



Nkumba University

GUIDELINES FOR PhD PROGRAMME

Approved by Nkumba University Senate

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ABBREVIATIONS AND ACRONYMS

APA	American Psychological Association
etc.	et cetera
FGD	Focus Group Discussion
ICT	Information Communication Technology
Mm	Milligrams
PhD	Doctor of Philosophy
SBA	School of Business Administration
Sic.	<i>Sicut</i> (Latin)
SPGSR	School of Postgraduate Studies and Research
SPSS	Statistical Package for Social Sciences
UNCST	Uganda National Council for Science and Technology

FOREWARD

Nkumba University offers a PhD by Research. The guidelines stated herewith are intended to give a clear explanation of the processes from entry to exit.

In order to enhance the quality of PhD education, Nkumba University, establishes acceptable standards and guidelines for the same. This has been recognised as an important process of establishing sustainable internal quality assurance mechanisms and system that will ensure that the awards of the University meet national, regional and global standards of excellence. In view of the above, the Senate Quality Assurance Committee at its 15th Meeting held on the 27th November 2012 under **MIN. 5/SQAC/15/NOV/2012 RESOLVED** that consolidated Guidelines should be developed for the PhD Programme to provide clear guidance to students and staff. A Committee of five (05) members was established to achieve the above task.

The PhD Research Guidelines Handbook is a result of the efforts of University. The development of this PhD Research Guidelines Handbook has been occasioned not only by the need to set clear standards and guidelines but also by the need of scholars and their Supervisors for a reliable source of information on the PhD programme. This document is therefore, an invaluable source of strategic information about Nkumba University and the PhD Programme. The PhD Research Guidelines Handbook provides useful information on admission and award requirements and all guidelines and procedures relating to the research process, assessment procedures and graduation. The students and their Supervisors will be assisted to achieve their noble goal by making full use of this PhD Research Guidelines Handbook.

We would like to acknowledge the great work done by all persons in the development of these PhD Guidelines. Your efforts will go a long way in achieving our mission of becoming a *Centre of Excellence in PhD Training, Research and Publication*.

Prof. Hannington Sengendo
Vice Chancellor
Nkumba University

1.0 INTRODUCTION

This document provides the strategic aspects about the University, students' admission, the PhD programme and thereafter reflects detailed guidelines relating to research process, assessment procedures and graduation. The handbook describes the procedures that are used in guiding PhD students, staff and other stakeholders of Nkumba University.

Currently, the University offers a PhD programme by research. This is a three years programme in various disciplines of study including the following:

1. PhD in Educational Management
2. PhD in Business Management
3. PhD in Counselling Psychology
4. PhD in Natural Resources Management
5. PhD in Public Administration and Management
6. PhD in Development Studies
7. PhD in Art and Design History
8. PhD in Public Health

In the first year, all PhD students are required to participate in six research seminars and to develop research proposals before embarking on research. The remaining two years are for field research and writing up the thesis. Furthermore, each student is required to publish at least one article in a recognised journal before submitting his or her thesis for final assessment.

2.0 NKUMBA UNIVERSITY'S STRATEGIC ASPECTS

Nkumba University is inspired and guided by its mission, vision, objectives, core values, motto and strategic priorities. The PhD programme is offered within the strategic framework of the university.

2.1 Mission

To provide an environment that enables PhD candidates to cultivate Competence, Confidence, Creativity and Character in their academic, professional, and social interactions.

2.2 Vision

Nkumba University endeavours to be a Centre of Excellence in PhD training, research and publication.

2.3 Objectives

Nkumba University as an Institution of higher learning in a developing region seeks to realise the following broad objectives:

- i) Widen access to quality higher education.
- ii) Provide students with quality education conducive to becoming competent and innovative members of society, responsive to the changing needs of society
- iii) Equip students with competences and innovativeness in entrepreneurship and technology within the context of the changing needs of society.
- iv) Develop requisite infrastructure.
- v) Recruit, develop and retain staff.
- vi) Develop and maintain high quality teaching, research, publication, management systems and consultancy.
- vii) Broaden the funding base of the University, and prudently manage resources.

2.4 Core Values

The following core values underlay the functioning of Nkumba University: Excellence, integrity, respect, teamwork and cooperation, equity, innovativeness and time management

2.5 Motto

Nkumba University's corporate philosophy is embodied in its motto "I Owe You", which expresses a mutual obligation between members of Nkumba University and the community.

2.6 Strategic Priorities

The University has several strategic priorities, some of which emphasise training, research and publication.

- i) Strengthening the Teaching in the University.
- ii) Strengthening Research, Publishing and Community Services
- iii) Enhancing the Use of Information and Communication Technologies (ICTs)
- iv) Enhancing Human Resource Development in Research.
- v) Strengthening the University Academic Leadership in Research Management.
- vi) Diversifying Sources of Funding for Research and Publication
- vii) Strengthening Networking with other Universities and Research Institutions.

2.7 Coordination of the PhD programme

Nkumba University has an established School of Postgraduate Studies and Research (SPSR). The School Postgraduate Studies and Research headed by the Director at the level of an associate professor, who coordinates all postgraduate programmes.

The Universities and Other Tertiary Institutions Act, 2001(as amended 2003,2006) provides that Senate or Academic board is the supreme body on all academic matters. The Senate is therefore responsible for oversight in all-graduate academic matters.

In order to provide an effective oversight role to the School of Postgraduate Studies and Research, the Senate established the Higher Degrees Committee (HDC), to provide oversight and guidance on policy and technical matters of the Postgraduate School. The HDC recommends to senate admissions, new academic programs and courses, examination results, award of degrees, postgraduate diplomas and certificates. The Postgraduate School acts as secretariat for the HDC.

In order to benefit from the expertise of the PhD holders from all Schools, the PhD Vetting Committee was established. The membership of this Committee is for all PhD holders from all the Schools. The Committee vets all PhD matters and reports to the Senate Higher Degrees Committee through the School of Postgraduate Studies and Research. The PhD vetting Committee is chaired by the Director SPSR. The business of the PhD Vetting Committee include: PhD admissions (synopsis assessment, aptitude test), proposal assessment, PhD seminars, change of supervisors, recommendation of Examiners for the PhD Thesis (external and internal) etc.

3.0 DESCRIPTION OF THE PhD PROGRAMME

The Doctor of Philosophy degree (PhD) programme of Nkumba University is intended to offer the highest rewards of learning and discovering in the fields offered by the Schools of the University. The study programme demands major investment of time, money and effort from both the University and the candidates.

This PhD programme is designed, among others, to furnish participants with knowledge, skills, abilities and values needed to meet the highest academic requirements in the market. The programme does not constitute graduate studies only, but it also offers apprenticeship to students to develop capacity for independent research by working closely with academicians. In this way, the programme provides a channel through which the student becomes a colleague to his/her academic and other mentors and demonstrates the ability to make an original contribution to knowledge.

3.1 The Specific Aims of the PhD

The specific aims of this PhD Programme are to;

- (a) Make an original and significant contribution to knowledge and understanding in the area of study;
- (b) Enable students to learn methods and develop skills for conducting research;
- (c) Develop a critical and analytical approach for the collection and interpretation of data, and the analysis of texts and literature in the field of study;
- (d) Acquire specialist knowledge in the students' specific field, and general knowledge in the area of study;
- (e) Present the research findings and analysis clearly and in the correct scholarly form.
- (f) Enable students develop creative thinking;
- (g) Develop skills and abilities to carry out thorough and independent investigation in issues of both theoretical and practical nature;
- (h) Develop capacity in applying theory and good practice with the aim of finding solutions to the problems in related disciplines.

The Doctoral degree shall be awarded to students who have demonstrated:

- (a) the creation and interpretation of new knowledge, through original research or other advanced scholarship, of a quality to satisfy peers, extend the forefront of the discipline, and merit publication;

- (b) a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;
- (c) the general ability to conceptualise, design and implement a project for the generation of new knowledge and its application in understanding the discipline;
- (d) a detailed understanding of applicable techniques for research and advanced academic enquiry.

3.2 Duration of the Programme

This programme takes a minimum duration of 3 years and a maximum of 6 years. The approved research is expected to be completed not later than five years from the date of registration. Under special circumstances, permission may be granted by Senate on recommendation by the Higher Degree Committee of the University to extend the study period. If the extended period lapses without the candidate completing his/her work, then he/she shall be de-registered.

4.0 APPLICATION AND ADMISSION PROCEDURE

4.1 Application procedure

A prospective student should apply in writing to the Academic Registrar using the approved University application form. A research synopsis, a detailed curriculum vitae, letters of recommendation (provided with the application) and verified copies of academic documents should be appended to the application. Every application shall be forwarded to the Higher Degrees Committee for consideration and to Senate for final approval of admission.

4.2 When to apply

Applications for this programme may be made and submitted to the Academic Registrar any time of the year. Upon receipt of an application, the Academic Registrar will send an acknowledgement to the applicant.

4.3 Admission Requirements

An admissible applicant should meet the following selection criteria:

- (a) Be in possession of a good Bachelors degree or its equivalent from a recognised university or institution of higher learning;
- (b) A Master's degree from a recognized University in a field relevant to the area of further studies. Or the equivalent of a Master's degree with evidence of published

educational material relevant to the field inline with National Qualification framework;

- (c) Present an acceptable concept paper / synopsis of the intended research area;
- (d) Passed the pre-entry examination administered by Nkumba University with at least 50% pass mark.

4.4 Transfer Admission

An applicant can be admitted under transfer admission scheme upon meeting the following criteria:

- (a) Be in possession of the academic requirements listed above;
- (b) Having been duly admitted for a PhD programme in another recognised university or institution of higher learning;
- (c) The candidate must produce a letter of admission and progress report from the previous university or institution;
- (d) The candidate must have spent at least one year in the previous university and must have had training in advanced research methods.

A student admitted under this scheme must spend a minimum of two years and shall be guided by supervisors approved by Nkumba University.

4.5 Pre-entry Examinations

As a requirement for admission, an applicant not under the transfer admission shall be subjected to pre-entry examinations which are:

- (a) Aptitude test administered by Nkumba University; and
- (b) Concept/Synopsis presentation.

These examinations are held once in an academic year in the month of August/ September.

4.5.1 Aptitude Test

This is standardised graduate entry examination used to measure applicant's aptitude for abstract thinking in the areas of analytical writing, mathematics vocabulary and research. The test is a written paper administered by the University to determine an applicant's eligibility for the PhD Programme and its duration is one hour and the marks obtained from this test shall contribute to the overall pass mark for admission.

4.5.2 The Concept Paper/ Synopsis Presentation

Immediately after sitting the aptitude test, the applicant is invited to present his/her concept orally to Higher Degrees PhD Vetting Panel.

The presentation should contain a 3-5 paper page summary of the outline of the proposed research, with a double spaced format (including references). This presentation contains the following:

- (a) Title of possible research topic in not more than 24 words;
- (b) Background to the study;
- (c) Statement of Problem;
- (d) General aim and specific objectives;
- (e) Significance, (that is, relevance of the study in terms of academic contributions and practical use);
- (f) Methodology (stating study design, study population, sampling, data collection methods and techniques of data analysis);
- (g) Ethical considerations and necessary permits to be applied for;
- (h) References.

During the vetting exercise, the Higher Degrees Vetting Panel considers the following:-

- (a) Whether the proposed work is researchable;
- (b) suitability and availability of the supervisors proposed by the student; where the student has not proposed a supervisor the panel shall suggest two possible supervisors;
- (c) candidate is qualified to do a PhD by research;

Thereafter the Panel discusses and scores the student's presentation on the basis of the criteria provided in the appendix 12.1. Then it considers the marks obtained by the student from both the aptitude test and the presentation to determine the final mark. The pass mark is 50%.

4.5.3 Where the Applicant has Passed

Where the applicant has passed, the Panel:

- (a) Recommends proposed supervisors to the Higher Degrees Committee;
- (b) Recommends the Applicant to the Higher Degrees Committee for admission;
- (c) Advises the applicant to make initial contact with the proposed supervisors;
- (d) Informs the applicant the expected date of the first PhD seminar;
- (e) Advise the applicant to prepare to pay the university fees as soon as he/she receives a letter of admission.

When an applicant has been formally accepted by the Higher Degrees' Committee, he/she is given an admission letter specifying the course, fees payable, names of two supervisors, and other requirements of the programme.

4.5.4 *Where the Applicant has failed*

- (a) Where the applicant has failed with a mark of 45-49% in the pre-entry examinations, he/she may be advised to present the concept/synopsis again;
- (b) Where the applicant fails to score up to 45%, he/she may be advised to re-apply after one year.

4.6 **Registration as PhD Student**

For a PhD applicant to become a *bona fide* student of the University, he / she must register at the beginning of the first semester and thereafter renew registration every semester.

4.6.1 *A new student shall register following the requirements below:*

- (a) Pay the semester fees;
- (b) Complete the registration form and attach copies of certified academic documents
- (c) Attach three passport size photographs
- (d) Present original academic documents and the registration form to the Academic Registrar for issuance of the registration certificate

4.6.2 *A Continuing PhD*

A continuing PhD student is required to register every semester following the requirements below:

- (a) Pay semester fees in full;
- (b) Duly complete a registration form and attach copies of the receipts of payment;
- (c) Submit a statement of good standing from the supervisor.
- (d) Present the registration forms to the Academic Registrar for issuance of registration certificate

4.6.3 *A Registered PhD Student*

A registered PhD student is entitled to the following official documents:

- (i) Identity Card (covering the period of study)
- (ii) Authority card (issued on semester basis to enable the student to access the university facilities)
- (iii) Registration Certificate (*indicating that one is a registered PhD student of Nkumba University*).

5.0 PhD TRAINING IN RESEARCH

PhD students are required to participate in training in advanced research methods. The training is conducted in form of seminars, workshops, conferences, among others. The training is intended to prepare the student to carry out his/her research and also to equip him/her with skills needed in conducting different kinds of research.

The key areas of research training are outlined here below:

5.1 Introduction to Advanced Research for PhD Students

In this training, students are introduced to the demands, approaches, and techniques of doing research at PhD level (*Duration: 8 hours*).

5.1.1 Research Topics, Objectives and Problem

The major focus of this training is research theme identification, formulation of study problem, establishing objectives and research questions / hypotheses. (*Duration: 8 hours*)

5.1.2 Literature Review, Citation and Referencing

This training exposes students to the critical examination of the existing literature on the research areas and equips them with skills of identifying themes, weaknesses, gaps, relevance and contributions. The application of theories or models related to the research themes. Techniques of developing clear theoretical / conceptual frameworks are discussed and demonstrated. Students are exposed to the different methods of the literature citation and referencing styles (*Duration: 8 hours*).

5.1.3 Qualitative Research Methods

The training on qualitative research methods dwells on the effective use of methods like: focus group discussions; structured and unstructured interviews; observation; use of archival material; assessment of the qualitative data among others (*Duration: 8 hours*).

5.1.4 Quantitative Research Methods

In this training, quantitative techniques for research are explored. The use of the descriptive and inferential statistics is examined. Emphasis is placed on use of percentages, mean, standard deviation, chi square, correlations, analysis of variance, post hoc computations, regression and others in analysing and presenting quantitative (*Duration: 8 hours*).

5.1.5 Tools for data analysis

In this training students will be exposed to computer data processing packages commonly used in research such as; Nivo8, Nudist, Statistical Package for Social Sciences (SPSS) and Stata (*Duration: 8 contact hours*).

5.1.6 Advanced Academic Writing

The training on advanced writing explores the techniques of presentation of Academic works at PhD level. This involves formatting, referencing using APA format; presentation of academic papers or research findings (*Duration: 8 contact hours*).

All PhD students are required to participate in the above training before presenting the research proposal and embarking on field research. The training takes place in the first six months and the proposal development in the last six months of the first year of study. The remaining two years are for field research and writing up the thesis. A certificate of attendance shall be issued to participants by the SPGSR.

5.1.7 PhD Annual Conference

A PhD conference will be held annually at which students will have the opportunity to present Scholarly papers in their areas of research. The Director SPGSR shall be responsible for organising the annual conference. The participating PhD student shall contribute towards the expenses of the conference, paper review and publication.

6.0 RESEARCH PROCESS

6.1 Proposal Development Process

The proposal development process shall start after the training in research has been conducted and this will be carried out in the last six months of the first year of study.

The student is strongly advised to adhere to the following steps of the process:

- (a) The research topic has been vetted by the PhD Vetting Committee by the 7th month;
- (b) The introductory chapter is developed to the satisfaction of the supervisors - 8th month;
- (c) The second chapter is developed to the satisfaction of the supervisors - 9th month;
- (d) The third chapter and the necessary research instruments is developed to the satisfaction of the supervisors - 10th month;
- (e) The complete proposal is presented for assessment to the PhD Vetting Committee and if accepted is recommended for certification and field research - 11th month;
- (f) A signed copy of the accepted proposal shall be deposited to the School of Postgraduate Studies;
- (g) Any copy of the accepted proposal being submitted elsewhere should be signed by both the student and the supervisors and certified by the Academic Registrar;
- (h) Introductory letters for field study are issued to the students whose proposal have been accepted – 12th month;

6.2 Preparation for Field Research

In preparation for field research, a student should meet the following requirements:

- (a) Has an accepted and certified proposal;
- (b) Has applied for authorisation from relevant bodies for instance, The Uganda National Council for Science and Technology –UNCST;
- (c) Has a work plan mutually agreed upon by the student and his/her supervisors;
- (d) Has registered and obtained a registration certificate and other relevant documents;

6.3 Field Research

During field research, the student shall observe/do the following:

- (a) Observe Nkumba University code of conduct for research;
- (b) Use the approved instruments/tools to collect data;
- (c) Keep records of all sources of information pertaining to the research;
- (d) Keep records of information obtained from the field;
- (e) Seek permission to carry out research from relevant officers/organizations in the research area;
- (f) Provide progress reports to the Supervisors and the School of Postgraduate Studies and Research.

6.4 Report Writing

After the field research a student shall:

- (a) Assemble facts taking into account the following issues:
 - i. The information be arranged according to the structure of the thesis;
 - ii. Information obtained in language other than English, be translated into English;
 - iii. Information cited verbatim should be presented in italics and inverted commas;
 - iv. Original Quotations with errors or out dated models should be presented in italics followed by the word [*sic erat scriptum = thus it was written.*].
- (b) Figures, Illustrations, Diagrams, Photographs among others should appear where they are discussed unless when referred to only, can appear in the appendix section;
- (c) Seek assistance from your Supervisor, Mentor or Data Analyst to analyze your data where necessary;
- (d) Use consistently the UK English;

7.0 SUPERVISION

Supervision is an important aspect under which a research student is given the necessary technical, professional and moral support. Supervision calls for a professional relationship between a student and his/her supervisors. Therefore, every student who undertakes study by research shall be assigned two supervisors to guide the student during the study.

At the time of applying to join the PhD programme, the applicant has the opportunity to suggest two names of possible supervisors. However, the authority to appoint supervisors rests with the Higher Degrees Committee. The supervisor (s) may be changed with permission of Higher Degrees Committee on recommendation of the Director of the School of Postgraduate Studies. The Chairperson of the Higher Degrees Committee may, on behalf of the Committee, authorise the change of supervisor(s). On the advice of the supervisors, a student may seek professional and technical assistance from qualified individuals or organisations.

If for some reason a student has to change supervisor, he / she shall submit a request in writing to Director SPGSR for the change of supervisor stating clearly the compelling reason(s) for the change of supervisor. If a supervisor is to discontinue supervising a particular candidate he / she shall give a formal report to the Director SPGSR stating clearly the compelling reason(s) for the discontinuation and also provide a progress report on the student.

7.1 Supervision Obligations

7.1.1 *University's Obligations*

- i. Appointment of supervisors (Director of School of Postgraduate Studies)
- ii. Timely remuneration of supervisors (University Secretary and University Bursar)
- iii. Provision of appropriate working space and facilities (Vice Chancellor and University Secretary)
- iv. Adoption of an appropriate policy on PhD supervision (Vice Chancellor)

7.1.2 *Supervisor's Obligations*

The supervisor shall:

- i. arrange a supervision schedule with a student;
- ii. ensure adherence to the supervision schedule;
- iii. keep record of the supervision meeting and progress;
- iv. read the submitted work and give timely feedback to the student in writing ;
- v. provide mentorship and counselling;
- vi. respect student's reasonable views and ideas on his/her research;

- vii. report on the progress of the student to the School Research Coordinator and Dean of School;
- viii. brief the student on the need to conduct his/her research according to ethical principles, best practices and implications of misconduct;
- ix. recommend the student for remedial courses in order to fill the identified gaps;
- x. advise the student to attend relevant conference and to submit papers for publication in refereed journals;
- xi. approve and endorse the student's work by signing;
- xii. read widely and attend at least one course in three years on PhD supervision; and
- xiii. Uphold profession etiquettes and moral principles.

For this PhD programme, research supervision shall be handled by a PhD holder or non-PhD holder who is a Professor.

7.1.3 Students' Obligation

A PhD student carrying out research shall:

- i. develop a supervision schedule in consultation with the Supervisors;
- ii. adhere to the stipulated supervision schedule;
- iii. present to the Supervisors the chapters and other write-ups for review;
- iv. seek guidance from Supervisors from time to time;
- v. appropriately incorporate amendments made by the supervisors;
- vi. proof read each piece of work developed before presenting to the Supervisors;
- vii. make timely payment of fees as prescribed by the University;
- viii. acquire appropriate materials and tools for carrying out their research;
- ix. conduct themselves in a manner that conforms to ethics of research and the University Code of Conduct;
- x. present progress reports on time;
- xi. Attend the PhD annual conference and present papers based on one's PhD research area
- xii. attend special conferences or trainings as recommended by the Supervisor(s); and
- xiii. Present completed proposal and thesis within the prescribed format and time.

7.1.4 Progress Reports:

Every PhD student shall be required to submit reports on his / her progress once every semester for review by the Higher Degrees Committee. Failure to fulfil this requirement may lead to discontinuation.

Under no circumstances will a candidate be allowed to submit a thesis for examination unless he/she has been under regular and approved supervision for at least two years.

7.2 The PhD Vetting Committee

7.2.1 Composition

There shall be a PhD Vetting Committee composed of members of Schools' Higher Degrees Committees. These include Deans of School and staff with PhD from the Schools. The Deputy Vice Chancellor is chair of the committee and the Director SPGSR shall be the secretary.

7.2.2 Functions

The functions of a Vetting Committee include:

- i. Vet PhD applicants for admission;
- ii. Set and mark pre-entry examinations;
- iii. Propose and recommend to Higher Degrees Committee of possible Supervisors of PhD students of each intake;
- iv. To discuss and recommend to the Higher Degrees Committee all matters pertaining to the PhD programme;
- v. Assess proposals and drafts of completed theses;
- vi. Propose internal and external examiners of PhD holders and submit current CV;
- vii. Any other role that may be deemed necessary for proper running of PhD programme

Identification of examiners:

It is the responsibility of the Postgraduate Office to find internal and external examiners in consultation with the Academic Registrar and Parent School in line with the procedure for nomination, approval and appointment of External Examiners. CVs of new Examiners will be needed by the Committee to assess their suitability.

8.0 PhD PROPOSAL FORMAT

A PhD research proposal is intended to convince others that a student has a worthwhile research project and that he/she has the competence and the work-plan to complete it. Generally, a proposal should contain all the key elements involved in the research process and include sufficient information for the readers to evaluate the proposed study.

Regardless of the research area and the methodology chosen, a research proposal must address the following questions: (a) What is planned to be accomplished, (b) why it should be accomplished and (c) how it is going to be done.

The proposal should have sufficient information to convince the readers (supervisors and examiners) that there is an important research idea, that the student has a good grasp of the relevant literature and the major issues, and that the chosen methodology is sound.

The quality of a research proposal depends not only on the suitability of the proposed topic, but also on the quality of the proposal writing. A good research topic may run the risk of rejection simply because the proposal is poorly written. Therefore, a proposal should be written in a coherent, clear and compelling manner.

8.1 Contents of a Research Proposal

A research proposal shall have the following contents.

8.1.1 Cover Page

The cover page should bear the Research topic (in capital letters), full name and Index number of the candidate below it and the legend “A Research proposal submitted to Nkumba University as a procedural requirement to conduct research” should appear in the middle of the page. The date of submission should appear below in the form of month and year.

The research topic / title should be brief and simple reflecting the specific aspects of the study. It should capture the essence of the study and must be descriptive enough but not exceeding twenty four words.

8.1.2 Declaration Page

The declaration page shall bear the statement affirming originality of the research proposal signed by both the student and the supervisors.

8.1.3 Table of Contents

The table of content serves as a synopsis or headline display. It contains an index and reference to all major sections of the proposal with an indication of page numbers on which all the contents can be located.

8.1.4 *List of Tables and Figures*

A list of tables consists of all the tables in the proposal showing their headings, titles and page numbers. Captions of figures, diagrams and illustrations used in the proposal and their corresponding pages are listed.

8.1.5 *Abbreviations and Acronyms*

All abbreviations and acronyms used in the proposal are listed alphabetically and written in full form.

8.1.6 *Definitions of Key Terms*

The student shall give operational definitions of the key terms of the proposal. That is, the student explains the sense in which he/she has used the term in the study.

8.1.7 *Chapter One: Introduction*

The introductory chapter should contain the following elements:

a) Background to the Study

This is where the rationale of the study is given. In the background a student is expected to provide evidence and conditions of the existing situation. With that, the reader is able to appreciate the research problem and the need to study it in order to contribute new knowledge.

The first paragraphs should state the conceptual aspect, that is, what is the study about and why that particular topic. The theoretical aspects, or what theories inform the independent variable of the area of study; the historical aspect should highlight how other scholars have viewed the same issues; and the contextual aspect should refer to the exact context where the study is being carried out.

b) Statement of the Problem

In stating the problem, the student should:

- i. Refer to that which has been detected in practical or theoretical situation and needs a solution.
- ii. Bring out the limitations or delimitations of the independent variable as noted in the background section.
- iii. state clearly the nature and extent of the problem and its known or estimated magnitude
- iv. be concise and brief (*between 2 and 3 pages*)

c) Purpose of the Study

This should reflect the general intention of the research, and therefore should spell out what the research aims at achieving. It should reflect the relationship of variables in the topic.

d) Objectives of the Study

- i. These must be related directly to the purpose of the study. In other words they reflect the breakdown of general objective into manageable parts.
- ii. Should be written in such a way that they reflect what the student intends to achieve.
- iii. For every objective, there must be a method of achieving it.
- iv. It is advisable that a student generates a reasonable number of objectives (about three to five) for the study.

e) Research Hypotheses / Research Questions

Hypotheses or research questions should be constructed to enable the student to achieve the objectives of the study.

- i. Both the null and alternate hypotheses may be stated. Some researchers prefer to state either the null or the alternate depending on which seems to pose the investigative question. Alternatively, hypotheses may be stated in non-directional way.
- ii. Each hypothesis / question should correspond with one objective
- iii. Research questions may be stated especially if one intends to use mainly qualitative methods.

f) Significance of the Study

This refers to the academic relevance of the study. It focuses on academic contributions and practical use arising out of the research findings. It should emphasise knowledge creation or innovative application of existing knowledge to society. The student should be able to point out the potential contribution and relevancy of his/her study.

g) Scope of the Study

- i. This section should define the research coverage in terms of time, content, depth of investigation, sample size, theoretical coverage and geography.
- ii. "Scope" defines the parameters of the research. Without "scope" one may forget to define the specific boundaries of the study. The student should

briefly state the scope of his/her study so as to be focused on what he/she intends to investigate and achieve.

- h) Unit of Analysis
 - i. A unit of analysis is the major entity that is being analysed in the study. It is the 'what' or 'whom' that is being studied. In social science research, the most typical units of analysis are individual people. Other units of analysis can be groups, social organizations and social artefacts.
 - ii. Unit of analysis should not to be confused with the unit of observation, which is the unit on which one collects data (data on individuals using surveys). For example, a study may have a unit of observation at the individual level but may have the unit of analysis at the neighbourhood level, drawing conclusions on neighbourhood characteristics from data collected from individuals. The student should identify and state the unit of analysis.

8.1.8 Chapter Two: Literature Review

- i. This chapter deals with the analysis of existing literature on the subject with the intention of bringing out the contributions, the limitations, differences and gaps.
- ii. Purpose of the chapter should be first paragraph of the study.
- iii. Survey of the available literature on the topic. The aim of this is to confirm that the student has not re-invented the wheel. That is, a student is not researching a topic that has already been researched on in a similar way using similar methods and probably using the same setting and period.
- iv. Theoretical review. This should be carried out according to themes of the study. It should reflect the objectives, hypotheses, methods, and research questions.
- v. Review of related literature. This refers to similar work done elsewhere.

Conceptual and Theoretical Framework

A conceptual framework reflects the relations among concepts or variables that the student will analyse in order to achieve the stated objectives of the study.

A conceptual framework occurs when a researcher links concepts from literature to establish evidence to support the need for the research question. If somebody else has already linked these concepts with valid research, they made a theoretical framework which can be used as a readymade map for researchers to guide their own research questions.

A clear conceptual framework should be developed and presented as a last section in this chapter. A diagram may be drawn to illustrate the relationships among the concepts and variables.

The theoretical framework is an examination of the existing or self-formulated theories in relation to the researchers' study. It is a collection of theories and models from the literature which underpins the study. A theory is set of interrelated variables, definitions and propositions that specify relationships among the variables.

A PhD student should state both the theoretical and conceptual frameworks in order to provide a solid foundation for his/her study.

Citation of the literature reviewed should be in accordance with recommended APA format (6th Edition referencing style for citation and reporting statistics). However, a student may use another referencing style if it is deemed necessary and recommended by the supervisors to be the most appropriate given the nature of the study.

8.1.9 Chapter Three: Research Methodology and Tools

This chapter refers to a detailed description of the methods and tools to be used in carrying out field research, desk research, and analysis of the data collected. The sections of this chapter are:

a) Research Design

This describes the nature and pattern the research intends to take. Research designs include: (i) experimental; (ii) descriptive; (iii) longitudinal; (iv) survey and (v) exploratory. Research design should not be confused with techniques of data collection like qualitative and quantitative methods. A student should state and justify the intended choice of the research design

b) Study Population

It is important to explain the population from which the sample is to be taken. The study population refers to the people, objects and events from which the study sample is drawn. The student should describe the study population for his/her field research, clearly pointing out the major characteristics and numbers involved. The choice of study population should be justified in relation to variables studied.

c) Sampling

Sampling is a method of determining a subset of a study population to be used when carrying out field research. This can be achieved through identification of a sampling frame. A sampling frame should consist of sample size and sampling techniques to be used in the study. The sample size should be determined using either confidence level or sampling formulae or rule-of-the-thumb. A student should choose appropriate techniques such as random sampling, stratified, classified, purposive, systematic, snowballing etc.

The student should describe the sampling frame to be used in the study. The description should show the sample size and sampling techniques to be used and their justification.

d) Data Collection Methods and Instruments

The methods used to collect data from the field are many and varied. They include: general interviews; Focus Group Discussion (FGD), in depth interviews, observation, reviews of primary documents among others. The instruments may include; questionnaires, interview guides and check-lists. The choice of these methods and instruments depends so much on the overall design of the study.

Each of the methods and instruments to be used in the study has to be explained fully and a copy of the instrument appended.

The student should indicate the data collection methods to be used in the study and justification for using each method.

The student should design, explain and justify the data collection instrument intended to be used and clearly show how each instrument will be administered.

e) Validity and Reliability Tests

These are important because they explain the quality of the data gathered. There are several ways of carrying out validity and reliability tests. Some may arise out of a pilot test.

f) Data Processing

This is a process of cleaning and organising data for the purposes of presentation and analysis. Data processing includes editing, coding, tabulating and synchronising the data. The student should indicate how he/she intends to process the data. The student should also specify the computer programme he/she intends to use.

g) Data Analysis

Data analysis involves organisation and interpretation of the data generated. The student should indicate the appropriate data analysis approach to be used for each objective in the study. The student should adequately describe and justify appropriate data analysis techniques to be used.

h) Limitations

The limitations sections of the research proposal describe situations and circumstances that may affect or restrict the methods and analysis of research data.

Limitations are influences that the researcher cannot control. They are the shortcomings, conditions or influences that place restrictions on the methodology and conclusions of a study. Any limitations that might influence the results should be described and explained.

In stating the limitation, the student should consider a number of factors such as analysis of data, the nature of self-reporting, the instruments to be used, the sampling strategy and time constraints.

A student shall state clearly the anticipated problems, challenges and risks and reflect appropriate ways of overcoming them.

i) Ethical Considerations

The student shall explain how he/she plans to handle ethical concerns or issues regarding the research such as matters of confidentiality, consent, safety, integrity, truthfulness, plagiarism/copying among others.

j) References

Any proposal must include a detailed list of references, which tells the reader where to look for articles cited in the text. Citation of the literature reviewed should be in accordance with recommended APA format (6th Edition referencing style for citation and reporting statistics). However, a student may use another referencing style if it is deemed necessary and recommended by the supervisors and approved by the Higher Degrees Committee to be the most appropriate given the nature of the study.

8.1.10 Appendices

- a) Work plan
- b) Budget
- c) Questionnaire
- d) Interview schedule
- e) Focus Group Discussion (FGD) plan
- f) Observation check list and justification

9.0 FORMAT OF THE PhD THESIS

9.1 Thesis Format

A Thesis is a written and logical presentation of the research findings, their analysis and interpretation. The write-up specifications of the thesis shall be between eighty thousand and one hundred thousand words (80,000 to 100,000 words), that is, between 260 and 350 pages, typed on one side of A4 (210 x 297) mm paper and double spaced, in Times New Roman, font 12 size. The pages from the declaration page up to the abstract should be numbered in Roman numerals (i,ii,iii...). From chapter one up to the end of the reference list, pages should be numbered in Arabic numerals (1,2,3...).

A thesis has the following key contents which consist of:

9.1.1 Cover / Title page

- i. Preliminary Information
- ii. The thesis text (including references)
- iii. Appendices

9.2 Contents of the Thesis

A thesis shall comprise of:

9.2.1 Cover / Title Page

The cover page should bear the Thesis topic in capital letters at the top, the full name and index number of the candidate in the middle, the legend “A thesis submitted to the School of Postgraduate Studies and Research for the award of the Degree of Doctor of Philosophy (broad discipline) of Nkumba University”, and the date of submission should appear below in the form of month and year of graduation. The thesis shall be bound in hard cover and maroon in colour. On the spine, the name of the candidate, the degree to which the work is submitted and the year of submission (e.g. Mary Ngobo, PhD, October, 2013 – written vertically and (NU) – written horizontally at end of the spine)

The title page should bear the Thesis topic in capital letters with full names and Index number of the candidates below. The legend “A thesis submitted to the School of Postgraduate Studies and Research for the award of Doctor of Philosophy of Nkumba University” should appear in the middle of the page. The date of submission should appear below in the form of month and year.

The thesis title should be brief and simple reflecting the specific aspects of the study. It should not exceed twenty four words and where necessary should reflect key variables of the study.

9.2.2 *Declaration*

This is a pronouncement by the student that this study is original, done by the student and has not been submitted for any award anywhere else by the student or any other person. The student shall sign the declaration. (Please, see sample attached in appendix.....)

9.2.3 *Approval Page*

The appointed Supervisors have to sign the approval page as a confirmation that they supervised the student and submission is made with their approval. (Please, see sample attached in appendix.....)

9.2.4 *Dedication*

This mentions the name(s) to who the research is dedicated and basis for dedication in a precise manner.

9.2.5 *Acknowledgement*

This entails recognition of mentors, colleagues, sponsors, individuals and institutions that have made significant contribution to the research.

9.2.6 *Table of Contents*

The table of content serves as a synopsis or headline display. It contains an index and reference to all major sections of the thesis with an indication of page numbers on which all they are located.

9.2.7 *List of Tables*

A list of tables consists of all the tables in the thesis showing their headings, titles and page numbers.

9.2.8 *List Figures / Diagrams/ Illustrations*

Captions of figures, diagrams and illustrations used in the thesis and their corresponding pages are listed.

9.2.9 *Abbreviations and Acronyms*

All abbreviations and acronyms used in the thesis are listed alphabetically and written in full form.

9.2.10 *Operational Definition of Key Terms*

The student shall give operational definitions of the key terms used in context of the research.

9.2.11 *Abstract*

An abstract is a brief statement of the thesis pointing out the focus of the study, objectives, theoretical and conceptual frameworks, methodology, the key findings and student's contribution to knowledge

(suggested theories, methods, models, and approaches among others). This should not exceed 600 words or about two pages.

The thesis text should include:

9.2.12 Chapter One – Introduction to the Study

This chapter should contain the following sections:

a) Background to the study

The background gives the rationale of the study. Therefore a student is expected to provide evidence and conditions of the existing situation and make clear and logical statements about the major study variables.

The first paragraphs should state the conceptual aspect, that is, what is the study about and why that particular topic. The theoretical aspects, or what theories inform the independent variable of the area of study; the historical aspect should highlight how other scholars have viewed the same issues; and the contextual aspect should refer to the exact context where the study is being carried out. This should not exceed 2400 words or about 8 pages.

b) Statement of the Problem

The statement of the problem refers to what has been detected in the practical or theoretical world and needs a solution. It is derived from the background and should be supported with published literature or recorded statements. The student should clearly state the nature of the problem, its known or estimated extent or magnitude and bring out the limitations or delimitations of the independent and dependent variables as noted in the background. This should not exceed 900 words or about three pages.

c) Purpose of the Study

This refers to the general intention of the research. For this reason, it states what the research sought to accomplish or achieve. It should reflect the relationship of variables in the topic.

The student should clearly spell out the intention of his/her study.

d) Objectives of the Study

These arise directly from the purpose of the study. Each specific objective should state what must be achieved. The student should write the objectives in such a way that they reflect what he/she intended to achieve. For every objective, there must be a method of achieving it.

e) Research Questions/Hypotheses

A research question is a clear, focused, concise and arguable inquiring statement derived from the research objectives. The number of research questions should correspond with the number of specific objectives. The student should state clearly the research questions used in the study.

A hypothesis is a statement of assumption that has to be tested in a study. It may be stated as null and alternate hypothesis. Hypotheses may also be stated in non-directional way. A student should state each hypothesis to correspond with one objective.

f) Scope of the Study

This section defines the research coverage in terms of time, content, depth of investigation, sample size, theoretical coverage and geographical coverage. It therefore, defines the parameters of the research. The student should state with justification the scope of his/her study.

g) Significance of the Study

This refers to the academic relevance of the study. It focuses on academic contributions and practical use arising out of the research findings. It should emphasise knowledge creation or innovative application of existing knowledge to society. The student should be able to point out the potential contribution and relevancy of his/her study.

h) Unit of Analysis

A unit of analysis is the major entity that is being analysed in the study. It is the 'what' or 'whom' that has been studied. In social science research, the most typical units of analysis are individual people. Other units of analysis can be groups, social organizations and social artefacts.

The student should state with justification, the unit of analysis used in the study.

9.2.13 Chapter Two - Literature Review

This chapter deals with the analysis of existing literature on the subject with the intention of bringing out the contributions, the limitations, differences and gaps. This chapter should contain the following key elements:

- a) Purpose of the chapter which should be stated in the first paragraph of the chapter;
- b) Survey of the available literature on the topic which helps to confirm that the student has not re-invented the wheel or researched on a topic that has already been studied;

- c) Theoretical review which should be carried out according to themes of the study and should reflect the objectives, hypotheses, methods, and research questions;
- d) Conceptual analysis which should reflect the relationships among concepts or variables that the student analysed in order to achieve the stated objectives of the study.
- e) Review of related literature which should show similar works carried out elsewhere with emphasis on identified gaps in terms of coverage, context, timing and methodology.

Throughout the literature review, the student should discuss/ debate the issues raised. Citation of the literature reviewed should be in accordance with recommended APA format (6th Edition referencing style for citation and reporting statistics). However, a student may use another referencing style if it is deemed necessary and recommended by the supervisors and approved by the Higher Degree Committee to be the most appropriate given the nature of the study.

9.2.14 Chapter Three - Research Methodology and Instruments

This chapter should show the methods, approaches and instruments used to obtain data and information from the field. In this chapter, a student should describe:

a) Research Design

A research design is a plan for carrying out field research. It describes the nature and pattern used during field research. The research design (for example; survey, historical, experimental, exploratory, descriptive among others) used in the study should be explained and justified. The qualitative and quantitative methods of data collection used should be indicated and justified.

b) Study population

The study population refers to the people, objects and events from which the study sample is drawn. The student should describe and justify the choice of the study population for his/her field research, clearly pointing out the major characteristics and numbers involved. Choice of the study population should be justified in relation to the variables studied.

c) Sampling

Sampling is a method of determining a subset of a study population (sample size) to be used when carrying out field research as well as specifying the techniques used in selecting the units of the subset. This can be achieved through identification of a sampling frame. The sample size should be determined using either confidence level or sampling formulae or rule-of-the-thumb and as much as

possible should be adequate. There are several sampling techniques such as random sampling, stratified, classified, purposive, systematic, and snowballing among others from which a student should choose the ones most appropriate to the nature of the study. The student should describe the sampling frame used in the study. He/she should describe and justify the sample size as well as the sampling techniques used in the study.

d) Data Collection Methods and Instruments

The methods and instruments used to collect data from the field are many and varied. The methods include: interviewing, Focus Group Discussion (FGD), observation, reviews of primary documents among others. The data collection instruments include, questionnaires, interview guides, observation check-lists among others. The choice of the methods and instruments depends on the overall design of the study. Each of the methods and instruments to be used in the study has to be explained fully and a copy of the instrument appended. The student should describe and justify each of the data collection methods and instruments used in the study. The student should clearly show how each tool was administered.

e) Validity and Reliability Tests

Validity is the extent to which a test (items of research instrument) measures what it claims to measure. The four common types of validity are content, concurrent and predictive and construct. It is important for the test to be valid so that the results can be accurately interpreted, believed and applied. A student should explain and justify at least two tests of validity of his\ her research instruments used in the study.

Reliability refers to the consistency of a measure. The variable on the research instrument is considered reliable if when tested several times, the same results are obtained. The ways of conducting a reliability test include: test – retest, inter – rater, parallel – forms and internal consistence. Students should explain the reliability test conducted and justify the results obtained.

f) Data Processing

This is a process of cleaning and organising data for the purposes of presentation and analysis. Data processing includes editing, coding, entering, tabulating and synchronising the data. The student should describe how he/she processed the data. The student should also specify the computer program he/she used.

g) Data Analysis

Data analysis involves organisation and interpretation of the data generated in respect of each objective in the study. There are several approaches to data analysis; qualitative and quantitative approaches. There are several techniques that can be used under data analysis. These include descriptive and explanatory techniques for qualitative data and statistical techniques (correlations, regression, chi square) among others for quantitative data. The student should adequately describe and justify the data analysis approaches used for each objective in the study.

h) Limitations

The limitations section of the thesis describes situations and circumstances that may affect or restrict the methods and analysis of research data. Limitations are influences that the researcher cannot control. They are the shortcomings, conditions or influences that place restrictions on the methodology and conclusions of a study. Any limitation(s) that might influence the results should be described and explained. In stating the limitation, the student should consider a number of factors such as analysis of data, the nature of self-reporting, the instruments used, the sampling strategy and time constraints.

A student should state clearly the problems, challenges and risks encountered during the study and show how these have been overcome.

i) Ethical Considerations

The student shall explain how he/she handled ethical concerns or issues regarding the research such as matters of confidentiality, consent, safety, integrity, truthfulness, plagiarism/copying, among others.

9.2.15 Chapter Four - Historical and Philosophical Aspects of the Study Variable

This Chapter describes and analyses the philosophical issues related to the study's independent variable. The historical aspects of the same variable are described and analysed thoroughly to enable the reader gauge the student's broad understanding of the trends of the variable. In doing so, the student should take into account the following issues:

- a) An introductory overview of the variable;
- b) The philosophical underpinning of the study variable;
- c) The key contributors to the philosophical thinking on the variable;
- d) The historical aspects presented in a chronological manner;
- e) The current state of the variable in the study country/region;
- f) The attendant legal, policy and practical issues.

A student should demonstrate a critical and thorough understanding of the study variable. The student should provide a balanced/objective assessment of the variable.

In writing this chapter the student should not simply repeat the content of literature review but rather focus on the philosophical and historical understanding of his/her chosen discipline of study.

9.2.16 *Chapter Five, Six*

Format for Presentation, analysis and interpretation of research findings

After the first four chapters of the thesis, the student is required to present, analyse and interpret the research findings in respect to each study objective in separate chapters.

In some cases the results are presented in one chapter and the discussion and interpretation are given in a separate chapter. In this case, chapter five is for presentation of findings and chapter six is for discussion and interpretation of findings.

9.2.17 *Guidelines for presentation, Analysis and Interpretation of Findings*

For presentation, the student has to explain using tables, figures, illustrations and case stories in order to convey his/her findings. The presentation should be structured logically according to the research questions.

For analysis, the student may analyze the data using descriptive statistics (e.g. percentages, averages, and counts) and/or inferential statistics (e.g. chi square, correlation, regression) among others. A student may also analyze data qualitatively (e.g. by critical description, explanation, dialogue, comparison) among others.

For interpretation, the student should generate answers and make conclusive remarks in relation to each of the research question and the key variables.

For summary,

In each chapter, the student should provide a clear summary of the key issues raised and observations made.

For the conclusion,

In each chapter, the student should state his/her interpretation or understanding of the outcomes in relation to the overall purpose of the study.

9.2.18 *Last Chapter – Overall Conclusion and Contribution to Knowledge*

This chapter shall be numbered following the format adopted for the study.

In making overall conclusion, the student should clearly state what he/she intended to achieve, what he/she found out in relation to the purpose of the study. He/she should articulate the theoretical and practical issues plus their broad relevancy in relation to the available norms and models. The student should clearly affirm his/her convictions on the issues established in the study.

For contribution to knowledge, the student should come up with substantive possible solutions, strategies, models, frameworks, theories etc. as a contribution to the knowledge gap identified through analysis and interpretation of the research findings. The proposed model, framework, theory, approach or method should be explained fully and illustrated. The student should prove that the proposed contribution has immediate, relevant and practical applicability.

9.2.19 References

The student must list all works cited in the thesis in accordance with the approved university format for postgraduate research. The student shall use APA 6th Edition referencing style except under special circumstances where permission has been obtained.

9.2.20 Appendices

Appendices should include; field research instruments, maps and relevant documents and illustrations.

10.0 SUBMISSION OF PROPOSAL AND THESIS FOR ASSESSMENT

10.1 Submission of Proposal

At the end of the PhD research training, a student is required to submit a proposal. The School of Postgraduate Studies and Research (SPGSR) shall publish a schedule for proposal submission for assessment three months before the date of presentation. The following must be observed in the submission process:

- i. Produce and present three duly signed spiral bound copies of the proposal to the SPGSR;
- ii. Present a duly signed progress report to the SPGSR when submitting a proposal;
- iii. SPGSR issues a letter inviting the PhD student to present the proposal before a panel;
- iv. Prepare a Power Point presentation of not more than 15 slides.

10.2 Assessment of the proposal Framework

Assessment of the proposal shall be made within the following framework:

- i. The SPGSR shall appoint two assessors from among the members of the PhD Vetting Committee one month before the date of presentation;
- ii. The appointed assessors shall read, score and give feedback on the proposal;
- iii. The student makes a power point presentation to a panel constituted by at least five members including the chairperson, the two supervisors and the two appointed assessors; the Director SPGSR will act as the Secretary;
- iv. The panel shall assess the proposal based on the approved assessment guidelines;
- v. The final decision on the proposal shall be made by the panel and announced to the candidate on the same day;
- vi. The panel chairperson shall submit a duly signed declaration form carrying the final decision to the SPGSR;
- vii. The scores of the assessors and of the panel members (excluding supervisors) will be collated to determine the final decision;
- viii. The pass mark for the proposal shall be 50%.
- ix. The duration of the assessment by the panel will last not more than 45 minutes;

- x. The student will receive a written communication from SPGSR that the proposal was either rejected or approved with corrections or accepted without corrections;
- xi. If the proposal is rejected, the student is asked to rewrite the proposal, resubmit and present again;
- xii. If the proposal is approved with corrections, a revised copy of the proposal should be handed to the assigned supervisor within a period of two weeks.
- xiii. When the assigned supervisor is satisfied with the corrections, he/she will send the revised copy, with a written report to the SPGSR indicating that corrections were properly done;

10.3 Submission of Thesis

10.3.1 Submission of Thesis for Examination

Submission of the thesis shall be based on the following procedures and requirements:

- a) A candidate shall give at least six months notice in writing to the SPGSR indicating his/her intention to have his / her thesis assessed;
- b) The student should provide progress reports to accompany the notice;
- c) The supervisors recommend in writing the student to submit the thesis for examination;
- d) The candidate shall submit 5 spiral bound copies of the duly signed thesis to the SPGSR six months to the graduation;
- e) At the time of submission, the student provides evidence of being a duly registered student of the University and has fully paid a thesis fee;
- f) The SPGSR shall issue a letter acknowledging receipt of the thesis.

10.3.2 Assessment of the PhD Thesis

The assessment of the PhD thesis takes three forms of examination:

- a) Internal Examination:
 - i. There shall be two Internal Examiners proposed by the PhD Vetting Committee and appointed by the Director of SPGSR;
 - ii. An Internal Examiner does not necessarily have to be a full time staff of Nkumba University.

- iii. The Internal Examiner shall assess the submitted thesis using an approved University assessment form and prepare a narrative assessment report using approved university guidelines;
- iv. The time allowed for internal examining shall not exceed three months.

b) External Examination:

In order to uphold quality of research in the university, all PhD theses shall be subjected to external examination. The following aspects shall apply:

- i. There shall be an external examiner proposed by the PhD Vetting Committee and appointed by the Director of SPGSR;
- ii. The External Examiner shall assess the submitted thesis using an approved university assessment form and prepares a narrative assessment report using approved university guidelines;
- iii. The time given for external examining shall not exceed three months.

c) *Viva voce*

There shall be a duly constituted panel to examine a PhD candidate at a Viva Voce presentation. The composition of the panel and procedures at the presentation shall be as shown below.

10.3.3 Composition of the Viva Voce Panel

The Panel shall consist of:

- i. A Dean of School as Chair (if he or she is a PhD holder)
- ii. Internal examiner
- iii. External examiner (where possible)
- iv. Two Supervisors
- v. Two Senior staff members

Any other staff member or member of the public who may be invited or interested in listening to the viva voce may attend given that the PhD defence is a public presentation. A student may invite a number of guests to attend the presentation.

10.3.4 Procedures and Assessment of the presentation at the Viva Voce

The following procedures and assessment criteria shall be observed:

- i. The Chairperson constitutes the Panel and makes opening remarks;
- ii. The Panel discusses its business in the absence of the public and thereafter the public is invited;
- iii. The Candidate shall be invited for the defence and introduced to the panel by the Chairperson;
- iv. The Candidate shall make a power point presentation of his/her study for not more than one hour;
- v. After the presentation, members of the panel shall ask appropriate questions to which the Candidate shall respond. This shall take about forty minutes;
- vi. The Chairperson shall declare the defence closed, request the Candidate and members of the public present to leave the defence room to allow the panel to deliberate on the candidate's performance. This shall take about twenty minutes;
- vii. Members of the Panel to score the candidate's performance shall be:

(1) Chair of the panel,	1
(2) Internal Examiner,	1
(3) Two senior members of staff,	2
(4) External Examiner (when available)	<u> </u> (1)
Total scorers	4 or (5)
- viii. Supervisors shall not score the Candidate

10.3.5 Assessing the Defence

In assessing the defence, the Panel shall consider the following:

- i. Proof that the work is original (i.e. it was done by the candidate);
- ii. The student is able to state clearly the study area and the population he/she interacted with;

- iii. The candidate is able to articulate the contribution of his/her work to society in solving theoretical or practical problem(s);
- iv. The candidate should be able to justify the use of the chosen research methodology in relation to the study purpose, objective and research questions;
- v. The candidate demonstrates good understanding of the University research guidelines;
- vi. The candidate is able to orally articulate a good understanding of his/her own work.
- vii. The marks of the panel scorers are collated and the average is recorded as the viva voce mark.
- viii. The Final Mark scored by a candidate shall be an average of the Internal, External and the viva voce assessment

The Candidate shall be rated as follows:

- | | | | |
|---------------------------------|-------------|---|-----------------------------|
| (1) Average mark 90% - 100% - | Outstanding | - | Pass with great distinction |
| (2) Average mark 80% - 89% - | Excellent | - | Pass with distinction |
| (3) Average mark 70% - 79% - | Very Good | - | Pass |
| (4) Average mark 60% - 69% - | Good | - | Pass |
| (5) Average mark 50% - 59% - | Fair | - | Near pass |
| (6) Average mark 00% - 49% - | Poor | - | Fail |
| (7) The pass mark shall be 60%; | | | |

10.3.6 Panel Decision

The Panel shall consider whether:

- i. The work is worthy of the award of the PhD degree in its present form;
or
- ii. The work is worthy of the award after effecting corrections/adjustments, to the satisfaction of the Supervisors within a given time frame;

- iii. The work is near pass and the Candidate is required to make the necessary corrections and adjustments and to re-submit for re-examination;
- iv. The work is not satisfactory and therefore, is not worthy of the award of the PhD degree of Nkumba University.

10.3.6 *Advice of the Panel*

- i. Where the candidate has passed and the work requires no corrections, the Panel shall advise him/her to proceed for final submission;
- ii. Where the candidate has passed and the work requires corrections/adjustments, the Panel shall assign one of the supervisors to guide the candidate through the required corrections of thesis to his/her satisfaction.
- iii. Where the work is near pass, the Panel shall advise the Candidate to make the necessary corrections and adjustments and to re-submit for re-examination;
- iv. Where the Candidate has failed to get the pass mark, the Panel shall advise him/her to re-do and submit the thesis for examination;

Where the work requires corrections/adjustments, the Panel shall highlight the areas that the Candidate shall need to correct or adjust and the time frame within which the corrections/adjustment shall be made in accordance to the given time frame.

- i. Students scoring between 60% and 100% - one month
- ii. Students scoring between 50% and 59% - six months (to be re-examined).
- iii. Students scoring between 00% and 49% - advised to start the PhD all over again

It should be noted that the above is a guide but the Panel may exercise its discretion to define a time frame for a particular candidate:

- i. The Panel shall invite the Candidate back into the room and inform him/her of the Panel's decision;
- ii. The Panel Chairperson shall submit a duly signed declaration form carrying the final decision of the Panel to the Director of SPGSR;
- iii. The Candidate shall receive a written communication from the Director of SPGSR on the decision of the Panel.

In case of re-submission and re-examination a candidate shall be required to pay the thesis fee.

11.0 FINAL SUBMISSION AND GRADUATION

11.1 Final Submission of Thesis

The following conditions shall apply for the final submission of a thesis:

- i. A Candidate who has fulfilled the requirements of the Panel, shall proceed to make the final submission of his/her thesis at least one month before graduation;
- ii. The Supervisor writes to the Director SPGSR with a copy to the Academic Registrar indicating that the candidate has made all corrections / adjustments and is eligible for graduation;
- iii. The Candidate shall submit three duly signed hard cover bound copies of the thesis to the Director, SPGSR;
- iv. The Director SPGSR shall write a letter of acknowledgement of receipt of the final copies of the thesis and indicate that the Candidate is eligible for Graduation;
- v. A candidate may, with approval of his/her supervisor (s) publish the whole or part of his/her work provided that due reference is made to the University in such publications;
- vi. Approved copies of thesis shall become the property of the University.

11.2 Graduation

11.2.1 Graduation conditions

The Degree of PhD is awarded to a candidate who has fulfilled the following requirements.

- a. The candidate has made the final submission of the thesis in accordance with the requirements and guidelines.
- b. The candidate has published at least one paper from his/her thesis in a peer reviewed recognised Journal where he/she is the first author.
- c. The candidate has fully paid all fees.
- d. The Candidate has registered for graduation

The University reserves the right to recall/withdraw the award in accordance to **Section 37 (3 a & b) of the Nkumba University Charter, 2007.**

11.2.2 PhD Regalia

The approved PhD regalia is made up of:

- (i) A PhD hood made of Royal Red on the outside, and Cream yellow on the inside.
- (ii) A PhD gown made in blue and the University Logo is placed at the chest on both sides
- (iii) A PhD mortar board

1. Research Timelines

Research Activity		Year 1, Sem. 1	Year 1, Sem. 2	Year 2, Sem. 1	Year 2, Sem. 2	Year 3, Sem. 1	Year 3, Sem. 2
1	PhD Training in Research						
2	Proposal Development						
3	Submission of Proposals						
4	Field Research						
5	Data Analysis and Report writing						
6	Submission for Examination						
7	Final Submission and Graduation						
8	Supervision						

Note

The SPGSR shall publish specific dates for each of the activity following the above time frame and in consultation with Academic Registrar.

12.0 Appendices

12.1 Concept Assessment Form



Nkumba University

OFFICE OF THE ACADEMIC REGISTRAR

PhD CONCEPT ASSESSMENT FORM

1. NAME: _____
2. QUALIFICATIONS: _____
3. AREA OF STUDY: _____
4. SCHOOL: _____
5. SUGGESTED SUPERVISORS: 1. _____
2. _____
6. SUGGESTED TOPIC:

FOR OFFICIAL USE ONLY

VETTING COMMITTEE'S COMMENTS:

RECOMMENDATIONS:

- (a) **ADMISSION** _____
- (b) **SUPERVISORS (1)** _____
- (2) _____



Nkumba University

OFFICE OF THE ACADEMIC REGISTRAR

PhD Synopsis Assessment Form

TOPIC

STUDENTS NAME

Synopsis Assessment Could be based on the following				
	Areas	Points	Score	Comments
1	Clarity of the research area	05		
2	Clarity of the study background	10		
3	Clarity of the Problem statement	10		
4	Clarity of Objectives	10		
5	Clarity of Research questions	10		
6	Understanding of sampling	05		
7	Research plan/ design	10		
8	Methods of data collection	05		
9	Target population	05		
10	Oral presentation	30		
	TOTAL	100		

Assessor's Name.....

Signature.....

Title

Date

Please Note That

- It is proposed that each of the above items is awarded 10marks. Giving a total of 100 marks.
- A synopsis which does not score 50% and above will not have satisfied the panel and therefore the candidate will be advised to improve it before proceeding to the next level.

12.2 PROGRESS REPORT FORM



Nkumba University

School of Postgraduate Studies and Research

REPORT ON THE PROGRESS OF PhD STUDENTS' RESEARCH

To be completed by the Supervisor and the student every Semester, and forwarded to the School of Postgraduate Studies and Research.

SECTION A

(To be filled by the student)

Semester.....

1. Name -----

2. Registration No -----

3. Current Year and Semester of Study -----

4. Area of Study -----

5. Supervisors' Names (1) -----

(2) -----

6. Research Topic
.....
.....

7. Give a summary of the progress you have made this semester.

8. State what you have learnt/done better this semester

.....
.....

10. State what you have not accomplished as had been planned and why

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

11. Relationship with supervisor was; (Tick where applicable)

(I) Very Good [] (ii) Good [] (iii) Fair [] (iv) Poor []

12. Number of Planned meetings with supervisor..... and number of times met.....

Signature.....**Date**.....

SECTION B

(To be filled by the supervisor)

1. Number Planned meetings with student and number of times met.....

2. Give a summary of the progress made by the student this semester (i.e., what specific things has she/he been able to do?)

.....
.....

3. State difficulties you have experienced in contacting and supervising the student

.....
.....

4. State the students' strength as a PhD candidate

.....
.....

12.3 Template of Cover Page for Proposal

***ASSESSING THE EFFECTIVENESS OF PHD RESEARCH
GUIDELINES IN STUDENTS' COMPLETION: THE CASE
OF NKUMBA UNIVERSITY'S PhD GUIDELINES***

***MICHAEL MAWA
2012/AUG/PhD/001***

***A RESEARCH PROPOSAL SUBMITTED TO NKUMBA UNIVERSITY AS A
PROCEDURAL REQUIREMENT TO CONDUCT PHD RESEARCH***

JUNE 2013

12.4 Template of Cover Page for Thesis

***ASSESSMENT OF THE EFFECTIVENESS OF PHD
RESEARCH GUIDELINES IN STUDENTS' COMPLETION:
THE CASE OF NKUMBA UNIVERSITY'S PhD GUIDELINES***

***MICHAEL MAWA
2012/AUG/PhD/001***

***A THESIS SUBMITTED TO THE SCHOOL OF POSTGRADUATE STUDIES AND
RESEARCH FOR THE AWARD OF THE DEGREE OF DOCTOR OF PHILOSOPHY
OF
NKUMBA UNIVERSITY***

JUNE 2013

12.5 Template of a Declaration Page

DECLARATION

I **Michael Mawa** do hereby declare that this Thesis is my original work and that it has not been submitted to any other university or institution of higher learning for an academic award. This document is the result of my own independent research effort and investigation. Due acknowledgement has been made to other scholars' works.

.....

Michael Mawa

.....

Date

12.7 Template of Study Plan



Nkumba University

School of Postgraduate Studies and Research

INDIVIDUAL STUDY PLAN FOR A PhD STUDENT

1. CANDIDATE’S BIO-DATA

Surname:	Other/Middle name:	First Name:
Date of Birth:	Sex:	Marital Status:
Nationality:	Residence:	
Home Address:	E-Mail:	Phone No.:
Workplace:		Designation:
	E-mail:	Phone No.:
Next of Kin:	E-mail:	Phone No.:
Academic Qualifications:	Degree	Area of Study
	1 ST	
	2 ND	
	Others:	

2. GENERAL INFORMATION ABOUT PhD STUDIES

Study Discipline:	School:
Admission Test:	Presentation of Concept Paper:
Date:	Date:
Strength/Weaknesses: • •	Strength/Weaknesses: • •
Intake:	Expected Year of Completion:
Proposed Research Topic:	Proposal Presentation Date:

3. SUPERVISION

First Supervisor:	Second Supervisor:
Name:	Name:
University:	University:
School/Faculty	School/Faculty:
Area of Discipline:	Area of Discipline:
Address:	Address:
E-mail:	E-mail:
Telephone No.:	Telephone No.:

4. MANDATORY RESEARCH SEMINARS

SEMINAR	THEME	DATE	FACILITATOR	REMARKS
1	Overview of postgraduate (PhD) Research			
2	Literature Review and Citation			
3	Research Methods (Qualitative and Quantitative)			
4	Data Analysis and Presentation (use of computer Programmes)			
5	Research Proposal Writing			
6	Advanced Academic Writing			

5. PhD STUDENTS' CERTIFICATE COURSE & NETWORKING CONFERENCE

MODULE	THEME	REMARKS
1.		
2.		
3.		
4.		
5.		
6.		
PhD WORKSHOP	PhD Networking Conference	

6. GENERAL PLAN FOR THE RESEARCH PROCESS

ACADEMIC YEAR/SEMESTER	YEAR OF STUDY	SEMESTER	ACTIVITY	REMARKS
2013/AUGUST	1	1	PhD Training in Research	
	1	2	Proposal Development and Submission	
	2	1	Data Collection (Field Research)	
	2	2	Data Analysis	
	3	1	Data Analysis Thesis Writing	
	3	2	Thesis Submission for Examination (Internal, External and <i>Viva Voce</i>)	
Student and his/her supervisor should agree on specific work/supervision schedule during the research process and should be adhered to.				
Publication of at least one article from the PhD work in a reputable journal or as a chapter in a book during the study process but before the graduation shall be required.				

7. WORK AND SUPERVISION SCHEDULE

S/No.	YEAR OF STUDY	SEMESTER	ACTIVITY	MONTH	EXPECTED OUTCOME	REMARKS

We, the undersigned, agree to adhere to the agreed upon study plan in accordance with the approved PhD Guidelines for a timely and successful completion of the PhD Programme of Nkumba University.

Signed:

.....

.....

Supervisor

Student

Date

Cc: Academic Registrar
Dean of School



Nkumba University

OFFICE OF THE ACADEMIC REGISTRAR

PhD Proposal Assessment Form

TOPIC -----

STUDENTS NAME _____

Thesis Assessment Could be based on the following				
	Areas	Points	Score	Comments
1	Clarity of the topic	5		
2	Clarity of background statement	10		
3	Clarity of the Problem statement	10		
4	Clarity of Objectives	10		
5	Appropriateness of Research Questions or Hypothesis	10		
6	Relevance of reviewed Literature	10		
7	Appropriateness of sampling techniques	10		
8	Research Design	10		
9	Methods of data collection	10		
10	Unit of analysis being clear	5		
11	Overall impression of the Proposal	10		
	TOTAL			

Assessor's Name.....

Signature.....

Title

Date

Please Note That

- It is proposed that each of the above items is awarded 10 and 5 two items for marks. Giving a total of 100 marks.
- A thesis which does not score 60% and above will not have satisfied the panel and therefore the candidate will be advised to re-submit