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UGANDA TECHNOLOGY AND MANAGEMENT UNIVERSITY

UTAMU

Graduate School

SUPERVISION HANDBOOK

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OPERATIONAL DEFINITIONS OF TERMS

Research Proposal

This is a written plan of an intended research submitted and approved by the relevant authority before commencement of a thesis/ Dissertation.

Thesis

Thesis means the documentation of a supervised original research prepared and submitted by a cand for the award of a PhD by research only

Dissertation

A dissertation is a research report arising out of a student's research work undertaken under the method of experienced supervisors and submitted by a candidate for the award of a Masters or PhD by course and research.

PhD or Masters Student

A doctoral student who is undertaking taught courses and has to pass them before taking the w comprehensive examinations.

Written Comprehensive Examinations

An assessment that covers a broad base of material that gauges the student's comprehensive knowledge capacity to earn a PhD or Masters degree in a given field or specialization. A PhD student takes this test after complying and passing all the courses registered for.

Status of a PhD or Masters Candidate

A doctoral student will be admitted into candidacy after he/she has successfully passed h comprehensive examinations. Such a candidate is, however, not a PhD holder until he/she has successfully completed his/her dissertation

Doctor of Philosophy Degree

The degree to be awarded upon successful completion of the PhD programme and will be “Doctor Philosophy” in (the field of specialization), for example, Doctor of Philosophy (in Business Management PhD (Business Management))

Masters of Science/Arts Degree

A graduate degree earned after completion of an undergraduate degree (BA or BSc) in a specific field

A Constituent School

A constituent unit of the University consistent with the Universities and other tertiary Institutions Act [UOTIA] and offers a set of academic programmes usually located at a place belonging to the university; has a certain degree of academic, administrative, and almost complete financial autonomy; it is, however, still part of the Mother University.

A School

This is an Academic Unit encompassing departments and engaged in Teaching, Learning, Research, Knowledge Transfer Partnerships based on a focused body of Knowledge

A Directorate

A non-academic, administrative unit of the University

Institute

This is an academic unit of a university, which is research based and largely focused on service and knowledge transfer partnerships

Department

This is a unit of a school or college that deals with core functions of teaching, learning and research in particular discipline or closely related disciplines

The University

Uganda Technology and Management University

Assessment

A generic term for a set of processes that measure the students' achievement of the intended learning outcomes in terms of knowledge acquired, understanding developed, skills gained and attributes demonstrated. These assessments may include written, oral examinations, essays, class tests, work, dissertations and practical activities

Credit Value

The size of a course or module is measured by reference to student learning time so that for every 1 unit a student shall normally be expected to spend 15 hours in programmed activities, in a semester

Postgraduate Academic Year

The period running from the first day of the first semester to two weeks before the start of the following academic year

Senior member:

An academic staff at the rank of Senior lecturer or higher.

1. Introduction

1.1 This handbook

This handbook provides information for research degree supervisors, to enable them to provide the appropriate level of support to their research students. It sets out the roles and responsibilities of supervisors, as well as the correct procedures for dealing with all aspects of the research degree process. This includes selection of subject, induction, ethical and other issues, transfer, monitoring progress, submission, examination and completion.

Useful information about Research and Operations is also included and reference is made to relevant regulations, codes, policies and procedures which are available in full on the Policies section of the UTAMU website. Supervisors should be aware of all these documents and related issues. Particular attention should be paid to the UTAMU practices which underpins all the University's arrangements and also to the relevant School protocols

The periods of study, progress, assessment and examination arrangements are different for each of the individual research degrees. In some Schools, supervisors may be simultaneously involved in the supervision of students registered for different research degree programmes. In such cases, supervisors must ensure that they make themselves aware of the individual regulations and requirements for each research programme.

The precise arrangements in each School may vary to take account of the requirements of the different disciplines, but the Postgraduate School and Research structure is intended to strengthen research degree arrangements and provide a consistent experience for all students.

The supervisor should seek advice from PGRTs where appropriate. Students may also discuss matters of concern with them. Further information, including a description of the role of the Post Research Tutor, the criteria for the appointment and a list of current Tutors is published on the Post Research and Operations website

1.2 Important contacts and their roles:

All Masters' or equivalent and Doctoral programmes of study at Uganda Technology and Management University (UTAMU) culminate in the presentation of a dissertation conveying the results of the independent study and research carried out by the student. It is necessary for students, Supervisors, Advisory Committees and Examiners to ensure that high qualitative and quantitative standards are understood and maintained.

1.3 The Master's Dissertation

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A Master's Dissertation reviews the state of knowledge in a particular field, creates and evaluates a new design or novel experiments in a particular aspect of an area of study or makes an appropriate critique or interpretation of the subject. The Master's Dissertation should be evidence of the student's ability to:

- review effectively the relevant literature in the field;
- undertake independent research, and;
- present the results in a clear, systematic and scholarly form.

It is expected that a Master's Dissertation will make at least some independent contribution to knowledge or understanding in the subject area in which the student is working.

1.4 The Doctoral Thesis

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A Doctoral Thesis must set forth a significant contribution to knowledge or understanding, adding to or critiquing through approved research methodologies to the current theoretical underpinnings and empirical base in the student's field of study. The Thesis must be set forth in a scholarly manner demonstrating the original and independent investigations conducted and setting forth unambiguously its achievements, contributions and findings in a format appropriate to Doctoral Theses in the particular discipline.

The Doctoral Thesis must reflect:

- Mastery of the subject area under investigation;
- Competence in research techniques;
- The ability to select an important problem for investigation, and;
- To deal with research in a mature and competent manner.

The Doctoral Degree is, by nature and tradition, the highest certificate of membership in the academic community. It is meant to indicate the presence of superior qualities of mind, intellectual interest and high attainment and knowledge in a chosen field. It is not conferred merely as a certificate to a prescribed course of study and research, no matter how long or how faithfully pursued. Independent achievement at a high intellectual level is a necessary prerequisite to its conferment. A Doctoral thesis or parts thereof must be judged to be potentially publishable.

1.4 Principles for Supervision

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- 1.4.1 UTAMU provides supervision and advice for each research student through the appointment of an experienced supervisor who has successfully supervised a higher degree by research student to completion at this or another recognised tertiary institution.
- 1.4.2 The university will not accept applicants for admission unless appropriate supervisory arrangements can be made for the specific field and course of study.
- 1.4.3 Appropriate supervision must be provided and maintained throughout the research period. Formal co-supervision or informal "back-up" arrangements must be made to cater for the possible absence of the coordinating supervisor. In the case of co-supervision, this arrangement must be approved by the Postgraduate School, as appropriate.
- 1.4.4 The co-supervisor or "back up" supervisor must be involved in a meaningful way with the research from the commencement of candidature to ensure that minimal disruption takes place should the coordinating supervisor be unable to continue with the supervision.
- 1.4.5 It is expected that, in conjunction with the Head of School, supervisors undertake fully their responsibilities as outlined in this document and the University policy on

Postgraduate School and Research and ensure they fulfil all academic and administrative requirements promptly and satisfactorily.

2.1 Eligibility of Supervisors

UTAMU determines the eligibility of academic staff to supervise higher degree candidates. A supervisor should normally:

- 2.1.1 Have expertise in the area of the proposed research; and
- 2.1.2 Be familiar with the standards required for research at the postgraduate level
- 2.1.3 Be a holder of a PhD degree of at least 3 years standing to supervise a PhD student

2.2 Number of Candidates per Supervisor

- 2.2.1 A supervisor, whether major or minor, may supervise up to the equivalent of 3 full-time PhD research candidates plus 5 Masters students at any one supervisory time
- 2.2.2 A supervisor may not supervise more than eight (8) Masters students
- 2.2.3 Where a supervisor exceeds the maximum number of candidates under his/her supervision, the supervisor must be able to demonstrate that there are mechanisms in place to ensure adequate contact with the candidate
- 2.2.4 Each candidate supervised attracts a commensurate payment to the supervisors

2.3 Appointment of Supervisors

- 2.3.1 Each UTAMU candidate registered for any higher degree programme shall have one major and one co-supervisor appointed
- 2.3.2 The Heads of Department through informal contacts and consultation with the Dean/Principal and doctoral committee of the mother college shall identify prospective and willing supervisors.
- 2.3.3 Before a supervisor is recommended to the Postgraduate School concerned must be satisfied that the supervisor is competent in the subject area or field of Research in which the Candidate proposes to work.
- 2.3.4 The supervisors shall be appointed from among the staff of the University. Where it is deemed appropriate to appoint a major supervisor from outside the University, who has particular expertise unavailable within the University, the appointed co-supervisor must be a staff member of staff of UTAMU. In cases where the proposed supervisor has not previously supervised a higher degree research student at the University, a detailed Curriculum Vitae or other supporting material must be provided for consideration prior to appointment
- 2.3.5 The supervisors should have the necessary knowledge, commitment and access to resources to undertake the supervision. In cases where the main supervisor has the necessary knowledge, time, commitment and access to resources but is not an experienced supervisor, an experienced co-supervisor shall be appointed. In cases where the proposed main supervisor has the necessary knowledge, commitment and access to

resources but not the necessary time to give adequate supervision (e.g. is a Head of Department or Dean of a School, or is supervising a large number of research students or has heavy teaching or other commitments), a co-supervisor shall be appointed

- 2.3.6 The supervisors are expected to hold a university appointment for the duration of the supervision
- 2.3.7 A member of staff who is also a postgraduate student enrolled at this or any other University may not supervise another student at the same level. However, enrolled staff who are students on a PhD programme may co-supervise a Masters student but do not undertake sole supervision of these students.
- 2.3.8 Joint supervision across Schools or from outside the University (from industry or from another university) is permissible. A student should have a minimum of two supervisors and a maximum of three who must make it possible to ensure that all parties are able to meet regularly and agree on the direction of study.

2.4 Changes to the Supervisory Team

- 2.4.1 In the event that the designated major supervisor is unavailable or unable to supervise the candidate for periods of no more than six weeks the co-supervisor will ensure continuity of supervision during that period
- 2.4.2 In the event that the designated main supervisor is unable to supervise the candidate effectively for a period of six weeks or more, the Dean of the Postgraduate School consultation with the relevant School will nominate a replacement supervisor for approval by the Postgraduate School, using the appropriate form
- 2.4.3 In the event that the research proposal requires a change in supervision for its approval to occur, the Postgraduate School in consultation with the relevant School will nominate a replacement supervisor for approval by the Postgraduate School.
- 2.4.4 Where a candidate wishes to change the focus of the research after the research proposal is accepted and which requires a change in supervision, the student must make application to the Dean of the School through the Head of Department to vary the research. In these circumstances, the University reserves the right to decline the proposed change of focus.
- 2.4.5 In the event that an academic dispute or disagreement arises between a student and the supervisor, the Dean of the relevant School shall call a meeting for the purpose of resolving the problem.
- 2.4.6 If the dispute cannot be resolved through this process, or if the proposed solution is unacceptable to the student or one of the supervisors, the HOD through the Dean, may forward the dispute to the Postgraduate School to review the problem and recommend a solution.
- 2.4.7 If the problem cannot be resolved at the level, the dispute shall be referred to the University Senate. Senate shall be the final level of appeal and the decision shall be final.

2.5 Mentorship Nature of a Supervisor

A fundamental role of supervisors is that of senior partner. One of the key determinants of student success is the quality of mentorship provided by the supervisor. A supervisor(s) acts as a:

- 2.5.1 Director – Assist with determining topic or amending it and appropriate method to adopt
- 2.5.2 Facilitator- providing access to resources or expertise as well as arranging field work
- 2.5.3 Adviser- helping to resolve technical problems and suggesting alternatives
- 2.5.4 Counselor- assisting research students overcome supervision and other challenges
- 2.5.5 Teacher – teaching by instructing research technique
- 2.5.6 Guide- suggesting timetable for writing up, giving feedback and suggesting critical path for data collection
- 2.5.7 Critic- appraisal of the design, methodology and data interpretation
- 2.5.8 Benevolent- allowing and encouraging students to be independent and to make and take decisions
- 2.5.9 Supporter- support student by showing interest in the work
- 2.5.10 Manager- checking progress regularly and ensuring standardization of work
- 2.5.11 Examiner- as the first examiner and examinee by virtue of having done the work with the student, by being an 'internal' examiner administering mock *defence/ viva voce*, and is a member of doctoral committee.

2.6 An Effective Supervisor

- 2.6.1 Being familiar with, abiding by and guiding research degree students in relation to the University's policies, procedures, regulations, guidelines and codes relevant to higher degrees;
- 2.6.2 Remaining aware of current supervisory practices and the policy environment by participating in supervisor development and awareness programs;
- 2.6.3 Ability to assess the student's academic and technical skills and be satisfied before confirmation of/full registration that appropriate skills do exist or will develop during the time of the enrolment for the degree
- 2.6.4 Able to assist with identifying resources for their research degree students to undertake the proposed program of research in their Faculty/School/College;
- 2.6.5 Available to communicate/ meet regularly with their research degree student in order to provide timely advice and guidance in all matters related to research conduct, and overseeing all stages of the research process, including identifying the research objectives and approach, obtaining ethics and other approvals, conducting the research and reporting the research outcomes in appropriate fora and media;

3. Appointment of Supervisors

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3.1 Supervisor qualification

- 3.1.1 Will be appointed from among UTAMU staff. If the proposed supervisor is not a member of academic staff, then a co-supervisor must be appointed from among the academic staff.
- 3.1.2 A supervisor's academic competence is important, because the supervisor must also provide advice, guidance, and mentorship. Hold a qualification at least equivalent to the level of qualification being supervised and have an appropriate record of scholarly publications.
- 3.1.3 It is recommended that supervisors who are enrolled students in a PhD and are supervising students for the degree of master by dissertation do not undertake sole supervision of these students.
- 3.1.4 Have the necessary knowledge, time, commitment and access to resources to undertake the supervision
- 3.1.5 Have research expertise and experience relevant to the area of the student's proposed research and provide evidence of continuing and active involvement in research programmes.
- 3.1.6 Reasonably expect to hold a university appointment for the duration of the course.
- 3.1.7 Departmental or program websites generally provide profiles of their School members and descriptions of ongoing research and research facilities

3.2 Co-supervisor appointment

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A co-supervisor must be appointed in the following cases:

- 3.2.1 Sometimes supervisors and/or students may suggest co-supervision so that the student receives additional attention, guidance and expertise from a second mentor
- 3.2.2 The main supervisor has the necessary knowledge, time, commitment and access to resources but is not an experienced supervisor
- 3.2.3 The main supervisor has the necessary knowledge, commitment and access to resources but not the necessary time to give adequate supervision (e.g. is a Head of School, is supervising a large number of research students or has heavy teaching or other commitments).
- 3.2.4 Establishing supervisory responsibilities and reporting processes for the co-supervisor, who provides support to the major supervisor: The co-supervisor should be involved as soon as practicable in the development of the research degree student's research proposal and should maintain a level of communication with the research degree student and the major supervisor to allow adequate supervision whenever necessary;
- 3.2.5 Within a co-supervisory team, responsibilities should be established and agreed to as soon as practicable in the development of the research degree student's research

proposal. Co-supervisors should maintain a level of communication with the research degree student and each other to allow adequate supervision as necessary;

3.3 Joint supervisors

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Joint supervision differs from joint enrolment. A joint supervisor might be necessary:

- 3.3.1 Across schools/ faculties or from outside the University (from industry or from another university) depending on the nature or topic of research
- 3.3.2 There is no limit to the number of supervisors a student may have but it must be possible to ensure that all parties are able to meet regularly and agree on the direction of study
- 3.3.3 Where it is appropriate to appoint a supervisor from outside the University, who has particular expertise unavailable within the University
- 3.3.4 In cases where the proposed supervisor has not previously supervised a higher degree by research student at UTAMU, a curriculum vitae or other supporting material must be provided

3.4 Assigning supervisors

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When an applicant is recommended for admission to the University, a prospective supervisor is asked to:

- 3.4.1 Sign the application form to indicate their willingness and availability to supervise
- 3.4.2 Recommend to the Head of Department that a prospective applicant be accepted to candidature
- 3.4.3 Students are advised to obtain information about potential supervisors and the environment in which they will be working
- 3.4.4 It is important that whenever possible the student meet with the potential supervisor of their dissertation to determine compatibility and have an opportunity to discuss issues such as expectations, research project support, identifying a dissertation topic and scope, student funding, and strategies to ensure timely completion and quality work

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There may be special circumstances in which, during the course of studies, a student might wish to change supervisors.

This can happen, for instance, if during the preliminary stages of research, a student's topic changes significantly to the point of requiring different supervisory expertise.

4.1 Students may request changes in supervision

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- 4.1.1 Students may seek advice on this from the Head of School, Pro Vice-Chancellor (Research and Research Training) or the Postgraduate School and Research Office
- 4.1.2 **Applications for changes in supervision must be made** in writing to the Board of the Postgraduate School and Research or school, as appropriate
- 4.1.3 **The current supervisor**, the proposed new supervisor and the student must endorse/acknowledge the change
- 4.1.4 **The Head of School must endorse the change** if changes involve appointment of a supervisor from a School
- 4.1.5 **All changes must be approved** by the Postgraduate School and Research or School as appropriate
- 4.1.6 **The lack of appropriate or consistent mentorship** from a supervisor and/or the persistence of an unhealthy and non-productive student-supervisor relationship may make a change in supervisor necessary

4.2 Variation to candidature with implications for supervision

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- 4.2.1 Any proposed variation to candidature which has implications for supervision arrangements, such as a **temporary move to another location for research** purposes or a move to take up employment elsewhere, requires approval by the **Postgraduate School and Research** or School, as appropriate, with the written support of the supervisor, well in advance of any such proposed move.
- 4.2.2 **It may be necessary to appoint another supervisor** in any new location to ensure adequate day-to-day supervision, in addition to maintaining email or other communication between the chair of the panel and the student.

4.3 Arrangements during the absence of a supervisor

- 4.3.1 When a sole supervisor on a supervisory panel goes on extended leave for more than four consecutive weeks, an acting supervisor from within the University must be nominated.
- 4.3.2 It is the responsibility of the Head of School to make a nomination to the **Postgraduate School and Research**, normally at least a month before the supervisor departs, and after consultation with the student.

- 4.3.3 It is expected that **the original supervisor will continue** to have regular contact with the student when practicable, but the acting supervisor will be responsible for day-to-day assistance required by the student.
- 4.3.4 **Where there is more than one supervisor**, the supervisor remaining on campus when the other goes on study leave or other approved leave will normally assume primary responsibility for supervision. The **Postgraduate School and Research** must still be notified that the coordinating supervisor has gone on leave.

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5. Policy on Frequency of Contact and Feedback

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- 5.1 The type and amount of contact between supervisors and students **varies within and between Schools**, and depends on a variety of factors including developing experience and expertise of the students and the stage of candidature.
- 5.2 The recommended **minimum** amount of formal contact is **fortnightly**
- 5.3 Where there is more than one supervisor, **all parties should meet together** regularly if possible, and notes of all formal meetings and agreements must be circulated to all parties.
- 5.4 While it may be appropriate in some cases for supervisors to hold supervisory meetings with several students in a group, **all students should have regular opportunities to meet with their supervisors individually.**
- 5.5 Maintaining contact is considered to be a **mutual responsibility; supervisor and student** are jointly responsible for initiating discussions.
- 5.6 **If a formal meeting is not possible** some form of contact (e-mail, telephone, Zoom) should be maintained.
- 5.7 **Internal candidates**
- 5.7.1 An internal student means a person **undertaking study** towards a research higher degree who, except for approved periods, will conduct research and study towards the higher degree in an approved University School **for most or all of their period of candidature.**
- 5.7.2 For internal students, the **minimum amount of contact should be monthly face-to-face meetings.**
- 5.7.3 Students and supervisors should **establish** at the outset of candidature the basis on **which contact will be made.** (It is recommended that this decision be recorded in the Student-Supervisor Checklist if one is used.)
- 5.8 **External candidature and remote supervision**
- 5.8.1 An external student is a person **undertaking study** towards a research higher degree who, as a result of their location, **cannot conduct research and study** towards the higher degree **in an approved University School** for most or all of their period of candidature.
- 5.8.2 A student may be permitted **to enrol** as an external **student provided a supervisor is appointed at the location** at which the person will be studying and that appropriate access to facilities and resources has been arranged.
- 5.9 **Submission of written work to supervisors**
- 5.9.1 **Supervisors are expected to negotiate with students a schedule** for regular submission of written work, and to follow up with requests for the work if necessary
- 5.9.2 Students are expected **to submit written work by the agreed dates** or, for work that has been requested specifically, within a mutually agreed period, normally not later than one month after the request.
- 5.9.3 It is suggested that agreements for submission of written work be noted in the Student-Supervisor Checklist if one is used.

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- 5.9.4 It is acknowledged that the **period required to produce written work may vary** depending on a variety of factors including the scope of the work requested and personal schedules.
- 5.9.5 It is suggested that for pieces of work which are expected to take longer than one month to produce, **the student provides a progress report by an agreed date**, which will normally be within one month of the date of request for the work. In this case the final date for submission of the work should also be mutually agreed and noted.

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5.10 **Feedback on written work**

- 5.10.1 It is expected that **supervisors will comment, preferably in writing**, on student's written work within a mutually agreed turnaround period, normally not later than one month after submission of the work
- 5.10.2 It is suggested that **the turnaround period be negotiated between the supervisor and student** and noted in the Student-supervisor Checklist if one is used.
- 5.10.3 It is acknowledged that the **turnaround period may vary** depending on a variety of factors including the scope of the work submitted and personal schedules.
- 5.10.4 It is suggested that, for pieces of work which are expected to take longer than one month to review, interim feedback be provided by an agreed date, which will normally be within one month of the date of submission of the work. In this case the final date for receipt of feedback should also be mutually agreed and noted.

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The mission of the Postgraduate School is to promote intellectual and professional growth, academic scholarship and research excellence through departmentally based and interdisciplinary advanced degree programs. The responsibilities of supervisors include:

- 6.1 To providing advice, guidance, instruction and encouragement in the research activities of their students
- 6.2 Evaluating their student's progress and performance
- 6.3 To foster the intellectual growth of their students so that they can become competent contributors to their field of specialization
- 6.4 Play an important role in providing assistance and advice to their students as they plan career steps after the completion of their degree
- 6.5 Guide and advise the student on the selection and development of a research topic that is challenging, at the appropriate level for the degree sought, can be completed within the expected time frame of the degree program and is appropriately resourced
- 6.6 Help students to set realistic parameters and to identify feasible alternatives to the research project, if the original proposed project is unrealistic
- 6.7 Should ensure that the research receives approval from the appropriate Research Ethics Board, if required, prior to commencement of the project. The supervisor should ensure that, prior to data collection, ethics and compliance approvals for the research program as necessary have been obtained, and that the research degree student adopts ethical and safe working practices in places of study and work and complies with occupational health, safety, welfare and injury management guidelines
- 6.8 Encouraging and supporting research degree students to publish and present their work where appropriate;
- 6.9 Providing academic support and guidance, and helping research degree students to create strategic academic networks by putting them in contact with relevant researchers and other research degree students in their discipline;
- 6.10 **Clarify roles and responsibilities** in the supervisory relationship and **discuss expectations** of the supervisory relationship. Defining expectations early on can help prevent misunderstandings and other problems from developing
- 6.11 **Communicating regularly** with the student both orally and in writing the required levels of performance, as well as the performance indicators that are consistent with satisfactory and timely progress in the degree program
- 6.12 Supervisor responses on **the annual report, which is required for all PhD students**, should be formal occasions for the supervisor to assess research progress, or lack thereof, as well as adherence to agreed-upon timelines or milestones.
- 6.13 To give **guidance** about the nature of research and the standard expected, the planning of the research programme, relevant literature and sources, research methods and instrumental techniques, research data management and to direct students to particular training programmes and modules;

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- 6.14 Satisfying themselves that the research methods and outcomes of those research degree students under their supervision are appropriate and valid;
- 6.15 The supervisor should **explore in detail the student's academic background** in order to identify any areas in which further training (including language training) is required.
- 6.16 **Guidance** about the nature of research will include some of the following: a clear understanding in general terms of the main aspects of post research, the concept of originality, different kinds of research, and the form and structure of the dissertation.
- 6.17 In **planning the research** programme the supervisor should ensure that the project can be completed fully, including preparation of a dissertation, within the time available and advise the student accordingly.
- 6.18 To **make the student aware of relevant regulations and legal issues**, including but not limited to plagiarism, copyright, data protection, health and safety, and any ethical issues that might arise in the course of research.

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- 6.19 To **assist in the arrangement of necessary administrative steps** such as changes in registration and transfer between programmes; Research Council approval must be obtained prior to University approval being given.
- 6.20 To **maintain contact through regular personal supervision and seminar meetings** in accordance with UTAMU policy and in the light of any agreement reached with the student. The frequency and nature of these sessions will vary depending on the nature of the research, the requirements of the discipline, whether the student is based on or off-campus and on the registration status of the student.
- 6.21
- 6.22 Both **student and supervisor should sign a clear written agreement of the level and nature of contact** which should include an agreed procedure for dealing with urgent problems and a copy of the agreement should be lodged with the College.
- 6.23 The supervisor is **responsible for maintaining a record of all supervision** with the student, however students are expected to produce a record of supervisory contact
- 6.24 To **give detailed advice on the necessary completion dates** of successive stages of research in order to ensure that a dissertation is submitted within the time allowed by the regulations. This advice should take into account the requirements of any relevant funding bodies and the University
- 6.25 It is important that the student and supervisor **take the time to regularly review overall progress**, recording the discussion and any outcomes. This should take place at least three times per year for full-time and twice per year for part-time students.
- 6.26 To **request written work** as appropriate, and return such work with constructive feedback within an agreed period of time.
- 6.27 To **arrange, as appropriate, for the student to present his or her work at seminars** within the University and to attend external academic meetings or conferences and where possible to

- present their work, and to provide encouragement and assistance with possible publication of the student's research.
- 6.28 To **warn the student in writing of inadequate progress** or of an unsatisfactory standard of work with a copy lodged with the College.
- 6.29 To **advise the student in writing of the option of interrupting their studies** should illness or other adverse personal circumstances impede progress with their research with a copy lodged with the College. Research Council approval must be obtained prior to University approval being given.
- 6.30 To **complete School and funding body progress** reports in a timely fashion.
- 6.31 Supervisors should **take note of any feedback from the student**, School or School, whether arising from Annual Monitoring Reports_or separately.
- 6.32 To **initiate procedures for the appointment of examiners**_well in advance of the dissertation being submitted by:
- 6.32.1 Certifying that: 'The thesis/dissertation is of a standard appropriate to the discipline, is properly presented and adequately expressed in English, conforms to University regulations and policies and is, therefore, worthy of examination'
 - 6.32.2 Advising the research degree student on how to deal constructively and appropriately with critical review, including examiners' comments and recommendations;
 - 6.32.3 Recommending to the Dean/Principal of the Faculty/School/College, an appropriate response to the examiners' recommendations, including a proposed resolution of conflicting examiners' reports to the Examinations where necessary;
 - 6.32.4 Reviewing amendments to the thesis/dissertation and when required certify that the requisite amendments have been made within the required timeframe
 - 6.32.5 Encouraging and supporting research degree students' career aspirations and planning and help them develop the personal and professional capabilities that will enhance their career options
- 6.33
- 6.34 To **ensure that the student is prepared for the viva** and understands its role in the overall examination process.
- 6.35 To **advise the student subsequently of the implications of any recommendations from the examiners and assist** in the preparation of any amendments or re-submission.
- 6.36 To **conduct a training needs analysis with the student at least once a year** (following the initial assessment) and ensure that training needs are being met. The outcome of initial and subsequent training needs analyses should be recorded in a written agreement. Supervisors should monitor the provision of agreed training and discuss the outcomes with the student.
- 6.37 To **conduct a research data management review with the student at least once a year** addressing issues of capture, management, integrity, confidentiality, security, selection, preservation and disposal, commercialisation, costs, sharing and publication of research data and the production of descriptive metadata to aid discovery and re-use when relevant.
- 6.38 To **ensure that inter-School collaborative research/work undertaken by the student is documented** and agreed by all participants. The agreement should record details of who is carrying out the work (and what this involves), the resources required to complete the project

(who is funding them) and the use of the data generated following the completion of the project (who can use this for assessment and/or publications and how and with whom it can be shared). The agreement should be signed by all relevant parties and updated as necessary. Copies of the agreement should be kept by the participants and the supervisor.

- 6.39 **To be aware of the needs of different groups of students** particularly those that are not regularly on campus ensuring for example that students are not disadvantaged with regard to access to information concerning the requirements of their degree programme.
- 6.40 Advising on and **discussing with the student** at the commencement of candidature the **research process**, aims, scope and presentation of the dissertation, and any orientation, course work or supplementary training necessary for the research project
- 6.41 **Assisting the student to prepare applications for ethics** and other approvals from the appropriate University committees as required
- 6.42 **Clarifying the student's and the supervisor's respective expectations** of supervision and of the operation of the supervisory panel if applicable. On the basis of this discussion the supervisor and student should establish guidelines and expectations pertaining to, for example, frequency of formal meetings between the supervisor and student; the extent and style of the supervisor's input into the student's day to day activities; turnaround time for feedback on written work; any arrangements for co-supervision and interim supervision in the case of extended absence of the supervisor, if applicable; and the student's access to resources and space within the School
- 6.43 **Assisting students in planning an appropriate course of collateral reading**, suggesting relevant background reading and giving advice on the literature review. Supervisors should also ensure that students are thoroughly familiar with the University resources available to them and that they are able to make full and proper use of literature sources
- 6.44 **Identifying specific areas in which the student requires development** of their skills (e.g. computing, academic writing, statistics, English language) and referring the student to the appropriate sources of assistance
- 6.45 **Throughout the candidature** [Contents](#)
- 6.45.1 **Monitoring, evaluating and reporting** on progress. Monitoring the higher research degree student's performance and ensuring the research degree student is promptly made aware of inadequate progress or insufficient work by providing detailed feedback that identifies problems, establishing agreed timelines and milestones by which to measure performance, and conducting additional reviews of progress as required;
- 6.45.2 **Arranging acceptable meeting times** with students for formal discussions and constructive evaluation of progress
- 6.45.3 **Initiating and holding frequent and adequate discussions** with the student on the student's research programme. Supervisors must discuss, assess and guide the progress of their students at regular intervals and should encourage students to provide a regular written progress report on what has been achieved and to indicate objectives for the next period
- 6.45.4 **Requiring written work from the student on a pre-arranged and agreed schedule**; monitoring the progress of the work in accordance with the agreed schedule; discussing

the progress of the work, and any impediments to maintaining the agreed schedule, with the student at regular intervals

- 6.45.5 Ensuring that any **major decisions about the student's research programme made in conversation between the supervisor and the student**, or any major variations to agreed expectations and guidelines, are confirmed in writing and a copy given to the student, and to any other supervisor or advisor, and noted in the annual progress report. Use of the Student-Supervisor Checklist is encouraged to develop the broad framework of the supervisory relationship
- 6.45.6 **Advising the student about any plans for extended supervisor's absence** from the University (e.g. on study leave, long service leave) during the candidature and the proposed arrangements for supervision during this absence, where possible with at least six months' notice and preferably on enrolment
- 6.45.7 Encouraging the student to be, and as far as possible ensuring that they are, actively engaged in the research course in a manner likely to produce significant results by the time of the annual report and by the time the dissertation is due to be submitted, or advising the student in writing that progress is unsatisfactory and identifying improvements necessary for continuation of candidature
- 6.45.8 **Submitting an annual report on the progress of the student** to the Head of School and Board of the Postgraduate School, noting any significant achievements, difficulties and problems discussed with the student, including inadequate progress if applicable, and the action taken or advice given
- 6.45.9 Addressing the University's duty of care for students, **bringing any serious concerns about the student's professional wellbeing** or conduct to the immediate attention of the Postgraduate School.

6.46 Preparation of the dissertation

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The supervisor is responsible in:

- 6.46.1 **Recognizing that the dissertation is the student's own work**, that the student is the sole author of the dissertation under the mentorship of the supervisor. Supervisors are not expected, however, to undertake substantial editing or revision of a draft dissertation. Ultimately, the student is responsible for his or her work and the supervisor's responsibility is to give guidance.
- 6.46.2 The **preparation of the dissertation as a guide, advisor and critical reviewer** rather than co-author or editor.
- 6.46.3 The **provision of guidance on the writing and preparation of the dissertation**, including commenting on at least one draft.
- 6.46.4 **Preparation of material for publication** should not be at the expense of timely submission of the dissertation
- 6.46.5 **Developing with the student a timetable for preparation and submission of the dissertation** within the time allotted for candidature

- 6.46.6 **Discussing the form and content of the dissertation**, and the processes of dissertation planning and writing, freely with the student, and, where necessary, assisting the student with strategies for planning and writing the dissertation
- 6.46.7 Providing **guidelines and feedback about appropriate style, accuracy and use of English** to assist students to develop their own writing style and proficiency in editing and correcting their own work.
- 6.46.8 Keeping in contact with students and respond to reasonable requests for assistance.
- 6.46.9 **Referring the student to appropriate sources of assistance** with such matters as English expression, academic writing and statistical analysis and interpretation, and doing so as early in the candidature as the need for this assistance is identified
- 6.46.10 Commenting on the content and the drafts of the dissertation and, at the time of submission, certifying that the dissertation is properly presented, conforms to the Regulations and is, therefore, prima facie, worthy of examination

6.47 Dissertation Examination and Revision

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The supervisor

- 6.47.1 Guides, advises and critically reviews rather than co-authors or edits the dissertation extends through the dissertation examination and review processes;
- 6.47.2 Commenting critically and constructively, and in reasonable time, on the content of drafts of the thesis/dissertation; Monitor the research degree student's writing style to help avoid plagiarism; and to ensure appropriate presentation of written material; direct the research degree student to appropriate resources and assist with preparation of the research proposal;
- 6.47.3 When so requested, assisting the Postgraduate School and to prepare advice for the Postgraduate School that will help it to classify the dissertation appropriately in the event that the Board has received diverse or adverse reports from the examiners
- 6.47.4 Advises the student on how best to revise the dissertation after classification to bring it to the required standard and providing feedback about the revisions that have been made and the student's Report of Revisions.

6.48 Other support

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The supervisor should

- 6.48.1 **Be an accessible advisor**, available to counsel, provide support or references to appropriate other areas of the University or Guild on both academic and personal matters
- 6.48.2 Suggest ways in which the student can make the most effective use of time
- 6.48.3 **Recognise personal strengths and limitations** and, in particular, identifying situations in which a student needs to be referred to colleagues for assistance

- 6.48.4 **Commit the time necessary to allow for maintaining the close and regular contact** with the student, (which for internal students shall normally include at least monthly face-to-face meetings) and establishing at the outset the basis on which contact will be made
- 6.48.5 **Encourage students to give seminars and to submit articles for publication**
- 6.48.6 **Develop strategies for contact with and introductions to other researchers** in related areas, including external agency, industry, or other institutional links
- 6.48.7 **Advise the student on post-doctoral research**, visiting fellow appointments or other career options, and on any prospective publications arising from the final dissertation
- 6.48.8 **Consult with the Head of School**, and after giving the student an opportunity to comment on possible examiners for the dissertation, nominating examiners to the Board of the Postgraduate School and Research, for approval by the Dean normally at least three weeks before the dissertation is due to be submitted
- 6.48.9 In consultation with the Head of School, advise the student on any examiners' recommendations for amendments to the dissertation, and (if required) advise the student during the revision process for re-submission and re-examination.

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6.49 **Support with resources and facilities**

- 6.49.1 Supervisors should be mindful of the availability of the resources needed to pursue the research
- 6.49.2 **Provides the necessary material resources** to complete the dissertation, including fieldwork or other research travel support, orientation, learning support, prescribed course work, training courses, and conference support as required,
- 6.49.3 **Facilitates contact between the student and other researchers** in related areas, including external agency, industry, or other institutional links

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Supervisors expect a high level of commitment from their students who should develop an increasing level of independence in the conduct of their research.

- 7.1 To plan and discuss with their supervisors the research topic and timetable for the research.
- 7.2 To discuss and agree a schedule of meetings and appropriate feedback.
- 7.3 To maintain a record of progress, including writing up records of supervisory and mentor meetings
- 7.4 To undertake study as required by the supervisors which may include directed reading, research training or other taught modules as required.
- 7.5 To familiarise themselves with relevant regulations and legal issues, including but not limited to plagiarism, copyright, data protection, health and safety, and ethical considerations which might arise in the course of research. The student should also be aware of the regulations for the degree for which they are registered.
- 7.6 To raise problems or difficulties with their supervisors and/or mentor, and in particular inform their supervisor of any personal circumstances which prevent them from working on their research.
- 7.7 To maintain progress according to the agreed schedule, in particular including the presentation of written material, normally by uploading content to their e-account, in time to allow for discussion and comment before proceeding to the next stage of research.
- 7.8 A student should aim by the end of the first year of full-time research (two years for part-time) to have defined their area of research, become acquainted with the background knowledge required and the relevant scholarly literature
- 7.9 To take note of, and respond to feedback and guidance from their supervisors.
- 7.10 To inform the College and the University of any changes in address or similar personal details.
- 7.11 To complete the administrative requirements of the University, College, and where necessary, any grant awarding or sponsoring bodies.
- 7.12 To write up and submit the dissertation within time and in accordance with University guidelines for the submission of dissertations.
- 7.13 To discuss with their supervisors, the preparation of the dissertation and to decide, taking account of advice from the supervisors, when it is ready for submission.
- 7.14 To take advantage of any relevant skills training offered by the College or the University including preparation for a viva.
- 7.15 To make appropriate acknowledgement of their supervisors and the University in any publication based on research undertaken and published during their degree programme. If appropriate to the discipline the supervisors should be given as joint authors.
- 7.16 The pressures on the time of part-time students can make it difficult to set aside the long periods required for intensive study. Long periods of concentrated effort are more likely to be productive than larger numbers of shorter periods. Part-time students, should to the best of their ability, plan for at least one period of concentrated study within each academic year.

- 7.17 Students studying under off-campus arrangements are encouraged to seek to visit the University campus often enough to gain experience of working within the environment generated by a research institution and to identify with the academic community of the University.
- 7.18 Students should comply with funder and University requirements on research data management.
- 7.19 When a student registers in a program, the student makes a commitment to strive for the highest levels of academic achievement and to contribute fully to the intellectual life of the University. The primary responsibility of the student is to devote the time and energy required to complete all academic requirements including the dissertation within the expected time frame in accordance with enrolment status (i.e. fulltime or part-time).
- 7.20 To follow departmental/ program, Postgraduate School and Research and University policies, procedures and regulations and to adhere to the principles of academic integrity.
- 7.21 By agreeing to work with a supervisor, students enter a partnership that will succeed if it is built on mutual trust and respect. Students should acknowledge the senior role that is played by their supervisors who are experienced researchers and academics.
- 7.22 It is expected that students should seek their supervisor's advice and give it serious consideration.
- 7.23 Obtaining required safety and research training, following the associated safety regulations and reporting research equipment-related issues to supervisor.
- 7.24 Meeting deadlines and following regulations associated with registration, award applications, and degree requirements including dissertation format and submission.
- 7.25 Conducting research with the highest standard of ethical and scientific practice and acquiring Research Ethics Board approval if required.
- 7.26 Discussing roles and responsibilities in the supervisor-student relationship and communicating expectations of this relationship, the research and career plans. Defining expectations early on can help prevent misunderstandings and other problems from developing.
- 7.27 Working with the supervisor to identify and address any barriers to academic success (for example, English as a Second Language challenges, deficits in required background knowledge).
- 7.28 Providing reasonable evidence of satisfactory research progress, as requested by the supervisor, in adherence with the timeline established early in the program. If the research evolves in an unexpected direction, students should meet with their supervisor to discuss the issue, determine how to proceed and revise goals/objectives/timelines as appropriate as soon as possible.
- 7.29 A written summary of the discussion should be provided to the supervisor by the student.
- 7.30 Preparing a research plan and timeline in consultation with the supervisor as a basis for monitoring progress and completing all stages of the research.
- 7.31 Submitting an annual report.
- 7.32 Giving serious consideration to the advice, criticism and feedback offered by the supervisor regarding academic and research work and discussing differences of opinion or viewpoints.

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- 7.33 Keeping the supervisor informed of progress and research findings through regular meetings and open communication
 - 7.34 Ensuring that contact information is up to date with the supervisor, the department/program, the College of Higher Education and Research and the Registrar's office.
 - 7.35 Discussing vacation plans so that your supervisor knows that you will be unavailable for a period of time.
 - 7.36 Informing the supervisor of any circumstances that might affect progress. Acting early and seeking advice and assistance if problems of any kind begin to emerge that could impact work can permit timely intervention and resolution.
 - 7.37 Seeking advice and support from university services and resources as needed. For example, students with documented disabilities who seek an accommodation must register with the Disability Services Office (DSO) as early as possible and ensure that the appropriate documentation is provided to the DSO.
 - 7.38 Upon completion of the research work ensuring that all records, files, documents are stored appropriately and a plan for dissemination that has been agreed upon by all collaborators is in place.

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8 Role and Responsibilities of Supervisory Committee Contents

Students with a research component should have access to supervision throughout their program.

- 8.1 The composition of the supervisory committee may vary by department/program; however, the members' areas of expertise generally complement that of the supervisor
- 8.2 The role of the supervisory committee is to assist supervisors in providing guidance, consultation and advice on the student's research.
- 8.3 The supervisory committee may be called upon to take a more active role in cases where supervisors are absent for an extended period of time or in cases of disputes between supervisors and students.

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The responsibility for School actions lies with the Dean of School, to:

- 9.1 Arrange for the Supervision of Research Degree Students: Code of Good Practice to ensure that the student has appropriate supervision throughout their time as a student of the University.
- 9.2 Provide information and guidance on the regulations and codes of practice.
- 9.3 Provide each research student with space to keep their belongings.
- 9.4 Provide students with adequate access to computer facilities whilst on campus.
- 9.5 Ensure the provision of appropriate skills training.
- 9.6 Provide students whilst on campus with use of a photocopier and telephone for research purposes.
- 9.7 Ensure access to library.
- 9.8 Monitor and record the progress of research students and submit reports to the Postgraduate Office.
- 9.9 Approve the research topic for research.
- 9.10 Ensure that the dissertation is examined and the viva held within three months of submission.
- 9.11 Encourage students with opportunities to interact with the research community.

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Appendix 1: Assessment for Master's Dissertation

Student's Name:

Reg. No.

Programme:

Dissertation Topic:

Guidelines for Panelists

1. The pass mark for Master's dissertation is 60%.
2. Minor corrections refer to editorial corrections, slight re-organization of sections, and minor modifications of tables, paragraphs or sentences to be submitted within one (1) month for Masters Degrees.
3. Major corrections refer to substantial corrections and revisions that are stated in the examiner's report and are to be submitted within three (3) months by the candidate. Examiners should include strong reasons based on substantial missing gaps that cannot be corrected by the candidate within one (1) month.
4. For not accepting, it may be in situations where; additional data collection is needed, additional data analysis is needed, additional literature review is needed or a need for re-writing the entire dissertation.
5. Not accepted but may be re-submitted for a lower award may be in situations where the candidate fails the dissertation for three (3) consecutive times.
6. The candidate will be allowed to present his or her work in about 10 minutes. The presentation scope should be what the candidate investigated, (title and the variables, the problem, the objectives), how the study was conducted (brief on methodology-design, sample, data collection, and analysis), what the study found (findings as per objectives), conclusions (lessons learnt as per objectives), recommendations, limitations of the study, contribution of the study and areas recommended for future research
7. After candidate has made the presentation of the above not exceeding the 15 minutes, one of the panelists (representative of the dean) will read through the external and Internal examiner's reports highlighting the strengths and any weaknesses pointed out by the external examiner.
8. The chair will ask each member to raise any questions to the candidate and this process will be done chapter by chapter.
9. The candidate will be asked to respond to questions or any issues raised
10. The candidate will be requested to get out of the room as the panelists make the final assessment, discussion on the performance of the candidate and a final verdict/score using the assessment form given. Each panelist will assess independently before an average score is arrived at.
11. If there is a variance in scores particularly where one panelist has failed the candidate, the member will be asked to clarify his or her decision and if in the opinion of the panelist the decision of a member is biased, that member will be asked to re-assess before a final verdict is given.

12. The panel will agree on the duration of corrections to be made but not exceeding three months.
13. The candidate will be called in back in a room and given the verdict of the panel by the chair (which will state only whether the candidate has passed or not).

Section A: Panelist's Guide for Master's Student

S/N	Item	Marking guide	Examiner's score	Remarks
1	Back ground (Abstract)	5		
2	Problem Statement	5		
3	Research Methods	20		
4	Results	15		
5	Discussion	10		
6	Conclusions and recommendations	10		
7	Originality of Contribution	15		
8	Literature Citation	10		
9	Presentation Skills	10		
	TOTAL SCORE (100%)	100%		

SECTION B: COMMENTS FROM THE PANELIST (TO BE GIVEN TO THE STUDENT)

Section C: Summary of Recommendations

S/n	Examiner's recommendations	Tick
1	Pass as it is (No revisions or typographical errors required)	
2	Pass with minor corrections (list the errors/changes on separate)	
3	Pass with Major Corrections (Substantial revisions are needed as indicated in detailed examiner's report)	
4	Not accepted but may be Resubmitted after one or more of the following: <ol style="list-style-type: none"> 1. Additional data collection 2. Additional data analysis 3. Additional literature review 4. Re-writing 	
5	Not accepted but may be re-submitted for a lower award	
6	Reject outright (Specify legitimate reasons on a separate sheet)	

Panelist's Name:.....

Signature:..... Date:.....