Strathmore
UNIVERSITY

Guide to Research for Postgraduate Theses, Dissertations and Projects

for Postgraduate certificates, diplomas, and master's degree programmes

Revised: 10th May 2022

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Approved by the AC on 10th May 2022

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Applicable Legislations and Regulations

a) Constitution of Kenya, 2010
b) Commission for University Education (CUE), Universities Standards and Guidelines, 2014
c) Kenya's Data Protection Act, 2019
d) Access to Information Act
e) Any other relevant legislation or regulation
f) Strathmore Statutes, 2018 and Strathmore Regulation, 2019
g) Policy and procedure on disclosure

Key changes in this Edition

There are two key changes introduced in this edition of the Research Guide:
First, a realignment to conform to the 2018 statutes.
Second, the revision of the ethical clearance procedure.

1.0   Introduction

The guide focuses on research for Postgraduate certificates, diplomas and master's degree programmes. These programmes shall normally be by coursework and thesis, dissertation or project, as determined in the curriculum documents of individual programmes.

Differentiating between Thesis, Dissertation and Project

For purposes of these guidelines, the terms 'Thesis', 'Dissertation and 'Research Project' are used to denote different types of research outputs, as outlined below.

Research Project

As a general guide, a research project should be undertaken by students enrolled for postgraduate certificates or diplomas and should be characterised by the following:

- It should demonstrate a basic understanding of the research process. The student should demonstrate ability to systematically sustain a research argument.
- Be a readily applicable scenario investigation. The project will often have direct applicability to the work environment. It will therefore tend to be a work-based research.
- The scope of the research output is limited, providing insight and likely solution to a problem within a work environment.
- Should be done within **3 months.**
- Equivalent to 3 course units (9 credits)
- The length of the research project should range between 12,000 to 15,000 words (Approx. 40 to 60 pages).

Dissertation

A dissertation is a scientific study or investigation meant to address a specific problem and aimed at generating an applicable solution. It is characterised by the following:
- An in-depth understanding of the research process. Students are expected to demonstrate academic rigour in carrying out a practically oriented research assignment.
- The scope of the research output is wide to the extent that it provides insight and possible practical and policy solutions into an existing problem, and likely solutions to future scenarios.
- Dissertation is meant for conversion masters (e.g., MBA, MSc. CIS, MAPE etc.).
- Dissertation should be done within **3 –6months.**
- Equivalent to 4 course units (12 credits)
- Minimum of 20,000 words (Approx. 70 pages) and maximum of 25,000 words (Approx. 100 pages)

Master's Thesis

A thesis is a scientific study or investigation meant to address widely shared problems and aimed at generating probable solutions and generalizable results. It is characterised by:

- Full application of the science of research. This involves developing a theory, testing or applying a theory.
- The scope of the research output is wide as it contributes knowledge of both theoretical and practical significance by providing insights, new knowledge or new methodological approaches.
- Research output should be publishable in an academic journal.
- Master's thesis is meant for academic master's programmes.
- Master's thesis should be done within **six months – one year**.
- Equivalent to 6 course units (18 credits)
- Minimum should be 25,000 words (Approx. 100 pages) to 50,000 words (Approx. 200 pages).

In the following guidelines, the term 'research work' has been used generically to refer to the three different kinds of research outputs – thesis, dissertation and project. The student should therefore apply the guide to their specific research output.

2.0   Conduct of Postgraduate Research

Figure 1 outlines the process of conducting postgraduate research.

```
Student                                                    Student eligible to
Allocated                                                      graduate **
Supervisor(s) in                              ┌─────────┐
2nd year of study                             │ Passed  │
     │                          Board of Examiners └─────────┘
     ▼                          communicate decision ──────────────────►
Student develops                  on examination                │
research proposal                      ▲                   ┌──────────────┐
     │                                 │                   │ Failed/Referred │
┌────────┐                             │                   └──────────────┘
│ Failed │                        Oral defense of            Registration
└────────┘                        research work            extended for 3-6
     │                                 ▲                        months
Failed student      Student defends    │
given 3 months      proposal      Research report
and 1 more                        submitted to OGS    ┌──────────────────┐
chance to                         for examination     │ ***Re-examination │
resubmit                          (examination takes  └──────────────────┘
     │                            4 weeks)
┌──────────┐                           ▲                   If progress is not
│ *Resubmit │                          │                   satisfactory after 6
└──────────┘                      Student writes           months, student may
Successful student                research report          be discontinued
proceeds to conduct ──────────►
research
```
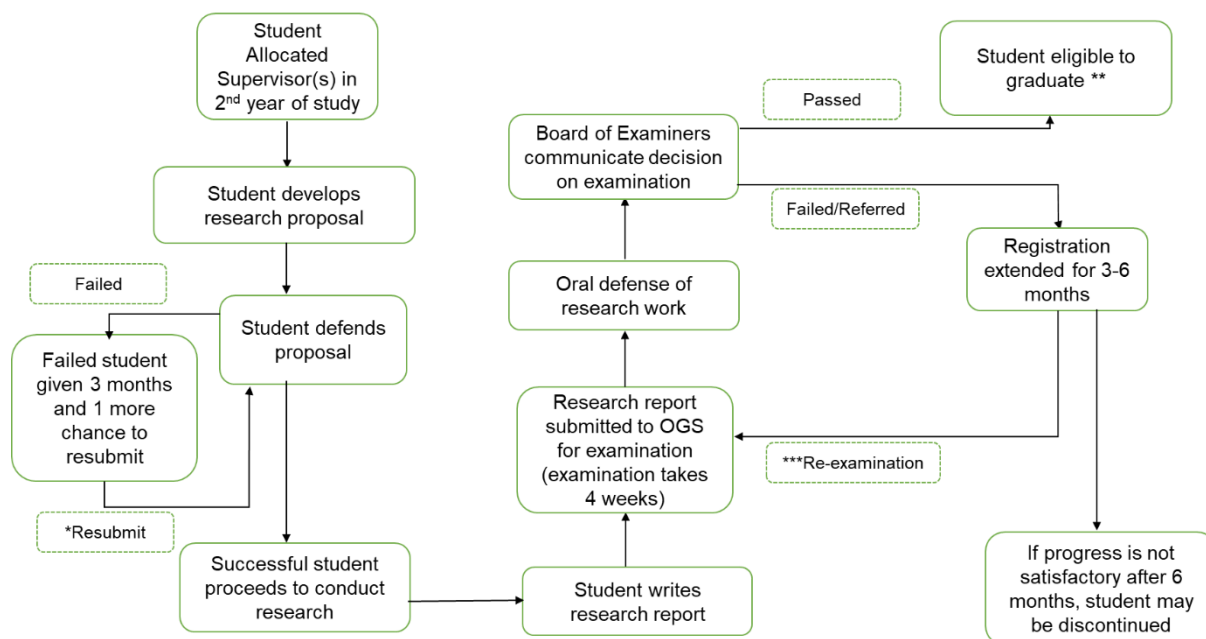
Figure 1: Conduct of Postgraduate Studies

Student allowed to revise and resubmit the same proposal only once.
**Eligibility to graduate is upon successful completion of all coursework and research.*
***Re-examination of research work is permitted only once.*

Students should bear in mind the duration allowable for each research output and ensure they can complete this process within the stipulated timeframe (see **Section 5** of these guidelines on *Periods of Study*).

3.0   Appointing a Supervisor

(a)   The term *Supervisor* is used to denote a subject expert who provides supervision in the student's specialist field.

(b)   Every postgraduate student will be assigned a Supervisor who possesses subject expertise in the student's field of research.

(c)   Postgraduate degree Supervisors should normally hold higher degrees of at least PhD level and be active researchers.

(d)   A student's Supervisor is approved by the School Graduate Studies Committee, and any changes to supervisory arrangements must be approved by the Graduate Studies Committee of that school.

(e)   Supervisors may be drawn from the following categories:
    (i)   Full or adjunct members of academic staff on a permanent contract.

(ii)   Full or adjunct members of academic staff on a fixed term or rolling contract. In the case of such staff the Dean of the School should be assured that appropriate alternative supervision arrangements can be made following the end of the contract.

(iii)   A Research Fellow may be appointed as Supervisor, but only with a Co-Supervisor who is a senior member of academic staff on a permanent contract.

(f)   Supervisors and Co-Supervisors normally continue their supervisory responsibilities while on leave.

(g)   When Supervisors leave the University, the Academic School has an obligation to provide a continuity of supervision.

4.0   Supervision of Postgraduate Students

Supervision is a relationship requiring trust and respect. Students have the right to expect regular, high quality advice, support and direction in their quest for academic excellence.

4.1   Introduction

(a)   This guide sets out the general requirements of Supervisors, Students and the University in the supervision of postgraduate students. It is supplemented by individual School codes approved by the Academic Boards. *See Appendix A* for *A Guide to Enhancing A Successful Student-Supervisor Relationship*. The student and supervisor should complete and sign the *Proposed Work plan* Form in order to clarify their expectations of each other. A copy of this form may be found in *Appendix B*. The student and supervisor should keep in mind the *Schedule of Important Timelines* in *Appendix K* of these guidelines to help them develop an appropriate work plan.

(b)   The Board of Graduate Studies recognizes that supervision practice necessarily varies between disciplines and therefore this guide cannot set out prescriptive requirements for matters such as the level and nature of contact that should be maintained between student and supervisor.

(c)   Unless otherwise stated, this guide applies to both part-time and full-time postgraduate students.

(d)   During the period of supervision from the time of allocation of supervisor until completion of all stages of the examination (including where necessary any resubmission) responsibilities and obligations are as set out below.

4.2   Responsibilities of Supervisors

The responsibilities of supervisors are to:

(a)   Give guidance about the nature of research and the standard expected, the planning of the research programme, relevant literature and sources and research methods.

(i)   Guidance about the nature of research will include some of the following: a clear understanding in general terms of the main aspects of graduate research, the concept of contribution to knowledge, different kinds of research, and the form and structure of the research work.

(ii) In planning the research programme the Supervisor should ensure that the project can be completed fully, including preparation of the research work, within the time available and advice the student accordingly.

(b)   Make the student aware of relevant University research policies and regulations, and legal issues, including but not limited to academic integrity, plagiarism, copyright, data protection, health and safety, and any ethical issues that might arise in the course of research.

(c)   Assist in the arrangement of necessary administrative steps such as approval of research proposal, research seminars, completion of progress reports, etc.

(d)   Maintain contact through regular personal supervision and seminar meetings in accordance with School policy and in the light of any agreement reached with the student. The frequency and nature of these sessions will vary depending on the nature of the research, and the requirements of the discipline. The Supervisor should make provision for the continuance of supervision when he or she is away from the University or takes a period of leave. The Supervisor is responsible for maintaining a record of all supervision with the student.

(e)   Give detailed advice on the necessary completion dates of successive stages of research in order to ensure that the research work is submitted within the time allowed by the regulations.

(f)   Hold monthly meetings between the student and supervisor at which progression is discussed and a written note recorded. The records of these monthly meetings remain with the student and supervisor.

(g)   Request written work as appropriate and return such work with constructive feedback within an agreed period of time.

(h)   Carefully monitor the student's performance relative to the required standard, ensuring that inadequate progress or work below standard is brought to the student's attention. The supervisor should help with developing solutions to problems as they are identified. If inadequate progress or low performance is persistently recorded, the supervisor should communicate to the Student in writing with a copy lodged with the School.

(j)   Advise the Student in writing of the option of interrupting their studies by applying for academic leave should illness or other adverse personal circumstances impede progress with their research with a copy lodged with the School. The student should complete the *Application for Academic Leave* form in *Appendix C* prior to taking academic leave.

(k)   Keep in contact with the student and respond to reasonable requests for assistance. The Supervisor should provide guidance on the writing and

preparation of the research work, including commenting on the drafts. The Supervisor is not expected, however, to undertake substantial editing or revision of a draft research work. Ultimately, the Student is responsible for his or her work and the Supervisor's responsibility is to give guidance.

(l)   Sign off on the submitted research work prior to examination. No research work should be submitted for examination without the signature of the supervisor.

(m)   Ensure that the Student is prepared for the oral examination and understands its role in the overall examination process.

(n)   Advise the Student subsequently of the implications of any recommendations from the examiners and assist in the preparation of any re-submission.

4.3   Conditions for Change of Supervisor

(a)   Problems may arise in the course of study between the student and supervisor. In such cases it is recommended that the matter is discussed with the Dean of Academic School and a solution is sought. If the problem persists and is hindering the progress of the student, the student may formally write to the Director of the Graduate Studies requesting change of supervisor and stating the reasons for the change.

(b)   Change of supervisors may also occur when a Supervisor leaves the University.

(c)   Any change of supervisor or request for an additional supervisor must be approved by the School Graduate Studies Committee. The *Request for Change of Supervisor* form should be completed. A copy of this form may be found in *Appendix D*.

4.4   Responsibilities of Candidates

Supervisors have the right to expect a high level of commitment from their candidates who should respond positively to advice and guidance and will develop an increasing level of independence in the conduct of their research.

The responsibilities of the Candidate include:
(a)   Plan and discuss with the Supervisor the research topic and timetable for the research.

(b)   Discuss and agree on a schedule of meetings and appropriate feedback.

(c)   Undertake study as required by the Supervisor which may include directed reading or specialized seminars.

(d)   Familiarize themselves and adhere to relevant University research policies and regulations, and legal issues, including but not limited to academic integrity, plagiarism, copyright, data protection, health and safety, and ethical considerations which might arise in the course of research. The student should also be aware of the regulations for the specific degree for which they are registered.

(e) Raise problems or difficulties with their Supervisor, no matter how trivial they seem, and in particular inform their Supervisor of any personal circumstances which prevent them from working on their research.

(f) Maintain progress according to the agreed schedule, in particular including the presentation of written material in time to allow for discussion and comment before proceeding to the next stage of research.

(g) Take note of, and respond to feedback and guidance from the Supervisor.

(h) Keep systematic records of work completed.

(j) Inform the Academic School and the Office of Graduate Studies of any changes in address or similar personal details.

(k) Complete the administrative requirements of the University.

(l) Discuss with the Supervisor the preparation of the research work and decide, taking account of advice from the Supervisor, when it is ready for submission.

(m) Write up and submit the research work within time and in accordance with the University guidelines for the submission of research work.

(n) Take advantage of any relevant skills training offered by the School including preparation for an oral examination, and academic writing.

(o) Take responsibility for producing the final copies of the research work, its content, and ensuring that it is in accordance with the relevant requirements, including the standard of presentation.

4.5   Responsibilities of the School/Institute

The responsibility for School/Institute lies with the Dean of School/Institute.

It is the responsibility of the School/Institute to:
(a) Have regard for University regulations in the appointment of Supervisors.

(b) Ensure continuing supervision of postgraduate students throughout their research work at the University.

(c) Provide information and guidance on the School, Institute and University regulations and research policies.

(d) Ensure the provision of appropriate skills training.

(e) Ensure access to sufficient library provision.

(f) Approve the research topics for postgraduate students. These should be consistent with the strategic direction of the School. This is done right from the time supervisors are allocated.

(g) Monitor students' progress and the implementation of these guidelines as they apply to Supervisors and the students. This should include formal reviews of student progress and supervision.

(h) Appoint a Committee independent of the supervisors to oversee the academic school's research students, ensure quality of supervision, comparability among students, and report to the Board of Graduate Studies. The committee should follow the established *Procedures for Annual Monitoring* described in **sub-section 6.3** of these guidelines.

(j) Arrange appropriate staff development programmes for all academic staff to promote best practice in research supervision.

(k) Develop a staff workload model that enables the full work involved in supervision to be taken into consideration alongside other activities.

4.6   Role and Responsibilities of the Board of Graduate Studies

The roles and responsibilities of the Board of Graduate Studies are to:
(a) Approve the Supervisors recommended by the schools. Academic schools can then identify supervisors from the list of approved supervisors.

(b) Approve changes to supervisory arrangements.

(c) Liaise with the schools to ensure students complete their research work within the stipulated timeframe.

(d) Liaise with Schools to promote best practice in research supervision in the University.

(e) Ensure that the research work is examined and the oral examination held within two months of submission.

(f) Submit to the Schools the lists of students who have successfully completed their research work.

4.7   Continuing Supervision of Postgraduate Students

(a) There are occasions when, because of changes in staff, Schools or Institutes find difficulties in continuing to provide credible supervision for individual candidates registered for postgraduate research.

(b) The formal acceptance of a postgraduate student by a School must imply a commitment by the School to provide either from its own resources, or with prior agreement, in association with another School(s), credible supervision for the period of time necessary for the student to complete the programme of research and submit a research work.

(c) When, during a student's period of study, changes in staff make it impossible for the School to fulfil this obligation, the Dean of School must ensure that alternative provision is made, either elsewhere in the University, or, by the appointment of another Supervisor with the necessary specialist knowledge from outside the University.

4.8 Resolution of Conflict between Student and Supervisor

Problems may arise in the course of research study between the Student and Supervisor. In such cases it is recommended that:

(a) The matter is discussed with the Dean of School and a solution is sought.

(b) If the problem persists and is hindering the progress of the Student, the Student may formally write to the Director of Graduate Studies requesting change of supervisor and stating the reasons for the change. The *Request for Change of Supervisor* form in ***Appendix D*** should be completed in this instance.

(c) Any change of supervisor must be approved by the School Graduate Studies Committee.

5.0 Periods of Research Study

(a) These procedures for the management of periods of postgraduate research are based on the following principles:

 (i) There are inherent difficulties in establishing a policy across a diverse range of disciplines and so Schools are given discretion to permit variations to the common policy for particular disciplines and in particular circumstances.
 (ii) A maximum time is only meaningful if it is upheld; i.e. students failing to submit their theses within the maximum period will be de-registered (and may only be re-registered and permitted to submit theses in the most exceptional circumstances).
 (iii) While Schools are able to permit early submission of a research work, due consideration should be given at the time of a student's application to whether the research in question can be properly undertaken on a part-time basis.
 (vi) The statements of part-time periods of study given below are based on a part-time student being a 0.5 FTE. Schools need to be aware, however, that part-time students can sometimes make faster progress than the 0.5 figure suggests.

(b) The duration allowable for each postgraduate degree is as indicated in Table 1.

Table 1: Duration of Study

	Programme	Course work duration	Research duration	Total programme duration		
				Minimum	Normal	Maximum
1.	Master of Commerce, Master of Science in Information Technology, Master of Laws, Master of Science in Statistical Science, Master of Science in Mathematical Finance & Risk Analytics	4 semesters	6 months (thesis)	4 semesters	6 semesters	8 semesters
2.	MBA, MBA HCM, MPPM, MSc. CIS, MSc. MTI, MSc. ISS, MSc. EM, MAPE, MEPA, MSc DSA, MBHM	5 semesters	4 months (dissertation)	4 semesters	6 semesters	8 semesters
3.	Post-graduate Diplomas	2 semesters	3 months (project)	2 semesters	3 semesters	5 semesters

(c) The Dean of the School may approve early submission of a research work where there are strong academic reasons supported by a statement from the Supervisor. If the Dean of the School refuses an early submission, the student has the right to have the decision referred to the Board of Graduate Studies.

(d) Students will be automatically de-registered at the end of the maximum period. Any application for re-registration must be approved by the Dean of their School.

(e) In all instances, the recommendation for a reduced or extended period of study must be submitted to the Dean of the candidate's School by the Supervisor.

(f) *A Reduced Period of Study* may be granted by the Dean of School in the following circumstances:
(i) Where a candidate has transferred from another recognized institution having already completed a certified period of study, this shall be taken into account when determining the further period of study required at Strathmore University. A reduction in the period of study will normally be no more than 1/3 of the normal period of study and the student must have been registered with the University during the academic year prior to completion;

(ii) Where a candidate has undertaken significant research as part of his/her employment, a reduction of no more than 1/3 of the normal period of study may be granted;

(iii) In exceptional cases the progress of the student may warrant the approval of the early submission of the research work where the above criteria do not apply.

(g) *Extensions to the overall duration of the period of study* following completion of the maximum period of study will only be granted by the Dean of School in very exceptional circumstances. In cases of illness, excessive personal work or other commitments, it is expected that the School will recommend to students that they interrupt their studies at that time, by taking academic leave. Time taken for academic leave is not included when calculating the duration of study of the student. If a student opts not to take academic leave, their total study time will be calculated, and if they have exceeded the maximum time, it is unlikely that an extension of registration will be permitted.

(h) Students wishing to apply for an extension to the overall duration of the programme may do so by completing the *Application for Extension of Studies* form, available from the Office of Graduate Studies. The form should be signed by the student's first Supervisor, and then forwarded to the Dean of School for consideration and recommendation. An outline of work completed against each chapter heading, and a work-plan and schedule should be enclosed with the form. Reasons should also be given as to why the candidate was unable to complete their studies within the maximum time allowed. Recommendation for extension should not be given without these documents being provided to the Dean of School's satisfaction. A copy of the *Application for Extension of Studies* form may be found in *Appendix E* of these guidelines.

(j) On recommendation by the Dean of School, a copy of the extension form and supporting documentation should be forwarded to the Office of Graduate Studies for consideration and approval. The Office of Graduate Studies will notify the student and School of the outcome.

(k) The student will also be notified of any requisite fees payable upon approval of the extension.

6.0 Submission and Evaluation of Students' Progress Reports

6.1 The Purpose and Aims of Progress Reports

All Schools with postgraduate research students should have procedures in place to monitor the progress of their research students. The purpose of the reports is to allow Schools to evaluate the effectiveness of their monitoring processes and to allow the Board Graduate Studies to ensure that there are consistent and robust processes in place across the university. The reports from the Schools should be used as a basis for a School's self-appraisal of their research degree provision in the University's QMS review process.

6.2 Progress Reporting

(a) Each School has the responsibility of monitoring the progress of its research students. The schools are required to provide reports on student research progress to the Office of Graduate Studies Office every six months using the *Progress Reporting Template* provided by the Office of Graduate Studies. See *Appendix F* for a copy of the *Progress Reporting Template*.

(b) Schools should use the reports to highlight issues that have arisen during the monitoring of progress, and to indicate what action has been taken in relation to them.

(c) Within the school, students may present the key research findings at faculty seminars organised by the school.

6.3   Annual Assessment of Student Research Progress

(a) On an annual basis Schools are required to carry out a formal assessment of student research progress.

(b) The purpose of the report is to allow Schools, on an annual basis, to evaluate the effectiveness of their monitoring processes, and to ensure that there are consistent and robust processes in place across the University.

(c) The annual assessment has the following main aims:
   (i)   Give feedback to the Office of Graduate Studies and assist in making formal decisions about current and future registration.
   (ii)   Monitor the nature and frequency of research supervision and other facilities offered to graduate research students.
   (iii) Assist the University in ensuring parity of provision and fair treatment of students across the University.
   (iv)   Identify problems either in a student's research programme or in the student-supervisor relationship.
   (v)   Identify weak students who may be asked to de-register.

(d) Each School will have an *Annual Monitoring Panel* to conduct this assessment. The members of the Annual Monitoring Panel shall be the following:
   (i) The Dean of School/Institute
   (ii) Two senior members of academic staff within the School/Institute
   This panel will normally be the School's Graduate Studies Committee.

(e) The Research Director in each School has the responsibility for ensuring that the assessment process is completed, that decisions on progress are communicated to students and to the Office of Graduate Studies, and that a report on the School's monitoring process is submitted to the Board of Graduate Studies by the designated date.

(f) The exact procedures by which Schools seek to monitor the progress of their research students is left to the discretion of the Schools. Schools are at liberty to design processes that best fit the needs of their discipline(s), as long as they meet the requirements of this section. When designing appropriate procedures it

should be borne in mind that the process itself should be instructive and useful for the Student and the Supervisor alike.

7.0 Submission of Research Proposal

7.1. Regulations Governing Research Proposal Submission

(a) Students registered for postgraduate studies are required to submit four temporary bound copies of their Research Proposal to their respective school.

(b) The Dean of the School or his/her representative will appoint a panel of at least three suitably qualified persons to evaluate the proposal within one month of the student submitting the proposal to the School.

7.2 Format of the Proposal

(a) **Length of Proposal**
  (i) In accordance with these guidelines and the subject area of study, a research proposal for a postgraduate research shall not normally exceed 5,000 words (15 – 20 pages).
  (ii) The above maximum is exclusive of footnotes, list of references, appendices, table of contents and timeline.

(b) **Content of the Proposal**
Different disciplines may have specific requirements for research proposals. However, the general flow of the proposal should be maintained. The research proposal should contain (but not be limited to) the following sections:

Declaration page
The student's declaration that the work has not been submitted for the assessment of a master's degree elsewhere.
This declaration must be signed and dated by both the student and supervisor.

Abstract
Every research proposal must contain an abstract. An abstract is a concise summary of the proposed research intended to inform prospective readers and to focus the student to think concisely about their research. An abstract should **not** include internal headings, parenthetical citations of items listed in the reference section, diagrams, or any other illustrations.
The abstract follows the declaration page. It should normally not exceed 300 words.

Chapter 1: Introduction to the Study
1.1 Background to the study
1.2 Problem definition
1.3 Research objectives
1.4 Research questions, hypotheses or propositions
1.5 Scope of the study
1.6 Significance of the study

Chapter 2: Literature Review

In this section, the student should organise their argument so as to:

(i)   Address the various aspects of their research objectives;
(ii)   Examine the most current studies on the topic, presenting only the significant aspects of these studies;
(iii)   Group authors who draw similar conclusions;
(iv)   Compare and contrast different authors' views on an issue;
(v)   Show how their study relates to previous studies;
(vi)   Highlight any gaps in research;

(vii)   Conclude by summarizing what the literature says. From here the link between previous studies and the proposed study is developed, showing the knowledge gap that the proposed study will contribute to;
(viii) Develop a conceptual framework, identify and define the variables of the study.

Chapter 3: Research Methodology

   3.1   The Research Design
   3.2   Population and sampling
   3.3   Data Collection Methods
   3.4   Data analysis
   3.5   Research Quality – validity, reliability and objectivity of the research.
   3.7   Ethical Considerations

References

Appendices:

   Appendix A: Letter of introduction (to prospective study respondents), where applicable
   Appendix B: Research Instrument(s), where applicable
   Appendix C: Any other relevant information for conducting the research, e.g., list of organisations in the population
   Appendix D: Timeline of Activities (as agreed with the supervisor). This timeline will be used to track the student's progress.

(c)   **Presentation and Arrangement of Proposal**

(i)   *Paper*: International A4 (210mm x 297mm) within range 70 g/m_2 to 100 g/m_2. No restrictions are placed on the size of the drawings, maps or similar material, which should be bound in with the proposal

(ii)   *Margins:* 40mm on the left-hand side, 25mm on the right-hand side, top and bottom margins.

(iii)   *Typing:* On one side of the paper only. One-and-a-half spacing should be used in typescript except for indented quotations or footnotes, for which single spacing may be used. Font size 11 or 12 should be used, and an appropriate font type selected (Times New Roman, Book Antiqua, Arial or Helvetica).

(iv) *Numbering of Pages*: All pages, including abstract, appendices, drawings, maps, pages of photographs, etc., should be numbered consecutively in one sequence.

Preliminary pages should be numbered using Roman numerals, while Arabic numbering should be used for pages from Chapter 1 onwards. Numbering should be placed at the bottom of the page and aligned at the centre. There should be no running headers and footers.

(v) *Sequence:* Material should be arranged in the following sequence:
- Title Page, with the title of the research, course of study, name and number of student, name of university and date.
- Author's declaration (being a statement that it is the author's individual contribution, not submitted for a degree award anywhere else)
- Abstract
- Table of Contents
- List of Figures (if any)
- List of Tables (if any)
- List of Abbreviations (if any)
- Text (divided into chapters, sections, etc.)
  - Chapter 1: Introduction
  - Chapter 2: Literature Review (depending on the work, this could be more than one chapter)
  - Chapter 3: Research Methodology
- List of References
- Appendices (if any)

7.3   Steps in Proposal Evaluation

(a) The proposal evaluation is conducted at the Academic School in which the student is registered.

(b) The Dean of the Academic School or his/her appointed representative shall appoint a panel comprising of at least three suitably qualified members of academic staff in the University to evaluate the research proposal within a month of receiving the proposal at the School. The supervisor(s) of the student whose proposal is being evaluated are expected to be in attendance. One of the panelists shall chair the session.

(c) The panel is required to evaluate and assess the research proposal and to satisfy itself that the proposal can provide a viable framework for conducting postgraduate research that would make a contribution to knowledge in the subject area of the proposed study.

(d) The student in question is required to make an oral presentation of the research proposal before the panel and be interviewed by the panel. The defense session should take no more than 45 minutes.

(e) Members of the panel will be provided with copies of the student's proposal two weeks before the date of oral defense.

(f)   An administrative staff member of the Academic School shall attend meetings of the panel and the oral defense for the purpose of taking minutes.

(g)   Once the panel recommends that the proposal is adequate for postgraduate research, the student embarks to undertake the study.

(h)   A copy of the student's proposal is lodged with the office of Graduate Studies and the records on the research topic and supervisor updated.

(j)   The Office of Graduate Studies together with the academic school of the student monitors the student's performance to facilitate completion of the research within the stipulated timeframe.

7.4   Criteria for Assessing the Research Proposal

(a)   The panel shall use the following criteria to assess the suitability of the research proposal in relation to the degree for which the student is enrolled:

(i)   Academic merit, feasibility and viability of the proposed research
(ii)   Evidence of the candidate's ability to relate the subject matter of the research work to the existing body of knowledge within the field;
(iii)   The student's capacity to successfully undertake the research within the timeframe stipulated for the degree.
(iv)   Other relevant criteria as may be determined by the candidate's School.

(b)   The panel may make any one of the following recommendations:
(i)   Endorse the proposal
(ii)   Endorse the proposal subject to amendments
(iii)   Reject the proposal

(c)   If the proposal is endorsed, the student embarks to undertake the study. A copy of their proposal is lodged with the Office of Graduate Studies.

(d)   If the proposal is rejected, the student is given three months and one more opportunity to resubmit. If the proposal is still rejected, the student will be advised that their progress is unsatisfactory and will be counselled about other options, which may include de-registration.

7.5   Application for Ethical Clearance

Immediately after the proposal defense but before the research begins, the student should also submit an ethics approval application to the Strathmore University Institutional Ethics Review Committee (SU-IERC). The Similarity report should be included on the Proposal. The *Ethics Approval Application Procedure* may be found in *Appendix L* of this Guide.

8.0 Examination of Postgraduate Research

8.1 Submission of Research Report

(a) All students are required to submit four copies of a loosely bound research work to the Office of Graduate Studies for assessment. The Office of Graduate Studies will distribute copies of the research work received to the internal and external examiners and other members of the board of examiners. A copy of the research work shall remain in the Office of Graduate Studies.

(b) The research work must be presented in accordance with the *Thesis/ Dissertation Presentation Guide for Postgraduate Students* given in **Appendix G** of these guidelines.

(c) The student may be required to give one seminar on the findings contained in the research work to their respective faculty prior to submitting it for examination.

8.2 Selection of Examiners

(a) External and Internal Examiner(s) for the research work shall be appointed from the approved list of examiners. This list is approved by the Academic Council and updated annually.

(b) The External Examiner should be a recognized authority in the field and an expert in the specific topic of the research. Unlike the External Examiner, the Internal Examiner need not be an expert on the candidate's specific research topic but only an expert within the broader disciplinary field.

(c) Once the External and Internal Examiners are appointed, the Office of Graduate Studies will forward to each of the examiners, the letter of appointment as examiner, together with detailed guidelines for the examination of the research work prepared by the Office of Graduate Studies.

(d) The Office of Graduate Studies shall send a copy of the research work to each of the examiners within two weeks after the candidate submits the research.

(e) The two examiners are required to assess the research and submit a detailed written report to the Office of Graduate Studies within four weeks of receipt of the research.

8.3 Preliminary Reports

(a) Each Examiner is required to prepare in writing (prior to the date of the oral examination), a preliminary report on the research, to inform the conduct of the examination. The report should be submitted to the Office of Graduate Studies within four weeks of receipt of research work by the examiners. Each report, is to be submitted using the *Thesis/Dissertation Examination Assessment Criteria and Score Sheet* provided by the Office of Graduate Studies. A copy of this form may be found in **Appendix H** of these guidelines.

(b)　It shall be the responsibility of the Office of Graduate Studies to collect the preliminary reports, to circulate them between all the members of the Board of Examiners and to ensure they have been considered by the Board prior to the oral examination.

8.4　Board of Examiners

(a)　Every examination for postgraduate research shall be conducted by a Board of Examiners and all of whom will have PhDs.

(b)　The Board of Examiners will comprise of the following: the External Examiner, the Internal Examiner, and at least one senior member of academic staff.

(c)　The senior member of academic staff in the Board of Examiners to be the Chair of the Board.

(d)　The Director of Graduate Studies shall be responsible for resolving any conflict of interest in the appointment of examiners.

(e)　The Board of Examiners shall have the following responsibilities:
　(i)　Consider the internal and external examiners' reports on the research work.
　(ii)　Conduct oral examination for the candidate.
　(iii)　Make a recommendation on whether to pass the research work.

(f)　The Supervisor may attend the oral examination of the candidate but shall not participate in the assessment of the candidate.

(g)　The Office of Graduate Studies shall provide members of the Board of Examiners with copies of research work and the reports from the internal and external examiners two weeks before the date of oral examination.

(h)　The Dean of the School or his/her appointed representative in liaison with the Office of Graduate Studies is responsible for scheduling the oral examination within one month of received the examiners' reports, liaising with the candidate and the Examiners. Students should never arrange their own oral examination or directly contact the Examiners.

(i)　Any variation to this practice requires the written approval of the Director of Graduate Studies.

8.5　Conduct of Defense / Oral Examination

8.5.1 Requirement for Oral Examination

(a)　The viva voce panel will consist of the board of examiners as detailed in ***sub-section 8.4*** above.

(b)　An oral examination is normally required for postgraduate examinations but may on exceptional medical or personal grounds be waived with the express approval of the Director of Graduate Studies.

(c)   An oral examination must be held if:
  (i)   an oral examination is judged to be necessary by one or more of the Examiners; or
  (ii)   there is substantial disagreement between the Examiners; or
  (iii) the Examiner/s are not inclined to recommend the award of the degree for which the work was submitted; or
  (iv)   the student wishes an oral examination to be held.

(d)   In the case of a re-submission, an oral examination should normally be conducted but may be waived if all Examiners are in agreement that such an examination will not be necessary.

(e)   The examiners may, if they jointly wish, discuss aspects of the research work with a candidate's supervisor before and after the oral examination.

(f)   Oral examinations for postgraduate examinations should be held within four weeks of receipt of all examiners preliminary reports to the Board of Graduate Studies. It shall not normally extend beyond one hour.

8.5.2 Oral Examination by Video Conference

The setup and configuration of Examination by Video Conference shall be guided by the Regulations for Live Video Class Sessions.

8.5.3 Substitution of Oral Examination by Written Submission

(a)   In exceptional circumstances, and with the agreement of the Student, Examiners and the Dean of the School/Institute, the Director of Graduate Studies may give permission to hold an oral examination by written submission. An oral examination by written submission entails questions relating to the research work and the field being agreed by the Examiners on the basis of their preliminary reports and then put in writing to the candidate, who will normally be permitted a fixed time, commensurate with the nature of the questions, in which to reply in writing. The written replies will be returned immediately to the Examiners who should liaise over the answers and make the normal recommendations following the oral examination.

(b)   A timetable for the submission of questions to the student, the student's reply and the reaching of a decision on the basis of the written reply should be submitted to the Director of Graduate Studies for approval.

(c)   The Examiners should seek to assure themselves that the student has not been disadvantaged in any way compared to the normal situation of a face-to-face viva.

8.6   Mitigating Circumstances

(a)   Between the preparation of the preliminary reports and the oral examination, the Director of Graduate Studies shall inform the board of examiners of any exceptional circumstances, such as medical or personal, that could have affected the candidate's performance in the preparation of the research report or could do so at an oral examination. Evidence must be made available in documentary form.

(b)   It is for the Examiners to decide the extent to which in their judgment such circumstances could have affected the candidate's performance and to make allowance as they see fit. They should not, however, recommend the unequivocal award of the degree sought if the candidate fails to meet the general criteria listed in the *Thesis/Dissertation Examination Assessment Criteria and Score Sheet*.

8.7   Recommendation after Examination of Postgraduate Research

8.7.1 First Examination of a Postgraduate Research

(a)   In assessing postgraduate research work, the Examiners are required to look for:
   (i)   evidence of originality and creativity;
   (ii)   evidence of the candidate's ability to relate the subject matter of the research work to the existing body of knowledge within the field;
   (iii)   integration and coherence – logical and rational links between the component parts of the research work
    (iv)   a satisfactory level of presentation and clarity.
(b)   Marks distribution for the Research Work shall be as follows:

   Research Report 80% of total marks
   Oral Defence by Candidate 20% of total marks

   The mark for the research report shall be the average of the two marks from the written assessment reports submitted by the internal and external examiners. The Oral Defence mark shall be the average of the marks of all examiners present during the oral defence of the research.

(c)   A student must pass both the oral defense and the written research report. The pass mark shall be 50% in each case.

(d)   When a student fails the research, a recommendation for resubmission is made. The research report must be resubmitted within 12 months (irrespective of the mode of study of the candidate). Resubmission is permitted on one occasion only.

8.7.2 Re-Examination of a Referred Research Project

(a) A referred research project is one that has failed the first examination for the degree for which it was submitted and the revised research must be re-examined by all the Examiners (external and internal). In referring a research for further work the Examiners should indicate the maximum period in which this work should be undertaken. The maximum period should normally not exceed twelve months.

(b) Following re-examination of a postgraduate research the maximum mark the research work may be awarded is 50%.

8.7.3 Making Recommendations

(a) In making a recommendation, the Examiners may take into account any circumstances which might make it impracticable for a candidate to undertake a further period of study.

(b) When making recommendations to pass or fail the research work the Examiners are required to indicate for the information of the candidate the reasons for their decision, and where amendments are required, to indicate those aspects or parts of the research work which they regard as inadequate and the nature and extent of the re-writing required.

(c) In the case of either first examination or re-examination, the Examiners' report should be completed and signed by the Examiners and then submitted to the Office of Graduate Studies. In the case of the oral examination, each member of the Board of Examiners should sign the report which should be submitted to the Director of Graduate Studies as soon as possible and no later than a week after the oral examination has taken place.

(d) Under the exceptional circumstance that the appointed Examiners are unable to reach agreement, the Examiners shall submit independent reports, and the Director of Graduate Studies shall appoint a third Examiner. The third Examiner shall examine the research work and submit a report and recommendation to the Director of the Graduate Studies. The Director of the Graduate Studies will then make the final decision on the marks to be awarded to the research work.

(e) Candidates should seek the advice of their Supervisor regarding any revisions of material in the research required by the Examiners before submitting the amended research report to the Internal Examiner.

(f) A Student submitting their research work to the Internal Examiner after amendments must complete a *Thesis/Dissertation Correction Form* and include a detailed report addressing the changes made to their research report. The form and report will be forwarded to the examiner along with the revised research work. A copy of this form may be found in *Appendix I* of these guidelines.

8.7.4 Minor Amendments

(a) Following the recommendation of an award subject to minor amendments, the candidate is required to amend the research report to the satisfaction of the supervisor.

(b) Minor amendments may take the form of:
 (i) the correction of typographical, spelling and grammatical errors and
 (ii) limited revisions of material in the thesis that the examiners specify in detail and which in their judgment is necessary for the thesis to reach an acceptable standard.

(c) This latter category can include limited revisions not central to the thesis/dissertation, omissions, and improvements to the argument which do not materially alter the conclusions. The Examiners must be agreed that the candidate will be able to achieve the amendments within one month of notification and without the need of a further oral examination. Exceptionally the Internal Examiner may ask to review specific changes of a technical nature, required as a minor amendment to the thesis.

(c) Candidates should seek the advice of their Supervisor regarding any limited revisions of material in the thesis required by the Examiners before submitting the amended thesis to the Office of Graduate Studies.

(d) A Student submitting their thesis to the Supervisor after amendments must complete a *Thesis Correction Form* and include a detailed report addressing the changes made to their thesis. A copy of this form may be found in *Appendix I* of these guidelines.

8.7.5 Major Amendments

(a) Following the recommendation of an award subject to major amendments, the candidate is required to amend the thesis to the satisfaction of the Internal Examiner. However, a further oral examination is not required.

(b) Major amendments take the form of:
 (i) Re-writing some sections of the thesis, either to strength the argument or improve on the flow of work;
 (ii) Further data analysis;
 (iii) Re-organisation of the thesis for better presentation.

(c) Major amendments will not normally require further data collection or shifting the research focus.

(d) If major amendments are required, the candidate will be notified of the requirements and provided with copies of the examiners' reports (without the examiners' names). The candidate will be advised of the date for further work to be completed. This will normally be within three months.

(e)   The candidate must complete the *Thesis Correction Form* and prepare a detailed report documenting all thesis revisions so that the Internal Examiner may verify that appropriate action has been taken in accordance with the examiners' recommendations. A copy of the form may be found in ***Appendix I*** of these guidelines.

8.8   Certification of Final Thesis/Dissertation

Once the research work is corrected and bound, it should be certified as final. The candidate should complete a *Certification of Final Version of Thesis/Dissertation* Form. This form is a confirmation by the candidate and supervisor that all required corrections have been made and that the thesis is to be submitted for archiving with no further alterations. The form should be signed by the candidate and supervisor and submitted to the Office of Graduate Studies together with two permanently bound copies of the thesis and an electronic copy of the thesis. Please note that the thesis submission is not complete if and electronic copy has not been submitted. A copy of the *Certification of Final Version of Thesis/Dissertation* Form may be found in ***Appendix J*** of these guidelines.

The Certification of Final Thesis form MUST be submitted to the Office of Graduate Studies before the student is approved for graduation.

9.0   Conflict Resolution Mechanisms

9.1   Description of Malpractices

Malpractices include but are not limited to:

(i)   Plagiarism
(ii)   Collusion or collaboration with other students to gain a grade to which they are not entitled.
(iii)   Abuse of the data collection process
(iv)   Fraudulent or fabricated work
(v)   Any other act or omission on the part of the student or the supervisor which, in the opinion of the Board of Graduate Studies amounts to malpractice.

9.2   Handling Cases of Malpractices

(a)   In cases where evidence of suspected malpractice is found, the Dean of the School to which the student belongs shall deal with the matter internally in the first instance.

(b)   If the Dean of School believes that there is a *prima facie* case of suspected malpractice, the student will be advised in writing (normally within ten working days of the case being reported to the Dean of School) of the nature of the suspected offence. In this letter the Dean of School will indicate which of the following two procedures will apply:

(i) a formal meeting with the student will be convened and chaired by the Dean of School to discuss the case; or

(ii) the case will be referred directly to the Director of Graduate Studies.

(c) In all cases the Deputy Vice-Chancellor (Academic & Student Affairs) shall receive a copy of the Dean of School's letter.

(d) In those cases in which a meeting with the student is convened and chaired by the Dean of School or representative, such a meeting will include at least one other member of staff of the School and the School Manager or representative acting as secretary to the meeting. The student shall be entitled to attend the deliberations of the meeting. The Dean of the School will subsequently communicate their decision to the Director of Graduate Studies.

(e) In those cases in which suspected malpractice is discovered at the pre-submission stage, the maximum penalty shall normally be a requirement to re-draft the relevant section(s) of the thesis to the satisfaction of the Supervisor and the Dean of School. Cases where minor redrafting would be inappropriate in view of the *prima facie* case found by the Dean of School should be referred to the Director of Graduate Studies.

(f) For instances where suspected malpractice is discovered by the Examiner(s) at the post-submission stage, the Examiner(s) shall prepare a jointly-signed report to be sent without delay to the Director of Graduate Studies, who shall deal with the matter.

(g) In those cases in which a meeting with the student is convened, the maximum penalty shall normally be a requirement to re-draft the relevant section(s) of the thesis to the satisfaction of the Supervisors, the Examiners and the Director of Graduate Studies. The Board of Examiners should not meet, or prepare a final report, until the Director of Graduate Studies receives a report that the supervisors and examiners are satisfied with the re-drafting.

(h) In an extreme case of plagiarism or other fraud covering most or all the work, the research output will be cancelled, and the student may be expelled.

9.3 Appeal Procedures

(a) The student shall have the right of appeal against any decision taken under sub-sections (d) to (h) above.

(b) The student concerned or the complainant may appeal to the Deputy Vice-Chancellor (Academic & Student Affairs) the decision of the Disciplinary Committee as it pertains to the substantiation of the charge, the disposition chosen, or both.

(c) The appeal must be received by the Office of the Deputy Vice-Chancellor within ten working days of the student receiving the letter from the Director of Graduate Studies.

(d)   The Deputy Vice- Chancellor may at his/her discretion appoint an Appeals Committee consisting of three members of Academic Staff to hear the appeal.

(e)   The decision of the appeal process will be final and the candidate shall have no right of appeal against this.

9.4   Communication Channels

All communication about malpractice will be through the Office of Graduate Studies.

Appendix A: Guide to Enhancing a Successful Supervisor-Student Relationship

INTRODUCTION

The role of a supervisor is to assist the student to devise and complete an independent research program within the allotted time by providing appropriate direction, guidance, feedback and support. For this to occur, the supervisor must be familiar with the practice of research supervision and know what helps and what does not help different sorts of students at different times in the research program. Supervisors must be familiar with the area in which the student works and with the ways of researching and writing within that area.

While the supervisor's role can be seen as primarily a teaching one, it is important to appreciate that the student is ultimately responsible for the work produced. The supervisor will give advice on the theoretical basis of the project, suggest appropriate reading, provide guidance on research methods and methodology, and generally assist with planning and preparing the research output. The supervisor also has a key role in introducing the student to scholarly networks and encouraging students to participate in the activities of the research community outside of the actual preparation for the research work. The supervisor should be alert to any difficulties, professional or personal, that the student encounters and where they are unable to help, offer advice on where assistance can be obtained.

The responsibility for meeting the expected standard of work lies with the student. The supervisor acts as a guide, offering advice, encouragement and criticism, and it is up to the student to incorporate this advice into the development of a final research report that meets the standard expected by the examiners. For a successful supervisory relationship to occur, both sides of the supervisor-student relationship need to be aware of each other's expectations.

AREAS FOR DISCUSSION BETWEEN THE SUPERVISOR AND STUDENT

The following areas of discussion should help to clarify the supervisor and the student's expectations of the supervisory arrangement. If there is more than one supervisor it may be appropriate to involve co-supervisors in the initial discussions. If this is not practical, the principal supervisor should ensure that the expectations are communicated to the co-supervisors. Discussing supervisory issues at the outset helps to lay foundations for a good working relationship, but it may also be necessary for aspects of the supervisory relationship to be renegotiated as the student progresses.

The overriding question at the back of both the supervisor and the student's minds during these initial discussions will be "Can I work with this person?" Different viewpoints and methods of interaction and work styles may become apparent during this process. It is important for each party to identify those differences and to determine whether workable solutions can be agreed and maintained.

Questions you might ask your Supervisor

Some of the following questions should be asked at the beginning of the project, whilst others are more appropriately tackled a little later as the issues become more relevant:

- What kinds of knowledge are needed and what level of ability is required for work in the project? For example, the student should be clear on the level of understanding for aspects of the research process, the style of academic writing required, the types of statistical analysis that might be involved, etc.;
- What resources does the supervisor know of? How much help can the student expect from the supervisor and/or the University community?
- Development of the research proposal. What is involved? How much input can be expected from the supervisor?
- What are the supervisor's and student's responsibilities for the development of the research abilities of the student?
- What methods/standards of record keeping does the supervisor expect/recommend, or what does the University have in place?
- Expectations of feedback. How often, how much, in what form, with how much notice? What type of feedback does the student prefer/benefit from, find helpful/unhelpful?

Questions regarding the Postgraduate Research

Issues to discuss may include:

- What does a' project' or a 'dissertation' or a 'thesis' mean?
- What is the appropriate structure, length, presentation?
- What referencing conventions should be used?
- What is meant by 'contribution to knowledge'?
- Titles of good examples in this field?
- What is the difference between a pass research work and a first class research?

Questions regarding Meetings

Issues to discuss might include:

- Frequency and duration of meetings;
- Structure of meetings;
- Access to the supervisor outside of scheduled meeting times?
- If meetings aren't regularly planned, whose responsibility is it to schedule meetings?
- If one person can't make the meeting, what should be done?

Irrespective of the arrangement agreed upon between the student and supervisors, they should aim for at least one meeting per month.

Questions regarding Time Frames

Issues to discuss might include:
- A rough guide to how long each stage of the research process should take to complete;
- What would be a realistic completion date in view of separate commitments and university policy? In this regard, completing the Proposed Work Plan document found in *Appendix B* becomes very important.

Role of Supervisor in Research Work Submission and Examination

Prior to Submission of the Research work
- Comment critically on the first draft of the whole research work. It should not take longer than three weeks to comment on the draft research work;
- Certify that the research work is properly presented, conforms to the regulations and is worthy of examination.

After Submission of Research work
- Liaise with the appropriate officer of the University to ensure that the research work has been examined (including the oral defense).
- Ensure that any revisions required by the examiners are completed and inform the Office of Graduate Studies when this has been done.

RESPONSIBILITIES OF THE STUDENT IN THE SUPERVISORY ARRANGEMENT

- Take full responsibility for the design, methodology and presentation of your project;
- Pay close attention to editing of the text. This includes ensuring that the attributions, footnotes, list of references and other technical details are accurate and complete, the language technically correct, and the argument logically clear and consistent. Students may seek assistance with the proof reading of written work to correct typographical errors and mistakes in spelling or punctuation. Where special assistance is required with editing, for instance students from non-English speaking backgrounds who require assistance with English expression, the student must acknowledge the assistance;
- Accept responsibility for producing the final copies of the research work. This includes the content and ensuring that it is written in accordance with all relevant requirements, including standard of presentation;
- Maintain progress in accordance to stages agreed with the supervisor. Submit material in sufficient time to allow for comment and discussion before proceeding to the next stage;
- Maintain a schedule of contact with the supervisor and the academic environment of the University;
- Take the initiative in raising problems or difficulties and sharing responsibility for seeking solutions;
- Discuss your intentions to take leave with your supervisor;

- Make applications to change your candidature status, (e.g., academic leave) in good time;
- Adopt and adhere to the ethical and safe working practices relevant to the discipline.
- Evaluate their work for plagiarism by subjecting it to the recommended software and attaching the *Similarity* report to the research work
- Ensure that the supervisor has had time to adequately peruse the research work before submitting a final draft for examination;
- Prepare four temporary bound copies of your research work for submission to the Office of Graduate Studies.

Examination Process and After
- You must present yourself for the oral defense of your research work.
- You must make any amendments to your research work within the time stipulated by the Office of Graduate Studies after receiving notification of the examination results.
- If your research work is passed, you will submit two permanently bound copies to the Office of Graduate Studies in the format stipulated in other parts of these guidelines.

PROBLEMS WITH THE SUPERVISORY RELATIONSHIP

If there is a difficulty with the supervisory relationship, talk about your concerns with the supervisor. It is important to outline your difficulties or differences early on. The relationship between student and supervisor is an important one and it will not always be easy. Supervisors need at times to give comments that are difficult to take and students at times may believe it is essential that they ignore advice. Such events in themselves are to be expected but if it becomes clear that the research is not progressing satisfactorily or that the student or the supervisor continues to be dissatisfied with some aspect of the relationship then something needs to be done.

The candidate and the supervisor may independently make their concerns known to the Dean of their school at the first instance. If a solution cannot be found, they should forward the issue to the Director of Graduate Studies. If it becomes evident that the relationship between the student and supervisor is untenable, the candidate may apply for a change in supervisor.

It is important to not let too much time slip away with nothing very positive happening. Anything longer than two months may be considered too long.

PROBLEMS OUTSIDE THE SUPERVISORY RELATIONSHIP

Not all problems relating to your research arise from the supervisory relationship. The importance of meeting with your supervisor regularly and discussing any difficulties has been discussed. Discussing difficulties allows remedial action to be taken before problems become major. The supervisor may be able to act as a mediator or advocate for problems concerning administration or resources.

Appendix B: Proposed Work Plan

Draft Title of Research work: _____

_____

_____

WORK PLAN *(Use the **Schedule of Important Timelines** in **Appendix K** of these guidelines to help you develop an appropriate work plan)*

Progress Stage	Stage Description	Proposed dates
1.	Scoping of the Research study	
2.	Choice of Research Topic	
3.	Research Problem clarification, Research objectives, Purpose and Significance	
4.	Literature review	
5.	Research Methodology	
6.	Completing and submitting the research proposal	
7.	Proposal Defense	
8.	Data Collection	
9.	Data analysis and Interpretation	
10.	Research Report writing – first draft	
11.	Final draft of research report	
12.	Submission of Research for Examination	

Any remarks:

_____

_____

_____

_____

RESEARCH WORK EXAMINATION PROCESS AND CLEARANCE FOR GRADUATION

Step	Activity	Proposed Deadline	Proposed Graduation Yr.*
1.	Submit research report for Examination		
2.	Examination of research report		
3.	Oral defense		
4.	Correction of research report		
5.	Confirmation of final version of research report and Registration for graduation		

Note: Graduation is on the last Friday in June. A student needs to have been registered to graduate by the last week of May.
**The research report MUST be corrected and confirmed as the final version before graduation

SIGNATURES AND DATES:

Candidate's Name	Signature	Date
Supervisor:	Signature	Date
Co-Supervisor (if applicable)	Signature	Date
School/Institute Dean:	Signature	Date

Please forward to Director of Graduate Studies

Director of Graduate Studies: Name	Signature	Date:

Strathmore University
Office of Graduate Studies

Appendix C: Application for Academic Leave

Surname	Other Names	Student Number
Address	Email:	Phone No.

To proceed on Academic Leave from

Date ……………………….   Month …………………………….. Year ……………………..

☐ Reason for taking Academic Leave
☐ Work Constraints
☐ Financial Problems
☐ Medical Grounds
☐ Compassionate Grounds
☐ Others (Specify)

………

………

………

Expected Date of Return from Academic Leave (Please note that the minimum Academic Leave Period for PhD students is one month and the maximum Academic Leave period is Two Years).

Date ……………………   Month ………………………………….. Year ………………………..

Student Signature:		Date: ………………………
Supervisor (Name)	Signature	Date: ………………………
Authorized by Dean (Name)	Signature	Date: ………………………
Received: Office of Graduate Studies Signature: ………………………		Date: ………………………
Received: Registrar (ASA) Signature ………………………		Date: ………………………
Re-admission authorization by School/Institute Dean: Signature: ………………………		Date: ………………………
Re-admission authorization by Director of Graduate Studies Signature: ………………………		Date: ………………………
Re-admission approval by Registrar (ASA): Signature ………………………		Date: ………………………

Appendix D: Request for Change of Supervisor

Student Name:		Student No:
School/Institute enrolled in ………………………………………………………………………		
Title of Thesis: …………………………………………………………………………………………… ……………………………………………………………………………………………...……		
Current 1st Supervisor Name:	Current 2nd Supervisor Name:	Current 3rd Supervisor (if any) Name:
Proposed 1st Supervisor (Name)	Signature	Date:
Proposed 2nd Supervisor (Name)	Signature	Date:
Proposed 3rd Supervisor (Name)	Signature	Date:
Changes to be effective from	Date:	
Reason(s) for proposed change:		
Approved at School Graduate Studies Committee Signature:	Name: Date:	
Approved at Board of Graduate Studies Meeting of (Date):		
Signed (Director of Graduate Studies)	Name: Date:	

PROPOSED SUPERVISOR(S) CURRICULUM VITAE

This section should only be completed if the proposed supervisor(s) are not already on the Office of Graduate Studies database. A separate section should be completed for each new supervisor.

Name:
Present Position and Institution:
Qualifications
Membership in Professional Organisations:
Teaching Experience:
Professional Experience:
Research Experience:
Experience in Supervising Research Candidates:
Recent Publications and Other Professional Works:

Strathmore University

Office of Graduate Studies

Appendix E: Application for Extension of Studies

Surname	Other Names		Student Number
Address	Email:		Tel:

Commencement date of Studies:	Programme:

Extension to commence on:

Date …………………….. 	Month ……………………. ………….. 	Year …………………………

Reason for taking the extension (supporting documentation may be required to explain why the student was not able to complete their studies within the maximum time allowed). In addition, an outline of work completed against each chapter heading, and a work-plan and schedule should be attached to this form.

□ Work Constraints

□ Financial Problems

□ Medical Grounds

□ Compassionate Grounds

□ Others (Specify) …………………………………………………………………………………………...
……
……

Expected date of expiry of the Extension (Please note that the Extension Period must not exceed 12 months)

Date……………………… Month ………………………………… Year ………………………………

Signature of Student	Date	
I Recommend/ Do Not Recommend an Extension of Study for this Candidate School/Institute Dean (Name)	Signature	Date
I approve/Do Not Approve an Extension of Study for this Candidate Director of Graduate Studies (Name)	Signature	Date

Strathmore University

Office of Graduate Studies

Appendix F: Progress Reporting Template

THIS FORM SHOULD BE COMPILED BY THE COORDINATOR OF THE GRADUATE STUDIES IN EACH SCHOOL AND SUBMITTED TO THE OFFICE OF GRADUATE STUDIES IN JUNE AND DECEMBER EVERY YEAR.

S/No.	Student Name	Student ID	Academic Status*	Intake (Year)	Research Topic	Supervisor	Proposal Defense	Seminar presentation	Notes
1.									
2.									
3.									

*Academic Status refers to whether the student is on-going, on academic leave, taken an extension of study, or withdrawn from the programme.

Additional Comments:

Appendix G: Thesis/Dissertation Presentation Guide

1.0   INTRODUCTION

The primary purpose of a thesis or dissertation is to train the student in the process of scholarly research and writing under the direction of members of the Graduate Faculty. After the student has graduated and the work is published, it serves as a contribution to knowledge, useful to other scholars and perhaps even to a more general audience. The requirements in this guide apply to all Strathmore University theses and dissertations. The general terms 'thesis' and 'dissertation' are used interchangeably.

You have a fair amount of discretion with regard to writing style, but you must be consistent in format throughout. The work should be written in clear, grammatically correct English, with words spelled and divided correctly and punctuation standard and appropriate. Paragraphing should also be appropriately done.

1.1   The Role of the Office of Graduate Studies

The Office of Graduate Studies is responsible for certifying that theses and dissertations have been prepared in accordance with the regulations in this guide. When a thesis is submitted to the Office of Graduate Studies, it must meet the requirements set forth here. The text should be proofread and free of grammatical errors and typos. However, the Office of Graduate Studies reviews the document for format and compliance to Office of Graduate Studies requirements only.

1.2   Responsibility for the Thesis

The author bears ultimate responsibility for meeting all of the Office of Graduate Studies requirements. He or she must meet deadlines for review and final submission, and obtain faculty signatures. The best advice is to start early and make certain that the requirements outlined in this guide are fully met.

2.0   TECHNICAL REQUIREMENTS

2.1   Type Specifications

Most important in typing a thesis or dissertation is consistency of format and adherence to the specific instructions given in this guide. The text of a thesis should be one-and-a-half-spaced.

Use a standard typeface of 11-, or 12-point size. Limit the use of italic print to foreign words, book and journal titles, and special emphasis. If you wish, you may use larger size type for the title of the thesis and for chapter headings, as long as it is not larger

than 18-point. Boldface type may also be used on the title page and for headings, as well as in the text, for special symbols or for emphasis.

Reduced type may be used within tables, figures, and appendices. It should be at least 10-point in size and must be completely legible. It is permissible to use colour in the document, but keep in mind that multiple copies will show black-and-white only unless colour printing is consistently used.

Begin each chapter on a new page. Do the same with each element of the front matter (list of tables, acknowledgments, etc.), the reference section, and each appendix. Try to avoid typing a heading near the bottom of a page unless there is room for at least three lines of text following the heading. Instead, you should simply leave a little extra space on that page and begin the heading on the next page. Do not use "display" pages (that is, a page that shows only the chapter title) at the beginning of chapters.

2.2   Paper

International A4 (210mm x 297mm) within range 70 g/m2 to 100 g/m2. No restrictions are placed on the size of the drawings, maps or similar material, which should, however, be bound in with the thesis or placed in a wallet affixed to the inside of the back cover.

2.3   Length of Thesis

In accordance with these guidelines and the subject area of study, a thesis/dissertation for a Master's degree shall not normally exceed 50,000 words.

The above maximum is exclusive of footnotes, list of references, appendices, and all front matter (see 3.0 below for what constitutes front matter).

2.4   Margins

A 25mm margin on all sides is acceptable, but a wider left margin (40mm) is required for binding purposes.

2.5   Typing and Formatting

Type on one side of the paper only. A spacing of 1.5 should be used in typescript except for indented quotations or footnotes, for which single spacing may be used.

Font: Size 11 or 12, using a true type font such as Times, Times New Roman, Arial, Book Antiqua or Helvetica.

  Headings: Level 1 Headings: Font size 14, bold
                      Level 2 Headings: Font size 12, bold (indent one place)
                      Level 3 Headings: Font size 12, bold, italics (indent 2 places)
                      Level 4 Headings: Font size 12, italics (indent 3 places) (if applicable)

2.6   Page Numbering

Every page in the document, including those with tables and figures, must be numbered. Use lower case Roman numerals for the front matter and Arabic numbers for the text. **The text (or body) of the thesis must begin on page 1**. Do not number a

page with "a" or "b" or skip numbers; do not embellish page numbers with punctuation (dashes, periods, etc.); and do not type the word "page" before the page number. Running headers and footers are not permitted.

Page numbers should be centered at the bottom of the page. Allow a reasonable distance between the page number and any text; in no instance may the page number overlap the text.

2.7 Documentation of Sources in the Text

Source citations are required in the text whenever you use a direct quotation, paraphrase another author's words, or include specific information that is not common knowledge (and is not the result of your own research reported in the thesis). The only system of source citation allowed is parenthetical author-date-page documentation. You must not use footnotes or endnotes for citations.

References in the text must correspond exactly to the listing of sources at the end of the thesis. Be certain that all items are included in the reference list, authors' names are spelled consistently and correctly, and dates are the same in both the text and the reference list. The following referencing styles may be used:

- For IT, business and social sciences – Use the APA Style.
- For law – Use SLASLEC (get a copy of the guide from the Law School)
- For humanities such as Literature or History - Use MLA
- For philosophy – Use Chicago Style or APA as advised by the School of Humanities and Social Sciences.

3.0 FRONT MATTER

The term "front matter" refers to all the pages in front of the main text of the thesis. Front matter pages are numbered with lower case Roman numerals. These pages are:
- Cover page (for permanent binding only, unnumbered)
- Title page (unnumbered)
- Declaration by candidate, and approval of thesis by supervisor (page ii)
- Abstract (begins on page iii)
- Table of contents
- Lists of figures,
- List of tables
- List of abbreviations
- Acknowledgments
- Dedication (optional)

The sequencing of the front matter pages should be as shown above.

The abstract is required in all theses and begins on page iii. The table of contents and acknowledgments are also required. Dedication is optional and should be at the end of the front matter. Chapter 1 then begins on Page 1.

3.1   Cover Page

The **cover page** is the **navy blue** hard cover of the thesis that appears in permanent binding only. It should be written in gold, using the Title Case (that is capitalizing the first letter of each word). It should contain the title of thesis, name of student as appears in the student's record, degree for which the thesis is submitted (e.g., Master of Commerce) and the year of degree conferral. The format should be as shown below. On the spine a shortened title, surname and initials of candidate, the degree for which the work was submitted and the year of submission should appear. The spine should be printed in such a way as to be readable when the volume is lying flat with the front cover uppermost.

SAMPLE OF MASTER'S COVER PAGE

[Title]:
[Sub-Title] (if applicable)

[Name of Candidate]
[Candidate's Registration Number]

Master in/of….[name of programme]

[Year]

3.2   Title Page

The **title page** is the first page of the thesis appearing immediately after the cover page. It must appear as shown below. Type the title of the thesis using Title Case throughout. Use your legal name as it appears on your student record. Your name must appear in exactly the same form each time it is used in the thesis. On the date line, indicate the month and year of degree conferral, not the date of the defense or the date you submit your thesis.

SAMPLE OF MASTERS TITLE PAGE

[Title]:
[Sub-Title] (if applicable)

[Name of Candidate]
[Candidate's Registration Number]

Submitted in partial fulfilment of the requirements for the Degree of
[Name of programme......] at Strathmore University

[*Name of School/Institute*]
Strathmore University
Nairobi, Kenya

[Month, Year]

This thesis is available for Library use on the understanding that it is copyright material and that no quotation from the thesis may be published without proper acknowledgement.

3.3 Declaration and Approval Page

The declaration and approval page appears immediately after the title page and should appear as below:

Declaration

I declare that this work has not been previously submitted and approved for the award of a degree by this or any other University. To the best of my knowledge and belief, the thesis contains no material previously published or written by another person except where due reference is made in the thesis itself.

© No part of this thesis may be reproduced without the permission of the author and Strathmore University

...………….. [*Name of Candidate*]

………….. [*Signature*]

………….. [*Date*]

Approval

The thesis of [*Name of Candidate*] was reviewed and approved for examination by the following:

Name of Supervisor
Faculty Affiliation
Institution

Name of the Head of School/Institute
School/Institute Name

Name of the Director of Graduate Studies
Director of Graduate Studies

Signatures should be on a separate form on file in the Office of Graduate Studies. There should be no signatures in the final thesis. However, there should be the signature of the supervisor on the thesis submitted for examination.
**The words 'for examination' should be deleted when the final certified thesis is submitted.

A separate signed approval page is found at the end of this guide titled: *Certification of Final Version of Thesis* form. A copy of this form is found in ***Appendix J*** of these guidelines. This form should be signed by the student and supervisor and submitted to the Graduate Office together with the **two copies** of the permanently bound thesis and an electronic copy of the thesis. Please note that your submission is not complete if you have not submitted the electronic thesis. As such, this form is only completed when the final thesis is being submitted.

The *Certification of Final Version of Thesis* form is retained at the Office of Graduate Studies. The signatures on the approval page indicate that the thesis is approved as a complete and final work requiring no further alteration. This page is required for approval of the document by the Office of Graduate Studies and to recommend graduation of the candidate to the Academic Council.

3.4   Abstract
Every thesis must contain an abstract. An abstract is a concise summary of the thesis, intended to inform prospective readers about its content. It usually includes a brief description of the research, the procedures or methods, and the results or conclusions. An abstract should not include internal headings, parenthetical citations of items listed in the reference section, diagrams, or other illustrations.

The abstract follows the declaration/approval page and begins on page iii. The abstract should normally not exceed 500 words.

3.5   Table of Contents
The Table of Contents is essentially a topic outline of the thesis. It is compiled by listing the headings in the thesis. You may choose to include first-level headings, first- and second-levels, or all levels. Keep in mind that a fairly detailed table of contents serves as a useful guide for the reader. The table of contents must appear immediately after the abstract and should list everything in the thesis, except, the table of contents itself.

Be sure that the headings listed in the table of contents match word-for-word the headings in the text. Double check to be sure that correct page numbers are shown. In listing appendices, indicate the title of each appendix.

3.6   Lists of Figures, Tables, Abbreviations and other Illustrations
Include a list of figures (illustrations) and a list of tables if you have one or more items in these categories. Use a separate page for each list. Show the caption and page number of every figure and table in the thesis. Also include lists for abbreviations, nomenclature, maps, etc., if applicable.

3.7   Acknowledgments
An acknowledgments page is required to recognize those that the author has interacted with in the course of the research, including respondents of the research, readers, editors, copy typists, etc. It is used to express the author's professional and personal indebtedness.

3.8 Dedication (optional)

Some authors include a statement of dedication as the last page of the front matter. A quotation (epigraph) may also be included in this page. The source of an epigraph is indicated below the quotation but need not be included in the list of references.

4.0 BODY OF THESIS

The body of the thesis should be divided into chapters, sections, etc., as below:
- Chapter 1: Introduction
- Chapter 2: Literature Review
- Chapter 3: Research Methodology
- Chapter 4: Presentation of Research Findings
- Chapter 5: Discussion
- Chapter 6: Conclusion and Recommendations

You may have up to Level 4 heading if desired. However, levels 1 to 3 are usually adequate. Ensure that you number the levels correctly.

Please note that depending on the work, some aspects such as literature review or findings may have more than one chapter. This is allowable. However, the overall order of the thesis should be maintained. In some Schools Chapters 5 and 6 may be combined into one chapter. This is allowable.

5.0 BACK MATTER

The back matter (or end matter) of the thesis includes the following items:
— list of references
— appendices (*must come after the references and must include the similarity report as well as the Ethical Clearance report -see section 5.2*)

5.1 List of References

A thesis must include a list of references section listing *all* works and *only* those works which are referred to in the text. This section must appear before the appendices (if any). Use the referencing style recommended for your School/programme as indicated in Section 2.7 above.

5.2 Appendices

The Similarity Report as well as the Ethical Clearance report must be placed at the Appendix. The determination of the acceptable similarity level is determined by the school in various subject areas. Otherwise, a general similarity score of less than 25% (excluding references) is acceptable. Additionally, material that is pertinent but is somewhat tangential (e.g., questionnaires, interview guides, letters of introduction) or very detailed raw data, procedural explanations, etc., may be placed in an appendix. Appendices should be designated A, B, C or I, II, III. If there is only one appendix, call it simply Appendix, not Appendix A. Titles of appendices must be listed in the table of contents. The page numbering of the Appendices must be consecutive from the text of the thesis (do **not** number the pages A-1, A-2, etc.).

6.0   TABLES AND FIGURES

A **table** is a columnar arrangement of information, often numbers, organized to save space and convey relationships at a glance. A rule of thumb to use in deciding whether given materials are tables or figures is that tables can be typed, but figures must be drawn or scanned from a source.
A **figure** is a graphic illustration such as a chart, graph, diagram, map, or photograph.

6.1   Captions and Numbering
Each table and each figure in the text must have a number and caption. Number them consecutively throughout by chapter using a decimal system. For example, the first table appearing in chapter 1 will be Table 1.1, and the first table in Chapter 2 will be Table 2.1. The first figure in Chapter 1 will be Figure 1.1 and the first figure in Chapter 2 will be Figure 2.1. Each table or figure number must be followed by a caption that briefly explains it.

6.2   Placement of Tables and Figures
It is best to place a table or figure immediately after the first mention of it in the text—on the same page if there is room, or on the following page. Tables and/or figures MUST NOT be grouped together at the end of the chapter or thesis. Only tables or figures of peripheral importance to the text may be placed in an appendix. Tables and figures must be referred to in the text by number, for example, 'Table 4.1 shows…' and not by a phrase such as "the following table", or "the table below."

6.3   Sources
If a figure or table is taken from another source, indicate the source at the bottom right hand side of the figure or table. Source notes are not numbered, even if there are other numbered notes. If a figure or table is copied from its source, be sure it is large enough to be legible.

6.4   Use of footnotes
Footnotes should be used sparingly in a thesis. They may only be used to explain a term of phrase, whose explanation may not fit well within the text.

7.0   OVERSIZED MATERIALS

If you are having trouble fitting a table or figure within the margins, even after relaxing each margin by 0.25 inch, consult the following options and select the method you prefer.

Landscape Pages
Place a table or figure sideways (landscape style) on the page by rotating it 90 degrees **counterclockwise** from its normal position. Rotate the caption or heading also, so that all parts can be conveniently read together. The page number may be rotated with the figure if the author chooses.

Reduced Type Size

Reduce the font size of the table or figure. The size should be no smaller than 10-point.

Split the material

In some instances (especially for tables), you may choose to split the table into two and label each table in alphabetical order. For example, Table 4.3A and Table 4.3B. Explain that the A and B represent a continuous table. Do not have tables running over two pages.

Print in larger paper

In some instances, a figure or map may be so large that reducing its size makes it illegible. In this instance, you may print the illustration on a larger paper, say A3 or A2, but find an appropriate way to fold and bind it with the thesis, so that a reader is able to unfold and read it.

Appendix H: Thesis Examination Assessment Criteria and Score Sheet

Name of Candidate:	Student Number:
School/Institute:	Degree:
Title of Thesis	
Examiner's Name:	

THESIS ASSESSMENT CRITERIA AND SUMMARY OF SCORES – REFER TO THE ELEMENTS OF DETAILS TO BE CHECKED OVERLEAF

No.	Major area of assessment	Potential score	Actual Score
1	Principles and procedures in scientific research	20	
2	Familiarity with research methods applied within the subject discipline	15	
3	Ability to use published and other sources critically	20	
4	Scientific processing of content: Justification statements and conclusion	20	
5	Technical and linguistic editing of the thesis	15	
6	Contribution of the study	10	
Total Score		**100**	

Signed By Examiner: _____   Date: _____

Please forward to the Director of Graduate Studies

Director of Graduate Studies:	Date:

DETAILED ASSESSMENT CRITERIA FOR EACH MAJOR AREA OF THESIS EXAMINATION

NO	ASSESSMENT FOCUS AND DETAILS	SCORE
Principles and procedures in scientific research		
1	Justification and clarity of the problem statement and research objectives	
2	Relationship between this research and other related research critically expounded.	
3	Is methodology appropriate, applicable, justifiable and properly described	
4	Provisions for variables that can influence the research outcome	
5	Reliability and validity of data collection instruments	
6	Proof that data was collected, recorded, and summarized accurately/carefully	
7	Proof of students' knowledge of relevant data sources and their application	
8	Acknowledgement of inherent limitation of the research	
9	Justification of conclusions in view of data and their analysis	
Familiarity with research methods applied within the subject discipline		
10	Methods applied in gathering/analysing data within the circumstances of the study	
11	Custom techniques selected justified and described in details	
12	Was the technique the best way to attain the research objectives	
Ability to use published and other sources critically		
13	Literature sources consulted directly relevant to the research	
14	Extent of literature cited being effective, up to date and authoritative	
15	Evidence of students' ability to locate primary and secondary literature sources	
16	Sufficient credit given to other researchers and authors	
17	Competence to deal with literature critically/analytically (No echo/compilation)	
Scientific processing of content: Justify statements and conclusion		
18	Systematic thought of content planning	
19	Justification of analyses, descriptions and explanations of phenomenon observed	
20	Justification of statements formulated by the student	
21	Scientific justification of conclusions and their substantiation by total content	
Technical and linguistic editing of the thesis		
22	Content structuring: schematization, chapter planning, annexure and bibliography	
23	Acceptability of style for scientific reportage (Formal)	
24	Appropriate, correct and consistent referencing technique	
25	Suitable readability in the consistent and correct use of terminologies	
26	Suitability of language standard relative to the level of learning	
27	Editorial completeness of the thesis: no typing errors, omissions, and language	
Contribution of the study		
28	General significance of the study	
29	Generation of new knowledge	
30	Relevance to school/institute or university	

Appendix I: Thesis/Dissertation Correction Form

Name of Candidate:	Student Number:
School/Institute:	Degree:
Title of Thesis:	

Summarise the types of corrections done in your thesis. (*Attach a detailed report*)

(1) _____

(2) _____

(3) _____

(4) _____

(5) _____

Committee Members:

Principal Supervisor	Signature:	Date:
Lead Supervisor	Signature:	Date:
Internal Examiner	Signature:	Date:
Director of Graduate Studies	Signature:	Date:

Appendix J: Certification of Final Version of Thesis/Dissertation

Name of Candidate:	Student Number:
School/Institute:	Title of Degree:
Title of Thesis:	
Postal Address	Email:
Expected date of Graduation:	
Number of Permanently bound copies submitted:	
Electronic copy submitted: ☐ Yes ☐No	

Please ensure that you show punctuation and italics exactly to ensure that your title appears correctly on your academic transcript. The title recorded here should be EXACTLY as appears on the cover page of your thesis.

Candidate's signature:	Date:

GRADUATION CEREMONY (If not attending a Graduation Ceremony, enter 'Not Applicable')
Please list full names and titles of supervisors in the order to be listed on Graduation Ceremony booklet

DECLARATION		
We, the undersigned, agree and certify that this is the final version of the thesis and no further alterations will be made.		
Candidate	Signature	Date
Principal Supervisor	Signature	Date
Lead Supervisor	Signature	Date
Director of Graduate Studies	Signature	Date

Appendix K: Schedule of Important Timeframes

As you plan your postgraduate research studies, please have the following schedule in mind. This schedule is a guide to help you organise your work plan as shown in *Appendix B* of these guidelines. You must, however, discuss the specifics of your individual work plan with your supervisor.

	ACTIVITY	DUE DATE		
		Project	**Dissertation**	**Thesis**
1.	Student is allocated a supervisor	Within one month of completing the research methods course	Within one month of completing the research methods course	Within one month of completing the research methods course
2.	Research Proposal Defense	Within 1 month	Within 3 months	Within 4 months
3.	Submission of research work to Office of Graduate Studies for examination	Within 3 months	Within 3 – 6 months (part time)	Within 6 months – 1 year (part-time)
4.	Examination of research work	Within 4 weeks after submission	Within 4 weeks after submission	Within 4 weeks after submission
5.	Oral defense	Not applicable	Within 4 weeks of receipt of examiners' reports	Within 4 weeks of receipt of examiners' reports
6.	Amendments to research work	Within 2 weeks of notification of candidate	Within 4 – 8 weeks of notification of candidate	Within 4 – 8 weeks of notification of candidate
7.	Approval by Office of Graduate Studies of the Candidate to Graduate	Last Week of May each year		
8.	Graduation*	Last Friday of June each year		

*Please note that you must have successfully completed all your coursework, and submitted the **Final Certification of Thesis** to be eligible to graduate.*

Appendix L: Ethical Clearance Application Procedure

Strathmore University – Institutional Ethics Review Committee

The Strathmore University Institutional Ethics Review Committee (SU-IERC) is accredited by the National Commission for Science, Technology and Innovation (NACOSTI) to conduct ethics reviews of research protocols in the human and behavioral sciences. The main SU-IERC is responsible for reviewing proposals that have major ethical and scientific risks, such as clinical trials.

However, a subcommittee of the IERC is also involved in reviewing proposals with minimal ethical risks and also deal with ethical approvals for undergraduate, masters and PhD research proposals from within and outside Strathmore University. Scientific approval of undergraduate, masters and PhDs is decentralised to the schools and institutes.

Some of the statutory mandates informing the IERC Strathmore University include:

- National Science and Technology Act (Cap 250), 1979;
- ICH Good Clinical Practices Guidelines;
- Research Clearance in Kenya (NCST No. 15, 1984);
- International Guiding Principles for Biomedical Research Involving Animals;
- Council for International Organizations for Medical Sciences (CIOMS), 1985;
- Belmont Report; and other internationally accepted best practices in the conduct of clinical research in human subjects.

To submit a protocol to the SU-IERC, visit:
https://strathmoreuniversity.rhinno.net/login

Protocol Submission Guidelines

Before submitting a protocol or paying the ethics review fee, it is important to know which category of researcher you fall in. Download and read the forms below (See Guidelines and IRB Fee and Bank Details).

- Checklist for protocol submission
- SU-IERC Fees

About RHInnO Ethics

SU-IERC uses RHInnO Ethics, an online Protocol Management System. RHInnO Ethics offers cloud-based management of the research ethics review process. Its basis is facilitating the management from protocol submission to review to approval to follow-up. Researchers will find it easy to upload their files, receive immediate feedback that submission is complete, and can follow the progress of the review. A researcher will be required to create an account by completing the fields as well as attaching necessary research documents.

Features of RHInnO Ethics 2.1

The Council on Health Research for Development (COHRED), the developer of the RHInnO Ethics platform, has introduced RHInnO Ethics 2.1. The new version is a major upgrade of the former platform (RHInnO Ethics 1.2). It offers an improved experience, as well as new functionalities. Many of these were developed based on feedback from the growing user network.

RHInnO Ethics is an ideal, cloud-based software service that enables effective and efficient management of REC's information and administration through e-submission, e-tracking and e-reviews of protocols. This strengthens communication between researchers, administrators, and reviewers.

Furthermore, RHInnO Ethics 2.1 is offering more than that. It is more user friendly, with multiple interfaces redesigned to deliver the best experience for reviewers and applicants. It has new functionalities that will improve quality, speed up multi-centre reviews, and add to the ongoing learning of RECs.

Similarly, selected workflows have been redesigned to allow for increased efficiency throughout the application life cycle. The most loved features of version 1.2 have been maintained to ensure, amongst other things, automated saving, low bandwidth usage and secure data storage and backup.

Contact and Support

For any enquiries, please contact:

Strathmore University Institutional Ethics Review Committee,
P.O Box 59857-00200,Nairobi-Kenya.
Tel: +254 (0) 703 034158
Email: ethicsreview@strathmore.edu
Madaraka Estate, Ole Sangale Road