

**Addis Ababa University**  
**Office of the Vice President for Research and Technology Transfer**  
**The 2017 Addis Ababa University Senate Research and**  
**Publication Committee (RPC) Guidelines on the**  
**Assessment of Publications for Promotion**

WHEREAS, Addis Ababa University's vision is to become a leading postgraduate, research-focused university in Ethiopia and the region that promotes excellence in the cultivation, dissemination, and utilization of advanced scientific knowledge through teaching, research, and publication so as to address the country's national development needs, priorities, and policies by way of production of competent, knowledgeable and skilled workforce, fostering the expansion of higher education, and supporting the achievement of the growth and transformation plans of the government;

WHEREAS, promoting excellence in the nurturing, dissemination, and utilization of advanced scientific knowledge and thereby accomplishing the vision of the University requires putting in place a system that encourages, recognizes, and rewards the exploration, preservation, and propagation of knowledge in the form of up-to-date, clear, and detailed rules, procedures, and organs for assessing the admissibility of publications based on research output submitted for consideration for the purpose of promotion, and for calculating publication points to be awarded for admissible publications;

WHEREAS, Article 32 of the 2013 Senate Legislation of Addis Ababa University provides that publication, or, in some fields such as music and the fine arts, production of realized pieces of work or projects demonstrating professional and creative talent, is a mandatory requirement for promotion to the rank of assistant professor, associate professor, or professor;

WHEREAS, the existing Senate Legislation has also under Article 32.3.4, 32.3.5 and 32.3.6 authorized the Research and Publications Committee (RPC) of the University's Senate to set detailed criteria, procedures, and organs for assessing publications that are put forward for the purpose of promotion;

WHEREAS, it has now become necessary to issue up-to-date, clear, and detailed guidelines governing the assessment of publications that are submitted for consideration for promotion as per the provisions of the Senate Legislation in the interest of the equity, quality, and facility of the process;

WHEREAS, the RPC had, through the Vice President for Research and Technology Transfer (VPRTT), who serves as its Chairperson, established the Addis Ababa University Publications Guidelines Review Committee, to which it entrusted the task of coming up with proposals that contain up-to-date, clear, and detailed criteria, procedures, and organs for assessing publications for promotion within the framework of the provisions of the existing Senate Legislation;

WHEREAS, the Committee has, on its part, acted in line with the terms of reference set out in the letter of its establishment and come up with proposals that contain up-to-date, clear, and detailed rules, procedures, and organs for assessing the admissibility of publications submitted for consideration for the purpose of promotion, and for calculating publication points to be awarded for publications that have thus been found to be admissible;

NOW, THEREFORE, the RPC of the Addis Ababa University Senate has issued these Guidelines on the Assessment of Publications for Promotion, which were produced by taking into account the relevant laws and established practices of the University and of the country at large, as well as by compiling best practices at domestic and foreign higher education institutions in a similar position as the University and garnering the experiences that were gained in the course of the implementation of the existing provisions of the Senate Legislation.

## **PART ONE**

### **General**

#### **Article 1. *Short Title***

These Guidelines may be cited as “The 2017 Addis Ababa University Senate RPC Guidelines on the Assessment of Publications for Promotion”.

#### **Article 2. *Definitions***

Unless expressly provided or the context requires otherwise, in these Guidelines:

1. “University” shall mean Addis Ababa University;

2. “Department” shall mean the smallest constituent academic unit of the University, including an institute, a school, or a center, that conducts teaching, research, publication, and community services; administers students, personnel and property; and handles cases concerning the promotion of academic staff in the first instance;
3. “Academic Staff” shall mean a staff member of a department of the University employed to carry out teaching and/or research activity, and shall include any other professional employee of the University recognized as academic staff by the Senate;
4. “Publication” shall mean a book, book chapter, textbook, journal article, conference proceedings, or a brief or short communication that, having been authored solely or jointly by academic staff, is deemed admissible and is awarded publication point as publication for the purpose of promotion in accordance with the provisions of these Guidelines subject to the pertinent provisions of the 2013 Senate Legislation and of other applicable rules, regulations, and laws of the University and the country; and
5. “Promotion” shall mean the action of raising to a higher academic rank the rank of an academic staff of the University who has applied, and met the requirements set for it in accordance with the relevant provisions of these Guidelines, the Senate Legislation, and other rules, regulations, and laws of the University and the country.
6. “Professional Society” or “Scholarly Association” shall mean a nonprofit organization seeking to further a particular profession, the interests of individuals engaged in that profession and the public interest.
7. “Academic publishing” shall mean a subfield of publishing which distributes academic research and scholarship.
8. “Commercial academic publisher” shall mean a publisher engaged the business of publishing and distribution of academic research and scholarship for profit.
9. “Predatory publishing” shall mean an exploitative open-access publishing business model that involves charging publication fees to authors without providing the editorial and publishing services associated with legitimate journals.

### **Article 3. *Scope of Application***

1. Unless expressly provided otherwise herein, and subject to the relevant provisions of the 2013 Senate Legislation of the University and of the laws of the country at large, the provisions of these Guidelines shall apply to matters pertaining to the assessment of publications for the purpose of the promotion of the University's academic staff to the ranks of assistant professor, associate professor, and professor.
2. Notwithstanding the provisions of sub-Article (1) of this Article, the provisions of these Guidelines shall not apply to cases involving extraordinary and accelerated promotions or appointments, as well as to promotion requirements pertaining to academic staff of the University who belong to research institutes, departments of the College of Health Sciences that require the rendition of clinical services for promotion, and to the College of Performing and Visual Arts, which shall continue to be governed by the pertinent provisions of the existing 2013 Senate Legislation.

### **Article 4. *Interpretation***

1. The department of the University to which an academic staff who has applied for promotion belongs shall be responsible for applying the provisions of these Guidelines to matters pertaining to the assessment of publications for promotion in good faith in accordance with the ordinary meaning of the terms of these Guidelines.
2. However, where interpreting the provisions of these Guidelines is found necessary, the VPRTT of the University shall have power to make the interpretation in the light of the context, object, and purpose of the provisions of the Guidelines in a way that is compatible with the provisions of the relevant rules, regulations, and laws of the University and the country by taking into account the Preamble of these Guidelines, pertinent policies of the University and deliberations of the RPC on the draft hereof.
3. Nonetheless, any party with vested interest that is aggrieved by the interpretation of the provisions of these Guidelines which the VPRTT of the University has offered shall have the right to take the case to the Senate, which shall give an interpretation

that is final and binding not only for the case in relation to which the interpretation was sought, but also for all subsequent applications of the provisions in question.

### **Article 5. *Gender Reference***

Unless the context requires otherwise, the provisions of these Guidelines that are set out in the masculine gender shall also apply to the feminine gender.

## **PART TWO**

### **Guiding Principles and Provisions**

### **Article 6. *Definitions of “Publication”, “Admissibility”, and “Originality”***

1. In the context of these Guidelines, the term “publication” shall mean a book, book chapter, textbook, journal article, conference proceedings, a brief or short communication, or a teaching material that, having been authored solely or jointly by academic staff, is deemed admissible as publication and is awarded publication point for the purpose of promotion in accordance with the provisions of these Guidelines subject to the pertinent provisions of the 2013 Senate Legislation and other applicable rules, regulations, and laws of the University and the country.
2. “Admissibility” shall mean the acceptability of a given publication for the purpose of promotion. A publication shall be admissible only where, in addition to meeting the admissibility criteria set out under the relevant provisions of these Guidelines, the applicant for promotion proves to the satisfaction of the department concerned that the publication in question is based on the applicant’s continuous research work, contains original substantive data or research method, and has clear academic merit and contribution to knowledge, which shall be determined by taking into account the department’s major discipline and the applicant’s core area of specialization.
3. A publication’s substantive data or research method shall be considered original in the context of these Guidelines, the material content of the data or method in question is inventive, novel, or produced firsthand, which is not already in the public domain as part of the existing knowledge, or has not been previously published by the applicant or any other author.

## **Article 7. *The Admissibility of Publications Based on Thesis or Dissertation***

Without prejudice to the provisions of Article 32.3.9 of the 2013 Senate Legislation, a publication that is based on the applicant's thesis or dissertation shall be admissible for the purpose of promotion, provided that the publication under consideration has demonstrably extended and refined the subject matter of the thesis or dissertation and was published after the date of the last promotion of the applicant.

## **PART THREE**

### **Publications That are Admissible for the Purpose of Promotion**

#### **Article 8. *How a "Book" is Defined and Awarded Publication Points***

1. In the context of these Guidelines, the term "book" shall mean a publication that academic staff author and publish solely or jointly on matters pertaining to their respective disciplines.
2. Notwithstanding the provisions of sub-Article (1) of this Article above, however, where a given book is deemed admissible for the purpose of promotion, the publication points to be awarded for the book shall be calculated based on only those chapters of the book that contain original substantive data or research method as defined under the relevant provisions of these Guidelines.

#### **Article 9. *The Admissibility of Books: General Rule***

A book shall be deemed admissible for the purpose of promotion in accordance with the relevant provisions of these Guidelines where it is alternatively established that the book has been published by a reputable publisher, or the book meets the generally accepted standard profile of books and the material contents of the book comprise original substantive data or research method.

#### **Article 10. *The Admissibility of Books Published by Reputable Publishers***

1. A book shall be deemed admissible for the purpose of promotion if it has been published by a reputable publisher.

2. A publisher of a book shall be considered reputable in the context of these Guidelines where the publisher is a professional society or scholarly association, university department, research institute, or commercial academic publisher; has a viable publication policy; and possesses a well-known track record as regards the focus, frequency, scope of distribution, and impact of its publications and has been in the profession for at least five years.

**Article 11.     *The Admissibility of Books Based on Standard Profile of Books***

1. Where the publisher of a book is not reputable, or its reputability has not been clearly established or ascertained, the book shall be deemed admissible as publication for the purpose of promotion in the context of these Guidelines if it meets the generally accepted standard profile of books.
2. A book shall be considered to have met the generally accepted standard profile of books and thus deemed admissible as publication for the purpose of promotion in the context of the provisions of these Guidelines if the book has an index, a decent list of references, an ISBN (International Standard Book Number), a barcode identification, and cataloguing information, such as that of the Library of Congress.

**Article 12.     *The Admissibility of Books Based on Their Material Contents***

1. The material contents of a given chapter of a book shall be deemed original and have considerable academic merit and contribution to knowledge in the context of these Guidelines where at least one-half (50%) of the volume of the chapter under consideration is composed of original or inventive, novel substantive data or research method that are produced firsthand, which are not already in the public domain as part of the existing knowledge, or have not been previously published by the applicant or any other author.

**Article 13.     *The Admissibility and Publication Points of Book Chapters***

1. Book chapters that are published discretely shall generally be treated in the same way as chapters of the same book in determining their admissibility as publication

for the purpose of promotion and in awarding publication points in accordance with the relevant provisions of these Guidelines.

2. Therefore, a discretely published book chapter shall be deemed admissible and awarded publication points for the purpose of promotion in accordance with the relevant provisions of these Guidelines where it is alternatively established that the book in which the book chapter is embodied was published by a reputable publisher, or the book and/or the book chapter in question meets the generally accepted standard profile of books and the material contents of the book chapter comprise original substantive data or research method as defined under the pertinent provisions of these Guidelines.

#### **Article 14. *The Admissibility of Textbooks***

1. A textbook is defined in the context of these Guidelines as a material that generally meets the standard profile of books as outlined in the preceding Articles of the Guidelines and that serves as a standard resource for the study of a given subject.
2. Thus, a textbook shall be deemed admissible and awarded publication points for the purpose of promotion in accordance with the relevant provisions of these Guidelines, on condition that the concerned department has formally recognized the material under consideration as being a textbook that is used for the purposes of teaching, learning, and reference for a specific module or modules for the last three academic years without interruption.

#### **Article 15. *The Admissibility of Journal Articles***

1. A journal article shall be admissible as publication for the purpose of promotion and awarded publication points in accordance with the relevant provisions of these Guidelines if and only if the journal in which the article is published is “reputable”.
2. Journals that are published within the Addis Ababa University system, and that have been formally declared and listed as “reputable” by the University shall be treated as such and the articles which are published in those journals shall be admissible as publication and awarded publication points for the purpose of promotion in accordance with the relevant provisions of these Guidelines.



3. Any other journal shall be considered as “reputable” in the context of these Guidelines where it meets the following ten criteria. That is, where the journal in question:
- a. has already published at least volume number five;
  - b. is published by a professional society, scholarly association, university department, research institute, think-tank, or commercial academic publisher;
  - c. is discipline-based, that focuses on a specific field and closely related areas;
  - d. generally publishes articles and other materials that are based on original substantive data or inventive research method and are peer-reviewed by scholars and researchers in the pertinent field of study;
  - e. typically publishes articles and materials with such components as abstracts, references, footnotes, introduction or background information, theory or literature review, statement of subjects explored, description of methods used, supporting diagrams or illustrations, and results and interpretations;
  - f. is managed by a board, including an advisory and/or an editorial board;
  - g. has an editor-in-chief, a managing editor, and/or associate editors;
  - h. offers a viable editorial policy and clear guidelines for authors and reviewers;
  - i. maintains an up-to-date website that has a dedicated manuscript submission window, a link for tracking the progress of manuscripts that are submitted for publication, and pages featuring editorial policies and guidelines, uses standard identifiers and clearly reveals its location;
  - j. does not require payment of author fees and publication charges, notwithstanding the exception of very few highly reputable journals which charge authors publication fee to make their individual article open access;
  - k. Does not in general manifest the attributes of predatory open access publishing.

## **Article 16.      *The Admissibility of Conference Proceedings***

Proceedings of a conference that the concerned department recognizes for the size and composition of its attendance profile, the frequency and regularity of its organization, and the importance and currency of the subject matter of its focus shall be deemed admissible as publication and awarded publication points for the purpose of promotion in accordance with the relevant provisions of these Guidelines if the proceedings are published after they were screened through the process of preliminary assessment, selected for publication on competitive basis, subjected to peer-review, and underwent editing and refining.

### **Article 17.    *The Admissibility of Brief or Short Communications***

Brief or short communications shall be deemed admissible as publication and awarded publication points for the purpose of promotion in accordance with the relevant provisions of these Guidelines if assessors designated by the concerned department as per the pertinent provisions hereof determine that the communication under consideration contains original substantive data or research method as defined hereinabove under Article 6.

### **Article 18.    *The Admissibility of Teaching Materials***

A teaching material shall be admissible as publication for the purpose of promotion and awarded publication points in accordance with the provisions of these Guidelines only if it is published in the Addis Ababa University system having been selected for its academic merit and contribution to knowledge as defined herein, accepted for publication so as to serve as a teaching material, subjected to peer-review, and has passed through editing and refining.

## **PART FOUR**

### **Miscellaneous Provisions**

### **Article 19.    *Duty to Implement and Cooperate***

- 1) All departments, other academic and administrative units, and staff members of the University's community shall have duty to observe and implement the provisions of these Guidelines.

- 2) All departments, other academic and administrative units, and staff members of the University's community shall have duty to cooperate with respect to the implementation of the provisions of these Guidelines.

## **Article 20. *Forgery and False Statements***

Without prejudice to the criminal and civil liabilities specified for such conduct under the provisions of the relevant laws of the country, any staff of the University who by action or omission personally or through his lawful agent submits a forged credential, intentionally misappropriates a substantial part or all of a publication, or makes wilful misrepresentation about a person or a publication with a view to benefitting himself or another person or obstructing the implementation of the provisions of these Guidelines shall face disciplinary measure as provided under the pertinent rules and regulations of the University.

## **Article 21. *Inapplicable and Transitory Provisions***

1. Any provisions of the 2013 Senate Legislation or of other relevant rules, regulations, and customary practices of the University that are inconsistent with the provisions of these Guidelines have been repealed, replaced, and shall not apply to matters covered hereby.
2. Notwithstanding the provisions of Article 1 of these Guidelines above, however, promotion applications that were filed, investigations that were started, decisions that were rendered, and cases that were pending in connection with matters pertaining to the requirements of publication for promotion before the coming into effect of these Guidelines shall be governed by the rules, procedures, customary practices, and organs which were in force at the time.

## **Article 22. *Effective Date***

The provisions of these Guidelines shall come into effect as of 10<sup>th</sup> March 2017, the date on which they are formally adopted by the Senate of the University.

**Tassew Woldehanna (Prof.)**

**Vice President for Research and Technology Transfer and  
Chairperson of the Research and Publication Committee of the Senate**