



NDEJJE
UNIVERSITY

Fear of God brings Knowledge and Wisdom

**GUIDELINES FOR DOCTOR OF PHILOSOPHY DEGREE
EFFECTIVE 2018/2019**

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FOREWORD

It is our collective pleasure to welcome you to Ndejje University and to the Graduate School in particular. We hope that you will enjoy your time here, both academically and as part of Ndejje University (NDU) community.

Our PhD program aims to prepare students for positions as researchers, whether in industry or academic. The students who enroll on this program will eventually assume or are currently in management or administrative positions. We therefore believe that the close mentorship that characterizes our program and our strong emphasis on written and oral communication will benefit all those who follow such career paths. This is indeed in line with NDU vision: “To be the leading Christian based University for Societal Transformation”.

These Guidelines are intended to give you an overview of what is going to happen, and who can help you during your time as a PhD student at NDU. You are welcome to suggest changes that you think may be of value for other PhD students. Of course, commencing a PhD Study is an exciting though at times, daunting experience. There will be new opportunities as well as challenges to negotiate as you progress your research and plan your future.

As a PhD student you will have the opportunity to contribute to the character of our NDU through the research you undertake, the networks you form (both within and external to the institution) and by the feedback you provide to us during your candidature and on completion, about your student experience. It is our sincere hope that you will take these responsibilities seriously and assist us to further promote the reputation of our NDU as an exciting and challenging research environment.

All of us at Ndejje University and specifically the Graduate School look forward to working with you to assure a rewarding intellectual experience. We wish you the best as you pursue your PhD journey at Ndejje University.

To all our stakeholders, prospective clients and well-wishers in the PhD program, this is a useful resource for the growth and development of program and the University as a whole. Please use it to the maximum.

Dr. David K.W Ssonko
Director, Graduate School

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ACKNOWLEDGEMENT

Ndejje University Graduate School, The Faculty of Business Administration and Management, and the Directorate for Research and Innovations extend deep gratitude to the many people who have contributed to the creation of the PhD program at Ndejje University and the production of this PhD Program Guidelines.

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The Doctoral Committee: Dr. Fredrick Kakembo, Dr. Mary Wanda, Dr. David Ssonko, Dr. Rebecca M. Nyonyintono, Dr. Milly Kwagala Oidu, Dr. Rita Makumbi, Mr. Fredrick Mbabali Kyazze, Dr. Claire Lutaya Nabutto, Dr. Henry Buwule Musoke, and Mr. Enock Sensalire.

The Faculty PhD. Curriculum Steering Committee: Dr. Milly Kwagala Oidu (Dean, Faculty of Business Administration & Management), Prof. Ntayi Joseph, (Makerere University Business School), Dr. Peter Turyakira, (Makerere University, College of Business and Economics), Mr. Nalela Kizito, (Head of Department of Accounting & Finance), Ms Christine Charity Mwebesa, Ms Namayanja Rehmah (Faculty Administrator) and Mr. Mugerwa Richard (Faculty Curriculum Coordinator) of Ndejje University.

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Finally, we appreciate and acknowledge the pioneer PhD students, listed in appendix 1 Thank you for trusting and committing to Ndejje University. We cannot acknowledge all the people who have contributed to the birth of the PhD program at Ndejje University but we salute all of you in the various ways you have contributed. Thank you and be blessed.

Dr. Rebecca M. Nyonyintono

Director, Research and Innovations, Ndejje University.

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ABBREVIATIONS AND ACRONYMS

AAU	Association of African Universities
APA	American Psychological Association
BCU	Birmingham City University
CRD	Confirmation Review Document
CRP	Confirmation Review Process
DC	Doctoral Committee
DDP	Doctoral Development Program
DRD	Doctoral Research Degree
DRs	Doctoral Researchers
DSS	Doctoral Seminar Series
FDC	Faculty Doctoral Committee
FHDC	Faculty Higher Degrees Committee
FoBAM	Faculty of Business Administration and Management
GS	Graduate School
IEEE	Institute of Electrical and Electronic Engineering
MBA	Masters of Business Administration
MUBS	Makerere University Business School
MUST	Mbarara University of Science and Technology
NCHE	National Council for Higher Education
NDU	Ndejje University
NU	Nkumba University
PhD	Doctor of Philosophy
SMART	Specific, Measurable, Achievable, Realistic, Time Bound.
SP	Strategic Plan
SPGS	School of Post Graduate Studies
TNA	Training Needs Analysis
UCU	Uganda Christian University
UEC	University Ethics Committee
UMI	Uganda Management Institute
UMU	Uganda Martyrs University
UNCST	Uganda National Council for Science and Technology
URs	University Research Standards
UTAMU	Uganda Technology and Management University

PART ONE

GENERAL INTRODUCTION

The Guidelines for Doctor of Philosophy (PhD) book is a key resource for Doctoral Students and Supervisors. It contains important information about various processes that underpin the research at Ndejje University (NDU). It should be read along with several key University core documents including the Ndejje University Research and Innovations Policy 2014. It is important that all those involved on the PhD program become familiar with and adhere to the regulations and guidelines contained in these guidelines and other key policies, rules and regulations of the University. The information particularly in part One, covers a brief background of the University, applicability of the University PhD guidelines, the University Graduate School, the University Research and Innovations Policy, Objectives of the PhD guidelines, the University Doctoral program, Details of the doctoral program, Supervision and support, academic progress, requirements to publish before graduation and co-authorship, rules on plagiarism and ownership of Intellectual property and accepted academic writing style.

The guidelines are presented in four parts. Part One, presents the general background information to research at Ndejje University and the PhD research context. Part Two, gives detailed information on the format for preparing two key required research outputs for PhD degree namely; the synopsis and research proposal. Part Three, gives information on the format of the thesis. Part Four, has information on the process and procedures for PhD research, oral defense of the thesis and authorization to bind the final copy as well as clearance for graduation.

1.1 Brief Background of Ndejje University

Ndejje University (NDU) was established in 1992 as the Christian University of East Africa and owned by the Anglican Diocese of Luweero. It was the first privately owned University in Uganda. In 1995 it assumed its current name and status. NDU was licensed in 1998 as an institution of higher learning under the ownership of the Anglican Diocese of Luweero. In 2002 the ownership was expanded to include all Anglican dioceses in Central Uganda Region. The main purpose for the creation of NDU was to restore normalcy and healing after years of war and misrule and to nurture development in post-war Uganda. The University was granted a Charter on 6 August 2009. (*NDU Strategic Plan 2017/18-2026/27:2*). Since then NDU has moved from strengths to strengths. The PhD program is a testimony to the steady development and achievements of NDU.

1.2 Applicability of the Ndejje University PhD Guidelines

All academic work presented for the PhD program shall conform to the Ndejje University Guidelines for PhD degree (2019) for the format of presentation and oral defense of research output. These guidelines shall apply to all PhD students admitted from the academic year 2018/2019 onwards subject to future amendments.

1.3 Ndejje University Graduate School

The Graduate School, then known as the School of Post Graduate Studies (SPGS) was established by the University Council on 28th September, 2004 with the responsibility to coordinate all postgraduate programs in the University. The School started operation in the 2004/2005 academic year with a total enrollment of 40 pioneer Master of Business Administration (MBA) students. By 2007/2008 academic year the School was offering higher studies in the faculties of Education, Business Administration and Management, and Basic and Social Sciences. The School has grown steadily both in numbers of students and faculties offering postgraduate studies. In 2014 the name was changed to Graduate School. Currently the School offers postgraduate diplomas, Masters' and PhD programs.

1.3.1 Objectives of the Graduate School

The main objective is to administer all matters related to postgraduate studies at Ndejje University. Specifically, the Graduate School shall:

- 1 Be the focal point for the various postgraduate programs offered by the different departments, faculties, schools and institutes.
- 2 Give guidance to the organization, management and administration of postgraduate studies at NDU.
- 3 Review and update Policy, regulations, procedures and practices governing postgraduate studies at NDU from time to time.
- 4 Co-ordinate and ensure high standards and quality of research at NDU.
- 5 Spearhead the creation of linkages between NDU postgraduate studies, including research priorities, with national, regional and international research trends and priorities.
- 6 Coordinate capacity development for staff involved in teaching and research
- 7 Undertake other relevant activities pertaining to postgraduate studies of the University (Ndejje University Guidelines for Masters' Degree Research Effective 2015)

1.4 Ndejje University Research and Innovations Policy

Ndejje University Research and Innovations Policy (2014) contributes towards and reinforces the vision, mission, core values and principles that form the foundation of the University as provided in the Ndejje University Charter (2009), the current strategic plan 2017/2027 and the various University policies and regulations. The principles governing research also conform to the requirement of the other University policies, Core values, guidelines and regulations. They include the principle of integrity, transparency, compliance and responsible conduct of research.

Research and all scholarly and artistic work at the University, shall be carried out in adherence to stipulated ethical standards in the pursuit of creating, reforming and extending knowledge and understanding. Stewardship of resources and scholarly work will be transparent and compliant with University and funding agency's policies procedures and regulations.

The Policy presents broad principles to guide the research enterprise and assure the integrity of scholarly inquiry at the University, including the rights and responsibilities of researchers, in the creation and dissemination of knowledge. PhD students should see their role and responsibility in conducting research and innovations within this broad University Research and Innovations ethical framework.

Furthermore, the Research Policy is geared towards the implementation of Strategic Objective 2 of Ndejje University Strategic Plan 2017/2027 as well as providing the broader Policy framework for research at the University beyond the current Strategic Plan (SP). Strategic objective 2 of SP covers knowledge generation, innovations and outreach services and is made up of nine strategies namely:

1. Generate and implement a research agenda
2. Expand research funding opportunities
3. Build capacity and motivate staff and students to conduct research and publish
4. Invest in innovative technologies and incubation of innovations and patenting
5. Host and participate in local and international conferences
6. Strengthen community outreach programs
7. Strengthen the University consultancy unit
8. Restructure and strengthen the Directorate of Research and Innovations
9. Improve the scholarly Journal and boost academic publications at the University.

(For details of NDU Research and Innovation Policy see: www.ndejjeuniversity.ac.ug)

1.5 Objectives of the PhD Guidelines

The general objective of the PhD Guidelines is to give guidance for the process of conducting, managing and acquiring the PhD at Ndejje University. The Guidelines serve a number of roles including but not limited to:

- (i) Providing information on the process of studying for and completing the PhD program
- (ii) Informing the student about the core requirements of the program
- (iii) Drawing the student's attention to other important sources of information and services that ensure successful completion of the PhD program
- (iv) An agreement between the student and the University on how to present all written academic requirements
- (v) Providing safeguards for all concerned by spelling out the requirements for successful preparation and completion of all necessary activities in partial fulfillment of the requirements for the award of the PhD degree at Ndejje University. (Ndejje University Guidelines for Masters' Research (2015:4).

1.6 Ndejje University Doctoral Program

After more than ten years of demand for a PhD program by the owners, alumni, staff and students of Ndejje University, a PhD Committee to prepare for the 1st PhD intake was put in place by the Senate in 2017. After several meetings and preparations the Graduate School was ready to receive applications for the pioneer class. A modest target of 10 pioneer students was set.

A pioneer class of eight students was oriented on 26th October 2018 and classes commenced the following weekend (3rd November, 2018). Five more students joined within the first three months to make a total of 13 pioneer students. We congratulate Ndejje University, the Doctoral Committee and Graduate School, but most especially, the pioneer class of 13 students for this major milestone in the history of the University. (See appendix 1) for the list of the PhD pioneer class.

The Doctoral program at Ndejje University is intended for mature academics with capacity for independent study and motivation to do in-depth study and analysis of the core courses and chosen field of research and to innovate and create relevant knowledge for sustainable development. The staff and administration of NDU will do everything possible to facilitate the PhD students to achieve this goal. We therefore welcome you to Ndejje University fraternity and especially to the PhD program. See appendix 2 for the core PhD staff for the academic year 2018/19.

Ndejje University PhD program contributes towards and reinforces the vision, mission, core values and principles that form the foundation of the University as provided in the Ndejje University Charter (2009), the Strategic Plan (SP) 2017/18- 2026/27 and the various University policies and regulations.

1.7 Details of the Doctoral Program

The following describe the PhD program

Ndejje University has started the PhD program by offering a research degree based in the Faculty of Business Administration and Management (FoBAM). Other faculties will come on board in the course of time. The PhD by research program is a 3-year full-time program that is concluded with a presentation of a thesis and an oral examination. Students shall be required to follow the program including core modules of study, seminars and workshops as shall be agreed by the student and supervisory team. Furthermore, the PhD candidate shall be required to satisfy the examiners that his or her thesis is original work and makes substantial contribution to the area of research.

1.7.1 Admission to the PhD Program

PhD applicants must be formally admitted to the chosen degree program. All applications for the PhD program at the University shall be submitted to the Academic registrar through an online system available at University website.

Application Fees

- (i) An applicant will be required to pay a non-refundable application fee. The fee should be paid when the application forms are submitted on the online system
- (ii) The fees will be revised from time to time as the need arises

Entry qualifications for PhD Degree

A candidate for admission into the PhD program of NDU shall hold the following minimum qualifications:

Masters degree of Ndejje University or an equivalent Master's degree from a recognized institution of higher learning

Registration, Time Limits and Fees

The student is advised to read and keep up with the following requirements:

(i) Registration

PhD students are required to register in person on commencing their studies and thereafter, every year until the 3-year period of their study is completed. Students who fail to register within the stipulated time shall be charged a late registration fee.

- (i) Candidates will be registered either for coursework study followed by research leading to a thesis or by research leading to thesis without a prescribed coursework component except the compulsory core modules.

- (ii) Candidates selected for admission shall be required to register at the commencement of the first academic year of their studies.
- (iii) Registration shall take place in the first one month of the respective academic year and shall be effected upon submission by the candidate of a dully filled registration form (as prescribed by NDU) and upon submission of the following:
 - (a) Evidence of payment of the University fees;
 - (b) Copies and originals of transcripts and certificates. (the originals will be returned to the candidate after physical verification)
 - (c) Two (2) passport size coloured photographs (British)
 - (d) Candidates shall renew their registration at the beginning of every subsequent year by submitting a duly filled form and upon paying the fees due to the University.
 - (e) Registration of new and continuing students shall take place within one month from the first day of the commencement of the academic year. Students seeking registration during the second month shall be liable to a surcharge paid per day as Council may from time to time prescribe.

(ii) Time limits

The PhD thesis must be submitted in 3 years and maximum is 5 years. Additional fees shall be required from candidates who take longer than the normal period of registration and submission of their theses. Students are required to register and pay tuition fees annually until the required period of registration for full fee paying purposes is completed. It is important to ensure that the projects undertaken can be fully completed in the registration period. This includes necessary training, preparatory work, actual research and writing of a thesis and submission of the same.

(iii) Fees

PhD students are required to pay full tuition fees for the duration of their normal period of registration and should aim to submit their thesis within that period. The continuation fee is charged on a pro-rata basis starting from the end of the normal tuition fee paying period of registration until submission of the thesis or the end of the registration period.

1.7.2 Doctoral Development Training (DDT)

Doctoral studies are undertaken with a wide range of prior education and experience. With this in mind, the DDT program provides a flexible approach to reflect on the needs of the students. The program thus covers two aspects of training; i) Compulsory modules and, ii) Seminar series. While the modules provide fundamental approaches and methods to doctoral research in Social Science and Humanities (in the discipline of the PhD chosen),

the seminars provide a flexible approach addressing the skills and competency needs identified in the individual students' training needs analysis process.

1.7.3 Core Modules

For a research based PhD without a prescribed coursework component, seven core modules are compulsory as they are intended to help students acquire generic research skills. They are: 1) Philosophy of research 2) Qualitative methodology 3) Quantitative methodology 4) Critical Analysis 5) Research Ethics and Integrity 6) Scholarly writing and publishing skills 7) Computer Application in Research. Students are only confirmed as doctoral researchers on completion of these modules. Students should register on additional training programs/seminars and workshops within and outside the University in line with their Training Needs Analysis (TNA).

1.7.4 Training Needs Analysis

Students are required to conduct their Training Needs Analysis (TNA) in conjunction with their supervisors once a year to identify areas of competence and those in need of development. The TNA and development plan agreed upon should be submitted to the Graduate School.

If a faculty member working with a doctoral student leaves the University for any reason before that student has completed his or her degree requirements, it may not always be possible for that faculty member to continue working with the student as an advisor. In such cases, faculties and Graduate School will work with students to help them get a new advisor.

An important benefit that comes from reading for a Doctoral Research Degree (DRD) is the acquisition of a broad range of research skills. The students Doctoral Development Program (DDP) is designed to this end and is student-specific to complement the individual research project and is agreed between the student and their supervisory team.

1.7.5 Monitoring and Assessment

Ongoing monitoring of development needs will be part of the supervisory process. It takes the following key points.

- (i) The TNA will be completed prior to registration, reviewed after three months and subsequently annually.
- (ii) Assessment of the DDP participation will be included in supervisor's reports as part of the Confirmation Review Process (CRP).

1.7.6 Seminars and Conferences

The student shall attend relevant research seminars and workshops as part of the PhD program.

(i) **Research seminars**

The Graduate School will provide a full program of research seminars in which students and academics (within and outside the University) have the opportunity to report on their research. Practitioners from international and local business establishments will be invited to report on their experiences. These seminars are a highly valuable way to develop insights into research areas, share ideas and develop networks. Students are expected to attend and participate in research seminars to gain a wide range of insights on the applicability of certain research methods and problem solving approaches.

(ii) **Doctoral Seminar Series (DSS)**

As key part of the DDP, students should organise and deliver their own seminars at which both students and staff attend and participate. Students will record attendance and participation at the DDS which are student led offering opportunity for engagement in debate and ideas with peers.

(iii) **Conferences**

Every year, the Graduate School will organize a conference under a specific theme. External participants will be invited to this conference. The conference offers an opportunity to students to not only participate in organizing a conference but also a free platform for disseminating their research to obtain feedback. Students are also expected to take part in other relevant conferences locally and internationally. The conferences are opportunities to meet other PhD students and obtain feedback from academics outside the student's supervisory team.

1.7.7 A Year-By-Year Guide to expected Levels of Progress

Year 1

Students on research based PhD Program spend their first year refining the focus of their proposal. They take a TNA exercise with their supervisors to determine their level of competence and training to be able to successfully conduct their research. Initial research training is carried out in first year including attendance to core modules. Students are also mandatorily required to attend at least one academic conference during the first year and present a poster about their research ideas. Students are also required to actively participate and contribute to the Doctoral Seminar Series and present one session at least. Year one is a probation year where this work will culminate in the preparation of a Confirmation Review Document (CRD) to be submitted for assessment and confirmation of the student as the Doctoral Candidate. The assessment reviews the student's potential to be successful at doctoral level and whether progress on the DDP has been satisfactory in line with the identified needs.

Year 2

Students may start their field work as soon as they have been confirmed as Doctoral Researchers (DRs) from the confirmation review process. Doctoral researchers will collect, analyse data and start writing their thesis in second year. They are also expected to present a paper on their primary findings in an academic conference. Students can continue on research training if need be.

Year 3.

Students continue to write their thesis, disseminate their research through seminars, publications and public engagement. Students are mandatorily expected to submit a paper from their research to a peer reviewed Journal during this year. The thesis is submitted at the end of year. Students can request to be given a mock VIVA with their supervisors

1.7.8 Facilities for Doctoral Students

As well as having access to the facilities of the University in general, the PhD student has additional facilities within the Graduate School intended to enhance the uptake and timely completion of the doctoral program. PhD students are esteemed stakeholders of the University and shall therefore be respected and expected to be respectful partners. The School aims at providing students with an environment for professional development as researchers, academics and leaders in society. Students can seek and receive advice and support from the Graduate School in all matters concerning their PhD journey. A PhD Coordinator, an Administrator and other members of staff shall be available to assist the student during normal working hours but students can call the office to make appointments to suit the officials and student in extra ordinary circumstances. The School also welcomes feedback on the service provided for facilitation of continuous improvement. The students are expected to utilize the University Library services and will be helped to access E- resources.

1.7.9 Personal Circumstances

There may be circumstances that hinder normal progress for the student. The following options are made with that in mind.

(i) Leave of absence

In some circumstances, a period of leave may be required, basing on personal, financial or medical grounds. Faculty and Graduate School approval is required. The maximum period for such leave is six months. It shall be approved after presentation of all the necessary evidence of the student's circumstances (e.g. a medical certificate in case of medical leave)

(ii) Sickness During Assessment

Students with medical problems during the time of assessment are required to submit a medical certificate to the PhD Coordinator's office from a recognized medical practitioner. Students who do not inform the Coordinator in advance about any illness or condition which could lead to failure to submit the required assignments shall be required to re-take the module or do the work again. Reporting of sickness or submission of medical report shall be before or during the time but not retrospectively.

Students who are sick during the time of assessment exercises (especially in taught PhDs) and do not report their condition, to Graduate School will be required to take a supplementary examination in which they must receive at least 60% to pass the course. The mark on the transcript will read 60% if successful.

(iii) Extensions

The maximum period of registration (4 years) is the student's time limit for submission of their thesis. Students are encouraged to submit their theses within 3 years or shortly before the 4 years expire. A student may apply for extension if they are unable to submit their theses within the time limit. Extension is granted in very exceptional circumstances and a continuation fee is paid once the extension is granted. Extensions are 6 months maximum provided there is justification for the extension. Failure to complete within the stipulated time does not constitute justification for extension.

(iv) Withdrawal from the University

A student considering withdrawing from the PhD program should first discuss this with the Supervisor. Formal notification of withdraw shall be after consultation and discussion, whereby the student may formally notify the University in writing indicating the effective date of withdrawal and the reason for withdrawal. The withdrawing student shall pay all outstanding debt to the University before clearance to withdrawal.

(v) Termination of a student from the Doctoral Program

Circumstances under which a University can terminate a student shall include but not limited to the following

- (a) Presentation of false documents
- (b) Upon recommendation by supervisors for indiscipline
- (c) Behaving contrary to the regulations of the University

(vi) Problems and grievances

The first step to solve the problem should be a discussion to find a solution. This shall be done with the Supervisor. In case the student does not feel comfortable with the step, then the discussion should be with the PhD Coordinator. The PhD Coordinator may also refer problems and grievances to the Doctoral committee for further actions.

1.8 Supervision and Support

The student shall expect the following for supervision and support:

1.8.1 Supervision

Every student shall have a minimum of two supervisors each playing a unique role. The principal supervisors help students to carry out their TNA. Both supervisors monitor progress on the DDP. Students agree with their supervisory team on whether the supervisory meetings would be held jointly or separately with each supervisor. The meetings should be held, on average, once every month. In an event that the supervisory relationship is not working, the problematic issues should be talked about among the team during a joint supervisory meeting. If, however the issues are not resolved at this point, the student should discuss them with the PhD Coordinator. The student should during this time continue to work on their research and follow the schedule. If the conflict threatens further progress, it may be possible to change a supervisor if there are others with the same subject expertise. However, it is important to note that when a conflict has risen because a student is not progressing as a result of their failure to carryout work as directed by their supervisors, the School will not change the supervisor.

1.8.2 Responsibilities of PhD Supervisors

Supervisors on the supervisory team are responsible for the academic progress and pastoral or personal support of their students.

They should collectively provide the constructive guidance and support necessary for the successful completion of the PhD program. This will include as required:

- (i) To establish at the beginning of the student's research, a framework for supervision, including arrangements for regular supervisory meetings.
- (ii) To define the role of each supervisor in the supervisory team.
- (iii) To meet the student regularly and frequently at the intervals agreed at the beginning of the research program, and as amended during the duration of the project.
- (iv) To read, comment on and amend or annotate, if necessary, the notice of formal meetings circulated by the research student.
- (v) To give assistance in defining and framing the topic of research.
- (vi) To make sure that the research project:
 - Falls within the combined supervisory team's area of expertise.
 - Is achievable and can be completed within the defined period of study.
 - Is suitable and appropriate to the degree that the student intends to take

- (vii) To familiarize the student with the project specific research training available and to liaise with Director, Graduate School on generic research training.
- (viii) To respond promptly and constructively to written work, within the schedule agreed at the beginning of the project and amended as required during the project.
- (ix) To provide adequate support and guidance so that the student develops his/her oral presentation skills and facilitate the student's input into internal seminars and external conference presentations.
- (x) To introduce the student to relevant academic environments: within the University as well as at national and international level.
- (xi) To help to ensure that the student publishes his/her work in national, regional and international peer-reviewed journals and ensure compliance with guidelines for research ethics
- (xii) To submit annual progress reports on the student
- (xiii) To ensure that the thesis meets the quality requirements before it is submitted.

1.8.3 Supervision absence

In case the supervisor is unavailable on leave or long period travel, he or she will remain responsible for the student and make provisions for this period by agreeing on schedule of work, contact through email, Skype or other possible means. On certain instances, the supervisor may ask a colleague to cover their supervisory duties while they are away.

1.8.4 Roles and Responsibilities of the PhD Students

The student is responsible for successful progress and timely completion of the program.

(i) Communication

It is the responsibility of the student to respond promptly to all communication from the University and to notify the University at any circumstances that may prevent him / her from required attendance of program activities in a timely manner.

(ii) Meetings with supervisors

The supervisors and student shall make a supervision program of which a copy shall be kept with the PhD Coordinator and everyone have their own copy. Students shall make themselves available for meetings with supervisors for at least an hour every 4 weeks. The student shall inform the supervisors of inability to attend supervision at least 24 hours before the scheduled meeting. Students shall be free to call for emergency meeting in case of unforeseen needs related to the research or submission of assignments. The requests should be documented within a week of the meeting.

1.9 Academic Progress

Academic progress shall be managed through the following:

1.9.1 The Confirmation Review Process (Proposal).

This involves two stages. First, the student prepares a proposal. Details of DDP training undertaken and how these met the student's identified needs in the TNA should be appended. In addition, a copy of approved ethics form should also be attached. The proposal is submitted a month before the review seminar and examined by two assessors one of which is a specialist in the field of study. The second element of the review involves an oral assessment in form of a review seminar, to which all research students and staff within the Graduate School will be invited. The student is expected to make a presentation for about 20 minutes and members of the audience be given an opportunity to ask questions and/or make comments. The student is further questioned and provided with feedback by the assessors when members of the audience have left. A decision is then made about the presented document and seminar. The possible outcomes of the review are:

- i. Pass confirmation review, the proposal is perfect as it is
- ii. Pass confirmation review, conditional on fulfilling certain requirements as stipulated by the assessors (to be overseen by the supervisors).
- iii. Referred for further confirmation review attempt with stipulations for additional work required.

1.9.2 Ethical Approval

The University expects everyone who undertakes research will conduct their work ethically. Candidates will complete an Ethics application form to be reviewed by the University Ethics Committee. No field work is permitted without Ethical approval. Candidates are responsible for clearing the approved research with the National Council of Science and Technology (NCST) and provide a copy of the clearance to the Graduate school before proceeding to collect data. A copy of clearance form should be appended to the thesis submitted for examination.

1.10 Requirement to Publish before Graduation and Co- authorship

Students pursuing a Doctor of Philosophy degree are required to publish at least one academic article in a peer-reviewed journal as part of the requirements for the award of the degree. Proof of submission and acceptance of an article for publication shall be required in order to qualify for graduation with a PhD degree. The acceptance letter (s) will be appended to the thesis.

Students and supervisors shall be free to Co-author and publish research findings together. Co-authorship and co-publication shall be governed by the Ndejje University Research and Innovations Policy (2014) provisions. Supervisors and students should familiarize themselves with the Research Policy especially with regard to who is the principal author and who is the co-author. The Research and Innovations Policy is on the University website and hard copies can be acquired at minimal cost from the Directorate of Research and Innovations, Senate Building, Block F, Kampala Campus.

1.11 Rules on Plagiarism and Ownership of Intellectual Property

PhD students, like all students, are expected to follow the general rules of academic honesty in general and the Ndejje University Senate Rules and Regulations on Plagiarism. Assignments and research papers should be the work of the student and not anyone else. Plagiarism includes but is not limited to copying other students/scholars/peoples' work from within or outside the University and presenting it as one's own work. It includes failure to acknowledge of information used in own work, and wilful deceit in presenting assignments and research work and publications. (Ndejje University Guidelines for Masters' Degree Research, (2015:11). Any form of dishonesty, cheating, or plagiarism is a serious violation of the norms of academic honesty, and will be dealt with severely. The Core modules include a module to guide students to cite and acknowledge or references used in the synopsis, research proposal, assignments and the thesis and students should learn the right way so as to avoid plagiarism. In case of taught PhDs, all written work and assignments submitted must conform to appropriate academic standards. Work which contains many spelling or grammatical mistakes or is badly written or poorly presented shall normally be resubmitted for assessment after revision. A plagiarism Certificate and confirmatory letter from language editor should be submitted and appended to the thesis. Assignments which are copied will automatically receive a zero. Therefore, be sure to document all sources quoted, paraphrased, and/or summarized in work submitted for assessment. Note that putting other people's ideas into your own words is borrowing and you must cite your sources. In thesis and projects, please acknowledge all sources. Direct copying without acknowledgement will result in the work being rejected (failure). In case a Lecturer/Supervisor suspects plagiarism, whether intended or not, the student shall be called for an interim oral defense of the submitted work before a panel. This defense will determine whether your work will be accepted or not. All written work and assignments submitted must conform to appropriate academic standards.

Ownership of Intellectual Property

There is always need to protect intellectual property. Ndejje University shall protect intellectual property through patent, copyright and database access rights as follows:

Any intellectual property created by any researcher whether full or part-time staff, faculty or student, during the course of work or training, or arising out of employment at Ndejje University, shall belong to Ndejje University. Ndejje University shall, however, be committed to sharing with the creator or inventor concerned, the rewards from successful commercial exploitation of the intellectual property that shall have been generated. The Policy to govern Copyright, student internship, research projects and consultation with outside entities, patent, invention and licensing shall be as follows:

1) Copyright Policy

As has been traditional in academia, the University may not claim ownership to pedagogical, scholarly, or artistic works, including "those of students created in the course of their education, such as dissertations, papers, and articles". Under the provisions of the Copyright Policy, copyright ownership in original works by students shall remain with the creator, in this case, the student, unless the work is a work-for-hire, is supported by a direct allocation of funds through the University for the pursuit of a specific project, is commissioned by the University, makes significant use of University resources or personnel, or is otherwise subject to contractual obligations." Such work shall be copyrighted to the University and the creator shall share in the royalties thereof.

Example 1: Students who are hired to write software and are paid by or through Ndejje University shall be considered to be covered by "work-for-hire" provisions.

Example 2: While a Graduate Student owns the Copyright to his/her dissertation, a Videotape developed as part of his/her dissertation research that presents some of the observations or results reported in the dissertation would be owned by the University if it were produced with support from a sponsored project, significant assistance from University personnel and the like.

(a) Student Internships and Research Projects with Outside Entities

In the case of internship, inventions developed during internship or projects performed as part of placement with an outside entity, ownership of resulting intellectual property shall be determined according to the provisions spelled out in the internship or project arrangement. Ownership of any resulting intellectual property from creative works developed in the course of the student's education remains with the student but shall reflect the relative roles and contributions of the student, the outside entity and the University to the creation of the work or the development of the invention. All contributors shall have proportionate share in the royalties.

(b) Research Projects with Outside Entities

If a student's research project is funded by a sponsored project, ownership of intellectual property resulting from the student's work is specified by University Policy and by the terms of the particular funding agreement. If a student is the sole inventor of an invention resulting from the use of resources of both the University and the outside entity, the University may agree to co-assignment of the intellectual property. If an invention is co-invented by a student, and involves both a co-inventor from an outside entity and more than incidental use of University resources, the technology will be jointly owned by the University and the outside entity, pursuant to patent law. Depending on their contributions, the faculty advisor and perhaps other faculty, students, or staff may be co-creators or co-inventors.

(c) Student Consulting with Outside Entities

The University shall not claim ownership of intellectual property resulting from students' consulting outside their academic programs at the University, assuming that there was not more than incidental use (for inventions) or significant use (for creative works) of University resources. All potentially patentable inventions conceived or first reduced to practice in whole or in part by members of the faculty or staff (including student employees) of the University in the course of their University responsibilities or with more than incidental use of University resources, shall be disclosed on a timely basis to the University. Title to such inventions shall be assigned to the University, regardless of the source of funding, if any.

The University shall share royalties from inventions assigned to the University with the inventor.

- (i) The inventors, acting collectively where there is more than one, are free to place their inventions in the public domain if they believe that would be in the best interest of technology transfer and if doing so is not in violation of the terms of any agreements that supported or related to the work.
- (ii) If the University cannot, or decides not to, proceed in a timely manner to patent and/or license an invention, it may reassign ownership to the inventors upon request to the extent possible under the terms of any agreements that supported or related to the work.
- (iii) Waivers of the provisions of this Policy may be granted by the Chancellor or the Chancellor's designate on a case-by-case basis, giving consideration among other things to University obligations to sponsors, whether the waiver would be in the best interest of technology transfer, whether the waiver would be in the best interest of the University and whether the waiver would result in a conflict of

interest. In addition, the Chancellor may expand upon these provisions and shall adopt rules, based on the same factors as well as appropriateness to the University's relationship with inventors, for the ownership of potentially patentable inventions created or discovered with more than incidental use of University resources by students when not working as employees of the University, by visiting scholars and by others not in the University's employment.

2) Patents' Policy

The patents Policy shall govern research that is undertaken to invent products in industry and co-existence between scientific research and industrial inventions that result

All participating researchers in industrial research, including post-doctorate students, and visiting scholars, shall sign a patent and copyright agreement with the relevant industry before the commencement of any industrial research activities.

Description of what Constitutes a New Invention:

An invention is a novel and useful idea relating to processes, machines, manufactures, and compositions of matter. It may cover such things as new or improved devices, systems, circuits, chemical compounds, mixtures, etc. It is probable that an invention has been made when something new and useful has been conceived or developed, or when unusual, unexpected, or non-obvious results have been obtained and can be exploited. An invention can be made solely or jointly with others as co-inventors. To be recognized legally, a co-inventor must have conceived of an essential element of an invention or contributed substantially to the general.

An invention disclosure is a document which provides information about inventor(s), what was invented, circumstances leading to the invention, and facts concerning subsequent activities. It provides the basis for a determination of patentability and the technical information for drafting a patent application. An invention disclosure is also used to report technology that may not be patented but is protected by other means such as copyrights. Inventors must prepare and submit on a timely basis an invention disclosure for each potentially patentable invention conceived or first actually reduced to practice in whole or in part in the course of their University responsibilities or with more than incidental use of University resources.

The inventor, or inventors acting collectively when there are more than one, is free to place inventions in the public domain if that would be in the best interest of technology transfer and if doing so is not in violation of the terms of any agreements that supported or governed the work. The University will not assert intellectual property rights when inventors have placed their inventions in the public domain.

3) Inventions, Patents and Licensing Policy

The Policy to govern Inventions, Patents and Licensing Policy shall be as follows:

Graduate Students, Postdoctoral Scholars, and all others participating in research projects (including undergraduates working on research projects, either for pay or for academic credit) are covered by the University Policy on Inventions, Patents and Licensing. This Policy states that these individuals must disclose "all potentially patentable inventions conceived or first reduced to practice in whole or in part, in the course of their University responsibilities or with more than incidental use of University resources.

The title to such inventions shall be assigned to the University."

The University shall negotiate with the inventors the sharing of the royalties from inventions assigned to the University.

4) Licensing Policy

The University shall encourage the development for public use and by industry, the benefit of inventions and technology resulting from University research. It recognizes that protection of proprietary rights in the form of a patent or copyright are often necessary - particularly with inventions derived from basic research - to encourage a company to risk the investment of its personnel and financial resources to develop the invention. In some cases an exclusive license may be necessary to provide an incentive for a company to undertake commercial development and production. Non-exclusive licenses allow several companies to exploit an invention. In all such cases, the research and teaching missions of the University shall always take precedence over patent considerations. While the University recognizes the benefits of patent development, it is most important that the direction of University research shall not be established or unduly influenced by patent considerations or personal financial interests.

1.12 Accepted Academic Writing Style

The University shall accept standard academic writing styles for the academic disciplines offered at Ndejje University. For example, the American Psychological Association (APA) writing style, shall be the style for writing in Humanities, Basic Sciences can use either APA or Chicago style but must inform Graduate School of the chosen style and be consistent for all students in the given faculty. Engineering shall use the Institute of Electrical and Electronic Engineers Referencing style (IEEE) or other Engineering style variations. Faculties must inform the Supervisors, External examiners, Graduate School and Directorate for Research and Innovations of all accepted styles used by the faculty. The list of accepted academic writing styles shall be updated as faculties submit and adopt other academic styles used by their disciplines.

Text Format

The following text format will be followed in writing the thesis

(i) Characters

Not less than 2.0 mm for capital (uppercases) and 1.5 mm for height of lower case.

(ii) Words

Even space between characters and words

(iii) Numbering of Pages

Page numbers should appear in Arabic numbers placed at the bottom centre of the page. Pages preceding chapter one are numbered in Roman numbers. These are the preliminary pages. All pages of the main body of the thesis beginning with chapter one shall be numbered consecutively with Arabic numerals

(iv) Title Page

The title page should be counted but not numbered

(v) Spacing and Paragraphing

Double spacing is recommended for the thesis. One sentence paragraphs and too long paragraphs should be avoided. Every paragraph must clearly present a complete idea or thought. If indented paragraphing is used there is no need to leave wider gaps than double space.

(vi) Use of Numbers

Numbers one to nine should be written in words, but numbers ten and above can be expressed in Arabic numerals. Numerals should not start sentences

(vii) Use of Capital Letters

The first letters of common nouns are not capitalized unless they are starting a new sentence. For example, “there are ten universities.” Here the letter U is not capitalized because the word University is a common noun. But in Ndejje University, the letter U is capital. The same applies to “S” in a school or “I” in an institution.

(viii) Headings

All topics of equal importance should have the same level of headings throughout the documents. For example, all chapter titles, all objectives, all the table headings, etc, must have the same characters i.e objective one must have the same level of heading as objective two, and the heading of chapter one, must have the same level of heading as all other chapter headings.

(ix) Figures, Charts and Tables

Every chart, table or figures must be named or titled. Charts and tables should be given labels e.g. Table 15 or chart D rather than above table or the table below.

They should be shown in the content page with their titles and the page numbers where they are found.

(x) Quotations

Short quotations not exceeding 40 words can be incorporated in the text enclosed by double quotation marks followed by the author, year and page number. Example, when he saw a big dog, he shouted “I shall be finished in a short time” (Obore, 2014 P.16) or (Obore, 2014: 16). But quotations of 40 words or more should be indented like paragraphs: According to Musoke 2016 P.10: (Musoke, 2016:10)

Thousands of students were killed when fire caught their dormitories.....

(xi)References

- a) Hanging indent format
- b) Latest format edition of APA or any format as shall be advised.
- c) A list of references must appear at the end of the thesis (after the last chapter)

(xii) Word Count (limit)

A PhD thesis should not exceed 100,000 words of text including appendices. It should range between 75,000 and 100,000 words i.e. between 300 and 400 pages, allowing 250 words per page.

PART TWO

2.0 THE FORMAT OF THE SYNOPSIS AND RESEARCH PROPOSAL

The formats of two key research outputs namely Synopsis and Research Proposal are presented below.

2.1 The Synopsis

Students who apply for the research based PhD at Ndejje University will be expected to prepare and present a synopsis of their planned research as a requirement for admission to the PhD program of study. The PhD Research Synopsis shall be an overview of the planned research. All applicants are advised to use the formant presented here to ensure uniformity and fair assessment of all applications. The application shall include the following:

Identifying information

1. Name of the student
2. Degree applied for
3. Current Institutional affiliation and address, if applicable.
4. Related academic background
5. Abstract/s of previous research in proposed area of research, (250-300 words).
6. Details of published work in proposed area for PhD research

The Synopsis:

The synopsis format is:

1. Research topic

The topic should reflect the scope and content of the proposed study in 20 words or less. It should be clear, descriptive and concise.

2. Abstract of the proposed research covering the following:

- i. Introduction i.e. a brief review of the state of current research issues in the proposed research area with supporting evidence (citations). This can focus on, what has been done in recent years and student's comments on it including the gaps in what has been done, so far.
- ii. Contextual evidence of the identified gap in knowledge including, argument, and justification for planned research.
- iii. Description of planned research including statement of the problem, objectives, questions and hypotheses of the research.
- iv. Significance of the proposed research showing where it is likely to be useful (to whom and how?), how it is more helpful, and bridges identified gaps, etc. left by earlier research.
- v. Conceptual and theoretical framework for the proposed research

- vi. Methodology for data collection, analysis and reporting, with a clear understanding of the limitations and ethical issues of the methodology.
- vii. A brief indication of what the proposed research has in common with previous research and where it differs. A clear statement of the gap in research that the applicant will address in the proposed research.

The synopsis shall not exceed four (4) pages on A4 paper. The style is: Times New Roman. Font size is as follows: Title 18, headings and sub-headings 14, text 12. Spacing is .5 spacing. The margins shall be 1.5” (3.81 cm) left margin and 1.0” (2.54 cm) right margin, top and bottom of the page.

The language of presentation shall be English unless authorized otherwise by Ndejje University. Candidates from non-English speaking countries shall be required to include evidence of proficiency in English.

Applicants who successfully present the synopsis will be given provisional admission and required to attend and complete core modules of study and present and successfully defend a research proposal. Admittance to the University is subject to the requirement that the student will comply with the University’s registration procedure and will dully observe the Charter, Statutes, Ordinances, Research Policy and Regulations of the University.

2.2 The Research Proposal

A “Research Proposal” is a written presentation of planned process. A proposal is a plan of intention. It is done before one undertakes research and is written in future tense. A proposal outlines what the student will study for the research and how you will go about it. The main purpose of a research proposal is to demonstrate that the student intending to do research has a clear and systematic conceptualization of the research problem and research process and that the student has done adequate reading and informed about recent work done in the area of interest. When a proposal is written properly, it facilitates both research and writing of the thesis to ensure successful completion of the academic requirements for awarding a Doctor of Philosophy. The main components of the research proposal do not change over academic level, e.g. Masters’ and PhD level. What changes is the degree and depth of interrogation and analysis of ideas, concepts, theories and other scholars’ work.

The PhD proposal at Ndejje University shall follow the format presented here.

1. The cover or title page
Information on the cover page is placed in specific locations i.e. the top, middle and bottom of the page
2. Preliminary pages or front matter
3. The main body of the proposal

4. References
5. Appendices or back matter

The PhD research proposal shall be between 20-30 pages, excluding front and back matter

Details of the Components of the PhD Research Proposal

1. Title page: includes

- (i) Title of the study which should:
 - Accurately reflect the scope and content of the study
 - Be descriptive, concise, simple and catchy in 20 words or less
 - Contain the key words of the proposal
- (ii) Name of the author / candidate / researcher
- (iii) Purpose of the proposal e.g. as a partial fulfillment of the requirements for the award of Doctor of Philosophy
- (iv) Month and year of submission of the proposal

N.B: The title page is the first page of the proposal but it is not numbered.

2. Preliminary Pages

Preliminary pages include the following and are numbered in Roman numerals:

- (i) Declaration
- (ii) Approval for submission
- (iii) Table of contents
- (iv) Lists of tables
- (v) List of figures
- (vi) List of acronyms and abbreviations

N.B: Every one of these sections starts on a new page and every one of them should be given a full title.

3. The Main Body of the Proposal.

The different parts of the proposal are sections not chapters. They include: **SECTION ONE** which is the **GENERAL INTRODUCTION** with various sub-headings, **SECTION TWO**, which is **REVIEW OF LITERATURE** with various sub-headings and **SECTION THREE** which is **METHODOLOGY** with various sub-headings as shown.

SECTION ONE

1.0 GENERAL INTRODUCTION

The general introduction presents the whole proposal as well as what is in section one of the proposal, namely:

- 1.1 Background to the Study
- 1.2 Statement of the Problem
- 1.3 Objectives of the Study
 - 1.3.1 General Objective
 - 1.3.2 Specific Objectives
- 1.4 Research Questions and / or Hypotheses
- 1.5 Scope of the Study
 - 1.5.1 Geographical Scope
 - 1.5.2 Content Scope
 - 1.5.3 Theoretical Scope
 - 1.5.4 Time Scope
- 1.6 Justification of the Study
- 1.7 Significance of the Study
- 1.8 Definitions of the Key Concepts
- 1.9 Structure and Organisation of the Study

SECTION TWO

2.0 REVIEW OF LITERATURE

- 2.1 Introduction
- 2.2 Literature Survey
- 2.3 Theoretical Framework
- 2.4 Conceptual Framework
- 2.5 Review of Specific Literature (according to specific objectives)
- 2.6 Summary of Review of Literature

SECTION THREE

3.0 METHODOLOGY

- 3.1 Introduction
- 3.2 Research philosophy
- 3.3 Research design
- 3.4 Study area and population
- 3.5 Study sample
 - 3.5.1 Sampling design

- 3.5.2 Sampling procedures
- 3.5.3 Sample Size
- 3.6 Data Collection
 - 3.6.1 Data Collection Sources
 - 3.6.2 Data Collection Methods and Instruments
 - 3.6.3 Data Collection Procedures
- 3.7 Data Quality Control
 - 3.7.1 Validity
 - 3.7.2 Reliability
- 3.8 Measurement Of Variables
- 3.9 Data Processing and Analysis
 - 3.9.1 Data Processing
 - 3.9.2 Data Analysis and Presentation
- 3.10 Ethical Considerations
- 3.11 Limitations of the Study

REFERENCES

APPENDICES

Appendix 1: Budget

Appendix 2: Time frame / work plan

Appendix 3: Instruments (details of tools used in the research- questionnaires interview guide)

Appendix 4: Explanatory Notes (they include research approval letters, maps and list of areas to be visited)

A Doctor of Philosophy Degree Research Proposal must be publically defended by the candidate. The views of the committee vetting the proposal along with minutes must be forwarded to the University Doctoral Committee and Graduate School.

DETAILS OF THE PROPOSAL SECTIONS AND SUB-SECTIONS

SECTION ONE

1.0 GENERAL INTRODUCTION

The general introduction highlights what is in the whole proposal first, and then goes on to introduce what is in section one of the proposal.

1.1 Background to the Study

It is the rationale of the study providing evidence and conditions of the existing situations highlighting the gaps to make the reader feel the urgency of the problem and the need to study it in order to provide solutions

The background may be funnel-shaped in the sense that it locates the study within the broader global context, and narrow it to the regional, national and finally local context. It could also be broken down into sub-sections namely: **Historical perspective** (gives the relevant facts about the topic so that readers understand the case that you will write about and how it has developed over time. Direct the reader's attention to the empirical details through which your research topic and questions have lived over time. Outline the genesis of similar problems and attempts to tackle such problems. It can also be handled from the global context, African context and the national context. How you write can reveal a lot about your knowledge and interest in the subject and will help convince the reader that your interest in the topic is justified and likely to sustain you up to the end), **Theoretical perspective** (Shows the readers briefly the theory or theories upon which your thesis is based to explain, understand describe and predict the relationship among variables of the study), **Conceptual perspective** (Describes the key concepts of the study and how they are operationalized and will be used in the study. It has a direct linkage with the conceptual framework) and **Contextual perspective** (In this sub-section you contextualize issues in a specific environment. It gives a link to the statement of the problem. It should be able to give the current state of affairs. Should compare what it is and what it should be. Should identify the gaps, the issues at hand, the key challenges faced by the case study which you are investigating. What has been done and what remains to be done). The background should capture all variables under study. All sources of information cited should be acknowledged and documented properly.

1.2 Statement of the Problem

The difference between lower academic level and PhD statement of the research problem is the depth of analysis/ multi-dimensional interrogation of the postulated variables of the chosen research problem. Citation and debate/interrogation are the key here. The purpose

is to use this sub-section to clearly state what the proposed study is about and the problem it is specifically addressing.

The statement of the problem sets the limit of what the students wants to do. It is from this statement that one derives objectives, hypotheses and or research questions and the research design. It is from this statement that one gets the scope and significance of the research.

- i. The statement of the problem should be clearly stated, specified and focused with precision
- ii. Key issues, values and their relationships should be clearly stated.
- iii. Should refer to what has been detected and needs a solution in the practical or theoretical world
- iv. Should clearly state the nature and dimension of the problem and its known or estimated magnitude/ extent
- v. Should clearly state sufficient evidence of what is significantly new about the stated problem
- vi. It should present a problem not a situation surrounding the problem
- vii. The student indicates the gaps in knowledge that justify undertaking further study
- viii. It is a statement of what a researcher is going to do in the proposed research.
- ix. Should be concise and brief (not more than one page)

The concluding sentence of the research problem should be clear and precise. The final sentence should reflect what the title of the study says the research is about

1.3 Objectives of the Study

The objectives include the general and specific objectives as follows:

1.3.1 General Objective

The general objective is derived from the topic and statement of the problem. It refers to the general intention of the research (overall goal of the research) and should spell out what the research is supposed to accomplish. The general objective should yield between 5-6 specific objectives to be investigated

1.3.2 Specific Objectives

These are specific aims / objectives arising directly from the general objective. The actual number of specific objectives is influenced by the nature of relationships the student is interested in investigating. The number of specific objectives will influence the volume of the literature review and data to be

collected, so one should limit the number of specific objectives to be investigated in relation to the time, finances and volume of data one can handle properly within those limitations. It is assumed that the findings of the study will lead to recommendations, so there is no need for a specific objective about recommendations. Specific objectives are stated in short practical sentences and numbered in Arabic numerals. They should be SMART i.e Specific, Measurable (for quantitative research), Achievable, Realistic and Time-bound. The student should indicate the method of data collection that will be used to collect data for the different specific objectives one by one.

1.4 Research Questions

These are investigative assumptions which guide the study. Research questions help to focus the student on what it is they are investigating that is why specific objectives are sometimes turned into research questions. Research questions are also usually used in explanatory studies because the researcher is not so familiar with the research area and cannot therefore pre-determine what relationships to examine or investigate.

1.5 Research Hypotheses

Given that a hypothesis is an educated guess, an explanation stemming from observations and existing or new models or theories (Black 1999), the student needs to review literature to be informed about plausible explanations about the research problem that create testable hypotheses. The main reason for stating a hypothesis is to test whether it is supported by the findings or not. The whole design of the study will be affected by a hypothesis thus it is better to establish a hypothesis/hypotheses early before expending effort and other resources. (Black, 1999). Stating hypotheses presumes a research method where the researcher will control the variables in order to attribute cause and effect. Another situation where hypotheses can be tested is when the independent and dependent variables are known to vary together in a systematic manner i.e where the change in one variable is correlated to change in another variable. Hypotheses should be testable either as the null or alternative hypothesis which ever poses the investigative question. Hypotheses should tally with the research objectives (usually in quantitative research) and should state the expected relationship between variables that is to be tested in the proposed research.

1.6 Scope of the Study

The scope provides for the boundary of the research in terms of content, sample size, geographical and theoretical coverage. The researcher should also indicate how long data collection is expected to take

1.6.1 Geographical Scope: is the location or study area

1.6.2 Content Scope: The variables to be investigated in the study e.g. from the theoretical model and or conceptual model.

1.6.3 Time scope: Period to be covered and the period during which the study is to be carried out.

1.6.4 Theoretical scope: Whether a mixture of theories (theoretical triangulation) will be adopted to under pin the study

1.7 Justification/ Rationale of the Study

The reason and rationale for wanting to carry out the proposed research should be spelt out in this sub-section. It is an existing gap in knowledge, a novel idea that must be tested or a problem that cannot be addressed without empirical evidence

1.8 Significance of the Study

The student states how different stakeholders will benefit from the findings of the study. The student should also spell out the ways in which her/ his study would add to the existing stock of academic knowledge. Significance of the study refers to the relevance of the study in terms of academic contributions and practical use that might be made of the findings.

1.9 Definitions of Key Concepts

Definition of key concepts should reflect serious study and understanding of the key concepts within the context of the discipline in which the thesis is submitted. The student is expected to review and interrogate literature on the given concept and come up with an academic operational definition of the concept as it shall be used in the proposed research. The key concepts in the research topic and objectives must be given operational definitions. Measuring that best defines the concept in the context of the study. The student does not make up these definitions but rather reviews literature to relate their own understanding of the concept to its professional use by other scholars in the discipline of the student's study.

1.10 Structure of the Study

This section illustrates how the study will be structured in terms of chapters and what each chapter presents.

Key Issues in Sections One of the Proposal

- a) Build a strong back ground with facts
- b) Ensure your variables and concepts of your study are clear
- c) State the problem briefly and concisely and in both specific (the specific issues in which the researcher is interested) and general terms (relating the problem to the larger context of the science and show why it is worth solving). The problem statement is the heart of the research. It should show why the candidate is proposing the study and defines the variables and their relationships/ issues to be investigated.
- d) Ensure that your objectives, research questions and hypotheses are clearly linked up properly.
- e) Give a convincing justification for the study
- f) The scope in terms of geography, theoretical, content and period must be clear.
- g) The relevance of the study in terms of academic contribution and practical use that might be made of the findings must be clear.
- h) Any operational terms must be carefully considered

SECTION TWO

2.0 LITERATURE REVIEW

Literature review is a concise overview of what has been studied, argued and established about a topic and it is usually organized chronologically or thematically. Literature review is not a summary, rather, it evaluates previous and current research in regard to how relevant and/ or useful it is and how it relates to your own research. The section deals with the analysis of existing literature on the subject with the objective of revealing contributions, weaknesses and gaps. Literature review should reflect the objectives, research questions, hypotheses and methods in light of the content scope. There should be evidence of isolation and articulation of silent gaps in the existing knowledge with reference to each variable and objective.

The student is advised to include recent literature (not older than 5 years).

2.1 Introduction

The introduction tells the reader how the section or chapter is all about and how the review is organized.

2.2 Literature Survey

Examines the global literature that relates to the objectives of the study. The funnel approach is usually the best, that is starting with international citations, come down to regional (Africa, East Africa) and then national (Uganda) citations. It should not be just citations without intelligent discussion and integration in the argument of the study, since the purpose of literature survey is to give the current study an academic context

2.3 Theoretical Review

Is an examination of existing or self-formulated theories in relation to the researcher's objectives. The theory or theories that will underpin the study are explained.

2.4 Conceptual Framework

Is a scheme of concepts (variables) which the researcher will operationalize in the study in order to achieve the set objectives. The framework is normally presented diagrammatically. The conceptual framework should have a relevant title. The title is numbered as a diagram or figure and placed under the diagram in APA style. The diagram should be followed by a brief narrative to explain what is presented. In summary a conceptual framework shows how the researcher has operationalized the variables and how he/she sees inter-connection between them.

2.5 Review of Specific Literature

This should be done specific objective by specific objective. Each objective is given a theme that should reflect both variables of the study and a review of appropriate literature. The student will decide on sub-headings in accordance with every specific research objective.

2.6 Summary of Literature

The student should highlight the main argument and key points from the literature in relation to the argument of the proposed study. The gaps that have been identified in the literature have to be highlighted. The student should then use the identified gaps to justify the need for her/ his proposed study.

Key Issues in Section Two

- a) Ensure proper organisation of the section
- b) Be critical and analytical
- c) Review current literature
- d) Identify key gaps
- e) Develop good theoretical and conceptual frameworks

SECTION THREE

3.0 METHODOLOGY

The methodology section is structured in the following sections and sub-sections

3.1 Introduction

It tells the reader what is contained in the methodology section and how the section is arranged.

3.2 Research Philosophy

A research philosophy depends on how the researcher thinks about development of knowledge. Some researchers are positivists, while others are interpretivists. Positivists rely mainly on statistical and quantitative estimations to arrive at conclusions, while interpretivists focus on meaning trying to understand what is happening in the field to reach conclusions. The student should clearly state the research philosophy to which his/her study is biased.

3.3 Research Design

The choice of research method e.g. descriptive, a case study, cross –sectional survey design and so on should be clearly stated (what method to use, where and why). The choice of a particular design must be justified. The type of data to be handled by each method should be stated and justified. Sources of justification for the methods should be acknowledged and cited properly, i.e other scholars who discuss the strengths and weakness of a given research design. The student should state the proposed research approach, whether quantitative or qualitative or a combination of both. The approach proposed should be justified.

3.4 Study Area and Population

The study area is the specific area of focus where the study is done. It is described including any aspects of the area that may enhance or hinder the study objectives. The study population is the total number of eligible respondents in the area of the study. Eligible in the sense that they have the required characteristics for the study, general and specific objectives and are therefore suitable data sources.

3.5 Study Sample

This sub-section describes the type of respondents who will be selected from the study population. A study sample is used because it is not necessary to study everybody in the population. The important thing is to select the right respondents in a representative and sufficient number.

3.5.1 Sampling Design

A description of sampling plan that will be used, the techniques under the plan and how they will be used should be stated. The formula that will be used to select respondents should also be stated

3.5.2 Sampling frame and sample size

This sub-section gives the parameters of the sources for the study sample. It also includes a description of the sampling frame which the student will use to select the actual representative respondents. A description of the actual number of respondents to be involved in the study and how they will be calculated then selected has to be included. The student should provide justification for the number chosen. The student should ensure that the sample size chosen is representative enough for the entire population and adequate for the type of data analysis proposed.

3.5.3 Sampling Procedure

This sub-section describes in detail the process that will be used to select the sample.

3.6 Data Collection

The student describes how the data for the study will be obtained.

3.6.1 Data Collection Sources

The student should explain which primary and secondary data sources will be used and how each source adds value to data that is required for the study.

3.6.2 Data collection Methods and Instruments

This includes the specific techniques to be used in the collection of data. Methods could include administering of questionnaires, face-to-face interviews, key informants interview, focus group discussion, etc. Instruments could include questionnaire, interview schedule or guide, observation check-list among others. The method and instruments chosen should be fully described, indicating how every one of them will be used, the type of data that will be collected using that method and instrument and why. Both methods and instruments should be described and justified. The instruments should be appended to the proposal

3.6.3 Data Collection Procedure

The student describes the steps that will be taken to ensure good quality data. A data collection plan with dummy tables of sample composition appended can help to ensure that all data that is needed is actually collected in the right amount.

3.7 Data Quality Control

Data quality control starts with ascertaining the validity and reliability of data collection instruments but also includes assuring that the data collected is accurate and authentic to

the respondents. The student should show how the data collection instruments will be assessed for validity and reliability. Pre-testing or piloting is important but should be accompanied by other robust tests for validity and reliability. The student should show how bias and inaccuracies in data collection will be detected, controlled, avoided or eliminated.

3.8 Measuring of Variables

Refer to the formulae or scales in the study

3.9 Data Processing and Analysis

The methods and process to be used to organize, analyze and interpret the data collected should be described fully. There are many data analysis techniques. The student chooses the appropriate technique for data analysis depending on the type of analysis that is dictated by the study objectives and the data required to meet those objectives. He/ she should state the techniques and how and why it will be used to analyse the data in his/ her study.

3.9.1 Data Processing

This entails organizing the data into manageable sizes for example editing, coding, tabulating and classification, among others.

3.9.2 Data Analysis and Presentation

Data analysis involves transforming the data into meaningful information. It may involve the use of different statistical packages and procedures of data analysis. The output of the statistical analysis whether descriptive or inferential analysis, must be interpreted as part of presentation of the findings. The student should know what type of analysis should be done. What statistics or description will be yielded, how they will be interpreted and presented. In case of qualitative data, the student should indicate the qualitative data analysis and presentation to be used, what information will be derived from the analysis and how it will be presented.

3.10 Ethical Consideration

The student should indicate a clear understanding of the ethical issues of the study and how they will be handled to counteract their negative effect on the outcome of the study. A study topic or methods used to collect data, the type of respondents and the like, have within them ethical issues that a student should be aware of. This calls for a deeper understanding of the research problem in order to be able to identify the ethical issues in it. Once identified, it is the responsibility of the student to cater for them i.e know how to address them and how to offset their effect on the quality of data collected and consequently the effect on quality of the whole research undertaking. The student should

also indicate how he/she will obtain clearance for the study from the ethical body such as Uganda National Council for Science and Technology (UNCST) and consent from the respondents / participants in the study. Ethics of the research refers to the moral justification of the investigation or intervention, as regards to the minimal abuse, disregard, safety, social and psychological well being of the person and or / community.

3.11 Limitations of the Study

Potential sources of bias in the proposed study are presented in this section. The student should highlight issues and problems that are likely to hinder progress of her/ his study and affect the quality of the data as well as ways of the overcoming them. These problems might be caused by method, location, situation of research. They should be understood and counteracted in order to avoid their negative effect on the quality of the research.

Key Issues in Section Three

- a) Be clear on your research design
- b) Be clear of the research approaches i.e qualitative, quantitative or both
- c) Be clear of the study population and sampling design
- d) Be clear on data collection methods and instruments
- e) Show how you will ensure validity and reliability
- f) Be clear on data analysis techniques

REFERENCES

References come at the end of the main body. The list starts on a fresh page. The subsection is not numbered in the way other sections and sub-sections are numbered. The title “REFERENCES” is in capital letters. All citations made in the text must appear in reference list. All references must be written using the agreed style and format of the faculty under which the degree is awarded. References include only citations that have been used in the document. A bibliography on the other hand, includes all sources one reads whether they appear in the document or not. References are what is required for the proposal and thesis, in this case the approved format is APA, latest Edition.

APPENDICES

Appendices start on a fresh page. Each piece of appendix is numbered and given a proper title. The full word appendix is written once for appendix A or 1: and there after the next number and title are listed. The word appendix should not appear on research instruments that are to be sent out to respondents for data collection. Appendices comprise of the following: work plan, research budget, explanatory notes and instruments.

Work Plan

This is the schedule or time table of activities and the period in which the research is to be conducted. It could be presented in a tabular or graphical form indicating activity, duration and dates. The work plan is useful in monitoring the progress the student is making. Both the supervisors and Students will use this plan

Research Budget

This is the financial plan for implementation of the research. It should be clear, realistic and affordable. The budget consists of research activities as the line items and the estimated or actual cost of each line item. Among others may include the following:

- Equipment
- Stationary
- Materials
- Travel
- Subsistence
- Research assistants
- Services (secretarial, photocopying, etc)
- Administrative overheads

Tips to Successful Proposal Writing

- a) Follow the institutional (NDU) Guidelines
- b) Read extensively books and journals relating to your topic
- c) Be mindful about the logical structure of your work and properly edit your work
- d) Seek advice from your supervisors and even independent experts and check what your fellow students are doing.
- e) Be flexible especially when you receive negative comments from your supervisors and respond to their comments timely and logically.

Examination of the Proposal

Candidates will be required to submit their full proposal using the recommended forms one month before the proposal defense to Graduate School Administrator who will circulate it to the examination panel (and interested staff members)

The student shall work closely with the supervisory team throughout the process of preparing the research proposal. When the team is satisfied that the proposal meets the requirements and is of high quality befitting PhD level, the Supervisors shall authorize the proposal for oral defense. The Faculty Doctoral Committee, PhD, shall authorize the proposal before it is received by the Graduate school. The Graduate School shall organise the oral defense and inform all stakeholders and the oral defense panel of the same

A minimum of an hour is allocated for the proposal defense. The examination panel will be the appointed Committee of the candidate consisting of five members approved by FDC, University Doctoral Committee and Graduate School. The chairperson of the approved candidate's Doctoral Committee chairs the proposal defense meeting and introduces the candidate. The candidate will be required to do a power point presentation to a panel which will assess the strengths and weaknesses of the proposal and presentation thereof. The Proposal will be publically defended. The candidate will be allocated 30 minutes in which to do the presentation. The other components will be allocated time as follows:

1. Topic (One minute)
2. Background to the study briefly (five minutes)
3. Objectives of the study (4 minutes)
4. Brief literature as it concerns the candidate area of focus (five minutes)
5. Description of methodology (15 minutes)
6. Panel members will be given 30 minutes to ask the candidate questions and to discuss the proposal

After the candidate has left, the panel discusses the proposal and makes a final decision on the proposal which must be reflected on the assessment form.

N.B. It is acceptable for amendments to be made on the proposal.

Recommendations for the proposal by the panel members will thus be

1. Pass with no revisions
2. Pass with minor revision
3. Conditional pass with major revision
4. Re-submission for examination
5. Fail

Approval to Proceed with Data Collection for the Thesis

It shall be the responsibility of the student to clear the proposed research through all official channels both at the University and the National Council for Science and Technology (NCST). The student shall proceed to do field data collection after successful oral defense and clearance by the Ethics Committee and NCST.

Students shall have the research proposal reviewed and approved for field work before proceeding to seek clearance from the National Council for Science and Technology. Copies of the approval and clearance Certificates shall be submitted and appended in the appendix of the thesis.

PART THREE

3.0 THE DOCTOR OF PHILOSOPHY THESIS

This section gives details of how a student should proceed to prepare the thesis. The thesis should be written in good English and in the approved writing style for the discipline of PhD degree pursued. Students must make sure their work are thoroughly edited before submitting them to the supervisors, faculty and consequently to Graduate School.

3.1 Preparation of the PhD Thesis

The student shall work closely with the supervisory team throughout the process of field data-collection and preparation of the thesis. The team shall plan the supervision meetings and what is expected at every meeting. Both the student and supervisors should keep an official record of the supervision proceedings, as per supervision form (see appendix 3). An unsupervised thesis shall not be accepted for examination.

3.2 Format of the Thesis

The format of the Thesis is similar to the PhD proposal in some parts but different in others. While the proposal has sections the thesis has chapters. Furthermore, the thesis gives a report of the implementation of what was the proposal so the two are closely inter-related. This part of the guidelines describes in detail only the parts of the format which have not been described already.

N.B: A student who wants to make major changes from the proposal should seek permission to do so from the PhD Coordinator. The Coordinator should officially write informing the Graduate School of the changes that have been made. The Graduate School should keep a record of the changes because the thesis and proposal must relate or where changes have been made, they must be highlighted for the record. The thesis report is in the form of a book. It goes through a number of revisions before the final draft which is authorized to enable graduation and for depositing in the Graduate School Library. It should be arranged as follows:

Preliminary pages (front matter), which include the following:

They are presented in uppercase letters and centered.

1. Title page or cover page
2. Declaration
3. Authorization(Approval)
4. Dedication
5. Acknowledgement
6. Table of contents
7. List of tables
8. List of illustrations/ figures

9. Abbreviations and Acronyms

10. Abstract

Title page or Cover page

The title is in upper case letters but the sub-title should be capitalized. The full names of the student and qualifications already attained should appear in the middle of the title page. A statement that “a thesis submitted in partial fulfillment of the requirements for the award of the degree of Doctor of Philosophy (e.g in Business Management) of Ndejje University.” The month and year of submission should appear at the bottom of the title page.

N.B: Title page is not numbered. From declaration to the abstract page numbering is done using Roman numerals (ii, iii). The style of presentation of the thesis should follow the approved style for the discipline under which the degree is pursued. Date of submission of the finished copy is after the VIVAs and revision. It is the date of authorization to bind the final copy.

Declaration

This is a pronouncement by the student that his/her study is original and has not been published and / or submitted for any other degree award to any other University or any other institution before .

Authorization (Approval)

The authorization must state that the thesis has been submitted for examination with the approval of the supervisors and carry the signatures and date of signing of both supervisors. A thesis that is not signed by the supervisors shall not be accepted for examination by the external examiner or VIVA VOCE panel

Dedication

The candidate may wish to dedicate his/her work to a specified person or a number of people respectively to recognize the contribution they previously made or have made towards the success of ones’ academic journey or thesis. The dedication should not exceed 20 words

Acknowledgement

The acknowledgement entails recognition of the supervisors, mentors, colleagues, individuals, sponsors and institutions, which supported the research. It is good practice to acknowledge God as the power that enables one to achieve success. The acknowledgement should not exceed one page.

Table of Contents

This is a list of all the content of the thesis. It shows the headings, sub-headings and page number of the front matter in Roman numerals and the main body and end notes in Arabic

numerals. Chapters, headings and sub-headings must be listed in proper style. Careful use of capital letters, lower case letters and alignment of headings and sub-headings according to the style of presentation of the thesis, must be observed.

Abbreviations and Acronyms

Abbreviations and Acronyms are both shortened versions of something else. Both can be represented as a series of letters. Some abbreviations are acronyms but others are not. For example, K'LA is an abbreviation for Kampala. The abbreviation stands for a word that carries the same meaning. The acronym Jan for January or any month can be used in a table for instance to enable the student to fit the whole year's months in a table, but Jan does not carry the same meaning beyond the use adopted for the table. The student should make a complete list of all abbreviations and acronyms used in the thesis. Normally only abbreviations and acronyms other than those commonly used such as i.e., e.g., et al; etc are listed. The common ones are not listed.

Abstract

An abstract should carry only essential information in a brief, succinct single paragraph. In APA style, for example, an abstract should summarize the objectives, methods, results, conclusions and some of the recommendations made on one page. The abstract can have headings e.g objectives, methods, etc or flow without headings. It is presented in New Roman font 12 and single spacing. It is in bold letters. The abstract should be objective, precise and easy to read. Although the abstract appears at the beginning of the thesis, it is actually the last part of the thesis to be written because it is a summary of the key information about the thesis.

The Main Body of the Thesis

The pages of the text are numbered in Arabic numerals starting with the General introduction as page One. The sections of the text are chapters and include the following:

(a) CHAPTER ONE

GENERAL INTRODUCTION

(b) CHAPTER TWO

LITERATURE REVIEW

(c) CHAPTER THREE

METHODOLOGY

(d) CHAPTER FOUR

**PRESENTATION, INTERPRETATION AND DISCUSSION OF FINDINGS
ON OBJECTIVE ONE**

(e) CHAPTER FIVE

**PRESENTATION, INTERPRETATION AND DISCUSSION OF FINDINGS
ON OBJECTIVE TWO**

(f) CHAPTER SIX

**PRESENTATION, INTERPRETATION AND DISCUSSION OF FINDINGS
ON OBJECTIVE THREE**

(g) CHAPTER SEVEN

**PRESENTATION, INTERPRETATION AND DISCUSSION OF FINDINGS
ON OBJECTIVE FOUR**

(h) CHAPTER EIGHT

**PRESENTATION, INTERPRETATION AND DISCUSSION OF FINDINGS
ON OBJECTIVE FIVE**

(i) LAST CHAPTER

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

N.B The chapters depend on the number of specific objectives of the research
Research questions and hypotheses should be discussed in the chapter dealing with the
specific objective they are drawn from

In the literature review chapter, the candidate should indicate the literature survey (to give
the current study an academic context) and the theoretical background (conceptual review,
theories to underpin the study, conceptual framework, conceptual review and related
literature)

Every chapter should have a summary and conclusions.

Presentation and Discussion of Study Findings

The chapters based on specific objectives should flow systematically starting with a small
introduction, then conceptual framework on the objective, measures of variables,
descriptive analysis, inferential analysis, discussion and chapter summary and conclusion.
The presentation of chapter should use the actual wording of the objective e.g. efficiency
and financial sustainability, if your objective one, was to examine the effect of efficiency
on financial sustainability of say Microfinance institutions. The findings of the study
should be presented in a logical systematic form. They should reflect what was discovered
in relation to the specific objectives and /or hypotheses of the study.

N.B: The purpose of research is not to prove that your ideas are right but to show what
exists in the field in relation to the relationship between the variables that one sets out to
investigate or the specific objectives one sets or questions one sought to answer or the
hypotheses one set out to test. Significant findings confirm the hypothesis, while non-
significant findings confirm the alternative hypothesis, both the confirmation and non-

confirmation of one's ideas are true and worthy findings of the study and should be reported as such. The findings should be reported and discussed in detail. The discussion must put the findings in the context of what the student proposed to do and what the findings have revealed.

Conclusions and Recommendations

Conclusions should logically emerge from candidate's own work in the light of the stated research problem and objectives. Should be articulately and reasonably expressed. Recommendation or a number of recommendations should emerge from the findings and they should be action oriented, practical or policy specific. If the student is suggesting that the findings indicate need for action to be taken, she/he should indicate who she/ he think should be responsible for taking that action. The student could also make a few suggestions for further research. Recommendations for further research should reflect the new aspects or insights gained in the process of conducting the present research.

References

All sources cited in the text should be included in the list of references. References should be arranged in alphabetical order at the end of the thesis, beginning with the author's name. Every academic writing style has guidelines on how to present references. The student should follow relevant style. For example, students pursuing a PhD in Business Management, the APA system of referencing should be used.

Appendices

All the details that explain key aspects of the thesis, e.g research instruments, maps, procedural matters, clearance letters, etc should be appended in the thesis. Clearance letters among others shall include ethical approval, confirmatory certificate from the language editor, introduction letter and plagiarism certificate. Each item should be clearly numbered and titled. Appendices should contain detailed data or Information that explains the summaries provided in the main text. All appendices must be referred to in the main text of the thesis. Examples include but not limited to the following:

Appendix 1: Self-administered questionnaires

Appendix 2: Interview guide

Appendix 3: Ethical Approval

Appendix 4: Plagiarism Certificate

Appendix 5: Confirmatory Certificate from the language Editor

Appendix 6: Introduction Letter

Appendix 7: Published paper in international peer-reviewed journal or acceptance letter for publishing your paper

PART FOUR

4.0 PROCEDURE AND PROCESS FOR PhD DEGREE RESEARCH

Ndejje University has streamlined the process of research, preparation and submission of the thesis for final examination and awarding of the degree. The responsibilities of the PhD Student, role of the Faculty, Doctoral Committee, Ethics Committee and Graduate School are given below:

4.1 Responsibilities of the PhD Student

The PhD student should be aware of and comply with their responsibilities during their PhD journey. These include, but are not limited to the following:

- (i) To work conscientiously, ethically, safely and independently within the guidance offered. While it is important to keep the supervisors informed of the progress and to show work to them in line with an agreed work plan, students should be self-directed and self-managing.
- (ii) To participate fully in the research training and course work provided by the University.
- (iii) To engage with the doctoral and researcher development activities offered by the University and other instructions.
- (iv) To ensure that all research undertaken has been ethically approved and complies with all ethics requirements as defined by the Uganda National Council of Science and Technology.
- (v) To engage with supervisory meetings on at least a monthly basis, being well prepared and with a clear agenda of the discussion.
- (vi) To write notes from formal supervisory meetings of objectives to be pursued and action to be taken by student or by supervisor and to circulate to supervisor by the next working day.
- (vii) To maintain progress according to the timetable agreed with the supervisory team at the outset.
- (viii) To participate in the intellectual life of the University by attending and contributing to debate in research seminars and conferences.
- (ix) To present findings or partial findings at a research seminar.
- (x) To present written material in time for comments and discussion before proceeding to the next stage.
- (xi) To conduct one's self in a mature, professional and civil manner in all interactions at the University.
- (xii) To become familiar with and making an active contribution to the University and the Community.

- (xiii) To participate actively in the academic community and become familiar with the latest research relevant to his/her PhD work.
- (xiv) To complete the thesis work and the required coursework or other academic training within the prescribed period.
- (xv) To familiarize himself/herself with the faculty's or Graduate School requirements and procedures for completion, submission and public defense.

4.2 Role of the Faculty/Institute

- (i) The faculty is responsible for quality assurance of admission to the PhD program and for recommending supervisors for appointment.
- (ii) To evaluate the PhD candidate qualifications and the supervisor's skills in accordance with the regulations.
- (iii) The faculty is responsible for the required coursework or other academic training and for ensuring that PhD candidates are offered courses of high quality and relevance.
- (iv) The faculty must ensure that the PhD candidate's progress is in accordance with the plans.
- (v) The faculty is responsible for arranging a change of supervisor where necessary in collaboration with the Graduate School.
- (vi) The faculty has overall responsibility for internationalization of PhD education.
- (vii) In the event of voluntary termination, the faculty is responsible for ensuring that the reasons for the candidate's wish to end the course of study are identified, and that an interview is conducted with the candidate to explore possibilities of preventing termination.

4.3 The Role of the Doctoral Committee

Under the Graduate School, a Doctoral Committee shall be selected comprising of various University academic and Administrative officials as shall be prescribed by the University to manage the PhD program. The Doctoral Committee Roles and Responsibilities shall include but not limited to the following:

- (i) To participate in vetting the applicants into a research based PhD program.
- (ii) Represent the broad concerns of the University with respect to high standards of scholarly performance
- (iii) Ensure that all procedures are carried out fairly and according to relevant guidelines of the University

- (iv) Approving and recommending to Senate in consultation with the faculty a course of study which will fulfill the general course requirements of the student's major and supporting fields
- (v) Guide and assist student's academic work throughout the program.
- (vi) To oversee the student's academic work throughout the program
- (vii) The Doctoral Committee is responsible to ensure the quality of Doctoral Degrees from Ndejje University
- (viii) Ensuring the maintenance of a high level of integrity in the research students produce.
- (ix) Facilitating a level of consistency in the application of the University Research Standards (URSs)
- (x) Providing timely and substantive feedback that is within the defined scope
- (xi) In cooperation with the mother faculty, advise PhD candidate from the prospectus stage through the final defense of the thesis
- (xii) Guide and assess students throughout the plan of study, thesis and defense
- (xiii) In consultation with the Graduate School approve examiners recommended by the concerned faculty.
- (xiv) Ensure that the examination process is adhered to
- (xv) Guide the PhD Coordinator on all matters concerning the various PhD activities
- (xvi) Ensure that applicants to PhD programs meet the minimum admission requirements.
- (xvii) Approve the Core staff recommended by faculty on the PhD program.
- (xviii) Ensure that facilities for Doctoral students meet the required standards.
- (xix) To receive and discuss all PhD students Bi-annual progress reports
- (xx) Solving Problems and Grievances of students referred to it for further action

4.4 The Role of the Ethics Committee

The Ethics Committee should review and consider the following

- (i) Physical safety of human subjects
- (ii) Confidentiality of personal data where applicable
- (iii) Psychological safety
- (iv) Emotional safety
- (v) Privacy
- (vi) Written request for author of standardized instrument
- (vii) Coding of questionnaires/ Anonymity/ confidentiality
- (viii) Permission to conduct the study
- (ix) Informed consent

- (x) Citations / Authors recognized

4.5 The Role of the Graduate School

The Graduate School (GS) shall carry out the following functions as part of the process and procedures for PhD student's research

- (i) Organize Doctoral Committee meetings to vet all students research synopsis proposals and thesis for quality of content and presentation
- (ii) The GS shall assign research supervisors recommended by the faculty to every student
- (iii) Select an External examiner, Internal examiner and Independent reader for the thesis in consultation with the mother faculty.
- (iv) Ensure the mandatory modules for research based PhD programs and conferences meet the required standards
- (v) The GS shall keep a record of the authorizing minute extracts of every student's synopsis, proposal and thesis. Secretaries to Doctoral Committees and Faculty Doctoral Committee (FDC) shall ensure that these are forwarded to the GS after the relevant meetings.
- (vi) Organize VIVA VOCE and receive all VIVA reports
- (vii) Liaises with the relevant schools/ faculties and in consultation with Directorate for Research and Innovations in preparation of Proposal and Thesis Guidelines, relevant, forms and manuals.
- (viii) Liaises with relevant schools/ faculties in preparation of graduation list
- (ix) Receive agreed supervision timetables and written progress reports.
- (x) Receive Doctoral Development Plans (DDP)
- (xi) Receive copies of the clearance by National Council for Science and Technology before students proceed to collect data from the field.
- (xii) The School shall provide students with an environment for professional development as researchers, academics and Society problem solvers.
- (xiii) Give guidance and support to students in all matters concerning their PhD journey
- (xiv) Encouraging PhD staff to have regular meetings, developing high Standards in supervision and establishing contact across the PhD sister universities.
- (xv) Ensure that Supervisors have been appointed for students in due time and that all Supervisors have the qualifications required by National Regulations.
- (xvi) Ensure that assessment meetings are held between PhD candidates and Supervisors in relation to progress reports.

(xvii) Serve as a source of information about all regulations and resources relating to doctoral training and research for PhD candidates, supervisors including Supervisors from collaborating institutions.

4.6 Submission of the Thesis

- (i) Any candidate intending to submit his or her thesis should give the Graduate School and the relevant faculty at least three (3) months' prior notice in writing by filling in a special form designed for the purpose
- (ii) Examination arrangements will not be made unless a candidate has given notice of intention to submit.
- (iii) Before the thesis is submitted for examination, the relevant supervisors should have had an opportunity to comment on the thesis and certify in writing on an official form that the thesis is ready for examination.
- (iv) A candidate should initially submit six (6) copies of the thesis in a spiral bound form for examination.
- (v) After satisfactorily having completed all the corrections recommended by examiners the candidate should submit five (5) copies of hardbound thesis to the Graduate School for distribution to relevant offices and individuals. Each copy shall be bound in black washable buckram with stiff boards.
- (vi) The spine shall be embossed in gold, bearing:
 - a) The surname and initials of the candidate.
 - b) The degree for which the thesis has been submitted
 - c) The year of degree award
 - d) The writing on the spine should read from the button to the top.
- (vii) PhD thesis cannot be submitted without publishing at least one journal paper from the work in an international peer-reviewed journal. The paper must be attached as an appendix on the submitted thesis.
- (viii) No candidate shall be permitted to submit a thesis for the PhD degree in less than 24 months from the date of first registration.

4.7 Examination of the Thesis and Award of PhD Degree

- (i) For every PhD candidate approaching submission the Graduate School shall appoint on the recommendations of the relevant faculty/school, at least two (2) qualified examiners one of whom shall be external to NDU. The examiners shall be required to assess the thesis following standards prescribed by the University.
- (ii) The internal examiner shall be an expert not involved in the candidate's supervision.

- (iii) The examiners shall be required to submit their detailed report on the thesis within a period of **two months** from the date of receipt of the thesis.
- (iv) If the reports are not received within **three months**, new examiners shall be appointed.
- (v) The PhD thesis should show evidence that the candidate has made an original and significant contribution to knowledge, and each examiner shall submit the report on the thesis using the Ndejje University PhD marking Guidelines with a definite recommendation for one of the following actions:
 - a) The PhD degree be awarded to the candidate unconditionally;
 - b) The degree be awarded subject to typographical corrections and/ or minor revision;
 - c) The degree be awarded subject to making substantial revisions and corrections as recommended;
 - d) The degree should not be awarded, but the candidate be allowed to revise and resubmit the PhD thesis for re-examination after a further period of study and/or research.
 - e) The thesis be rejected outright.
- (vi) Where the examiners are not in agreement in their overall recommendations, the Graduate School shall consider the case and recommend one of the following actions:
 - a) The recommendation of the External examiners shall prevail
 - b) An additional independent examiner be appointed.
- (vii) An assessment of an additional independent examiner shall form basis of determining whether the candidate passes or fails the thesis.
- (viii) The University shall pay honoraria to the External and Internal Examiners at rates prescribed by Council and upon receiving detailed reports of the thesis under examination.
- (ix) A thesis not accepted as per regulation V(d) above must be re-written and re-submitted for re-examination within 18 months.
- (x) Candidates who fail to submit their thesis within the period stated on regulation ix above shall be discontinued from studies.

4.8 The VIVA VOCE Examination for PhD Candidate

- (i) Adequate notice for VIVA VOCE examination shall be given to the student to prepare for the examination and for members of the panel to read the thesis and prepare for oral examination of the student.

- (ii) The PhD Administrator will dispatch candidates theses within 72 hours of receipt to the External Examiners and only candidates who pass examination by the External Examiners will be invited to the VIVA VOCE by the Director, Graduate School.
- (iii) In addition to writing a thesis, the PhD candidate shall appear for a VIVA VOCE examination.
- (iv) The VIVA VOCE examination shall take place only after the Graduate School has been satisfied that the thesis submitted by the candidate is considered by the examiners to be of acceptable standard.
- (v) The questions in the VIVA VOCE examination shall primarily focus on the candidate thesis research area.
- (vi) The members of the VIVA VOCE panel shall be so selected as to ensure that the candidate is examined by sufficiently qualified and experienced scholars in the research (or related area). The role of the chairperson is to guide the oral examination and members of the panel to pronounce a verdict on the performance of students. The secretary records all the proceedings as well as revisions recommend.
- (vii) The composition of the VIVA VOCE panel shall be as follows:
 - a) Chairperson (with voting power)
 - b) External Examiner who examined the thesis (or his/her representative);
 - c) Internal Examiner who examined the thesis;
 - d) Appointee of the Dean of the faculty/school where the candidate is registered.
 - e) Three other qualified co-opted members, invited by the relevant faculty/school and approved by the Graduate School through the relevant committee.
 - f) The other supervisor(s) shall be invited to the VIVA VOCE examination as observers. They shall neither have voting power nor ask questions.
 - g) Other interested persons may attend the VIVA VOCE examination as mere observers.
 - h) Four members including the chairperson and secretary shall form a quorum for the panel to do business
- vi) The function of the VIVA VOCE shall be:
 - a) To ascertain that:
 - (i) The thesis presented (the data, methodology, analysis and findings) is the original work of the candidate.
 - (ii) The broader subject area in which the study is based is fully grasped.

- (iii) Any uncertainties or weaknesses in the thesis can be adequately clarified by the candidate; and
- (b) To make a definite recommendation to the Graduate School and Senate as to whether the candidate has passed or failed.
- vii) The duration of the VIVAVOCE examination shall normally not exceed three (3) hours
 - Maximum of 45 minutes for presentation
 - Maximum of two (2) hours of questions and answers
 - Maximum of 15 minutes of panelists' deliberations and decision.
- viii) At the end of the VIVA VOCE examination, the panel members shall sign a VIVAVOCE Examination recommendation to the Graduate School on the candidate performance with a definite recommendation for one of the following actions:
 - a) The candidate PASSES and no additional corrections in the thesis are required;
 - b) The candidate PASSES subject to making minor corrections and revisions in the thesis as stated in the VIVAVOCE proceedings, within three (3) months;
 - c) The candidate is referred to make substantial corrections and revisions as stated in the VIVA VOCE proceedings within six (6) months, and at least two (2) VIVA VOCE panelists must certify that the corrections have been done as directed.
 - d) The candidate fails but should be given another chance to re-submit and defend the thesis after eliminating the weaknesses detailed in the VIVAVOCE proceedings within eighteen (18) months.
 - e) The candidate fails outright.
 - ix) The Graduate School shall avail a records secretary for the proceedings of the VIVAVOCE examination.
 - x) A Candidate shall only attend VIVA VOCE two times; otherwise she/he should be discontinued and advised to re-apply.

4.9 The Final Copy of the Thesis

The final copy of the thesis, fully authorized and signed, shall be submitted to Graduate School at least 3 months before graduation date.

4.10 The Graduation List

It is the responsibility of the student to make sure that she/ he meets all requirements for granting a Doctorate in time to be included on the graduation list. The deadlines for inclusion on the list are announced in the University Calendar/ Almanac.

REFERENCES

Barifaijo, K.M., Basheka, B., & Oanyu, J. (2010). *How to write a good Dissertation/ Thesis*. (1st Ed), Kampala, Uganda, The New Vision printing and Publishing Company Ltd

Black, Thomas. R. (1999) *Doing Quantitative Research in the Social Sciences: An Integrated Approach to Research Design, Measurement and Statistics*.
<https://books.google.co.ug/books?hl=en&Ir+&Ir=rJA7CgAAQBAJEoi=fnd&pg=PT6&dq=research+hypothesis+insocialscience&ots....> Sage Publications Ltd. Visited 02/22/2019

Brown University visited 30th January, 2019.

Ndejje University Guidelines for Research for Masters' research (2015:4)

Ndejje University Guidelines for Research for Masters' research Effective 2015/2016:2-3

Ndejje University strategic Plan 2017/2027

Appendix 1: The Pioneer PhD Class 2018/19

1. BAKKABULINDI Andrew
2. CHEROTICH Anthony Kuka
3. DOMBO Moses J.M
4. KAKUNDWA Naome
5. KATO Fred
6. LULE James Kenyi
7. MOHAMED Yussuf Mohamed
8. MUGALU Ramathan
9. MUHEREZA Bobrich Mwecumi
10. MURANGIRA Joseph
11. NAMAYANJA Rehmah
12. RUGASIRA Jack
13. TWINOMUJUNI Rosebell

Appendix 2: The Core PhD Staff 2018/19

1. Prof Eriabu Lugujjo (NDU)
2. Prof Wilson Mande Muyinda (N U)
3. Dr. Fredrick Kakembo (NDU)
4. Dr. DWK Ssonko (NDU)
5. Dr. Rebecca Mirembe Nyonyintono (NDU)
6. Dr. Ritah Makumbi Oala (NDU)
7. Dr. Saidah N.Mbooge (NDU)
8. Dr. Claire Nabutto Lutaya (NDU)
9. Associate Prof. Denis Sekiwu (K U)
10. Dr. Milly Kwagala Oidu (NDU)
11. Dr. Kepha Natolooka (NDU)
12. Dr. Edgar Nabutanyi (NDU)
13. Dr. Henry Buwule Musoke (NDU)
14. Mr. Jude Kizito Namukangula (NDU)
15. Mr. Henry Lubwama (NDU)
16. Dr. Maria Mbatudde (NDU)
17. Dr. Joseph Ssebuliba (NDU)
18. Assoc Prof. Nickson Kamukama (MUBS)
19. Dr. Peter Samuels (BCU)
20. Dr. P.Turyakira (MAK)
21. Prof Isaac Kigonge Bukenya (UCU)
22. Dr. Goretti Nassanga (MAK)
23. Dr. Jonathan Sserugunda (MAK)

24. Prof Jude Sempebwa	(MAK)
25. Dr. W. Turyasingula	(UMI)
26. Prof Dumba Sentamu	(MAK)
27. Prof J.M Ntayi	(MUBS)
28. Prof J.C Munene	(MUBS)
29. Prof. Maawa	(UMU)
30. Dr. M.F Kyeyune	(MUST)
31. Assoc Prof S.K Nkundabanyanga	(MUBS)
32. Dr.Jude Lubega	(UTAMU)

Appendix 3: Ndejje University PhD Monthly Supervisory form

The Supervision Record Form

A written record will be generated at every supervisory meeting for progress and attendance monitoring. The record details the extent to which the student has realized the objectives since the last meeting, the goals that are set to complete before the next meeting and the time allowed between the current meeting and the next. A copy of this record should be signed by both the supervisor and the student and submitted to the school of postgraduate studies shortly after each meeting. The form covers the following information:

- Date of meeting
- Objectives set at last supervision and progress towards meeting these
- Content of supervisory session
- Objectives agreed by student and supervisor for period of next supervision
- Date of next meeting.

Name of student

Registration number

Date of meeting.....

Supervisor(s) present

1.

2.

Objectives set at last meeting and progress towards meeting these	
Content of supervisory session	
Objectives agreed by student and supervisor for period of next supervision	

Date of next meeting

Signed (Supervisor)

Signed (Student)

Appendix 4: PhD Training Needs Analysis Form

Student:

Supervisor:

Second supervisor:

Year of Study:

To become an effective researcher, you need to have extensive knowledge and experience in a range of areas and need to develop a variety of skills. Please place a number in the Competency box to indicate your current level of experience and understanding, where

1 = I have no competency in this: for example, I have no knowledge or experience of this

2 = I have limited competency in this: for example, I have some knowledge, but no experience of this

3 = I have some competency in this: for example, I have done this only occasionally

4 = I am moderately competent in this: for example, I do this regularly, but require more experience to become proficient

5 = I am sufficiently competent in this: for example, I have extensive knowledge and experience of this

Skills	Competency	Evidence/Comments	Training Needs
Becoming an effective social science researcher			
An understanding of research in social sciences <i>in broad terms</i>			
Philosophical issues in the social sciences			
Research ethics & integrity			
An understanding of research <i>methods</i> used in social science			
Bibliographic and literature skills			
Understanding plagiarism and how to avoid this			
Effective dissemination techniques			
Advanced understanding of methods and analysis techniques			
Anything else identified and agreed by the supervisor and the student [please specify: ____			
Research and career skills for social scientists			
Time management			
Effective Communication			

Networking			
Project management			
Team working			
Interdisciplinary work			
Teaching			
Getting published			
Thesis writing			
Preparing for the VIVA			
Knowledge transfer and Impact			
Applying for research grants			
How to keep up to date with new research			
Anything else identified and agreed by the supervisor and the student [please specify: _			
Substantive subject training			
Advanced subject specific training			
Research methods appropriate to the student's field			
Working knowledge of statistical analysis techniques relevant to the discipline			
Application of software packages relevant to the research area			
Awareness of relevant journals and other outlets for dissemination			
Up to date knowledge of current debates in the relevant literature			
Anything else identified and agreed by the supervisor and the student [please specify: _____			

6 = I consider myself highly competent at this: for example, I could train others in the area
Please fill in the Evidence/Comments box to illustrate how you have gained your skills.
Evidence may come from education experiences (e.g. degree transcripts, training courses)
or other experiences (e.g. jobs held, voluntary work, etc.). Your training needs will be
identified when discussed with your supervisor.

Student signature:	Date:
Supervisor signature:	Date:

Appendix 5: The Ethics Application Form

Date:	
Name of applicant:	
Research project title:	

This form should be accompanied, where appropriate, by all Information Sheets/Covering Letters/Written Scripts which you propose to use to inform the prospective participants about the proposed research, and/or by a Consent Form where you need to use one.

Once you have completed this research ethics application form in full, and other documents where appropriate, check that your name, the title of your research project and the date is contained in the footer of each page and email, as a word document, to loinatukunda@gmail.com.

Part A

A1. Title of Research Project:

A2. Contact person (normally the Principal Investigator, in the case of staff-led research projects, or the student in the case of supervised-postgraduate researcher

A3. Proposed Project Duration:

Start date:

End date:

A4. Mark 'X' in one or more of the following boxes if your research:

<input type="checkbox"/>	involves adults with mental incapacity or mental illness
<input type="checkbox"/>	involves prisoners or others in custodial care (e.g. young offenders)
<input type="checkbox"/>	involves children or young people aged under 18 years
<input type="checkbox"/>	involves using samples of human biological material collected before for another purpose
<input type="checkbox"/>	involves taking new samples of human biological material (e.g. blood, tissue) *
<input type="checkbox"/>	involves testing a medicinal product *
<input type="checkbox"/>	involves taking new samples of human biological material (e.g. blood, tissue) *

<input type="checkbox"/>	
<input type="checkbox"/>	involves additional radiation above that required for clinical care *
<input type="checkbox"/>	involves investigating a medical device *
<input type="checkbox"/>	is social care research
<input type="checkbox"/>	Is Government of Uganda or Ndejje University funded
<input type="checkbox"/>	Is taking place in the health service **
<input type="checkbox"/>	

* If you have marked boxes marked * then you also need to obtain confirmation that appropriate University insurance is in place. Contact the Research and Innovation office for guidance on this.

It is recommended that you familiarise yourself with the University’s Ethics Policy Governing Research Involving Human Participants, Personal Data and Human Tissue before completing the following questions. Please note that if you provide sufficient information about the research (what you intend to do, how it will be carried out and how you intend to minimise any risks), this will help the ethics reviewers to make an informed judgement quickly without having to ask for further details.

A5. Briefly summarise:

i. The project’s aims and objectives:

(this must be in language comprehensible to a lay person)

ii. The project’s methodology:

(this must be in language comprehensible to a lay person)

A6. What is the potential for physical and/or psychological harm/distress to participants?

A7. Does your research raise any issues of personal safety for you or other researchers involved in the project? (Especially if taking place outside working hours or off University premises)

A8. How will the potential participants in the project be:

- i. **Identified?** (please ensure that all practical issues about contacting individuals are covered and that you are not requesting the personal details of individuals be given over without their consent)*

- ii. **Approached?***

- iii. **Recruited?***

A9. Will informed consent be obtained from the participants?

Yes No

If informed consent or consent is NOT to be obtained please explain why.
Further guidance is at: www.shef.ac.uk/ris/other/gov-ethics/ethicsPolicy/Policy-notes/consent

A9.1. This question is only applicable if you are planning to obtain informed consent:
How do you plan to obtain informed consent? (i.e. the proposed process?):

Remember to attach your consent form and information sheet (where appropriate)

A10. What measures will be put in place to ensure confidentiality of personal data, where appropriate?

(As a minimum please ensure details are included of: how long data will be kept; when and how it will be destroyed; that PCs and other devices are password protected; that personal details are encrypted. This information should also be included on your information sheet).

A11. Will financial/in kind payments (other than reasonable expenses and compensation for time) be offered to participants? (Indicate how much and on what basis this has been decided)

A12. Will the research involve the production of recorded media such as audio and/or video recordings?

YES NO

**A12.1. This question is only applicable if you are planning to produce recorded media:
How will you ensure that there is a clear agreement with participants as to how these recorded media may be stored, used and (if appropriate) destroyed?**

University Research Ethics Application Form - Part B - The Signed Declaration

Title of Research Project:

I confirm my responsibility to deliver the research project in accordance with Ndejje University's policies and procedures,.

In signing this research ethics application form I am also confirming that:

- I. The form is accurate to the best of my knowledge and belief.
- II. The project will abide by the University's Ethics Policy.
- III. There is no potential material interest that may, or may appear to, impair the independence and objectivity of researchers conducting this project.
- IV. Subject to the research being approved, I undertake to adhere to the project protocol without an agreed deviation and to comply with any conditions set out in the letter from the University ethics reviewers notifying me of this.
- V. I undertake to inform the ethics reviewers of significant changes to the protocol
- VI. (by contacting the PhD Coordinator in the first instance).
- VII. I understand that the project, including research records and data, may be subject to inspection for audit purposes, if required in future.
- VIII. If this is an application for a 'generic' project, all the individual projects that fit under the generic project are compatible with this application.
- IX. I understand that this project cannot be submitted for ethics approval in more than one department, and that if I wish to appeal against the decision made, this must be done through the original department.

Name of the Supervisor:

Name of the student:

Signature of the Supervisor:

<input type="text"/>	Date:
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Email the completed application form and provide a signed, hard copy of 'Part B' to the PhD Coordinator (also enclose, if relevant, other documents).