

**THE NELSON MANDELA
AFRICAN INSTITUTION OF SCIENCE AND TECHNOLOGY
(NM – AIST)**



REGULATIONS FOR DEGREE PROGRAMMES



VISION

To become a world-class institution dedicated to the pursuit and promotion of excellence in Science, Engineering, Technology and Innovation (SETI), and their applications for economic growth and sustainable development.

“The NM-AIST training curricula incorporate strong innovation and entrepreneurship features, and strong academia-industry relations are part of this institution’s development agenda. The institution’s curricula also seek to accommodate, enable, stimulate, catalyze and harness the innovativeness and entrepreneurial qualities inherent in the young generation

MISSION

To deliver and promote high quality and internationally competitive teaching and learning, research and innovation, and public service in Science, Engineering and Technology leveraging on entrepreneurship for enhanced value addition to people and natural resources, with a view to stimulating, catalyzing and promoting economic growth and sustainable development in Tanzania and Sub-Saharan Africa.

ACRONYMS

BioE	Bioengineering
BuAM	Business Administration and Management
BuSH	Business Studies and Humanities
CAMARTEC	Centre for Agricultural Mechanization and Rural Technology
CIDM	Civil Infrastructure Development and Management
CoCSE	Computational and Communication Science and Engineering
CoSE	Communication Science and Engineering
EaSEn	Earth Sciences and Engineering
EE	External Examiner
EnSE	Environmental Science and Engineering
ETE	Electronics and Telecommunication and Engineering
FBNS	Food Biotechnology and Nutritional Sciences
GeME	Geo-Sciences and Mining Engineering
GHEM	Global Health and Biomedical Sciences
GPA	Grade Point Average
HuGL	Humanities, Governance and Leadership
HWRE	Hydrology and Water Resources Engineering
ICSE	Information and Communication Science and Engineering
IE	Internal Examiner
ITDM	Information Technology Development and Management
ITME	Innovation and Technology Management and Entrepreneurship
ITSMD	Information Technology Systems Development and Management
LiSBE	Life Sciences and Bioengineering
LiSe	Life Sciences
MaSE	Materials Science and Engineering
MCSE	Mathematical and Computational Science and Engineering
MESE	Materials and Energy Science and Engineering
MEWES	Materials, Energy, Water and Environmental Sciences
NEPAD	New Partnership for Africa's Development
NM-AIST	Nelson Mandela African Institution of Science and Technology
PDF	Portable Document Format
PGSC	Petroleum and Gas Science and Engineering
PhD	Doctor of Philosophy
SABE	Sustainable Agriculture and Biodiversity Conservation
SESE	Sustainable Energy Science and Engineering
SET	Science, Engineering Technology
SSA	Sub-Saharan Africa
STLC	Senate Teaching and Learning Committee
TCU	Tanzania Commission for Universities
WESE	Water and Environmental Science and Engineering

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STATEMENT BY THE VICE CHANCELLOR

The Regulations for Master's and PhD Programmes at NM-AIST have been developed in order to guide students and supervisors on the roles of various parties in the process of preparation of students' research proposals, implementation of the research projects, preparation and submission of dissertations/theses. The Guidelines are intended to ensure that the students' research activities are well streamlined so that good quality results are obtained and high quality dissertations/theses are produced commensurate with the NM-AIST's desire of building a world-class research intensive university. The development of this document is yet another clear indication of the commitment that NM-AIST puts on Research and Innovation in line with the Vision and Mission of the institution. Being an aspiring Transformative Research-One Institution, the Guidelines are an invaluable tool for supervisors, students, researchers and the University Management in enhancing the execution of research activities emphasizing on quality of the process and outcomes.

In developing these guidelines, various documents related to guidelines for administration of students' research and preparation of dissertations/theses in various universities within and outside the country were consulted. Therefore, it is my hope that supervisors, students and users of the guidelines will find this document useful for and in guiding the process from research proposal development through to submission of dissertations/thesis for examination. The Management of this institution expects that strict adherence to the Guidelines and other related administrative instruments, such as the regulations stipulated in the Prospectus, will result in the quality of research outputs, dissertations/theses and publications emanating therefrom meeting the expected quality from an institution developing into a world-class research-intensive university.

These guidelines, which include a revision of the 2013 Guidelines will be reviewed from time to time as need arises and to enable the Institution to keep pace with the fast changing academic, scientific and technological developments globally.

On behalf of the Management of the NM-AIST, I wish to thank all those who participated in one way or the other in the preparation of this document. The commitment and efforts of the taskforce that spearheaded the review of the 2013 Guidelines and preparation of these guidelines as well as the staff in the Office Deputy Vice Chancellor for Academic, Research and Innovation are highly acknowledged for making these guidelines a reality.

Prof. Burton L.M. Mwamila
Vice Chancellor

October, 2015

REGULATIONS FOR DEGREE PROGRAMMES

1.1 Master's Degree Programmes

1.1 Structure of Programmes

- (a) Master's programmes by coursework and dissertation have two components, namely, coursework and dissertation.
- (b) Students pursuing studies by coursework and dissertation must successfully complete not less than 120 credits of graded graduate coursework, including preparation of research proposal before proceeding to the research stage. Preparation of the research proposal is part of the coursework for students taking Master's by coursework and dissertation.
- (c) Master's students pursuing studies by research and thesis shall take common core courses offered to all NM-AIST students and/or additional courses as may be recommended by the supervisors, to improve their knowledge and enhance research performance. The courses may be taken flexibly during the duration of the programme but **MUST** be successfully completed before graduation.
- (d) Students pursuing studies by research and thesis are required to successfully defend a comprehensive research proposal before embarking on research stage. The research proposal shall be assessed as part of graduate seminar.
- (e) The credit system shall be used to gauge the workload involved in the programme, thus:
 - (i) One credit shall imply 10 hours of lectures, practicals, research, independent studies, seminars, tutorials or other assignments.
 - (ii) A minimum total of 180 credits are required for the award of a Master's degree.
 - (iii) The 180 credits will comprise an appropriate combination of lectures, practicals, research, independent studies, seminars, tutorials or assignment for the common, programme, specialty core courses, elective courses (depending on the interest of the student and supervisors' recommendation) and dissertation/thesis.
- (f) The Department offering a Master's degree programme shall specify core and compulsory courses as well as electives in the various fields of specialisation.
- (g) A candidate may be required to take certain courses that are pre-requisites for the Master's degree award if the candidate is found to have deficiency in the same, as the Department/School may establish. These will not be weighted for the final degree evaluation.
- (h) The Master's degree programmes for all the candidates shall be 24 months. A candidate shall be allowed to graduate in two years upon meeting all the degree requirements. Students will be allowed to extend studies to a maximum of 3 years, provided there are compelling reasons for the extension and proof of meeting the corresponding costs.

1.2 Registration

The following registration regulations shall be read together with the regulations in section 2.2 of this prospectus:

- (a) Registration for Master's by coursework and dissertation at NM-AIST shall be in two stages. Stage I Registration enables the candidate to attend coursework, while Stage II Registration will allow the candidate to embark on the research work.

- (b) A student pursuing Master's by research and thesis programme shall register for research proposal development and common core courses within two (2) weeks after enrollment at institution.
- (c) Students pursuing Master's by research and thesis shall embark on research after approvals of research proposals within six months of initial registration.
- (d) The minimum time for the Stage II Registration for coursework and dissertation students shall be 12 months.
- (e) Students registered for Master's by coursework and dissertation shall complete Stage II Registration within the first two (2) weeks of Semester 3 and immediately embark on research work.
- (f) A student registered for Master's by coursework and dissertation shall be assigned a supervisor appointed by Senate on the recommendation of the relevant Department/School before the end of Semester I.
- (g) A student registered for Master's by research and thesis shall be assigned a supervisor appointed by Senate on the recommendation of the relevant Department and School Board, within one month after registration.
- (h) The supervisor shall guide the candidate in formulating the research proposal and undertaking research and shall ensure that the candidate submits a progress report (using special form in Appendix V) once every three months to the Senate through his/her respective Department and School.
- (i) A candidate who fails to complete his/her dissertation/thesis within two years may apply for extension of studies to the Chair of Senate through his/her relevant Departments and School Board. The maximum duration of the registration period (including extensions) shall not exceed 3 years. However, extension will be given at intervals of six months period and will not exceed the specified time for any degree programme. In addition, only the first extension will be given free of tuition fee while subsequent extensions will be charged as stipulated in the prevailing NM-AIST fee structure.
- (j) Failure of a candidate to complete the Master's programme within three years of study without any compelling reason shall result in discontinuation from studies.

1.3 Monitoring of Progress of Students Registered for Master's by Coursework and Dissertation

- (a) Candidates shall undertake coursework examinations pursuant to assessment procedures approved by the relevant Department/School.
- (b) The coursework portion for students registered for Master's by coursework and dissertation shall consist of at least 120 credits of courses as specified for the respective programme.
- (c) A candidate pursuing Master's by coursework and dissertation must successfully complete the coursework and defend his/her research proposal before being allowed to proceed with the research work.
- (d) A minimum of 29 credits to be taken by the students registered for Master's by research and thesis shall be from common core courses.
- (e) The Departments/Schools shall ensure that all tests, assignments, term papers and other forms of assessment made during the semester are marked before the end of examination preparation week.

- (f) Coursework answer papers shall be returned to candidates after being marked by instructors.
- (g) The instructor teaching during the semester is obliged to give to each candidate his/her aggregate coursework marks.
- (h) It shall be the obligation of the candidate to verify the accuracy of his/her coursework results.
- (i) Semester Examination shall be held soon upon completion of teaching. The weighting of a Semester Examination in determining the grade for the module shall be 60% while Continuous Assessment shall account for 40%. The form of continuous assessment shall be specified by respective instructors at the beginning of the course/module.
- (j) Examination grading system will be the same in all Departments/Schools and score grades will be taken into account when calculating GPA.
- (k) Computation of GPA for the coursework and dissertation students, shall be done at the end of each Semester whereas, the computation of GPA for research and thesis students shall be done at the end of study programme using the scores as indicated below:

Percentage range	75-100%	70-74.9%	60-69.90%	50-59.9%	0-49.9%
Letter Grade	A	B+	B	C	D
Points	5	4	3	2	1
Possible Compliment	Excellent	Very Good	Good	Unsatisfactory	Failure

The total weighted Grade Points (Grade points multiplied by the credits of the examined subject) of all subjects will be divided by the total credits to determine the GPA. As a matter of principle, the final GPA shall be truncated down to one decimal place.

- (l) Master's degrees shall be classified into the following awards using the five point grading system as follows:

Class	Grade	Grade point Average (GPA) Range
Distinction	A	4.5 – 5.0
Merit	B+	4.0 – 4.4
Pass	B	3.0 – 3.9

- (m) The pass mark for all modules shall be a B grade of 60%.
- (n) There shall be no external examiners for coursework.
- (o) A candidate pursuing Master's by coursework and dissertation who fails in one or more examinations, but whose average GPA is at least 3.0 shall be allowed to do supplementary examination(s) in the failed module(s).
- (p) A candidate pursuing Master's by coursework and dissertation whose overall Grade Point Average (GPA) is below a B grade (i.e. GPA below 3.0) shall be discontinued from studies. The cumulative GPA at the end of academic year shall determine the fate of the candidate.
- (q) A candidate pursuing Master's by research and thesis who fails in one or more examinations shall be allowed to do supplementary examination(s) in the failed module(s).
- (r) The maximum grade for supplementary examination shall be a B of 60%.

- (s) A candidate sitting for supplementary examination(s) shall be assessed on the basis of his or her supplementary examination(s) results only but his or her course work scores shall not be taken into account in the assessment.
- (t) A candidate pursuing Master's by coursework and dissertation that fails in any supplementary examination and has a GPA of at least 3.0 may be allowed to repeat the failed module(s) within the first year of research and may seek Senate's permission to proceed with research but shall not be allowed to graduate without passing the failed course.
- (u) A candidate pursuing Master's by research and thesis who fails in any supplementary examination may be allowed to repeat the failed module(s) within the registration period but shall not be allowed to graduate without passing the failed module(s).
- (v) Schools/Departments will administer Semester I and Semester II supplementary examinations within a period of two months after the Senate's approval of the Semester II examination results.
- (w) All cases of alleged examination irregularities shall be referred to the Senate Teaching and Learning Committee (STLC). The Committee shall have powers of summoning students and members of staff as it deems necessary. The Committee shall submit a report of its findings and recommendations to Senate for approval, prior to any action. Any candidate who shall be found to have cheated in any part of the examination shall be discontinued from studies and shall never be considered for admission.
- (x) A candidate discontinued from studies on academic grounds may apply for re-admission into the same programme upon producing evidence of overcoming the academic deficiencies at least one year after the date of discontinuation from studies.
- (y) All coursework results for students pursuing Master's by coursework and dissertation shall be approved by Senate before candidates are allowed to proceed with the research phase. Coursework results shall be accompanied by research proposal examination results approved by the School Board.

1.4 Regulations for Graduate Seminars for Coursework and Dissertation Students

- (a) Each student must register and undertake a Graduate Seminar module which will be assessed and credited. The Graduate Seminar modules for coursework and dissertation shall be done in all 4 semesters as indicated in course mapping.
- (b) A candidate who fails a Graduate Seminar Module must repeat the failed module within the registration period and shall not be allowed to graduate without passing the failed module.
- (c) The scores in the results for each Graduate Seminar of candidates pursuing Master's by coursework and dissertation shall be used in computation of GPAs in the respective semester.
- (d) The scores for each Graduate Seminar of candidates pursuing Master's by research and thesis shall accumulated and used in computation of GPA at the end of academic year.
- (e) Each Graduate Seminar presentation must be approximately 30 minutes (including question and answer session) in order to be counted as 1 presentation.

- (f) Assessment of a Graduate Seminar presentation shall have the following components and weights:

S/N	Item	Proportion (%)
1.	Introduction of the subject/topic	10
2.	Thoroughness and understanding the subject matter	20
3.	Organization of the presentation, including fluency and flow	30
4.	Conclusions	10
5.	Responsiveness to questions and accuracy of the responses	20
6.	Time management	10
Total		100

1.5 Monitoring of Progress of Students Registered for Master's by Research and Thesis

Monitoring of the progress and performance of the students pursuing Master's by Research and Thesis shall involve presentation of a minimum of six (6) graduate seminars that will be assessed and credited before submission of the thesis for examination. Finally, candidates will be required to appear for defence of their theses, after having published at least one review paper and one research work-based paper accepted for publication or published in a peer-reviewed journal listed in the Science Citation Index or Science Citation Index Expanded.

- (a) Each student registered for Master's by Research and Thesis shall be assigned a supervisor by the Department/School/Institute within a period of one month after registration and the same shall be subsequently approved by the of Senate.
- (b) The supervisor shall guide the student in his/her research proposal development and research, and submission of quarterly progress reports using special form (Appendix V) to the Head of Department, which shall be discussed and endorsed by the School Board before transmission to the Senate through the Senate, Teaching and Learning Committee (STLC).
- (c) The duration of the Master's by research and thesis programme shall be 24 months with a possibility of extension not exceeding 12 months. The first six months shall be used for preparation, presentation and approval of the research proposal. The remaining 18 months shall be for research, seminar presentations, thesis writing and examination. Progress in the first 6 months shall be monitored through presentation of graduate seminars as the Department/School may determine. However, progress shall be reported to the Senate on a quarterly basis. By the end of 6 months, the report of the school Board to the Senate shall include a recommendation regarding the suitability of the candidate to successfully pursue a Master's degree by Research and Thesis or not.
- (d) Candidates pursuing Master's by research and thesis must successfully defend his/her research proposal before being allowed to proceed with the research work.
- (e) Candidates pursuing Master's by Research and Thesis who fail the dissertation may be recommended for award of Postgraduate Diploma but shall be required to have passed all common core courses and produce evidence of at least **one** review paper which the candidate must appear as first author.
- (f) In order to impart competence in working with scientific methods, and presentation of scholarly work, candidates will be required to present a minimum of six graduate seminars over the period of two years staggered as follows:
- (i) The first seminar shall be presented within three months after registration and it is intended to gauge the student's orientation on the subject matter of intended discipline of specialization.

- (ii) The second seminar shall be presented within 6 months after registration and shall be intended for approval of the student's research proposal. The purpose of this seminar will be to ascertain the student's competence in research methodology, analytical skills and applicable instruments.
- (iii) The remaining four seminars will be presented on a quarterly basis over the remaining period of study, to ascertain the candidate's progress in research work and mastery of the discipline of study.
- (iv) At the end of the study period, the student shall be required to have published a comprehensive review paper in the area of his/her specialization in a peer-reviewed journal listed in the Science Citation Index or Science Citation Index Expanded. The review paper is intended to ensure that the student acquires a good understanding of the theory and concepts in his area of specialization. Once published or accepted for publication, the paper shall have the same weight as a graduate seminar but shall not be counted as one of the paper required for the degree award.
- (v) The last (6th seminar) shall also be used by the Department/School to decide if the thesis prepared by the candidate is ready for examination or further improvement has to be made before the same is submitted for examination.
- (g) The student's supervisor, after consultation with the Head of Department or Seminars Coordinator in the Department shall arrange for the seminar presentation. The Head of Department, in consultation with the Dean of the School shall appoint a panel of three assessors for the seminar, two of whom shall be discussants for the seminar.
- (h) Assessment of a Graduate Seminar presentation shall involve the following aspects presented in 6.1.4 (f).
- (i) At the end of each seminar, the assessors shall submit an assessment report about the seminar to the Head of Department and which shall contain scores and grades attained by the student for transmission to the Dean of the School and subsequent approval by the School Board.
- (j) Results for each seminar shall be recorded and the cumulative average of the six seminars shall be used for the computation of GPA at the end of the programme.
- (k) Candidates will be required to appear for oral defense of their theses after evidence that at least one paper has been published or accepted for publication in a scientific journal approved by the Senate.
- (l) An oral defence of the thesis can only be done if the examinations reports from both the internal and external examiners are positive. Submission of a Master's thesis for examination shall be made after the respective department/school has satisfied itself with the quality and content of the same.

1.6 Regulations for Dissertation/Thesis

Before commencing research for thesis/dissertation, a candidate shall submit a comprehensive research proposal for approval by the Senate upon recommendation of the Board of the School/Institute in which the student is based and the STLC. Before the proposal is approved, the candidate shall present it in a Graduate Seminar, which shall be assessed and graded as stipulated in Regulations 6.1.5(e) - 6.1.5(g) above. The seminar shall be open to staff and students within and outside the Department/School. Where Departments are small, two or more departments can organise the graduate seminars jointly. The Regulations regarding presentation and assessment of graduate seminars shall be as follows:

- (a) A student registered for Master's by coursework and dissertation shall submit for final approval a comprehensive research proposal before commencing research work. Each candidate shall make presentation in defense of the proposal.
- (b) A student registered for Master's by research and thesis shall present a comprehensive research proposal for approval by the Senate upon recommendation by the School Board and STLC within six months of the registration.
- (c) The Head of Department shall appoint a panel of three assessors, two of whom shall serve as discussants and the other one shall be the panel Chairperson. At the end of the presentation, the assessors shall award a score and grade for the seminar and submit a report to the Head of Department. Upon, approve of the proposal, based on the report of the assessment panel, the Department/School may recommend revision or even reject the proposal on the following grounds:
 - (i) The proposal is unsuitable in its content.
 - (ii) The conditions under which the candidate proposes to work are professionally and ethically not possible.
 - (iii) The proposed research is a repetition of another work that is already known or published and does not add any scholarly value to the discipline or field of specialization.
 - (iv) Proposed research objectives cannot be achieved within the prescribed period for completion of the respective Master's programme.
 - (v) The proposed research budget is unrealistic and not commensurate with the expected research outputs.
 - (vi) The Head of Department shall submit the results of the seminar presentation to the Dean of School for consideration and endorsement by School Board and STLC and onward transmission to the Senate for approval.
- (d) Candidates scoring an average of less than a B grade shall be regarded to have failed the seminar and shall be required to improve the proposal and present the same for a maximum of two additional times. Candidates failing to attain a score of B after three presentations shall be discontinued from studies.
- (e) Candidates that fail to submit an approved research proposal within the specified period for justifiable reasons may apply for extension of registration to Senate through their relevant School and the Senate Teaching and Learning Committee. The maximum duration for proposal submission will be 12 months, beyond this period the candidate shall be discontinued from studies.
- (f) Failure to submit a research proposal within the prescribed period without compelling reasons shall lead to discontinuation from studies.
- (g) Candidates shall follow approved Guidelines for Preparation and Submission of Students Research Proposals and Dissertations/Theses, and Conduct of Students' Research.

1.7 Submission of Dissertation/Thesis

- (a) Candidates registered for Master's degree programmes who qualify to continue with the research part shall be required to submit a dissertation or thesis in fulfillment of the Master's degree requirements before the expiry of the registration period.
- (b) Every dissertation/thesis submitted for the Master's degree must be accompanied by a declaration by the candidate to the satisfaction of Senate stating that it is the candidate's own original work and that it has neither been submitted nor is being concurrently

submitted in any other institution. The dissertation/thesis must be submitted in four (4) copies.

- (c) Candidates pursuing Master's by Coursework and Dissertation shall be required to submit a dissertation in the form of a monograph before the expiry of the registration period, in partial fulfilment of the requirements for the award of the Master's degree. In addition to the dissertation, such a candidate shall be required to produce evidence of at least one research-based paper accepted for publication or published in a peer-reviewed journal listed in the Science Citation Index (SCI) or Science Citation Index Expanded (SCIE). The candidate must appear as the first author in the paper. Evidence in the form of published paper(s) or letter(s) of acceptance of the paper(s) from the editor(s) of the respective journal(s) shall be attached to the Intention to Submit Dissertation/Thesis Form.
- (d) Candidates pursuing Master's by Coursework and Dissertation who fail to fulfill the requirements for the award of the Master's degree may be recommended for the award of a Postgraduate Diploma if one has passed the coursework and accumulated at least 120 credits but failed to continue with the research part for various reasons such as sickness or lack of sponsorship.
- (e) Candidates pursuing Master's by Research and Thesis shall be required to submit a thesis in the form of a monograph before the expiry of the registration period in order to qualify for the award of the Master's degree. In addition to the thesis, such a candidate shall be required to produce evidence of at least one review paper accepted for publication or published in a peer-reviewed journal listed in the Science Citation Index or Science Citation Index Expanded, and at least one research-based paper accepted for publication or published in a peer-reviewed journal listed in the Science Citation Index or Science Citation Index Expanded. The candidate must appear as the first author in the papers. Evidence in the form of manuscripts or published paper(s) or letter(s) of acceptance of the paper(s) from the editor(s) of the respective journal(s) shall be attached to the Intention to Submit Dissertation/Thesis Form.
- (f) At least THREE months before submitting a dissertation or thesis, the candidate shall, through her/his Supervisor, Head of Department and Dean of School give notice in writing to the Deputy Vice Chancellor for Academic, Research and Innovation (DVC-ARI) indicating his/her intention to submit the thesis/dissertation by filling in the "Intention to Submit Dissertation/Thesis Form" (Appendix V). A copy of the accepted/published paper shall be provided alongside the request for intention to submit the dissertation/thesis for examination.
- (g) No examination arrangements will be made unless a candidate has given notice of intention to submit his/her dissertation/thesis and evidence of fulfilling the minimum requirements for a degree award as stipulated in Regulations 6.1.7(c) and 6.1.7(e).
- (h) Candidates shall not submit their dissertations or theses before their main supervisors have certified in writing that the thesis/dissertation is ready for examination.
- (i) If part of the student's research work was undertaken in collaboration with other researchers and/or students, the type of collaboration involved shall be clearly explained by specifying the parts of the dissertation/thesis that contain results from collaborator(s) and what the role of the student in the collaboration was.
- (j) A declaration by the candidate to the Senate stating that the dissertation/thesis submitted is the candidate's own original work done within the period of registration under the guidance of the supervisor(s) and that it has neither been submitted nor is being concurrently submitted in any other Institution, shall accompany every dissertation/thesis being submitted for examination for the Master's degree award [also see 6.1.7 (b)].

- (h) A letter from the student's main supervisor shall accompany the submitted dissertation/thesis. The letter should indicate the particular contribution of the student to each paper in the case of multi-authored papers. It shall also indicate that the submitted articles were not and will not be used as parts of other dissertations/theses in the published papers format in other institution.
- (i) The Head of the Department in consultation with the Dean of School shall recommend for the dissertation/thesis including the curriculum vitae (CV) of the proposed External Examiners.
- (j) The Head of Department/Dean of School shall inform the candidate in writing regarding the examination arrangements for defense of dissertation/thesis at least two weeks before the examination.
- (k) A dissertation/thesis submitted for the award of a Master's degree of the Nelson Mandela African Institution of Science and Technology must be satisfactory as regards the format and literary presentation as described in the in the Guidelines for Preparation and Submission of Students Research Proposals and Dissertations/Theses, and Conduct of Students' Research.
- (l) Published papers and submitted manuscripts shall be included in the dissertation/thesis in the manner stipulated in the Guidelines.
- (m) The dissertation/thesis shall contain a statement of copyright by the author as follows:-

“This dissertation/thesis is copyright material protected under the Berne Convention, the Copyright Act 1999 and other International and National enactments, in that behalf, on intellectual property. It may not be reproduced by any means, in full or in part, except for short extracts in fair dealings, for research or private study, critical scholarly review or discourse with an acknowledgement, without the written permission of the DVC-ARI, on behalf of both the author and the NM-AIST.”
- (n) All dissertations/theses submitted for examination should be tested for plagiarism before they are transmitted to the examiners. The maximum acceptable level of plagiarism at NM-AIST is 20%. The verification of the level of plagiarism shall be made by the School hosting the student and further be confirmed by the Head of Academic Department or Quality Assurance Office under Deputy Vice Chancellor's for Academic, Research and Innovation Office.

1.8 Dissertation/Thesis Examination and Degree Award

1.8.1 Examination of Dissertation/Thesis

The examination of the dissertation/thesis work, which includes an oral presentation, shall be as follows:

- (a) Candidates shall be examined to ascertain that:
 - (i) The dissertation/thesis presented is the original work of the candidate.
 - (ii) The broader subject area in which the study is based is fully grasped by the candidate.
 - (iii) The weaknesses in the dissertation/thesis (if any) can be adequately clarified by the candidate.
- (b) Each dissertation/thesis submitted shall be examined by at least two senior academicians or specialists in the subject or field of specialization approved by the Senate upon the recommendations of relevant the School Board and STLCL.
- (c) At least one of the examiners must be external to the University (External Examiner). The Internal Examiner shall be appointed from amongst competent members of NM-AIST staff that did not supervise the candidate whose dissertation/thesis is being examined.
- (d) The External Examiner shall be required to acknowledge receipt of the dissertation/thesis and to submit his/her examination report about the dissertation/thesis within a maximum period of two months from the date of its receipt. If the report is not received within two months, a written reminder with a maximum extension of two weeks shall be served to the examiner. In absence of response after such a reminder, a new External Examiner shall be appointed. Mailing time and other constraints have to be considered when engaging the examiners and expected date of submission of examination report.
- (e) The Internal Examiner shall be required to submit his/her examination report about the dissertation/thesis within a maximum period of one month from the date of its receipt. If the report is not received within one month, a written reminder with a maximum extension of two weeks shall be served to the examiner. In absence of response after such a reminder, the case shall be reported to the DVC-ARI and the Internal Examiner shall be required to explain the reasons for delayed examination. The DVC-ARI shall examine the case and take appropriate steps to address the situation after consultation with the Dean or the Vice Chancellor as the case may be.
- (f) Each examiner shall summarize his/her assessment of the dissertation/thesis with a definite overall grade ranging from A to D (see Section 6.1.3 (I) using the assessment form presented in Appendix VI. The report about the dissertation/thesis with a definite overall recommendation for one of the following actions:
 - (i) The degree be awarded subject to typographical corrections and/or minor revisions of dissertation/thesis.
 - (ii) The degree not to be awarded but the candidate be allowed to revise and resubmit his/her dissertation/thesis for re-examination within 3 months.
 - (iii) The degree not be awarded but the candidate be allowed to undertake further research, re-write and resubmit his/her dissertation/thesis for re-examination after a further period of 6-12 months.
 - (iv) The dissertation/thesis be rejected outright.

- (g) Oral presentation of the Master's candidate's dissertation/thesis shall contribute 15% of the final grade of the dissertation.
- (h) Observers are allowed to attend the oral presentation but should not ask questions.
- (i) If the grades provided by the internal and external examiners differ, an average of the two shall be computed. The average grade for the dissertation/thesis must be at least B.
- (j) A dissertation/thesis shall be re-written and re-examined only once.
- (k) A dissertation/thesis recommended for re-writing must be re-submitted within the prescribed period. A student failing to re-submit the dissertation/thesis within this prescribed period without compelling reasons shall be discontinued from studies.
- (l) Where the examiners are not in agreement in their overall recommendations, the Senate Teaching and Learning Committee shall examine the case and recommend one of the following actions:-
 - (i) The recommendation of the External Examiner be adopted if the Committee is satisfied that the Examiner's recommendation reflects a fair assessment of the dissertation/thesis.
 - (ii) An additional independent External Examiner be appointed.
 - (iii) The relevant School be directed to form a panel of experts available within or outside NM-AIST to examine the candidate orally and prepare a report with a definite overall recommendation on appropriate action to be taken about the dissertation/thesis to the Senate through the Senate Teaching and Learning Committee.
- (m) Where the External Examiner is unable to submit examination report within two months for dissertations/theses resubmitted for re-examination and two weeks extension after a reminder, the DVC-ARI shall consider the situation and recommend one of the following:
 - (i) The relevant School be directed to form a panel of experts available within or outside NM-AIST to examine the candidates orally and satisfy itself that the comments submitted by the External Examiner in his /her first report have been addressed and that the candidate has met the requirements for the award of the degree.
 - (ii) Another expert in the field be appointed to examine the re-written dissertation/thesis.
- (n) Work rejected by examiners after re-submission shall not be accepted for re-examination and the candidate shall be deemed to have failed.
- (o) Failure of a candidate to re-submit a corrected dissertation/thesis accompanied by an error-free certificate within two months after being allowed to incorporate corrections shall result to discontinuation from studies unless there are compelling reasons brought to the attention of the Chairperson of the Senate before expiry of this period.
- (p) Before properly binding the candidate shall submit a spiral bound dissertation/thesis through the School to the Secretary of the Senate Teaching Learning Committee for checking and certifying compliance to the standards stipulated in the guidelines for preparation of dissertations/theses. The Secretary of Senate Teaching and Learning Committee will need at least five working days to provide feedback on the submissions and shall recommend to the Chairman of Senate Teaching and Learning Committee if an error-free status of the dissertation/thesis has been achieved. If an error free status is not achieved, the spiral bound dissertation shall be returned back to the candidate through the respective School.

- (q) An error-free certification will be issued by the Chairman of Senate Teaching and Learning Committee upon submission of the final version of the dissertation/thesis (both in hard and soft forms) through the Supervisor, Head of Department and Dean of School. If any deficiency in the quality of the dissertation/thesis is observed by the Chairperson of STLC, the dissertation/thesis shall be returned to the candidate through the respective School for addressing the deficiencies.
- (r) The final decision on the award of the Master's degree shall be made by Senate on recommendation of the Senate Teaching and Learning Committee and submission of soft and hard copies of the dissertation/thesis for verification by Senate.
- (s) The Senate may make any recommendation for improvement of the dissertation/thesis submitted to it by the Senate Teaching and Learning Committee and the same shall have to be addressed before the dissertation/thesis is approved for the award of the degree.
- (t) Candidates that are recommended for the award of Master's degrees by Senate shall be presented for graduation at next graduation ceremony.
- (u) The deadline for submission of error-free dissertations/theses for graduation shall be at least two weeks before the last Senate meeting preceding the graduation ceremony. Candidates failing to meet this deadline shall be considered not ready for graduation.
- (v) The Senate is the highest decision-making body on all academic matters at the institution. A candidate may appeal to the Senate against decisions regarding the award of a Master's degree if there are sufficient grounds for the same, in which case, the Senate may cause a re-examination of the case and/or review its decision. After the review, any decision made by the Senate regarding the award of degree to a candidate shall be final.
- (w) The candidate shall be required to submit a corrected electronic version of the dissertation/thesis in a portable document format (PDF) plus four hardbound copies of the same two weeks before the last Senate meeting preceding the graduation ceremony. Upon submission, an Error Free Certificate will be signed by the supervisor, Head of Department, the Dean of School and forwarded to the Chairperson of Senate Teaching and Learning Committee. Failure to submit the corrected copies within two months without compelling reasons will result in discontinuation from studies.
- (x) The electronic and the properly bound copies of the dissertation/thesis will be deposited or distributed as follows:-
 - (a) University Library
 - (b) Departments
 - (c) Supervisor
 - (d) Student

1.8.2 Award of Degree

- (a) The final decision on the award of the Master's degree shall be made by the Senate on the recommendation of the Senate Teaching and Learning Committee.
- (b) Candidates may appeal to Senate against any decision regarding award of a degree as stipulated in Regulation 6.1.8.2(w).

2.0 PhD Degree Programmes

2.1 Structure of Programmes

- (a) PhD programmes by coursework and dissertation have two components, namely, coursework and dissertation.
- (b) PhD students pursuing studies by research and thesis shall take common core courses offered to all NM-AIST students and/or additional courses as may be recommended by the supervisors, to improve their knowledge and enhance their research performance. The courses may be taken flexibly during the duration of the study programme but **MUST** be successfully completed before graduation.
- (c) Students pursuing PhD studies by coursework and dissertation must successfully complete not less than 160 credits of graded graduate coursework before proceeding to the research stage.
- (d) The credit system shall be used to gauge the workload involved in a programme, thus:
 - (i) One credit of coursework shall imply 10 hours of lectures, practicals, research and independent studies, seminars and tutorials or assignments.
 - (ii) A minimum total of 540 credits are required for the award of a PhD degree.
 - (iii) The 540 credits will comprise an appropriate combination of lectures, practical, research, independent studies, seminars, tutorials or assignments for the common, programme, specialty core courses, elective courses (depending on the interest of the student and supervisors' recommendation) and dissertation/thesis.
- (e) A Department offering a PhD programme shall specify the core and compulsory courses as well as electives in the various fields of specialisations.
- (f) A student may be required to take certain courses to bridge possible knowledge gaps in the respective PhD work as may be recommended by the supervisors but such courses will not be considered for the final degree evaluation.
- (g) The duration of PhD programmes shall be 36 months and a student will be allowed to graduate in three years upon fulfilling all the degree requirements. A student may be allowed to extend studies to a maximum of 60 months, provided there are compelling reasons for the extension and proof of meeting the corresponding costs.

2.2 Registration

The following registration regulations shall be considered together with the regulations in section 2.2 of the Prospectus:

- (a) Students shall be registered for PhD degree programmes upon meeting the minimum entry qualifications and payment all the prescribed fees.
- (b) Students shall be required to register at the beginning of the first year of their studies and renew their registration at the beginning of subsequent years upon paying the required fees.
- (c) Failure to renew registration shall automatic lead to discontinuation from studies.
- (d) Registration by coursework and dissertation at NM-AIST shall be in two stages. Stage I Registration enables the candidate to attend coursework, while Stage II Registration will enable the candidate to embark on the research work.

- (e) Students registered for PhD programmes by research and thesis shall register for the common core and other courses as may be recommended by the supervisors within two (2) weeks after enrollment to institution.
- (f) The minimum time for Stage II Registration for coursework and dissertation shall be 24 months for PhD students.
- (g) Each student pursuing PhD by coursework and dissertation shall be assigned at least two supervisors appointed by Senate on the recommendation of the relevant Department/School and STLC before the end of Semester I.
- (h) Each student pursuing PhD by research and thesis shall be assigned at least two supervisors appointed by Senate on the recommendation of the relevant Department/School and STLC within one month after registration at the institution.
- (i) The supervisor(s) shall guide the candidate in formulating the research proposal and undertaking research, and shall ensure that the candidate submits a progress report once every three months to the Senate through the Department/School Boards and Senate Teaching and Learning Committee for consideration by the Senate. In addition, Departments/Schools shall conduct periodic reviews of candidates to assess the students' academic progress.
- (j) Students pursuing PhD by coursework and dissertation shall be required to submit a comprehensive research proposal to Department/School for approval within the Stage I Registration period.
- (k) Students pursuing PhD by research and thesis shall be required to submit a comprehensive research proposal for approval by the Senate before commencement of the research work within six months from a date of registration at the institution. Presentation of a Graduate Seminar shall be part and parcel of approval procedure for the research proposal.
- (l) Failure to submit a research proposal within the prescribed period without compelling reasons shall lead to discontinuation from studies.
- (m) A student who fails to complete his/her dissertation/thesis within 36 months period may apply for extension to Senate through their relevant Departments/Schools. The maximum duration of the registration period (including extensions) shall not exceed 60 months. However, extension will be given at intervals of 12 months period and will not exceed the specified time for any degree programme. In addition, only the first extension will be given free of tuition fee. Subsequent extensions will be charged as stipulated in the prevailing NM-AIST fee structure. Failure of a candidate to complete the PhD degree programme within 60 months shall lead to discontinuation from studies unless there are compelling reasons for the same.

2.3 Monitoring of Progress of Students Registered for PhD by Coursework and Dissertations

- (a) Candidates shall undertake coursework examinations in accordance with assessment procedures approved by the Senate.
- (b) The coursework portion shall consist of a minimum of 160 credits as specified by each Department/School for students undertaking coursework and dissertation.
- (c) A minimum of 29 credits to be taken by students pursuing PhD studies by research and thesis shall be obtained from the common core courses.

- (d) Students pursuing PhD studies by coursework and dissertation must successfully complete the coursework and defend their research proposals before being allowed to proceed with the research work.
- (e) Students pursuing PhD studies by research and thesis must successfully defend their research proposal before being allowed to proceed with the research work.
- (f) The Department/School shall ensure that all tests, assignments, term papers and other forms of assessment made during the semester are marked before the end of examination preparation week.
- (g) The coursework answer papers shall be returned to candidates after being marked by instructors before commencement of Semester examinations.
- (h) The instructor teaching during the semester is obliged to give to each candidate his/her aggregate coursework marks.
- (i) It shall be the obligation of the candidate to verify the accuracy of his/her coursework results.
- (j) Final Examination shall be held soon upon completion of a teaching block. The weighting of the Final Examination in determining the grade for the module shall be 60% while Continuous Assessment shall account for 40%. The form of continuous assessment shall be specified by respective instructors at the beginning of the course/module.
- (k) The examination grading system will be the same in all Departments/Schools and the student's grade will be taken into account when calculating GPA.
- (l) The pass mark for all courses shall be a B grade. Candidates whose average pass in a course is below B grade and have failed in one or more courses in a semester shall be required to do supplementary examination in the failed courses provided the GPA is at least 3.0. The maximum grade from supplementary examination shall be a B.
- (m) A candidate sitting for supplementary examination(s) shall be assessed on the basis of his or her supplementary examination(s) results only and his or her course work scores shall not be taken into account in his/her assessment.
- (n) A candidates whose overall GPA at the end of academic years is below a B grade (i.e. GPA below 3.0) shall be discontinued from studies. The Cumulative GPA at the end of an academic year shall determine the fate of a student.
- (o) A candidate who fails a supplementary examination but has a GPA of at least 3.0 may be allowed to repeat the failed module(s) within the first year of research and may seek Senate's permission to proceed with research but shall not be allowed to graduate without passing the coursework phase failed course.
- (p) Examination grading system will be the same in all Departments/Schools and score grade will be taken into account when calculating GPA.
- (q) Computation of GPA for students pursuing studies by coursework and dissertation, shall be done at the end of each Semester, whereas, the computation of GPA for research and thesis students shall be done at the end of study programme using the grade scores indicated below:

Percentage range	75-100%	70-74.9%	60-69.90%	50-59.9%	0-49.9%
Letter Grade	A	B+	B	C	D
Points	5	4	3	2	1
Possible compliment	Excellent	Very Good	Good	Unsatisfactory	Failure

The total weighted Grade Points (Grade points multiplied by the credits of the examined subject) of all subjects will be divided by the total credits to determine the GPA. As a matter of principle, the final GPA shall be truncated down to one decimal place.

- (r) The pass mark for all modules shall be a B grade of 60%.
- (s) PhD degrees awards shall not be classified as it is the case for other postgraduate degrees.
- (t) There shall be no external examiners for coursework.
- (u) All cases of alleged examination irregularities shall be referred to the Senate Teaching and Learning Committee. The Committee shall have powers of summoning students and members of staff as it deems necessary. The Committee shall submit a report of its findings and recommendations to Senate for consideration and decision on appropriate action. Any candidate who shall be proven to have cheated in any part of the examination shall be discontinued from studies.
- (v) A candidate discontinued from studies on academic grounds can apply for re-admission into the same programme upon providing evidence of having addressed the academic deficiencies at that led to his/her discontinuation at least one year after the date of discontinuation from studies.
- (w) All coursework results for students pursuing PhD by coursework and dissertation shall be approved by Senate and the candidate must pass the coursework before being allowed to proceed with the research phase. In addition to passing the coursework such candidate must have prepared and successfully defended a research proposal before approved by the School Board and the Senate.

2.4 Regulations for Graduate Seminars for PhD by Coursework and Dissertation

- (a) Each student must register and take Graduate Seminar modules which will be assessed and credited. The Graduate Seminar modules for students pursuing PhD studies by coursework and dissertation shall be distributed within 6 semesters as indicated in course mapping.
- (b) A candidate who fails the Graduate Seminar module shall repeat the failed module within registration period and shall not be allowed to graduate without passing the failed module.
- (c) The scores in the results attained in the Graduate Seminars for students pursuing PhD studies by coursework and dissertation shall be used in computation of GPAs of respective semester.
- (d) Each Graduate Seminar presentation must be approximately 30 minutes (including question and answer session) in order to be counted as one presentation.

- (e) Assessment of a Graduate Seminar presentation shall have the following components and weights:

S/N	Item	Proportion (%)
1	Introduction of the subject/topic	10
2	Thoroughness and understanding the subject matter	20
3	Organization of the presentation, including fluent and flow	30
4	Conclusion	10
5	Responsiveness to questions and accuracy of the responses	20
6	Time management	10
TOTAL		100

2.5 Monitoring of Progress for PhD by Research and Thesis

A PhD degree by Research and Thesis is designed to impart competence and enable the student to develop and acquire high level of competence and expertise in the analysis and application of scientific methods to undertake high quality research in his/her field of interest and to chart out his/her career path.

The registration arrangements and progression requirements for a student wishing to pursue PhD by Research and Thesis shall be as follows:

- (a) Students shall be registered for PhD degree programme by Research and Thesis mode after meeting the minimum entry qualifications as specified in the criteria for admission to PhD programmes at NM-AIST (Section 2).
- (b) A student shall be considered to have registered for the PhD programme after the registration procedures are completed and the prescribed fees have been paid.
- (c) A student wishing to pursue PhD by Research and Thesis shall be required to submit a two-page research concept note along with the application documents which shall be assessed by experts in the host Department/School for relevance and quality before admission is granted. The application instructions will provide for this aspect.
- (d) The duration of the registration period for PhD by Research and Thesis shall be 36 months. This period includes the six (6) months for research proposal development and approval.
- (e) Each registered PhD student shall be assigned at least two supervisors appointed by the Senate on the recommendation of the relevant School/Institute Board and Senate Teaching and Learning Committee within one month after registration for studies.
- (f) The supervisors shall guide the student through the entire duration of his/her studies and submission of quarterly progress reports to the Head of Department for onward transmission to the School/Institute Board, Senate Teaching and Learning Committee and Senate.
- (g) A PhD student that pursued Master's studies at NM-AIST and took common core courses may request for exemption to take the same courses that were taken at Master's level. However, such students shall be required to take other UQF level 10 (PhD level) courses to accumulate the 29 credits, which are required for students pursuing PhD studies by Research and Thesis.
- (h) Candidates that fail to submit an approved research proposal within the specified period for justifiable reasons may apply for extension of registration to Senate through their relevant School/Institutes and the Senate Teaching and Learning Committee. The

maximum duration for proposal submission will be 12 months; beyond this period the candidate shall be discontinued from studies.

- (i) PhD candidates pursuing PhD studies by Research and Thesis shall be required to present a minimum of ten (10) Graduate Seminars over the entire period of registration and before submission of the thesis for examination. The seminars shall be staggered in the manner shown below:
 - (i) The first seminar will be presented within three months after registration and it is intended to inform the faculty in the Department/School about the field or discipline that the students intends to pursue or specialize in basing on the concept note that was submitted during application for admission to the programme.
 - (ii) The second seminar shall be presented within six months after registration and it shall be intended for approval of the student's research proposal that will be registered by the Institution. The purpose of this seminar is to ascertain mastery by the student of the latest literature in the proposed field of specialization, clear definition of research questions and objectives, competence in research methods and/or techniques to be applied, outline of expected research outputs and demonstration of analytical skills by the candidate.
 - (iii) The next eight (8) Graduate Seminars shall be presented on quarterly basis over the remaining period of study, to ascertain the candidate's progress in research work. The results of these seminars will be part of the progress report of the student that will be presented to the Senate through the School Board and Senate Teaching and Learning Committee.
 - (iv) The final (10th) seminar will be presented just before the thesis is submitted for examination and it is intended to inform the faculty in the Department/School if the thesis is ready for examination. After this seminar, the Supervisor, Head of Department and Dean/Director of School/Institute will have to make recommendation to DVC-ARI that the thesis is ready for examination. This is an important quality assurance step in order to prevent sub-standard thesis being submitted for external examination.
- (j) By the end of the study period, a PhD candidate shall publish a review paper on the state-of-the-art knowledge in the field of his/her specialization in a peer-reviewed journal approved by the Senate and present a seminar on the same. The review will assist the student to focus his research work on the existing gaps and thereby make an original academic contribution to his/her field of specialization through his/her research.
- (k) It shall be the responsibility of the Supervisor(s) or Course Coordinator (as the case may be) to organize the Graduate Seminars at appropriate stages.
- (l) The Head of Department shall appoint a panel of three assessors of the seminar, two of which shall be discussants and the other one a chairperson. At the end of the seminar the assessors shall award a score and grade, and submit an assessment report to the Head of Department for onward transmission to the School Board. Where necessary, the Head of Department may request the Dean to facilitate appointment of the assessors from the same or other schools/Institutes within the Institution. Small departments may collaborate to organize the graduate seminars for PhD students in order to assemble a large audience of faculty that will provide critiques and valuable inputs for improving

students' research works.

- (m) The graduate seminars must be announced to the NM-AIST community for at least one week before the date of presentation. This is intended to inform the community about the ongoing academic and research activities and also entice more members of the community (staff and students) to attend in the seminars.

2.6 Regulations for Dissertation/Thesis

- (a) Award of a PhD degree by NM-AIST is based on submission, assessment and successful defense of a dissertation or thesis based on the results of an original research work conducted by the student under the guidance of his/her supervisors.
- (b) Under the guidance of supervisor(s), a PhD student shall formulate a research proposal. The research proposal will be part of the coursework for students pursuing studies by coursework and dissertation students.
- (c) A student pursuing PhD studies by Coursework and Dissertation shall submit for final approval a comprehensive research proposal before commencing research work. Each candidate shall make a presentation in defense of the proposal to a panel before the end of Semester II.
- (d) A student pursuing PhD studies by Research and Thesis shall present a comprehensive research proposal in the Department within six months of registration, which shall be assessed, and approved by the Senate. The seminar presentation shall be part and parcel of the approval procedure of research proposal.
- (e) Failure presentation of a research proposal within the prescribed period without compelling reasons shall lead to discontinuation from studies.
- (f) Candidates shall follow approved NM-AIST Guidelines for Writing Student Research Proposals, Conduct of Research, and Preparation and Submission of Dissertations/Theses.
- (g) The Head of Department in consultation with the Dean shall appoint a panel of three assessors, two of whom shall serve as discussants. At the end of the presentation, the assessors shall a score and grade the seminar and submit the results to the Head of Department. Based on the report of the assessment panel, the Department/School/Institute may approve the proposal or recommend revision or even rejection of the proposal on the following grounds:
 - (i) The proposal is unsuitable in its content.
 - (ii) The conditions under which the candidate proposes to work are professionally and ethically not possible or acceptable.
 - (iii) The proposed research is a repetition of another work that is already known or published and does not add any scholarly value to the discipline or field of specialization.
 - (iv) Proposed research objectives cannot be achieved within the prescribed period for completion of the respective Master's programme.
 - (v) The proposed research budget is unrealistic and not commensurate with the expected research outputs.
- (h) The Head of Department shall submit the results of the seminar presentation to the Dean of School for consideration and endorsement by School Board and onward transmission to the Senate for approval through the Senate Teaching and Learning Committee.

- (i) Candidates scoring an average of less than a B grade shall be regarded to have failed the seminar and shall be required to improve the proposal and present the same for a maximum of two additional times. Candidates failing to attain a score of B after three presentations shall be discontinued from studies.

2.7 Submission of Dissertation/Thesis

- (a) Candidates that qualify to continue with the research phase of their PhD studies shall be required to submit a dissertation/thesis in the form of a monograph embodying the results of the research before the expiry of the registration period as a requirement for the award of the degree.
- (b) A candidate shall not submit his/her dissertation or thesis until the main supervisor has certified in writing that he/she has read the dissertation/thesis and submits that it is ready for examination.
- (c) No candidate may be permitted to submit a dissertation/thesis for a PhD degree award of NM-AIST in less than 30 months from the date of first registration.
- (d) The dissertation/thesis must contain an abstract of not more than 350 words, and it shall concisely indicate the problem investigated, procedures and research methods employed, the general results and new contributions made, and the major conclusions and recommendations
- (e) A declaration by the candidate to the Senate, stating that the dissertation/thesis submitted is the candidate's own original work done within the period of registration under the guidance of the supervisor(s) and that it has neither been submitted nor is being concurrently submitted in any other institution, shall accompany every dissertation/thesis submitted for examination for the PhD degree award. The dissertation/thesis must be submitted in six spiral bound copies, plus a PDF copy.

The dissertation/thesis shall contain a statement of copyright by the author stating as follows:-

“This dissertation/thesis is copyright material protected under the Berne Convention, the Copyright Act 1999 and other International and National enactments, in that behalf, on intellectual property. It may not be reproduced by any means, in full or in part, except for short extracts in fair dealings, for research or private study, critical scholarly review or discourse with an acknowledgement, without the written permission of the Deputy Vice Chancellor for Academic, Research and Innovation on behalf of both the author and the NM-AIST.”

- (f) The level of plagiarism in the dissertation/thesis shall be clearly stated. Only dissertations/theses with plagiarism level below 20% shall be accepted for examination. The same shall be certified by the Head of Department hosting the student's programme in the respective School and the Quality the Head Assurance or Academic Department under DVC-ARI.

2.8 Requirements for Award of a PhD Degree of NM-AIST

At the end of the prescribed study period, a PhD candidate is required to prepare a dissertation/thesis in the form of a monograph that will be submitted for examination and if positively assessed the student will be required to present himself/herself for a *viva voce* examination.

- (a) Three months before submitting the dissertation or thesis, the candidate shall, through her/his supervisor, Head of Department and Dean of School of Institute give notice in writing to the DVC-ARI indicating his/her intention to submit the dissertation/thesis by filling in the “Intention to submit Dissertation/Thesis Form” (Appendix V).
- (b) The Head of Department, in consultation with Dean of the School of Institute shall recommend the examination arrangement for the dissertation/thesis including submitting the curriculum vitae of the proposed External Examiners.
- (c) Candidates undertaking PhD studies by Coursework and Dissertation shall be required to submit a dissertation in the form a monograph before the expiry of the registration period, in partial fulfilment of the requirements for the award of the PhD degree of NM-AIST. In addition to the dissertation, such a candidate shall be required to produce evidence of at least two research-based papers accepted for publication or published in peer-reviewed journal(s) listed in the Science Citation Index or Science Citation Index Expanded. The candidate must appear as the first author in the papers. Evidence in the form of published paper(s) or letter(s) of acceptance of the paper(s) from the editor(s) of the respective journal(s) shall be attached to the Intention to Submit Dissertation/Thesis Form.
- (d) Candidates undertaking PhD studies by Research and Thesis shall be required to submit a thesis in the form of a monograph before the expiry of the registration period in order to qualify for the award of the PhD degree. In addition to the thesis, such a candidate shall be required to produce evidence of at least one review paper accepted for publication or published in a peer-reviewed journal listed in the Science Citation Index or Science Citation Index Expanded, and at least two research-based papers accepted for publication or published in a peer-reviewed journal(s) listed in the Science Citation Index or Science Citation Index Expanded. The candidate must appear as the first author in the published papers. Evidence in the form of published paper(s) or letter of acceptance of paper(s) from the Editor(s) of the respective journal(s) shall be attached to the Intention to Submit a Dissertation/Thesis Form.
- (e) A dissertation/thesis submitted for the award of a PhD degree of the Nelson Mandela African Institution of Science and Technology must be satisfactory as regards the format and literary presentation as described in the in the Guidelines for Writing Research Proposals, Conduct of Research and Preparation and Submission of Master’s and PhD Dissertations/Theses.
- (f) If part of the student’s research work was undertaken in collaboration with other researchers and/or students, the kind of collaboration involved should be clearly explained by specifying the parts of the thesis that contains results from the collaboration and what the role of the student in the collaboration was.

A letter from the student's main supervisor should accompany the submitted dissertation/thesis. The letter should indicate the particular contribution of the student to each paper in the case of multi-author papers. It should also indicate that the submitted articles were not and will not be used as part of other dissertations/theses in the published papers format at NM-AIST or in other institutions.
- (g) Published papers and /or submitted manuscripts should be included in the manner stipulated in the Guidelines.

2.9 Dissertation Examination and Degree Award

The examination of the dissertation/thesis work shall comprise two parts, namely:

- (i) Examination of dissertation/thesis
- (ii) *Viva voce*

2.9.1 Examination of Dissertation/Thesis

- (a) Every dissertation/thesis submitted shall be examined by at least two senior academicians and/or specialists in the subject or field of specialization appointed by the Senate upon recommendation of Senate Teaching and Learning Committee from amongst names submitted by the School Board.
- (b) At least one of the examiners must be external to the University (External Examiner). The Internal Examiner shall be appointed from amongst competent members of NM-AIST staff that did not supervise the candidate whose dissertation/thesis is being examined
- (c) The External Examiner shall be required to submit his/her examination report about the dissertation/thesis within a maximum period of two months from the date of its receipt. If the report is not received within two months, a written reminder with a maximum extension of two weeks shall be served to the examiner. In absence of response after such a reminder, a new External Examiner shall be appointed. Mailing time and other factors be considered when engaging the examiners and expected date of submission of examination report.
- (d) The Internal Examiner shall be required to submit his/her examination report about the dissertation/thesis within a maximum period of one month from the date of its receipt. If the report is not received within one month, a written reminder with a maximum extension of two weeks shall be served to the examiner. In absence of response from the Internal Examiner two weeks after such reminder, the case shall be referred to the DVC-ARI. The DVC-ARI shall examine the case and take appropriate steps to address the matter after consultation with the Dean or Vice Chancellor as the case may be.
- (e) Each examiner shall summarize the evaluation of the dissertation/thesis with a definite grade ranging from A to D [see Section 6.2.3(s)] based on the assessment criteria presented in Appendix VII.
- (f) If the grades provided by the internal and external examiners differ, an average shall be computed.
- (g) Both the External and Internal Examiner shall be required to submit examination reports about the dissertation/thesis by filling in the PhD Examination Report Form (Appendix VI), with a definite overall recommendation for one of the following actions:
 - (i) The degree be awarded to the candidate unconditionally if the candidate successfully defends his/her dissertation/thesis.
 - (ii) The degree be awarded subject to addressing typographical and minor revisions of dissertation/thesis and successful defense of the dissertation/thesis in a *viva voce* examination.
 - (iii) The degree be awarded after making major revision and corrections in the dissertation/thesis as recommended by the examiners and re-submission for examination after 3-6 months.
 - (iv) The degree should not be awarded because dissertation/thesis submitted lacks key facts and critical analysis of data, but the candidate be allowed to revise and re-submit the dissertation/thesis after a further period of research and/or

study ranging from 6 to 12 months.

- (v) The dissertation/thesis is grossly deficient in its content and presentation, and be rejected outright.
- (h) Where there is disagreement among the Examiners in the overall recommendation about the dissertation/thesis, the Senate Teaching and Learning Committee shall examine the case and recommend one of the following actions:-
 - (i) The recommendation of the External Examiner be adopted if the Committee is satisfied that the Examiner's recommendation reflects a fair assessment of the dissertation/thesis.
 - (ii) An additional independent External Examiner be appointed.
 - (iii) The relevant School/Institute be directed to form a panel of experts available within or outside NM-AIST to examine the candidate orally and prepare a report with a definite recommendation on appropriate action to be taken about the dissertation/thesis to the Senate through the Senate Teaching and Learning Committee.
- (i) The average grade for the dissertation/thesis must be at least B.
- (j) A candidate with the average grade of at least B for the dissertation/thesis will be allowed to proceed with *viva voce* presentation.
- (k) A thesis/dissertation will be re-written and re-examined only once.
- (l) Work rejected by examiners after re-submission shall not be accepted for re-examination at NM-AIST.
- (m) Unless an approval has been granted by Senate, failure of a candidate to resubmit a revised dissertation/thesis accompanied by an Error-Free Certificate, signed by the supervisor(s) and Head of Department within the stated period after being allowed to incorporate corrections shall lead to discontinuation from studies.

2.9.2 Viva Voce

- (a) Upon recommendation of the examiners that the dissertation/thesis is of acceptable quality and meets the requirements for the award of a PhD degree after the candidate passes a *viva voce* examination, arrangements for a *viva voce* Examination shall be made by the host Department under the supervision of the respective School. Candidates allowed to appear for the *viva voce* shall be examined to ascertain the following:
 - (i) The dissertation/thesis presented represents an original work of the candidate and the candidate has sufficiently demonstrated mastery of the subject matter in the dissertation/thesis.
 - (ii) The candidate has fully grasped and is conversant with the broader subject area in which the study is based.
 - (iii) The candidate can adequately clarify all the weaknesses or deficiencies identified in the dissertation/thesis (if any).
 - (iv) The candidate qualifies for the award of the PhD degree of NM-AIST.
- (b) The candidate's national flag will be placed in the *viva voce* room and hoisted in front of the Administration Building.
- (c) The Department/School shall ensure availability of copies of the thesis/dissertation to *viva voce* panelists.

Regulations and Procedures for viva voce

A: Formation and Composition of *viva voce* Examination Panel

- (a) The *viva voce* Examination Panel shall comprise of at least five members appointed by the Senate upon recommendation of the relevant School Board and STLC. Members of the Panel shall be selected so as to ensure that the candidate is examined by sufficiently qualified and experienced experts in his/her area of research or related fields. The composition of the panel shall be as follows:
- (i) The Chairperson who shall be a senior academician of the rank of Senior Lecturer or above but who may not necessarily be an expert in the field of the dissertation/thesis of the candidate. The Chairperson will be responsible for ensuring that the *viva voce* examination is conducted fairly and in accordance with the relevant procedures. The name of the Chairperson shall be specified during the appointment of the Panel.
 - (ii) External Examiner for dissertation/thesis or his/her representative.
 - (iii) Internal Examiner for the dissertation/thesis.
 - (iv) Dean of the School / Head of the Department where the candidate is registered or his/her appointee.
 - (v) One senior academician or expert in the field of specialization of the candidate.

The above members of the panel shall have voting powers to decide on the outcome of the *viva voce* examination.

- (b) The *viva voce* shall be announced within and outside NM-AIST through the website or other means at least two weeks before the date of the examination. The abstract of the dissertation/thesis shall also be announced. The announcement is intended to disseminate the work undertaken by the candidate to the NM-AIST community and the general public.
- (c) The *viva voce* examination shall be open to the general public but only members of the *viva voce* Examination Panel will be responsible for assessing the candidate by asking questions and making comments related to the dissertation/thesis. Before the end of the examination, the Chairperson shall ask the panel members if they have exhausted their questions and comments to the candidate.
- (d) The *viva voce* panelists shall be provided with full texts of examiners' reports and copies of candidates' dissertation/thesis, at least two weeks before the date of the oral defense of the dissertation/thesis. However, the candidate shall not be allowed to get access to examiners' dissertation/thesis reports before the *viva voce* examination.
- (e) *Viva voce* panelists who are unable to be present at the *viva voce* examination shall submit their examination questions to the Dean of the School and nominate their representatives to the *viva voce* examination upon consultation with the Dean of school and the Chairperson of the Senate, Teaching and Learning Committee.
- (f) The maximum duration of the *viva voce* examination shall be three hours apportioned as follows:
- (i) Maximum of 45 minutes for presentation by the candidate.
 - (ii) Maximum of 2 hours for questions and answers.

- (iii) Maximum of 15 minutes for deliberations and decision by the panelists in the absence of the candidates and other people.
- (g) The *viva voce* panelists shall, as far as possible, work towards arriving at a unanimous decision on the candidate's overall results of the PhD. Where the panelists are unable to reach unanimous decision as to whether the candidate passes or fails, a vote shall be taken to arrive at a decision. A majority vote in favour of passing the candidate shall be required for passing the PhD examination.
- (h) At the end of the *viva voce* examination, the panel members shall sign an examination results form, giving specific recommendation for one of the following actions:
 - (i) The PhD degree be awarded to the candidate unconditionally.
 - (ii) The PhD degree be awarded to the candidate subject to making minor corrections and revisions in the dissertations/thesis as detailed in the *viva voce* proceedings and the examiners' reports.
 - (iii) The PhD degree not to be awarded to the candidate because of failure to defend the dissertation/thesis adequately BUT the candidate be allowed to revise and re-submit the dissertation/thesis for re-examination within 3-6 months.
 - (iv) The candidate fails the *viva voce* examination but be given another chance to resubmit and defend the dissertation/thesis after addressing all deficiencies detailed in the *viva voce* proceedings within 9-12 months.
 - (v) The candidate not be awarded the PhD degree because he/she has failed outright to defend the dissertation/thesis.
- (i) Where the re-submitted dissertation/thesis is of an acceptable standard as verified by the Internal Examiner and Supervisor, the candidate shall be required to appear for a second *viva voce* examination.

If the candidate fails to re-submit the dissertation/thesis within the specified period he/she shall be discontinued from studies.
- (j) Where there is a disagreement between the recommendation of the examiners of the dissertation/thesis and *viva voce* panel with respect to the fate of the student, the Senate Teaching and Learning Committee shall study the case and recommend to the Senate one of the following actions:
 - (i) The candidate shall revise and re-submit the dissertation/thesis and thereafter appear for a *viva voce* examination within a period of 6-12 months.
 - (ii) The candidate be deemed to have failed outright and not be awarded any degree.
- (k) The Chairperson of the *viva voce* panel shall submit to the Chairperson of the Senate Teaching and Learning Committee the recommendation of the panel and a comprehensive report approved by the all panelists detailing all the questions addressed to the candidate and the answers given to those questions, within two weeks after the date of the *viva voce* examination.
- (l) A candidate failing to attend a *viva voce* examination without compelling reasons shall be discontinued from studies unless directed otherwise by Senate.

- (m) A candidate that has passed the *viva voce* examination shall be required to submit four corrected hard bound copies and one soft copy of the dissertation/thesis within one month after *viva voce*. The Internal Examiner shall certify that the corrections/revisions recommended by the examiners have been addressed by the candidate and recommend to the Head of Department that an error-free certification of the dissertation/thesis be issued.
- (n) Failure to submit the corrected copies of dissertation/thesis within one month after the *viva voce* examination without compelling reasons shall result in discontinuation from studies.
- (o) Before binding the dissertation/thesis, the candidates shall be required to submit a spiral bound dissertation/thesis through the School to Head of Academic Department for checking and certifying compliance with approved standards for writing dissertations/theses. The head of Academic Department shall need a maximum of five (5) working days to provide feedback on such submissions.

The final decision on the award of the PhD degree shall be made by Senate upon the recommendation of the Senate Teaching and Learning Committee. Physical copies of dissertations/thesis copies shall be presented to the Senate for verification before a final decision on the degree award is made.

- (p) The Senate may give directives for further improvement of the dissertation/thesis submitted to it by the Senate Teaching and Learning Committee and the same shall have to be addressed before the dissertation/thesis is approved for the award of the degree.
- (q) After the Senate's approval of the degree award, the candidate shall be required to submit four well bound copies and one electronic copy of the approved error-free dissertation/thesis. The Secretary of the Senate Teaching and Learning Committee will acknowledge receipt of the copies in writing. The final four copies of the well bound dissertation/thesis shall be distributed as follows:-
 - (i) University Library
 - (ii) Department
 - (iii) Supervisor
 - (iv) Student
- (r) The deadline for submission of error-free dissertations/thesis for graduation shall be at least two weeks before the last Senate meeting preceding graduation. Candidates failing to meet this deadline shall be considered not ready for graduation.
- (s) Candidates recommended for the award of degrees by Senate shall be presented for graduation at the next graduation ceremony. However, candidates that may not present themselves physically for the graduation shall be conferred their degrees in absentia.

B: Procedures for Conducting *Viva Voce* Examination

The *viva voce* examination is an important stage in the completion of a PhD study. The *viva voce* examination at NM-AIST shall be conducted according to the following procedures:

- (a) The Head of Department after consultation with the Dean of School shall confirm that all members of the *viva voce* Examination Panel are available for the examination at least one day before the date of the examination and inform the Chairperson of the panel. This is important so that replacement of any member that may be unable to

attend the examination is made well in advance.

- (b) Members of the *viva voce* Examination Panel shall enter the examination room at the time set in the *viva voce* examination arrangements.
- (c) The Chairperson of the panel shall confirm that all the members of the panel are present. In case one or more panelists are missing, efforts shall be made by the Chairperson after consultation with the Dean of the School to replace the missing member(s).
- (d) The Chairperson shall ensure that the candidate is present at the time required for the *viva voce* examination.
- (e) The Chairperson shall mention the names of each one of the panelists, their positions and responsibilities in the *viva voce* examination.
- (f) The Chairperson shall remind the panelists about the regulations and procedures pertaining to the conduct of the *viva voce* examination.
- (g) The Chairperson shall also inform the panelists, the number of questions submitted by the External Examiner.
- (h) The Head of Department or his/her appointee shall be the Recorder of the proceedings of the *viva voce* and also be responsible for time keeping during the *viva voce* examination.
- (i) The Chairperson shall welcome invited members of the public into the *viva voce* examination room before the candidate is ushered in.
- (j) After the panelists and the members of the public have settled down, the Chairperson shall invite the candidate into the examination room, introduce himself/herself and disclose his/her position as Chairperson of the *viva voce* examination panel. He/she shall also introduce the Members of the Panel to the candidate.
- (k) The Chairperson shall invite the candidate to introduce himself/herself to the Panel and audience by presenting a brief profile of him/her for a period of not more than five minutes.
- (l) The Chairperson shall remind the candidate on the purpose of and regulations for *viva voce* examination and the procedures to be followed.
- (m) The Chairperson shall invite the candidate to present his/her dissertation/thesis for a duration not exceeding 45 minutes. After the presentation, a break not exceeding 15 minutes may be allowed as the Chairperson may determine.
- (n) After the candidate's presentation and the break, the Chairperson shall begin asking the candidate questions his/her own questions.
- (o) Other Members of the Panel will then be given opportunity to ask the candidate questions as will be guided by the Chairperson.
- (p) The questions to be asked should be those directly related to the written thesis/dissertation, the oral presentation and the broad discipline or field/area of study

of the candidate to ascertain mastery or depth of knowledge of the candidate about the area.

- (q) The Candidate shall be required to answer the questions chronologically as they are asked. In case one or more of the panelists are not satisfied with the answers, they are required to show the same immediately after the answer is given and consensus should be reached and recorded that has implication on changes in the thesis/dissertation or to improve the Candidate's understanding.
- (r) The question and answer session will continue until the panelists are satisfied that the purpose of the *viva voce* examination has been met. However, the duration of the entire *viva voce* examination shall not exceed three hours including the time used for presentation.
- (s) At the end of the examination time, the Chairperson shall end the question and answer session and request the candidate to go out to wait for the decision on the outcome of the *viva voce* examination. At the same time, the Chairperson shall ask invited members of the public to leave the viva voice examination venue.
- (t) To reach a decision on the outcome of the examination, the Chairperson shall ask for independent opinions of each Member of the Panel on the following issues:-
 - (i) If the candidate's work was original.
 - (ii) If the candidate has grasped and demonstrated mastery of the specific and broader area in the field of his/her study.
 - (iii) If the candidate has been able to clarify the weaknesses observed in the thesis/dissertation.
 - (iv) If the dissertation/thesis has significantly contributed to the body of knowledge in the candidate's field of study.
- (u) As much as possible, the *viva voce* panelists shall work towards arriving at a unanimous decision on the candidate's overall results of the PhD work. Where the panelists are unable to reach unanimous decision as to whether the candidate passes or fails, a vote shall be taken to arrive at a decision.
- (v) The Chairperson, shall then ask the panel members to indicate each one's specific recommendation on the PhD work and sign the examination results form prescribed under Appendix VIII.
- (w) The Chairperson shall examine the results and if there are differing opinions, he/she will ask Members of the Panel to vote in order to reach a final decision.
- (x) Members of the Panel shall also discuss and agree on major revisions or changes to be made in the thesis/dissertation by the candidate.

2.9.3 Award of Degree

- (a) The final decision on the award of the PhD degree shall be made by the Senate on the recommendation of the Senate Teaching and Learning Committee.
- (b) Candidates are free to appeal to Senate against any decisions regarding award of a degree.

3.0 Procedures for Handling Semester Examinations

- (a) The course/module Instructor is the Internal Examiner who sets the examination and shall submit the same to the Head of Department five working days before the examination starts.
- (b) Each examination shall be set to be done within 3 hours as shown in the Examination Timetable.
- (c) The Head of Department in consultation with the Dean of School shall appoint a panel of at least two academic staff to moderate each paper in the respective Department/School.
- (d) The processing of examination shall be made under maximum confidentiality and integrity. The Dean of School shall be the custodian of the examination questions.
- (e) Where there is a leakage of examination, the University shall nullify the examination and require the candidates to re-sit the examinations.
- (f) Disclosure or leakage of examinations by any person shall be thoroughly investigated and punishable by the relevant disciplinary authority.
- (g) The Dean of School shall appoint a member(s) of academic staff who shall process questions in terms of typesetting, printing/photocopying, packing and sealing of examination.
- (h) The Dean of School shall appoint a member(s) of academic staff to invigilate a particular examination before the commencement of the University examinations. A Lecturer of respective subjects/courses shall automatically be appointed as one of the invigilators and where the course was taught by the Part-time or Visit Staff, the Dean shall ensure another invigilator is allocated.
- (i) There shall be no special registration of candidates for examination. Every candidate registered for a particular course shall be deemed to be also registered for the corresponding examination(s) in the relevant course of study.
- (j) A candidate shall be admitted to an examination room on the condition that:
 - (i) The candidate does not owe the university any fee required and/or other financial dues;
 - (ii) The overall attendance of the candidate in a subject must be not be less than 80% of the time allocated to the subject in the semester as verified by the Course Instructor;
 - (iii) The candidate has done all his/her coursework for the subject being examined; and the candidate is not barred by any lawful order or any other law from sitting for the examination in question.
- (k) Any candidate who is unable to appear in the examinations shall, before the commencement of a respective examination(s), report in writing to the Dean of School through the Head of Department giving sufficient reasons and/or evidences to support his/her inability to sit for the examinations. The Dean of School shall transmit the student's request to DVC-ARI for approval.
- (l) The candidate must have a prior written approval from the DVC-ARI indicating that he/she has been allowed to postpone the said examination(s).
- (m) Students shall be allowed into the examination room upon showing their Identity Cards and the Examination Registration Number card.
- (n) Students shall be required to be in the examination room 15 minutes before the examination starts.

- (o) Students shall not be allowed to get out of the examination room in the first 30 minutes and the last 15 minutes of the examination.
- (p) No students shall be allowed to get into the examination room 30 minutes after the examination has started.
- (q) The invigilator shall not leave a room without a replacement.
- (r) The Invigilator shall fill the Examination Attendance Form, putting on record the attendance by candidate's Examination Numbers and at the end making remarks on how the examination was conducted. The same form will serve as proof of handing over examination scripts to the Head/Dean for further processing of examination scripts.
- (s) There shall be a Chief Invigilator who shall oversee coordination of examination conduct in the examination room of respective School who shall be appointed by the Dean of School.
- (t) The marking of University Examinations shall be done by Internal Examiner(s) of the respective course(s) of study in accordance within the time schedule provided by the Dean of School and in accordance with the University's almanac.
- (u) After marking the University examination(s) the Internal Examiner shall prepare a summary report on candidates' performance, fill in an examination mark sheet, upload the results into Students Information Management System (SIMS), submit marking scheme together with the marked scripts to the relevant Head of Department.

4.0 Examination Irregularities

- (a) No unauthorized materials (e.g. written materials, purses, electronic equipment such as cell phones, pagers, and any other material as may be specified from time to time by the Office of the Deputy Vice Chancellor for Academic, Research and Innovation) shall be allowed within 50 meters around and within the examination venue. A candidate found in possession of such materials shall be required to surrender them and in case of failure to comply, such incidences shall be reported by Chief Invigilator through the respective Head of Department or Dean of School to the Deputy Vice Chancellor for Academic, Research and Innovation for appropriate action.
- (b) There shall be no borrowing of materials of any kind including calculators, rules statistical tables, pencils and pens among candidates during examinations.
- (c) When an invigilator has reason(s) to believe that the student has been cheating or has facilitated in a cheating act, the charges shall be channeled through the Head of the Department and Dean of School where the course is offered, to the Deputy Vice Chancellor for Academic, Research and Innovation for appropriate action.
- (d) All cases of alleged examination irregularities shall be referred to the Senate Teaching and Learning Committee. The Committee shall have the powers to summon students and members of staff as it deems necessary. The findings and recommendations of the Senate Teaching and Learning Committee shall be submitted to the Senate for consideration and decision on appropriate action to be taken.
- (e) Any candidate who will be proven to have cheated, including being involved in plagiarism of any part of the examination shall be deemed to have failed in the whole examination for the semester and shall be discontinued from studies.

5.0 Plagiarism

Plagiarism refers to all acts of malpractices in the preparation of academic/scholarly works including dissertations/theses especially where someone uses another person's words, ideas or

work as his/her own without acknowledging the origin. The NM-AIST has zero tolerance to plagiarism and all acts of plagiarism shall be dealt with promptly. The following guidelines shall apply in dealing with cases of plagiarism at NM-AIST:

- (a) A candidate shall be considered to have committed an act of plagiarism if a Supervisor, Examiner, Head of Department or Member of any Committees or any other person that is responsible for checking and certifying compliance with approved academic standards observes the following:
 - (i) A candidate has submitted or presented the work of another person as his or her own;
 - (ii) A candidate has submitted the same, or substantially the same work more than once at NM-AIST or another institution for publication or degree award;
 - (iii) A candidate has fabricated, falsified or doctored data or research results, records, information or documents;
 - (iv) A candidate has not acknowledged the work of another person while the same has been used in preparing a publication, dissertation or thesis;
 - (v) Two or more students have colluded or collaborated to produce the same work submitted by each for publication, dissertation or thesis without prior permission for such collaboration by relevant authorities;
 - (vi) Availability of evidence that the candidate has used, by payment or otherwise, a third-party to produce part or the whole publication or dissertation/thesis submitted for the award of a degree.
- (b) All dissertations, theses and other publications submitted by Master's and PhD students at NM-AIST shall be subjected to plagiarism test.
- (c) The maximum accepted level of plagiarism for any scholarly work produced by students at NM-AIST shall be 20%.
- (d) All suspected cases or alleged acts of plagiarism shall be referred to the Senate Teaching and Learning Committee for investigation. The Committee shall have powers of summoning students and members of staff, as it deems necessary for purposes of examining the cases for evidence of plagiarism. The Senate Teaching and Learning Committee shall submit a report of its findings and its recommendations to Senate for appropriate action to be taken.
- (e) Depending on the nature and extent or seriousness of the act of plagiarism committed, the Senate shall apply the following sanctions:
 - (i) The candidate's work (research proposal, dissertation, thesis or publication) be rejected and the student be required to re-write or undertake research work.
 - (ii) The candidate's be discontinued from studies.
 - (iii) The degree or other academic granted already awarded to the candidate by the University be withdrawn.

6.0 Procedures for Appeal

Students recommended for discontinuation from studies may appeal in writing to the Chairperson of the Senate under the following procedures:

- (a) Students' appeals shall be addressed to the Dean of School through the Head of Department using special appeal forms within seven (7) days from the date of publication

of results. In exceptional cases such as illness, appeals may be lodged beyond the prescribed time upon approval by Chairperson of the Senate.

- (b) The candidate's appeal shall be accompanied by non-refundable appeal fee as may determine by the Council from time to time.
- (c) The Dean of School shall appoint an Appeals Panel whose responsibilities will be to scrutinize the authenticity of the appeals and recommend to the Senate Teaching and Learning Committee for consideration, which shall, in turn, forward its recommendations to the Senate for appropriate action.
- (d) Except where unfair marking, wrong computation of marks or grades or other similar irregularity committed in the conduct of any University examination is alleged, no appeal shall lie in respect of any such examination on any ground.
- (e) No appeal shall be lodged against coursework marks unless there is a reasonable proof that the candidate had no prior knowledge of the error due to reasonable circumstances beyond his/her control.
- (f) If a candidate notices any error with the coursework marks she/he shall consult the member of academic staff who administered the course or subject during the semester for a possible clarification or correction before commencement of the University examinations.
- (g) No appeal will be entertained under the following conditions:
 - (i) The candidate appeals for re-marking of examination script but fails to establish reasonable grounds for prejudice, incompetence, or lack of integrity on the part of the examiner.
 - (ii) It rises for the first time issues concerning the supervision, teaching or coursework assessment. Such matters will only be considered if they had been raised by the student promptly and in writing, at the time when they first arose.
 - (iii) A student alleges illness or other factors while he/she had an opportunity to postpone studies or examination(s) but voluntarily opted not to take seize opportunity.
- (h) Any member of the appellant's Department or School who participated in the making of the decision against which appeal is lodged shall not have a voting right in the Senate over such an appeal and may only participate in terms of presentation of findings and recommendations of the appellant's Department or School Board by answering queries, as the case may be, and shall otherwise be absent from the Senate session considering any such appeal.
- (i) Any student or candidate aggrieved by a decision of Senate on terms of the provisions of regulation regarding examination irregularities may apply for review of the decision made by the Senate.
- (j) Appeals made under regulation 6.6 (i) above, shall be lodged to the Deputy Vice Chancellor for Academic, Research and Innovation who shall forward them to the Senate with observations and recommendations.
- (k) A student may re-appeal to the Senate against the decision of the Senate on his/her appeal by lodging the appeal through the DVC-ARI. Such an appeal shall only be entertained if it had at first been rejected by the Senate and if the student presents new developments and/or grounds that were not and could not be made available to Senate at the first appeal.

- (l) The Senate's decision on an appeal shall be final and conclusive and no further appeal shall be entertained regarding the same issue.
- (m) In the case that a student's appeal has been successful, the respective School will have the responsibility of setting an examination for the student when deemed necessary.

7.0 Postponement, Freezing, De-registration from Studies

- (a) Students registered for Master's and PhD studies at NM-AIST may postpone, freeze or de-register from studies if there are compelling reasons and upon approval by the Senate.
- (b) A candidate who intends to postpone/freeze studies shall apply in writing, through his/her respective Department/School to the Chairman of Senate.
- (c) An applicant for postponement of studies shall be deemed to have secured permission for postponement after receiving a written communication granting his/her application from Deputy Vice Chancellor for Academic, Research and Innovation.
- (d) A candidate who fails to comply with the requirements prescribed for studies at NM-AIST shall automatically be deregistered from studies.

7.1 Postponement of Studies

- (a) Postponement of studies may be granted by the Senate only on the following conditions:
 - (i) A candidate who has secured admission at NM-AIST but not yet registered may be permitted by the Senate to defer registration for a period of up to one year during which his/her admission will remain valid.
 - (ii) A registered candidate may be allowed to postpone studies while pursuing coursework for a maximum period of one year.
 - (iii) Candidates that will have been granted permission to postpone studies after registration shall, upon resumption of studies, be required to start as fresh candidates. On resumption of studies, such candidates shall be required to pay University fees as stipulated in the fee structure for that year of studies.
- (b) No student shall be allowed to postpone studies after commencement of an academic year except under special circumstances. Permission to postpone studies will be considered after producing satisfactory evidence of the reason for postponement. Special circumstances shall include:
 - (i) Sickness or serious social problems (each case to be considered on its own merit);
or
 - (ii) Severe sponsorship problem.

7.2 Freezing Studies

- (a) Permission to freeze studies will be considered after producing satisfactory evidence of the reason for freezing studies. Special circumstances shall include:
 - (i) Sickness or serious social problems (each case to be considered on its own merit).
 - (ii) Severe sponsorship problem.
- (b) Conditions for freezing studies at NM-AIST shall be as follows:
 - (i) A candidate who has embarked on research work may be allowed to freeze studies for a maximum period of one year.

- (ii) A candidate that has frozen studies may request for an extension of freezing studies for a further period not exceeding one year if there are compelling reasons to the satisfaction of the Senate. However, no candidate shall be allowed to freeze studies for more than two years during the study period.
 - (iii) Freezing of studies will only be permitted during the normal study period and students under extension of registration shall not be allowed to freeze studies.
 - (iv) The year during which studies were frozen shall not be counted as part of the registration period of the candidate.
 - (v) Candidates resuming studies after a freezing period of two years may need to have their research proposals reviewed in order to ascertain the validity of their proposals has not been overtaken by time.
- (c) A candidate who wishes to resume studies after postponement must give notice in writing of one month prior to the expiry of his/her postponement/freezing period to the DVC-ARI through the Head of Department and Dean of School.
 - (d) A student requesting for freeze of studies shall carry over and re-sit or sit for supplementary examinations in all subjects he/she is entitled to upon resumption of studies.
 - (e) Student shall be allowed to freeze studies only once, except under medical grounds.
 - (f) Freezing of studies shall be counted within 3 years for Master's and 5 years for PhD students.

7.3 Deregistration from Studies

Regulations for de-registration from studies at NM-AIST shall be as follows:

- (a) A candidate may apply to de-register from the University at any phase of the study programme giving reasons for the same.
- (b) A de-registered student ceases henceforth to be a student of the University.
- (c) Fees paid to the University shall not be reimbursed to the candidates or sponsors of the candidate that deregisters from the University.
- (d) Candidates de-registering before payment of the applicable University fees shall be required to pay all the fees for services already rendered to them by the University.
- (e) A de-registered candidate may apply for re-admission to the same study programme after at least one year has elapsed after de-registration.

8.0 Discontinuation from Studies

- (a) Circumstances that may lead to student's discontinuation from studies include the following:
- (i) Failure to renew registration for studies without a reasonable cause.
 - (ii) Academic grounds such as failure in a course, programme or dissertation/thesis or failure of submission of dissertation/thesis within the prescribed period without reasonable cause.
 - (iii) Abscondment from studies without a reasonable cause.
 - (iv) Abscondment from tests, assignments, term papers, examination(s), oral presentation or *viva voce* without reasonable cause.
 - (v) Failure to submit a research proposal within the prescribed period without compelling reasons.
 - (vi) Failure to submit a written research progress report to the supervisor(s) or for a period of at least 6 months.
 - (vii) Failure by the student to maintain satisfactory academic and/or research progress as stipulated in the regulations governing progress of student pursuing studies at the University.
 - (viii) For student undertaking research work, supervisor(s) may recommend discontinuation of students who fail to maintain satisfactory research progress in any phase of their Master's or PhD programme. In such cases, the supervisor shall prepare a comprehensive report to support the recommendation for discontinuation of the student through the Head of Department to the School Board which will scrutinize it before transmission of the same to the Senate for consideration.
 - (ix) Acts of indiscipline that contravenes University Students' By-Laws and any other University regulations and guidelines.
- (b) A student who has been discontinued from studies on academic grounds other than involvement in examination irregularities may be re-admitted to the same or other programme offered by the University upon expiry of one academic year following the discontinuation if he/she meets the applicable entry requirements.
- (c) No fees paid to the University will be reimbursed to any student or sponsor in the case of discontinuation of a student from studies for whatever reasons.

9.0 Preservation of Examination Scripts

Schools shall preserve examination scripts for the purpose of reference for a period of two academic years after the end of the respective examinations.

10.0 Issuance of Transcripts, Certificates and Certification

10.1 Issuance of Original Certificates and Transcripts

- (a) Issuance of academic certificates and transcripts shall be conducted in accordance with the following procedures:
 - (i) Applications for certificates and transcripts shall be made in person, by postal mail or e-mail and an applicant for transcript shall be required to fill in the prescribed application form.
 - (ii) An applicant may request his/her certificate to be sent by courier where such applicant shall be required to meet the delivery cost.
 - (iii) The University by any circumstance shall not be responsible for loss or damage of posted certificate/transcript that has been sent to a graduate.
 - (iv) Application for transcripts shall be lodged to the respective Dean of School. Whereas, application for degree certificate shall be lodged to the office of DVC-ARI.
 - (v) A graduate requesting the certificate shall be required to submit a copy of clearance form that confirms that he/she does not owe the University any dues.
 - (vi) Presentation of a proof for the applicant's identification bearing a certified photograph of the applicant. Certified photograph shall mean a photograph affixed to the identification document after its confirmation and authentication such as a certified copy of the passport, national identification card, employee's identification card, National Health Insurance identification card, driving license etc.
- (b) The Deputy Vice Chancellor or any other person appointed by relevant authority on his/her behalf may certify and/or authenticate a certificate as the true copy of the original document.
- (c) Dean of School or any person appointed by relevant authority on his/her behalf may certify and/or authenticate transcript as the true copy of the original document.
- (d) Certification of copies of certificates or transcripts shall be made upon payment of a fee approved by the Council from time to time.

10.2 Replacement of Certificate

In case of loss, destruction (partial or total) of the original certificate or a copy thereof, the University may issue a copy or another copy on condition that:

- (a) The applicant produces a sworn affidavit;
- (b) A certificate so issued shall be marked "COPY" across it;

- (c) The replacement certificate shall not be issued until a period of 12 months has elapsed from the date of such loss; except that such replacement may be issued within a shorter period in cases of partial destruction of the original certificate or of a copy thereof.
- (d) The applicant must produce evidence that the loss has been reported to the police and adequately publicly announced with the view of its recovery in an officially recognized form or manner in the applicant's home country or where the loss is believed to have taken place; and
- (e) Payment of replacement fee as determined and revised by the Council from time to time.

Appendix I: Master's Research Proposal Evaluation Form

The Nelson Mandela African Institution of Science and Technology



Master's Research Proposal Evaluation Form

Name of School/Department: _____

Student's Name and Reg. Number: _____

Name of the Programme of Study: _____

Title of the Research Proposal: _____

Date of Defense: _____

Please review the attached evaluation guidelines and provide your assessment below.

S/N	ITEM FOR ASSESSMENT	Max Points	Points Awarded	Comments
1.	Introduction [Background and Justification]	10		
2.	Significance of Study [Problem Statement and expected Innovative solution]	5		
3.	Objectives, Hypotheses/Research Question	10		
4.	Theoretical and Conceptual Framework & Quality of Literature Review	15		
5.	Research Methodology	15		
6.	Realistic timelines	5		
7.	A detailed and feasible budget and a clear justification of expenditures	10		
8.	Evidence of Originality and creativity	10		
9.	Organization of the research proposal	5		
Total Points (without oral presentation)		85		
Percentage (%) = Total Points divide by 85 and multiply by 100				
10.	Clear and comprehensible oral presentation of the proposal	15		
Total Points (including oral presentation)				
Grade				

General Comments: _____

Please indicate if:

Research Proposal is

Accepted

Accepted with minor corrections

Accepted with major corrections

Rejected and has to be resubmitted

Panel Member:

Names: _____

Designation: _____

Signature: _____

Date: _____

Appendix II: PhD Research Proposal Evaluation Form

The Nelson Mandela African Institution of Science and Technology



PhD Research Proposal Evaluation Form

Name of School/Department: _____

Student's Name and Reg. Number: _____

Name of the Programme of Study: _____

Title of the Research Proposal: _____

Date of Defense: _____

Please review the attached evaluation guidelines and provide your assessment below.

S/N	ITEM FOR ASSESSMENT	Max Points	Points Awarded	Comments
1.	Introduction [Background and Justification]	5		
2.	Significance of Study [Problem Statement and expected Innovative solution]	5		
3.	Objectives, Hypotheses/Research Question	10		
4.	Theoretical and Conceptual Framework & Quality of Literature Review	15		
5.	Research Methodology	15		
6.	Realistic timelines	5		
7.	A detailed and feasible budget and a clear justification of expenditures	10		
8.	Evidence of Originality and creativity	15		
9.	Organization of the research proposal	5		
Total Points (without oral presentation)		85		
Percentage (%) = Total Points divide by 85 and multiply by 100				
10.	Clear and comprehensible oral presentation of the proposal	15		
Total Points (including oral presentation)				
Grade				

General Comments: _____

Please indicate if:

Research Proposal is

Accepted

Accepted with minor corrections

Accepted with major corrections

Rejected and has to be resubmitted

Panel Member:

Names: _____

Designation: _____

Signature: _____

Date: _____

Appendix III: Master's and PhD Research Proposal Oral Presentation Evaluation Form

The Nelson Mandela African Institution of Science and Technology



Master's and PhD Research Proposal Oral Presentation Evaluation Form

Name of School/Department: _____

Student's Name and Registration number: _____

Programme of Study: _____

Title of the Dissertation: _____

Each examiner shall summarize his/her assessment of the presentation with a definite grade ranging from A to D based on the assessment criteria presented below:

S/N	Item for Assessment	Max. Points	Points awarded
1	Introduction of the subject/topic	10	
2	Thoroughness and understanding the content	20	
3	Organization of presentation, including speaking ability	30	
4	Research proposal budget	10	
5	Responsiveness to questions	20	
6	Time management	10	
Total Points		100	

General Comments: _____

Examiner's Name: Signature: Date:

NB: For detailed comments, examiners may use separate sheets.

Appendix IV: SRC form 1.3: Candidate Progress

**The Nelson Mandela
African Institution of Science and Technology**



**Student's Research Progress Reporting Form
(To be filled in triplicate)**

Part A: To be Filled by Student

1. Name of the student:
2. Registration Number:
3. Degree Programme:
4. Specialisation:
5. Nature of the Programme (Please tick (√) in appropriate box):

By Course work and Dissertation	
By Thesis	
6. Department:
7. School:
8. Title of Proposal development/Research work:
9. Date of Registration:
10. How often have you met supervisor during this quarter?
11. If you have not met, give the reasons:
12. Date of commencement of Proposal/Research:
13. Signature: Date:

Part B: To be Filled by the Supervisor

14. Name of Supervisor:
15. Date of appointment as a Supervisor:
16. Did the previous Supervisor (if any) hand you any report of student? (Please tick (√) in appropriate box):
 Yes No Not Applicable
17. How often have you met the candidate during this quarter?
18. If you have not met, give reasons:
19. What progress has the student made so far for the Proposal/Dissertation/Thesis?

Research Proposal [Put a Tick (√)]	Concept note	1 st draft	2 nd draft	3 rd draft	Final draft	Presented proposal in seminar	Approved for research
Data Collection [Put a Tick (√)]	Starting	Middle	Ending	Data analysis	Starting	Middle	Ending
Dissertation/Thesis [Put a Tick (√)]	1 st Draft	2 nd draft	3 rd draft	Others	Submitted for examination	Under correction after examination	Submitted for graduation
Number of Publications (Put Arabic Number)	Draft		Submitted		Accepted	Published	

20. What is the student's progress? (Please tick (√) in appropriate box):
 Very Good ($\geq 75\%$) Good (50-75%) Fair (30 – 50%) Poor ($\leq 30\%$)
21. Expected date of graduation (Month/Year):
22. Any other comments you may wish to make on the student's progress:

23. Signature: Date:

Part C: To be filled by Head of Department

24. Comments of Head of Departments:

 Name: Signature: Date:

Part D: To be Filled by Chairman of School Board

25. Comments of Chairman of School Board:

26. Name: Signature: Date:

Part E: To be filled by Chairman of Senate Teaching and Learning Committee (STLC)

27. Comments of Chairman of STLC:

 Name: Signature: Date:

Appendix V: Intention to submit Dissertation

The Nelson Mandela African Institution of Science and Technology



Intention to submit Dissertation

A: To be filled by candidate

1. Name (in full):
2. Address:
3. School/Department:
4. Degree registered for:
5. Title of Dissertation:

Effective Date of Registration:

Supervisor(s): (1) (2)

6. I confirm that I shall submit my dissertation on:
7. Candidate's Signature: Date:

B: Supervisor of the Candidate: It is possible/Not possible

8. Supervisor's Comments:

9. Name of Supervisor: Signature: Date:

C: To be completed by Dean of School/Head of Department:

10. The School/Department is proposing the following Examination arrangements:

10.1 Internal Examiner (s) (1) (2)

10.2 External Examiner's name and address:

External Examiner's name and address (School should attach a CV for external examiner if he/she is serving for the first time).....

Name of School Dean/Head of Department:

Comments:

Signature: Date:

D: The STLC Chairperson's Approval

The proposed examination arrangements has been noted and approved/not recommended the arrangements.

Name: Signature: Date:

Appendix VI: Examination of Master's Dissertation/Thesis

The Nelson Mandela African Institution of Science and Technology



Examination of Master's Dissertation/Thesis

Name of School/Department: _____

Student's Name and Reg. Number: _____

Name of the Programme of Study: _____

Title of the Dissertation/Thesis: _____

Date of Defense: _____

S/N	Item for Assessment	Max. Points	I.E. Points awarded	E.E. Points awarded	Average Grade
1.	Abstract	05			
2.	Introduction, Statement of Problem, Objectives, Hypotheses/Research Question & Significance of Study	10			
3.	Theoretical and Conceptual Framework & Quality of Literature Review	15			
4.	Research Methodology	15			
5.	Analysis, Findings and Discussion	20			
6.	Evidence of Originality, Conclusion and Recommendations	15			
7.	Quality of Organization the Dissertation.	05			
Total Points (without oral presentation)		85			
Percentage (%) = Total Points divide by 85 and multiply by 100					
8.	Clear and comprehensible oral presentation of the proposal	15			
Total		100			

Examiner's Overall Recommendations:

Examiner's Name and signature:

Names: _____

Designation: _____

Signature: _____

Date: _____

Appendix VII: Examination of PhD Dissertation/Thesis

The Nelson Mandela African Institution of Science and Technology



Examination of PhD Dissertation/Thesis

Name of School/Department: _____

Student's Name and Reg. Number: _____

Name of the Programme of Study: _____

Title of the Dissertation/Thesis: _____

Date of Defense: _____

S/N	Item for Assessment	Max. Points	I.E. Points awarded	E.E. Points awarded	Average Grade
1.	Abstract	05			
2.	Introduction, Statement of Problem, Objectives, Hypotheses/Research Question & Significance of Study	10			
3.	Theoretical and Conceptual Framework & Quality of Literature Review	20			
4.	Research Methodology	20			
5.	Analysis, Findings and Discussion	30			
6.	Evidence of Originality, Conclusion and Recommendations	15			
Total Points (including oral presentation)		100			
Grade					

Examiner's Overall Recommendations:

Examiner's Name and signature:

Names: _____

Designation: _____

Signature: _____

Date: _____

Appendix VIII: VIVA VOCE EXAMINATION RESULTS FORM FOR PhD DEGREE

THE NELSON MANDELA AFRICAN INSTITUTION OF SCIENCE AND TECHNOLOGY



VIVA VOCE EXAMINATION RESULTS FORM FOR PhD DEGREE

Name of School/Department: _____

Student's Name and Registration number: _____

Programme of Study: _____

Title of the Dissertation: _____

Date of *viva voce*: _____

S/N	Comments	TICK
1.	The PhD degree be awarded to the candidate unconditionally.	
2.	The PhD degree be awarded to the candidate subject to making minor corrections and revisions in the dissertations/thesis as detailed in the viva voce proceedings and the examiners' reports.	
3.	The PhD degree not be awarded to the candidate because of failure to defend the dissertation/thesis adequately BUT the candidate be allowed to revise and re-submit the dissertation/thesis for re-examination within 3-6 months.	
4.	The candidate fails the viva voce examination but be given another chance to resubmit and defend the dissertation/thesis after addressing all deficiencies detailed in the viva voce proceedings within 9-12 months.	
5.	The candidate shall not be awarded the PhD degree because he/she has failed outright to defend the dissertation/thesis.	

List of Panelist, Designation and their Signatures

PANEL MEMBER	DESIGNATION	SIGNATURE
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		