Institutional Capacity Building of Selected Universities in Uganda

The MUST-UTAMU JOINT PhDs: Good Practice Guide

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1.0   INTRODUCTION

With the world's increasingly complex problems and resource limitations, there is dire need for scholars who are qualified both to train the next generation of professionals to expand society's store of knowledge. Society needs critical minds trained at advanced level with skills and competencies in creating new knowledge and in analyzing the environment The joint PhD Program (by research) in the six science, technology, Management and Administration areas is designed to train such teachers and researchers as well as practitioners with broad knowledge, competencies and skills. The program is interdisciplinary in its focus. The program is designed to ensure that all participants:

(i)   gain substantial competency in the core technology, science management and administrative subject matter and research methodologies that are central for generating new knowledge;

(ii)   ;

(iii) become global scholars who can conduct excellent scientific research into , technology, science, management and administrative problems and with capacity to organize seminars and workshops that will attract international scholars;

(iv)   apply the theories to a research problem and write acceptable research proposals and dissertations within the chosen area of specialization; and

(v)   Apply the acquired knowledge, competencies and skills in writing scholarly papers and publish in international refereed journals.

The program provides a solid methodological basis, exposure to forefront themes and methods, and the ability to design and implement research projects in identified disciplines. This is achieved through attending a balanced mix of advanced doctoral and research seminars, written term or seminal papers guidelines, field projects, and research attachments at and other leading universities; interactions with international scholars (who shall be visiting professors for each of the areas of specialization), and a carefully tutored dissertation project. The faculty will be composed of research-oriented local and international scholars with significant exposure.

The duration of the PhD will be three (3) years and the students will be expected to complete the degree requirements in a maximum of five (5) years. The program consists of an extensive methodology component, together with doctoral seminars, an, compulsory proposal defense and a well-written and defended dissertation worthy publication in internationally refereed journals. The methodology workshops will help to equip the students with a more solid theoretical foundation, a good grasp of sampling theory and literature review, and a sound knowledge of statistics and research methodology, before the fieldwork, analysis and thesis writing. The MUST-UTAMU PhD programme will enable the graduates to become:

•   Academically excellent
•   Knowledgeable across disciplines
•   Leaders in communities
•   Attuned to cultural diversity
•   Active global citizens

In order to have a lively and vibrant postgraduate research community it was essential to recruit and select high quality students who have the aptitude to complete a strong PhD in the required time period. Doctoral degrees at the two institutions seek to develop graduates who demonstrate academic leadership, increasing independence, creativity and innovation in their research and encourage the acquisition of a wide range of advanced and transferable skills. The Universities expects its doctoral graduates to have the following attributes:

•   A profound respect for truth and intellectual integrity, and for the ethics of research and scholarship
•   An advanced ability to initiate research and to formulate viable research questions
•   A demonstrated capacity to design, conduct and report sustained and original research
•   The capacity to contextualise research within an international corpus of specialist knowledge in each of the disciplines where this joint PhD is offered

- An advanced ability to evaluate and synthesize research-based and scholarly literature
- An advanced understanding of key disciplinary and multi-disciplinary norms and perspectives relevant to the field of specialization
- Highly developed problem-solving abilities and flexibility of approach
- The ability to analyse critically within and across a changing disciplinary environment
- The capacity to disseminate the results of research and scholarship by oral and written communication to a variety of audiences
- A capacity to cooperate with and respect the contributions of fellow researchers and scholars
- An advanced facility in the management of information, including the application of computer systems and software where appropriate to the candidate's field of study (those specializing in Computer science)
- An ability to apply mathematical models in decision making and solving complex problems (those specializing in science)
- An understanding of the relevance and value of their research to national and international communities of scholars and collaborators
- An awareness where appropriate of issues related to intellectual property management An ability to formulate policy applications to relevant agencies based on the findings emerging from research

The aim of the guidelines below is to assist supervisors and candidates to develop a sense of what is required of each and to identify some common areas where problems have arisen in the past in the university systems. The guidelines should be read in the context of MUST and UTAMU other policies and their commitment to ensuring that research candidates succeed. Research candidates have:

- Membership of the PhD Students Association, which provides student representation and scholarly activities for members.
- Opportunities for international experiences, a coalition of elite research universities from around the world at which students can hear from top international researchers and present their own work to an international audience will be encouraged.
- Research support funding to assist students who are presenting at national or international conferences or undertaking field work will be encouraged once resource permit.
- Dedicated desk space, computer facilities and all hours access to the internet to full time research students will be ensured by the two institutions.
- The chance to participate in the seminar series and collegial conversations in which academics present and discuss their work will be promoted.
- Twice yearly colloquia at which research students present their work to their peers and academics.

2.0   THE HISTORY AND NATURE OF THE DOCTORAL STUDIES

In the context of academic degrees, the term "philosophy" does not refer solely to the field of philosophy, but is used in a broader sense in accordance with its original Greek meaning, which is "love of wisdom". The academic level known as a Doctorate of philosophy varies considerably according to the country, institution, and time period, from entry-level research degrees to higher doctorates. A person who attains a doctorate of philosophy is automatically awarded the academic title of doctor. The use of the title 'doctor' seems to have originated at the University of Bologna in the early twelfth century. In medieval times the titles of 'master', 'doctor' and 'professor' were roughly equal in status. English teachers of law were doctors, those of theology, masters. It was in Germany that the doctorate came to acquire special status as a research degree, and it was from Germany that the degree was taken to the United States. Yale was the first American university to adopt it, in 1860, and other American universities soon followed suit.

With the PhD well established in the United States and on continental Europe, existing English research qualifications such as the Cambridge Certificate for Research came to appear inadequate, and the PhD was seen, even in England, as the hallmark of respectability in research. Nevertheless, it was not until the first two or three years after the First World War that the degree as it was known in Europe and the United States was adopted in England. The University of Oxford led the way, followed shortly after by the University of Cambridge. Australian universities adopted the degree after the Second World War, the PhD being introduced to the University of Melbourne in 1947.

The degree of Doctor of Philosophy signifies that the holder has undertaken a substantial piece of original research, which has been conducted and reported by the holder under proper academic supervision and in a research environment for a prescribed period. The thesis differs from a research master's thesis chiefly by its deeper and more comprehensive treatment of its subject. The thesis demonstrates authority in the candidate's field and shows evidence of command of knowledge in relevant fields.

- It shows that the candidate has a thorough grasp of the appropriate methodological techniques and an awareness of their limitations.
- It makes a distinct contribution to knowledge.
- Its contribution to knowledge rests on originality of approach and/ or interpretation of the findings and, in some cases, the discovery of new facts.
- It demonstrates an ability to communicate research findings effectively in the professional arena and in an international context.
- It is a careful, rigorous and sustained piece of work demonstrating that the PhD Graduand is admitted to the community of scholars in the discipline.

1. WHY PURSUE A PhD?

Each of the MUST-UTAMU PhD applicants has a reason for pursuing a PhD. This reason however needs to be shaped by the known reasons for doing such a demanding degree. It is good for the students to instantly know why they have decided to embark on this lonely academic journey. Knowing this reason would possibly demand extra care and commitment to the students. PhD students are often motivated to pursue the PhD by scientific and humanistic curiosity, the desire to contribute to the academic community, service to others, or personal development.

A career in academia generally requires a PhD, though in some countries, it is possible to reach relatively high positions without a doctorate. The motivation may also include increased salary, but in many cases this is not the result. Research by Casey suggests that, over all subjects, PhDs provide an earnings premium of 26%, but notes that master's degrees provide a premium of 23% already. While this is a small return to the individual (or even an overall deficit when lost earnings during training are accounted for), he claims there are significant benefits to society for the extra research training. However, some research suggests that overqualified workers are often less satisfied and less productive at their jobs. These difficulties are increasingly being felt by graduates of professional degrees, such as law school, looking to find employment. PhD students often have to take on debt to undertake their degree but PhD education is a huge investment in terms of time, money and other opportunity costs.

As you embark on the PhD, be aware of the killer challenges common to doctoral students as elaborated by London School of Economics Doctoral handbook:-

1. Challenge A: "Not suited to doing a PhD"
2. Challenge B: "De-railed by life events"
3. Challenge C: "Not progressing"
4. Challenge D: "Having problems with the research project"
5. Challenge E: "Having problems working with the supervisor"
6. Challenge F: "Inherited student"

You should be aware that most PhD students will experience a range of emotions throughout the life of their PhD and that these can have an impact on their performance and their needs from your supervision. Phillips & Pugh (2000) describe a common pattern:

Year 1
- Enthusiastic – at the start of the project with lots of expectations and ambitions;
- Anxious – am I clever enough, when will they spot I am a fraud;
- Disappointed – I have not achieved as much as I expected;
- Isolated – feeling alone even when other PhD students are at hand.

Year 2

- 'Getting nowhere syndrome' – boredom with the routine of research;
- Interested – really involved and having the confidence to solve problems;
- Frustrated – time constraints impact on capacity to follow all areas of interest.

Year 3
- Independent – less reliance on supervisor for knowledge of field;
- Job to be finished – the thesis becomes a task;
- Stressed!

3.0 JUSTIFICATION FOR THE JOINT PhD

Uganda's higher education sector has expanded in terms of number of institutions and student explosion. This exponential growth has not been numerically accompanied by the same number of academic staff especially at doctoral level. While there are some PhD holders in almost all universities in Uganda, these are not enough. Moreover, even many of them after completion of the PhD don't get the opportunity to undertake a postdoctoral fellowship or engage in co-supervision of graduate students. A good number of PhD holders in Ugandan institutions have not been able to publish and grow in academic rank. This is untenable for a country like Uganda given the developments in other countries in regard to building capacity of high ranking academics that ought to see the higher education sector player a more dominant role in the economic and social transformation of society.

There have been several interventions of capacity building in Ugandan universities mainly coordinated by Makerere University. For these interventions, the design has been that Makerere University receives support to build capacity in other universities. In this arrangement when money is allocated for PhD training the students (staff from other Universities) register at Makerere University and are jointly supervised by Makerere University senior staff (PhD holders) and staff from partnering institutions outside Uganda. The senior staffs (PhD holders) at the other universities in Uganda rarely participate in the supervision of PhD students registered at Makerere University and research provided under the coordination of Makerere University. This model does not build the intended capacity at the other universities in Uganda; it only concentrates capacity building at Makerere University. The situation in private universities may even be more precarious than other public institutions yet it is now creating that private universities continue to play a fundamental role of government. The PhD students on capacity building programs coordinated by Makerere University graduate from Makerere University hence denying the other Ugandan universities the opportunity to build the profiles of the individual universities.

To address the above unhealthy trend, Mbarara University of Science and Technology (MUST) and Uganda Technology and Management University (UTAMU) have come up with a joint institutional capacity building programme initially focusing on PhD training by research. This programme will be later expanded to include other Universities in Uganda that are interested in a joint PhD programme where quality and other issues related to PhD training are jointly monitored. It will also be expanded to PhD training by research where individual partnering universities can design their individual PhDs. This later mode will be undertaken once successful launch of the first initiative has been accomplished.

The aim of the programme is to recruit 240 PhD students (100in 2013, 80in 2014 and 60in 2015) over a three-year period. The supervisors shall comprise PhD holders from the partnering universities. However, as provided by NCHE guidelines, a memorandum of understanding will be signed with other respected scholars in and outside the country to provide needed supervision where necessary. The students shall come from all over the East African region but priority shall be given to staff of universities and research institutions. Initially all the students shall register at MUST but with a possibility to transfer their registration to another partnering University where strong supervision capacity may be located as per respective disciplines as long as that University is recognized to offers PhDs in the same discipline.

The joint PhD programme shall initially cover areas of (physical) science, computing, economics, business administration, management, public administration, governance and development studies. At MUST the following academic units will

host the PhD students and PhD holders participating in the program: Faculty of Science, Institute of Computer Science, Institute of Management Science and Institute of Interdisciplinary Training and Research. At UTAMU the PhD students and PhD holders participating in the program shall be hosted in the School of Computing and Engineering and the School of Business and Management. PhD holders in the relevant disciplines shall be the main supervisors and other PhD holders within and outside the country may serve as co-supervisors.

4.0 BACKGROUND TO PARTNERING INSTITUTIONS

4.1 Mbarara University of Science and Technology (MUST)

Mbarara University of Science and Technology (MUST) is located within Mbarara Municipality 267 km from Kampala a long Kabale highway, in Mbarara district- Southwestern Uganda. MUST was founded in 1989 when the National Resistance Council passed a statute establishing the University. Undergraduate program started in 1989 for courses leading to the award of degree of Bachelor of Medicine and Surgery. Since the inception of Mbarara University of Science and Technology, a good level of infrastructural growth and program expansion has been registered. The university is currently running Certificate, Diploma, Undergraduate, Post Graduate Diploma, Masters and PhD by research programs in all its faculties/ institutes. These aforementioned achievements are pursued with the following as guidelines:

The University Motto "SUCCEED WE MUST" embodies a commitment to a sense of determination to achieve whatever the university sets out to do.

The University Vision
"A Center for Academic and Professional Excellence in Science and Technology"

The University Mission
The vision of the university is "To provide quality and relevant education at national and international levels with emphasis on science and technology and its application to community development". The aim of the university is to promote quality education for national integration and development through among other things, improved teaching of science and technology at all levels. Its overall objectives include:-
- To advance, transmit and preserve knowledge from one generation to the next.
- To produce the necessary human resource in applied sciences, technology and managerial skills.
- To generate and disseminate knowledge and innovation
- To provide services to the public by analyzing and solving problems through community outreach programs.
- To impart knowledge and skills on Local and International issues.

For more information visit the website: www.must.ac.ug

4.2 Uganda Technology and Management (UTAMU)

Uganda Technology and Management University (UTAMU) was licensed by National Council for Higher Education (License Number: UIPL022) to operate as a Private University in Uganda. It has positioned itself as a high quality education and research institution in technology and Management (T&M) in the region. Furthermore the University has positioned itself to undertake consultancy, knowledge transfer partnerships and business incubation. **The Vision** of Uganda Technology and Management University is "*To be a global educational institution for management, science, technology and*

innovation " and **The Mission** of the university is "*To provide global quality education, Research and innovation critical to economic and human development.*

UTAMU independently and collaboratively offers certificate, diploma, undergraduate degree, postgraduate diploma, masters and PhD qualifications. **For more information visit the website: www.utamu.ac.ug**

5.0 IMPLEMENTATION STRATEGY

5.1 Graduate Student Handbook

A Graduate student handbook with detailed guidelines on handling graduate training is in place and it shall be updated regularly to guide quality assurance procedures from administration to final examination and graduation.

5.2 Selection, admission and Minimum graduation requirements

The applicants shall have a minimum of a master's degree from a recognized University. The Joint Selection Committee comprised of representatives of participating Universities screen the applicants and recommends MUST Admissions Board the candidates for admission. Applicants who have already undertaken their doctoral studies and are yet to complete their dissertation but wish to transfer to this programme are considered by the programme coordinator and specific recommendations are made to the steering committee.

To qualify for graduation, a PhD student needs to spend a minimum of three (3) years on the PhD program and shall also publish at least 2 peer reviewed (refereed) publications in either a journal or published book out of the PhD research. The other requirements are stipulated in the Graduate Student Handbook.

5.3 Supervision

The main supervisor is a PhD holder in the same discipline and with at least two years of research experience after the PhD and should have published at least three papers in either referenced journals or as book chapters in a book with an ISBN number published by a recognized publisher. The detailed guidelines on supervision as indicated in the Graduate student Handbook apply. Flexibility may be possible beyond the guidelines specified by the handbook on a case by case basis.

5.4 Joint Graduate Studies and Research Board

The Joint Graduate Studies and Research Board consist of PhD holders at the rank of at least Senior Lecturer from partnering institutions. This joint board receives and considers progress reports of all the PhD students and ensures that quality supervision is being given. Even before a student submits the final dissertation for examination this joint board approves. This Joint Board is responsible for quality assurance matters on this program and it submits its periodic reports to the Senate. In executing its mandate it is guided by MUST policies, the Graduate Student Handbook and other relevant policies and documents.

The Joint Graduate Studies and Research Board consist of at least 5 (five) members and not more than 10 members. It is constituted by MUST in consultation with the other partner universities. The Vice Chancellor of MUST chairs this Board.

5.5 Coordination and Management

Due to the fact that the program is a joint initiative among several universities, the coordination and management of the program is distributed across the universities. The Vice Chancellor of MUST constitutes the Secretariat for the

programme. The Academic Registrar of MUST is head the Secretariat. The Secretariat comprises of such persons as recommended from time to time by the MUST Senate to ensure efficient and effective services to the PhD students registered on this programme. There is a Program Steering Board Chaired by the Vice Chancellor of MUST with the Vice Chancellors of UTAMU as a co-chair. The Overall Program Coordinator and the Deputy Program Coordinator are members. The Academic Registrars or Deputy Vice Chancellors of the Participating Universities are also members. Each University nominates one representative at the level of Dean or Director to the Program Steering Board.

Professor Benon C Basheka, the Dean School of Business and Management, UTAMU will be the Overall Program Coordinator. Before joining UTAMU, Professor Basheka was the Head of Higher Degrees at Uganda Management Institute (UMI) where he initiated and coordinated the institute's PhD in Management and Administration. Dr. Anabella D. Habinka MUST will be the Deputy Overall Program Coordinator. Each Dean/ Director from the Faculty/ School/ Institute that has student (s) on the program is a member of the Program Coordination Committee. The Program Coordination Committee is chaired by the Overall Program Coordinator and deputized by the Deputy Overall Program Coordinator. The program coordination committee is responsible for the day-to-day coordination and management of the program. The business of the coordination committee either goes to the Program Steering Committee or the Joint Graduate Studies and Research Board.

6.0   THE Ph.D. FEES STRUCTURE

The fees shall consist of tuition fees and functional fees. The functional fees shall be UGX 1 million per year or UGX 500,000 per semester.   The tuition fees shall be as follows:

PhD (Discipline)	Tuition Fees per Semester in UGX	Tuition Fees Per Year in UGX		
PhD (Science)	4,000,000	8,000,000		
PhD (Computing)	3,500,000	7,000,000		
PhD (Public Administration)	3,500,000	7,000,000		
PhD (Economics)	3,000,000	6,000,000		
PhD (Management)	3,000,000	6,000,000		
PhD (Business Administration)	3,000,000	6,000,000		
PhD (Development Studies)	3,000,000	6,000,000		

7.0   SUPERVISION ARRANGEMENTS AND GUIDELINES

The Joint PhD primarily aims to increase - the completion rate for PhD students. One of the steps towards achieving this goal is the improvement of PhD supervision. There will therefore be effective PhD supervision seminars and workshops from time to time. It is recommended that the PhD supervisor competency development will be tailored to the individual target groups as per the disciplines of specialization but there are common areas where efforts will be jointly done for all the specializations. The supervisor groups will be created in order to facilitate the open exchange of experience, which can contribute to creating a shift in the views on supervising - also among experienced PhD supervisors - as well as making PhD supervision more prominent. In order to boost the quality of PhD supervision, it is important to focus on both the new and more experienced PhD supervisors alike.

In a national study carried out in Sweden in 2008 amongst 6700 former PhD students, 60% felt that poor supervision had delayed their completion of the programme. Almost 40% of those responding to the same survey felt that the supervision they received had been inadequate. One of the main conclusions at the KUFUR (Academic Board on PhD Education) PhD committee seminar in March 2009 was that good PhD supervision is one of the fundamental elements of a good PhD programme. PhD supervision therefore is an international problem and this joint PhD will endeavor to address the

challenges that stand on the way of effective completion. The quality of PhD supervision has great significance for the education of PhD students and their completion of the PhD programme.

The worst supervisors share three unforgivable characteristics which will be addressed by the universities jointly engaged in this PhD Project:

1. They do not read your writing
2. They never attend supervisory meetings
3. They are selfish, career-obsessed bastards

Different supervisors inevitably have different styles. However, the same supervisor may need to adapt his or her personal style to suit the needs of particular students. The following suggestions will be important:-

- Decide on the right style for you and your student;
- Find an appropriate balance between heavy-handed dominance and hands-off neglect;
- Consider questions such as;
  o How much should you push your views as opposed to giving them freedom to learn from their mistakes?
  o How much should you do for them?
- Be sensitive to how students respond to your style and be prepared to adjust it, if appropriate;
- Seek help from more experienced colleagues if you have any concerns.

7.1 Criteria for Selection and Appointment of PhD Supervisors

The supervisor-candidate relationship can be one of the most rewarding aspects of academic life for both supervisor and candidate. There is no single right way to supervise or to complete a PhD thesis and the supervision relationship will usually change over time as the needs of the candidate and project change. There are, however, some hallmarks of most successful supervision relationships including: good communication; agreed standards; professionalism; consideration of the needs of the other party, and ethical behavior. MUST and UTAMU will facilitate a systematic and ongoing exchange of experience between the faculties as well as providing opportunity for the PhD supervisors to receive international inspiration and access to the most recent research pertaining to PhD supervision. The following criteria will be followed in appointment of supervisors:-

1. PhD supervision shall involve at least one supervisor who has to be an academic staff member of the university or any other senior academic appointed for that purpose with competence to supervise the PhD research area

2. Supervisors must be PhD Holders and must have a serious track record of research and publications as recommended by the NCHE.

3. Supervisors can be from any university in the country or outside provided their experience in supervising is established, their research track and their publications are known and well established

4. If the main supervisor is from a university or institution other than MUST and UTAMU, a MOU between the two institutions or individuals on the supervision will be required. Efforts must be made to ensure continuity of effective supervision.

7.2 Role of the supervisors

Joint supervision; defined as having two supervisors each with 50% responsibility will be encouraged. However, one of the supervisors must be given primary authority to decide on a course of action in the event that the two supervisors disagree. This supervisor will also assume responsibility for the authorisation of all matters relating to the candidature.

Developing good professional working relationships between candidates and supervisors is important. Candidates should meet with their supervisors as agreed. The role of the supervisors is to:

- Alert candidates to commonly encountered tasks, processes and the standards expected of graduates in their field of research
- Assist candidates to develop a framework for the research and a timeframe for its completion
- Ensure satisfactory arrangements are made regarding ethics requirements, intellectual property (including patents) and authorship of any publications arising from the candidate's research
- Advise on the standard of written work and, if required, assist the candidate to develop their skills or refer them to writing skills training programs
- Meet with the candidate as agreed to exchange ideas, check progress and assist them to develop the graduate attributes expected of this joint PhD
- Conduct a major review of progress at least six monthly
- Advise on the format and preparation of the thesis
- Within reason, read any written work thoroughly, in advance of meetings, and provide regular feedback on the candidate's work
- Provide opportunities to include the candidate in the academic life of the department and beyond
- Encourage the candidate to publish their work.

The main supervisor of any candidate will be from MUST or UTAMU with appropriate research experience, a continuing active involvement in research and a member of the academic unit through which the candidate is enrolled. The two institutions may appoint as main supervisors from outside, provided that they are undertaking teaching and research responsibilities normally expected of a member of the University's academic staff. External supervisors with supervision experience and proven research activity may be offered Associate membership upon application. Most arrangements for external supervision will be made on the basis of mutual cooperation between colleagues throughout the sector. An associate supervisor need not be a member of the academic staff but should be of recognised standing in the relevant field of research. The supervisory team and the candidate must all be aware of each supervisor's clearly defined responsibilities. A permanent replacement supervisor must be appointed where any supervisor is unable to discharge their duties as a supervisor for a period longer than six weeks. The programme coordinator on receipt of a formal complaint from the candidate or supervisor will immediately make arrangements to get a new supervisor to ensure continuity of effective supervision.

7.3   Supervision load

Most academic staff are involved in the supervision of research students and must balance this responsibility with their other obligations to teaching and research. Models of good practice in supervision imply an upper limit on the number of students who can be adequately supervised by one person, and other benchmark universities have policies which set the maximum number of students allowed to be supervised at any one time. A framework for ensuring quality supervision and reasonable loads will depend on a number of factors such as:

- Discipline based variations in the nature of the supervisory process;
- Other workload of supervisor (eg teaching, service and administration);
- Time allocation for supervision within the school/faculty-based workload arrangements
- Team supervision with key supervisors, active associate or co-supervisors and postdocs;
- Management of supervision through effective lab groups; writing circles; methodology groups;
- Past supervision experience and record;
- Opportunity to supervise as a career factor for young academics;
- Candidature stage of different students;
- Fit of the research skill proficiency of the candidate and supervisor to the project and its requirements;
- Broad school, faculty or university level support for the candidate and supervisor in terms of research training and infrastructure.

7.4   Supervision Guidelines and best practices

- The supervisor needs to be well acquainted with the candidate's area of research and academic background so that if the proposed project needs additional skills and knowledge, the candidate can be informed how these might be acquired

- The supervisor must have demonstrated an interest and expertise in the field of the candidate's research. The supervisor must not undertake to supervise students in fields or on topics in which he/she has no expertise or interest.
- Supervision of research students is not only a complex teaching task, it should be regarded as a shared enterprise in which both supervisor and student have an intellectual investment. Proposed research projects should therefore be of mutual interest. Prospective supervisors should have a sufficient range of theoretical and methodical expertise to offer the student proper supervision. There should be adequate time to supervise when other academic commitments are taken into account.
- Supervisors must be prepared to read material written by the candidate other than the thesis (for example, publications)
- Supervisors should undertake to read carefully and comment on written work provided by the candidate in compliance with agreed timetables
- Comments may be conveyed to the candidate in a variety of ways (by email, in writing, notes on the draft, orally etc) but the supervisor has responsibility for ensuring that the comments are clear and constructive.
- Supervisors should agree between themselves and the candidate whether both supervisors will comment on all parts of the thesis and all drafts.
- In making comments, supervisors should:
    - Be as clear and precise as possible.
    - Give candidates an honest assessment of the quality of their work and their overall progress.
    - Give guidance as to how to improve the work (not simply criticism)
    - Give feedback about the good qualities of the work and try to ensure that the feedback is given in a way that is respectful of the feelings of the candidate.

- If special circumstances prevent the supervisor from being able to comment in the time agreed, the supervisor should inform the candidate as soon as it becomes clear that the timetable will not be met and set out a revised time for return of comments.

- The supervisor should alert the commencing candidate to commonly encountered tasks, processes and standards expected of doctoral programmes in the particular field. This is a useful framework for helping the student to develop and refine a topic which can be researched and written up within the required time-frame.

- Once the topic is refined to the satisfaction of the student and the supervisor, the supervisor should assist the student to formulate a framework for the research and time estimates for the completion of various phases. Having such a framework, which may be modified as the research proceeds, gives a sense of focus, helps student and supervisor to check progress, and is often a useful early orientation to writing the thesis. The framework should be used to guide the student, but should not constrict the development of the research.

- From the outset, supervisors and students should ensure that they confer at what are agreed by them to be appropriate and regular intervals for meetings. This is particularly vital in the first year and for part-time students. Such agreements may be re-negotiated from time to time as the candidature

- Supervisors should make clear to the candidate that they can raise problems or concerns regarding the thesis with them at any time, including concerns about the supervisory relationship. Supervisors should be familiar with the University rules

- When supervisors also employ their candidates (eg as research assistants, teaching assistants, translators etc) it is very important to draw a clear line between the different relationships.

- Supervisors should be aware of not pressuring students to take on more work than is compatible with good progress on the thesis.

- Supervisors and candidates who work jointly on research need to comply with the university requirements regarding co-authorship and should make sure that it is clearly understood in advance who will be accredited as an author on particular works.

- Supervisors are expected to provide a supportive environment for candidates and to be able to refer them on to services such as counselling, language support, accommodation or employment services

- If the supervisors of a candidate form the view that there are serious problems with the candidate's progress, these should be discussed with the candidate in an open and frank manner and decisions reached about how these problems will be resolved.

- A written record of the nature of the problem and the solution agreed to should be kept by the supervisors.

- If the problem persists or the supervisors form the view that the candidate is unlikely to be able to complete the thesis, the supervisors should inform the Dean .

- Supervisors should keep a written record of all formal supervisions. This need not be detailed but should briefly state when the meeting took place, who was present, what was discussed and agreed, and future action. This a way of monitoring progress and in case disputes arise about the supervision relationship in the future.

- One way of ensuring that a candidate has understood feedback and of keeping good records is to ask candidates to write a brief email/memo after each formal supervision (where relevant, copied to all supervisors and not just the ones who were present) outlining the issues above.

- It is important that, from reasonably early on, there is an agreed timetable up to the point of submission that sets out when each major step is to be accomplished. This will need to be reviewed and updated on a regular basis.
- Supervisors are expected to provide continuing guidance to PhD candidates on the research being undertaken and on meeting time-lines.
- The supervisor is expected to read any written work thoroughly, in advance of meetings, and to provide regular feedback on the student's work, although a supervisor should not be obliged to read an excessive number of drafts of the same section or chapter. It is vital that criticism is given in a constructive, supportive and sensitive fashion. The supervisor needs to recognise that doing a research degree is an emotional as well as an intellectual commitment; students will be discouraged by continual harsh criticism. Supervision sessions should be structured so that it is relatively easy to exchange ideas.
- It is important not to lose sight of the personal dimension of the supervisory relationship. A candidate's progress may be impeded by personal crises to which the supervisor should be responsive. The supervisor should know where help might be sought within the University and what to do if there is a need to suspend candidature or negotiate an extension.
- The supervisor must recognise that accepting a research student involves a commitment to see a project through to completion within a faculty's normal time parameters.

- The supervisor should assist the candidate by:

.1.1.   advising candidates on drawing up a schedule which details the completion dates of different stages of the project;

.1.2.   assisting with the management of this schedule;

.1.3.   providing information relating to relevant literature and sources;

.1.4.   putting the candidate in touch with researchers working in related fields;

.1.5.   discussing and critically evaluating the candidate's findings and ideas;

.1.6.   promptly reading, criticizing and annotating draft chapters;

.1.7.   advising the candidate on the form and structure of the thesis;

.1.8.   ensuring that the candidate is (or becomes) familiar with, and observes one of the internationally recognized guides to scholarly convention, presentation, documentation of sources and the like (APA being the standard for this PhD);

.1.9.   ensuring that the candidate is aware that **plagiarism** is a serious offence that will be dealt with in terms of the University disciplinary rules, and that the University has effective means of detecting plagiarism, especially that arising from the use of the internet and other electronic sources.

- The supervisor must not attempt to impose his/her own stamp, theoretical or stylistic, on the candidate's work.

- The supervisor and candidate must meet sufficiently frequently to ensure that progress is not slowed down for want of constructive advice and criticism.

- The supervisor must insist on seeing drafts of major sections of the thesis (or extended essay) as it is written. The supervisor must respond as quickly as possible to the written submissions of the students.

- Although a candidate may submit for examination without the approval of the supervisor, the supervisor must see a complete draft before submission.

- Towards the end of each academic year, (excluding the 6 monthly progress reports) the supervisor must report to the relevant Faculty Board on the progress of each student and make recommendations regarding re-registration the following year.

Summary Pointers to Good Practice

- Help students to see their PhDs as a structured programme with a beginning, middle and fixed end;
- Ensure that the thesis topic / research project is manageable and achievable in the time period and with resources available;
- Ensure students undertake appropriate training;
- Provide timely, clear and constructive feedback on their work;
- Try to be consistent in your dealings with students;
- Show an active interest in your student (as a person) and in his or her work;
- Encourage an open exchange of ideas and show respect for their views;
- Try to be open and supportive but avoid becoming overly close to students while supervising them;
- Look for ways to support your students in their academic careers by helping them establish appropriate networks and gain an academic reputation;
- Help students to become independent researchers (who no longer need your supervision);
- Keep your own supervisory skills updated by attending periodic update sessions.
- Remember always, you were once like the students doing the PhD!

8.0 GUIDELINES FOR PhD CANDIDATES

Defining and Refining the Topic

Candidates should work with their supervisors in the early months of candidature to refine their thesis topic and to develop appropriate methodologies/approaches, timelines and research plans. While the supervisor can assist candidates in refining or focusing a thesis topic, it is primarily the responsibility of the candidate to put forward and develop a thesis topic.

Researching and Writing the Thesis

- Candidates have primary responsibility for undertaking the research thesis. Supervisors may recommend reading and Library staff are happy to *assist with additional search of literature*, but the final responsibility for ensuring that the research is sufficiently comprehensive lies with the candidate.

- Candidates also take primary responsibility for the writing of the thesis. Supervisors should comment on the quality of the thesis and assistance with writing and English language skills may be sought elsewhere, but the work that is produced should be the candidate's own and they should not expect it to be re-written for them by supervisors or anyone else.

Meetings

- Candidates should produce work to the timetable as agreed with supervisors. If it becomes clear that deadlines will not be able to be met for good reason (such as ill health or because it becomes clear that the task undertaken is more substantial than originally thought) then the candidate should give the supervisor as much notice as possible of this and negotiate a new deadline.

- Candidates should attend meetings as agreed with the supervisor. While it may occasionally be necessary to change a meeting time, the supervisor should be given as much notice of this as possible. Candidates should never simply fail to turn up to a meeting or cancel a meeting at the last minute for anything but serious reasons.

- Some candidates find it useful to prepare 'agendas' for their meetings with supervisors to give supervisors advanced notice of particular issues that they would like to focus on and to help them to remember key points (eg to get a form signed off, to discuss a particularly difficult issue etc). Candidates might wish to discuss with their supervisors whether this is appropriate.

Feedback

- Supervisors' comments on work should be taken seriously. If the candidate does not understand those comments, it is the responsibility of the candidate to ask for clarification. At times the candidate may disagree with the comments. It is better in those circumstances to discuss this disagreement with the supervisors rather than to simply ignore the comments or to comply with them even though the candidate does not agree. The final decisions as to what is included in the thesis belongs to the candidate, but the supervisor will also need to be satisfied as to the quality of the thesis if s/he is to sign off on it prior to submission.

- Reading a chapter of 8,000-10,000 words takes most supervisors about half a day. Reading the full draft of a thesis takes several days to a week. When developing timelines, candidates should be aware that supervisors need to be given sufficient time to read and comment on work. Supervisors will generally have many different responsibilities and have to organise reading around these responsibilities. If work is handed in after an agreed deadline, candidates should be aware that this may significantly extend the time that it takes a supervisor to read it (for example, if that supervisor has put aside the morning after the work was due to read it, but does not have any further time that week).

- Candidates should also be realistic about their timetables for completion. It may well take a month to eight weeks for supervisors to turn around a full draft of a thesis. The timetable for completion should be discussed well in advance with supervisors and supervisors need to be consulted about how long they will need to read and comment on work. It should not be assumed that full drafts can be turned around in the space of a week or two.

- It is reasonable to expect a supervisor to look at a draft of every chapter and to read the whole thesis. Many supervisors will read a second draft of a chapter, but candidates should not expect supervisors to read and re-read the same chapter many times. If particular parts of a chapter have changed or need particular attention, it might be appropriate to draw these to the supervisors' attention.

- Candidates should generally make sure that work is of a professional and competent standard before asking supervisors to look at it. There may be some circumstances in which supervisors are prepared to (or even wish to) look at notes or rough drafts, but they are not obliged to do so. Similarly, drafts need not be perfect but should be proof read so as not to distract supervisors with avoidable errors. However, the fact that a piece of work is not in a polished state is not a reason for avoiding a meeting. Regular meetings are important even if it is only to discuss progress.

Writing a proposal, paper or thesis
- In preparing the proposal, paper or thesis, candidates should bear in mind the following:
  - they are expected to be familiar with the literature in the particular field and assess it critically;
  - they should formulate a clear hypothesis or overall question, and should support their conclusions with adequate data or evidence and analysis;
  - the evidence presented should be relevant to the main hypothesis being investigated;
  - Candidates should pay particular attention to the final presentation of the thesis. Not only should the final version be carefully checked for errors, but it should be clearly structured and easy to follow, and should form an integrated whole (examiners can ask for theses to be revised if presentation is below the required standard).
- In writing up their research, candidates must avoid the following:
  - the fabrication of data - claiming results where none have been obtained;
  - the falsification of data - altering results to confirm the hypothesis;
  - plagiarism, including the direct copying of textual material, the use of data or ideas from other people without adequate attribution;
  - attribution to others who have not in fact contributed to the research.

9.0 SUPERVISOR TRAINING

All PhD research supervisors will be required to undertake an approved supervisor training course. All academic staff new to the Joint PhD will be required to attend a one-day academic orientation program which includes a session on the policy and procedures for graduate research supervision. All academic staff to supervise graduate researchers will from time to time be required to attend workshops on graduate researcher supervision whenever they are organized.