



**JOMO KENYATTA UNIVERSITY
OF
AGRICULTURE AND TECHNOLOGY**

SCHOOL FOR HUMAN RESOURCE DEVELOPMENT

**GUIDELINES FOR PREPARATION, SUBMISSION AND EXAMINATION OF
PhD THESIS**

1. PhD Course Work

- a) All registered PhD students will undertake three semesters of coursework after which, they undertake a thesis in conformity with School and University Regulations; SHRD PhD 1, SHRD PhD 2 and SHRD PhD 3
- b) The first year of study, comprising two semesters will be devoted to course work. A student will be required to pass all the units before proceeding to the second year of study; SHRD PhD 3
- c) The first semester of the second year will be devoted to course work and students shall be required to pass before embarking on the research thesis; SHRD PhD 3
- d) All coursework units will be governed by the University and School Examination Rules and Regulations; SHRD PhD 5; SHRD PhD 7; SHRD PhD 8; SHRD PhD 10; SHRD PhD 11 SHRD PhD 12.
- e) Students who do not successfully complete the PhD course work will be discontinued from the programme in accordance with SHRD PhD 9.
- f) Students who successfully complete course work will proceed to the thesis stage comprising of preparation and supervision of thesis and submission of thesis and examination of candidate;

2. PhD Thesis

2.1 Preparation and Supervision of Thesis (SHRD PhD 13)

- a) A candidate will be required to prepare and submit, in the prescribed SHRD format, a written proposal within a period of three months after successful completion of coursework. The Chairperson of the Department (COD) concerned, acting on the recommendation of the supervisors, (there shall normally be two supervisors per candidate) and the Departmental Postgraduate Studies Committee (DPSC) may at his/her discretion extend the time for submission of a research proposal. Such extension of time shall not normally exceed three months. The Chairman, School Post-graduate Studies Committee (SPSC) shall be notified of such an extension.
- b) Five (5) copies of the research proposal duly signed by the supervisor(s) will be submitted to the Chairperson of Department (COD), who shall immediately distribute the copies to members of the Departmental Postgraduate Studies Committee to study and make comments and return to Chairperson within 2 weeks. Where necessary the COD may seek expert opinion from outside the department.
- c) The COD shall within the two weeks of (b) above schedule a presentation forum for each candidate where experts and School staff members are invited. In particular, members of the School Postgraduate Studies Committee (SPSC) shall be invited. The experts and the School staff members shall have a duty of making comments that will add value to the proposal. A summary of comments from the audience shall be passed to the COD within three days after the presentation.
- d) The Departmental Postgraduate Studies Committee shall be convened within a week after the presentation to discuss comments from the individual reviewers and those emanating from the seminar. The DPSC shall also appoint supervisors for corrections from among themselves and/ or the project supervisors.
- e) A summary of the comments shall then be passed to the candidate through the supervisor within three days
- f) The candidate shall then act on the comments and re-submit a revised proposal. The supervisor shall ensure that all comments have been addressed and six copies re-submitted to the COD within one week. In addition, the supervisor for corrections shall attach a certificate of corrections duly signed;
- g) The COD shall immediately submit the proposal to the Director, SHRD office together with a comprehensive report indicating that the comments that needed to be

acted upon have been addressed. This report may be inform of DPSC minutes and a certificate of correction

- h) Once the proposal is received by The Director, a SPSC meeting shall be convened within two weeks to certify that the proposal complies with School requirements. The proposal need not be circulated to members of the SPSC.
- i) Once the SPSC is satisfied that the proposal is of good standard and format, the Director shall immediately forward the same to the University's Director of the Board of Post-Graduate Studies (BPS);
- j) Candidates shall be required to consult with their supervisors at least once every month and to submit a written progress report quarterly to the Director of the School through the supervisor(s), Chairperson of the department with copies to the Director , BPS;
- k) It shall be the duty of the candidate to complete their thesis on time and in particular the candidate shall be required to:-
 - i) Maintain constant and effective contact with his/her supervisor.
 - ii) Submit an academic progress report on a quarterly basis to the supervisor.
- l) It shall be the responsibility of the supervisor(s) to direct and supervise the work of the student in so far as it relates to his/her programme of study. In particular, a supervisor shall be required to:-
 - i) Maintain constant and effective contact with candidates assigned to him/her.
 - ii) Certify to the COD at the end of each month that the candidate has received supervision.
 - iii) Inform the Chairperson of the department and the Director of SHRD if the candidate is unlikely to attain the required standard for the award of a PhD degree.
- m) Where the performance of a candidate is considered unsatisfactory as shown by:

Either

 - i) Failure to consult a supervisor as required under (k) above

OR

 - ii) The receipt of an unsatisfactory report from the supervisor(s) under (l)(iii) above

Then the candidate shall be given a written warning by the Director, copied to the Director Board of Postgraduate Studies to the effect that unless he/she shows signs of improvement within three months he/she would be considered for de-registration. A recommendation for de-registration shall be made to the Senate through the BPS only after receipt of two consecutive negative reports following the warning.

- n) The Senate, acting on the recommendation of the School concerned shall appoint, terminate and /or replace the supervisor (s) of projects as it may deem necessary.

2.2 Submission of Thesis and Examination of Candidate (SHRD PhD 14)

- a) A candidate who intends to submit a thesis shall give notice in writing with an abstract of the work to the Director, Board of Postgraduate Studies, at least three months before the intended date of submission with copies to the Director School of Human Resources Development and the Chairperson of the Department concerned.
- b) Every thesis submitted for examination shall be submitted in six (6) copies in loose binding, and must include a declaration by the candidate confirming that the thesis has not been submitted for a degree in any other institution, and that the contents of the thesis are the original work of the candidate. Every thesis shall bear the signature of the all supervisors' as an indication that the thesis has been submitted "with the knowledge of supervisors".
- c) A thesis submitted for the PhD degree must be adequate in form and content. In addition, it must add something new to existing knowledge. It must also include full bibliography of the materials used in its preparation whether published or otherwise, and it must also conform to the regulations for the submission of the thesis of Jomo Kenyatta University of Agriculture and Technology.
- d) The Senate shall, on the recommendation of the Board of Post Graduate Studies, appoint in respect of each candidate presenting a thesis, a Board of Examiners consisting of:-
- i Director, School of Human Resources Development as the Chairperson.
 - ii An external examiner.
 - iii Two internal examiners one of whom must not have supervised the candidate, and

- iv Two other persons competent in the discipline related to the candidate's area of research, at least one of whom should be external to the Department.
- e) The external examiner and each of the internal examiners shall be required, within two months of the submission or re-submission of the thesis, give an independent written assessment of the thesis direct to the Director of the Board of Postgraduate Studies indication:
 - (i) Whether or not the thesis is adequate in form and content,
 - (ii) Whether or not the thesis reflects an adequate understanding of the subject, and in consequence,
 - (iii) Whether or not the degree should be awarded.
 - (iv) Any corrections to be made before the award of the degree.
- f) Within a month of receipt of the examiner's report the BPS in consultation with the Director of the School shall convene a meeting of the Board of Examiners at which the examiners reports and other academic matters arising from the thesis and the candidates defence shall be considered. Provided that where an external examiner is not able to attend his/her report shall suffice. A consolidated report and appropriate recommendations shall be prepared for submission to the Senate through the BPS within two weeks.
- g) Candidates shall be required to present themselves for oral examination and the Director shall inform them of the time and place of the meeting of the Board of examiners. Provisional results shall be released to the candidate after the meeting only where the recommendation of the Board of Examiners is unanimous.
- h) Where the recommendations of the Board of Examiners is unanimous, for or against the award of the degree and where such unanimous recommendations is consistent in all respects with the reports of the external examiners and the results of an oral examination, the Director BPS shall forward such recommendations to the Vice-Chancellor for approval on behalf of the Senate
- i) Where the recommendations of the Board of Examiners is not unanimous or the recommendations are not consistent in material purpose with the matters referred to in (h) above, it shall be referred to the full board of BPS for an appropriate recommendation to the Senate

- j) The Senate may, on the advice of the Board of Examiners and the BPS permit a candidate to re-submit a thesis for re-examination. The period of re-submitting thesis be divided into four (4) months for minor corrections, eight (8) months for major corrections and for re-submission twelve (12) months
- k) A thesis accepted by the Jomo Kenyatta University Agriculture and technology and subsequently published in part or in whole and in whatever form shall bear the inscription, “work forming part of the requirements of the degree of Doctor of Philosophy of the Jomo Kenyatta University of Agriculture and Technology.”
- l) A candidate who undertakes thesis and who is required to re-submit the thesis may be called on to undergo a second oral examination, within three months of the date of re-submission, before the Board of Examiners; SHRD PhD 14(f)

3. PhD: Award of Degree (SHRD PhD 15)

- a) In order to qualify for the award of the degree, a candidate must pass in all required units the first and second years of post graduate study by regular or supplementary examinations; SHRD PhD 3(a), 3(b) and 3(f).
- b) On completion of examination of the thesis, the Board of Examiners shall make one of the following recommendations to the Director Board of Postgraduate Studies:
 - i Award the degree.
 - ii Award the degree subject to minor corrections being made within three months from the date of notification of the result and the supervisors shall certify that corrections have been made,
 - iii For major corrections, the thesis to be revised in accordance with the recommendations of the Board of Examiners and to be submitted to the supervisors within six months from the date of notification of the result: the examiners shall then make one of the recommendations i, ii, or v,
 - iv For the overhauled thesis, the thesis to be revised in accordance with the recommendations of the Board of Examiners and to be re-submitted to the supervisors within twelve months from the date of notification of the result: the examiners shall then make one of recommendations i, ii, or v.
 - v The degree not to be awarded.
- c) A candidate who undertakes thesis research and who even after re-submission fails to satisfy the Board of Examiners shall not be awarded a PhD degree.

ADDENDUM**1: RESPONSIBILITIES AND CONDUCT OF CANDIDATES**

- a) To acknowledge the fact that the primary responsibility for his / her studies rests with oneself;
- b) To demonstrate a reasonable work ethic and to make sure and commit every effort to meet the normal completion period of 2 years for a Masters student and 3 years for a PhD student;
- c) To share ideas and to work collegially with the supervisor and other people in the department, the University and other stakeholders involved in way in the studies;
- d) To refrain from any form of conflict and to treat the supervisor with respect and politeness;
- e) To participate in the academic life and research activities of the department as far as possible;
- f) To commit to joint publication with the supervisor(s). It is expected that a PhD candidate will show evidence that at least two papers from the study have been submitted for publication in a refereed journal;
- g) To accept and implement constructive feedback during and at the end of the programme;
- h) To familiarize and adhere him/herself with the all university rules on student conduct, particularly with regard to plagiarism among others;
- i) To consult the supervisor regularly and make him / herself available for discussion at the University if and when required on all matters relating to studies;

2: RESPONSIBILITY AND CONDUCT OF SUPERVISORS

- a) To provide quality supervision on a regular basis and to meet the candidate at least once a month. The output of these meetings should form the basis for assessment and progress report;
- b) To respond promptly to the submission of written work and thesis/project and feedback.
- c) To arrange for a suitable replacement if the supervisor(s) has to be absent for a lengthy period of time if he has to be away for a period of more than three months;

- d) To submit individually or jointly with candidate/other supervisors, academic reports through the relevant chairmen of departments and the Director, SHRD to the BPS on the progress of the candidate every three months.
- e) To inform the BPS through the departmental and School heads if in his/her opinion a given candidate is unlikely to reach the standard required for the submission of thesis/project and award of the degree.
- f) To refrain from any form of conflict and to treat the candidate with respect and politeness.
- g) To integrate the candidate with the academic and social life of the department, the university and the community. This should include the following:
 - i. Whenever possible providing an opportunity for the candidate to teach undergraduate students in the candidate's area of expertise. This is to be done with caution and should not result in overloading the candidate to the detriment of his / her postgraduate work.
 - ii. To organize a seminar by the candidate, involving staff and senior students in the department. As a guideline each candidate should give at least two seminars per academic year with the first seminar delivered once the student's research proposal has been developed to the satisfaction of the supervisor.
 - iii. To participate in community work organized by the University;

3: SELECTION OF SUPERVISORS

A. Selection

- i) The candidate shall make effort to identify appropriate supervisor(s) in consultation with the departmental head
- ii) Recommendations on the appointment of the supervisor shall be processed in the first instance by the department through the SPSC. The recommendations shall be forwarded to the School Board for approval and onward transmission to senate through the BPS;
- iii) Before recommending the appointment of any supervisor the School Board shall satisfy itself that the proposed supervisors are competent in the subject area and field of research in which the candidate proposes to pursue;
- iv) Both the supervisor and the candidate should enter into mutual understanding where the expectation for either party are clearly separated;

- v) Both candidate and supervisor shall maintain a relationship which is purely academic and ethically sound

B. Dispute Resolution

Where the relationship between supervisor and the postgraduate candidate is unsatisfactory and may significantly and negatively impact on academic and professionalism, the following shall apply:

- i) Raise the matters with supervisor/s and seek to solve the matter amicably;
- ii) If the matter between the two is not resolved amicably the problem should be referred to the chairman of department. The chairman may discuss the matter with the affected supervisor and candidate or appoint a committee to discuss the matter and advise accordingly;
- iii) If the supervisor is the chairman, the problem or matter shall be referred to the Director of the School who may appoint a subcommittee to discuss the matter and advise accordingly;
- iv) Investigate and arbitrate between the supervisor and candidate to normality;
- v) Allow a change of supervisor or allow supervisor to exit if the relationship is severed beyond redemption. The reasons for change should be purely academic and professional
- vi) The process of change will be initiated by identifying a suitable replacement and by ensuring the current supervisor signs relevant forms to facilitate the process;
- vii) The senate, acting on the recommendation of the School concerned shall appoint, terminate and /or replace the supervisor (s) of projects as it may deem necessary. There shall normally be two supervisors per candidate.