



## RULES AND REGULATIONS FOR POSTGRADUATE STUDIES

<b>Version</b>	1.0
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<b>Relevant to</b>	Staff, Postgraduate Students
<b>Approved by</b>	University Council
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<b>Responsible office</b>	Office of the Deputy Vice-Chancellor (ASA)
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<b>Related legislation</b>	Universities Act 2012, Commission for University Education Standards and Guidelines June 2014
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**NOVEMBER, 2014**

## **APPROVAL**

The University of Eldoret having been awarded its charter on 11<sup>th</sup> February 2013 has set on a growth path guided by its vision of "being a premier University that is globally visible in knowledge generation and technological innovation. As part of laying its foundation, the university developed its statutes in November 2013 followed by its first strategic plan which was rolled out in June 2014.

The process of recruiting its top managers was completed in March 2014. The University has now embarked on the process of developing its policies which will guide decisions of the different organs of the University in order to achieve rational outcomes geared towards the growth of the University. These Rules and Regulations for Post Graduate Studies is just one of the many policies that the University is rolling out.

My special thanks go to all those who put in their time, effort and skills to develop this policy.

By virtue of the authority vested in me as the Chairman of the University of Eldoret Council and in reference to the approval granted by the Council in its meeting of 26th November, 2014, I hereby sign these Rules and Regulations for Post Graduate Studies this 26th Day of 2014.



**Prof. Sarone Ole Sena.**

B.Ed(Nairobi);M.Phil.(Cambridge,UK);M.Sc(McMaster,Canada); Ph.D(McGill-Canada)

**CHAIRMAN OF COUNCIL**

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## **FOREWORD**

The University of Eldoret (UoE) is situated approximately 9 km along the Eldoret-Ziwa road in Eldoret town, Uasin Gishu County and is 351 km North of Nairobi. The UoE was established through an award of Charter on 11<sup>th</sup> February 2013. Previously, the institution had been a campus of Moi University since 1990, until 13<sup>th</sup> of August 2010 when it was elevated to Chepkoilel University College, a Constituent College of Moi University. The University programmes are largely Science and Technology-based, with a limited number of them in arts and humanities.

The core activities of the University are **Teaching and Learning, Research, Consultancy, Outreach and Extension and Community Service.**

### **The Mission, Vision and Core values of University of Eldoret**

**Vision:** To be a premier University that is globally visible in knowledge generation and technological innovations.

**Mission:** To provide high quality education and training, science, agriculture and technology that promotes networking, partnerships and linkages with other institutions and industry.

**Core Values:** At University of Eldoret, we are committed to:

- Integrity
- Innovativeness
- Customer satisfaction
- Competitiveness
- Equity
- Responsiveness

## **DEFINITION OF TERMS**

These are the University of Eldoret rules and Regulations for Postgraduate Studies.

In these regulations, unless the context requires otherwise:

**"Audit course"** means a course for which the student registers and attends all the lectures but the student is not examined for award of credit, and the course shall appear as such on the student's academic transcript;

**"Credit"** means a measure of quantity of successful learning obtained towards qualifying for the award of an academic certificate, or as may be defined in the University of Eldoret Charter;

**"Fabrication"** means falsification or deliberate manipulation of data, information or reference(s);

**"Graduate Faculty"** means members of academic staff who teach the postgraduate curriculum in a department or School;

**"Intellectual property"** means product of the mind, both material and immaterial, that may be shown to be original, or as may be defined in the Laws of Kenya, University of Eldoret Intellectual Property Policy and other relevant regulations;

**"Lecturer"** means Lecturer as defined in the University Of Eldoret Charter 2013;

**Plagiarism** means copying, or close imitation of other people's literary work without appropriate attribution and acknowledgement; **passing off** other persons', or any other pre-existing, including own written work as new;

**"Project"** means a specific assignment involving literature search, field survey or experiments with the objective of establishing specified facts, and culminating in a written academic report;

**“Postgraduate programme”**means defined Certificate, Diploma or Degree curriculum for training people who already possess academic degrees and which, on successful completion leads to award of an academic certificate, or as is defined in the University of Eldoret Charter and other regulations;

**“Professor”**means professor of the University as provided for in the University of Eldoret Charter, 2013;

**“Senate”**means University of Eldoret Senate as established by the University of Eldoret Charter

**“Statutes”**means University of Eldoret Statutes, 2013

**“Student”** means student as defined by University of Eldoret Charter

**“Supervisor”** means person approved by Senate to oversee, advise and approve research activities and report or thesis writing by a student;

**“Thesis”**means a dissertation advancing an original point of view as a result of research that has been submitted in partial fulfilment of a requirement for an academic degree;

**“Unit”**means instructional contact between lecturer, instructor, or tutor and the students that translates to one hour of lecture or two hour-tutorial or three hour-practical or field session per week for thirteen weeks, or as defined in University Charter, Statutes and other relevant University regulations;

**“University”**means University of Eldoret as established under the University of Eldoret Charter, 2013.

## **ACRONYMS AND ABBREVIATIONS**

<b>BPGS</b>	Board of Postgraduate Studies
<b>DGBE</b>	Departmental Graduate Board of Examiners
<b>DPGS</b>	Directorate of Postgraduate Studies
<b>DGC</b>	Departmental Graduate Committee
<b>DBE</b>	Departmental board of examiners
<b>GF</b>	Graduate Faculty
<b>HOD</b>	Head of Department
<b>MEd</b>	Master of Education
<b>MSc</b>	Master of Science
<b>PGD</b>	Post Graduate Diploma
<b>PhD</b>	Doctor of Philosophy
<b>SGC</b>	School Graduate Committee
<b>TBE</b>	Thesis Board of Examiners
<b>SBPE</b>	School Board of Postgraduate Examiners
<b>IE</b>	Internal Examiner
<b>EE</b>	External Examiner

## **1.0 INTRODUCTION**

These are the Rules and Regulations for managing postgraduate programmes, including Postgraduate Diploma (PGD), Masters or Doctoral studies at University of Eldoret, herein after the University. All programmes shall be approved by the University Senate, hereinafter the Senate before they can be offered.

Programmes shall comprise a set of courses that shall carry a specified number of Units (Tables 1 & 2). Delivery of the coursework shall be by lectures, and tutorial, practical or field sessions. Academic staff who teach and examine the curriculum shall form the Graduate Faculty (GF). Research shall comprise in-depth investigation of a problem, culminating in writing a thesis or postgraduate special project report. All coursework and theses shall be examined in the manner stated in subsequent sections in the Rules and Regulations.

Each postgraduate programme shall have specific requirements, which shall not be in contravention of these Regulations or any other Regulations or established procedures of the University. The specific information shall be obtained from the respective Departments, Schools or the University website ([www.uoeld.ac.ke](http://www.uoeld.ac.ke)).

Registered students shall not teach or examine or participate in postgraduate studies committees, except as student representatives. However, doctoral students who have successfully defended and submitted their thesis and are awaiting graduation can be members of the committees and examination boards. Similarly holders of Masters Degrees shall NOT teach or examine Masters or PhD programmes, or be members of postgraduate committees.

Each thesis shall be assigned a board of examiners that shall be unique to that thesis. Whereas all graduate studies committees and boards shall have representatives from among the bona fide students, such representatives shall be excluded from discussions concerning examination matters.

The rules and Regulations are subject to regular review by the University Council on recommendation of the University Senate, hereinafter the Senate.

**Table 1: Categories and Duration of Postgraduate Training Programmes at University of Eldoret**

<u>Programme</u>	<u>Duration, Years</u>			
	<u>Full time</u>		<u>Part-time</u>	
	<u>Min</u>	<u>Max</u>	<u>Min</u>	<u>Max</u>

Postgraduate Certificate	-	1/2yr (6 months)	-	-
Postgraduate Diploma		1	-	-
Executive Masters	1	2	-	-
Masters (Normal)	2	3	3	5
Doctoral	3	4	4	5

**Table 2: Programme Structure, in Number Of Units, and Delivery Scheme for Postgraduate Programmes at University of Eldoret**

Program	SEMESTER											
	I		II		III		IV		V		VI	
	Lect	Res	Lec	Res	Lec	Res	Lec	Res	Lec	Res	Lect	Res
PGDCert		-	-	-	-	-	-	-	-	-	-	-
PGD	12	2	6	6	-	-	-	-	-	-	-	-
Masters*	21	2	9	6								
Masters	9	2	9	2	-	9	3	6	-	-	-	-
Doctoral	9	6	12	3	-	8	-	7	-	8	-	7

Notes: Lect=lecture, Res=research, Master\*=Executive Masters

## 2.0 ORGANISATION OF POSTGRADUATE STUDIES

### 2.1 GRADUATE FACULTY

- i. There shall be a Graduate Faculty (GF) in each teaching Department and School.
- ii. Each Head of the teaching Departments (HoDs) shall submit a list of the GF in the Department to both the Dean of the School and Director of the Board of Postgraduate Studies (BPGS)at the beginning of each academic year.
- iii. The lists shall be updated at the beginning of every academic year, or when serving members of staff attain the qualification or when new qualified staffs are recruited.

### 2.2 MEMBERSHIP OF THE GRADUATE FACULTY

Membership of the GF in a Department or School shall comprise the following:

- i. Professors;
- ii. Associate Professors;
- iii. Senior Lecturers,

- iv. Lecturers with Doctoral degree,
- v. Lecturers with Masters degrees, and who are Senior Lecturers and have a minimum of four years of continuous and relevant university teaching and research experience and who are engaged in productive research, with the evidence of being principal authors of at least four recent (<3 years) refereed publications in their areas of specialisation,
- vi. A person shall be recognised as GF under Rule 2.3 v) only if not registered as a student,
- vii. Persons who are registered students shall not be members of the GF,
- viii. Non-teaching staff may be appointed GF on approval by the Senate, subject to review every three years,

### **2.3 FUNCTIONS OF THE GRADUATE FACULTY**

The GF shall be responsible for:

- i. Teaching graduate courses in their Departments, and other Departments in the University,
- ii. Development, supervision, and execution of graduate theses research in the Department and other Departments in the University,
- iii. Serving as academic advisers and mentors to postgraduate students,
- iv. Serving as thesis examiners and on examination boards, as representatives for example, for postgraduate students in the University,
- v. Coordinating and promoting postgraduate research activities within the University.

### **3.0 DEPARTMENTAL GRADUATE COMMITTEE**

There shall be established a Departmental Graduate Committees (DGC) in each teaching Department.

#### **3.1 MEMBERSHIP OF THE DEPARTMENTAL GRADUATE COMMITTEES**

The membership of the Departmental Graduate Studies Committee shall be as follows:

- i. The Head of Department or Division (HoD);
- ii. A Chairperson, who shall not be the Head of Department, and who shall be elected by the GF of the Department in a meeting to be convened by the Head of Department; the Chairperson of DGC shall be a Professor, Associate Professor or Senior Lecturer with PhD or equivalent, and shall hold office for a non-renewable term of three (3) years;

- iii. All teaching staff in the Department who are designated members of GF;
- iv. One representative elected by postgraduate student organisation;
- v. Other persons who must have been appointed GF with the approval of the Senate.

### **3.2 FUNCTIONS OF DGC**

The functions of the DGC shall include:

- i. Coordinating development and review of, and having oversight on postgraduate programme execution in the Department,
- ii. Working with other Departments in the School and in the University to run inter-disciplinary postgraduate degree and diploma programmes,
- iii. Reviewing and short listing applications for graduate admissions and making recommendations to the SGC,
- iv. Nominating and recommending supervisors for thesis research and Thesis Board of Examiners(TBE) to the SGC,
- v. Nominating applicants for University or project-supported scholarships,
- vi. Acting as the Departmental graduate Board of Examiners, hereinafter DGBE.
- vii. Carrying out any other functions that may be assigned by the SGC or other relevant Office or Committee of the University,
- viii. The DGC shall have at least two meetings per semester, and quorum at such meetings shall be at least 50% of the membership,
- ix. **All official communication from the Chairperson of DGC shall be through the relevant HoD.**

### **4.0 SCHOOL GRADUATE COMMITTEE**

There is established School Graduate Committee (SGC) in each teaching School

#### **4.1 MEMBERSHIP OF THE SCHOOL GRADUATE COMMITTEE (SGC)**

The School Graduate Committee (SGC) shall comprise:

- i. The Dean of the School,
- ii. A Chairperson, elected from among the members, who shall be Professor, Associate Professor, or Senior Lecturer with Doctoral Degree,
- iii. The Dean shall not be the Chairperson of SGC,
- iv. All the Chairpersons of DGCs in the School,
- v. One representative of the GF from each Department in the School,

- vi. Two representatives elected from among *bona fide* postgraduate students in the School,
- vii. The two student representatives shall also be members of the DGCs,
- viii. **All official communication from the Chairperson of SGC shall be through the relevant Dean of the School.**

#### **4.2 FUNCTIONS OF THE SGC**

The functions of the SGC shall be to:

- i. Coordination of development and review postgraduate academic programmes in the School,
- ii. Review and recommend to the BPGS candidates for admission to graduate studies,
- iii. Review and recommend to BPGS the appointment of thesis research supervisors, and TBEs,
- iv. Review, short list and recommend to BPGS candidates for the award of scholarships, fellowships and grants,
- v. Liaise with the BPGS to provide favourable conditions for graduate students,
- vi. Carry out any other functions assigned to it by the Senate or other relevant committees or Offices of the University,
- vii. The SGC shall hold at least one meeting per month,
- viii. Quorum at SGC meetings shall be at least 50% of the membership.

#### **5.0 BOARD OF POSTGRADUATE STUDIES**

There shall be established aBoard of Postgraduate Studies (BPGS) at the University.The Board shall be managed by a Director who shall be appointed in accordance with Statute XXXIII and a Board of Management.

The Directorate shall be answerable to the Deputy Vice-Chancellor (Academic and Students' Affairs).

#### **5.1 MEMBERSHIP OF THE BOARD OF POSTGRADUATE STUDIES (BPGS)**

Membership of the Board of Postgraduate Studies shall include:

- i. A Chairperson who shall be appointed by the Vice-Chancellor from among persons holding the rank of Senior Lecturer and above;

- ii. Four Representatives from the Senate;
- iii. The persons in charge of postgraduate studies in all Schools and Institutes;
- iv. Registrar (Academic);
- v. Director -Secretary

## **5.2 THE BOARD OF POSTGRADUATE STUDIES SHALL HAVE RESPONSIBILITY OVER THE FOLLOWING MATTERS:-**

- a. Co-ordination of postgraduate syllabi and regulations; this includes co-ordination, development and review of postgraduate curricula in the University in conformity with University regulations and ensuring adherence to the rules and regulations governing postgraduate studies. The board is functionally answerable to Senate on matters concerning postgraduate Studies in the University
- b. Admission of postgraduate students; this involves co-ordination of the admission of postgraduate students
- c. Administration of postgraduate scholarships; this involves lobbying for, access, making recommendations and co-ordination of the award of postgraduate scholarships in the University to short- listed students
- d. Administration of postgraduate research grants;
- e. Administration and processing of postgraduate theses, projects or research papers; through
  - i. Taking charge of postgraduate thesis examination,
  - ii. Maintaining a Database of postgraduate student matters concerning:
    - Thesis research titles,
    - Research progress,
    - Nomination of thesis research supervisors and examiners,
    - Theses abstracts,
    - Theses copies,
    - Intellectual property issues and Seeking IP protection through the IP Office or other competent offices,
    - Holding Annual Postgraduate Seminars
    - Publishing Proceedings of the Annual Postgraduate Seminars;

- Paying for reprints of papers published by continuing students using data from their theses research;
- g. Proper conduct and supervision of the postgraduate study programmes; by being custodians of study ethics, standards, rules and regulations relating to postgraduate studies to ensure quality assurance across schools and make reviews and recommendations to be executed by the Director BPGS
- h. Verification of final list of Postgraduate Degree awards;
- i. General welfare and discipline of postgraduate students;
- j. Any other business as may be determined by the Senate from time to time

### **5.3. MEETINGS OF THE BPGS**

- i. The BPGS shall meet at least once a month on a day to be designate at the first such meeting at the beginning of every year, or as may be stipulated in the University Charter, Statutes, almanac or other rules,
- ii. Notice of regular BPGS meetings shall be given at least 7 days in advance together with the agenda,
- iii. Special meetings of the Board may be called by the Director and only the items on the agenda shall be discussed at such meeting,
- iv. A regular meeting adjourned to another date shall be considered to be special meeting ,
- v. An emergency BPGS meeting may be called following a written request to the Director by at least four members of the Board drawn from different Schools, and the items on the agenda shall be the only business of that meeting,
- vi. Quorum for regular BPGS meetings shall be at least 50% of the total membership of the Board,
- vii. Quorum for Special or Emergency meeting shall be decided upon by the Chairperson on consultation with the members present,
- viii. All Meetings shall stand adjourned if quorum cannot be raised within the first 30 minutes from the time stated on the notice for the meeting, provided that members present at a special or emergency meeting may, by resolution agree to hold the meeting bearing in mind the urgency of the agenda,

- ix. The BPGS may at its own discretion invite other persons to attend any of its meetings in an advisory capacity, and such persons shall be listed to be "in attendance" and shall not have the power to vote
- x. In the event that the Chairperson is late or is delayed by at least thirty minutes and provided that there is quorum, the members present may elect one of them as interim Chair of the meeting, provided that the interim Chairperson shall handover to the substantive Chairperson when he/she arrives.

#### **5.4. ADMINISTRATIVE AND MANAGEMENT LINE OF BPGS**

- i. The BPGS shall be administratively answerable to the DVC (Academic Affairs,) or as may be directed by the University Management
- ii. The Directorate of Board of Postgraduate Studies shall be headed by a Director who shall be appointed on competitive basis to serve for a period to be determined, and reviewed from time to time by the Council on recommendation by the Senate,
- iii. The Director shall be answerable to the Deputy Vice-Chancellor in Charge of Academic and Student Affairs, or such other officer in charge of academic affairs as the laws and statutes may so identify, on matters concerning postgraduate studies in the University,
- iv. Urgent matters may be attended to administratively by the Director, but such matters and action taken shall be tabled at the next BPGS meeting for information and ratification,
- v. The Director shall cause to be kept minutes of the BPGS and TBE meetings,
- vi. The Director shall liaise with Deans of Schools where the students are registered to speed up and standardize all matters concerning thesis research in the Departments and Schools.

#### **6.0 POSTGRADUATE CANDIDATE APPLICATIONS AND PROCESSING**

- i. Advertisements for postgraduate studies shall be done at least twice a year by the Office of the Deputy Vice-Chancellor (**Academic Affairs**) or as the University Management may designate,
- ii. Applications for admission can be submitted at any time of the year, and processing of the application shall be on continuous basis,
- iii. The complete application package shall comprise,
  - a. Filled in and signed application forms in triplicate,

- b. Three (3) recent passport size photograph of the applicant,
  - c. Certified copies of certificates of national examinations, degree certificates, official examination transcripts, and any other relevant documents for evaluating the qualification of the applicant for the programme,
- iv. The application package shall be submitted to Director Board of Postgraduate Studies who shall then forward the applications to the Deans of the schools to which the applicants have applied for admission
- v. Confidential academic recommendation by two (2) referees shall be submitted by electronic mail Director at the following address: [bpgs@uoeld.ac.ke](mailto:bpgs@uoeld.ac.ke). The application forms and the confidential academic recommendations shall be forwarded to the deans of schools for further reference
- vi. The Deans shall forward the applications to the Head of the Department concerned for short-listing by the DGC,
- vii. The short list of applicants, together with minutes of the DGC meeting, shall be forwarded to the Dean of the School for discussion by the SGC within 14 days of the applications having been received in the Department,
- viii. The Chairperson shall have the short lists discussed by SGC, and the minutes and recommendations shall be forwarded to BPGS through the Dean of the School,
- ix. The Director of BPGS shall cause the short lists to be discussed by the Board, and the recommendation, together with copies of the minutes of the meeting shall be forwarded to the Chair of the Senate for approval,
- x. A Department which does not have sufficient GF to teach, supervise and examine its own postgraduate students shall not admit/register students in that particular year,
- xi. The Deputy Vice-Chancellor (DVC) in charge of Academic Affairs shall issue letters of admission,
- xii. The Dean of School may issue provisional letters of admission for successful applicants, after consulting the responsible DVC, and with permission from the Chairperson of Senate, but only after recommendation by the BPGS, provided that such permission shall be presented at Senate for ratification.

- xiii. Admitted students shall only report at the University, and register for programmes at the beginning of the academic year,
- xiv. Student registration shall close on the date designated by Senate as the beginning of the academic year.
- xv. No late reporting will be allowed. Students who will not have registered by the beginning of the academic year will not be allowed to do so and are advised to defer their reporting to the next academic year
- xvi. The postgraduate academic calendar runs concurrently with the main undergraduate one unless otherwise stated by Senate

## **7.0 REQUIREMENTS FOR, ADMISSION AND DURATION OF POSTGRADUATE PROGRAMMES**

### **7.1 BONA FIDE POSTGRADUATE STUDENTS**

Bona fide postgraduate students of the University shall be those that would have met the following conditions:

- i. Posses **official admission letter that shall bear the full names of the applicant, and a unique admission number that shall be based on the programme, serial number and year of admission,**
- ii. Have **registered** on the dates designated in the admission letter, which shall include:
  - a. Signing the nominal roll upon payment of relevant fees,
  - b. Registration for each course in the Programme to which admitted by filling the appropriate forms that shall be signed by the course instructors and submitted by the student to the Head of the Department and Dean of the School in which the Programme is run,
  - c. Up to date payment of University fees and other official charges in the designated University bank account as shall be indicated in the admission letter or as may be officially communicated from time to time,
- ii) Each registered student shall be issued with an identification card bearing the student's name, admission number and photograph that shall remain valid for the period of study,
- iii) The registration number and card shall be used to access library and health services, accommodation, where applicable, or other such services that will be provided by the University to *bona fide* students,

- iv) A student who stays on for longer than the period stated in their ID cards shall apply for extension and be issued with a new card for the duration of the extension,
- v) The student identification cards shall be surrendered to the designated University Office at the end of the period for which they are valid.

## **7.2 REGULATIONS FOR MASTERS PROGRAMMES**

These regulations shall apply to the executive and the regular Masters programmes

### **7.2.1. Regulations for Executive Masters Programmes**

- i. Applicants for Executive Masters programmes must have a minimum of second class honours (lower division) degree from a recognised university and working experience of not less than three (3) years in the area of specialization or related areas,
- ii. Applicants that have **advanced** professional certificates with at least five (5) years of relevant experience may also be admissible,
- iii. The duration of the programme shall be one year: however, extension may be granted under special conditions on application for such extension to the DVC (Academic Affairs) with recommendations from the HOD, Dean of the School and Director of BPGS,
- iv. Programme structure shall comprise Coursework and Project,
- v. Coursework delivery shall comprise lecture, tutorial, practical and field sessions,
- vi. Examination of coursework shall comprise Continuous Assessment Tests and End-of-semester examinations,
- vii. The Project Report shall be examined by two internal examiners and the external examiner for the coursework,
- viii. Certificates attained at the end of Executive Masters training shall clearly bear the word "**Executive**" in the wording,
- ix. The degree shall be a terminal degree that does not qualify the holder to teach at the university or gain entry into a doctoral programme unless as indicated in part x below
- x. Graduates of the Executive Programmes shall be required to obtain additional academic qualifications to accumulate enough credit for admission into Doctoral Programmes.

### **7.2.2. Regulations for Regular Masters Programmes**

- i. Applicants for regular Masters programmes at the University shall have a first degree from a recognised university with:

- a. Upper second class honors division or a cumulative Grade Point Average (GPA) of 3.00 on a scale of 4.00;
  - b. Lower second class honors division or a cumulative Grade Point Average (GPA) of 2.50 on a scale of 4.00 with additional relevant training, evidence of research capability either through research, paper presentations or peer reviewed publications and relevant two years working experience.
  - c. Relevant postgraduate diploma.
- ii. The duration of Full Time Masters studies shall be two (2) academic years, comprising four (4) semesters,
  - iii. Duration for Part Time Masters training shall run for three Academic years, comprising six (6) semesters,
  - iv. Extension for duration of training may be granted under special conditions on application for such extension to the DVC (Academic affairs) with recommendations from the HoD, Dean of the School and Director of BPGS,
  - v. The course content delivery shall be by lectures, tutorials, and practical and field work sessions,
  - vi. Students that may be on official attachment at universities, research institutes or centres can accumulate credit that shall be transferred to the University , thus:
    - a. If written examinations are taken, marked and graded, then such marks or grades can be transferred,
    - b. If there are no examinations, then a report from the academic supervisor at the other university, institute or centre, detailing the nature and depth of training, the cumulative time spent on relevant academic activities and a general assessment and rating of the student in a manner that shall facilitate such training to be translated into credit equivalent.
  - a. A masters student shall normally show proof of acceptance for publication of at least one (1) paper or more in a refereed journal before award of the degree

### **7.2.3 Regulations for Doctoral Programmes**

- ii. Applicants for Doctoral training at the University shall have a Masters degree from a recognised university,
- iii. In addition an applicant shall have a Bachelors Degree,
- iv. All applications for Doctoral training shall be accompanied by a concept note (CN) in the general area of specialization,
- v. Full time Doctoral training shall run for three academic years, comprising six (6) semesters,
- vi. Part-time Doctoral training shall run for 4 academic years, comprising eight (8) semesters,
- vii. Accelerated programme execution may be granted by the Senate on recommendation by HoD, Dean of School and Director BPGS,
- viii. Extension for duration of training may be granted under special conditions on application for such extension to the DVC (Academic affairs) with recommendations from the HOD, Dean of the School and Director of BPGS,
- ix. Additional requirements for admission into any doctoral programme shall be stated in the programme curriculum.
- x. Doctoral programme delivery shall comprise course work and thesis research,
- xi. The coursework, where applicable shall be done in the first year of study, and the thesis research shall run for the entire period of registration,
- xii. The coursework delivery shall be by lectures, tutorials, practical and field sessions,
- xiii. Students that may be on official attachment at other universities, or research institutes or centres can accumulate credit that may be transferred to the University, thus:
  - a. If written examinations are taken, marked and graded, then such marks or grades can be transferred as part of credit,
  - b. If there had been no examination, then the University shall require a report from the academic supervisor at the institute or centre, detailing the nature and depth of material covered, the cumulative time spent on relevant academic activities and a general assessment and rating of the student in a manner that shall facilitate such training to be translated into credit equivalent.

- c. Before the award of a doctoral degree, a candidate shall normally show proof of acceptance for publication of at least two (2) papers in refereed journals.

## **8.0 REGULATIONS ON POSTGRADUATE EXAMINATIONS**

### **8.1 ASSESSMENT OF ACADEMIC PERFORMANCE**

Assessment of academic performance in the postgraduate programmes at the University shall be carried out through course work examinations and Project Report or Thesis examinations

#### **8.1.1 Course Work Examinations**

These examinations shall be administered as per the university rules and regulations.

#### **8.1.2 Processing of examinations and examination results**

- i. The University ‘Common Rules and Regulations for Postgraduate Examinations’ shall apply in matters concerning postgraduate coursework Examinations for candidates registered at University of Eldoret
- ii. Postgraduate coursework examinations and examination results shall be moderated by DGBE, external examiner and the SBPE;
- iii. The coursework examination shall comprise:
  - a. Continuous assessment based on Term Papers, laboratory and field reports and written tests - 40%,
  - b. A written End-of-semester Examination - 60%,
  - c. All End-of-Semester Examination papers **shall** be moderated by the Postgraduate External Examiner before they are administered,
- iv. The final examination results shall be reviewed by the Postgraduate External Examiner
- v. The postgraduate examination results shall be reviewed by the external examiner, DGBE, SBPE and the Senate, and approved by Senate,
- vi. The HOD shall be the Chief Examiner for all coursework in the Department and the Chairperson of the DGBE,
- vii. The HOD shall forward externalized coursework examination results to the Dean of the School,

- viii. Each School shall have a School Postgraduate Board of Examiners (SPBE) that shall be made up of all members of GF in the School,
- ix. The SBPE shall be chaired by the Dean of the School and its function shall be to deliberate and make recommendations on coursework examination results for the postgraduate students to submitted to Senate for approval,
- x. Candidates shall be required to pass in all the courses for which they are registered,
- xi. The pass mark shall be 50%,
- xii. A candidate who fails one semester course shall be eligible to take a Supplementary Examination provided that the mark obtained in the failed course is not below 40%,
- xiii. Continuous assessment marks shall NOT count towards Supplementary Examinations results,
- xiv. A candidate who fails more than one prescribed course in a given semester shall be discontinued if the total number of units failed is more than three (3)
- xv. The pass mark for supplementary examination shall be 50%, and any mark attained that is higher than this shall be down rated to 50%,
- xvi. A candidate who fails in Supplementary Examination shall be recommended to repeat the year,
- xvii. A candidate that repeats a year or course shall bear the cost of such repeat on a unit cost basis,
- xviii. A candidate who fails more than 25% of courses offered in a year shall be discontinued
- xix. A candidate who fails a supplementary examination shall repeat the course,
- xx. A student who fails a course after repeating the course or the year shall be discontinued;
- xxi. A candidate, who, for verifiable, valid reasons, fails to sit an examination, shall be allowed to sit a Special Examination,
- xxii. The Dean of the respective School shall submit examination results and the SBPE recommendations to Director BPGS who shall then forward them to the Senate within one month after the end of the academic year in which the courses were taught for approval,

- xxiii. The Dean of the respective School may release provisional coursework examination results within seven days from the time the SBPE deliberated on them

#### **8.1.3. Appeal for the Re-marking Coursework Examinations**

- i. After the release of provisional coursework examination results by the Dean, a candidate may, within a period of one month, write a letter of appeal for re-marking,
- ii. The letter of appeal shall be addressed to the DVC (Academic Affairs) and copied to the Dean of School, Director of the BPGS, and HoD,
- iii. On making the appeal, a candidate shall pay a non-refundable re-examination fee the sum of which shall be determined from time to time by the Council with recommendations by the Senate,
- iv. The Dean of the School, in consultation with the Director of BPGS, the DVC (Academic Affairs) and the Head of the relevant Department, shall cause to be appointed a conversant examiner to re-mark the relevant examination paper(s) using the original marking scheme; provided that if a new marking scheme is used then specific reasons shall be provided by the examiner in writing to both the Dean and HOD on why such was the case,
- v. The examiner shall submit the results of the re-mark to the Dean of the School, with copies to the HOD, with a detailed explanation on variations to the original marks,
- vi. The marks obtained after re-marking any paper shall be final and shall be entered against the candidate's name for processing in the normal manner,
- vii. A candidate shall not appeal for re-mark for more than two papers in the academic year.

### **8.2 REGULATIONS ON POSTGRADUATE RESEARCH AND THESIS**

#### **8.2.1 Thesis research proposal development and supervision**

- i. The DGC shall nominate at least 2 supervisors, from among the GF, for each student not later than the end of the first month of semester 1 of studies to assist the students to develop research proposals,
- ii. One of the supervisors shall be designated as the lead supervisor for purposes of administration and reporting; the lead supervisor shall normally be GF in the Department where the student is registered, but

- may be appointed from another Department in the University as need may arise,
- iii. Thesis research supervisors shall be nominated by the DGC not later than the end of the first month of semester 1 to assist students polish up research proposals for presentation and approval: the thesis research supervisors shall be those earlier appointed to assist the students develop the proposals,
  - iv. A student may suggest in writing the possible proposal or thesis research supervisors to the Chairperson of DGC, and such preferences shall be considered by the DGC when assigning supervisors,
  - v. Recommendations for the appointment of supervisors shall be submitted to the Dean of the School for deliberation by the SGC and onward transmission to the BPGS and Senate for approval,
  - vi. Before recommending the appointment of any supervisor the BPGS shall ascertain that the proposed supervisor is competent in the area in which the candidate proposes to work,
  - vii. A proposed supervisor from outside University of Eldoret shall show evidence of competence in the area of study through research and current, learned publications: the person shall submit current curriculum vitae to be approved by the Senate before formal appointment,
  - viii. A supervisor(s) shall not engage in personal relationships with a student or behave in any manner that contravenes the University of Eldoret regulations,
  - ix. A member of staff shall not supervise a relative or people with family ties,
  - x. A student who is not satisfied with the guidance being offered by a supervisor can state so in the writing
  - xi. to the Chairperson of the DGC, with a detailed explanation concerning the nature of the problem,
  - xii. The Chairperson shall investigate the issue and table a report at the next DGC meeting that shall be held within fourteen (14) days to specifically deal with the issue,
  - xiii. After due consideration of facts and future of the thesis research, the DGC may recommend:
    - a. The supervisor to continue with supervision,
    - b. A new supervisor to replace the earlier supervisor,

- xiv. Only one supervisor per student can be replaced in the manner stated above,
- xv. A supervisor who is not satisfied in guiding the student may state so in writing to the chairperson of DGC with a detailed explanation concerning the nature of the problem in which case a new supervisor shall be sought to replace him/her within 21 days.
- xvi. The thesis/dissertation proposal shall be presented to a faculty/school postgraduate board for interrogation and guidance prior to the research work

### **8.2.2 Function of Thesis Research Supervisors**

- i. A student's thesis/dissertation shall be supervised by **at least two** academic staff members who shall have appropriate qualifications in the subject area in focus and its methodology. At least one supervisor shall normally be a member of the teaching department in which the student is registered who shall normally be designated as the main supervisor
- ii. The ranking of first/second to or more supervisors for a candidate is not necessarily determined by seniority in the university hierarchy
- iii. If the thesis research is pursued at another approved organization, then a second supervisor associated with the other organization may be appointed or may be appointed as a third supervisor if the two university supervisors have already been appointed.
- iv. In cases where a student has multiple supervisors, the supervisory committee should hold a formal meeting with the student to discuss comments made on the thesis by the examiners
- v. The supervisors shall be responsible for guiding the student in the conduct of the thesis research,
- vi. In the absence (for at least 2 months) of the lead supervisor, the second supervisor and/or relevant HOD shall be responsible for ensuring the student complies with **University regulations** and procedures, including supervision,
- vii. If a supervisor ceases to meet these requirements or fails supervise a candidate for a period exceeding three months, the HoD shall advise the DGC to nominate a replacement supervisor for approval in accordance with these rules,
- viii. A supervisor shall peruse, amend and return proposal or thesis drafts or parts of such drafts **within one month** after receiving such drafts from the student,

- ix. The **maximum supervision load** for a lead supervisor shall be in the band of **six to eight** candidates, and the supervisory load shall constitute part of their official workload. In an ideal situation the maximum number of students an academic staff can supervise in any given academic year shall be **a) masters-5 ; b) Doctorate-3** but there are exceptional circumstances,
- x. In exceptional circumstances, the Senate may approve a higher load for a lead supervisor, **but in no circumstances shall the load exceed fourteen students at a time,**
- xi. The responsibilities of the lead supervisor shall include:
  - a. Being the leading source of research advice to the student,
  - b. Giving the candidate expert guidance, direction mentorship,
  - c. **To** monitor and evaluate student progress, and submit quarterly reports to the Chairperson of the DGCon the progress of the student,
  - d. **To** ensure the thesis research and reports comply with ethics, intellectual property issues and other University regulations,
  - e. In the event of persistent deficiencies in the candidate's performance:
    - i) Alert the candidate, and the Chairperson of DGC on the deficiencies through a written report,
    - ii) Advise on remedial action on the deficiencies,
    - iii) But if deficiencies persist, make written recommendation for termination of candidature to the Chairperson of DGC,
    - iv) The recommendation in paragraph ii) above shall be considered by the DGC, and if found to have merit be submitted to the SGC, and BPGS for discussion and recommendation to Senate for approval of termination of studies.
- x) The responsibility of other supervisors shall be to work with the lead supervisor in accomplishing adequate supervision.

#### 8.2.3. Execution of Thesis Research

- i. Each postgraduate student shall carry out a thesis or project research based on an approved thesis research proposal that shall comprise the following sections; an indicative abstract, Introduction, Literature review (where appropriate), Materials and Methods, References,

- ii. The proposal shall be developed with the help of approved thesis research supervisors, and be approved at the initial stage by the DGC, after presentation at a forum to be appointed by the Department in which the candidate is registered,
- iii. There shall be stated SMART objectives within the Introduction,
- iv. Current literature shall be used to develop thesis research proposals,
- v. A copy of the proposal abstract, and a list of the proposed supervisors shall be submitted to the SGC and BPGS for further discussion and recommendation to the Senate for approval,
- vi. A proposal shall meet all ethical requirements before approval,
- vii. All research methods and data shall be collected and maintained in standard, University issue research notebooks that shall be used according to instructions therein,
- viii. All research activities shall be authenticated by bearing the signature of the researcher/student and that of the lead supervisor on each page of the research notebook,
- ix. Without prejudice to the intellectual property rights of the student, all research notebooks shall be the property of the University, and shall be surrendered to the Head of the Department in which the candidate was registered at the completion of the research for archiving,
- x. Submission of notebooks to the University by the student shall be under a written arrangement
- xi. For purpose of sub-paragraph x above, the student shall make a photocopy of the research notebook for own records, and such copy shall be authenticated by the HOD;
- xii. The rights of the student to access and use of the data and information for publication purposes is allowed, provided that a draft copy of such publication is submitted to the Department in which the candidate is registered for consent and record,
- xiii. Commercialisation of products from any thesis research by either the University or the student shall be subject to mutually agreed terms between the researcher and the University, and in compliance to University Intellectual Property Policy and rules.

#### 8.2.3.1 Intellectual Property Regulations

Candidates must adhere to the provisions of the Intellectual Property Regulations of the University and especially on plagiarism. The candidate

must certify that the work they have done has not been submitted elsewhere for the award of any degree or qualification. Proper acknowledgement must be made to the work of others. See section 12.0 and 13.0

#### **8.2.3.1 Plagiarism Checking**

The supervisors/Dean are required to run the thesis through the **plagiarism** checking software approved by the University. The similarity index for each chapter shall not exceed 10%. Should the similarity index be more than 10%, the supervisors are required to provide the justifications.

### **9.0 THESIS SUBMISSION AND EXAMINATION**

#### **9.1 NOTIFICATION OF SUBMISSION AND APPOINTMENT OF BOARD OR EXAMINERS**

- i. A candidate shall give a written Notice of Intent to Submit a thesis to the Dean of School where registered, through the Supervisor(s), **and** HoD at least **twelve weeks** before the actual date of submission,
- ii. The Notice shall comprise a cover letter/memo, copies of the thesis abstract not exceeding 400 words; provided that the abstract **shall comprise one paragraph, non-structured, single spaced and informative summary without key words;** shall bear the name, **registration number and signature of the candidate and the; names and signatures of the supervisors with all the signatures bearing dates,**
- iii. The HOD may sign for, at most, one of the supervisors; if that supervisor has expired, or is indisposed or is out of Kenya for a period exceeding three months,
- iv. Two weeks after submitting the Notice of Intent to Submit Thesis the candidate shall present the findings of the thesis research at a seminar to be organized by the DGC,
- v. The Chairperson of the DGC shall prepare a report of the seminar for each candidate with appropriate recommendations and submit it to the Chairperson of SGC, with copies to the student, thesis research supervisors, the HoD, Dean of School,
- vi. The DGC **shall** convene to nominate a Thesis Board of Examiners (TBE) within four weeks after submission of the Intent to Submit Notice,
- vii. The TBE **shall** comprise:
  - a. Dean of the School - (Chairperson),

- b. One external examiner competent in the field of research thesis,
  - c. Two (2) internal examiners competent in the field of thesis research, **who shall not be from the same department except in unique cases as may be determined by senate**
  - d. Two (2) School representatives, **who shall not be from the same department**,
  - e. Candidate's supervisor(s),
  - f. Chairperson of the SGC for the School where the candidate is registered,
  - g. The representative of the School to the BPGS,
- xiv. It shall be the responsibility of DGC, SGC and BPGS to ascertain that all examiners are competent in the matter of the thesis, and it is the responsibility of the BPGS to vet all possible examiners before submitting their names to Senate for approval,
- xv. Except for the Chairperson, the composition of the TBE shall not be divulged to the student,
- xvi. Only the external examiner and the two internal examiners shall read, grade and submit a technical report concerning the quality of the thesis,
- xvii. **Any contact the candidate may make with members of the TBE concerning the marking or grading of his/her thesis shall be an examination irregularity that shall attract disciplinary action,**
- xviii. No examiner shall have more than **four (4)** theses for examination at any one particular time,
- xix. Curriculum vitae of examiners who are not staff of **the University** shall be submitted by the DGC through the Dean for consideration by the BPGS, if the examiners are being appointed for the first time,
- xx. **External examiners shall submit updated curriculum vitae (CVs) every three years for review to serve as examiners,**
- xi. **University of Eldoret staff, and others that shall serve as internal examiners, shall submit updated CVs after every two years for review as examiners,**
- xxii. An examiner for Masters theses shall have Doctoral degree; or if a Masters Degree holder, (s)he shall **be a Senior Lecturer; or if a doctoral candidate, (s)he must have submitted the final revised Doctoral thesis and is awaiting graduation,**

- xxiii. All Examiners for doctoral theses **MUST** hold doctoral degrees and be **Professors, Associate Professors or Senior Lecturers,**
- xxiv. The nominated TBE shall be submitted to the Director of BPGS for deliberation by the Board and onward recommendation and forwarding to the Senate for approval,

## **9.2 THESIS SUBMISSION**

- i. A candidate shall submit thesis **for examination** to Dean of the School, thus:
  - a. At least six (6) spiral bound copies of the thesis,
  - b. An electronic copy of the thesis,
  - c. An exact copy of the abstract ,
  - d. A copy each of the covering note and abstract shall be submitted to the HOD and Director of BPGS for record,
- ii. **The Dean shall ascertain that the thesis does not contain obviously plagiarised information,**
- iii. Because of the standardized format of grading forms, candidates shall ensure that their theses conforms to the format recommended in the **University Guidelines to Thesis Writing**

## **9.3 EXAMINATION OF THESES**

### **9.3.1. Examination of the written thesis**

- i. The Dean of School shall cause to be sent out an appointment letter, copy of the thesis and thesis grading forms( **Annex 2: UOE/THESIS/GRADING/1**) to the examiners,
- ii. A copy of the University Guidelines for Thesis Writing shall be enclosed for the external examiner**for reference**,
- iii. Thesis examination shall take a nominal 4 weeks,**but may be extended to 8 weeks from the time of dispatch,**
- iv. A reminder shall be sent out to an examiner that would not have submitted the examination report by the end of the 6<sup>th</sup> week,
- v. **The appointment for an examiner who does not submit a report by the end of the 8<sup>th</sup> week shall be terminated and the thesis recalled,**
- vi. An internal examiner whose appointment is terminated because of failure to submit examination reports shall be blacklisted and reported at the Senate,

- vii. The DGC shall be notified to nominate another examiner when termination of a previous appointment occurs, and the examiner so nominated shall be subject to all conditions regarding appointment for thesis examination,
- viii. The examiners shall fill out the grading form with marks for the prescribed sections of the thesis and the total marks achieved by the candidate,
- ix. The maximum marks for the written thesis shall be 80,
- x. It is absolutely essential for the examiner to award a mark for the thesis examined; a thesis that is returned by an examiner without a mark being awarded shall effectively be regarded as unmarked, and shall be submitted to another competent examiner for marking,
- xi. The examiners shall also write out a detailed report to show the quality and veracity of arguments and statements, material and methods, data handling, results and discussions, references, or any other section of the thesis, and submit the thesis and marks to the Dean, with a copy to the HoD
- xii. Each Examiner shall indicate within the detailed report:
  - a. Whether or not the thesis is adequate in form and content,
  - b. Whether or not the thesis reflects an adequate understanding of the subject, and in consequence,
  - c. Whether or not the thesis needs revision, corrections or further data collection or analysis,
  - d. The Mark to be assigned to the candidate.

### **9.3.2 Oral Examinations**

- i. The oral examination shall be held for a postgraduate candidate for whom all written examination reports would have been received by the Dean of the School,
- ii. **The Dean shall set a date for the Oral Examination within three (3) weeks** of the date of receipt of the three reports from the thesis examiners, and cause the notice to be sent out to all persons on the TBE,
- iii. Copies of the examined thesis and the detailed examination reports shall be distributed by the Dean to members of TBE before the defence commences
- iv. The Oral Examination Grading Form (**Annex 3: UOE/THESIS/GRADING/2**) shall be given to the TBE members for assessment of the candidate

- v. The candidate shall defend the thesis before the TBE,
- vi. Examination reports shall NOT be availed to the candidate before or during Oral Examination,
- vii. The External Examiner may not be required to attend the Masters Oral Examination sessions, but his/her report and grade shall be given priority during the Oral examination,
- viii. The Oral Examination for a PhD candidate shall not proceed without external examiner,
- ix. The Chair of the oral examination shall cause to be kept minutes of each examination and such minutes shall be distributed to the members of the TBE, with a copy to the Director BPGS,
- x. The representative of the BPGS shall also provide a report concerning each oral examination using the designated template (UOE/THESIS/GRADING/3),
- xi. An examiner whose recommendations are for the candidate to carry out further research, or re-analyse the data and re-submit the thesis for examination, or outright failMUST be present for the oral examination to proceed,
- xii. An examination that fails to take place for failure of a required examiner to attendshall be re-scheduled to take place within twenty one (21) days, and the Deanshall write to the relevant examiners to specifically invite them for the examination because of this rules,
- xiii. If an examination fails to take place two times because a required examiner failed to attend the Dean shall cause the Department to nominate another examiner for the thesis,
- xiv. The oral examination shall be open to members of University and the Public; however only the external and internal examiners and the two School representatives shall award marks for the examination: the marks so awarded shall not exceed 20%,
- xv. The Masters candidate shall present the thesis for a maximum of twenty-five (25) minutes and answer questions from the TBE, and the other members of the audience in the examination room for a maximum of forty (40) minutes,
- xvi. A Doctoral candidate shall present the thesis for a maximum of thirty (30) minutes followed by a maximum of sixty (60)minutes of answering questions from the TBE and others in the examination room,

- xvii. All questions shall be relevant to the thesis, and the Chairperson shall have the authority to stop an irrelevant question from being asked or answered,
- xviii. Supervisors shall not be allowed to either support the candidates, give explanations or criticism of the candidate when the candidate is answering questions from examiners, but may participate on making final recommendations regarding the way forward for the candidate,
- xix. Members of the TBE shall have priority for asking questions, including those raised in the written examination reports, then any other relevant concerns regarding the thesis,
- xx. Other persons in the examination room may also ask questions,
- xxi. The chairperson shall request the candidate and any other student present to leave the room to allow the TBE to deliberate on the awarding of oral and written thesis examination marks
- xxii. The Chairperson shall cause to be calculated the thesis marks by calling out the individual marks, and summation of the means of the written thesis (out of a possible maximum of 80) and Oral examination (out of a possible maximum of 20),
- xxiii. All marks awarded by the examiners shall be used in calculating the mean score for the candidate,
- xxiv. A candidate must attain a mean minimum of 10 marks during the oral examination and a mean minimum of 40 marks from the external and internal examiners to be declared to have passed,
- xxv. A candidate who attains less than 10 marks during the Oral Examination shall be given one chance for re-examination (re-defence) to take place within a period of four (4) weeks, and shall be declared failed if a similar grading recurs,
- xxvi. The final mark shall be rounded off the nearest whole number,
- xxvii. On basis of the summation of the marks obtained the candidate shall be awarded a grade as follows:

<b>Marks</b>	<b>Grade</b>	<b>Recommendation</b>
0 - 49	D	Fail
50 - 64	C	Pass
65 - 74	B	Credit
75 - 100	A	Distinction

- xxviii. On the basis of the marks attained and general consensus on the oral presentation, the TBE shall determine and recommend:
- a. Whether the candidate defended the thesis adequately and whether the candidate should be declared pass without corrections,
  - b. Whether the thesis needs minor revision or corrections in line with the recommendations contained in the examiners' reports, and others as may have been agreed upon during the oral examination, and recommending submission of the final revised thesis within one (1) month after being certified by the supervisors,
  - c. Whether the thesis needs major revision, and recommending re-submission of the thesis within three (3) months for re-examination by one of the original internal examiners, **whose marks shall be considered as the final mark for the written thesis, provided that the aggregate mark shall be the sum of the said mark and the oral examination marks,**
  - d. In the case of 'c' above, the examiner shall be appointed at that time by the TBE,
  - e. The examiner so appointed shall limit themselves to recommendations of the TBE,
  - f. A candidate whose thesis is re-examined under conditions set out in c) above and still fails to satisfy the examiners shall be recommended to carry out a complete revision and re-submission of the thesis within six (6) months and shall be re-examined by the three initial examiners and be subjected to fresh oral examination,
  - g. Whether the thesis needs a complete overhaul, including collection of more data or change of methodology, and recommending re-submission within six (6) months for fresh examination by all the three examiners, to be followed by fresh oral examination,
  - h. Whether the thesis is not acceptable, for any of the categories above, and declaring the candidate having failed outright,
  - i. In all considerations, the recommendations from the external examiner shall form the basis for recommendations by the TBE, and if any variations are made, a detailed explanation to justify

- such variation shall be submitted to the BPGS for consideration and submission to Senate or approval,
- xxix. The candidate shall be called back to the room and informed of the TBE decision on the thesis examination
  - xxx. Copies of the graded theses and the examiners reports, and any special recommendations from the Oral Examination shall be availed to the candidate to facilitate thesis correction,
  - xxxi. The names of examiners shall be blanked from the **reports** before they are given to the candidate,
  - xxxii. A candidate **shall** pay for re-examination of a thesis on terms dependent on the type of re-examination recommended under Rule xxii; c – g,
  - xxxiii. A thesis shall not be examined for more than two times,
  - xxxiv. A Masters Degree candidate who attains an aggregate mark of less than 50% after the Oral Examination may be recommended for the award of a Postgraduate Diploma, subject to attainment of other requirements for such an award, where applicable;
  - xxxv. Minutes of the oral examination shall be distributed to members of the TBE within seven days after the examination,
  - xxxvi. The Chairperson of the TBE shall inform the candidate in writing concerning the outcome of the examination and the relevant recommendations by the TBE,
  - xxxvii. A Certificate of Correction shall be given under the authority of the supervisors after satisfying themselves that the recommendations by the TBE concerning the style and content had been carried out by the candidate, provided that if the TBE had recommended that one examiner needed to re-examine the thesis after correction, the said examiner shall also sign the certificate of correction in the space provided,
  - xxxviii. The certificate stated above shall be countersigned by the Chairperson of the Oral Examination session after being satisfied that the candidate carried out the corrections recommended by the TBE,
  - xxxix. Copies of the Certificate of Correction shall be submitted to:
    - a. The Dean of the respective School,
    - b. Head of respective Department,

- c. University Librarian.
- xl. The Librarian shall certify that the thesis format conforms to **the University Guidelines on Thesis Writing**, and give permission for permanent binding.

#### **9.4 THESIS SUBMISSION AFTER EXAMINATION**

- i) A candidate shall submit at least five (5) permanently bound, and three (3) soft copies, on compact disk(CD) and in "portable document format(pdf )", of the thesis to Dean,
- ii) The permission for final binding of the thesis shall be granted by the University Librarian after checking the format of the thesis;
- iii) The number of bound copies to be submitted **shall be more than 5** if the candidate had **more than two (2) thesis research supervisors**,
- iv) All copies of thesis shall be signed by the candidate and supervisors on the Declaration Page,
- v) The hard copies shall be bound in a form permitted by the University Guidelines on Thesis Writing: in boards with navy blue buckram and lettering in gold, thus:
  - a. On the spine; Name of the candidate, Degree, Year of final submission,
  - b. The Front Cover; Title of the thesis at the top, name of candidate at the middle, Year of final submission at the bottom,
- vi) Upon final submission of thesis, the Dean shall:
  - a. Give the candidate an official Letter of Completion, with copies to the Director, BPGS and HoD,
  - b. Compile all the marks obtained by the candidate for further processing through the SPBEand approval by Senate,
  - c. Distribute the copies of the thesis thus:
    - i. University Library - 1 copy,
    - ii. Supervisors - 1 copy each,
    - iii. Dean of School - 1 copy (retained),
  - d. The soft copies shall be distributed thus:
    - i. BPGS - 1 copy,
    - ii. University library - 1 copy,
    - iii. Head of Department- 1 Copy,
    - iv. Dean of School - 1 copy (retained),

## **10.0 REGULATIONS FOR POSTGRADUATE DIPLOMA PROGRAMMES**

### **10.1 ELIGIBILITY FOR THE POSTGRADUATE DIPLOMA PROGRAMMES**

Applicants for the Postgraduate Diploma (PGD) must:

- i. Have a valid academic degree from a recognized university,
- ii. Hold qualifications considered by University Senate to be equivalent to a University Degree,
- iii. Have at least one year of relevant working or research experience.

### **10.2 PGD CURRICULUM DELIVERY**

- i. Curriculum delivery for the PGD programmes shall comprise 14 units of coursework and 12 units of Project,
- ii. The coursework shall be delivered through lecture, tutorial and practical sessions as shall be described in the courses,
- iii. The Project shall comprise supervised literature or experimental analysis of a specific problem in the area of study leading to writing and submission of an academic report.

### **10.3 PGD COURSEWORK EXAMINATIONS**

- i. Examination shall be made up of continuous assessments, and a final examination in line with general University Examination Regulations,
- ii. The continuous assessment based on Term Papers, laboratory assignments and written tests shall constitute 30% of the total marks,
- iii. The final written examination shall constitute 70% of the total marks in each course,
- iv. The pass mark for any course shall be 50%,
- v. A candidate must pass both coursework and project to be awarded the PGD,
- vi. The award of the PGD shall be based on the mean mark obtained in Coursework and Project, and shall be graded as follows:

	<b>Marks</b>	<b>Grade</b>	<b>Recommendation</b>
a.	0 – 49	D	Fail
b.	50 – 64	C	Pass
c.	65 – 74	B	Credit
d	75 – 100	A	Distinction

- vii. The PGD examination results shall be externalized by the postgraduate coursework external examiner,
- viii. The Chairperson DGC, through the HOD shall forward names and marks of successful candidates to the Dean of the respective School for discussion by the SGC and recommendation to the Senate, with copies to the Director of BPGS for record,
- ix. A candidate who fails up to 25% of the prescribed course units in a given semester shall be eligible to do a supplementary examination at the end of that semester,
- x. Supplementary or special examinations shall be subject to the Common University Examination regulations,
- xi. A candidate who fails a supplementary examination shall repeat the course
- xii. A candidate who fails more than 25% of the prescribed course units in any semester shall fail a course that they are repeating and be discontinued,
- xiii. A candidate who for verifiable valid reasons, fails to sit for an examination, shall be allowed to sit for a Special Examination.

#### **10.4 EXAMINATION OF PGD PROJECTS**

- i. The written project report shall be assessed for 80 marks,
- ii. There shall also be an Oral Examination that shall contribute 20 marks,
- iii. The project report shall be assessed by two internal examiners, excluding the Project Supervisor(s),
- iv. The oral examination shall comprise presentation of the project report by the candidate before the DGC for 20 minutes, followed by 15 minutes of questions,
- v. **The Chairperson of the DGC shall be the chairperson to chair the oral examinations for diploma candidates,**
- vi. All members of the DGC shall award marks during the oral examination,
- vii. **The aggregate mark for the project shall be the sum of the marks attained in the written project and those attained in the oral.**
- viii. **The pass mark for the PGD projects shall be 50%**
- ix. A candidate who fails in the Project shall be allowed four months to resubmit the Project, but on failing again the candidate shall be recommended to repeat the project.

- x. Compilation and management of the PGD examination results shall compliant with the University examination regulations.

## **11.0 EXEMPTIONS FROM THESE RULES AND REGULATIONS**

- i. Only Senate may grant exemptions from these Rules and Regulations.
- ii. Requests for exemptions from the application of these general Rules and Regulations may be submitted to the Director, BPGS through the HOD and Dean of the School,
- iii. Requests shall be accompanied by valid academic and professional reasons,
- iv. The BPGS shall discuss and make the appropriate recommendations on such applications for Senate approval,

## **12.0 INTELLECTUAL PROPERTY ISSUES**

- i. The University shall claim ownership rights in the intellectual property which results from research in any programme in the University in accordance with University Intellectual Property Policy,
- ii. Should there be need; availability of a thesis may be restricted for a period of up to three years from its receipt in the Library for reasons of commercial confidentiality or industrial security, **in which** circumstances, the HOD or appropriate academic authority must apply to the BPGS before the thesis is examined, requesting that:
  - a. The examiners are required to sign a confidentiality agreement approved by the Vice-Chancellor or other properly designated officer of the University before examining the thesis or project,
  - b. Each examiner be required to return the copy of the thesis or project that was examined,
- iii. An application submitted under Clause (iii) above must be accompanied with a detailed written write up concerning the IP for which protection is sought;
- iv. No examiner shall be permitted to copy or circulate the thesis.
- v. The bound copies of the thesis shall be held in the Office of the DVC (Academic Affairs) for three years before release to the persons and Offices,
- vi. Any departures from normal practice shall be granted only by Senate on recommendation by BPGS,
- vii. In exceptional circumstances, the maximum three-year period may be extended by the University Senate on the recommendation from BPGS

- or as stipulated in the Intellectual Property Rights Policy of the University,
- viii. Where a thesis contains groundbreaking or exceptional IP value the student/researcher, with the support of the supervisors, the Department, School and BPGS, shall apply to Senate to be exempted from the standard examination process by;
    - a. Providing the details of IP to be safe guard
    - b. Status of protection sought; including exemption from open examination, among other such requests.
    - c. A draft proposed contract between the University and the researcher on rights ownership concerning the IP
  - ix. Where Senate is satisfied that there is material IP that warrants protection Senate may appoint a team of not less than five (5) University scholars in the area of specialization to examine the thesis and if they so find recommend award of a grade without involvement of the external examiner, provided that the scholars shall take an oath of confidentiality before they can be given access to the thesis.

### **13.0 ETHICAL ISSUES**

- i. All postgraduate programmes shall conform to the Ethics Policy of the University,
- ii. A research that includes experimentation on animals must conform to the requirements of 'Code of Practice' and other Kenya laws for purpose of Research,
- iii. Research Applications, which include such experimentation, must be approved by the respective Schools Ethics Committee,
- iv. When the research includes experimentation involving humans, it must conform to the requirements of the National Health and Medical Research Council and Kenyan laws,
- v. Research applications, which include such experimentation, must be approved by the University Ethics Committee,
- vi. **Fabrication, or deliberate misrepresentation of data is prohibited and shall be penalised by discontinuation if proven,**
- vii. Plagiarism is prohibited and shall be penalised by discontinuation if proven,**it involves:**
  - The use of another persons' work or ideas without appropriate acknowledgement. Students must refer to the University

Guidelines on Thesis Writing for the proper manner of acknowledgement,

- Use of extracts from theses, papers, or such other material that are held by the University without acknowledgement,
  - Unauthorized act of copying/reproducing or attempt to copy an idea, writing or invention of another person
  - Extraction of academic data which are the results of research undertaken by another person, such as laboratory findings, data obtained, whether published or unpublished, without giving due acknowledgement to the original source.
  - Transcription of the ideas of others which are kept in whatever form (written/printed/electronic/slide form) of teaching or research apparatus.
  - Unauthorized translation of the writing of another person from one language to another whether wholly or partly.
- viii. Students have the first priority in publishing of research results from their thesis, and so the student name shall appear first on the list of authors of a paper derived from thesis research,
- ix. If a student fails to use this priority within three years of submission of a thesis the supervisors can publish the findings, but must include the student as one of the authors, provided that in this case the student may not be the first in the list of authors;
- x. Examiners are prohibited from publishing, or being authors in a publication derived from findings in thesis or project report they examine, but their contribution may be acknowledged.

## **14.0 COMPLAINTS RESOLUTION**

### **14.1 INFORMAL COMPLAINTS**

- i. Students and supervisors shall resolve conflicts amicably through consultation,
- ii. Students and supervisor have the right to have a support person present at any time during this process,
- iii. The involvement of other GF members, including the Chairperson of the SGC may also be appropriate,

- iv. If the dispute is not resolved then formal procedures for complaints resolution shall be followed as set out hereunder.

#### **14.2 STUDENT FORMAL COMPLAINTS**

- i. The BPGS in consultation with the teaching Departments and Schools and the Graduate Students Organizations shall develop Student Complaints Policy that shall be adopted by all Schools in the University,
- ii. Students who are not satisfied with the outcome of the informal complaints resolution process shall submit their complaints in writing to the relevant Chairperson of the DGC with copies to the Chairperson of SGC,
- iii. The Chairperson of DGC shall have the issue discussed by the DGC and make recommendations to the Chairperson of the SGC within 14 days of receiving the complaint,
- iv. The Chairperson of DGC formally inform the student of resolutions of the DGC,
- v. The SGC and BPGSC may consider student complaints only under exceptional cases, and when it has been demonstrated that the DGC is unable to resolve the issue.

#### **14.3 SUPERVISOR FORMAL COMPLAINT**

All staff complaints shall be dealt with in the same manner as for the students under paragraph 13.2

#### **15.0 AMENDMENTS AND VARIATIONS TO THESE REGULATIONS**

**The Senate and Council** may amend or vary these Regulations from time to time, provided that candidates may complete their degrees under the Regulations in force at the time of first enrolment.

#### **16.0 NON-COMPLIANCE WITH THESE RULES AND REGULATIONS**

The University of Eldoret shall have oversight in the operation of these Rules and Regulations, and shall take appropriate action against any person who does not comply with any or all of the Rules.

#### **17.0 MISCELLANEOUS**

Thesis or Project supervisors, Thesis examiners, and the TBE shall be paid an honorarium, the sum of which shall be established by the Council from time to time. The honoraria shall be reviewed on annual basis, and shall form an addendum to these Rules and Regulations.

### **17.1. PAYMENT FOR THESIS /PROJECT SUPERVISION**

- i) Thesis or Project supervisors shall be paid **an** honorarium the sum of which shall be determined by the Council from time to time,
- ii) The **project** supervision funds shall be paid by the student as part of the fees,
- iii) All the supervisors shall be paid an equal sum for supervision, whose sum shall be a proportion of the supervision emoluments,
- iv) The supervision honoraria shall be paid only after the Oral Examination of the thesis or Project Report,
- v) Honoraria shall not be based on outcome of the oral examination, but if the candidate is recommended to carry out extended revision or further data collection or analysis, payment to supervisors shall be delayed up to the oral re-examination.

### **17.2 PAYMENT FOR THESIS EXAMINATION**

- i. Thesis examiners and members of the TBE shall be paid an honorarium, **the sum of which shall be determined by the Council, provided that for the time being the remuneration shall be as outlined in Annex 1 A and B of these rules.**
- ii. Such payment shall be made at the end of the Oral examination.

### **18. EFFECTIVE DATE**

This policy shall take effect on the 26th Day of November, 2014.

### **19. REVIEW**

This policy shall be reviewed from time to time as need arises.

## ANNEX 1: A; Honorarium for Thesis or Project Examination†

<b>Thesis level</b>	<b>IE<sup>1</sup></b>	<b>EE</b>
Project	4,000	****
Masters	10,000	10,000
Doctoral	15,000	15,000

† Only for students registered in 2010 or later

N.B payments of honoraria up to 2009 remain as stipulated below:

Masters	4,313	4,313
Doctoral	8,000	8,000

## B; Honorarium for the TBE

<b>Member</b>	<b>Masters</b>	<b>Doctoral</b>
Chairperson	1,500	2,000
School representative	1,500	2,000
Secretariat	1,500	2,000
External examiner	3,000	3,000*
Internal Examiner	1,500	2,000*
Chairperson of DGC	1,500	2,000*

\* Were not being paid before

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<sup>1</sup> IE = Internal examiner, EE= External examiner

**ANNEX 2 UOE/THESIS/GRADING/1**

**UNIVERSITY OF ELDORET  
BOARD OF POSTGRADUATE STUDIES  
GRADING CRITERIA FOR THESIS**

**Name of Candidate:** \_\_\_\_\_

**Registration number:** \_\_\_\_\_

**Degree:** \_\_\_\_\_

**Title of thesis:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

<b>Serial</b>	<b>CONTENT</b>	<b>MARKS</b>	
		<b>Maximum</b>	<b>Awarded</b>
1.	<b>ABSTRACT:</b> (Should be informative; What, why, how, results and conclusion); How well does the <b>abstract</b> cover the thesis	5	
2.	<b>INTRODUCTION</b>		
i.	Is the Introduction focussed on the thesis title?	2	
ii.	Is the statement of the Problem clearly stated and is it supported by the general introduction?	1	
iv.	Is (are) the objective(s) of the study new, specific (focussed), rational and attainable?	2	
	<b>SUB-TOTAL INTRODUCTION</b>	5	
3	<b>LITERATURE REVIEW</b>		
i.	Is the literature review focussed on the Problem?	3	
ii.	Is the Literature review logical?	2	
iii.	Is the literature reviewed or quoted verbatim? ( <i>Lower marks for EXCESSIVE verbatim quote?</i> )	2	
	<b>SUB-TOTAL LITERATURE REVIEW</b>	7	
4	<b>MATERIALS AND METHODS</b> <u><b>NOTE TO EXAMINERS:</b></u> If thesis is based on clear experimental design(s), data collection and statistical analyses grade according to part <b>4A</b> If the principles on which the thesis is developed are purely theoretical or does not have or need data analysis it should		

	be graded in accordance with part <b>4B</b>		
<b>4A</b>	<b>Thesis based on experimental designs and statistical analyses</b>		
i.	Are the materials, sites, or equipment sufficiently described that other users can identify them?	<b>4</b>	
ii.	Are the experimental designs, and methods and procedures for data collection sufficiently described and referenced; with up to date terminologies, and standard units? Are the methods suitable for the study being carried out?	<b>5</b>	
ii.	Are the statistical procedures suitable and adequate for handling the kind of data collected, and does the candidate understand them?	<b>5</b>	
<b>SUB-TOTAL MATERIALS AND METHODS (4A)</b>		<b>14</b>	
<b>4B</b>	<b>Thesis NOT based experimental designs and statistical analyses</b>		
i.	Is the theoretical basis of the study logical?	<b>4</b>	
ii.	Is(Are) the theory (theories) supportive of the Statement of the Problem and Objectives of the study	<b>5</b>	
ii.	Is (Are) the technique(s) adopted for the study suitable for the Objectives and Statement of the Problem?	<b>5</b>	
<b>SUB-TOTAL MATERIALS AND METHODS (4B)</b>		<b>14</b>	
<b>5</b>	<b>RESULTS</b>		
i.	Are the results clearly and convincingly described?	<b>7</b>	
ii.	Are the Figures, Tables or <b>derived equations or other illustrations</b> necessary? ( <i>Same data should not be presented in BOTH Tables and Figures</i> )	<b>2</b>	
iii.	Are Figures, Tables, <b>derived equations or other illustrations</b> valid: do they represent valid results?	<b>2</b>	
iv.	Do Figures, Tables, <b>derived equations or other illustrations</b> make sense concerning the selected subject of research?	<b>3</b>	
<b>SUB-TOTAL RESULTS</b>		<b>14</b>	
<b>6</b>	<b>DISCUSSION</b>		
i	Is the discussion logical?	<b>5</b>	
ii	Are arguments, inferences and syntheses valid and derived from the Results of the study?	<b>7</b>	
iii	Are the references valid for the arguments/statements/assertions being made by the candidate?	<b>3</b>	

	<b>SUB-TOTAL DISCUSSION</b>	<b>15</b>	
<b>7</b>	<b>CONCLUSIONS AND RECOMMENDATIONS (and way forward)</b>		
i	Are conclusions valid and based on current results and discussion?	<b>2</b>	
ii	Are recommendations derived directly from the results and discussion?	<b>2</b>	
iii	Are recommendations practical?	<b>1</b>	
iv	Is the Way Forward based on findings of the study?	<b>1</b>	
	<b>SUB-TOTAL CONCLUSIONS AND RECOMMENDATIONS</b>	<b>6</b>	
<b>8</b>	<b>REFERENCES/BIBLIOGRAPHY</b>		
i	Are all the references in the body of the thesis also listed in the Bibliographic section and vice versa? <b>Excessively incomplete reference listing should be penalised.</b>	<b>2</b>	
ii	What proportion of references is current; <i>less than two years old?</i> (higher mark for a higher proportion)	<b>1</b>	
iii	What proportions of references are from journal, monographs, books, proceedings, the Internet? (Journals and monographs have more current information, Books are good for fundamental understanding of subject, Proceedings that have not been reviewed and general Internet sources should be less trusted)	<b>2</b>	
	<b>SUB-TOTAL REFERENCES/BIBLIOGRAPHY</b>	<b>5</b>	
<b>9</b>	<b>SCHOLARLY ATTRIBUTES</b>		
i	How well does the candidate understand and handle the subject matter?	<b>3</b>	
ii	How much has the candidate contributed to the selected area of knowledge?	<b>6</b>	
	<b>SUB-TOTAL SCHOLARLY ATTRIBUTES</b>	<b>9</b>	
<b>10</b>	<b>GRAND TOTAL</b>	<b>80</b>	

Examiner's Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Thesis Grading Form

© University of Eldoret

### **ANNEX 3    UOE/THESIS/GRADING/2**

#### **UNIVERSITY OF ELDORET BOARD OF POSTGRADUATE STUDIES**

#### **ORAL EXAMINATION GRADING FORM<sup>2</sup>**

**Name of Candidate:**

**Registration number:**

**Degree:**

**Title of thesis:**

<b>ISSUE/CONCERN</b>	<b>MARKS</b>	
	<b>Maximum</b>	<b>Awarded</b>
Is the title brief but descriptive of thesis theme	<b>1</b>	
Is the problem clearly explained and is it important to warrant the study?	<b>1</b>	
Are the objectives specific and attainable	<b>2</b>	
Did the candidate use the correct methods for the study and are they clearly explained?	<b>3</b>	
Do the results answer to the objectives and are they clearly explained?	<b>2</b>	
Does the candidate understand the subject area well?	<b>2</b>	
Are conclusions and recommendations derived directly from the results and discussion?	<b>2</b>	
Is there new information, product(s) specific to this thesis (Paper, patents, etc.)	<b>4</b>	
How well does the student handle the questions asked? ( <i>on the basis of facts and logic</i> ),	<b>2</b>	
Are you satisfied with the quality of visuals (slides), delivery and organization of the presentation?	<b>1</b>	
<b>TOTAL</b>	<b>20</b>	

<sup>2</sup>To be filled by ALL **designated** examiners at the oral thesis defense to facilitate computation of marks

## **ANNEX 4    UOE/THESIS/GRADING/3**

### **UNIVERSITY OF ELDORET BOARD OF POSTGRADUATE STUDIES**

**Thesis Examination:** Oral Examination Report by BPGS Representative<sup>3</sup>

**Name of Candidate:**

**Registration number:**

**Degree:**

**Title of thesis:**

**Marks awarded:**

<b>A</b>	<b>Thesis Reports</b>	<b>Examiner</b>	<b>Marks</b>
		External	
		Internal 1	
		Internal 2	
	<b>Mean of A (OUT OF 80)</b>		
<b>B</b>	<b>Oral Presentation</b>		
		Examiner 1	
		Examiner 2	
		Examiner 3	
		Examiner 4	
		Examiner 5	
		Examiner 6	
	<b>Mean of B (OUT OF 20)</b>		
	<b>Total of Mean of A and B (%)</b>		

**Recommendations by Thesis Board of Examiners:**

<sup>3</sup>To be filled by the Board of Graduate Studies representative to the Oral Examination and submitted to the Board for record and action

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**UOE/THESIS/GRADING/3**

**State own assessment on examination:**

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**Signature of Representative:** \_\_\_\_\_ **Date:** \_\_\_\_\_