

GUIDE FOR HIGHER DEGREE RESEARCH SUPERVISION

SCHOOL OF GRADUATE STUDIES

KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY, KUMASI

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FOREWORD

This Guide was derived from a report produced during a workshop that took place at KNUST February 16th -25th, 2016. It was held as part of a Building Stronger Universities II Project (BSU II), being a partnership between KNUST and a Consortium of Danish Universities. This specific part of the project represented was by the Department of Science Education, University of Copenhagen.

The overall objective of this BSU II partnership is to support KNUST in creating an enabling environment for high quality and relevant research. The specific objectives of this program are to (i) Strengthen KNUST's capacity to deliver quality research and promote postgraduate education and, (ii) Improve university-wide services and facilities that support research.

A key outcome of BSU II Project is an improved quality of PhD research processes driven by availability of user friendly protocols and guidelines on PhD planning, and better, healthier supervisor-student relations.

This guide will contribute to improving PhD studies through the integration of supervision aspects into the other protocols.

ACKNOWLEDGEMENT

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PREFACE

This book contains a set of guidelines which systematizes graduate research at KNUST, the foremost science and technology institution in Ghana. The six colleges in the university have their written and unwritten principles which guide graduate education, research and supervision. It was found necessary to produce a single document which makes a unified statement about higher research degrees at KNUST.

To produce the guidelines required broad consultation with the colleges in the university. There is a wide variety of disciplines – Engineering, Science, Medicine, Art, Architecture, Agriculture, Political Science, Humanities and others – in the university and the document should represent this broad spectrum of programmes. There was, therefore, a workshop of heads of departments and graduate coordinators from all the colleges to brainstorm to make the document as all-embracing as possible.

To facilitate the process of improving higher research degrees, a consortium of Danish universities sponsored the workshop as part of the project known as Building Stronger Universities II. The overall objective of the BSU II project was to support KNUST to create an enabling environment for high quality and relevant research. The workshop was to strengthen the capacity of KNUST to deliver quality research and to promote postgraduate education. This publication, therefore, is a summary of the inputs of the representatives of the six colleges at the workshop.

The guidelines contain user-friendly protocols for postgraduate education at KNUST. There is a detailed list of responsibilities for graduate students, guidelines for healthier supervisor-student relationship, the roles of the department, the head of department and the School of Graduate Studies. There are a number of reports to be written and submitted by the students and the supervisors to make evaluation of

the various graduate programmes easier.

As the guidelines are implemented in the various colleges, we expect positive and negative feedback. We welcome all the feedback which can be incorporated into this document to make it practical and useful for all the colleges.

1. INTRODUCTION

As a requirement, all graduate students of the Kwame Nkrumah University of Science and Technology (KNUST) undertake research and thesis associated examinations before completion of their programmes of study. For detailed information about the structure of higher research degree thesis preparation in KNUST, refer to the Guide for the Preparation and Evaluation of Higher Degree Research Thesis.

The quality of the research project depends on a number of factors critical among them is the quality of supervision. This guide has been developed as a resource for higher research degree students and supervisors of KNUST. It outlines the key principles of higher research degree supervision and as well provides some practical advice that will enable academic staff to best meet the training and support needs of their higher degree research students. The ultimate objective of the guide is to foster a fruitful interaction and cooperation between supervisors and students.

2. KEY PRINCIPLES

The key principle that underpins this guide is “assessment for learning”. In this regard, the guide aims to improve students’ learning (formative) through interactive guidance and constructive criticisms. The guide has been prepared in recognition that one does not necessarily improve performance by being assessed based on summative principles because that only gives an impression of a level.

To improve one’s performance – as a learner or as an institution – one must use evidence collected through the assessment to decide what should be the next step in the learning process or what should be improved in the institution. Giving and using feedback are central processes for improvement and quality enhancement. For all those

involved in graduate studies, it is important always to try to include formative aspects. There should therefore be a link between the critical process (pointing at problems) and the constructive one (suggesting possibilities).

The Departments, supervisors and students should not only focus on problems relating to development and progress in the supervision process, but also give positive feedback that will enhance the process. The School of Graduate Studies has an important role in securing formalities and establishing appropriate procedures, which should at the same time, be used to implement quality enhancement. Assessment and evaluation are time-consuming, but should be seen as part of teaching and learning. This entails responsibilities, activities and quality assurance processes carried out by the stakeholders involved in research higher degree process at KNUST.

3. RESPONSIBILITIES, ACTIVITIES AND QUALITY ENHANCEMENT

Graduate education is a complex process involving many actors at different organisational levels. For simplicity, three levels have been identified and presented in the following diagrams: **(Fig.1a and Fig 1b)**

Fig. 1a Organisational Framework of the PhD Education

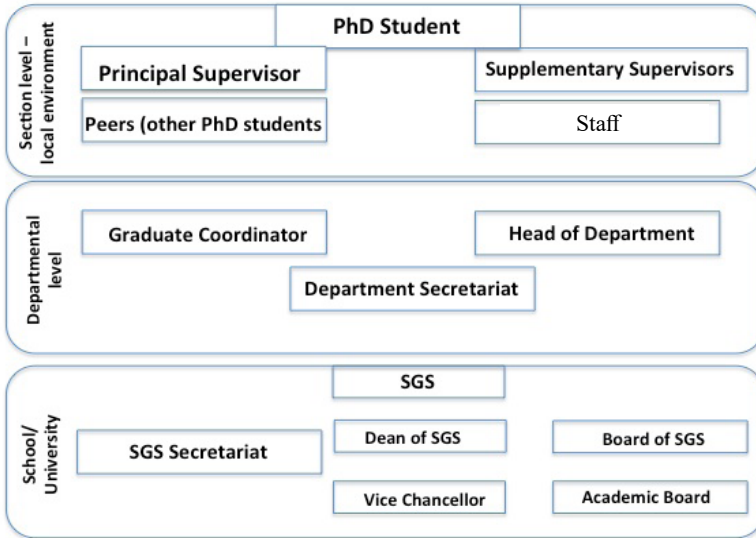
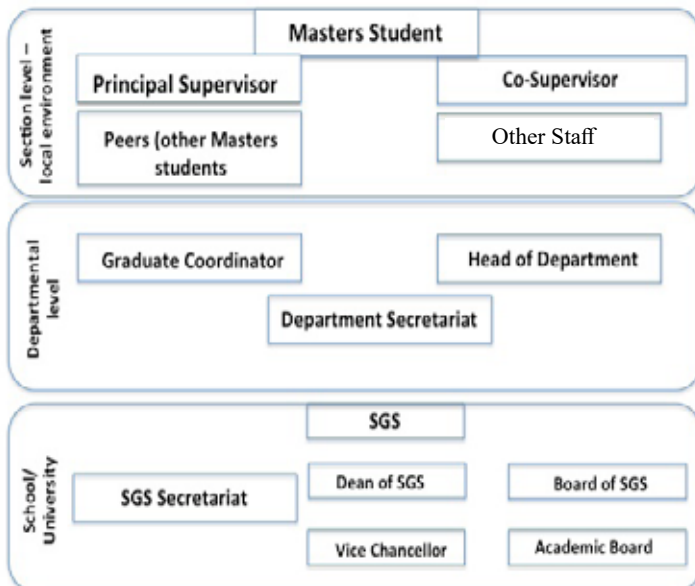


Fig. 1b Organisational Framework of the Masters Education



At the University level, the administration of graduate studies is managed by School of Graduate Studies that is headed by a Dean. The graduate student participates in the supervisors' professional environment together with peers and other staff. This represents the local level.

The departmental level is an important mediator between the two levels. The Head of Department, as a representative of the Provost of the College, has the direct responsibility for graduate training. This responsibility includes the monitoring of graduate students and supervisors, and coordination with the School of Graduate Studies.

The higher research degree student has the responsibility of working to become a researcher and therefore, all activities should be aimed at achieving this goal. His/Her competence must be expressed in terms of mastery of the subject, research insight, respect for the discipline, capacity for independent research and ability to communicate results and relate them to the broader field. The student has a major responsibility of acquiring these skills and competences, under the guidance of the supervisor; these responsibilities (see Section 4) can be overwhelming. Certain formalities have to be fulfilled in order to obtain the above competences. The student needs to assess his or her own progress using some of the activities listed in the appendices and by engaging in positive dialogue with the supervisors.

The supervisors of the student are required to provide academic guidance and practical support from the inception of the programme to the submission of the thesis. In order to undertake graduate supervision, the academic member should have, at least, an equivalent qualification. Also the supervisors have to know and fulfil the formal responsibilities (see Section 5) and acknowledge that supervision is

a special form of teaching that they have to learn. Supervisors can learn through a combination of the following:

- a) from more experienced ones,
- b) by participating in workshops and
- c) by attending courses on supervision.

As with the graduate students, the supervisors have to continuously monitor the supervision process and their own capabilities.

The interplay between graduate students and the supervisors is of pivotal importance. It is typically in the supervision sessions that the student receives constructive feedback and starts a new learning process towards the goals set up in the research proposal. It is, therefore, important to make these supervision meetings as productive as possible (see Appendices for activities for this purpose).

Appendices 1 and 2 indicate the various activities or responsibilities for the graduate student (PhD and Masters) and the supervisor(s). Each activity addresses a specific responsibility and needs to be executed. It also indicates who is responsible for the activity, who shall receive the results of the activity, and finally the outcome and the consequences of the activity.

The School of Graduate Studies has developed formalities and established approved procedures across the different Colleges in the university with the aim of enhancing the supervision process. This is reflected in the list of responsibilities captured in Section 6 of this Guide. The School of Graduate Studies would use the data it collects to identify problems and suggest ways to solve them. A survey or a bunch of progress reports is at the same time summative evidence of the present state of graduate education and a possibility to pinpoint areas for improvement.

4. RESPONSIBILITIES OF THE GRADUATE STUDENT

It is important for the postgraduate student to develop the graduate education culture through the implementation of established activities (actions). This covers the pre-enrolment, enrolment and post-enrolment activities listed below (*Details of the responsibilities are given in Appendices 1&2*).

4.1 Pre-enrolment: Before enrolment, it is expected that the potential higher research degree candidate should do the following:

1. Contact the department for discussion on the choice of programme as well as the prospective supervisor.
2. Write the research proposal/synopsis.
3. Complete application procedures (including attending interviews).
4. Honour all financial commitments to the university and the research process.

4.2 During enrolment

The prospective post-graduate candidate should do the following:

1. Accept the admission and go through all registration processes.
2. Agree on the research topic, plan, scope and objectives of the work in consultation with the supervisor.
3. Acquaint himself/herself with state-of-the-art methods in the field of specialisation.

4.3 Post-enrolment: The postgraduate candidate is expected to engage in the following activities:

1. Dedicate effort and time to meet the requirements of the program
2. Undertake courses for the needed competencies.

programme.

3. Take initiative in raising problems and difficulties that impede their progress.
4. Ensure that the obligations to sponsors are met by timely submission of reports and by meeting any other requirements.
5. Be available and accessible to the department and supervisors.
6. Familiarise themselves with the relevant regulations governing the degrees and requirements imposed on them by those codes of practice
7. Communicate research findings to others in the academic community.
8. Exhibit some level of ownership of the work and be proactive.
9. Do independent work but at the same time be consultative.
10. Liaise regularly with the supervisor(s).
11. Build good relationships and forge professional networks.
12. Evaluate progress independently.
13. Exhibit good conduct.
14. Display initiative in identifying and resolving problems relating to the research.
15. Manage the work efficiently so as not to place unreasonable demands on supervisors.
16. Participate actively in discussions and debates within the department and the university in general.
17. Be well-organised and capable of setting and meeting timelines for various phases of the research.
18. Acquire any new skills required for the programme.

19. Maintain frequent and regular contact with the supervisors.
20. Seek and accept in good faith advice from supervisors and advisory panels,
21. Fulfill tasks required by the supervisors as part of the project.
22. Produce drafts of self-review documents as part of the reporting process.
23. Meet the normal scholarly and professional standards required by their discipline.
24. Start writing the thesis as early as practicable.
25. Develop adequate knowledge in information technology and research skills.
26. Ensure that all written work is of a high standard of expression and organisation.
27. Attend seminars and participate in the academic, professional and social life of the department.
28. Attend conferences, present and publish sections of the work under the guidance of supervisors.
29. Write and submit progress reports at appointed times.
30. Attend all prescribed meetings.
31. Be aware of and learn the local academic culture.
32. Exhibit initiative in finding sources of funds and grants.
33. Have a healthy balance of social life and academic work.
34. Keep and back up research data and all relevant documents securely.
35. Get feedback at every stage of the work from the supervisors
36. Follow the defined communication lines between supervisors

and other authorities

4.4 Completing the Programme:

Postgraduate candidates are expected to go through the following activities to end their programmes:

1. Secure appropriate clearances and requirements.
2. Satisfy all the requirements for graduation.
3. Publish the required number of papers needed for graduation.
4. Note and follow through all other requirements for the submission of the thesis.

Doctoral students are required to refer to Appendix 1 for details of these responsibilities.

Masters students are also required to refer to Appendix 2 for details.

5. ROLES AND RESPONSIBILITIES OF SUPERVISORS

5.1 EXPERT COACHING/ACADEMIC: The supervisor(s) are expected to support their postgraduate students in the following:

1. Academic guidance and explicit ground rules for the supervision.
2. Practical support from the inception to the submission of the project.
3. Constructive feedback on ideas in thesis drafts.
4. Assistance in the formulation, planning and refining of the

research topic.

5. Introduction of the student to relevant current literature.
6. Introduction of the student to formal and informal ethical practices.
7. Advising on the logistics for producing a thesis document.
8. Consulting on the selection of thesis examiners.
9. Maintaining close and regular contact with the student and establishing availability through negotiations.
10. Promoting good interaction and learning among students and staff during seminars and group meetings.
11. Paying attention to and respecting the views, knowledge and expertise of students.
12. Keeping informed and educating the student about procedures and issues relating to intellectual property rights.
13. Advising about resources and funding sources.
14. Assisting the student to gain access to required working space and essential technical support.
15. Supporting the student's development in the context of evolving personal and career goals.
16. Linking the students to appropriate research, academic and professional networks within and outside the university.
17. Demonstrating genuine interest in the student's well-being and the research.
18. Being approachable, responsive, and affirming.
19. Helping to arrange for presentations at seminars and conferences.

20. Collaborating with the student leading to joint publications.
21. Advising on opportunities for relevant experience.
22. Encouraging academic visibility online.

Details of the responsibilities of Supervisors are provided in Appendices 1&2.

5.2 CO-SUPERVISORS

1. Provide guidance where appropriate, on:
 - i. the nature of the research;
 - ii. the standard expected for particular degrees;
 - iii. the redefinition or reshaping of the research topic;
2. Maintain close and regular contact with the candidate and establish at the beginning, the basis on which contact will be made.
3. Respond in a timely manner to queries and when providing feedback on drafts.
4. Ensure that the research work and the production of all categories of examinable work are the candidate's own work.
5. Comment in a timely manner on the content and the drafts of the examinable work prior to submission.
6. Provide general support and encouragement to the candidate.
7. Encourage the candidate to publish the research.
8. Fulfil other obligations imposed by the University regarding postgraduate supervision.

Details of Qualification for Supervisors and their maximum load are provided in Appendices 7 and 8 respectively.

6. RESPONSIBILITIES OF THE SCHOOL OF GRADUATE STUDIES

The School of Graduate Studies supervises graduate education in KNUST. This responsibility is carried out through the monitoring of the activities of postgraduate students, supervisors and departments. The following sub-sections outline the responsibilities of the Graduate School to the students, the supervisors and the departments in the duration of the various graduate programmes.

Details of the responsibility of the SGS are given in Appendix 3.

6.1. The First Year Postgraduate Student: *This section applies to all postgraduate programmes whose duration spans more than a year. If the programme's duration is one year, then section 6.4 becomes relevant.*

The School of Graduate Studies has two main responsibilities towards the graduate student. It makes sure that graduate students are properly inducted into the university system and also monitors their activities through the reports they and their supervisors submit through the Heads of Departments.

The School of Graduate Studies inducts graduate students into the university system through the following actions:

1. Ensuring the completion of student registration through counter signing registration slips after supervisors have endorsed them.
2. Assigning examination and student numbers to candidates.
3. Filing copies of registration slips and reports at the School of Graduate Studies.
4. Demonstrating sensitivity to gender and cultural differences.

The School of Graduate Studies also monitors the following activities of the student:

5. ***The courses taken or audited by the student:*** The report on this is written by the student, signed by the supervisor and copies are distributed to the Head of the Department and the School of Graduate Studies. (**NB:** Copies should be kept by the supervisor and the student.)
6. ***Submission of completed synopsis 8 weeks after registration:*** The student submits the synopsis to the supervisor and copies are sent to the Head of Department and the School of Graduate Studies.
7. ***Redefining the research topic:*** The student consults the supervisor and writes a document signed by the candidate and the supervisor. Copies are also sent to the Head of Department and the School of Graduate Studies.
8. ***Preparation of project plan:*** The student consults the supervisor and circulates the document to the Head of Department and the School of Graduate Studies
9. ***Availability and flexibility of supervisor:*** The student writes this report and submits it to the Head of Department and the Graduate School. A copy should be made available to the supervisor.

10. The record of meetings between the student and the supervisor:

The student prepares this and the supervisor countersigns.

Copies should be sent to the office of the Head of Department and the School of Graduate Studies.

6.1.1 The Supervisor: The School of Graduate Studies, through reports, ensures and monitors the following activities of the supervisor:

1. The supervisor completes the registration of the student by countersigning the registration slip.
2. ***Attendance at Seminars:*** Eighty percent (80%) attendance rate for full-time students and 60% for part-time students are expected of all students. This is reported on by the supervisor and copies are given to the student, the Head of Department and the School of Graduate Studies.
3. ***Availability of the student:*** The supervisor prepares this report and gives copies to the student, the Head of Department and the School of Graduate Studies.
4. ***Semester's progress report:*** The supervisor writes this report and gives copies to the student, the Head of Department and the School of Graduate Studies.
5. ***Preparation for comprehensive examinations:*** The supervisor takes the student through the departmental document on comprehensive examinations and help the student to prepare for it. Reports on this should be sent to the Head of the Department and

the School of Graduate Studies.

6. Notification of submission of outcome of comprehensive examinations.
7. Discussion of outcome of comprehensive examination to fill in

6.1.2 The Head of Department: The School of Graduate Studies ensures and monitors the following activities of the heads of departments:

1. Pre-selection of applicants for interview by Departmental Board.
2. Conduct of interviews of applicants.
3. Feedback of outcome of interviews to School of Graduate Studies.
4. A letter from the Head of Department assigning supervisors to students. A copy of this letter must be sent to the School of Graduate Studies.
5. Letters from the Head of Department to the students informing them of their supervisors. Copies of these letters must be sent to the School of Graduate Studies.
6. Report of Examiners' Board Meeting are sent to School of Graduate Studies.

6.2 The Second Year Postgraduate Student: *This section applies to programmes whose duration spans more than two years. If the duration is two years, then section 6.4 of this guide becomes applicable.*

The School of Graduate Studies monitors the following activities of the second year post-graduate student:

1. *Completion of registration.*
2. *Countersigning of registration slips by supervisors.*
3. *Submission of registration slips to the School of Graduate Studies for filing.*
4. ***Review of work plan:*** This is done in consultation with the supervisor and copies are sent to the Head of Department and the School of Graduate Studies.
5. ***Records of meetings:*** The student prepares this record which is signed by the supervisor. Copies are then sent to the Head of Department and the School of Graduate Studies.
6. ***Conferences attended and papers presented:*** The student prepares this report and sends copies to the supervisor, the Head of Department and the School of Graduate Studies.
7. ***Number of manuscripts prepared and submitted:*** The student prepares this report and sends copies to the supervisor, the Head of Department and the School of Graduate Studies.
8. ***Number of manuscripts submitted to journals:*** The student prepares this report and sends copies to the supervisor, the Head of Department and the School of Graduate Studies.
9. ***Number of tutorials conducted in the semester/year:*** The student writes this report which is signed by the supervisor. Copies are sent to the Head of Department and the School of Graduate Studies.

6.2.1 The Supervisor: The School of Graduate Studies monitors the activities of supervisors of second year students through the following:

1. Completion of student's registration by countersigning the registration slips.
2. **Attendance at Seminars:** 80% attendance rate for full-time students and 60% for part-time students (are required). This is reported on by the supervisor and copies are given to the student, the Head of Department and the School of Graduate Studies.
3. **Availability of the student:** The supervisor prepares this report and gives copies to the student, the Head of Department and the School of Graduate Studies.
4. **Semester's progress report:** The supervisor writes this report by completing the matrices in Appendices 4 and 5, and gives copies to the student, the Head of Department and the School of Graduate Studies.

6.2.2 For Head of Department: The Head of Department monitors the activities of the second year students and their supervisors through all the reports they submit. The Head, in turn, submits reports to the School of Graduate Studies.

6.2.3 The School of Graduate Studies: The School of Graduate Studies monitors the activities of the second year students and their supervisors through the following reports that are submitted:

1. Registration slips countersigned by supervisors.
2. Semester's progress report.

3. Revised student's work plan.
4. Report on conferences attended and papers presented by students.
5. Checklist to monitor the required assessment forms.

These reports, when received, should be securely filed. When any report has not been received, the Head of Department should be called to account.

6.3 The Third Year Postgraduate Student: *This section applies to programmes whose duration spans more than three years. If the duration is three years, then section 6.4 of this guide becomes applicable.*

The School of Graduate Studies monitors the following activities of the third year postgraduate student:

1. Completion of registration.
2. Countersigning of registration slips by supervisors.
3. Submission of registration slips to the School of Graduate Studies for filing.
4. ***Review of work plan:*** This is done in consultation with the supervisor and copies are sent to the Head of Department and the School of Graduate Studies.
5. ***Records of meetings:*** The student prepares each record which is signed by the supervisor. Copies are then sent to the Head of Department and the School of Graduate Studies.
6. ***Conferences attended and papers presented:*** The student prepares this report and sends copies to the supervisor, the Head of Department and the School of Graduate Studies.

7. ***Number of draft manuscripts prepared:*** The student prepares this report and sends copies to the supervisor, the Head of Department and the School of Graduate Studies.
8. ***Number of manuscripts submitted to journals:*** The student prepares this report and sends copies to the supervisor, the Head of Department and the School of Graduate School.
9. ***Number of tutorials conducted in the semester/year:*** The student writes this report which is signed by the supervisor. Copies are sent to the Head of Department and the School of Graduate School.

6.3.1 The Supervisor: The School of Graduate Studies monitors the activities of supervisors of third year postgraduate students through the following:

1. Completion of students' registration by countersigning the registration slips.
2. ***Attendance at Seminars:*** Eighty percent (80 %) attendance rate for full-time students and 60 % for part-time students. This is reported on by the supervisor and copies are given to the student, the Head of Department and the School of Graduate Studies.
3. ***Availability of the student:*** The supervisor prepares this report and gives copies to the student, the Head of Department and the School of Graduate Studies.
4. ***Semester's progress report:*** The supervisor writes this report by completing the matrices in Appendices 4 and 5, and gives copies to the student, the Head of Department and the School of Graduate Studies.

6.3.2 Head of Department: The Head of Department monitors the activities of the third year postgraduate students and their supervisors through all the reports they submit. The head, in turn, reports to the School of Graduate Studies.

6.3.3 The School of Graduate Studies:

The School of Graduate Studies monitors the activities of the third year postgraduate students and their supervisors through the following reports that are submitted:

1. Registration slips countersigned by supervisors.
2. Semester's progress report.
3. Revised student's work plan.
4. Report on conferences attended and papers presented by students.
5. Checklist to monitor the required assessment forms.

These reports, when received, should be securely filed. When any report has not been received, the Head of Department should be called to account.

6.4 The Fourth Year Postgraduate Student: *This section of the guide applies to all postgraduate students in their completion years.*

The School of Graduate Studies monitors the following activities of the fourth year postgraduate student:

1. Completion of registration.
2. Countersigning of registration slips by supervisors.
3. Submission of registration slips to School of Graduate Studies for filing.

4. ***Review of work plan:*** This is done in consultation with the supervisor and copies are sent to the Head of Department and the School of Graduate Studies.
5. ***Records of meetings:*** The student prepares this record which is signed by the supervisor. Copies are then sent to the Head of Department and the School of Graduate Studies.
6. ***Conferences attended and papers presented:*** The student prepares this report and sends copies to the supervisor, the Head of Department and the School of Graduate Studies.
7. ***Number of draft manuscripts prepared:*** The student prepares this report and sends copies to the supervisor, the Head of Department and the School of Graduate Studies.
8. ***Number of manuscripts submitted to journals:*** The student prepares this report and sends copies to the supervisor, the Head of Department and the School of Graduate Studies.
9. ***Number of tutorials conducted in the semester/year:*** The student writes this report which is signed by the supervisor. Copies are sent to the Head of Department and the School of Graduate Studies.
10. ***List of publications:*** The student prepares the list and distributes copies to the supervisor, the Head of Department and the School of Graduate Studies.
11. ***The submission of the final thesis:*** The student submits the final thesis signed by the supervisor to the Head of Department.
12. Expected date for mock viva.

6.4.1 For Supervisors: The School of Graduate Studies monitors the activities of supervisors of fourth year students through the following:

1. Completion of students' registration by countersigning the registration slips.
2. **Attendance at Seminars:** 80% attendance rate for full-time students and 60% for part-time students required. This is reported on by the supervisor and copies are given to the student, the Head of Department and the School of Graduate Studies.
3. **Availability of the student:** The supervisor prepares this report and gives copies to the student, the Head of Department and the School of Graduate Studies.
4. **Semester's progress report:** The supervisor writes this report by completing the matrices in Appendices 4 and 5, and gives copies to the student, the Head of Department and the School of Graduate Studies.
5. Expected date for mock viva.
6. Expected date of submission of thesis for examination.
7. Identification of potential examiners (external and internal) in consultation with Head of Department.

6.4.2 Head of Department: The Head of Department monitors the activities of the fourth year postgraduate students and their supervisors through all the reports submitted. The Head, in turn, reports to the School of Graduate Studies. The Head of Department also identifies potential examiners for a fourth year postgraduate student's thesis in consultation with the student's supervisor and submit list to School of Graduate Studies.

6.4.3 The School of Graduate Studies: The School of Graduate Studies monitors the activities of the fourth year postgraduate students and their supervisors through the following reports that are submitted:

1. Registration slips countersigned by supervisors.
2. Semester's progress report. *(See Appendices 4&5)*
3. Revised student's work plan.
4. Report on conferences attended and papers presented by students.
5. Checklist to monitor the required assessment forms.
6. The receipt of the final thesis which is instantly despatched to internal and external examiners.
7. The date of the viva voce fixed in consultation with the Head of Department and the External Examiner(s).

These reports, when received, should be securely filed. When any report has not been received, the Head of Department should be called to account.

NB: Part-time doctoral students will continue to report as a continuing student in the fourth year and go through the activities listed under section 6.4 when he/she attains the year of completion.

A postgraduate student who takes an extension due to the inability to complete the studies within the stipulated period is required to observe the activities as a continuing student. Section 6.4 applies to such a student when he/she attains the completion year.

Appendices

Appendix 1: Activities and responsibilities of PhD students and Supervisors

When	Responsibility to be addressed	Activity (tool/ procedure)	Involves whom	Who is responsible	Who shall receive the results	Which consequences
Enrollment Phase	Contact with the Department and prospective supervisor	meeting with the intended supervisor	HOD, Supervisor and student	HOD	HOD	Student obtains a right framework of mind to make the right decision
	Draft research proposal and synopsis	Student writes draft proposal with supervisor's guidance	Student and supervisor	Student	HOD	Proposal submitted for consideration; failure to submit proposal/synopsis, means student will not be considered for admission
	Completion of application procedures	Student completes application with supervisor's guidance	Student and Supervisor	Student	SGS/ Administration	Application submitted for consideration
M0	Financial commitments to research and university	Student pays all fees to the university	Student (guidance from supervisor)	Student	Finance office	All financial obligations to the university met; Failure student forfeits candidature
	Information on requirements and regulations of programmes	University provides all the relevant requirements for the programme (Appendix A1/SGS Handbook)	Student (with guidance from supervisor)	Supervisor, HOD and SGS	Student	Student is well-informed

M0-M6	Establishment of communication strategies for supervision	Supervisor and student align expectations (Appendix B1)	Supervisor and student	Supervisor	Student, Supervisor and HOD	Agreement on research plan and process
	Work plan development with supervisor a. Scheduled meetings b. Lecture attendance Seminar attendance and presentations	Supervisor guides student to develop work plan	Student and Supervisor	Student and Supervisor	Supervisor, HOD and SGS	Acceptable work plan in place. Delayed progression of student
M0-M48	Engagement, influence and impact	Student communicates research findings through conferences, workshops, seminars and policies to governments, organisations and communities	Student with guidance from supervisor	Student and supervisor	Student, Supervisor and University	University receives international recognition Student networks Student builds competence and skills in presentation and gets exposure Personal effectiveness of the student Enhancement of Supervisor's recognition

M0,M5, M13, M17, M21, M25, M29, M33 M37, M42	Completion and submission of registration slip	Student submits counter signed registration slip (Appendix C1)	Student and Supervisor	Student	HOD and SGS	Student is duly registered. Failure to register, student loses studentship (Appendix C 1)
	Establishment of research focus	Supervisor listens actively to student (Appendix B2)	Supervisor and student	Supervisor	Supervisor	Appropriate research question and
		Student receives feedback from supervisor (Appendix B3)	Supervisor and student	Supervisor and student	Student	Research focus Agreed
M12	Comprehensive examination	Supervisor guides Student to register SGS courses and specialized courses (Appendix A2)	Student and Supervisor	Student, Supervisor and HOD	HOD and SGS	Student gains knowledge and cognitive abilities. Fulfills criteria for candidature
	Outcome of comprehensive examination	Supervisor and team discuss outcome of comprehensive examination with student	Student, Supervisor and HOD	Supervisor and HOD	HOD and SGS	Delayed progression of student Student becomes a PhD candidate

M0-M45	Research process (e.g. relevant literature and appropriate methodology and data analyses)	Student and supervisor follow the research process (Appendices B2, B3)	Student with Supervisor's guidance	Student	Supervisor, HOD and SGS	Accepted Synopsis produced and project executed
	Enhancement of quality supervision	Peers review supervision practice (Appendix B4)	Supervisors	Supervisor	Supervisor	Supervisor improves supervision practice
		Supervisor assesses own supervision practice (Appendix B5)	Supervisor	Supervisor	Supervisor	Supervisor improves supervision practice
		Student completes General Department-wise questionnaire (Appendix B6)	Students, HoD	HoD	SGS, HoD	SGS and HoD gain insight in room for improvement
M0-M48	Research governance	Supervisor takes student through professional conduct (e.g. ethics) (Appendix A3)	Student and Supervisor	Supervisor and HOD	Student	Student gains appropriate legal requirements of the profession, respect and Confidentiality
		Student manages own research project under supervisors' guidance, Incl. management of time, outputs, stakeholders, risks	Student and Supervisor	Supervisor	Supervisor	Student gains understanding and experience in project management

M0-M24	Sponsorship/Research grant	Supervisor guides student to search for funding through e sources and adverts	Student and Supervisor	Student and Supervisor	Student, Supervisor and Department	Financial support for research
M6-M48	Tutorials and demonstrations	Student is guided to demonstrate and organize tutorials	Student and Supervisor	Student	Supervisor and HOD	Student builds skills and competencies in teaching
	self-assessment prior to each progress report	Student assesses student progress report (Appendix B7)	Student	Student	Student	Student becomes aware of own competence level, learning needs and over time competence development
M6, M12, M18, M24, M30, M36, M42	Progress report	Supervisor prepares report on student performance. (Appendix C2)	Supervisor	Supervisor	HOD and SGS	Department and SGS receive an update on student's performance.
	Preparation and submission of manuscripts	Student is guided to prepare manuscripts. Student receives feedback from supervisor (Appendix B3)	Student and Supervisor	Supervisor	Supervisor and Student	Student builds skills and competencies. Fulfills criteria for thesis submission
	Extension of programme	Student seeks extension with approval from Supervisor (Appendix C3)	HOD and Supervisor	Student	Supervisor, HOD and SGS	Extension is granted

M45	Submission of draft thesis	Student is guided by Supervisor (Appendix A4)	Student and Supervisor	Student	Supervisor	Draft thesis prepared and submitted
M48	Submission of thesis	Student submits submission form with approval by Supervisor (Appendix A4)	Student and Supervisor	Student	Supervisor, HOD and SGS	Final thesis submitted
M48	Mock Examination	Student prepares and defends thesis before Supervisor and team (Appendix A5)	Student and Supervisor	Student and Supervisor	Department	Student develops self-confidence, enthusiasm and becomes self-reflective
M48 - M50	Thesis Assessment; Oral examinations	HOD facilitates thesis assessment and oral examination (Appendix A5)	HOD, SGS	HOD and SGS	SGS and HOD	Thesis is assessed and oral examination conducted
M48 - M50	Revision of thesis	Student revises the thesis with guidance by supervisor	Student and Internal Examiner	Student and Internal examiner	SGS and HOD	Submission of revised thesis and Completion of programme

Appendix 2: Activities and responsibilities of Master’s students and Supervisors

When	Responsibility to be addressed	Activity (fool or procedure)	Involves who	Who is responsible	Who shall receive the results	Which consequences
	Contact with the Department and prospective supervisor	Meeting with the intended supervisor	HOD, Supervisor and student	HOD	HOD	Student obtains a right framework of mind to make the right decision
	Draft research proposal and synopsis (if applicable)	Student writes draft proposal with supervisor’s guidance	Student and supervisor	Student	HOD	Proposal submitted for consideration; failure to submit proposal/synopsis, means student will not be considered for admission
	Completion of application procedures	Student completes application with supervisor’s guidance	Student and Supervisor	Student	SGS	Application submitted for consideration

M0	Financial commitments to research and university	Student pays all fees to the university	Student (guidance from supervisor)	Student	Finance office	All financial obligations to the university met; Failure student forfeits candidature
	Information on requirements and regulations of programmes	University provides all the relevant requirements for the programme (Appendix A1/SGS Handbook)	Student (with guidance from supervisor)	Supervisor, HOD and SGS	Student	Student is well-informed
M0-M6	Establishment of communication strategies for supervision	Supervisor and student align expectations (Appendix B1)	Supervisor and student	Supervisor	Student, Supervisor and HOD	Agreement on research plan and process
	Work plan development c. Scheduled meetings with supervisor d. Lecture attendance Seminar attendance and presentations	Supervisor guides student to develop work plan	Student and Supervisor	Student and Supervisor	Supervisor, HOD and SGS	Acceptable work plan in place. Delayed progression of student

M0- M24	Engagement, influence and impact	Student communicates research findings through conferences, workshops, seminars and policies to governments, organisations and communities	Student with guidance from the supervisor	Student and supervisor	Student, Supervisor and University	University receives international recognition Student networks Student builds competence and skills in presentation and gets exposure Personal effectiveness of the student Enhancement of Supervisor's recognition Student is duly registered. Failure to register, student loses studentship (Appendix C 1)
M0, M5, M13, M17, M21	Completion and submission of registration slip	Student submits counter signed registration slip (Appendix C1)	Student and Supervisor	Student	HOD and SGS	

	Establishment of research focus (if applicable)	Supervisor listens actively to student (Appendix B2)	Supervisor and student	Supervisor	Supervisor	Appropriate research question and
		Student receives feedback from supervisor	Supervisor and student	Supervisor and student	Student	Research focus Agreed
M12	End of examination	(Appendix B3) Student writes the required end of semester examinations	Student and Lecturers	Student, Lecturers and	HOD and SGS	Student gains achieved required passes and attain the minimum cumulative weighted average (CWA). Delayed progression of student
	Outcome of comprehensive examination	Supervisor and team discuss outcome of comprehensive examination with student	Student, Supervisor and HOD	Supervisor and HOD	HOD and SGS	Student becomes a PhD candidate

M0- M22	Research process (e.g. relevant literature and appropriate methodology and data analyses)	Student and supervisor follow the research process (Appendices B2, B3)	Student with Supervisor's guidance	Student	Accepted Synopsis produced and project executed
	Enhancement of quality supervision	Peers review supervision practice (Appendix B4)	Supervisors	Supervisor	Supervisor improves supervision practice
		Supervisor assesses own supervision practice (Appendix B5)	Supervisor	Supervisor	Supervisor improves supervision practice
		Student completes General Department-wise questionnaire (Appendix B6)	Students, HoD	HoD	SGS and HoD gain insight in room for improvement

M0-M24	Research governance	Supervisor takes student through professional conduct (e.g. ethics) (Appendix A3)	Student and Supervisor	Supervisor and HOD	Student	Student gains appropriate legal requirements of the profession, respect and Confidentiality
		Student manages own research project under supervisors' guidance, Incl. management of time, outputs, stakeholders, risks	Student and Supervisor	Supervisor	Student	Student gains understanding and experience in project management
M0-M18	Sponsorship/ Research grant	Supervisor guides student to search for funding through e sources and adverts	Student and Supervisor	Student and Supervisor	Student, Supervisor and	Financial support for research

M6- M24	Tutorials and demonstrations	Student is guided to demonstrate and organize tutorials	Student and Supervisor	Student	Student	Supervisor and HOD	Student builds skills and competencies in teaching Student becomes aware of own competence level, learning needs and over time competence development
	Self-assessment prior to each progress report	Student assesses student progress (Appendix B7)	Student	Student	Student		
M6, M12, M18,	Progress report	Supervisor prepares report on student performance. (Appendix C2)	Supervisor	Supervisor	Supervisor	HOD and SGS	Department and SGS receive an update on student's performance.

M9- M18	Preparation and submission of manuscripts	Student is guided to prepare manuscripts. Student receives feedback from supervisor (Appendix B3)	Student and Supervisor	Supervisor	Supervisor and Student	Student builds skills and competencies. Fulfils criteria for thesis submission
	Extension of programme	Student seeks extension with approval from Supervisor (Appendix C3)	HOD and Supervisor	Student		Extension is granted
	Submission of draft thesis	Student is guided by Supervisor (Appendix A4)	Student and Supervisor	Student	Supervisor	Draft thesis prepared and submitted

Appendix 3: Activities and Responsibilities of School of Graduate Studies (SGS)

When	Responsibility to be addressed	Activity (tool or procedure)	Involves who	Who is	Who shall receive the results	Which consequences
	Initiation and completion of admission process	Advertisement, Sales of admission forms,	School of Graduate Studies (SGS), Quality Assurance & Planning Unit, Applicants	Dean, SGS	Applicants, Heads of Department (HoD), Dean, of SGS, Registry (Academic Section), Head of QAPU	Programmes advertised and admission forms sold
		Interview and selection		HoD	HoD, Dean, of SGS, Registry (Academic Section), Head of QAPU, Applicants	Qualified applicants selected and informed through official media

M0	Acceptance and registration, Graduation requirements,	Countersigning of registration slips by Coordinator (Coord)/Supervisors	SGS, QAPU/ UITS,	Students/	Head QAPU/ UITS, Department, HoD, SGS	Students duly registered and informed on the programmes and graduation requirements
		Guidelines for registration and other requirements, Issuance of ID		Head, QAPU		
M1-5	Orientation and workshop	Reports/letters (Correspondence), Seminars		HoD/ Coord	Students, HoD/ Coord, SGS	Students informed on their roles and responsibilities, Supervisors updated on their roles and responsibilities
	Receipt of Research topic and proposal/ synopsis	Reports/letters (Correspondence)			Students, HoD/ Coord, SGS	Research proposal writing initiated, Research proposal completed
	Assignment of supervisors	Reports/letters (Correspondence)		HoD	Students, HoD/ Coord, SGS	Students assigned to supervisors
	Requisite Courses to be audited	Reports/letters (Correspondence)		HoD	Students, Supervisors, HoD/ Coord, SGS	Students auditing courses

M6-8	Registration by students [every Semester (6 months)]	Registration slips Appendix C1	Students,	Students	HoD/Coord, SGS	Students duly registered and in good standing
	Seminars/ workshops	Progress Report forms Appendix C2		HoD		Submission of progress reports
	Assessment/ examination of students	Examination questions/ Assessment results		HoD		Examination conducted and submission of marks by College Boards
	Progress reports (Every 6 months)	Progress report forms Appendix C2		HoD		Submission of progress reports
	Research Ethics approval	Application forms and approval letters Appendix C4	Students,		Students, Supervisors, HoD/Coord, SGS	Ethical approval sought and granted/approved

M9-12	Seminars/ Workshops	Seminars, Presentations and Progress report forms	Students,	HoD/ Coord	Students, Supervisors, HoD/Coord, departmental boards, College boards, SGS	Progression and improvement of programmes
	Assessment of students	Examination questions and Results of assessment		HoD/ Coord		Submission of assessment/ examination results
	Progress reports	Progress report forms		HoD/ Coord		Progress reports submitted
	Comprehensive exams	Appendix C2 Examination questions and formats/modalities Appendix A2		HoD/ Coord		Submission of comprehensive exams results
	Enhancement of quality supervision	General Department-wise questionnaire Appendix B6	Students, HoD	HoD/ Coord	HoD, SGS	SGS and HoD gain insight in room for improvement
		Compilation of questionnaire, Recommendation forms http://www. learning.ox.ac. uk/media/global/	HoD, SGS	SGS	HoD, SGS	SGS and HoD gain insight in room for improvement and can act on quality enhancement measures

M13-17	Progress reports, Seminars/ workshops	Progress report forms, Assessment/ Evaluation forms Same questions as above	Students,	HoD/Coord	Students, Supervisors, HoD/Coord, SGS	Submission of evaluation reports and
	M18-24	Seminars/ Workshops	Seminars, Presentations and Progress report forms	Students,	HoD/Coord	Submission of evaluation reports and
	Progress reports	Progress report forms Appendix C2		HoD/Coord		

M25-30	Seminars/ workshops	Seminars, Presentations and Progress report forms	Students, HoD/ Coord	Students, Supervisors, HoD/Coord, SGS	Submission of evaluation reports and
	Progress reports	Progress Assessment forms Appendix C2			
M42-48	Submission of theses	Thesis submission forms Appendix C5	Students	Submission process completed	
	Appointment of examiners	List of Examiners, Letters of appointment	HoD		Examiners appointed
	Submission of these to examiners	Letters/ Communication (Correspondence), Expedite Mail services (thesis)	SGS		Thesis submitted to Examiners
	Extension of Programme	Extension forms Appendix C3	SGS		Programme extension granted/ approved

M48 - 50	Submission of thesis assessment reports	Thesis assessment forms Appendix C6		SGS	Students/ Candidates, HoD, Examiners, SGS, Academic Board, Board, Academic affairs Unit	Completion of PhD programme, Results of assessment submitted to Academic Board for approval
	Oral examination	Oral assessment reports Appendix C7		SGS		Oral examination conducted
	Revision of thesis	Thesis submission forms				Revised/Final thesis submitted
	Graduation	Graduation and Exit/Clearance forms Appendix C8				Candidates graduated

Appendix 4: Proportion of Work Done

	Proportion of Work Completed			
	Quarter	Half	Three-quarters	Full
Literature Review				
Experimental Work/Field Work				
Analysis of Data				
Write-Up				

Appendix 5: Candidates Research Abilities

	Excellent	Very Good	Good	Fair	Poor
Experimental Skills					
Creative Abilities					
Independence					
Responsiveness to criticism/advice					
Persistence/Determination					
Approach to problem solving					

Appendix 6: Tools, exercises, forms and procedures

A: Procedures

A1: Requirements for the programme

A2: Description of purpose, format and requirements for the comprehensive exam

A3: Description of ethical requirements and responsible conduct of research

A4: Description of format and requirements for doctoral thesis

A5: Description of format and requirements for oral examination

B: Assessment activities

B1: Clarifying Expectations and Establishing Good Communication, Oxford Learning Institute

B2: Exercise for training active listening

B3: Guidelines for giving and receiving feedback, Oxford Learning Institute.

B4: Collegial help – peer supervision guidelines

B5: Supervisor’s self-assessment, Oxford Learning Institute

B6: General Department-wise questionnaire

B7: Learning needs and competence assessment

C: Forms

C1: Registration slip (*Please refer to Graduate School Hand Book; pg ???*)

C2: Progress report form (*Kindly refer to Graduate School website*)

C3: Form for applying for extension (*Kindly refer to Graduate School website*)

C4: Ethical approval application form (*Kindly refer to Graduate School website*)

C5: Thesis submission form (*Kindly refer to Graduate School website*)

C6: Thesis assessment forms (*Kindly refer to Graduate School website*)

C7: Oral assessment report format (*Kindly refer to Graduate School website*)

C8: Clearance/Exit forms (*Kindly refer to Graduate School Handbook*)

Appendix 7: Qualification to Supervisory Team

- A regularly appointed teacher in the University Teaching Department/ cognate college with post-graduate Department who holds the degree of Ph.D. and five years post-graduate teaching/research experience (excluding his Ph.D. research period) along with published work in reputed and recognized national/international journals to his credit.
- An eminent scholar who is recognized by the School of Graduate Studies.
- A person employed in an approved institution who fulfils the prescribed qualifications as above.
- A retired teacher may be permitted to continue to guide Ph.D. students already registered under him/her before retirement.

Appendix 8: Maximum Load of Supervisors

	PhD	MPhil	PhD (in Department where MPhil is not offered)	MPhil (in Department where Ph.D. is not offered)
Professor	4	3	5	6
Associate Professor	3	2	3	5
Senior Lecturer	2	2	2	3
Lecturer*	1	1	1	2

* Permitted on when supported by a Professor or an Associate Professor as part of the Mentoring Process

SOURCES / REFERENCES

- http://www.learning.ox.ac.uk/media/global/wwwadminoxacuk/localsites/oxfordlearninginstitute/documents/overview/rsv/Clarifying_Expectations.pdf
- http://www.learning.ox.ac.uk/media/global/wwwadminoxacuk/localsites/oxfordlearninginstitute/documents/overview/rsv/Guidelines_for_giving_and_receiving_feedback.pdf
- <http://www.learning.ox.ac.uk/media/global/wwwadminoxacuk/localsites/oxfordlearninginstitute/documents/overview/rsv/SelfAssessment.pdf>

