's budget for administrative/support tasks.
- b) The budget for a volunteer staff must be appropriated/ascertained before engaging a volunteer.
- c) The Volunteers' expenses will be paid based on the availability of funds.

## **13 HEALTH AND SAFETY**

- a) A volunteer will observe all the health and safety regulations at MMU.
- b) A volunteer will have a right to access the University Clinic for emergency services.

## **14 COMPLAINT PROCEDURES**

- a) A volunteer may report any grievance to the Chief Human Resource, who shall record it and forward it to the University Secretary for resolution.
- b) Any person may report a complaint against a volunteer to the Chief of Human Resource who will forward the complaint to the University Secretary for resolution.

## **15 TERMINATION OF A VOLUNTEER AGREEMENT**

- a) A volunteer agreement is based on good faith, trust and confidence.
- b) The Volunteer or the University should act in good faith while terminating the volunteer agreement.
- c) The University and Volunteer reserve the right to terminate the volunteer agreement without any legal consequence.
- d) The party initiating the termination should give at least seven (7) days' notice of termination of the volunteer agreement.
- e) The University Secretary may authorize the giving of a reference to a volunteer or former Volunteer, where appropriate.

## **16 REVIEW**

These guidelines for engaging volunteers will be reviewed from time to time as the need arises.



## Appendixn-3 Guidelines For Appointing Professor Emeritus

### MOUNTAINS OF THE MOON UNIVERSITY (MMU)

#### GUIDELINES FOR APPOINTING PROFESSOR EMERITUS AT MMU

##### 1. The Rationale for the Guidelines of Appointing Professor Emeritus at MMU

The Guidelines for appointing a Professor Emeritus are in reference to clause 2.2 a, ii of the Mountains of the Moon University Human Resource Manual 2022. To operationalize this, these Guidelines serve as a set of recommended or prescribed actions or standards that provide the framework for decision-making when appointing applicants for the position of Professor Emeritus.

##### 2. Introduction

The title of "Professor Emeritus" is an honorary designation bestowed upon retired Professors who will have made significant contributions to their field of expertise relevant to MMU. It is a title that is taken very seriously and one that, recognizes the value an individual has earned due to their record of teaching, research, and community service.

##### 3. Purpose of Appointing Professor Emeritus

The purpose of appointing Professor Emeritus/ Emerita is to mainly attract an academic who has attained his or her mandatory retirement age. The importance of the title of Professor Emeritus lies in several key aspects, such as to: -

- a) Recognize and appreciate the distinguished academic career and accomplishments of a retired professor.
- b) Serve as mentors and advisors to younger faculty members, graduate students, and researchers.
- c) Enable retired professors to continue their research and scholarly pursuits.
- d) Contribute to teaching and curriculum development. They can offer specialized courses, lectures, or participate in curriculum review and enhancement processes.
- e) contribute financially to scholarships, research funds, or other initiatives, helping to advance the institution's mission and support the next generation of scholars.

##### 4. Functions of Professors Emeriti

Some of the functions that Professors Emeriti will fulfill at MMU include to: -



- a) Provide mentorship and advice to junior faculty members, graduate students, and early-career researchers to attend international conferences. They draw upon their extensive experience and expertise to guide and support the development of these individuals at MMU.
- b) Continue their research and scholarly activities, collaborating with current faculty members. They may have access to institutional resources, such as library databases, research facilities, offices, which allow them to stay engaged in their field.
- c) Continue to teach courses or deliver lectures on specialized topics. They bring their wealth of knowledge and experience to the classroom, enriching the learning experience of students and providing unique perspectives.
- d) contribute to the institution's reputation and visibility by sharing their research findings, participating in scholarly discussions, and networking with colleagues in their field.
- e) Engage with the broader community through public lectures, outreach programs, or collaborations with external organizations. They can share their expertise and contribute to the dissemination of knowledge beyond the academic community.
- f) Continue to support MMU. They may make financial contributions to scholarships, research funds, or other initiatives, helping to advance the institution's mission and support its ongoing activities.
- g) Serve as repositories of institutional memory and wisdom. They can provide valuable insights and historical context, particularly during times of transition or when faced with challenges that require knowledge of past practices and experiences.

## **5. Eligibility for appointment as Professor Emeritus**

- a) Applicants over the age of 70 will be eligible.
- b) To be considered for the appointment of Professor Emeritus/Emerita, the applicant must have retired from regular continuous employment and hold the title of Professor at the time of retirement in a university. In exceptional cases, such as when a Professor resigns to take up a distinguished public position, they may be eligible for consideration after ceasing active service.
- c) Applicants being considered for the title will have ten (10) years of uninterrupted service as academic employees with a university or research institution.



- d) Applicants who have had breaks in service may be considered for appointment as Professor Emeritus/Emerita if they have had a continuous association with a university or research institution during the period of the break.
- e) Appointment to the position of Professor Emeritus/Emerita will be initiated by the applicant through the relevant Faculty Board.
- f) No Faculty will have more than two (2) Professor Emeritus/Emerita.

## **6. Criteria for Appointment of Professor Emeritus**

- a) The Professor Emeritus/Emerita appointee will have continued to meet the expectations for a Professor at Mountains of the Moon University through to the time of their retirement including: -
  - i) showing leadership in fostering excellence in research, professional practice, teaching, and service
  - ii) having an outstanding record of scholarly and professional achievement in their relevant discipline area and/or profession
  - iii) making a significant contribution to the wider community (locally, nationally, and internationally) in a manner consistent with the sphere of influence of their academic discipline
  - iv) having the respect and esteem of their colleagues within the University and their discipline
  - v) contributing to the life of the University with distinction.
- b) Having acceptable standards of behaviour including but not limited to being transparent, accountable, positive attitude, respect, integrity
- c) When considering the appointment of the title, the decision-makers will consider whether the evidence provided meets the above criteria.

## **7. Procedure for appointment of Professor Emeritus**

- a) The potential candidate for Professor Emeritus must apply for appointment to the Appointments Board through the respective Faculty Board.
- b) The application must include: -
  - i) The name and current address of the candidate.
  - ii) A National Identity Card for Ugandan Nationals or a valid work permit for foreigners.
  - iii) Detailed curriculum vitae and other supporting/relevant documents.
  - iv) Pertinent references, articles/names.
  - v) A motivational statement outlining why the applicant should be considered for the title of Professor Emeritus/Emerita.



- c) The Appointments Board will appoint the Professor Emeritus and inform the University Council of the appointment.

## **8. Entitlements and responsibilities**

- a) Professor Emeritus/Emerita will be appointed on renewable three (3) year Contracts, subject to performance review.
- b) The University provides to Professors Emeritus/Emerita ongoing use of the University Staff username and ID card, and in association:
- i. Use of the MMU email account by the Professor Emeritus/Emerita
  - ii. Library services
  - iii. access to the University travel insurance scheme (if any)
  - iv. access to other facilities of the University.
- c) Guaranteed office and laboratory space
- d) Professor Emeritus/Emerita are expected to comply with all University policies and regulations that apply to their ongoing association with the University.
- e) Professor Emeritus/Emerita is expected to attract grants to MMU totalling not less than USD (\$) 50,000 over three (3) years of appointment.
- f) The Faculty/Department is responsible for ensuring that Professor Emeritus/Emerita are informed of the University policy changes that may affect them.
- g) The Faculty/Department may provide facilities and support to Professor Emeritus/Emerita where appropriate.
- h) Professor Emeritus/Emerita is listed in the University Almanac.
- i) On any ceremonial or official occasion Professor Emeritus/Emerita rank in precedence before Professors in the University but after holders of honorary degrees of the University.
- j) The Council of the University retains the right, at its discretion, to withdraw the award of this title of Professor Emeritus/Emerita if it considers that the individual is not acting in the spirit of the appointment or brings the University into disrepute.



## Appendix FOUR GUIDELINES ON HEADHUNTING OF STAFF AT MOUNTAINS OF THE MOON UNIVERSITY



### MOUNTAINS OF THE MOON UNIVERSITY APPOINTMENTS BOARD

#### GUIDELINES ON HEADHUNTING OF STAFF

*The Guidelines of Headhunting are in reference to clause 2.4 vi of the Mountains of the Moon University Human Resource Manual 2022.*

#### 1. Background

Headhunting refers to the process of identifying and targeting suitably qualified and experienced employees for specific roles of significant importance and the employees are willing to leave their present job. Headhunting is the process of finding the best possible candidates by targeting those who are not actively seeking a new role, but match Mountains of the Moon University's (MMU) requirements. It is usually more suitable for hard-to-fill positions as it involves a much more targeted focus.

The recruitment of staff, especially academic staff is a central aspect of MMU, a vital instrument for management, and a pertinent issue in research in higher education. Headhunting, therefore, provides the opportunity for Management to primarily approach individuals direct rather than through advertising. It must however be noted that headhunted candidates are still subjected to interviews by the Appointments Board and can either be accepted or rejected subject to the outcome of the said interviews and/or positive due diligence.

1.1. Headhunting allows the Appointments Board to: -

- a. Attract qualified passive candidates that otherwise may not have applied for a role
- b. Target the top talent within their sector
- c. Research and target the most relevant individuals and work to create a short list of candidates.
- d. The candidate should not have been shortlisted or applied for the advertised job (unless they fulfill job requirements later).



## **2. Process of Headhunting**

The Appointments Board will delegate Management to: -

a. Create the Justification/ Brief

Start the process by generating a Justification/ Brief on the need to headhunt candidates for specific positions therein explaining what the University is looking for. The Justification/ Brief by Management will run through minimum qualifications, skills, experience, and any other specific factors that would need to be considered. The Job Description is often created to help guide the headhunting effort and to share with any potential candidates that are identified.

b. Identification of Candidates

Management and Council members will perform a detailed search to identify potential candidates who would fit the job description. Management will create a profile of suitable candidates and may also gather candidates from active job seekers at the same time. Management may directly engage with the candidates to further qualify them for the shortlist.

## **3. Selection of Candidate**

i) Set Up Interviews

Once the list of potential candidates has been created, the profiles of candidates are presented to the Appointments Board for approval and initial screening before candidates are invited for the interview process.

ii) Make an Offer of Appointment

Once the internal interview process has been followed and the best candidate decided on, the Appointments Board or University Council will proceed to make an offer after the due process. Appointment into the service of Mountains of the Moon University shall be in accordance with the Mountains of the Moon University Human Resource Manual 2022, and the Universities and Other Tertiary Institutions Act, 2001 as amended.



## Appendix-5 Approved MMU Guidelines for the Election of Faculty Deans and HoDs 2024



### MOUNTAINS OF THE MOON UNIVERSITY

#### GUIDELINES FOR THE ELECTIONS AND APPOINTMENT OF FACULTY DEANS/DIRECTORS AND HEADS OF DEPARTMENTS OF ACADEMIC UNITS

##### 1.BACKGROUND

These guidelines shall provide direction and ensure consistency across Faculties/Institutes in the election and appointment of Deans/Directors and Heads of Departments of Academic Units at Mountains of the Moon University.

##### 2.LEGAL FRAMEWORK

- a. Universities and Other Tertiary Institutions Act, 2001 (As amended 2003, 2006). [UOTIA] Section 53 provides for election of Deans/Directors, their roles and responsibilities, whereas section 54 provides for the elections of Heads of Departments.
  - i. For the avoidance of doubt, a Dean or Director of a faculty, institute, college or other academic body, shall be elected by its academic staff from among its senior members of the academic staff in accordance with the procedures proposed by the Senate and approved by the University Council.
  - ii. The Dean or Director shall be responsible for the general supervision and administration of the affairs of the faculty, institute, college or other academic body and as such shall be responsible for the promotion and maintenance of efficient teaching and research in the relevant body.
- b. Section 2.4 (c) (iv) of the Human Resource Manual (2022) of Mountains of the Moon University, emphasizes the process of getting the Faculty Deans and Heads of Academic Departments.

##### 3.ELIGIBILITY CRITERIA FOR BEING NOMINATED AS A CANDIDATE

###### 3.1 Dean/Director

An individual eligible for election and appointment as Dean/Director of an academic unit is expected to meet the following qualifications: -

- i) Must be a full-time member of the academic staff of the Directorate/Faculty/Institute.
- ii) Must be a senior member of the academic staff of the Directorate/Faculty/Institute at the minimum rank of Senior Lecturer, with a PhD except the clinical disciplines indicated in the Human Resource Manual (2022) section 6.
- iii) Must not be on postdoc study or sabbatical leave
- iv) Must have a proven record of performance as measured from the last three annual appraisals where applicable and integrity as provided for in the HR Manual (2022) section 5.
- v) Must not be undergoing disciplinary proceedings as prescribed in the Human Resource Manual (2022) section 5.9.



- vi) Should be able to serve the entire term, before retirement

### 3.2 Head of Department

An individual eligible for election and appointment as Head of Department of an academic unit is expected to meet the following qualifications:

- i) Must be a full-time member of the Academic Staff of the Faculty/Institute.
- ii) Must be at the minimum rank of Senior Lecturer, with a PhD except, the clinical disciplines indicated in the Human Resource Manual (2022) section 6.
- iii) Must not be on postdoc study or sabbatical leave
- iv) Must have a proven record of performance as measured from the last three annual appraisals where applicable and integrity as provided for in the HR Manual (2022) section 5.
- v) Must not be undergoing disciplinary proceedings as prescribed in the Human Resource Manual (2022) section 5.9.
- vi) Should be able to serve the entire term, before retirement

### 3.3 Elections

- a) Announcement of Elections

The Academic Registrar shall inform all academic Staff by internal memo of the position that must be filled through elections; at least one week to the nomination date.

- b) Voters' Register

- i) A Voters' Register consisting of all the names of the academic staff eligible to vote at a specific election shall be prepared in advance, be validated by the Deputy Chief Human Resources and displayed for a period of one week.
- ii) Only full-time academic staff, Honorary and Visiting Lecturers of the Faculty/Institute shall be eligible to vote.
- iii) Honorary and Visiting Lecturers are eligible to vote but shall not be nominated as candidates for the positions.

- c) Nominations

- i) The Academic Registrar shall issue a notice appointing two working days during which nomination of candidates shall take place.
- ii) Nomination forms shall be obtained from the Office of the Academic Registrar.
- iii) A candidate is required to be nominated by two full-time academic staff of the Faculty/Institute.
- iv) The candidate and the two (2) persons nominating him/her must show proof of work ID and their status of employment
- v) A nomination help desk with vetting officers checking compliance and attending to complaints from nominees shall be put in a central location to receive the duly filled and signed nomination forms within the stipulated/gazetted period.
- vi) The help desk/vetting officer(s) will issue an acknowledgement signed by the Academic Registrar for the received nomination forms.



- d) Declaration of Nominated Candidates
- i) The nominated candidates will be presented to Top University Management (TUM) for performance and integrity checks.
  - ii) The Academic Registrar will declare candidates duly nominated for election to the position of Dean/Director or Head of Department of the respective Faculty/Institute within five (5) working days after closure of nominations.
- e) Campaigns
- After the closure of the nomination period and display of nominated candidates, candidates may canvass for support for election as Dean/Director or Head of Department for a period of not more than **three (3) working days**.
- f) Voting
- i) Voting will be by secret ballot. E-voting may be allowed upon development and approval of the procedure for e-voting.
  - ii) **Voting will take place one (1) day after the closure of campaigns.** iii) Ballot papers will be issued by the Office of the Academic Registrar. iv) Voting shall start at 9.00 a.m. and end at 4.00 p.m.
  - v) Each polling station at the Faculty/Institute shall have a Presiding Officer and where necessary a Polling Assistant appointed by the Academic Registrar. vi) Each candidate may appoint one Polling Agent to oversee the conduct of polling and vote counting.
  - vii) Votes cast shall be counted and tallied by the Presiding Officer immediately after closing the voting and the results declared. The agent(s) will receive a copy of the declaration form with acknowledgement.

## 5. APPOINTMENT OF ELECTED CANDIDATES

- a. The elected candidates shall be presented to TUM for recommendation to Appointments Board for appointment; to hold office for four years and shall be eligible for re-election for one more consecutive term as provided for in sections 53 (3) and 54 (4) of UOTIA 20001 as amended).
- b. Where there is no qualifying candidate for the Post of Dean/Director, the Deputy Vice Chancellor (Academic Affairs) will bring to the attention of TUM to write to Appointments Board to consider and approve the appointment of a Dean in Acting capacity for a period not exceeding two years. The Vice Chancellor shall then effect the appointment.
- c. In the case of no qualifying candidate for the post of Head of Department, the Dean in consultation with the department staff shall nominate an academic member of staff to be appointed by the Vice Chancellor for a period of one year.

## 6. REMOVAL AND ABSENCE OF DEAN OR HEAD OF DEPARTMENT FROM OFFICE

- a. The Dean or Head of Department may be removed from office, on grounds of misconduct or inability to perform the functions of the office, as provided for in sections 53 (5) and 54 (5) of UOTIA and MMU Human Resource Manual (2022) Sec 5.9.
- b. A Dean or Head of Department may leave office voluntarily through resignation by writing to the Vice Chancellor and giving a minimum of three (3) months' notice. The



resignation shall be submitted to the Appointments Board for consideration/approval and the position shall be declared vacant.

- c. In absence of a Dean from office on disciplinary grounds, the Deputy Vice Chancellor (DVC) (AA) shall choose from among Heads of Departments a person to be appointed in acting position by the Vice Chancellor. In case of a Head of Department, the staff will recommend to the DVC (AA) through the Faculty Board one staff to be appointed in acting position by the Vice Chancellor.
- d. For the routine absence from office like annual leave or travel, the Dean will nominate in writing a Head of Department to act subject to approval by DVC (AA).

## 7. APPEALS

- a. If a member of staff is dissatisfied with the outcome of the elections, he/she may appeal in writing to the Deputy Vice Chancellor (Academic Affairs), who will constitute a review committee of minimum of three (3) persons who had not directly participated in the election process to look into the matter and report back. The final outcome of the review will be communicated to the aggrieved person(s).
- b. The appellant must submit his/her written appeal to the DVC (AA), including supporting documents in not more than three (3) working days from the date on which the results are declared.

## 8. REVIEW

The Guidelines for Election and Appointment of Deans/Directors and Heads of Departments of Academic Units shall be applied in conjunction with other existing National and University regulations and policies and shall be reviewed from time to time as the Senate may recommend to Council.

## 9. APPROVAL

The Guidelines for Election and Appointment of Deans/Directors and Heads of Departments of Academic Units are approved by the Mountains of the Moon University Council on this 30<sup>th</sup> day of August 2024.

Signed:

Eng. Dr. Ben Manyindo  
**Chairperson University Council**

Effective Commencement date: **2<sup>nd</sup> September 2024**



# Appendices

## Appendix A: Nomination form for the Dean

### ELECTION OF DEAN/DIRECTOR

(As provided for by Secs. 53(1) and 54 (1, 3) of the Universities and Other Tertiary Institutions' Act, 2001 as amended)

### NOMINATION FORM

**a) Eligibility for Nomination for post of Dean/Director**

- b) Must be a full-time member of the academic staff of the Directorate/Faculty/Institute.
- c) Must be a senior member of the academic staff of the Directorate/Faculty/Institute at the minimum rank of Senior Lecturer, with a PhD except the clinical disciplines indicated in the Human Resource Manual (2022) section 6.
- d) Must not be on postdoc study or sabbatical leave
- e) Must have a proven record of performance as measured from the last three annual appraisals where applicable and integrity as provided for in the HR Manual (2022) section 5.
- f) Must not be undergoing disciplinary proceedings as prescribed in the Human Resource Manual (2022) section 5.9.
- g) Should be able to serve the entire term, before retirement

**h) Nomination for the Post of Dean/Director**

I have understood the above conditions and accordingly have the pleasure to nominate

Name: \_\_\_\_\_ Rank \_\_\_\_\_ for the position of Dean in the Faculty of \_\_\_\_\_

_____	_____	_____	_____
Name of Nominator	Rank	Sign	Date

Seconded by:

(1) Name \_\_\_\_\_ Rank \_\_\_\_\_ Sign \_\_\_\_\_ Date \_\_\_\_\_

(2) Name \_\_\_\_\_ Rank \_\_\_\_\_ Sign \_\_\_\_\_ Date \_\_\_\_\_

**i) Acceptance of Nomination**

I, \_\_\_\_\_ hereby accept the nomination as

Dean Faculty of \_\_\_\_\_

Rank \_\_\_\_\_ Sign \_\_\_\_\_ Date \_\_\_\_\_



This form should be returned to the office of the Academic Registrar by the Nominator.

**Appendix B: Nomination form for the Head of Department**

**ELECTION OF HEAD OF DEPARTMENT**

**(As provided for by Secs. 53(1) and 54 (1, 3) of the Universities and Other Tertiary Institutions Act, 2001 as amended)**

**NOMINATION FORM**

**a) Eligibility for Nomination for the post of Head of Department**

- b) Must be a full-time member of the Academic Staff of the Faculty/Institute.
- c) Must be at the minimum rank of Senior Lecturer, with a PhD except, the clinical disciplines indicated in the Human Resource Manual (2022) section 6.
- d) Must not be on postdoc study or sabbatical leave
- e) Must have a proven record of performance as measured from the last three annual appraisals where applicable and integrity as provided for in the HR Manual (2022) section 5.
- f) Must not be undergoing disciplinary proceedings as prescribed in the Human Resource Manual (2022) section 5.9.
- g) Should be able to serve the entire term, before retirement

**h) Nomination for the Post of Head of Department**

I have understood the above conditions and accordingly have the pleasure to nominate

Name: \_\_\_\_\_ Rank \_\_\_\_\_ for the position of Head Department of \_\_\_\_\_

\_\_\_\_\_  
Name of Nominator                      Rank                      Sign                      Date

Seconded by:

(1) Name \_\_\_\_\_ Rank \_\_\_\_\_ Sign \_\_\_\_\_ Date \_\_\_\_\_

(2) Name \_\_\_\_\_ Rank \_\_\_\_\_ Sign \_\_\_\_\_ Date \_\_\_\_\_

**i) Acceptance of Nomination**

I, \_\_\_\_\_ hereby accept the nomination as

Head Department of \_\_\_\_\_

Rank \_\_\_\_\_ Sign \_\_\_\_\_ Date \_\_\_\_\_

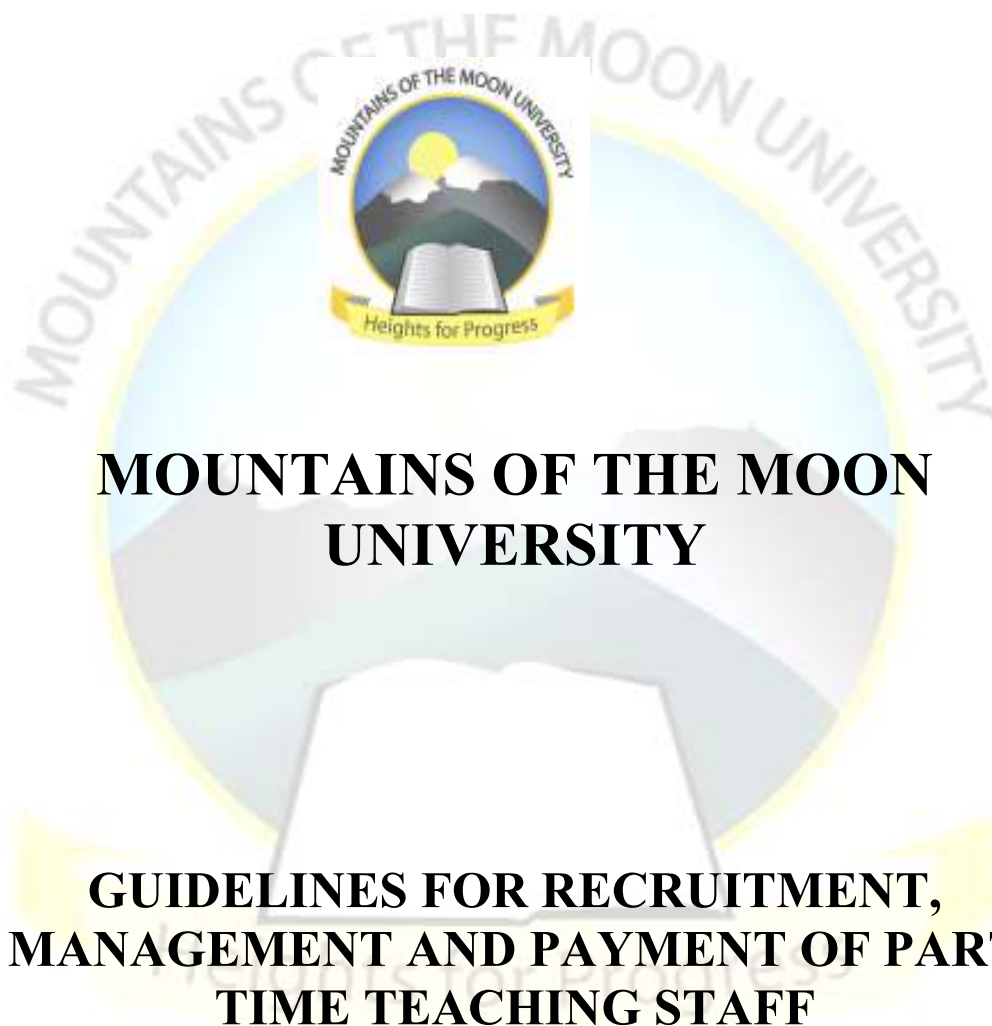


This form should be returned to the office of the Academic Registrar by the Nominator.



## **Appendix-6 GUIDELINES ON RECRUITMENT AND PAYMENT OF OF PARTTIME STAFF AT MMU**

# **MOUNTAINS OF THE MOON UNIVERSITY**





## 1.0 Preamble

1.1 This guideline on recruitment, management, and payment of part-time teaching staff aims to streamline the operations of part-time teaching staff in order to attain quality services from the contracted part-time teaching, with the required expertise at Mountains of the Moon University. Secondly, the guidelines comply with Section 2 para 2.2(c) of the Human Resource Manual, which stipulates that the appointment of Part-time staff shall be facilitated by the guidelines approved by the Council.

## 2.0 Justification

2.1 Over time, several assessments on human resource requirements in higher education management have indicated a gap between the number of teaching staff recruited and the actual human resource requirements under various institutions. As a mitigating measure to address the gap, Mountains of the Moon University (MMU) has introduced Part-time teaching staff to improve the quality of teaching, research, and community outreach as the institution strives to develop a full staff capacity.

2.2 However, the MMU has experienced challenges in the effective management of the Part-time cadre, especially in the timely issuance of employment contracts, timely payment of remunerations, and appraisal mechanisms.

## 3.0 Definition of a Part-time Teaching Staff

5.1 A Part-time teaching staff is an officer contracted by the University to fill a gap in teaching that arises after all full-time academic staff have been allocated a standard teaching load, within the recommended minimum and maximum teaching load of 15 hours and 20 hours per week, respectively, leaving an excess teaching load.

5.2 The appointment of Part-time teaching staff, is possible for all academic titles provided the excess teaching load requires such a level of qualification, and there is a budget provision for the same.

5.3 The Part-time teaching staff shall be in two categories, as described below:

- i) **Category 1 - Regular Part time teaching staff.** The Regular Part-time teaching staff are recruited to handle lectures for students admitted as per the semester system, which includes the students programmed to access lectures during official working days (Day students) or over the weekend (Weekend students);
- ii) **Category 2 – In-Service Part-time teaching staff.** In-service Part-time teaching staff are contracted to handle lectures for students admitted to

study for a specific period, within their duration for the Course Programme. For example, teachers undertaking a Bachelor in Education or Diploma in Education who undertake lectures and the related course units during the school holiday period.

#### **4.0 Purpose of this Guideline**

4.1 The overall purpose of this guideline, therefore, is to:

- i) Streamline the process of recruitment, issuance of contracts, payment and assessment of Part-time teaching staff in the University;
- ii) Document the roles and responsibilities of a Part time teaching staff, as well as offices involved in the management of the Part-time teaching staff in the University;
- iii) Guide on the number of equivalent vacant positions under the approved University Staff structure that are occupied by Part-time teaching staff. This is intended to inform Management on the choices of priority vacant positions for inclusion in the recruitment plan.

#### **5.0 Structure of the guideline**

5.1 This guideline is structured into seven (7) major parts as follows:

- i) Part One (1) – Identification and confirmation of positions for filling by Part time staff;
- ii) Part two (2) – Qualifications for Part time staff;
- iii) Part three (3) – Recruitment of Part time Staff;
- iv) Part four (4) – Roles and responsibilities (Schedule of duties) for Part time staff;
- v) Payment modalities for Part time staff; and
- vi) Renewal and/or termination of contracts for Part time staff.
- vii) Revision of the guidelines

#### **6.0 Part One (1) – Identification of positions for filling by Part-time teaching staff.**

6.1 The process for identification of positions to be filled by Part-time teaching staff shall involve the following five (5) steps:

3



- i) **Step 1 – Allocation of teaching load:** The Head of Department (HoD) shall:
  - a) allocate the semester course load for the academic programmes and course units attached to the department to all full-time teaching staff in line with the minimum and maximum teaching load of 15 hours and 20 hours respectively.
  - b) Identify the excess teaching load and the corresponding course units;
  - c) Estimate the need for additional staffing in form of Part-time teaching staff.
- ii) **Step 2 – Clearance by Departmental Boards:** After clearance by the Departmental Board, a Head of Department shall submit a written request to the Faculty Dean clearly stating:
  - a) The semester load for each full-time teaching staff;
  - b) Extra load that requires additional teaching staff (Part -time staff) and the corresponding course units under a specified academic programme; and
  - c) The required additional staffing in form of Part-time teaching staff and the corresponding position under the approved staff establishment that relates to the proposed Part time teaching staff.
- iii) **Step 3 - Approval by the Faculty Board:** Upon receipt of the submission by the HoD, the Faculty Dean shall:
  - a) Confirm that the required additional Part-time teaching staff have been budgeted for within the ensuing budget for the relevant financial year.
  - b) Submit the requests by HoDs for additional Part-time teaching staff to the Faculty Board for consideration and clearance.
  - c) Submit the recommended Part-time teaching staff by the Faculty Board to the Deputy Vice Chancellor Academic Affairs for consideration.
- iv) **Step 5 – Top University Management (TUM):** The Deputy Vice Chancellor (Academic Affairs) shall submit the proposed list of Part-time teaching staff to the Vice Chancellor, who upon consultation with the Top



University Management, shall authorize the appointments, thereafter, reporting the same to the Appointments Board for noting.

## **7.0 Part two (2) – Qualifications for Part-time staff and conditions for access:**

7.1 The qualifications for Part-time staff shall be guided by the University's standards which requires:

- i) A Faculty member teaching undergraduate degree courses and Diploma must have a minimum of a master's degree in the teaching discipline with a second-class upper bachelor's degree.
- ii) A Faculty member teaching graduate degree courses must have a minimum of PhD degree in the teaching discipline or a Master's Degree, but on PhD track.
- iii) The applicant must have a clear career path (first degree linking to the second, till PhD level) in the area of specialization in his/her qualifications.
- iv) Staff who served as part-time staff in the previous semesters must be appraised before being considered.

## **8.0 Part three (3) – Recruitment of Part time Staff.**

8.1 Section 50(3) of the Universities and other Tertiary Institutions Act, 2001 (as amended) provides for the Appointments Board to be responsible to the University Council for the appointment, promotion, removal from service and discipline of all officers and staff of the academic and administrative service of the University. Therefore, the process of recruitment to fill positions for Part-time teaching staff shall commence after approval by the Appointments Board.

8.2 The Head Human Resource Management will run a central advert for all the required Part-time teaching staff, in line with the requirements or specialties and the minimum qualifications as Appointments Board may have considered.

8.3 Part-timer staff shall be engaged on the available workload per semester.

8.4 The University Secretary/Accounting Officer shall issue contracts to the successful Part-time teaching staff.

8.5 The overall target is to ensure that Part-time teaching staff access their contracts before the commencement of an academic Semester or year. The confirmation of the number of academic programmes, the allocation of teaching loads to full time staff and the need for Part-time teaching staff, shall be handled as



part of the budget preparations for the financial year under which such an Academic year relates.

**9.0 Part four (4) – Roles and responsibilities (Schedule of duties) for Part-time teaching staff:**

9.1 The office of the Head Human Resource Management shall be in charged with the responsibility of coordinating the overall implementation of this guideline.

9.2 The key roles for a Part-time teaching staff shall include the following:

- i) Undertaking research as part of the preparations for teaching;
- ii) Deliver lectures and tutorials and evaluation of graduates and undergraduate students' performance;
- iii) Setting examinations and coursework according to the University standards;
- iv) Administering and invigilating tests, coursework and examinations according to University standards;
- v) Attending to students' inquiries and academic issues;
- vi) Marking tests, coursework, and examination scripts and compiling results according to the approved grading standards of the University; and
- vii) Submitting the student marks and ensuring that the marks are recorded in accordance with the procedures and standards that may have been issued by the University.

9.3 Part-time teaching staff shall be expected to adhere to the University's staff code of conduct, Human Resource Manual, as well as other laws and regulations governing the teaching and learning at the University.

**10.0 Part five (5) - Payment modalities for Part-time teaching staff.**

10.1 The budget for payment of Part-time teaching staff shall not form part of the University wage bill. The Part-time teaching shall be paid allowances at rates that may have been approved by the University Council from time-to-time;

10.2 The mode and schedule of payment for the Part-time teaching staff, shall be effected in accordance with the terms and conditions specified under their respective contracts;

10.3 It is the responsibility of a Part-time staff to initiate the payment process, on a timely basis, to the Head of Department, by filling in the claim form and providing the necessary documentation to show proof of his/her claim. These documents include:

- i. Fully filled in the claim form and endorsed by the relevant officers;



- ii. Class attendance lists, time sheets;
- iii. Extract of the daily attendance register pertaining to the Part-time staff.
- iv. Copy of the appointment letter, where appropriate.

10.4 Each Part-time teaching staff shall be answerable and held accountable to the terms and conditions specified under the contract he/she will have signed with the University. Therefore, the payment for a Part-time teaching staff, shall not be constrained by the delay in submission of the payment claims of another Part-time teaching staff.

#### **11.0 Part six (6) - Renewal and/or termination of contracts for Part time staff.**

11.1 Employees seeking renewal of their contracts shall apply to the appointing authority, in writing, indicating reasons why their contracts should be renewed within a period of not less than one (1) month or within such a period as may have been specified under the contract.

11.2 Renewal of a contract for appointments as a Part-time teaching staff, shall depend on the availability of the teaching load for the relevant course units and satisfactory appraisal of the affected Part-time staff;

11.3 Termination of the contract for a Part-time teaching staff shall, be guided by the provisions under the University Human Resource Manual.

#### **12.0 Revision of the Guidelines**

12.1 The guidelines shall come into force with effect from being approved and signed by the University Council.

12.2 The guidelines shall be reviewed and/or revised:

- i) within five (5) years or from time to time as the need arises as a measure to ensure a smooth recruitment, payment and overall operations of the Part time staff; and
- ii) After a formal request, in writing to the Head Human Resource, by a member of staff or any other employee on a specified need for revision of the guidelines.

12.3 The process for revision of the guidelines shall involve submission of the proposed areas for revision to the Head of Human Resource Directorate review before forwarding them to the University Secretary, then Top University Management, the Senate, the Appointments Board of Council and finally to the University Council for consideration.



## Appendix-7 Sexual Harassment Policy

# MOUNTAINS OF THE MOON UNIVERSITY



## POLICY AGAINST SEXUAL HARASSMENT

**OCTOBER 2024**



## **Part 1 – Preliminaries**

### **1. Preamble/Policy Statement**

Whereas Section 6 of the Employment Act Cap. 226 and Regulation 3 of the Employment (Sexual Harassment) Regulations, 2012 prohibit sexual harassment in employment and provide for an employer's liability for sexual harassment suffered by an employee in employment;

Whereas Section 6 (4) of the Employment Act Cap. 226 and Regulation 3(1) of the Employment (Sexual Harassment) Regulations, 2012, require every employer with more than 25 employees to have in place a policy against sexual harassment and Regulation 19 makes it an offence to contravene the Regulations;

Whereas Mountains of the Moon University is committed to providing a safe environment for all its employees and clients free from discrimination on any ground and from all forms of harassment, including all forms of sexual harassment;

Whereas the University is desirous of operating a zero-tolerance policy for any form of sexual harassment in the workplace, treat all incidents seriously and promptly investigate all allegations of sexual harassment;

Whereas the University Council is empowered under Section 40(2)(b) of the Universities and Other Tertiary Institutions Act, Cap 262, to formulate the general policy of a public university;



Therefore, it is resolved that a policy against all forms of sexual harassment at Mountains of the Moon University be made as follows:

## 2. Objectives of the Policy

- (1) To create a work environment at the University free of sexual harassment.
- (2) To offer an efficient internal process for addressing cases of sexual harassment.
- (3) To limit the University's liability arising from sexual harassment cases in employment.
- (4) To comply with the Constitution of the Republic of Uganda, 1995, the Employment Act Cap. 226 and the Employment (Sexual Harassment) Regulations, 2012.

## 3. Citation and Commencement

- (1) This policy may be cited as the Mountains of the **“Moon University Policy against Sexual Harassment, 2024”**.
- (2) This policy will come in force on the day it is approved by the University Council.

## 4. Interpretation

**“Act”** means the Employment Act Cap. 262;

**“appointments board”** means appointments board of Mountains of the University Council;

**“committee”** means the sexual harassment committee established under Paragraph 7 of this Policy and Regulation 10 of the Employment (Sexual Harassment) Regulations, 2012;

**“harassment”** means verbal or physical abuse or behavior that unreasonably interferes with work, studies or other environment at the University or creates an intimidating, hostile, offensive work, studies or other environment including intimidation;



**“intimidation”** means physical or verbal abuse, or behavior directed at isolating or humiliating an individual or a group or at preventing them from engaging in normal activities and includes –

- (a) degrading public tirades by a supervisor or colleague or any other person at the University;
- (b) deliberate insults related to a person’s personal or professional competence or any other quality;
- (c) threatening or insulting comments, whether oral or written including by e-mail; and deliberate desecration of religious or national symbols or both.

**“Regulations”** means the Employment (Sexual Harassment) Regulations, 2012;

**“retaliation”** means any unwarranted action against an employee or employer or any other person who may be involved in a sexual harassment complaint.

## **Part II - Prohibition of sexual harassment**

### **5. Prohibition of sexual harassment**

- (1) All sexual harassment is prohibited whether it takes place within Mountains of the Moon University premises or outside, including at social events, business trips, training sessions or conferences sponsored by the University.
- (2) Anyone associated with the University who engages in acts of sexual harassment will be dealt with in accordance with this policy.
- (3) Without prejudice to generality of subsections (1) and (2), sexual harassment is prohibited for both on-campus and off-campus university settings against, between or among:
  - i) Students;
  - ii) Academic Staff;
  - iii) Administrative Staff;
  - iv) Support Staff;
  - v) Contractors ;
  - vi) Partners;
  - vii) Visitors;



- viii) Researchers; or
- ix) Volunteers

## **6. Meaning of sexual harassment**

### **(1) Sexual harassment includes:**

- (a) a direct or implicit request to any one for sexual intercourse, sexual contact or any other form of sexual activity that contains—
  - (i) an implied or express promise of preferential treatment at the University;
  - (ii) an implied or express threat of detrimental treatment at the University;
  - (iii) an implied or express threat about the present or future status of the recipient at the University;
  
- (b) use of language whether written or spoken of a sexual nature such as unwelcome verbal advances, sexual oriented comments, request for sexual favours, jokes of a sexual nature, offensive flirtation or obscene expressions of sexual interest that are addressed directly to the person;
  
- (c) use of visual material of a sexual nature such as display of sexually suggestive pictures, objects or written materials or sexually suggestive gestures; and
  
- (d) showing physical behavior of a sexual nature such as unwanted and unwelcome touching, patting, pinching or any other unsolicited physical contact;

which directly or indirectly subjects the recipient to behaviour that is unwelcome or offensive to that person and that, either by its nature or through repetition, has a detrimental effect on that person's employment, job performance, job satisfaction, environment at the University or relationship with the University.



## **(2) Conduct amounting to sexual harassment**

Examples of conduct or behavior which constitute sexual harassment include, but are not limited to:

- (a) Physical conduct.
  - (i) Unwelcome physical contact including touching, patting, pinching, stroking, kissing, hugging, fondling, or inappropriate touching.
  - (ii) Physical violence, including sexual assault.
  
- (b) Verbal conduct
  - (i) Comments on a worker's appearance, age, private life.
  - (ii) Sexual comments, stories and jokes.
  - (iii) Sexual advances.
  - (iv) Repeated and unwanted social invitations for dates or physical intimacy.
  - (v) Insults based on the sex of the worker.
  - (vi) Condescending or paternalistic remarks.
  - (vii) Sending sexually explicit messages by phone, email or any other form of communication).
  - (viii) The use of job-related threats or rewards to solicit sexual favours.
  
- (c) Non-verbal conduct.
  - (i) Display of sexually explicit or suggestive material.
  - (ii) Sexually-suggestive gestures.
  - (iii) Whistling.
  - (iv) Jeering.

## **(3) Prohibition of the dissemination of sexual materials**

An employee, intern, volunteer, student or visitor of the University is prohibited from dissemination of sexual explicit voice mail, email, graphics, downloaded material or website at the University.

### **Part III - Sexual harassment committee and designated person**

#### **7. Sexual harassment committee**

- (1) There is established a sexual harassment committee consisting of:
  - (a) Two representatives of management and-
  - (b) Two representatives of employees.
  
- (2) Management shall designate one of the members of the committee as



chairperson.

- (3) The members of the committee shall be selected annually by each party.
- (4) At least one of the representatives of management and employees should be a woman.
- (5) Members of the committee shall be persons knowledgeable in and sensitive to gender and sexual harassment issues.
- (6) A member of the committee may receive a written or verbal complaint and where a verbal complaint is made the committee member receiving it, shall reduce it into writing and read it to the complaint who shall sign it and the member of the committee shall countersign it.
- (7) A person who is selected and accepts to serve on the committee consents to their name, position at the University, telephone contact and email address being displayed at the University physically or electronically on the University's Electronic platforms.

## **8. Functions of the committee**

The Committee shall—

- (a) receive and register complaints of sexual harassment in a form prescribed in the First Schedule;
- (b) initiate internal investigations into complaints;
- (c) keep a record of the nature of sexual harassment offences, proceedings, documents, information and action taken;
- (d) respond to complaints within fourteen days from the date of lodging the complaint with recommendations to management for appropriate action;
- (e) review the provisions of the policy to convey a responsive and supportive attitude that builds faith and trust;
- (f) prepare and provide reports to the Appointments Board and labour commissioner or labour officer; and
- (g) carry out any other duties as may arise for the prevention of sexual harassment.

## **9. Contact information of members of the sexual harassment committee**

- (1) The University shall display in a conspicuous place the name, address, email and telephone contact of its members.
- (2) Members acceptance of selection to serve on the committee shall include consent to have their contact information displayed in accordance with this policy.



## **10. Assistance to victims of sexual harassment**

Throughout the complaints procedure, the committee shall ensure that a victim is helped by a counselor from within or outside the University.

## **11. Designation of a person in charge of sexual harassment complaints**

- (1) At the commencement of every financial year, Management shall designate a person from the Directorate of Human Resource in charge sexual harassment complaints.
- (2) The person so designated in Paragraph 11(1) shall be gender sensitive with a proven track record of sound judgment.
- (3) A person is gender sensitive if he or she is conscious of the needs of each gender.

## **12. Duties of the person designated to receive sexual harassment complaints**

A person designated to receive complaints against sexual harassment under this policy or any member of the Sexual Harassment Committee that receives a complaint against sexual harassment shall:

- (a) issue a written acknowledgment of receipt of each complaint received by him or her.
- (b) inform the complainant and the alleged perpetrator that the University shall:
  - (i) keep the complaint confidential to the extent practicable under the circumstances;
  - (ii) conduct a prompt and neutral investigation through; and
  - (iii) not tolerate any form of retaliation against the complainant.
- (c) immediately record the date, time and facts of the incident(s).
- (d) ascertain the views of the victim as to what outcome he or she wants.
- (e) ensure that the victim understands the procedures for dealing with the complaint.
- (f) discuss and agree the next steps: either informal or formal complaint, on the understanding that choosing to resolve the matter informally does not preclude the victim from pursuing a formal complaint if he or she is



not satisfied with the outcome.

- (g) keep a confidential record of all discussions.
- (h) respect the choice of the victim.
- (i) file the complaint with the committee within 24 hours of receiving the complaint.
- (j) ensure that the victim knows that they can lodge the complaint outside of the University to a Labour Officer under the Employment Act Cap. 226 and the Employment (Sexual Harassment) Regulations, 2012.

#### **Part IV - Sexual harassment complaints procedures**

### **13. Right to lodge a complaint**

Any person who is sexually harassed in any way described in this policy may lodge a complaint with a person designated in charge of sexual harassment complaints or with any member of the sexual harassment committee.

### **14. Informal Process**

- (1) Anyone who is subject to sexual harassment may opt to resolve the matter informally by making a complaint to the person designated to receive sexual harassment complaints or any of the member of the sexual harassment committee.
- (2) The person receiving the complaint shall record the complaint and notify the aggressor of the accusation and that the complainant wishes the matter to be resolved informally.
- (3) The person receiving the complaint shall report it to the Committee on sexual harassment for recording unless the complainant wishes otherwise.
- (4) The record of the complaint shall remain on record and may be used as evidence of repeated unwanted and unwelcome conduct.
- (5) The person receiving the complaint shall-
  - (a) notify the harasser that his conduct is unwanted and unwelcome to the complainant and should therefore stop.
  - (b) facilitate discussion between both parties to achieve an informal resolution which is acceptable to the complainant.
  - (c) ensure that a confidential record is kept of what happens.
  - (d) follow up after the outcome of the complaints mechanism to ensure that



the behaviour has stopped.

- (e) ensure that the above is done speedily and within 14 days of the complaint being made.
- (6) Should the harasser comply with the notification, the matter will be deemed closed if the complainant is satisfied.
- (7) If the complainant is not satisfied with the outcome of the informal process, the complaint will be dealt with formally.

## **15. Formal Procedure**

- (1) If the victim wants to make a formal complaint or if the informal complaint mechanism has not led to a satisfactory outcome for the victim, the formal complaint mechanism may be used to resolve the matter.
- (2) A complaint under this procedure shall be handled by the Committee.
- (3) On receipt of a complaint, the Committee shall promptly investigate a complaint by taking the following steps—
  - (a) register the details of the complaint in the form prescribed in the First Schedule;
  - (b) interview the complainant to ascertain the facts of the matter;
  - (c) notify the alleged aggressor of the complaint and direct the alleged aggressor to respond to the complaint;
  - (d) investigate the complaint to ascertain the facts to the extent practicable, throughout the investigation and consult the union official where a union exists in the establishment;
  - (e) make a recommendation to management following investigations;
  - (f) inform the alleged aggressor and complainant of the recommendation in writing;
  - (g) inform the employer and alleged aggressor that he or she will not engage in retaliation against the complainant or anyone else who cooperates with the investigations;
  - (h) order the employer to separate the complainant and the person alleged to have harassed to avoid further harassment without adverse discrimination affecting their working conditions;
  - (i) continuously monitor the interim measures that are being taken by the employer throughout the investigation and thereafter;
  - (j) and where the committee deems necessary, at any time during the investigations order the person alleged to have harassed the complainant to be temporarily transferred, reassigned or sent on leave pending the completion of the investigations.



## **Part V - Principles of the complaints procedure**

### **16. Principles of the complaints procedure**

The complaints procedure shall exhibit the following principles—

- (a) thoroughness;
- (b) impartiality;
- (c) timeliness;
- (d) gender sensitivity;
- (e) social dialogue;
- (f) discretion;
- (g) confidentiality; and
- (h) the right to privacy of the victim of harassment.

### **17. Confidentiality**

- (1) All information received when handling complaints of sexual harassment shall be confidential.
- (2) A recipient of confidential information shall have a duty to protect the confidentiality of the information.
- (3) Information received in handling sexual harassment complaints shall only be used for the purpose of determining or resolving the complaint and its disclosure shall be limited to persons involved in handling the complaint.
- (4) A person who contravenes this paragraph commits a disciplinary offence.
- (5) The confidentiality on information received while handling a sexual harassment complaint shall continue to exist after the employment relationship has ceased to exist.

## **Part VI - Protection of persons involved in investigations against discrimination**

### **18. Retaliation**

- (1) It is unlawful to retaliate against a person for filing a complaint of sexual harassment or for co-operating in an investigation of a sexual harassment complaint.
- (2) Without prejudice to the generality of Paragraph 18(1), a person involved in a sexual harassment complaint under this policy shall not be retaliated against for doing the following—
  - (a) consulting on, reporting or filing a complaint of sexual harassment;
  - (b) testifying as a witness in a claim of sexual harassment;
  - (c) cooperating during any investigation of a sexual harassment complaint;



- (d) participating in a meeting constituted to discuss sexual harassment in the workplace;
- (e) discussing the complaint of sexual harassment with the labour union representatives or an employer's organization; and
- (f) carrying out any duties as a member of the committee on sexual harassment.

## **19. Discrimination**

- (1) An employer or their representative shall not discriminate against an employee or any person based on the employee's or any other person's involvement in a sexual harassment complaint.
  
- (3) Discrimination under this regulation includes—
  - (a) termination;
  - (b) denial of promotion;
  - (c) demotion in title or duties;
  - (d) transfer to a less favorable position or location;
  - (e) involuntary placement on leave;
  - (f) hostile or abusive treatment;
  - (g) decreasing remuneration or benefits;
  - (h) coercion;
  - (i) threats; or
  - (j) intimidation

## **Part VII – Training and communication of the policy**

### **20. Education and training programmes**

- (1) The Directorate of Human Resource shall organize annual trainings on sexual harassment at least once every calendar year.
  
- (2) Members of the committee and supervisory and managerial employees shall receive additional training on sexual harassment in employment.

### **21. Communication of the policy**

- (1) Every employee shall receive a copy of the sexual harassment policy in print or electronically and acknowledge receipt of a copy.
  
- (2) A copy of the policy will be displayed in a conspicuous place either electronically or in hard copy.



## **Part VIII – Monitoring and evaluation**

### **22. Monitoring and evaluation**

- (1) The Sexual harassment committee shall annually report to the Appointments Board on compliance with this policy, including the number of incidents, how they were dealt with, and any recommendations made.
- (2) As a result of this report, the Appointments Board shall evaluate the effectiveness of this policy and make recommendations to the University Council.
- (3) The Committee may use questionnaires completed by employees, feedback from victims or those who work in the complaints procedure.

## **Part IX – Complaint outside the policy**

### **23. Outside complaints mechanisms**

A person who has been subjected to sexual harassment can make a complaint outside this policy in line with the Employment Act Cap. 226, the Employment (Sexual Harassment) Regulations, 2012 or any other applicable law.

## **Part X – Disciplinary Offences and penalties**

### **24. Breach of the policy**

- (1) Anyone who has been found to have sexually harassed another person under this policy is liable to face disciplinary action and may suffer any of the following sanctions:
  - (a) verbal or written warning;
  - (b) adverse performance evaluation for employees;
  - (c) transfer;
  - (d) demotion;
  - (e) suspension and
  - (f) dismissal.
- (2) Any person who breaches any provision of this policy commits a disciplinary offence and may be liable to any of the penalties in Paragraph 24 (1).



## **25. False and frivolous claim**

- (1) An employee, intern, volunteer, visitor or student shall not knowingly raise a false or frivolous sexual harassment claim.
- (2) Where an employee or student raises a false or frivolous sexual harassment claim, the University may take appropriate disciplinary action against that employee or student.



### First Schedule

#### Committee’s Register of sexual harassment complaints

Name of Aggrieved	Age	Sex	Occupation	Description of sexual harassment	Date of incident	Name of the alleged perpetrator	Age	Sex	Position of the alleged perpetrator	Action taken by the committee	Follow up
1.											
2.											
3.											

This policy is made and approved by the University Council this.....day of.....20.....

Dr. Ben Manyindo

Gregory Tweheyo

.....  
**Chairperson, University Council**

.....  
**University Secretary**



## Appendix-8 OFFICIAL\_OATH AND OATH OF SECRECY

### The Republic of Uganda

### In the Matter of the Oaths Act Chapter 19

#### *Official oath and oath of secrecy*

I, ....., swear that I will at all times well and truly serve the Republic of Uganda as a.....of Mountains of the Moon University, and that I will support and uphold the Constitution of the Republic of Uganda as by law established. (So, help me God.)

I further swear that I will not directly or indirectly communicate or reveal any matter to any person which shall be brought under my consideration or shall come to my knowledge in the discharge of my official duties as a ..... of Mountains of the Moon University, except as may be required for the discharge of my official duties or as may be specifically permitted by law. (So, help me God)

Dated at Mountains of the Moon University, Fort Portal City this.....day of .....2023.

Sworn by the said.....

.....

Deponent

Before me;

.....

Magistrate





Appendix-10 LEAVE FORM MMU



MOUNTAINS OF THE MOON UNIVERSITY

APPLICATION FOR LEAVE

SECTION 1: To be filled by the Applicant

To be addressed to the Responsible Officer (University Secretary) /Thru 'Head of Department/Head of Division.

To: .....

Thru: .....

Name.....Designation.....

Department .....

Leave applied for .....days p.m. From.....To.....

Leave Address/Telephone No./E-mail .....

.....

.....

Date

Signature of Officer

SECTION II: To be completed by Head of Human Resource

COMPUTATION OF LEAVE

Leave due in (year) .....

Less leave taken. ....

Balance .....

LEAVE AS COMPUTED ABOVE RECOMMENDED/APPROVED

This application is in accordance with leave roster. Computation checked and leave recorded by

.....

Head of Human Resource

Date

SECTION III: Approval by the Responsible Officer

To .....

Your application for leave from.....to..... is approved/not approved (reasons for not approving must be given)

.....

Signature of Responsible Officer

Date





## Appendix-12 BIO DATA FORM

### MOUNTAINS OF THE MOON UNIVERSITY HUMAN RESOURCE BIO DATA FORM

**IMPORTANT:** As part of the computerization exercise for the Human Resource Information Management System you are required to complete this form as an update for use in the new Integrated Data Management System (IDMS) and Human Capital Management System (HCM). Please fill and return the same to the Office of the Human Resource Directorate.

**PERSONAL FILE NO:** \_\_\_\_\_ **ID NO:** \_\_\_\_\_

Recent Passport size  
colored Photograph

#### PERSONAL DATA

1. SURNAME \_\_\_\_\_  
\_\_\_\_\_
- OTHER NAMES \_\_\_\_\_
2. SEX: \_\_\_\_\_ (Male/Female)
3. DATE OF BIRTH (Date \_\_\_\_\_ Month \_\_\_\_\_ Year \_\_\_\_\_)
4. DISTRICT ORIGIN \_\_\_\_\_ OF \_\_\_\_\_
5. NATIONALITY \_\_\_\_\_
6. RELIGION \_\_\_\_\_
7. TRIBE \_\_\_\_\_
8. DISTRICT OF RESIDENCE \_\_\_\_\_
9. COUNTY \_\_\_\_\_
10. SUB-COUNTY/ MUNICIPALITY \_\_\_\_\_
11. VILLAGE/ CELL \_\_\_\_\_
12. MARITAL STATUS \_\_\_\_\_ (SINGLE, MARRIED, WIDOWED, DIVORCED, SEPARATED)
13. POST/TITLE \_\_\_\_\_
14. SALARY SCALE/BASIC SALARY \_\_\_\_\_
15. NET PAY \_\_\_\_\_
16. ALLOWANCES (if any) \_\_\_\_\_
17. NATIONAL IDENTIFICATION NUMBER (NIN) \_\_\_\_\_
18. BANK NAME \_\_\_\_\_



19. BANK ACCOUNT NUMBER \_\_\_\_\_

20. BANK BRANCH \_\_\_\_\_

21. NSSF NUMBER \_\_\_\_\_

22. TAX IDENTIFICATION NUMBER \_\_\_\_\_

23. SUPPLIER NUMBER \_\_\_\_\_

24. EMPLOYEE/COMPUTER NUMBER \_\_\_\_\_

25. NATURE OF EMPLOYMENT (Permanent or Contract) \_\_\_\_\_

26. EMAIL ADDRESS \_\_\_\_\_

27. DATE OF APPOINTMENT (Date \_\_\_\_\_ Month \_\_\_\_\_ Year \_\_\_\_\_)

28. DATE OF ASSUMPTION OF DUTY (Date \_\_\_\_\_ Month \_\_\_\_\_ Year \_\_\_\_\_)

29. STATUS IN SERVICE (Confirmed/Probation) \_\_\_\_\_

30. FACULTY/DEPARTMENT/UNIT \_\_\_\_\_

**NAME OF SPOUSE**

**SURNAME** \_\_\_\_\_ **OTHER NAMES** \_\_\_\_\_

31. IS SPOUSE WORKING WITH MOUNTAINS OF THE MOON UNIVERSITY  
\_\_\_\_\_ YES/NO. IF YES INDICATE

32. DEPARTMENT \_\_\_\_\_ FILE NO \_\_\_\_\_

**CHILDRENS DETAILS**

34. CHILDREN'S DETAILS UNDER 21 YEARS

NO	NAME	DATE OF BIRTH	SEX
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			



**35. NEXT OF KIN (In Case of Emergency) (ADULTS MORE THAN ONE IN ORDER OF PREFERENCE)**

**1.** SURNAME \_\_\_\_\_ OTHER NAMES \_\_\_\_\_

RELATIONSHIP \_\_\_\_\_

CONTACT ADDRESS \_\_\_\_\_

TEL \_\_\_\_\_

HOUSE/PLOT NO \_\_\_\_\_ TEL \_\_\_\_\_

POSTAL \_\_\_\_\_

E MAIL \_\_\_\_\_

VILLAGE L.C. 1. ZONE \_\_\_\_\_

PARISH \_\_\_\_\_

SUBCOUNTY \_\_\_\_\_

COUNTY \_\_\_\_\_

DISTRICT \_\_\_\_\_

**2.** SURNAME \_\_\_\_\_ OTHER NAMES \_\_\_\_\_

RELATIONSHIP \_\_\_\_\_

CONTACT ADDRESS \_\_\_\_\_

TEL \_\_\_\_\_

HOUSE/PLOT NO \_\_\_\_\_

POSTAL \_\_\_\_\_

E \_\_\_\_\_ MAIL \_\_\_\_\_

VILLAGE \_\_\_\_\_ L.C. \_\_\_\_\_ 1. \_\_\_\_\_ ZONE \_\_\_\_\_

PARISH \_\_\_\_\_

SUBCOUNTY \_\_\_\_\_

COUNTY \_\_\_\_\_

DISTRICT \_\_\_\_\_

36. RETIREMENT HOME POSTAL ADDRESS \_\_\_\_\_

TEL. CONTACT \_\_\_\_\_

E \_\_\_\_\_ MAIL \_\_\_\_\_



VILLAGE L.C.1, ZONE \_\_\_\_\_

PARISH \_\_\_\_\_

SUB COUNTY \_\_\_\_\_

COUNTY \_\_\_\_\_

DISTRICT \_\_\_\_\_

COUNTRY \_\_\_\_\_

DISTANCE (IN KM) \_\_\_\_\_

**37. EDUCATION BACK GROUND**

NO	DATE OF COMPLETION	INSTITUTION	QUALIFICATION	GRADE
1				
2				
3				
4				
5				
6				
7				
8				
9				



**FIELD OF PROFESSIONAL OR ACADEMIC SPECIALISATION**

- 1 \_\_\_\_\_
- 2 \_\_\_\_\_
- 3 \_\_\_\_\_

**38. MEMBERSHIP TO PROFESSIONAL ASSOCIATIONS**

- 1 \_\_\_\_\_
- 2 \_\_\_\_\_
- 3 \_\_\_\_\_

**39. EMPLOYEMENT HISTORY DETAILS**

NO	DETAILS	EMPLOYER 1	EMPLOYER 2	EMPLOYER 3
1	Employer's Name			
2	Postal Address.			
3	Telephone			
4	E mail			
5	Position held			
6	Date of appointment			
7	Date left			
8	Date of broken service			
9	Date of re appointment			
NO	DETAILS	EMPLOYER 1	EMPLOYER 2	EMPLOYER 3
10	Reason for leaving			

a. EXPECTED DATE OF RETIREMENT \_\_\_\_\_

I confirm that the above information is accurate to the best of my knowledge

OFFICER'S NAME/SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

**b. OFFICIAL USE ONLY**

Leave \_\_\_\_\_

Salary entry point \_\_\_\_\_

Disciplinary Action \_\_\_\_\_



Appraisal \_\_\_\_\_

Last Date of Promotion \_\_\_\_\_

Medical History \_\_\_\_\_





## Appendix - 13 Intellectual property guidelines 2020



**MOUNTAINS OF THE MOON UNIVERSITY**

**INTELLECTUAL PROPERTY GUIDELINES**

**DECEMBER 2020**



Approved by the Mountains of the Moon University Governing Council

Signature

---

Name

---

Date

---



## PREFACE

Intellectual Property (“IP”) is an area of very substantial importance in the academic environment of MMU. The purpose of defining IP guidelines is to encourage the generation of IP by staff, students, and other relevant parties (together referred to as “personnel”). These Intellectual Property guidelines are intended to provide support and guidance regarding commercial exploitation, ownership and income from IP and the use of MMU facilities and resources to ensure that the development of IP is mutually beneficial for personnel and MMU

The University recognizes and encourages the principle that IP developed at MMU should be used for the greatest public benefit. Commercialization is often the most efficient means of promoting the widest possible dissemination and use of MMU IP. In such circumstances, it is appropriate and desirable for both MMU and the originator of the IP to benefit from the commercial exploitation of IP produced at MMU.

In particular, this document sets out the principles and rules that govern the creation, ownership and commercialization of IP developed by personnel participating in programmes carried out using MMU facilities, know-how, confidential information and/or MMU IP.



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## **1 BACKGROUND**

### **1.1 Mountains of the Moon University Philosophy**

Transforming minds to enhance community engagement

### **1.2 Mountains of the Moon University Vision**

To be a center of excellence in teaching, research and community engagement

### **1.3 Mountains of the Moon University Mission**

To produce outstanding, well rounded, morally upright and innovative graduates with knowledge base for making positive impact on the community.

### **1.4 Mountains of the Moon University core values**

- i. Hard work and professionalism
- ii. Team work and innovativeness.
- iii. Respect and institutional loyalty
- iv. Transparency and accountability
- v. Sensitivity to the environment.

### **1.5 Mountains of the Moon University Mandate**

To teach, research, facilitate learning and undertake engagement with local communities for socio-economic transformation.

### **1.6 Interpretation of IP**

IP is the tangible or intangible results of research, development, teaching, or other intellectual activity. Such IP may be created by academic, research and other staff, by students and by other relevant parties such as contractors and consultants.

IP allows creativity and innovation to be captured and owned in the same way that physical property can be owned. IP includes individually and collectively all technical innovations, inventions, improvements, and/or discoveries, information, writings and software, whether or not patentable or otherwise susceptible to IP protection, including technology and materials in their tangible form.



## 1.7 Aim of the guidelines

The aim of these IP guidelines is to provide a consistent framework within which MMU IP is developed and managed for the benefit of MMU, the originator and the public good.

The specific objectives of the IP guidelines are as follows:

- To create an environment that encourages the generation of new knowledge by MMU departments and personnel.
- To encourage the recognition and identification of IP within MMU and promote an entrepreneurial culture among personnel that fosters the development of potentially commercial IP arising from their research at MMU.
- To provide an efficient process by which the commercial potential of IP can be assessed by MMU and its advisors and to ensure that the process of IP evaluation, protection and commercialisation are carried out in a timely manner.
- To motivate the development and exploitation of IP by providing appropriate rewards to both originators and MMU, and to provide administrative assistance to originators.
- To provide support and supervision for the creation of economic structures through which MMU IP is developed and used commercially.
- To maximise the earnings potential from commercialisation and to utilise financial and other returns to advance and encourage research in MMU.
- To encourage strategies of commercialisation and technology transfer that provide the greatest benefit to the Irish economy.
- To encourage public use and commercialisation of MMU IP by facilitating its transfer from MMU to industry and business.
- To continue to recognise the traditional MMU practices with respect to education, publication and scholarly works.
- To ensure that the financial return from the development of MMU IP does not distort decisions and operations of MMU in a manner contrary to the mission of MMU.
- To give due regard to the non-financial benefits (e.g. non-cash consideration, benefit of strategic relationships between MMU and third parties, access to IP and confidential information) that will accrue to MMU and to the originators of IP in pursuing the goals of these IP guidelines.



- To develop and continually improve a long-term strategy that enables the development of IP, related commercialisation and technology transfer, together with maintenance of high standards of education.
- To foster the general awareness of personnel of these guidelines through dissemination and information campaigns, and to provide specific training to research active personnel.

## **2 INTELLECTUAL PROPERTY COMMITTEE**

### **2.1 Composition of the committee**

A Committee shall be set up in MMU after the adoption of these IP guidelines and shall consist of the following members (the “IP committee”):

- The Director Graduate Studies and Research.
- Faculty representatives
- Intellectual property officer
- Expert in area of invention/ innovation (appointed in consultation with inventor).
- Other professional advisors as required.

The IP committee members will be required to sign a confidentiality agreement regarding proposals submitted and regarding the IP produced at MMU and presented to the IP committee. This will ensure that new ideas are protected. MMU reserves the right to alter the composition of the IP committee.

### **2.2 Role of the IP committee**

- Processing of IP applications.
- Determining the commercial value of IP and/or inventions.
- Determining IP agreements with industry regarding collaborative research projects.
- Facilitating a fair and equitable return to those involved in commercialisation of their research/work.
- Nominating negotiators with third parties and ensuring a reasonable financial return to the Personnel involved (where appropriate) and to MMU.



### 3 GENERAL PROVISIONS OF THE IP GUIDELINES

As a general rule, any IP rights in or to any material/works created by personnel in the course of their employment or education by MMU or in relation to work carried out for MMU is the property of and vests solely and absolutely in MMU or such companies or organisations as MMU may nominate for such purposes. Such material/works include, but are not limited to any:

- copyright (including rights in computer software and moral rights),
- patents,
- design rights,
- trademark rights,
- brand rights,
- database rights,
- know how,
- trade secrets,
- confidential information rights in design,
- semiconductor topography rights,
- or other intellectual property rights or other property rights, (whether vested, contingent or future anywhere in the world).

This applies to any IP in materials which are developed by Personnel which they cause to come into existence:

- during the working or teaching hours of MMU; or
- when using MMU's equipment, supplies, facilities or MMU assets; or
- using MMU's confidential information, trade secrets, know how or any MMU IP; or
- in relation to any work performed for MMU (including pursuant to any third party funded research programmes).

At MMU's reasonable cost, personnel also agree at any later time to execute any documentation or otherwise provide assistance to MMU to secure, protect, perfect or enforce any of MMU's rights, title and interests in and to MMU IP.

These guidelines are applicable to IP that is owned by MMU, including (without limitation) for any of the reasons outlined below:

- It is developed by Personnel in the course of their normal or specifically assigned duties either when IP could be reasonably be expected to result from the carrying



out of those duties and/or, at the time the IP was developed, there was a special obligation on the relevant personnel to further the interest of MMU.

- MMU is the first owner of any copyright in the work created by employees in the course of their employment unless precluded by a prior agreement between MMU and a third party.
- The IP arises out of funded or non-funded research where such research has, in the opinion of MMU, made use of the equipment, facilities, MMU assets and/or other resources of MMU (except where ownership of such IP was provided for in a prior agreement between MMU and third parties).
- If it is a condition of the appointment of a student to perform research that MMU should have ownership of the IP arising from the research performed by such student.
- If it is a condition of the appointment of any other relevant party to perform research that MMU should have ownership of the IP arising from the research performed by such other relevant party.

IP arising from research or other work sponsored by an external organisation shall be subject to the IP provisions that are stipulated in the related agreement between MMU and the external organisation (“external agreement”). Where an external agreement requires all new IP rights to be assigned to a private company, the entry level (or “background”) MMU IP should be defined so that it is not inadvertently assigned to the private company as part of the new IP (also described as “foreground IP” or “results”) but is retained as MMU IP. All external agreements should be reviewed by a legal person representing MMU.

For the avoidance of doubt, where IP is generated from research that is 100% funded by monies provided directly by the State, or by any not-for-profit financial instrument which has been established by an organisation or individual, and awarded through a public service organisation charged with the granting and dissemination of research funds, this IP will be exclusively and absolutely owned by MMU.

These IP guidelines also extends to other relevant parties such as non-employees who participate in research projects at the University including visiting academics, industrial



personnel etc. unless a specific waiver has been approved. Other relevant parties at MMU who have a prior existing and conflicting intellectual property agreement or arrangement with another employer or third party must enter into an agreement with MMU (and their employer or relevant third party) to abide by the conditions of this IP guidelines in the course of their activities in MMU.

In order to enable the achievement of the aims and goals of these IP guidelines, the Directorate of Graduate Studies and Research will, through dissemination of information and the holding of general information sessions for personnel, foster the general awareness of personnel of these guidelines. In addition, the Directorate of Graduate Studies and Research intends to provide specific training on this IP Guidelines and its day to day application and relevance to research active personnel.

#### **4 INTELLECTUAL PROPERTY ASSIGNMENTS AND PATENT ASSIGNMENTS**

For the avoidance of doubt, the provisions of this section apply to all the departments, centres, institutes, faculties and personnel conducting research or other intellectual activity using MMU assets and MMU's supplies, facilities, confidential information, trade secrets or existing MMU IP.

As a condition of:

- a) employment or engagement by MMU as staff;
- b) admission by MMU as a student; or
- c) engagement by MMU as an other relevant party;

each student, staff member and other relevant party (as the case may be) shall comply with these guidelines and shall agree to assign to MMU (or a person or company nominated by MMU or an agency which provided the funding for the relevant research) any and all IP in and to inventions discovered and produced or otherwise developed while the person was personnel as the case may be.

When required by the specific circumstances of a project, and on the request of the IP committee, a member of personnel will agree:

- a) to sign an Intellectual property assignment agreement; and



- b) to execute such documents of assignment or other documentation required to assign or transfer IP and any moral rights to ensure, protect, perfect and enforce MMU's rights, title and interest in MMU IP;
- c) to do anything that may reasonably be required to assist any assignee of any patent application or other IP to obtain, protect and maintain its rights, title and interest; and
- d) shall use all reasonable endeavours to do or procure to be done all such further acts and things and execute or procure the execution of all such other documents as may be reasonably required from time to time for the purpose of giving each party hereto the full benefit of the provisions of these IP guidelines.

## **5 RESEARCH FINANCED BY THIRD PARTIES**

Any research which is partly or wholly financed by any third party agency shall be subject to the specific provisions of the grant or contract covering that research. In the event of any inconsistency between these IP guidelines and the terms of any such grant or contract then the provisions of the said grant or contract shall prevail provided that the IP clauses in such grant or contract have been reviewed by the Director, Directorate of Graduate Studies and Research (who will seek external advice if necessary) and, in the case of a contract, such contract has been properly executed by MMU.

## **6 IMPLEMENTATION OF THE IP GUIDELINES**

At MMU, the office responsible for supporting the development and commercialisation of MMU IP is the Office of Director, Graduate Studies and Research. All MMU IP created by personnel must be disclosed in accordance with the procedures laid down in these IP guidelines.

### **6.1 Disclosure**

It is a condition of:

- a) employment or engagement by MMU as Staff;
- b) admission by MMU as a Student; or
- c) engagement by MMU as an other relevant party;

that the results of all research or projects should be fully, promptly and completely disclosed to MMU.

In order to enable MMU to ensure that it fulfils its obligations to organisations who are funding research at MMU, all personnel must disclose any IP arising from such research to MMU through the Directorate of Graduate Studies and Research as soon as possible

after such IP is apparent. The IP should be kept confidential for a period of time until a timely evaluation of the case assessment (including, without limitation, patentability) has taken place. No publication should be made prior to disclosure. Confidentiality agreements and/or non-disclosure agreements should be used where appropriate.

## **6.2 Procedures to be followed in respect of IP protection applications**

### **6.2.1 Submission of Invention Declaration Form**

- Regarding any discovery or invention made that might be useful, patentable or otherwise protectable, the IP guidelines require that personnel complete an Invention Declaration Form.
- This form should be promptly submitted to the DGSR.

### **6.2.2 Commercial evaluation of IP**

- Any IP reported in an Invention Declaration Form shall be submitted to the IP committee for assessment under these guidelines and for recommendations to MMU regarding the patentability and/or potential commercialisation.
- The IP committee may recommend that other suitably qualified advisors or external consultants be engaged to advise on the assessment of the IP.
- The criteria to assess the commercial value of the IP should include (without limitation):
  - Assessment that the IP does not cater for a once-off need and that it has a potential long-term benefit.
  - Technical and commercial feasibility.
  - Proof of concept (business plan, access to finance etc.).
  - Potential for sale or licensing of technology or consultancy.
  - Demonstrates a competitive advantage based on differentiated or innovative product or service.
  - Development stage of the subject matter.
  - Commercial focus and profit motive.
  - Study of comparable existing subject matter, licences and commercialisation practices.
  - Proximity to market.
  - Market valuations – in other words ‘what is the current market willing to pay?’
  - Barriers to entry into markets.
  - Estimated projected sales based on market research.



- Third party assistance including for example input from industry and state agencies.
- Estimated cost of patent process.
- Whilst the criteria listed above are not exhaustive, it provides guidance to persons submitting an application as well as to those determining the commercial value. As it is a complex decision, the IP committee may refer to other expertise (internal or external) where necessary, and further criteria may be applied.
- A decision will be made by the IP committee within a reasonable time (e.g. 60/90 days, but in any event no longer than one year from date of report) of receipt of the application, where practicable, and the originator of the IP will be notified in writing of the decision made.
- If the evaluation is rejected by the IP committee, the IP committee may decide in appropriate circumstances, to offer the opportunity to the originator of the IP to pursue exploitation independently if appropriate under agreed written terms. MMU will have no rights if it subsequently proves successful, subject to any agreed terms.

### **6.3 Submission of a patent application or an application for other protection:**

- MMU shall have the right, but not the obligation, either directly or through an outside agent, to seek patent or other protection of the IP and to undertake efforts to introduce the invention into public use.
- Where a decision is made by the IP committee to proceed with a patent application, the originator of the IP is required to cooperate in every reasonable way, to execute all necessary documents and to assist the IP committee in completing the patent application form. The application should remain confidential until such time as the process is complete. Confidentiality agreements will be used where appropriate.
- Commercialisation activities should recognise specific terms and conditions in appropriate funding contracts including any external agreements.
- The cost of the submission of the application shall be paid by MMU. Any expenses incurred will be reimbursed to MMU prior to the distribution of any royalty income (if any) from the IP.
- The originator of the IP and MMU shall take all reasonable precautions to protect the integrity and confidentiality of the IP in question. The originator of the IP



should be aware that publication prior to the filing of patent applications may prevent the granting of certain patents.

- MMU may decide at any stage to withdraw from the process of exploiting an particular piece of IP. This may arise where:
  - Concern exists regarding the technical or commercial feasibility of a particular piece of IP,
  - costs of exploiting the IP are excessive, or
  - external sponsorship of the process is no longer available.
- The originator of the IP will be notified in writing of the intention of MMU to withdraw from the process and the withdrawal will apply from immediate effect.
- The IP may, at MMU's entire discretion, be assigned or licensed to the originator in appropriate circumstances, offering the opportunity to the originator of the IP to pursue exploitation independently.
- No patent application, assignment, licensing or other agreement may be entered into or will be considered valid with respect to MMU IP except when properly and lawfully executed by MMU.

## 6.4 Commercialisation

The DGSR will assist, provide advice, or procure the provision of outside professional advice in relation to the various options for commercialisation and technology transfer that may be appropriate in order to best meet the aims of these IP guidelines, including:

- Licensing the IP to a third party for a fixed sum or a royalty related to future sales.
- Assigning the IP to a third party for a fixed sum or a royalty related to future sales.
- Developing the commercial potential of the IP through a campus company.
- Developing the commercial potential of the IP through a joint venture with a third party.
- Any other arrangement that may be considered appropriate.

In providing this advice and assistance, the DGSR will give due consideration to the retention of the right to use and access know-how and research materials for the purpose of continuing and further research.

## 7 LICENSING AND DIVISION OF INCOME

### 7.1 Technology transfer fund



MMU will establish a research fund to be used to promote and enhance research and development activity and facilities within MMU as determined by the CGSR. The CGSR will give due cognisance to the research area/centre that secured the funding in deciding on its expenditure.

The Technology Transfer Fund (TT) Fund will be used to assess, protect and facilitate the commercialisation of MMU IP through the pursuit of patent or other protection, the granting of licenses, the development of campus companies and/or otherwise to ensure maximum benefit to the University and the public good, as determined by the IP committee in line with the IP guidelines and approval of the CGSR Committee.

## 7.2 Division of income – General principles

The following points apply in relation to licensing and division of income from commercialising MMU IP resulting from MMU research:

- MMU welcomes the development by industry, for public use and benefit, of inventions and other IP resulting from MMU research. MMU will maintain a flexible and open approach to bringing MMU IP into commercial use. Each case will be considered individually and will involve an assessment of all the potential risks and potential rewards.
- The definition of “income” includes revenue derived from the relevant patents or any other MMU IP in question, which are commercialised by MMU, and also includes (without limitation) up-front licence fees, down payments, minimum annual payments, royalties on sales and is net of any expenses incurred by the MMU in commercialising or protecting the relevant patents or other MMU IP.
- All direct expenses incurred by MMU in:
  - the patenting or other registration or protections of MMU IP; and
  - the commercialisation of an invention or any other MMU IP;

including (without limitation) administrative, licensing, legal, and any other expenses and costs and any subsequent investigation, development and promotion, will be deducted from the initial royalty income or lump sum. No royalty income will be made available for distribution until such expenses have been recovered.

- If more than one inventor or department is involved, unless formally agreed amongst themselves, with due regard to the value and substance of their respective contributions, the Inventor’s share set out above shall be divided equally among them.

- The division of royalty income will be carried out within 2 months of the receipt of such income by MMU.
- The originator of the IP's share shall continue to be paid even though he/she may have left MMU.
- For the avoidance of doubt, personnel (whether originators of IP or otherwise) that are not staff or students but are other relevant party shall not be entitled to royalty income arising from MMU IP to which they have contributed unless this is stated in their contract of engagement or MMU agrees otherwise in writing.

### 7.3 Division of income from patents

Subject to the general principles set out above, income derived from inventions or other IP which are patented and commercialised by MMU in accordance with the provisions of these IP guidelines will be distributed between the originator(s), the originator(s)' Department(s) and the MMU Research and TT Fund. While it is recognised that each project may have to be negotiated on its own merits, the following scale will apply (subject to final determination by the IP committee):

Level of patent income	Inventor(s)	MMU TT Fund	Inventor's Department
First €20,000 of patent royalties	50%	25%	25%
Over €20,000 of patent royalties	35%	35%	30%

### 7.4 Division of income from intellectual property other than patents

Subject to the general principles set out above, division of income derived from commercialising MMU IP which is not patented may occur from time to time and must be approved by the Financial Controller of MMU on a case by case basis. It is intended that the division of income will where possible be agreed in advance of commencing a research project. However, it is acknowledged that it is more difficult to calculate the level of income that is derived from IP that is not patented than from patents due to issues such as the following:

- Non-patented IP is often used in bundles where a number of kinds of IP are involved e.g. trade secrets, confidential information and know-how with each kind of IP belonging to a separate originator.
- Where non-patented IP is supplied in bundles, it can be difficult to attribute specific value to each of the parts of the bundle.

- Third party IP may form part of the bundle in question.
- MMU non-patented IP may include or be based on third party IP and it may be difficult to separate out the value of each.

The ranges of income that might be approved by the IP Committee are set out below in the Guide Table, however the final division of income will be approved by that Committee. MMU reserves the right to offer a lump sum payment in lieu of an ongoing royalty payment.

Level of income derived from non-patented IP	Inventor(s)	MMU & TT Fund	Inventor's Department
First €20,000 of income	10 - 50%	25 - 45%	25 - 45%
Over €20,000 of income	10 - 35%	30 - 50%	30 - 50%

### 8 MONITORING AND EVALUATION OF GUIDELINES

These IP guidelines will be monitored by the Directorate of Graduate Studies and Research on an on-going basis. The IP guidelines and related research, commercialisation and technology transfer will be monitored and evaluated on an annual basis and may be amended by MMU from time to time. All amendments to these IP guidelines shall be posted on the MMU Intranet and such amendments shall be fully valid and effective from the date of posting.



**Fort Portal - Main Campus**

Kasindikwa Village, Lake Saaka.

Fort-Portal, UGANDA

P. O. Box 837 Fort Portal City

Tel: +256 483 660 390

Mob: +256 700 263 030

Email: [info@mmu.ac.ug](mailto:info@mmu.ac.ug)

Website: [www.mmu.ac.ug](http://www.mmu.ac.ug)

**Kampala Liaison Office**

Ntinda Complex

Block C, Office No: GF-13,

Ntinda-Kampala.