



KAIMOSI FRIENDS UNIVERSITY COLLEGE

(A constituent College of Masinde Muliro University of Science and Technology)

GUIDELINES FOR GRADUATE STUDENTS

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ABBREVIATIONS AND ACRONYMS

AcA	-	Academic Adviser
BGS	-	Board of Graduate Studies
DGSC	-	Departmental Graduate Studies Committee
SGSC	-	School Graduate Studies Committee
DP (ASA)	-	Deputy Principal (Academic and Students' Affairs)
GF	-	Graduate Faculty
HND	-	Higher National Diploma
HoD	-	Head of Department
M.A	-	Master of Arts
M.Ed.	-	Master of Education
M.Sc.	-	Master of Science
NACOSTI	-	National Commission for Science, Technology and Innovation
PDF	-	Portable Document Format
PGD	-	Post Graduate Diploma
Ph.D.	-	Doctor of Philosophy
RRGS	-	Rules and Regulations Governing Graduate Studies
KAFUCO	-	Kaimosi Friends University College
IPP	-	Intellectual Property Policy
SGBE	-	School Graduate Board of Examiners
DGS	-	Directorate of Graduate Studies
RIO	-	Research, Innovation & Outreach
UCAB	-	University College Academic Board
UCMB	-	University College Management Board

DEFINITION OF TERMS

Adviser:	Expert who gives advice in a particular field.
Deferment:	Postponement of registration or study.
External Examiner:	A thesis examiner appointed by UCAB from other institutions and not an academic/research member of the University.
Board of Graduate Studies:	The Board that oversees all matters pertaining to graduate studies in schools and reports directly to UCAB.
Internal Examiner:	An academic member of the University who is appointed as a thesis examiner.
Postgraduate Programme:	A Postgraduate Diploma, a Masters or Doctor of Philosophy (Ph.D.) Programme.
Project:	A document submitted in support of candidature of a graduate student registered in a programme offered through coursework and project
UCAB:	A university organ established by the University Act of 2012 to give directions on instruction, research, examination, and award and conferment of degrees, diplomas, certificates and other academic distinctions.
Supervisor:	An academician appointed in accordance with the provisions of Section 8.3 of this document to supervise a graduate student pursuing a Masters or Ph.D. degree programme.
Thesis:	A document submitted as a requirement for fulfillment for all programmes requiring research.
Thesis Examination Committee:	A Committee appointed to undertake the examination of a thesis.
Viva Voce:	An oral examination, especially in reference to a thesis defence as part of thesis examination requirement.
Graduate Faculty:	All members of full time academic staff who teach graduate courses or supervise graduate research.

1.0 INTRODUCTION

The Directorate of Graduate Studies (DGS), which has developed these rules and regulations shall be responsible to the University College Academic Board (UCAB) for all matters pertaining to graduate and post-doctoral studies at KAFUCO, and is mandated to perform the following functions:

- i. Admission of graduate students
- ii. Co-ordination and regulation of graduate syllabi
- iii. Administration of graduate scholarships and research grants
- iv. Ensuring effective supervision of graduate students
- v. Administration and processing of graduate research theses
- vi. Verifying the final list of graduate degree awards.
- vii. Carry out any other duties as may be assigned by the UCAB from time to time.

In performing the functions, the Directorate shall have the responsibility of ensuring that:

- i. Rules and regulations governing graduate studies as provided for in this document are adhered to at all times.
- ii. Graduate programmes are initiated and maintained
- iii. Qualified students are attracted and admitted into the programmes
- iv. High level research at graduate level is maintained
- v. Studies are completed within the stipulated time
- vi. Research findings are disseminated to users so that they are of benefit to Kenya and the rest of the world.
- vii. Matters pertaining to graduate students' welfare are adequately addressed and ensure that a conducive atmosphere is provided for their studies.

2.0 THE BOARD OF GRADUATE STUDIES (BGS)

- This is the Board of Graduate Studies (BGS) through which the Directorate of Graduate Studies (DGS) shall perform her functions.
- The Board of Graduate Studies (BGS) shall be responsible to UCAB on all matters pertaining to graduate studies at Kaimosi Friends University College.

2.1 Membership of the Board of Graduate Studies (BGS)

- a. Director, Directorate of Graduate Studies (Board Chairperson)
- b. One Representative from each School elected by the School Board who shall be the Chairperson of School Graduate Studies Committee (SGSC). Such persons shall be designated as School Graduate Studies Coordinators.
- c. Director of Research, Innovation and Outreach.

- d. Two UCAB representatives elected /nominated by the Chair, UCAB
- e. University College Librarian
- f. Registrar, Academic Affairs
- g. One graduate Student Representative
- h. The Board of the Directorate of Graduate Studies can co-opt members to attend any of its meetings in an advisory capacity. Such persons shall be listed in attendance and shall have no power to vote.

2.2 Meetings of the Board of Graduate studies

- i. The Board of Graduate Studies shall meet at least once a month or as otherwise stipulated in the University Calendar.
- ii. Notice of BGS regular meetings shall be given at least 14 days in advance with a published agenda.
- iii. A special meeting of the Board may be called by the Chairperson, and the agenda of such a meeting shall be the only business of the day.
- iv. An emergency meeting of the Board may be called following a written request to the Principal, by at least four members of the Board. The purpose of such a meeting shall be the only business of the day.
- v. The quorum for the transaction of any business during regular meetings shall be at least 50% plus one of the total membership of the BGS present.

2.3 Terms of reference and functions of the Board of Graduate Studies

- i. Co-ordinate the establishment and development of graduate programmes in fields and subjects of study along approved guidelines and in conformity with the general University regulations for higher degrees and University college mission.
- ii. Co-ordinate graduate academic programmes and regulations relating to graduate studies.
- iii. Co-ordinate the admission of graduate students and the conduct of graduate programmes including examinations and award of graduate certificates, diplomas and degrees.
- iv. Co-ordinate matters pertaining to the welfare of graduate students.
- v. Co-ordinate the publicity of graduate programmes within and beyond Kenya.
- vi. Provide stimulation and support of mutually engaged staff members and graduate students who share a common interest.
- vii. Encourage the publication and dissemination of research findings and ensure that patents and other intellectual property rights are secured where appropriate.

3.0 GRADUATE FACULTY (GF)

All full time academic staff who teach graduate courses and/or supervise graduate research constitute the "Graduate Faculty". Chairs of teaching departments are required to submit to the Chairperson, Board of Graduate Studies, through their respective Deans, lists of their GF which shall be in the BGS approved supervisors' register. These lists shall be updated at the beginning of every academic year.

3.1 Membership of the GF

The graduate faculty (GF) shall comprise the following:

- i. Full Professors.
- ii. Associate Professors.
- iii. Senior Lecturers with PhD.
- iv. Lecturers with PhD and relevant university teaching and research experience who are engaged in productive research as evidenced by refereed publications.

3.2 Terms of Reference and Functions of the GF

- i. Teach graduate programmes.
- ii. Supervise and advise graduate students.
- iii. Serve on examination panels for graduate students.
- iv. Hold consultative meetings on matters affecting graduate students in the Schools
- v. Co-ordinate and promote graduate research activities within the University College.
- vi. Engage in research and extension activities at the University College.

4.0 DEPARTMENTAL GRADUATE STUDIES COMMITTEE (DGSC)

Each academic department at KAFUCO shall have a DGSC. At the beginning of every academic year, all Chairs of Departments (CoDs) shall be required to submit to the BGS, through their respective Deans, names of members of their DGSCs.

4.1 Membership of DGSC

- i. The Chair of Department.
- ii. All teaching staff in the department who are designated members of GF.
- iii. A Chairperson, who shall normally not be the Chair of Department, and who shall be elected by the academic members of the department in a meeting convened by the Chair of Department. The Chairperson of the DGSC shall be a Ph.D holder at the level of Senior Lecturer.

4.2 Terms of Reference and Functions of DGSC

The Departmental Graduate Studies Committee shall:

- i. Initiate and co-ordinate graduate programmes in the department.
- ii. Collaborate, whenever necessary, with other departments in the School and in the University in running inter-disciplinary graduate programmes.
- iii. Review applications for graduate admissions and make recommendations through Deans of Schools to the BGS

- iv. Recommend the appointment of Supervisors, Internal Examiners and External Examiners to the BGS
- v. Organize two (2) seminars for Masters and three (3) for Ph.D students every academic year.
- vi. Recommend staggering of programmes to the School Graduate Studies Committee.
- vii. Carry out any other functions assigned to it by the BGS.

5.0 SCHOOL GRADUATE STUDIES COMMITTEE (SGSC)

Each School at KAFUCO shall have a SGSC. At the beginning of every academic year, all Deans shall submit to the DGS Board, names of members of their SGSCs.

5.1 Membership of the SGSC

- i. All Chairpersons of DGSCs in that School.
- ii. One representative of the GF from each Department in that School.
- iii. One representative of graduate students in the School. The registration of the Student Representative must remain valid during the academic year in which the student is a representative. The students' representative shall be asked to leave the meeting when matters pertaining to examinations are tabled.
- iv. The Dean of the respective school.
- v. A Chairperson, who shall normally be the School Graduate Studies Coordinator, elected by the respective School Boards.

5.2 Terms of Reference and Functions of SGSC

The SGSC shall be responsible to the BGS on matters pertaining to graduate students in their schools. The SGSC shall:

- i. Recommend to BGS all graduate academic programmes in the School.
- ii. Recommend to BGS all candidates for admission to graduate studies.
- iii. Recommend to BGS candidates for the award of scholarships, fellowships and grants.
- iv. Communicate to BGS problems facing graduate students in their School.
- v. Recommend to BGS the award of higher degrees and diplomas to graduate students in their Schools.
- vi. Carry out any other functions assigned to them by the BGS.

6.0 SUBMISSION AND PROCESSING OF APPLICATIONS FOR GRADUATE STUDIES

- i. Advertisements for graduate studies shall be done at least twice a year by the Director, Directorate of Graduate Studies (DGS).
- ii. Three sets of application forms for graduate studies shall be issued by the Director, Directorate of Graduate Studies(DGS).
- iii. Completed application forms, plus copies of Secondary School Certificates, Degree Certificates, Official Degree Transcripts and any other relevant Testimonials shall be submitted to the Director, Directorate of Graduate Studies who will record all the forms for statistical purposes.
- iv. The Director, Directorate of Graduate Studies shall then forward the completed application forms to the relevant Departments concerned for short-listing.
- v. The shortlist of applicants, together with minutes of the DGSC meeting, shall be tabled in the School Graduate Studies Committee (SGSC) for further consideration and processing.
- vi. Chairpersons of School Graduate Studies Committees shall forward, through their respective Deans, names of shortlisted candidates recommended for admission, minutes of SGSC meeting and all the processed application forms to the Director, Directorate of Graduate Studies.
- vii. The Board of Graduate Studies (BGS) shall scrutinize all shortlisted applicants for graduate studies and make appropriate recommendations to UCAB for approval.
- viii. The BGS shall also make recommendations for the award of University scholarships and grants when such awards are available.
- ix. Before recommending a candidate to UCAB for admission and registration, the BGS shall satisfy itself that:
 - a. The candidate meets the minimum entry requirements for that programme.
 - b. The proposed field of study can be pursued under the supervision of the university academic staff.
 - c. The candidate has adequate opportunities for consulting his/her supervisor(s) at least once a month.
 - d. The candidate can obtain access to material relevant to the area of study and/or research.
 - e. The candidate has adequate facilities for practical work, where applicable.
- x. A Department which does not have sufficient GF to teach, supervise and examine its own graduate students shall not be allowed by UCAB to admit/register students in that particular academic year.
- xi. The Director, Directorate of Research & Graduate Studies shall send letters of admission and or registration to all successful candidates within two weeks of UCAB's approval. Such letters shall be copied to the Registrar, AA, Dean of the respective School and the Finance Officer.
- xii. Registration into a current academic year for both Masters and Ph.D. candidates shall normally close on the date designated by the UCAB.
- xiii. Applications for admissions to postgraduate studies at KAFUCO shall be received and processed throughout the year.

6.1 Deferment/Suspension of Studies

- i. A candidate may in exceptional cases be allowed for good academic and personal reasons to suspend his/her studies for a specific period of time.
- ii. Requests for deferment/suspension should be addressed to the Director, Directorate of Graduate Studies (DGS) through the Chair of Department stating acceptable/justifiable grounds and the period of deferment.
- iii. The BGS shall consider the requests and recommend to Deans' Committee and the UCAB to approve the deferment/suspension of studies for a period not exceeding one academic year.

6.2 Re-admission

- i. At the expiry of an approved period of deferment/suspension of studies, the Director, Directorate of Graduate Studies shall re-admit or advise the student to resume studies. The Registrar, Academic and Student Affairs and the Chair of Department shall be notified of the student's resumption of studies by the Director, Directorate of Graduate Studies.
- ii. A student who suspends studies for a period exceeding one academic year may re-apply for fresh admission.

6.3 Extension of Studies

- i. A candidate who is unable to submit a Masters or Doctoral thesis within the stipulated time may apply for extension of studies. Such application shall be addressed to the Director, Directorate of Graduate Studies through the candidate's supervisors and Chair of Department, clearly stating the reasons for extension and providing sufficient evidence.
- ii. Extension of studies shall be granted for such a period as to enable the candidate complete studies within the maximum allowed duration as specified for Masters and Doctoral students by these rules and regulations.

6.4 Registration of Admitted Students

- i. All admitted students shall be required to register with the Registrar, Academic and Student Affairs within the first two weeks of the semester.
- ii. A candidate shall not be allowed to sit for a University Examination for a given unit if he / she has not fulfilled the condition in article 6.4 (i) above.
- iii. A candidate shall be required to register for University examinations at least four weeks before the start of semester examinations.

7.0 TITLES OF GRADUATE QUALIFICATION

7.1 Titles of Degrees

- i. The University College recommends the following degrees:
 - a. Doctor of Philosophy (Ph.D.)
 - b. Doctor of Letters (D.Litt.)
 - c. Doctor of Science (D.Sc.)
 - d. Master of Arts (M.A)
 - e. Master of Business Administration (MBA)
 - f. Master of Education (M.Ed.)
 - g. Master of Science (M.Sc.)
 - h. Postgraduate Diploma (PGD)
- ii. Departments/Schools/Institutes may propose new degrees giving justification for consideration for approval by UCAB.

8.0 CONDUCT OF STUDIES, COMMON RULES AND REGULATIONS

8.1 Common Regulations for Postgraduate Diploma (PGD) Programmes

8.2 Eligibility for the PGD Programme

Applicants for the PGD programmes must be:

- i. Holders of a degree of KAFUCO/MMUST or any other recognized university.
- ii. Holders of qualifications considered by the UCAB to be equivalent to a university degree.
- iii. In addition to the above, applicants should normally have at least one year of experience in relevant government, private or non-governmental service.
- iv. In exceptional cases, UCAB may admit to the PGD programme, holders of a Higher National Diploma (HND) or equivalent qualification, who have at least two years relevant working experience.

8.3 Duration of the Postgraduate Diploma Programme

The PGD programme shall consist of one academic year covering a minimum of 26 units, and a maximum of 30 units of course work, examination and project distributed over two consecutive semesters as follows:

First Semester:	Coursework	12 units minimum
	Project	2 units
Second Semester:	Coursework	6 minimum units
	Project	6 units

Candidates shall choose courses and topics for their projects in consultation with GF in their departments. All candidates are required to participate in all the seminars arranged by departments.

8.4 Postgraduate Project/Practicum

- 8.4.1 Respective schools may design Masters programmes to be done by course work and Project/practicum. The units of each programme shall be in compliance with University College regulations.
- 8.4.2 The outcome of a project/practicum include a more knowledgeable and skilled practitioner, contribution to professional and scholarly knowledge, and some body of work or change in practice.
- 8.4.3 A postgraduate project/practicum will be presented by the candidate to either individual examiners or to a panel as may be determined by the particular schools together with:
- a) (i) An appropriate durable record of the project/practicum,
 - (ii) Such documentation as may be appropriate, and
 - b) A declaration signed by the candidate certifying that the project:
 - (i) Represents the work of the candidate alone except where due acknowledgement has been made,
 - (ii) Has not been submitted, either in whole or in part, for any other academic award, and
 - (iii) Represents work undertaken during the period of candidature
- 8.4.4 Specific information and advice shall be obtained from the supervisor or the postgraduate coordinator of the appropriate school.

8.5 Examination of Courses and Projects for PGD

- i. Candidates enrolled for PGD programmes will be required to pass in all courses they registered for and in their projects. The pass mark shall be 50%
- ii. Assessment at the end of a course shall consist of:
 - a) A written examination, which shall normally constitute 60% of the total marks in each course.
 - b) Continuous assessment based on essays, laboratory assignments and such other tests as may be prescribed by the department. This will normally constitute 40% of the total marks.
- iii. 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. A candidate who fails a supplementary examination shall be discontinued.

- iv. A candidate who fails more than **25%** of the prescribed course units in any semester shall be discontinued.
- v. The project shall be assessed by two examiners who shall be appointed by a given School. The examiners of the project shall not be the student's supervisor. The mark to be assigned to the project shall be the arithmetic mean of the two scores from the examiners.
- vi. The project will be assessed from a maximum of 100 marks. A candidate who fails in a project shall be given four months to resubmit the project. A candidate who fails to submit his/her project after four months shall be discontinued.
- vii. A candidate who for understandable and verifiable reasons such as sickness, fails to sit for an examination, shall be allowed to sit for a special examination. Medical cases must be supported by written documents from the University College Head of Health Services.
- viii. A candidate must pass both coursework and project to be awarded the PGD. The award of the PGD, based on the mean mark obtained in coursework and project, shall be graded as follows:

<u>Percentage Marks</u>	<u>Letter Grade</u>	
75 - 100	A	Distinction
65 - 74	B	Credit
50 - 64	C	Pass
Below 50	D	Fail

8.6 Recommendations for the Award of the PGD

- i. The Chairperson of the respective SGSCs shall forward names of candidates who have met their coursework examination and project requirements to the Board of Graduate Studies.
- ii. The Board shall deliberate on the results and recommend the successful candidates to the Senate for the award of the respective Diplomas.

9.0 COMMON REGULATIONS FOR MASTERS DEGREE PROGRAMMES

9.1 Eligibility for the Masters Degree Programmes

- i. The following shall normally be eligible to register for the Masters programme:
 - a) Holders of at least Second Class Honours Bachelors degree of Masinde Muliro University of Science and Technology/KAFUCO or from other recognized institutions.
 - b) Holders of a first degree with a 'PASS' shall normally be admitted if they have a postgraduate diploma in the relevant field.

- ii. In addition to producing evidence of eligibility for registration, candidates for the Masters degree may be required to appear for an interview by the various Departments so as to determine their suitability for registration. A written test might also be given, at the discretion of the Department.
- iii. Subject to the approval of UCAB, departments through their respective SGSCs, and upon recommendations of the BGS, may formulate regulations requiring applicants to have attained such academic or equivalent qualifications, which are consistent with the goals of their Masters programmes.

9.2 Duration of the Masters Programme

- i. The Masters programme in all departments shall normally extend over a period of two years distributed over four semesters of full time attendance, or a maximum of five years of part-time attendance from the date of registration and shall consist of coursework, examination and thesis.
- ii. The Masters Programme in any department shall consist of a minimum of Twelve (12) units of coursework and thesis distributed over four semesters as follows:
 - First Semester: Coursework: 9 units minimum 6
 - Second Semester: Coursework: 9 units minimum 6
 - Third Semester: 9 units minimum 6
 - Fourth Semester: Research/Thesis: 5-6 units

The length of a Masters thesis shall normally be at least 20,000 words.

9.3 Examination and Assessment of Courses at Masters Degree Level

- i. Candidates shall be required to pass in all the prescribed courses in a given programme. The pass mark shall be 50%.
- ii. Assessment at the end of the course work shall consist of:
 - a. A written examination which shall constitute 60% of the total marks in each course.
 - b. Continuous assessment tests shall constitute 40% of the total marks awarded in each course.
- iii. A candidate who fails two (2) prescribed courses in the first year shall be eligible to take supplementary examinations. The CAT marks shall not count towards supplementary. A candidate who fails in three or more courses will be discontinued.
- iv. A candidate who fails a supplementary examination shall be discontinued.
- v. A candidate who has been discontinued from a Masters degree programme may be considered for the award of a PGD.
- vi. A candidate who, for verifiable reasons such as sickness, fails to sit an examination shall be allowed to sit a Special Examination. Medical cases must be

- supported by documents which shall be verified by the University College Head of Health Services.
- vii. Students are free to take extra courses over and above the minimum required number of units and shall be given a grade which shall be reflected on their transcripts. Students are also free to audit courses. Students shall not be required to take continuous assessment tests and examinations in the courses they audit.
 - viii. A candidate who fails an examination in (an) extra course(s) shall not be penalized as long as he/she has passed examinations in the prescribed course units.
 - ix. The procedure for submission and examination of thesis shall be as outlined in **Section 14.1** of these Rules and Regulations Governing Graduate Studies.

9.4 Grading System for Masters degree by Coursework and Thesis

<u>Percentage Marks</u>		<u>Letter Grade</u>
75 - 100	A	Distinction
65 - 74	B	Credit
50 - 64	C	Pass
Below 50	D	Fail

9.5 Recommendation for the Award of the Masters Degree

- i. Names of candidates who shall have submitted their theses in CDs and in bound copies, together with evidence of Plagiarism checker report and of minutes of the respective oral presentations shall be tabled before BGS.
- ii. The BGS shall inspect the CDs and the bound theses, and once satisfied, shall recommend to Senate the conferment of the respective Masters degrees to the candidates, provided that other requirements in respect of coursework have been fully met.
- iii. Masters theses shall be bound in green forest colour.

9.1 COMMON REGULATIONS FOR THE DEGREE OF DOCTOR OF PHILOSPHY (Ph.D.)

10.1 Eligibility for Admission into Ph.D. Programmes

To qualify for admission into a Ph.D. programme, a candidate shall be:

- i. A holder of a relevant Masters degree from a recognized University/Institution,
- ii. In addition to the Masters degree, the candidate shall normally have a relevant Bachelors degree.

10.2 Registration for a Ph.D. Programme

- i. The Doctor of Philosophy programme in any department shall normally consist of course work and thesis. The minimum units of coursework for a Ph.D. programme shall be 24. All coursework shall be done in the first year of study.
 - Year 1, Semester 1 - 3 units of coursework and 3 units of research.
 - Year 1, Semester 2 - 3 units of coursework and 3 units of research.
 - Year 2, Semester 1 - 3 units of Research.
 - Year 2, Semester 2 - 3 units of Research
 - Year 3, Semester 1 & 2 - 6 units of Research and Thesis
- ii. The length of a Doctoral thesis shall normally be at least 50,000 words. A candidate admitted into a Ph.D. programme must submit a proposal to the Director, Directorate of Graduate Studies, through his respective DGSC and SGSC for evaluation.
- iii. The DGSC and SGSC shall decline to approve a research proposal if:
 - a. The research is unsuitable in itself
 - b. The research cannot be conducted under the supervision of the university.
 - c. The conditions under which the candidate proposes to work are unsatisfactory or unavailable.

10.3 Duration of the Ph.D. Programme

A candidate may be registered as a full-time student for the Ph.D. degree for a minimum of three (3) years and a maximum of five (5) years. A candidate may be registered as a part-time student for the Ph.D. degree for a minimum of four (4) years and a maximum of six (6) years. Registration will be reviewed from time to time by DGS. Continuance of registration will depend on evidence of satisfactory progress.

10.4 Examination of Courses for Ph.D. Programmes

- i. Candidates shall be required to pass in all the courses for which they are registered. The pass mark shall be **50%**.
- ii. Assessment at the end of the coursework shall consist of:
 - a. A written examination which shall constitute **60%** of total marks in a course.
 - b. Continuous assessment tests shall constitute **40%** of the total marks.
- iii. A candidate who fails more than one prescribed course in a given semester shall be discontinued.
- iv. 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%. The CAT marks shall not count towards supplementary.
- v. A candidate who fails in any supplementary examination shall be discontinued.

- vi. A candidate who, for verifiable reasons such as sickness, fails to sit an examination shall be allowed to sit a special examination.
- vii. Medical cases must be supported by documents which shall be verified by the University Head of Health Services.

10.5 Grading System for Ph.D. Coursework

<u>Percentage</u>		<u>Letter Grade</u>
75 - 100	A	Distinction
65 - 74	B	Credit
50 - 64	C	Pass
Below 50	D	Fail

10.0 PROCESSING OF EXAMINATION RESULTS

- i. Unless otherwise stated, 'Regulations for the Conduct of Examinations' as outlined in Common Rules and Regulations for Undergraduate Examinations shall apply.
- ii. The teaching department in which a student was taught shall process graduate examination results. The Head of the department shall forward externalized coursework examination results for all its registered candidates to the School Graduate Studies Board of Examiners (SGSBE) for deliberations.
- iii. The SGSBEs shall consist of all members of Graduate Faculty in the School. The SGSBEs shall be chaired by the Dean of that School.
- iv. The Deans of Schools shall forward examination results and appropriate recommendations to UCAB within one month after the end of the academic year in which the courses were taught and examined.
- v. The Deans of Schools shall send a copy of the coursework examination results to UCAB and a copy to the Director, Directorate Graduate Studies for record purposes.
- vi. The Deans of Schools shall release provisional coursework examination results within seven days from the time the SGSBEs deliberated on them.

11.1 Appeals for Assessment of Examinations

- i. After the release of provisional coursework examination results by the Deans of Schools, a candidate may appeal for remarking within a period of one month, giving reasons.
- ii. The letter of appeal shall be addressed to the Dean of School and copied to the Director, Directorate of Graduate Studies, DP (A&SA) and Chair of the relevant teaching department.
- iii. On making the appeal, a candidate shall pay a non-refundable fee to be determined by the UCAB from time to time.
- iv. The Dean of the School, in consultation with the DGS, shall appoint either an Internal or External Examiner to remark the examination paper(s) in question. The Examiner

so appointed shall be someone who has not taught or examined the candidate in that particular semester.

- v. The mark obtained after remarking any paper shall be the official mark. This mark shall be communicated by the Examiner to the Dean of the School, copied to the Director, Directorate of Graduate Studies for processing and onward transmission to UCAB for approval.

12.0 CONDUCT OF RESEARCH AND SUPERVISION

12.1 General

- i. A student registered in accordance with these Rules and Regulations shall be required to pursue a programme of study and follow supervision by GF members appointed in that capacity by UCAB to guide them write their research work.
- ii. At the beginning of the first semester, each Masters student shall be assigned an Academic Adviser (AcA) by the DGSC drawn from among the staff constituting GF in the department.
- iii. The AcA shall advise the student on matters pertaining to the selection of taught courses.
- iv. The AcA will not necessarily be the student's thesis Supervisor.
- v. The student's thesis supervisor shall be appointed at the beginning of the Second Semester and shall advise the student on identification of a suitable research area.
- vi. Towards the end of the second semester, each student will be required to submit a research proposal to the DGSC. The proposal shall be accompanied by a single spaced, one page abstract. Both the proposal and its abstract must be duly signed by the student and the proposed supervisor(s).
- vii. The student shall make a presentation of the research proposal to DGSC.
- viii. The DGSC and SGSC shall discuss and make recommendations to UCAB on the suitability of supervisors and proposed thesis topics. Supervisor(s) for each candidate shall be appointed according to the procedure outlined in **Section 13.2** of these Rules and Regulations Governing Graduate Studies.
- ix. Each candidate shall normally have at least two supervisors who will be appointed by the UCAB on the recommendations of the SGSC and BGS.
- x. At least one of the supervisors must be a staff member in the department where a candidate is registered. Unless otherwise stated, the procedure for the appointment of supervisors provided in Section 13. 2 of this document shall apply.
- xi. To qualify as supervisor for a Ph.D. student, a member of staff must have a Ph.D. or equivalent qualification, and shall be at the level of Senior lecturer and above.
- xii. To qualify as a supervisor for a Masters student, a member of staff must have a Ph.D. or equivalent qualification and shall be at the level of lecturer and above.
- xiii. Supervisors shall submit to the Director, Directorate of Graduate Studies either individually or jointly, academic reports on the progress of each candidate every three months through the respective Chairpersons, DGSC. Such reports shall be copied to the DP(A&SA).

- xiv. Where a candidature has issues (e.g. non-submission of progress report, disappearance of candidate) the supervisors shall write a report, which will be discussed by the DGSC. Where the DGSC cannot resolve the issues raised they will pass on the report to SGSC for further consideration. The report on the resolution of such an issue shall be copied to the DP (A&SA) and the Directorate of Graduate Studies.
- xv. Ph.D. candidates shall be required to submit academic reports endorsed by the supervisors every three months to the Directorate of Graduate Studies. Such reports shall be copied to the DP (A&SA).
- xvi. Where the progress of a given candidate is found to be unsatisfactory, such a candidate shall be given a written warning by the Director, Directorate of Graduate Studies to the effect that unless the candidate shows signs of improvement within six months, the candidate will be de-registered. The warning letter shall be copied to the respective Chairpersons of the DGSC and SGSC, the CoD, Dean of School and DP (A&SA).
- xvii. A recommendation for de-registration shall be made to UCAB by the Director, Directorate of Graduate Studies only after the procedure given in **Section 13.1 (xv)** has been complied with.
- xviii. When the report of a student is adverse on a supervisor (s), the Director, Directorate of Graduate Studies shall constitute a committee comprising Deans; Chairpersons of departments; Registrar, Academic and Student Affairs to investigate and make recommendations.
- xix. The Director, Directorate of Graduate Studies shall, in consultation with the Deans and Chairpersons of the departments, ensure the effective supervision of the students.
- xx. All students shall be required to consult their supervisors at least once a month based on a schedule worked out between the student and the supervisor.
- xxi. During such consultations, monthly consultation forms shall be duly filled and signed by both the student and the supervisor (s) in triplicate and a copy forwarded to the Director, Directorate of Graduate Studies for record purposes.

12.2 Appointment of Supervisors

It is the intention of the University College to ensure that the ratio of graduate students to supervisors shall be small enough to ensure effective interaction and supervision of students.

- i. SGCS shall identify supervisors for the students not later than the middle of second semester of the first year of their study.
- ii. Students shall be allowed to suggest their supervisors, but the DGSC shall make the decision.

- iii. Recommendations on the appointment of supervisors shall be processed by the DGSC in consultation with SGSC and forwarded to the Director, Directorate of Graduate Studies.
- iv. The Director, Directorate of Graduate Studies shall convene a Board of Graduate Studies meeting to consider and approve the recommended supervisors within one month.
- v. The BGS shall make recommendations to UCAB on the suitability of supervisors, based on acceptable research proposals from the candidates.
- vi. Before recommending the appointment of any supervisor, the BGS shall certify itself that the proposed supervisors are competent in the subject areas in which the candidate proposes to work. All internal supervisors must be members of the GF as defined in **Section 3.1** of this document.
- vii. Each candidate shall normally have two supervisors designated as first and second supervisor. The first supervisor shall be a member of the teaching department in which the student is registered or whose specialty is closest to the student's field of research.
- viii. Where an additional supervisor is recommended for appointment from outside the University, such a person shall show evidence of competence in the area of study through publications produced since obtaining his/her higher degrees. Such a person shall also submit a current CV to be examined by the UCAB before a formal appointment is made.
- ix. The designation of a first or second supervisor for a candidate is not necessarily determined by seniority in the university hierarchy.
- x. All persons approved by UCAB as supervisors shall be informed of their appointment by the Director, Directorate of Graduate Studies in writing.

12.3 Replacement of Supervisors

- i. Where the DGSC is not satisfied that the supervision of a particular candidate is effective, they shall recommend a replacement to DGS through the SGSC.
- ii. Minutes of the DGSC and SGSC meeting specifying reasons/justification for the recommended replacement shall be attached.
- iii. The DGS shall consider such recommendation and give direction on the matter.
- iv. The Director, Directorate of Graduate Studies shall order a replacement of a supervisor where in his/her opinion the DGSC and the SGSCs have not effectively discharged their duties as provided in **Section 13.3 (i)** above and in his/her consideration such an action would be in the best interest of the student and that of the University.
- v. Where a supervisor is deceased or incapacitated, another supervisor shall be appointed if the supervision has not been done to an advanced stage. However, if supervision was at an advanced stage, the department shall recommend appointment of a thesis advisor who shall normally not sign the thesis.

12.4 Supervision of Research and Theses

- i. The supervisors shall be responsible for guiding the candidate in the conduct of the research for thesis writing.
- ii. In the absence (at least 2 months) of the first supervisor, the second supervisor and/or CoD shall be responsible for ensuring that the candidate complies with the University regulations and procedures, including matters of supervision.
- iii. The first supervisors shall be on the schools' approved supervisors' register. All supervisors must have a copy of these rules and regulations governing graduate studies.
- iv. If the research programme is pursued at another approved organization, then a second supervisor associated with the organization in which the research is carried out shall be appointed
- v. If a supervisor ceases to meet these requirements or cannot supervise a candidate for a period exceeding three months, the CoD shall immediately nominate a replacement supervisor for a specified period for approval under the relevant School process.
- vi. A maximum period of one month shall be allowed for supervisors to respond to students' work on proposals and theses.
- vii. The maximum load for a supervisor shall normally be five (5) Masters and three (3) Ph.D. candidates.
- viii. In exceptional circumstances, UCAB may approve a higher load for a first supervisor, but in no circumstances shall the load exceed twelve (12) candidates. Under such exceptional circumstances, the first supervisor's other duties such as teaching and administration shall be reduced.

12.5 Responsibilities of Supervisors

- i. Being the leading source of research advice to the student.
- ii. Facilitating the candidature by offering expert guidance, direction and constructive criticism at all stages and in particular:-
 - a. Guiding the student to develop a research proposal, conduct research, analyze data and write a thesis at least as detailed as that required for approval by the School.
 - b. Guiding the student to maintain the progress of work in accordance with the approved programme.
 - c. Providing constructive feedback on drafts of the thesis promptly, with appropriate criticism to allow the candidate to achieve and maintain a scholarly standard in the thesis within the period of official/normal registration.
 - d. Inspecting the raw data collected by the student.

- iii. Mastering of the University Rules and Regulations Governing Graduate Studies and other relevant University rules such as Plagiarism, Student Discipline, Student Complaints, Discrimination and Sexual Harassment.
- iv. Raising problems or difficulties with the candidate, CoD or appropriate academic authority.
- v. Ensuring the candidate complies with the University ethical requirements.
- vi. Preparing supervisors' reports on the candidate's progress and submitting them to the CoD and Director, Directorate of Graduate Studies within one month.
- vii. In the event of acute or persistent deficiencies in the candidate's performance, such that the candidate is unlikely to meet the requirements of the degree by the end of the prescribed period, the supervisors shall:-
 - a. Advise the candidate and the CoD with a copy to the Dean on the deficiencies.
 - b. Advise, as required, on remedial action on the deficiencies.
 - c. Recommend to the CoD or appropriate academic authority that a candidature be terminated if the deficiencies persist.
- viii. Advising the candidate and the CoD or appropriate academic authority on applications for leave of absence.

12.6 Responsibilities of Graduate Students:

- i. Ensuring that fees is paid in full and on time
- ii. Ensuring that all the prescribed courses are taken and examinations in the courses sat and passed.
- iii. Developing research proposals on time and presenting them to the DGSC as scheduled.
- iv. Conducting research, analyzing data and writing theses/projects as required.
- v. Working closely with the supervisors during proposal and thesis/project writing.
- vi. Keeping monthly appointments with supervisor(s) during candidature.
- vii. Writing and submitting progress reports through the supervisors to the SGSC once every three months.
- viii. Taking initiative to raise problems or difficulties faced during supervision with the CoD, DGSC and DGS, in that order.
- ix. Being responsible for proposal and thesis writing and ensuring that plagiarism is avoided.
- x. Complying with KAFUCO ethical requirements.
- xi. Ensuring that Rules and Regulations Governing Graduate Studies are adhered to.
- xii. Participating in all seminars arranged by their departments.

13.0 EXAMINATION OF MASTERS AND DOCTORAL THESIS

13.1 Submission of Thesis for Examination

- i. Only candidates who have completed fee payment shall be allowed to submit their theses for examination.
- ii. Any thesis submitted for examination must be original work of the candidate.
- iii. All theses submitted for examination shall be subjected to plagiarism test by the Directorate of Graduate Studies. A candidate shall submit a soft copy of the thesis to the Directorate for the test. Any thesis which is plagiarized up to 20% shall not be defended.
- iv. Plagiarism means using the ideas or writings of another as one's own.
- v. Plagiarism or falsification of research data shall result in the withdrawal of the candidature of the graduate student.
- vi. At least twelve weeks before the end of the fourth semester, a candidate shall give a written Notice of Intent to Submit a thesis to the Dean of School copied to DGS, through the Supervisor(s) and Chair of department. The notice shall also be copied to the Chairpersons of the Departmental and School Graduate Studies Committees. The Notice should include a signed Abstract not exceeding 400 words, which has been countersigned and dated by the Supervisor(s).
- vii. Two weeks after the Notice of Intent has been given, a candidate shall present the findings of his/her research to the respective School Graduate Studies Committee in the form of a seminar. The Chairperson of the SGSC shall prepare a report of the seminar of each candidate with appropriate recommendations
- viii. Within four weeks after the Notice of Intent to Submit a thesis has been issued, the respective Chairperson of the Departmental Graduate Studies Committee shall recommend to the DGS, through the respective SGSC, the names of one External Examiner, two Internal Examiners (one who shall be from outside the department), one Departmental representative and one School Representative, for the candidate's Board of Examiners. The Director, Directorate of Graduate Studies shall recommend to the BGS one UCAB representative to sit in the Board of examiners.
- ix. The CVs of Examiners who are not staff of KAFUCO shall also be submitted for consideration by the BGS, if the Examiners are being appointed for the first time.
- x. Members of KAFUCO shall be required to submit their CVs after every two years as evidence of continuous academic development.
- xi. All Examiners for Ph.D. theses must have D.Phil., or Ph.D. qualifications, and must be at the level of senior lecturer or above.
- xii. The UCAB shall, on the recommendation of the DGS appoint in respect of each candidate presenting a thesis, a Board of Examiners for Oral Examination consisting of:
 - a. Dean of the teaching School or his representative - (Chairperson)
 - b. Director, Directorate of Graduate Studies
 - c. One UCAB representative
 - d. The School representative in the DGS

- e. The External Examiner, to be present if available, unless he/she failed the candidate in their examination report.
 - f. One Departmental representative,
 - g. The two (2) Internal Examiners,
 - h. One School representative,
 - i. The supervisor(s) - In attendance,
 - j. Secretariat by Director, Directorate of Graduate Studies (In attendance).
- xiii. There shall normally be a representative of all the above categories for any defense to continue except for the external examiner.
 - xiv. Each candidate shall normally submit through the CoD, six spiral bound copies of his/her thesis to the Director, Directorate of Graduate Studies. The thesis must be prepared according to the format approved by the UCAB, and must be signed by the student and the Supervisor(s) and bear the date of submission.
 - xv. Copies of the thesis shall be sent by the Directorate of Graduate Studies to the Internal and External Examiners by Priority Mail.
 - xvi. The Internal Examiners and the External Examiner shall be required to assess the thesis and submit detailed reports to the Director, Directorate of Graduate Studies within four weeks of receipt of the thesis.
 - xvii. Reports from the external and internal examiners shall normally be circulated to members of the Board of examiners at the oral defense.
 - xviii. An honorarium shall be paid to the Examiners subject to submission of satisfactory reports in time and attendance of oral defense.
 - xix. Each Examiner shall indicate within his/her 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 or adds new knowledge in the subject area,
 - c. Whether or not the thesis needs minor or major revision or corrections or needs thorough overhaul,
 - d. A grade- Pass/Fail subject to the candidate fulfilling other University requirements.
 - e. The mark to be assigned to the thesis and justification for the same in a prescribed mark/grading form.
 - f. Whether the candidate should be awarded the degree or not.
 - xx. When an Examiner's report is delayed for more than one month, a reminder shall be written by the Director, Directorate of Graduate Studies and the examiner shall be requested to submit the report within two weeks. Failure to submit the report after the reminder shall lead to the appointment of a new examiner for the thesis.

13.2 The Oral Defense

- i. After the receipt of all Examiners' reports, the Director, Directorate of Research & Graduate Studies in consultation with the Dean of School shall set a date for the

- oral defense. Such a date shall normally be within three (3) weeks of the date of receipt of the last report.
- ii. A candidate shall be informed about the result of plagiarism test before he/she defends a thesis.
 - iii. A candidate whose thesis fails the plagiarism test shall be asked by the oral defence panel to deal with the plagiarism issues before he/she is given chance to defend his/her thesis at a later date.
 - iv. The candidate's oral defence shall be open to the public. However, only members of the Board of Examiners shall pose questions to the candidate.
 - v. The duration of the oral defense for Masters candidates shall normally be a maximum of two (2) hours, consisting of 40 minutes of candidate's presentation and 80 minutes question and answer session.
 - vi. For Ph.D. candidates, the duration shall normally be a maximum of three (3) hours, consisting of 60 minutes of candidate's presentation and 120 minutes question and answer session.
 - vii. Assessment after the oral defense shall be conducted as follows:
 - a. Each member of the Board, with the exception of the Chairperson, Supervisors and the Secretariat shall be required to assign a mark not exceeding 20% to the oral defence. The mean of all the scores shall be the final mark for that defence, and shall be designated mark **Y**.
 - b. The Chairperson of the Board of Examiners shall calculate the mean score from the three Examiners' reports and designate it as mark **X**. The overall Mark for the thesis shall then be calculated from the following formula:
$$\text{Thesis Mark} = (0.8X + Y) \%$$
 - c. A candidate must pass the Oral Presentation and the Written Thesis to be declared pass overall. The pass mark in either case shall be 50%. Total overall mark, should be 50% and above to be declared passed.
 - d. A thesis must be given to the Board of Examiners prior to the defense. An examiner must award a mark in either case to show whether he has passed or failed a candidate.
 - e. The overall assessment and decision of the Board of Examiners on a thesis presented in oral defense shall prevail.
 - viii. After the completion of the oral defence, the Board of Examiners shall decide:
 - a. Whether the candidate defended the thesis adequately and whether the candidate should be declared pass outright, thus assigning a grade to the thesis, and recommending the award of the degree subject to the candidate fulfilling other requirements in respect of course work.
 - b. Whether the thesis needs minor revision and/or corrections over and above the recommendations contained in the examiners' reports, thus assigning a grade to the thesis, and recommending submission of the final revised thesis within one month, duly certified by the supervisors.

Minor revisions/corrections shall take the form of:

- (i) The correction of typographical, spelling and grammatical errors
- (ii) Limited revision of material in the thesis/project that the examiners specify

in detail and which in their judgment is necessary for the thesis to reach an acceptable standard.

- (iii) The latter category can include limited revisions not central to the thesis, omissions and improvements to the argument which do not materially alter the conclusions. The examiners must agree that the candidate will be able to achieve the revisions/corrections within one month after the defence.
- c. Whether the thesis needs major revision and corrections, and recommending re-submission of the thesis within three months for fresh assessment by one of the internal examiners. Should the candidate still fail at this stage, the candidate must submit a revised thesis within six months for fresh assessment by all the three examiners and appear for a second oral defence thereafter. A candidate who defends his/her thesis a second time shall be asked to pay a re-examination fee. A thesis shall however, not be defended more than twice.

Major revisions/corrections shall take the form of:

- (i) Re-writing some sections of the thesis/project either to strengthen the argument or improve on the flow of work.
 - (ii) Further data analysis
 - (iii) Re-organization of the thesis/project for better presentation.
 - iv) Major revisions/corrections shall not normally require further data collection or shifting the research focus.
 - d. Whether the thesis needs a complete overhaul, including collection of more data and/or change of methodology, and recommending re-submission within nine (9) months for fresh assessment by all the three examiners and a second oral defence thereafter.
 - e. Whether the thesis is unacceptable for the award of the respective degree, and declaring the candidate having failed outright.
- ix. A thesis cannot be defended more than twice.
 - x. A Master's degree candidate who fails overall after the oral defense shall not be awarded the Masters degree. Such a candidate may, however, be considered for the award of a Postgraduate Diploma, as long as the candidate meets the necessary requirements for such an award, otherwise the candidate shall be discontinued.
 - xi. Members of the Board of Examiners and the secretariat shall be paid a honorarium immediately after a student's defence of his/her thesis. The list of those who shall be paid honorarium is as follows:
 - a. Chairperson
 - b. Director, Directorate of Graduate Studies
 - c. UCAB representative
 - d. The School representative
 - e. The Departmental representative
 - f. Directorate representative at the BGS

g. Secretariat

The honorarium shall be paid from the funds paid as examination fees by the student. The rate of payment shall be proposed by BGS and approved by UCAB.

13.3 Final Submission of Thesis

- i. Once a candidate has incorporated into the thesis all the recommendations of the Board of Examiners, the designated supervisor shall check the thesis and then write to the Director, Directorate of Graduate Studies certifying that all corrections and amendments suggested by the Examiners have indeed been incorporated. This communication shall be copied to the respective SGSC, CoD and Dean of School. The thesis shall be prepared according to the format approved by DRGS. A *Correction Form* shall be filled by the candidate indicating sections in the thesis where corrections/revisions have been made as per the recommendations contained in the examination reports and those of the Board of examiners.
- ii. Seven hard copies and 3 CD soft copies of every thesis shall be submitted to Directorate of Graduate Studies after revision.
- iii. The seven hard copies shall be bound in boards with forest green buckram for both masters and PhD theses. The bound copies shall be lettered in gold on the spine with the following information: Name of the candidate, degree and the year of final submission, in that order. Soft copies shall be submitted to the DGS in Portable Document Format (PDF).
- iv. The hard cover shall be lettered in gold with the following information: Title of the thesis, name of candidate with the year of final submission at the bottom.
- v. At least seven hard bound copies signed by supervisors and 3 CD (soft) copies (1CD to go the library, department and BGS) shall be submitted to the Director, Directorate of Graduate Studies together with a certificate from the University Librarian indicating that the seven theses have been bound according to the format approved by UCAB.
- vi. One copy of the bound theses shall be deposited in the University College Library and one in the relevant department and School, one each to supervisors and student and one deposited with the National Commission for Science, Technology and Innovation. One soft copy shall be given to the DGS and one copy each to the Library and Department.
- vii. Before the award of a Ph.D. degree a candidate shall show proof of acceptance for publication of at least two (2) articles in peer reviewed journals. Masters candidates are encouraged to publish at least one article from their theses.

13.4 Restrictions on Supervision and Examination of Theses

- i. A holder of a Masters Degree who is registered as a Ph.D. candidate shall not serve as a supervisor for any Master's thesis until after a successful defence of his/her Ph.D. thesis.

- ii. Supervisors shall not engage in personal/unethical/sexual relationships with student(s) under their supervision.
- iii. A member of staff shall not supervise his/her immediate family members.
- iv. Supervisors shall be paid for supervision after the student has defended his/her thesis.
- v. Field work, supervision, computer, examination, activity and laboratory fees shall be remitted directly to the University as running costs.

11.0 ENROLMENT

- i. Any extra semester enrolled in beyond the prescribed maximum duration must be paid for.
- ii. Graduate students shall be required to register/sign a nominal roll at the beginning of every semester.

14.0 DE-REGISTRATION

UCAB shall de-register a graduate student if:

- i. The student fails to live up to the academic requirements stipulated in Sections 8.5, 9, 10.3, and 11.4 of these Rules and Regulations.
- ii. The candidate's conduct is contrary to the University Rules and Regulations.
- iii. The candidate or the candidate's sponsor fails to remit funds to the University for the conduct of studies.
- iv. The candidate has not completed the prescribed studies after:
 - a. Three years since the date of registration for full time candidates or after five years for part-time candidates in a Masters degree programme.
 - b. Five years for full-time or six years for part-time studies since the date of registration in a Doctoral degree programme.
- v. The tuition and supervision fee beyond the regular time of registration shall not have been paid by the candidate.
- vi. The candidate has not submitted the final revised thesis after the prescribed time decided during the oral presentation.

15.0 EXEMPTIONS FROM THE RULES AND REGULATIONS GOVERNING GRADUATE STUDIES

- i. Requests for exemptions from the application of these rules and regulations governing graduate studies may be submitted to the BGS by the Chairperson of a SGSC with reasons. The BGS shall consider such requests and make appropriate recommendations to UCAB.
- ii. In making such recommendations, the BGS shall take into consideration the overall impact such an exemption may have on the Graduate Studies in the University.

- iii. Only UCAB, on the recommendations of the BGS, may grant exemptions from these Rules and Regulations.

16.0 INTELLECTUAL PROPERTY

- i. KAFUCO shall normally claim ownership rights in the intellectual property which results from research in any programme. This shall be done in accordance with the approved University Intellectual Property Policy (RUIPP).
- ii. Should there be need, availability of a thesis may be restricted for a period of up to three years from its receipt by the BGS for reasons of commercial confidentiality or industrial security. In such circumstances, the CoD or appropriate academic authority must apply to the BGS before the thesis is examined, requesting that:
 - a. The examiners be required to sign a confidentiality agreement approved by the DP (A&SA) before examining the thesis.
 - b. Each examiner be required to return his/her copy of the thesis after examination within one month.
 - c. No examiner is permitted to copy or circulate the thesis.
 - d. The bound copies of the thesis be held by KAFUCO for three years before release to the Library and the candidate's department.
- iii. Any departures from normal practice must be recommended by BGS to Senate. In exceptional circumstances, the maximum three-year period may be extended by UCAB on the recommendation of BGS or as stipulated in the Intellectual Property Right Policy of KAFUCO.

17.0 ETHICAL ISSUES

- i. KAFUCO Ethics Policy shall apply.
- ii. KAFUCO shall establish the Institutional Research Ethics Committee (IREC).
When
the programme includes experimentation on animals, it must comply with the Code of Practice and other Kenyan Laws on research. Research applications, which include such
experimentation, shall be approved by the IREC.
- iii. When the research programme includes experimentation involving humans, it must
conform to the requirements of the National Health and Medical Research Council and Kenyan Laws. Research applications, which include such
experimentation shall also be approved by IREC.
- iv. Plagiarism is not acceptable. The use of another person's work or ideas must be duly acknowledged.
- v. Extracts from work (thesis, papers) presented to university should be acknowledged.

- vi. Supervisors and examiners are prohibited from publishing work that they supervise or examine without authority.
- vii. In case of a student being harassed sexually, the student can lodge a complaint to the Principal and a copy to the Director, DGS.

18.0 COMPLAINTS

Students and staff have the right to have complaints and disputes addressed and resolved within a reasonable time (normally five working days).

18.1 Informal Complaints

Students and supervisors shall attempt to resolve conflicts informally. Students and staff have the right to have a support person present at any time during this process. The involvement of other members, including the chairpersons of the departments and deans of schools and BRGS might also be appropriate where necessary. If the dispute is not resolved then formal procedures shall be followed.

18.2 Students' Formal Complaints

- i. Students who have a reason to believe that the outcome of the informal process is not satisfactory, and may be detrimental to their candidature, should submit their complaints in writing to the CoD, and copy to Dean of School, Director, Directorate of Research & Graduate Studies and DP(A&SA).
- ii. The CoD shall take the necessary action and communicate to the student.
- iii. A student may be allowed to propose change of supervisor(s) to the DGSC. The final decision however, rests on the DGS.
- iv. All Graduate students' complaints should be resolved at the DGSC or SGSC levels. If not, then they shall be forwarded to BGS for further advice.

18.3 Graduate Faculty Staff Formal Complaints

All GF staff complaints shall be dealt with at the SGSC. If not resolved then the Director, Directorate of Graduate Studies shall contact DP (A&SA) for intervention.

19.0 COMPLIANCE WITH THESE RULES AND REGULATIONS

These rules and regulations shall be read together with the Rules and Regulations Governing the Conduct of Examinations of KAFUCO. UCAB shall take appropriate action against any person who does not comply with any of these Rules and Regulations.

20.0 AMENDMENTS AND VARIATIONS TO THESE REGULATIONS

Kaimosi Friends University College shall amend these rules and regulations governing graduate studies from time to time.

21.0 RESEARCH PERMIT

- No graduate student is allowed to conduct research without research permit from the National Commission for Science, Technology and Innovation where a permit from NACOSTI is required.
- It is the responsibility of the and supervisor and student to get the necessary permit from the Commission before commencing on field work. A copy of the permit must be put in the Appendices of the thesis.
- The Directorate of Graduate Studies, on confirmation from departments shall write to NACOSTI, introducing the student(s) recommended for commencement of field work after successful presentation of their thesis proposals at the School/Departmental levels for issuance of a research permit.

End



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Appendix:1 STRUCTURE FOR RESEARCH PROJECT AND THESIS FOR GRADUATE STUDENTS

RESEARCH PROJECT/THESIS FORMAT

Preamble

A thesis is a presentation of original research carried out by the author. The results and findings of thesis/project research may be of significance and in demand for many years after the thesis is written. It is important that the thesis/project be well presented and in a durable form.

Thesis/proposal presentation for examination should be in their final form, only awaiting binding. They are normally written in English. Requests for permission to write in some other language pertinent to the research can be granted upon justification to UCAB through Departmental or School Graduate Committees. It should indicate the availability of faculty members competent in the language and field, and who are willing to serve as supervisors and on the Examination Board. In these cases, the abstract, detailed summary and conclusion must be submitted with the thesis in English.

1. THE STRUCTURE OF RESEARCH

PROPOSAL/THESIS

A) Title page to include:

i. Title

- A concise statement of the main topic and should identify the Variables.
- Should be a reflection of the contents of the document.
- Fully explanatory when standing alone.
- Should not contain redundancies such as 'a study of.....or 'an investigation of.....
- Abbreviations should not appear in the title.
- Scientific names should be in italics.
- Should contain 12 to 15 words.

ii. Author's name and affiliation

- Reference**
- Appendices**
- E) List of Tables**
- F) List of Figures**
- G) Acronyms**
- H) Definition of terms**
 - Define terms in the text that are not common.

CHAPTER 1 INTRODUCTION

This chapter should include the following;

- 1.1 Background -Should show understanding and genesis of the problem.
 - Talk about the global perspective followed by the local scenario.
 - Talk about the target group in the study.
 - Should be approximately 5 pages (4-6 pages)
- 1.2 Statement of the problem
 - Must indicate exactly what the problem is.
 - Indicate why and how it is a problem. Give information to support this e.g. by use of statistics or evidence. This should be derived from background information to illustrate connectivity.
 - Length- Maximum 2 pages.
- 1.3 Objectives
 - One general objective which should be in line with the title.
 - Specific objectives- have to be in line with the variables the candidates hypothesize to influence the phenomenon being investigated.
 - Should be related to the general objective.
 - Should not be questions in the questionnaire.
- 1.4 Research Questions
 - They should be in line with the specific objectives and equal in number.
 - Have to be numbered (1, 2, 3.....) and should be questions and not statements.
- 1.5 Justification
 - Should illustrate why the researcher is conducting the research and whom it shall benefit.
- 1.6 Scope
 - This is a kind of a disclaimer. It should cite the focus of the study geographical area or target group/ population.
- 1.7 Limitation
 - Not a must for a proposal.
 - Has to be there in the final thesis/project report.
 - Indicate the challenges encountered in the study that may have limited the study.

Note:

- Paragraphing should be consistent. Either leave space or indent between paragraphs.
- Spacing and indenting should not be used together.
- One sentence paragraphs are unacceptable.
- A paragraph should have a minimum of five sentences.
- Table of contents should be followed by:
 - List of figures/ tables- Should be labeled as per the chapters in which they are found e.g. the first figure in chapter one should be labeled as Figure 1.1

**CHAPTER 2
LITERATURE REVIEW**

This chapter should include;

2.1 Introduction

2.2 Theoretical review/Conceptual Framework

- Review the empirical and theoretical literature relevant to the problem being investigated showing clearly the linkage of literature review to the research questions;
- Indicate what has been done by other researchers including the methodologies used and identify gaps.
- The hypothesized variables should be subheadings of the literature review to form a framework that would help in analysis.
- Conceptual framework should demonstrate an understanding of what variable influences what.
- Cite 3-5 references per key section in the text.
- Use either APA or Harvard method of citation. Consistency is important in citation.
- Each key variable should be 2-3 pages long.

2.3 Critique of the existing literature relevant to the study.

2.4 Summary

2.5 Research gaps

**CHAPTER 3
METHODOLOGY**

This chapter should indicate;

- 3.1 Research design- Indicate type of research, justify the choice of type of research by citing authority.
- 3.2 Population; clearly identify the population and the target population. Justify the target population.
- 3.3 Sampling frame; Justify the choice.
- 3.4 Sample and sampling technique- illustrate understanding of the technique.
- 3.5 Instruments.
- 3.6 Data collection procedure.
- 3.7 Pilot test-depends on the instrument being used.
- 3.8 Data Processing and analysis.

REFERENCES

- Thesis should include both referencing and bibliography and project to have only reference

APPENDICES: Instruments (e.g. questionnaire), Budget, work plan

2. STRUCTURE OF PROJECT REPORT/THESIS

The Thesis/Report will include the above three chapters plus;

CHAPTER 4 RESEARCH FINDINGS AND DISCUSSION

- Style of presentation – presentation of raw data followed by discussion
- Should be guided by the methodology.
- Unit of analysis should be based on the research questions or objectives and should capture the independent variables.
- Tables should have no vertical lines (use simple formatting)
- Table titles should be at the top of the tables.
- Tables copied from elsewhere should have source below them.
- Any table generated by the researcher should not have the source quote.
- Figure titles should be at the bottom of the figures.
- Figures can have different shadings.
- Discussion should follow the results.

CHAPTER 5 SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

- 5.1 INTRODUCTION-A brief on the chapter
- 5.2 SUMMARY- This is an extended abstract
- 5.3 CONCLUSIONS- Must be derived from the summary
- 5.4 RECOMMENDATIONS- Should be derived from the conclusions

REFERENCES

Thesis should include both referencing and bibliography and project to have only reference

APPENDICES

- i) Instruments
- ii) Tables
- iii) Figures
- iv) Letters of introduction
- v) Budget **
- vi) Work plan**

** Not required for thesis

3. EVALUATION GUIDELINE

- Shall be guided by the guidelines on the structure of the proposal/thesis.

A) Pre-requisites

- The Researcher must come up with original work. The Department shall maintain a compendium of all research work done for reference.
- Candidates shall be required to submit synopsis (for Masters) and a concept paper (for PhD) of their proposals to the relevant departments for review by the Chairpersons of the departments.
- The synopsis should be 1 page and the concept paper should be 2-5 pages.
- Candidates shall be required to discuss their concept paper with prospective supervisor before submitting to the department.
- For PhD candidates, evidence of research work at Masters Level shall be required otherwise they shall be required to carry out independent studies.
- In cases where there is no evidence of research, candidates shall be deemed not admissible into the program. B)

Grading shall be as follows

- Pass with minor amendments
- Pass with major amendments
- Reject -total overhaul
- Thesis/projects shall be graded in accordance with the applicable clause of The University and DRGS Regulations for PhD and Masters Degrees.- Scores for proposals shall be on the basis of pass/fail taking into consideration objective oriented evaluation. The DRGS graduate committee shall constitute the panel.
- Awarding of marks/scoring shall be based on the DRGS project/thesis assessment sheet that already exists.
- Assessment of PhD proposals shall be conducted by the DRGS graduate committee panel members.
- Submission and evaluation of the PhD thesis shall be guided by the University Statutes.

4 PRESENTATION STYLE

- Proposal length shall not exceed 20 pages (from chapter 1) double spaced excluding bibliography and references. Under special circumstances a candidate may be allowed to exceed the limit.
- Referencing system should either be Harvard or APA but consistently used.
- Font - Times New Roman 12 should be used. Fancy fonts should be avoided.
- There should be a margin of 50mm on the left hand and a 25mm margin on the right hand side of the A4 paper
- A 25mm margin should be on the above and below sides of the paper

- vi) Every copy of the thesis should be bound in forest green. The spine of the thesis should be embossed in gold with the names of the candidate, the degree and the year. The writing should read from the bottom to the top of the spine.

5. MODE OF PROPOSAL/THESIS PRESENTATION

- i) The presentations must be in PowerPoint.
- ii) Quality slides (legible from a distance of 20 feet) giving a summary of the whole proposal/thesis should be presented.
- iii) Slides should not exceed 15.
- iv) Masters proposal presentations shall be limited to 10 minutes.
- v) PhD proposal presentations shall be limited to 15 minutes.

Note: PhD candidates may submit their research proposals once they are ready but three months after their coursework unless under special circumstances.

Appendix II: AMERICAN PSYCHOLOGICAL ASSOCIATION (APA) REFERENCING SYSTEM

(Examples; See Latest Edition of APA Manual for more details)

Article in a Journal with volume

Ghosh, S. (2013). Improved sludge gasification by two-phase anaerobic digestion. *Journal of Environmental Engineering*, 113, 1265-1283.

Vickery, B. C. (1997). Knowledge discovery from databases: An introductory review. *Journal of Documentation*, 53, 107-122.

Article in a Journal with volume and number

Nereida, C., & Jarvis, H. (1993). The challenge of building an international union catalog: The Vietnamese experience. *Asian Libraries*, 3(2), 36-43.

Article in a Journal with more than seven authors

Gilbert, D. G., McClernon, J. F., Rabinovich, N. E., Sugai, C., Plath, L. C. Asgaard, G., ... Botros, N. (2004). Effects of quitting smoking on EEG activation and attention. *Nicotine and Tobacco Research*, 6, 249-267.

Article in a Journal with DOI

Herbst-Damm, K. L., & Kulik, J. A. (2005). Volunteer support, marital status, and the survival times of terminally ill patients. *Health Psychology*, 24, 225-229. doi: 10.1037/0278-6133.24.2.225

Article Journal from Educational Resources Information Centre (ERIC) on CD-ROM:

Kim, A. C. (1997). How college faculty evaluate second language writing (Abstract). *Research and Teaching in Developmental Education*, 14(1), 35-48. [ERIC. CD-ROM] SilverPlatter. EJ557280.

Book by a single author print version

Adams, R. (1990). *Communication and delivery systems for librarians*. New York: Random. Shotton, M. A. (1989). *Computer addiction? A study of computer dependency*. London: Taylor & Francis.

Book by two or more authors print version

Harrison, S. W., & Wright, B. R. (1994). *Movies in the twentieth century*. Cambridge, MA: Harvard University Press.

Peabody, C. T., Robert, N. J., & Sylvia, W. S. (1993). *Ernest Hemingway: The early years* (Rev. ed.). New York: St. Martin's.

Book with second or subsequent edition

Robson, W. (1997). *Strategic management and information systems: An integrated approach* (2nd ed.). London: Pitman Publishing.

Book, online

McAllister, J. (2000). *Nathaniel Hawthorne's neighborhood*. Salem, MA: Salem Tales. Retrieved from <http://www.salemweb.com/tales/hawthorne1.html>

Book in print and electronic/online version

Sandburg, C. (1916). *Chicago poems*. New York: Holt. Retrieved from <http://www.bartleby.com/165/index.html>

Shotton, M. A. (1989). *Computer addiction? A study of computer dependency* (DX Reader version). Retrieved from <http://www.ebookstore.tandf.co.uk/html/index.asp>

Book by corporate author

American Psychological Association. (2009). *Publication manual of the American Psychological Association* (6th ed.). Washington, DC: Author.

World Bank. (1988). *Education in Sub-Saharan Africa: Policies for adjustment, revitalization and expansion*. Washington, D.C: Author.

Book chapter with one author and one editor

Ginman, M. (1992). Information culture and business performance. In B. Cronin (Ed.), *The marketing of library and information services* (pp. 103-116). London: Sage Publishers.

Book chapter with one author and two editors

Hybron, D. M. (2008). Philosophy and the science of subjective well-being. In M. Eid & R. J. Larsen (Eds.), *The science of subjective well-being* (pp. 17 – 43). New York: Guilford Press.

Conference paper

Misigo, B. L. (2012, August). *Qualities of effective secondary school teachers in Kenya*. Paper presented at the seventh Moi University international annual conference, Eldoret, Kenya.

Conference poster

Schwartz, B. M., Tatum, H. E., Coffey, C. C., & Mandarakas, A. (2010, August). Classroom interactions: The influence of professor gender and gender of student. Poster presentation at the annual meeting of the American Psychological Association, San Diego, CA.

Conference Proceedings

Raitt, D, I. & Jeapes, B. (Eds.). (1994, December). *Online Information 94*. In proceedings of the 18th international online information meeting, London, UK.

Dictionary with an editor

VandenBos, G. R. (Ed.). (2007). *APA dictionary of psychology*. Washington, DC: American Psychological Association.

Dictionary without editor

Webster's third new international dictionary, unabridged. (2002). Springfield, MA: Merriam-Webster.

Doctoral thesis, from an institutional database

Adams, R. J. (1973). *Building a foundation for evaluation of instruction in higher education and continuing education* (Doctoral thesis). Retrieved from <http://www.ohiolink.edu/etd/>

Doctoral thesis, online

Bruckman, A. (1997). *Moose crossing: Construction, community, and learning in a networked virtual world for kids* (Doctoral thesis, Massachusetts Institute of Technology). Retrieved from <http://www-static.cc.gatech.edu/-ash/thesis/>

E-mail message

Stoker, D. (1997, January 20). Email to Tim Cullen. Re. Funding proposal.

In-press Journal article

Briscoe, R. (in press). Egocentric spatial representation in action and perception. *Philosophy and Phenomenological Research*.

Magazine Article, online monthly

Kurzwell, R. (2000, January). Live forever: Uploading the human brain. *Psychology Today*. Retrieved from <http://www.psychologytoday.com/features3.html>

Map in print

Lewis County Geographical Information Services (Cartographer). (2002). Population density, 2000 U.S. Census [Demographic map].

Map retrieved online

Lewis County Geographical Information Services (Cartographer). (2002). Population density, 2000 U.S. Census [Demographic map]. Retrieved from http://www.co.lewis.wa.us/publicworks/maps/Demographics/census-pop-dens_2000.pdf

Newspaper Article with no author

Gambia joins African queue to pull out of ICC after S. Africa, Burundi. (2016, October 27). *Daily Nation*, p. 26.

Mijikenda and Kiswahili. (1999, August 14). *Herald*, p. 29

Newspaper article with an author

James, R. F. (1997, July 22). New trends in health. *New York Times*, p. 3.

Ongiri, I. (2016, October 27). Search for a fresh polls team starts. *Daily Nation*, p. 5.

Newspaper article on discontinuous pages

Schwartz, J. (1993, September 30). Obesity affects economic, social status. *The Washington Post*, pp. A1, A4.

Newspaper article, online

Brody, J. E. (2007, December 11). Mental reserves keep brain agile. *The New York Times*. Retrieved from <http://www.nytimes.com>

Personal communication

Personal communication does not provide recoverable data, it should not be included in the reference list. Cite personal communication in text only. Give the initials as well as surname of the communicator, and provide as exact date as possible e.g.: D. K. Korir (personal communication, October 27, 2016); or (H. O. Okero, personal communication, September 28, 2015)

Photograph, online

McAllister, J. (2000). *House of the Seven Gables* [Photograph]. Salem, Massachusetts: Salem Tales. Retrieved from <http://www.salemweb.com/tales/hawthorne1.html>

Symposium

Tatum, H. (2007, August). Barbie, Golilocks, and other stories for the psychology of gender. In B. M. Schwartz (Chair), *Using stories from our personal lives to teach psychological theories and concepts*. Symposium presented at the annual convention of the American Psychological Association, San Diego, CA.

Unpublished Master's thesis

Kodero, H. M. N. (1991). *Self-monitoring: A cross cultural study* (Unpublished M.Ed. thesis). University of Alberta, Edmonton, Canada.

Unpublished Ph.D. thesis

Walaba, A. A. (1998). *The teaching of Christian religious education in Kenyan teachers' training colleges and secondary schools from 1920 to 1989: A historical perspective* (Unpublished D.Phil. thesis). Moi University, Eldoret, Kenya.

APPENDIX III: POST GRADUATE PROGRESS REPORT FORM

KAF/DGS/FOM: 604005



KAIMOSI FRIENDS UNIVERSITY COLLEGE (KAFUCO)

(A Constituent College of Masinde Muliro University of Science and Technology)

P.O. Box, 385-50309, KAIMOSI-KENYA, TEL:0712764536

DIRECTORATE OF GRADUATE STUDIES(DGS)

Email: dgs@kafuco.ac.ke

GRADUATE STUDENT'S PROGRESS REPORT FORM

NOTE: This form should be filled by each graduate student registered at KAFUCO at the end of every semester and returned to DGS

Progress report N0. _____ Date: _____

Name of Student _____ Reg.N0. _____

Degree Programme: _____

Area of Specialization and title of intended or ongoing research project or thesis (the title may be tentative).

Briefly state the study/research activities you undertook last semester (indicate duration)

Briefly outline your study/research plans for the next semester (indicate period)

State the strategies/solutions or initiatives that you have adopted or plan to implement to make your postgraduate study and research effective and efficient.

Declaration:

a) The Student

I certify that this report is an accurate evaluation of my progress.

Signature: _____ Date: _____

b) Chairperson, Departmental Graduate Studies Committee

I confirm that the above report represents the study/research progress made by the students so far:

Name: _____

Signature: _____ Date: _____

APPENDIX IV: POST GRADUATE CREDIT TRANSFER REQUEST FORM



KAF/FOM:604005

KAIMOSI FRIENDS UNIVERSITY COLLEGE (KAFUCO)

(A Constituent College of Masinde Muliro University of Science and Technology)

P.O. Box,385-50309, KAIMOSI-KENYA, TEL: 0712764536

DIRECTORATE OF GRADUATE STUDIES (DGS)

Email: dgs@kafuco.ac.ke

CREDIT TRANSFER REQUEST FORM

School/Centre:.....Department:.....

.....Student

Name:.....

Title of the Programme:.....

Institution where the programme was taken:.....

.....

Courses Eligible for Credit Transfer

Year of study	S/N0	Kaimosi Friends University College		Equivalent Course Undertaken	
		Course Code	Course Title	Course Code	Course Title
Yr1	1				
	2				
	3				
	4				
	5				
	6				
	7				
	8				

Yr 2	9				
	10				
	11				
	12				
	13				
	14				
	15				
	16				

Name of the Chairman of Department:.....**Sign:**.....**Date:**.....

Name of Dean of School:.....**Sign:**.....**Date:**.....