

## **Preface**

We are pleased to give you a copy of the Graduate Student Handbook, which we hope will help both new and continuing students navigate through graduate student life at Makerere University. If you are a new student we are delighted that you chose Makerere University and we hope that your graduate study at Makerere University will meet your expectations. If you are a continuing student, we hope that the coming year will be rewarding and productive.

The strategic goal of Makerere University is to strengthen its graduate training sector to address the demand for knowledge economy and development goals of Uganda and Society at large. Hence, Makerere is repositioning itself for graduate training and research.

This guideline handbook combines rules and regulations and materials that are key for the graduate students and staff. Makerere University and the Directorate of Research and Graduate Training, in particular warmly welcome the newly admitted students to the graduate programs offered by Makerere University and wish them fruitful and rewarding years of training, research, networking and service to society.

The handbook defines the most important policies, procedures and practices that guide graduate education at Makerere University. The information and language in the handbook supersedes any conflicting information that may appear on the Graduate website.

Graduate students are a very vital component of the University. The University and its relevant constituent units, therefore, place high priority on the educational, social, technological, administrative and scientific aspects of graduate studies. This is in recognition that as research students, they bring in inputs of vibrant and dynamic contributions with a sense of renewal to the various Colleges/Schools and other University units. It is common knowledge, globally that, about half the research in the world is carried out by graduate students. The new knowledge and innovations contributed through various researches measure the relevance of Makerere University towards national and international development.

The information contained in this handbook is intended to serve as a compendium for easy access to the key university policies, guidelines and operational procedures pertaining to Graduate Training. It is not an end in itself; therefore, you are encouraged to consult the management of graduate programmes at various levels, where further clarity is needed. Some other guidelines and policies such as the Sexual Harassment, Research and Intellectual Property, HIV/AIDS can be accessed independently.

I encourage both students and staff of the University to familiarise themselves with the information herein. For the students, these guidelines and regulations will facilitate timely completion of their graduate programmes. On their part, as advisors or mentors, the handbook will be a useful source of information for more informed assistance to the students.

The handbook has been the product of tireless collegial discussions among academic staff and graduate students. While there have been some problems met, the unselfish contributions made by many have made this handbook a reality.

This handbook is designed to codify and clarify the procedures and requirements relating to graduate work. It will be revised regularly to keep up-to-date. In the future, efforts are invited in order to make further improvements. There are always aspects requiring revision, even correction—a fact of life.

Give us a feedback whenever possible as we together, Build For the Future!

Professor Buyinza Mukadasi

**DIRECTOR**

**DIRECTORATE OF RESEARCH AND GRADUATE TRAINING**

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## **1.0 General Introduction**

### **1.1 History of Makerere University**

Makerere University was established in 1922 as a Technical School with a population of 16 male students. It offered various courses in Medical care, Agriculture, Veterinary Science, Elementary Engineering, Surveying and Teacher Training.

In 1937, Makerere developed into an Institution of Higher Education, offering post-secondary school certificate courses. Twelve years later, it became a University College affiliated to the University of London. It later became a college awarding general degrees of the University of London.

In 1963, when the University of East Africa came into being, Makerere ended its special relationship with the University of London and became a constituent college of the new University of East Africa. In July 1970, Makerere became an independent national University, offering undergraduate and postgraduate studies in a variety of disciplines.

### **1.2 Establishment of the Directorate of Research and Graduate Training**

In 1994 Makerere University Council approved the establishment of a School of Postgraduate Studies, which later became the School of Graduate Studies, and now transformed into the Directorate of Research and Graduate Training. Currently, the programmes being offered include Post Graduate Diplomas, Master's Degrees, Doctorates and Higher Doctorate Degrees.

Over the years, student numbers grew exponentially. The University has 2 major governing organs:-

- i) The University Council which is the supreme policy-making governing body of the University.
- ii) The University Senate is the governing body in charge of academic matters.

### **1.3 The University Vision and Mission Statements**

The Makerere University Vision is to be the leading institution for academic excellence and innovations in Africa. The mission is to provide innovative teaching, learning, research and services responsive to National and Global needs.

### **1.4 Vision of the Directorate of Research and Graduate Training (DRGT)**

The Directorate of Research and Graduate Training envisages a vibrant graduate training and research coordinating centre in the country and region in which,

Makerere University is the premier institution producing high performing graduates who are innovative, responsive to demand and leaders in knowledge creation for national and regional development.

## **1.5 The Mission**

The mission of the Directorate of Research and Graduate Training is to:

Coordinate, monitor and provide an enabling environment for quality graduate training, innovative research and communication of research outputs; and to foster and manage graduate training and research in the university units by promoting cutting edge innovative, impact-oriented research, and centres of excellence to meet the changing needs of society and for sustainable development.

## **1.6 Core values of the Directorate of Research and Graduate Training (DRGT)**

The Directorate of Research and Graduate Training constitutes an umbrella unit comprising units conducting research and training but with the Directorate providing overarching policy guidance and coordination of the activities.

The Directorate of Research and Graduate Training commits itself to fostering efficiency, effectiveness and relevance of graduate training and research by units of Makerere University. The DRGT builds and sustains most of its activities on collaboration and active partnerships within the University as well as with external stakeholders and development partners.

The DRGT commits itself to engaging with University Units and partners in an exclusive, transparent and trustworthy manner where credits are shared with integrity, accountability and obligations in a reliable way, being fully committed to the impacts and strategic goals.

## **1.7 Mandate**

The Directorate of Research and Graduate Training was established in 1994 to carry out the following functions:-

1. Coordinate and administer all matters related to postgraduate studies.
2. Provide a central channel of communication from and to postgraduate students and their supervisors.
3. Streamline, review and reform, if necessary, regulations, procedures and practices of Postgraduate Studies in Makerere.
4. Provide a channel of communication between students studying in different disciplines.
5. Help provide a home for postgraduate students.

6. Give both postgraduate students and supervisors a sense of belonging to a meaningful scholarly community.
7. Co-ordinate and Administer all research.
8. Advise on research priorities geared to the fulfilment of national development and professional objectives.
9. Work as an out-reach unit, providing a link or bridge between the University and the world of work in identifying research and courses that are relevant to the needs of industry, commerce, and professions etc.
10. Undertake any other relevant activity that is pertinent to Graduate studies and research so as to promote and improve the quality of scholarship in Makerere University.

## **1.8 Management organs**

The day to day affairs of graduate students are handled at each Unit. However, the DRGT is expected to provide a coordination arm for purposes of quality assurance and policy oversight. The Directorate is in turn guided by The Board of Research and Graduate Training which is a Senate Committee.

The role of the Board of Research and Graduate Training is policy-making, monitoring quality, equity and effective performance of the DRGT on behalf of the University Senate. Further, the Board oversees issues/matters of resource mobilisation to ensure continued training, research, publications and outreach activities.

## **2.0 GENERAL ENTRY & ADMISSION REQUIREMENTS**

### ***Minimum Requirements***

#### **Programme specific requirements**

For the specific programme requirements (admission, options, tuition fees) for each of the graduate programmes, please refer to the General Information Brochure. You can find details on the DRGT web site [http:// www.rgt.mak.ac.ug](http://www.rgt.mak.ac.ug) or pick the brochure from room 307 or 415, Senate Building.

#### **a) Postgraduate Diplomas:**

Normally a Bachelor's degree or its equivalent from a recognized and chartered university in a subject(s) relevant to the course applied for.

**b) Master's Degree Programmes**

- i) An applicant must be a holder of at least a Second Class degree or its equivalent awarded by Makerere University or any other recognized/ chartered institution.
- ii) An applicant who is a holder of a third class degree or its equivalent may be admitted only after providing evidence of academic growth and maturity in the desired field of study as judged by the Board of Research and Graduate Training
- iii) Other specific requirements vary from programme to programme.

**c) Doctor of Philosophy (PhD)**

- (i) A Master's degree from a recognised University in a field relevant to the area of further studies. A student shall be granted provisional registration up to one academic year on the basis of acceptance of academic qualification and presentation of an acceptable research synopsis of 3-5 pages.
- (ii) During the course of the academic year, a PhD student should develop a comprehensive research proposal for full admission with the help of senior members of the academic staff in the relevant fields of study.
- (iii) The respective Boards of Colleges/Schools should identify supervisors and Doctoral Committees for each student (See Section 8.0).
- (iv) The Senate shall, on the recommendation of the Academic Board, appoint one or more supervisors to advise a candidate whose subject of special study or research has been approved, and the candidate shall be required to work in close association with the supervisors and the Doctoral committee members.
- (v) When a Research proposal of a PhD student is found satisfactory by the School Higher Degrees & Research Committee after defending, a recommendation is sent to the DRGT Board for action. Thereafter, the student shall be granted a full registration as Doctor of Philosophy (PhD) degree student of Makerere University for a period of three to four years.

**d) For M.D. degree**

A Master's degree in Medicine from a recognised University.

- e) For LLD. Degree

A Master's degree in Law from a recognised University.

- f) For D. Lit. & D.Sc. (**Higher Doctorates**)

Degrees are awarded upon successful submission, review and defence of original published and unpublished works on the area/topic of specialization. These higher doctorates are normally applied for by holders of Ph.D. degrees.

g) English Proficiency

Applicants from countries where the language of instruction is not English are required to supply evidence of proficiency in English. International applicants currently residing in Uganda may, however, sit an English proficiency test conducted by Makerere University, Institute of Languages.

### **3.0 APPLICATION PROCEDURES**

#### **3.1 General Application Procedure**

Applicants should seek admission to graduate programs that can assist them to develop their abilities, interests, and skills and can effectively place them in appropriate occupational or educational situations.

Application forms may be obtained from the Directorate of Research and Graduate Training after payment of an application fee at the stipulated bank (s). International applicants can apply online at the web site [http:// www.rgt.mak.ac.ug](http://www.rgt.mak.ac.ug)

##### **3.1.2 When to apply**

Unless otherwise stated, University prospects start submitting applications by December and ending on 31st March each academic year. It may be extended up to 30th April of each academic year. However, applications for Doctor of Philosophy/Doctoral degrees are made and received throughout the year with the exception of Doctoral degree programmes by course work and research. Admissions for the later category shall be processed two months before the beginning of each semester. Applicants within this category of degree must attach two copies of a synopsis of 3-5 pages to the application for vetting and approval before they can qualify for provisional admission of up to one year.

##### **3.1.3 Method of Submission of Application**

Relevant copies of certificates and certified copies of academic transcripts and three reference letters (at least two from academic referees) must accompany all completed application forms. Forms which are not completed properly cause delays in the processing of applications and may be rejected. Transcripts and other academic documents that are not in English must be translated by the Centre for of Languages and Communication or an authorized body before submission of applications and attachments.

##### **3.1.4 Guidelines for Transfer of Credit Units or transfer from other institutions**

Guidelines for the transfer of Credit Units for Graduate Students who apply

to transfer from other recognized Universities or equivalent Institutes of Higher Learning to Makerere University comprise the following requirements

### **Applicants:**

- a) Must satisfy the admission requirements for the academic program(s) applied for.
- b) Must obtain and submit official academic Transcript (s) Certificate from a recognized University/institution of Higher learning in which he/she was previously enrolled indicating his/her academic status, the courses offered/taken, the credit units completed and the grades obtained in each course.
- c) Must have obtained the equivalent of Cumulative Grade Point Average of at least 3.0.
- d) Will be permitted to transfer to Makerere University Credits earned but the maximum of Credits should not exceed 60% of the minimum graduation load of the academic programme applied for.
- e) If permitted to transfer she/he should not be allowed to transfer the equivalent of credit units in a course in which she/he obtained a Grade point which was lower than 3.0
- f) An application must be accompanied by recommendations from the Institution or Authority she/he is transferring from.

### **3.1.5 Fees and Other Requirements**

Before applying, the applicant is advised to make sure that there is adequate financial support to cover fees and other requirements. The fees structures prescribed in admission letters do not cover research and accommodation expenses.

#### **3.1.5.1 Functional Fees (Excluding Tuition)**

**Table 3.1 The *Current University Functional Fees***

	Ugandan Students	International students
1. Application Fee	50,000=	151,500=
2. Late Application Fee	60,000=	161,500=

3. Registration Fee	120,000= p.a.	202,000= p.a.
4. Late Registration	50,000= p.a.	101,100= p.a.
5. Administration Fee	200,000= p.a.	484,800= p.a.
6. Examinations (Diploma and Masters) Fee	200,000= p.a.	707,000= p.a.
7. Examinations (PhD) Fee	300,000= p.a.	1, 010,000= p.a.
8. Re-examination (per course)	20,000= p.a.	30,300= p.a.
9. Library Fee	20,000= p.a.	40,400= p.a.
10. Transcript Fee	20,000= @	101,000= @
11. Graduation Fee	30,000=	202,000=
12. Certificate Fee	20,000= @	101,000= @
13. Academic Document Certification	3,000= @	101,000= @
14. Change of Programme/Course (Per copy)	5,000=	20,200=
15. Identity Card	15,000= p.a.	40,400= p.a.
16. Technology Fee	80,000= p.a.	161,600=p.a.
17. Verification Fee	50,000=	101,000=
18. Convocation Fee	10,000=	101,000=
19. National Council for Higher Education(NHCE)	20,000=	20,000=

**Note the following:**

- University fees are subject to change/variation from time to time, duly determined by The Council.
- Application fees are paid at the time of collection of application forms or before submission of applications to the DRGT.
- University fees (i.e. Registration, Administration, Library, Technology, Examination and Tuition Identity Card) MUST be paid to the University before registration. Graduation, Certificate, Convocation and Academic Transcript fees are paid on completion of the course.
- Payment of fees may be made in Lump Sum on arrival or in instalments (per Semester).
- University fees MUST be paid in the stipulated Banks: (or by Bank Draft to Makerere University Council).
- University fees MUST be paid in Uganda shillings for both Ugandan and International students.
- For sponsored students, other requirements such as books, stationery, accommodation, food, research expenses, etc. are paid directly to the student.
- The research funds should be based on research proposal and budget approved by the

supervisor. Students are therefore cautioned to take the ranges provided below as a guide.

### 3.1.5.2 Scholastic Material Costs

The funds required by a student for the items listed below will be provided by the sponsors of the students.

	Item	PhD	Masters
1.	Books – coursework and research	3,000,000/=	3,000,000/=
2.	Equipment – a) Science b) Humanities	a) 10,000,000 -15,000,000/= b) 10,000,000/=	a) 10,000,000/= b) 5,000,000/=
3.	Stationery & materials	1,000,000/=	1,000,000/=
4.	Feeding and accommodation	600,000/=	600,000/=
5.	Travel (transport)	Variable and Site dependant	Variable and Site dependant
6.	Research Assistant	250,000 – 300,000/= per month	250,000 – 300,000/= per month
7.	Library fees	500,000/=	500,000/=

Note that these fees are subject to revision by Council.

## 4.0 REGISTRATION PROCEDURES

All registration will be done in Colleges and the School of Law. For Makerere University Business School (MUBS) students, there are two levels of registration. The first level of registration is at the DRGT, Senate Building level four. Thereafter, students are expected to register at MUBS. Once a candidate has been accepted for registration, one must complete a registration form, which accompanies the letter of admission, and return it to the College/School. All registration is handled by Registrars.

Before Registering, one is ***not a Makerere University Student***. Once a candidate has been accepted for registration, she/he must complete registration forms in duplicate, register at his/her respective school and make sure the forms are duly stamped and signed by the Registrar.

A student is only registered after fulfilling the following requirements:

- a) Evidence of payment of University fees as indicated on the admission letter
- b) Two copies of certified academic transcripts/certificates

- c) Filling registration forms (Online/Hard Copies) issued by Registrars at the Schools or picked from Room 307.
- d) Current valid identity card.
- e) Two passport size photographs, 2 to be fixed on the registration forms.

Any graduate student who will not have registered according to the Registration Timetable and would have not communicated with the Director's office, Directorate of Research and Graduate Training (DRGT) shall be deemed to have declined the offer of a place at the University. Please note that the University does not reserve places for applicants who do not turn up. Such applicants shall re-apply after a subsequent call for applications.

#### **4.1 Change of Student Names**

The names in which the student is registered will be those which appear on the student's letter of offer/admission and must be the names which appear on the student's degree certificate. Married students who have acquired names of their spouses will be permitted to add the New Names to their maiden names on production of a Marriage Certificate. The University only allows a student to change names if he/she changes religious affiliation.

#### **4.2 Payment of Fees**

- i. Tuition and other University fees are due on the first day of the academic year. Students who cannot pay full fees at the beginning of the academic year are required to pay at least 60% of the course load and all the Functional fees.
- ii. Fees may be paid directly to the Makerere University Fees Collection Account in Stanbic Bank or DFCU Bank or via electronic transfers. For details contact the University Bursar's office Tel: +256-414-530465/256-77202744.
- iii. A first year student who fails to pay the registration fee at the end of the second week of the beginning of an academic year shall forfeit his/her place in the University.
- iv. A continuing student who shall not have paid fees by the end of the Sixth week shall be de-registered.
  - a. Students should complete paying all the University fees by the sixth week of a semester and be registered then.
  - b. In case a student fails to raise enough money to pay for a full semester load a student may choose courses within the next first six weeks and make payment for the course load he/she can afford and get registered.
  - c. The minimum course loads to be permitted under this arrangement should be 60% of the total credit units for that semester.

- d. Students will not be allowed to pay University fees and register after the end of the sixth week of a semester.
- e. Only registered students will be allowed to use University facilities, to attend lecturers, do coursework and sit for final examinations.
- f. These measures took effect from the beginning of the 2006/07 academic year.

#### **4.3 Time of Registration**

Students shall ensure that they register by a set deadline, e.g. three weeks from the beginning of each Semester. Registration gives the university information about your status as a student and also enables/gives instant access to university facilities. Colleges/ Schools normally set aside period for registration. Students who register during the set deadlines will face the following penalties

- i. In case you are first year student you're offer of admission will be cancelled
- ii. In case you are a continuing student you will be charged late registration fee or get de-registered from the programme

#### **4.4 Identity Cards**

Official University Identity Cards will be issued to all registered students on payment of a fee. Students are supposed to carry with them up-to-date identity cards renewed at the beginning of each academic year.

#### **4.5 Progress Reports on Research**

Every candidate is required to submit (through a supervisor) reports on his/her progress twice a year. The Progress report can be down loaded from our website <http://www.rgt.mak.ac.ug> or from room 307 senate building. Failure to fulfil this requirement may lead to discontinuation.

#### **4.6 Extension of Registration** *(see also regulations on withdrawals below)*

If a candidate realizes that he/she cannot complete his/her work within the time allowed, it is his/her duty to take the initiative to apply for extension of registration.

The University shall de-register Candidates whose period of registration lapses. Extension of registration is normally sought after 30th August of the candidate's 1st year of registration for Postgraduate Diploma students; 2nd year of registration in the case of Master's degree students and after 3 years for Ph.D. full time students and Masters Med. Students. Extension charges are as follows:-

- a) Extension fee will be calculated based on the period requested for and the

remaining workload to complete studies.

- b) In addition, annual registration, administration, technology and library fees are paid as well.

#### **4.7 Withdrawal from the Degree Programme and/or Courses**

The Concept of a “dead” Semester is irrelevant in the Semester/Credit Unit System. However, a registered student may choose to withdraw from a Programme/Course (s) for various reasons with the permission of the Supervisor, School Higher Degrees and Research Committee

##### **4.7.1 Withdrawal Limits**

- i. If a candidate finds that he/she cannot continue with his/her studies due to financial or social hardships which can be demonstrated to affect their candidature, but expects to complete studies at a later date, it is his/her duty to request for withdrawal and inform the University through the School Higher Degrees and Research Committee and Supervisor.
- ii. A student should apply to his/her respective Board of Studies for permission to withdraw from studies at any time of the semester. Reasons for withdrawal should be given in the letter and application forms.
- iii. Permission to withdraw shall be granted by the College/School Board only on compassionate grounds or in cases of illness or financial constraints, serious social or domestic difficulties or exceptional professional commitment which can be demonstrated to have adversely affected the candidate.
- iv. A student will be allowed only a maximum of two withdrawals on an Academic Programme and each withdrawal shall not exceed a period of one academic year.
- v. The period of withdrawal (s) shall not count against the period of candidature for the programme a student is registered for.
- vi. A student who had withdrawn from studies shall apply to his/her respective College/School Board to resume studies and shall indicate that the circumstances that made him/her withdraw can no longer affect his/her studies.
- vii. A student who has overstayed on an Academic Programme by more than 2 (two) years beyond the period of candidature stipulated in the Programme shall be discontinued from his/her studies at the University.
- viii. Students should take note that the above regulations do not cover the period of sponsorship. The period of sponsorship is governed by the regulations

and policy of the sponsor. In the case of Uganda Government sponsorship, the period is that stipulated in a given Academic Programme.

#### **4.7.2 Refund of Tuition Fees when a Student has withdrawn from Studies**

- i. A student who has been permitted to withdraw from studies shall be refunded the Tuition Fees already paid according to the following schedules:
- ii. The time at which the student percentage of the tuition fees has withdrawn in a semester to be refunded to the student
  - a) By the End of the First Week of a Semester 100%
  - b) By the End of the Second Week 80%
  - c) By the End of the Third Week of a Semester 60%
  - d) By the End of the Fourth Week of the Semester 40%
  - e) By the End of the Fifth Week of a Semester 20%
  - f) After the Fifth Week 0%
- iii. Fees for Residence, Application, School Requirements, Technology, development, Administration, Registration, Examinations, Identity Cards and the Guild charges are not refunded.
- iv. In case an Academic Programme to which a student has been admitted is not conducted in a particular academic year, the University will refund the full tuition fees paid by the student.
- v. The University Council reserves the right to revise University fees any time with or without prior notice.
- vi. A student who is suspended, dismissed, or withdraws when under investigation for misconduct shall not have tuition refunded for the semester in which the action is taken.

#### **4.8 Occasional and Short-Term Students**

Applications for these categories of prospects follow the above procedure, except on the application form, the applicant must indicate "OCCASIONAL AND SHORT-TERM"

##### **4.8.1 Occasional Scheme**

1. Objectives of the occasional studentship scheme:
  - a) To improve the knowledge base of students.

- b) To enable a student to acquire more knowledge through experiential learning in a different environment.
2. General Requirements
- a) Studying under the scheme does not lead to any award.
  - b) Candidates who apply for admission under the scheme should not already be Makerere University students.
  - c) Registered Occasional students shall not transfer to degree programmes or change status of registration on the basis of their performance while on the scheme.
  - d) The Occasional Studentship Scheme applies to both the Undergraduate and Graduate Programmes.
3. Admission Requirements
- Applicants under the scheme must be:
- a) Students of other recognized Universities and
  - b) Possess the Makerere University minimum admission requirement (see section 2.1 above).
4. Application for and duration of Registration
- a. Students of other institutions should apply through the Heads of their institutions.
  - b. Candidates may apply for registration at any time and could be admitted at the beginning of any semester of the academic year.
  - c. All applications must be addressed to the Academic Registrar who shall, in consultation with relevant bodies within the University, register such students.
  - d. Occasional students must register for at least one course in a semester and for not more than one academic year.
  - e. All applicants must complete an application form. They should specify the `courses they wish to attend with the respective Deans/Directors of Faculties/Institutes/School. The completed application form should finally be submitted to the Academic Registrar who shall, in consultation with relevant bodies within the University, register such students.
5. Examinations and Awards
- (i) Occasional students shall not sit for University Examinations.

- (ii) The University shall not enter into negotiations, on behalf of an occasional student, for purposes of getting agreements with another University on the crediting of the student's work covered during his/her registration although the University shall provide a statement of attendance/results on request
- 6. University Rules, Fees and Residence
  - a) Occasional students as well as regular students are expected to adhere to the University, and College, Rules and Regulations, with which they should make themselves familiar, at once, on arrival.
  - b) The tuition fees, charged per semester should be paid before the student is registered.
  - c) No occasional student shall be entitled to residential accommodation provided by the University and shall also not be involved in making alternative arrangements for the student.

#### **4.8.2 The Short-Term Studentship Scheme**

The Short-Term Studentship Scheme caters for students who come to Makerere from other recognized Universities.

##### **1. Objectives:**

- a) To improve the knowledge base of the students.
- b) To enable a student to acquire more knowledge through experiential Learning in a different environment.

##### **2. General Requirements**

- a) Studying under the scheme does not lead to any award.
- b) Candidates who apply for admission under the scheme should not already be Makerere University Students.
- c) Registered Short-Term students shall not transfer to degree programmes or change status of registration on the basis of their performance while on the scheme.
- d) The Short-term students' scheme applies to both the Undergraduate and Graduate students.

##### **3. Admission Requirements**

Applicants under the scheme must:

- a) Be students of other recognized Universities or
- b) Possess the Makerere University admission requirements.

#### **4. Application for and duration of Registration:**

- a) A Short-Term student is one whose duration of studentship at the University is at least one semester and who is not, at the time of application, and studies, registered for a certificate, diploma or degree programme of Makerere University.
- b) Students of other institutions should apply through the Heads of such institutions.
- c) Applications must be submitted to the University not later than 31st May of the year in which admission is sought or 31st December.
- d) Registration for short-term studentship shall be at the beginning of each semester like regular students on Makerere University Programme, unless otherwise specified.
- e) Short-term students are required to register as students of the University for one full academic year to any year of study as long as they meet the prerequisites. As registered students, all regulations governing full time students will apply to them unless otherwise stated. The tuition fees charged per semester shall be paid before each student is registered.
- f) Short-term studentship may be terminated on the following grounds: serious breach of University regulations, abscondment and/or irregular attendance of classes.

#### **5. Examinations and Awards**

- a) Such registration shall not lead to any award of the University, unless otherwise decided by Senate.
- b) At the end of the academic year/semester, short-term students have to sit for University examinations under the same regulations as the full time University students.
- c) A Short-Term student may audit any course at the University by permission and provided they have registered in at least one course. All audited courses must be paid for at the prevailing University rates.

### **5.0 SEMESTER/CREDIT UNIT SYSTEM GUIDELINES**

#### **5.1 Advantages of the Semester/Credit Unit System**

The Semester/Credit Unit System allows for flexibility in terms of:

- i. Choice of options
  - a. When a student takes a course.
  - b. Number of courses a student can study over and above the approved

minimum number.

- c. Having a course offered every semester.
- ii. Administering Credit Unit assessments and examinations in each Semester.
- iii. Availing a more efficient way of utilizing scarce human resources, such as Lecturers to teach particular courses, teach other programmes, carry out research and engage in consultancy work as well as Community Service.
- iv. Offering a Credit System, which can be carried forward in case a student is unable to resume studies after an inter-semester recess, for example, running short of money for tuition.
- v. Enabling Academic Departments in a School to hire staff from other Universities to come and teach at the University without interfering with their schedules of work in their respective Universities.
- vi. Enabling clever/gifted and hardworking students to graduate within shorter time duration than scheduled.

## **5.2. Academic Year**

The Academic Year shall be composed of 2 Semesters and the Recess Term and programmes should be designed per year (Semester I and Semester II, Year 1, etc.).

## **5.3 Length of Semester**

The length of a Semester shall be seventeen (17) weeks, with fifteen weeks being for teaching and two (2) weeks for examinations.

The duration of a Recess Term shall be ten (10) weeks, and most Schools, which have Recess Term, use it for fieldwork and practicals.

## **5.4 Programme Composition**

Each programme shall be composed of Courses. The concepts of subjects and paper shall not be used. The programmes designed have to compare favourably with those of similar international disciplines.

## **5.5 Definition of Some Key Terms**

### **5.5.1 Contact Hour**

A Contact Hour shall be equivalent to one hour of lecture/clinical or two hours of tutorial practical or 4hrs Research/fieldwork abbreviated as follows: LH – Lecture Hour, TH – Tutorial Hour, PH – Practical Hour, CH – Clinical Hour, CU – Course Units  
1 Lecture Hour = 2TH/L Practical=4Research/Field Work

### **5.5.2 Credit or Credit Unit**

A Credit or Credit Unit is one contact hour or contact week per semester or a series of fifteen (15) contact hours. 1CU = 15 contact hours

### **5.5.3 Core Course**

A Core Course is a Course, which is essential to a programme and gives the programme its unique features. It is offered by all the students who have registered for a particular programme. A Core Course has to be passed by every student who takes it.

### **5.5.4 Elective Course**

An Elective Course is a course offered in order to broaden a programme or to allow for specialization. An Elective Course is selected from given groups of Courses at the Convenience of the student.

### **5.5.5 Audited Course**

An Audited Course is a Course offered by a student for which a credit is not awarded.

### **5.5.6 Pre-requisite**

A Pre-requisite is a condition (either Course or classification) which must be satisfied prior to enrolling for the Course in question.

### **5.5.7 Pre-requisite Course**

A Pre-requisite Course, therefore, is a Course offered in preparation for a higher-level course in the same area.

### **5.5.8 Programme Load**

Programme Load is an essential set of Courses offered for the award of a particular Degree/Diploma/Certificate, prescribed by the host department/unit. It is composed of both Core and Elective Courses.

### **5.5.9 Programme**

A programme is a set of prescribed Courses, which are offered for the award of a particular Degree/Diploma/Certificate. The structure of a particular programme has to show Core, Elective and Pre-requisite Courses clearly.

### **5.5.10 Semester Load**

Semester Load is the total number of Courses for a particular programme offered in a Semester.

### **5.5.11 Major**

A Major is a field/programme of specification in which each student is encouraged to explore the field/area in considerable depth.

### **5.5.12 Minor**

A Minor is a field/area that is of lesser importance than the major.

## **5.6 Size of a Course**

- i) The smallest Course shall be one Credit Unit per Semester.
- ii) The largest Course shall be five Credit Units per Semester.

## **5.7 Semester Course Load**

- i) The minimum number of Credit Units per Semester shall be nine (9).
- ii) The maximum number of Credit Units per Semester shall be sixteen (16)
- iii) Individual Schools shall decide on their normal Semester Course Load.

## **5.8 Pass Mark**

The pass mark for all graduate programmes is 60%.

## **5.9 Earning of Credits in a Course**

The regulation for earning credit shall remain as follows:

- i) Each student shall earn credits for the courses specified in the Programme Load for graduation.
- ii) A credit shall be earned when a student has obtained at least the pass mark in each course for which he/she had been assessed. In other words, no credit shall be earned in a course in which a student has failed the assessment.

## **5.10 Classification**

The Masters and PhD Degrees at Makerere University are not classified. However, some Postgraduate Diplomas are classified. The Cumulative Grade Point Average (CGPA) for the various classes of postgraduate diplomas and certificates, where applicable, are indicated below:

<b>CLASS</b>	<b>CGPA</b>
First Class	4.50-5.00

Second Class-Upper Division	4.00-4.49
Second Class-Lower Division	3.50-3.99
Pass	3.00-3.49

### 5.11 Grading system

Marks	Letter Grade	Grade Point	Interpretation
90-100	A+	5	Exceptional
80-89	A	5	Excellent
75-79	B+	4.5	Very good
70-74	B	4	Good
65-69	C+	3.5	Fairly good
60-64	C	3	Pass
55-59	D+	2.5	Marginal fail
50-54	D	2	Clear fail
45-49	E	1.5	Bad Fail
40-45	E-	1	Qualified Fail
Below 40	F	0	Qualified Fail

- i. This grading system is applicable to all graduate students admitted since the 2007/2008 academic year.
- ii. Continuing graduate students will not be affected by the new grading system. They will continue to use the old grading system until completion of their studies.
- iii. The Thesis/Dissertation shall be graded based on the above scales and shall contribute to the Cumulative Grade Point Average (CGPA).
- iv. In this grading system, all the decimal points on marks awarded by examiners have been eliminated. The Departmental Examiners Committees should, therefore, ensure that marks are rounded up to the nearest whole number.

### 5.12 Grading Descriptions.

The Examiners are therefore informed that when marking assignments they should be guided by the following grading descriptions.

- i) A + Exceptional: Thorough knowledge of concepts and/or techniques and exceptional skill or great originality in the use of the concepts/techniques in

satisfying the requirements of an Assignment or Course.

- ii) A Excellent: Thorough knowledge of concepts and/or techniques together with a high degree of skill and/or some elements of originality in satisfying the requirements of an assignment or course.
- iii) B+ Very Good: Thorough knowledge of concepts and/or techniques together with a fairly high degree of skill in the use of those concepts/techniques in satisfying the requirements of an assignment or course.
- iv) B Good: Good level of knowledge of concepts and/or techniques together with considerable skill in using them to satisfy the requirements of an Assignment or Course.
- v) C+ Fairly Good: Acceptable level of knowledge of concepts and/or techniques together with considerable skill in using them to satisfy the requirements of an Assignment or Course.
- (vi) C Pass: Slightly better than minimum knowledge of required concepts and/or techniques together with some ability to use them in satisfying the requirements of an Assignment or Course. The student has some basic knowledge and a limited understanding of the key aspects of the subject area and Can attempt to solve familiar problems albeit inefficiently and with limited success.
- (vii) D+ Marginal Fail: minimum knowledge of required concepts and/or techniques together with some ability to use them in satisfying the requirements of an Assignment or Course. Suggests that the student:
  - a) has some familiarity with the general subject area;
  - b) Whilst unable to solve problems can at least formulate a problem from information given in a sensible
- (viii) D: Clear fail: poor knowledge of concepts and/or techniques needed to satisfy the requirements of an Assignment of Course.
- (ix) E, F and E-: Bad / qualified fail: lack of understanding of knowledge of concepts or techniques

### **5.13 Awards**

The Board of Examiners in a College/School, upon its satisfaction that the standard required under relevant regulations for the award of a Degree, Diploma, or other award, as the case may be, has been attained by a candidate in University examinations (where applicable) may recommend to the Senate, through the relevant Board of a College/ School, that such Degree, Diploma, or other award be conferred upon or granted to such successful candidate.

### 5.14 Calculation of the Cumulative Grade Point Average (CGPA)

The Cumulative Grade Point Average at a given time shall be obtained by:

- i) Multiplying the grade point obtained in each Course by the Credit Units assigned to the Course to arrive at the Weighted Score for the Course.
- ii) Adding together the Weighted Scores for all the Courses taken up to that time.
- iii) Dividing the Total Weighted Score by the total number of Credit Units taken up to that time.

### 5.15 Retaking a Course or Courses

- i. A student shall retake a Course or Courses when next offered again in order to obtain at least the Pass Mark (60%) if he/she had failed during the First Assessment in the Course or Courses.
- ii. A student who has failed to obtain at least the Pass Mark (60%) during the Second Assessment in the same Course or Courses he/she has retaken shall receive a warning.
- iii. A student may retake a Course or Courses when next offered again in order to improve his/her Pass Grade(s) if the Pass Grade(s) got at the first Assessment in the Course or Courses were low. A student who fails to attain higher marks after retaking to improve, the examination results of the first sitting are recorded on the transcript and should not be recorded as **Retake**.
- iv. Where students miss to sit examinations for justified reasons; they should not be recorded as those who retake when they sit the examinations when next offered.
- v. While retaking a Course or Courses, a student shall: -
  - a. Attend all the prescribed lectures/ tutorials/ Clinicals /Practicals / Fieldwork in the Course or Courses;
  - b. Satisfy all the requirements for the Coursework Component in the Course or Courses; and
  - c. Sit for the University Examinations in the Course or Courses.
- vi. A student shall not be allowed to accumulate more than five (5) Retake Courses at a time. Students are required to register for retake course(s) first before registering for new courses offered in that semester and the retake courses should fit into the approved normal load so as to avoid timetable clashes
- vii. A final year student whose final Examination Results has already been approved by the relevant College /School Board and has qualified for the Award of a Degree/Diploma/Certificate, shall not be permitted to retake any Course or Courses.
- viii. When a student has retaken a course the better of the two Grades he/she has

obtained in that course shall be used in the computation of his/her cumulative Grade Average (CGPA).

- ix. Whenever a Course or Courses has/have been retaken, the Academic Transcript shall indicate so, accordingly.
- x. Continuing Students who have a course(s) to retake and these Course(s) fall beyond the set normal semester load for their Academic Programmes shall pay tuition fees for any Course/Courses to be retaken and the re- examination fees, per Course retaken.
- xi. Students who don't complete their studies on time and still have courses to retake shall pay tuition fees for any Course/Courses to be retaken, the re- examination fees, per Course retaken as well as the Registration Fees and Library fees.

## **5.16 Progression**

### **5.16.1 Normal Progress**

Normal Progress shall occur when a student has passed the Assessments in all the Courses he/she had registered for in a particular Semester and not when he/she has passed the Assessments in the Core Courses only.

### **5.16.2 Probationary Progress**

A student who has obtained the Cumulative Grade Point Average (CGPA) of less than 3.0 shall be placed on Probation. Such a student shall be allowed to progress to the next Semester/Academic Year but shall still retake the Course(s) he/she had failed later on and obtain at least the Pass Mark (60%).

## **5.17 Certificate of Due Performance**

- i) A student who fails to honour the deadline set for handing in an assignment without justifiable reasons shall receive a score of a zero or fail grade in that assignment.
- ii) A student who does not have coursework marks shall be denied the Certificate of Due Performance and will not be allowed to sit the University Examinations.

## **5.18 Absence from Examination**

- i) If the Board of a College/School is satisfied that a student has no justifiable reason for having been absent from a particular examination, such a student shall receive a fail (F) Grade for the Course(s) in which he/she had not sat the examination. The Course(s) in which the Fail (F) Grade was/were awarded shall also count in the calculation of the CGPA.
- ii) If the Board of a College/ School is satisfied that a student did not do coursework

assessment or missed a final examination due to justifiable reason(s), such as sickness or loss of a parent/guardian, then a Course Grade of ABS shall be assigned to the Course(s) for which the student was absent.

## **5.19 Conceded Pass**

### **5.19.1 Definition of Conceded Pass**

A “Conceded Pass” is a pass granted for a course in which a final year candidate is within five marks of a pass mark in the course assessment. The pass is conceded on the basis that the student’s overall performance in other courses for the programme has been sufficiently strong to counter the deficient percentage in that particular course. .

### **5.19.2 Circumstances Potentially Warranting a Conceded Pass**

The personal circumstances of a student must be taken into account. The student’s performance in the course could have been adversely affected by his/her personal circumstances. The circumstances for approval of a Conceded Pass may include but not limited to:

- i. Student illness or Medical condition.
- ii. Family issues (family injury or illness, bereavement etc.).
- iii. Commitments to participate in national sport or other activities that warrant favourable consideration.
- iv. Commitments to assist with community service activities.
- v. Unavoidable and unexpected work commitments (e.g. relocation).
- vi. Awarding conceded passes does not compromise the requirements for accreditation of that programme by a professional body.

### **5.19.3 Responsibility and Procedure**

- i. The Conceded Passes are granted at the discretion of the College/School’s Board of Examiners. Students are not automatically entitled to the Conceded Passes and may not request them.
- ii. The Board of Examiners shall, during the time of consideration of examination results, identify and grant students eligible for Conceded Passes. A Student will then be formally informed that he/she has been offered a Conceded Pass.

#### **5.19.4 Eligibility for a Conceded Pass**

A conceded pass shall be granted under the following conditions:

- i. A candidate on postgraduate programme shall be eligible for a Conceded pass if the final mark in a Course is in the range of 55 – 59% inclusive and the Cumulative Grade Point Average (CGPA) for the student will be at least 3.0.
- ii. A Conceded Pass may only be awarded if a student has attempted the paper, at least three times. The better of the grades earned will be used for awarding a Conceded pass.
- iii. A Conceded pass shall be discretionary and the Examination Boards shall take into account the following:
  - a. The results a student has scored each time he/she has attempted the paper.
  - b. A student's overall Academic record
  - c. Comments from his/her lecturers, e.g. on their class attendance, participation
  - d. Whether the course is required for professional accreditation; or it is necessary for a student to demonstrate professional or clinical competence as part of its assessment requirements.
- iv. A Conceded Pass shall be granted to a whole course, not to a particular piece of assessment.
- v. Candidates granted Conceded pass shall earn a credit on the basis of Conceded Pass "CP"
- vi. Only candidates in their final year of studies shall be eligible for Conceded pass.
- vii. In both undergraduate and postgraduate programmes, the number of conceded passes will be restricted to only one course.
- viii. In case a Candidate does not qualify for a conceded pass as stipulated above, the existing provision in the semester regulations will guide, as the case may be.

#### **5.19.5 Recording a Conceded Pass on the Academic Transcript**

A granted Conceded Pass will be recorded on the student's Academic Transcript by indicating the true percentage /grade achieved, and "CP" as the grading code.

## **5.20 Deferred examination**

- i. A student who provides a credible reason for failure to complete coursework assessment or to attend an examination based on 27(ii)above, may be permitted to 'sit' the deferred examination or other coursework assignment when the course(s) is offered again.
- ii. Students needing a deferred examination must submit applications to their respective Deans or Director's Office. The application and supporting documentations pertaining to the absence must be presented as soon as the student is able, having regard to the circumstances underlying the absence, but not later than the beginning of the semester in which the examination is scheduled. Where the cause is an incapacitating illness, a student must present a University Hospital Medical Statement Form. In other cases, including severe domestic affliction, adequate documentation must be provided to substantiate the reason for an absence.
- iii. In the case of an approved application for a deferred final exam, the Principal or Dean of the student's College/School will inform the Departmental Chair responsible for the course of the approved deferred exam. The Department will then notify the Lecturer concerned.
- iv. A deferred exam will not be approved if a student has not been in regular attendance in a course, where attendance means having completed less than half of the assigned work.
- v. A deferred examination shall be included in a Student's maximum Semester load. A Student with two or more deferred exams outstanding from a previous semester may be required to reduce the number of courses in which they are registered in order to accommodate the deferred courses from previous semester(s).
- vi. The grades obtained from a deferred examination shall not be categorized as retake because the assessment(s) is for the first time.
- vii. Students shall be required to pay for a deferred examination and payment shall normally be made at the beginning of the semester.

## **5.21 Discontinuation**

- i. When a student accumulates three consecutive probations based on CGPA he/she shall be discontinued.
- ii. A student who has failed to obtain at least the Pass Mark (60%) during the Third Assessment in the same Course or Courses he/she had retaken shall be discontinued from his/her studies at the University.
- iii. A student who has overstayed in an Academic Programme by more than Two

(2) Years shall be discontinued from his/her studies at the University.

### **5.22 Change of Course**

A student may be permitted to change course(s) in an Academic Programme in order to substitute for the Course(s) failed. The Substitute Course(s) should be within the specified Course (s) for that Academic Programme.

### **5.23 Change of Academic Programme**

A student may be permitted to change from one Academic Programme to another on condition that:-

- i. He/she had satisfied the admission requirements for the Academic Programme applied for.
- ii. He/she should not have been attending lectures/tutorials and other academic activities of the Academic Programme he/she would want to change from for more than one-half of the duration of the programme.
- iii. He/she had not been previously dismissed on disciplinary grounds from the University.

A student permitted to change his/her Programme may be allowed to transfer the Credits from the previous Academic Programme to the new Academic Programme, provided that the Credits being transferred are relevant to the new Academic Programme.

### **5.24 Guidelines for Transfer of Credit Units**

Guidelines for the transfer of Credit Units for Undergraduate and Graduate Students who apply to transfer from other recognized Universities or equivalent Institutes of Higher Learning to Makerere University include the following requirements for the students concerned:

- g) Must satisfy the admission requirements for the academic program(s) applied for.
- h) Must obtain and submit an official academic Transcript (s) Certificate from a recognized University/Institution of Higher learning in which he/she was previously enrolled, indicating his/her academic status, the courses offered/taken, the credit units completed and the grades obtained in each course.
- i) Must have obtained the equivalent of Cumulative Grade Point Average of at least 3.0.
- j) Will be permitted to transfer to Makerere University Credits earned but the

maximum of Credits should not exceed 60% of the minimum graduation load of the academic programme applied for.

- k) If permitted to transfer she/he should not be allowed to transfer the equivalent of credit units in a course in which she/he obtained a Grade point which was lower than 3.0
- l) An application must be accompanied by recommendations from the Institution or Authority she/he is transferring from.

## **5.25 Re-admission after being discontinued due to weak academic performance**

- a. A student who has been discontinued from studies because of weak academic performance may be permitted to re-apply to another programme and compete with other applicants for re-admission into first year.
- b. A student who applies and gains re-admission after being discontinued due to weak academic performance will be permitted to transfer Credits earned from previous Academic Programmes. The transferred credits should be from the courses which are relevant to the new programme.
- c. A student who was discontinued or dismissed from his/her studies because of external irregularities will not be considered for re-admission.

## **5.26 Current programme duration**

The Directorate coordinates a wide range of Study Programmes, which are offered by the various Colleges/Schools the University.

### **5.26.1 Minimum duration of programmes**

Diplomas	- 1 academic year
Masters degrees (full-time)	- 2 calendar years
Masters degrees (part-time)	- 3 calendar years
Master of Medicine degree (full-time)	- 3 calendar years
LLD, MD, Ph.D degree (full-time)	3 - 4 calendar years
LLD, MD, Ph.D degree (part-time)	5 -7 calendar years

With special permission, these periods may be extended as the Board of Research and Graduate Training may consider reasonable.

### **5.26.2 De-registration**

Any candidate who goes beyond the stipulated period candidature gets automatic de-registration unless he or she has very sound reasons that shall

be determined by the Board of Research and Graduate Training.

## **6.0 GRADUATE STUDY PLANS AND REGULATIONS**

### **6.1 Masters' students Programme Plans**

#### **1. Types of Plans**

- i) The masters' programmes at Makerere University are based on the following Plans:

Plan A: Coursework and Dissertation

Plan B: Extended Coursework and Project Report

Plan C: Coursework and Comprehensive Examination

Plan D: Thesis only

- ii) For any masters' student to graduate in a Programme, the following requirements must be fulfilled:
- a) A student's progression under Plan A is dependent on whether he/she has a Research Proposal by second week of the 3rd Semester.
  - b) A student's progression under plan B is dependent on whether he/she has Research Proposal by second week of the 4th Semester.
  - c) The pass mark of all graduate courses shall be 60%
  - d) Credited Seminar Series conducted by students shall be mandatory.
  - e) All coursework for graduate programs shall be examined externally.
  - f) The Title of the Thesis/Dissertation/Project Report shall appear on the Academic Transcript with respective grades indicated.
  - g) The dissertation is in partial fulfilment of the Degree. Meanwhile a Thesis is in fulfilment of the Degree.

#### **2. Specific Guidelines for Plans**

##### **i) Plan A: Course Work and Dissertation**

- a) A student on this Plan must complete an approved program of Coursework consisting of a minimum of 18 Credit Units during the year.
- b) A student must submit a Dissertation.
- c) A Thesis shall carry credit range of 8-10 Credit Units (Units should determine and allocate Credit Units to Dissertation).
- d) External examination of Plan A Dissertation shall be mandatory.
- e) Seminar Series will be mandatory for all registered students.
- f) Departments will select topics for students and a student shall be required to make presentations during the Seminar Series.

- g) The minimum Graduation load shall be decided by the Academic Unit where the Programme is based.

**ii) Plan B: Coursework and Project/Field Report**

- a) A student on Plan B must complete an approved programme of Coursework that shall constitute 75% of the entire workload for the Degree.
- b) A Student must submit a Report on a supervised Short Project/Field Attachment/Industrial Training carried out.
- c) The Project/Field Report should involve a combined total of 300 hours (equivalent to 8 weeks of full time work) and shall carry 5 Credit Units (CU).
- d) Seminar Series will be mandatory for all registered students and shall be conducted every Semester of the second year. The Seminar Series shall have 2 Credit Units per Semester.
- e) External examinations of Projects/Reports shall be done as in course work.

**iii) Plan C: Coursework only and Comprehensive Examination**

- a) In this Plan, the students' Coursework Load shall be 85% plus Examinations and 15% Seminar Series.
- b) Courses offered additionally by such candidates must be Advance Courses.
- c) Students shall be comprehensively examined and in order to be in normal progress, a student on this Plan must have a CGPA of not less than 3.0.
- d) A candidate who has a CGPA of less than 3.0 shall be placed on probation.
- e) Seminar Series will be mandatory for all registered students of the second year. It will be credited at 2 Credit Units per Semester.

**Plan D: Thesis only (Applicable to both Masters by research and Research Doctorates).**

A student must demonstrate serious academic research capacity by presenting acceptable research concept. At the point of application/first registration, a student is expected to have identified a research area. This may be done in consultation with the Department and will be influenced by availability of expertise and resources in particular areas. Based on this, the student should develop and submit a synopsis (concept paper) of 3-5 pages to the Departmental Chair. The synopsis (concept paper) contains the title of the dissertation, a brief background to the research, a succinct statement of the problem, the objectives of the research, the theoretical/conceptual framework of the research, a brief review of relevant literature, a brief description of methodology and a list of references. Within two weeks of submitting the synopsis/concept paper, the student shall obtain feedback on it. Upon approval of the synopsis/concept by the School Higher Degrees and Research Committee, a supervisor or two shall be allocated to the student.

## 6.2 PhD Study-Plan

The Study plan is a very important document and is intended to serve as A guideline in helping the doctoral student to plan for his/her studies and research activities. It specifies the conditions and goals of the doctoral research, both in the short and long term.

The student shall work with the supervisor/s to develop an individual study plan. Once finalised and agreed upon, the study plan shall be signed by both the supervisor and the student. Once signed, the study plan becomes the contract between the supervisee (student), the supervisor and the Department. The work-plan is a useful guideline, useful in evaluating progress and subject to periodic reviews. For example, the revision of the curriculum may result in updating of the study plan which should be signed by the student and the supervisor/s. A copy of the format for the individual study plan is available at [http://: www.makerere.ac.ug](http://www.makerere.ac.ug)

### 6.2.1 Guidelines for PhD Study Plan

#### Semester 1

- i) Provisional Registering at the Colleges/Schools and the Department/Unit.
- ii) Attendance of relevant courses, including cross-cutting courses – Research methodology; Proposal writing, Scholarly writing.
- iii) Developing Research Instruments.
- iv) Working on developing draft proposal.
- v) Attending courses, seminars as required by the department
- vi) Review of the study plan with guidance from supervisor(s).
- vii) Review of the Draft proposal by the Doctoral Committee

#### Semester 2

- (i) Attendance of discipline specific course.
- (ii) Development of full proposal and presentation to the Doctoral Committee.
- (iii) Presentation of full proposal to the School Higher Degrees and Research Committee (students may be discontinued if they fail at this level, however, they may be allowed to appeal).
- (iv) Presentation of progress report.
- (v) Revision of the reviewed study plan.
- (vi) Provisional registration / Full registration.

### **Semester 3**

- (i) Registration for the semester in both the School/Department and DRGT with a developed proposal.
- (ii) Laboratory / fieldwork, data collection.
- (iii) Presentation at seminars – presentation of a paper.
- (iv) Review of study plan.

### **Semester 4**

- (i) Attendance of courses where applicable.
- (ii) Continued Field/ Lab work.
- (iii) Data analysis.
- (iv) Presentation in a seminar – Draft chapters
- (v) Review of Study plan.
- (vi) Presentation of the first paper.

### **Semester 5**

- (i) Development of a draft or outline of thesis.
- (ii) Commencement of the writing process/ Data analysis.
- (iii) Presentation at seminar/DC.
- (iv) Review of Study Plan.
- (v) Presentation of a second paper
- (vi) Publication of a paper

### **Semester 6**

- (i) Finalising of writing.
- (ii) Final seminar presentation to DC.
- (iii) Submission of thesis/dissertation.
- (iv) The Examination process.
- (v) The public (open) defence/Viva voce examination.

## **6.2.2 Graduate Research Process**

### **6.2.2.1 The Synopsis/Concept Paper (Applicable to PhD students)**

At the point of application/first registration, a student is expected to have identified

a research area. This may be done in consultation with the Department and will be influenced by availability of expertise and resources in particular areas. Based on this, the student should develop and submit a synopsis (concept paper) of 3-5 pages to the Departmental Chair. The synopsis (concept paper) contains the title of the dissertation, a brief background to the research, a succinct statement of the problem, the objectives of the research, the theoretical/conceptual framework of the research, a brief review of relevant literature, a brief description of methodology and a list of references. Within two weeks of submitting the synopsis/concept paper, the student shall obtain feedback on it. Upon approval of the synopsis/concept by the School Higher Degrees and Research Committee, a supervisor or two shall be allocated to the student.

### **6.2.2.2 The Proposal**

The student has up to one year to develop a full proposal in consultation with his/her supervisor. During this period, the student's admission will remain provisional. The generic format for the proposal is given in Table 1. The length of the proposal shall not exceed 25 pages, excluding list of references and appendices.

**Table 1 Generic Proposal Format**

Item No.	Item	Item Description
1	Title Page	Includes the name of Makerere University and the logo, a brief and concise title/topic of the doctoral research, author's name, Registration Number, signature and date, main supervisor's name, signature and date; co-supervisor's name, signature and date, month or full date of the proposal, Kampala, Uganda (see example in Annex B)
2	Abstract	A brief summary in one page of the proposal on a separate page
3	Table of contents	Computer generated page of the main and sub-titles
4.	Introduction	About 3-6 pages containing the sub-sections Background, Problem Statement, , Main Objective, Specific Objectives, Hypothesis/Research Question/s, key outputs, Expected Outputs, Significance/Practicality of the Research, , Justification (of the methods) and conceptual/theoretical frame work,
5	Literature Review	About 8-12 pages of brief literature review, supporting the purpose and methods of the research, i.e. reviewing the current status, identifying the gaps and justifying the methods to be used in the research.
6	Methodology	Brief description of the methods to be used in the Research – 3-4 pages
7	Schedule of Activities	Labelled graphic durations of activities for the whole duration of doctoral studies
8	Appendices	This must include: -The research budget ( tuition at Makerere University, conference attendance and cost of courses to be attended in another institution other than at Makerere University or abroad, cost of supervision from abroad, duration of study abroad, etc.) -Other items like location maps, other illustrations, e.g. graphs, images, etc. - Any other relevant document (e.g. research instruments like questionnaires, etc.

Once approved by the supervisor, the proposal shall then be presented by the student to his/her Doctoral Committee. The student shall be advised on what adjustments to make to the proposal.

After the corrections (if any) have been made, the student shall present the proposal formally to the School Higher Degrees and Research Committee. A copy of the proposal shall also be subjected to examination by an external Vetter who is an expert in the proposed area of inquiry recommended by the School Higher Degrees and Research Committee and appointed by the College Academic Board.

Once the final proposal has been approved, the Dean shall officially notify the DRGT in writing accompanied by minutes of the School Higher Degrees and Research Committee.

The student shall then officially submit the approved proposal to the DRGT.

After submission of the approved proposal, the DRGT shall acknowledge receipt of the approved proposal by a formal letter to the School Higher Degrees Committee and the student to that effect.

### **Progress Reports**

Each graduate student on research shall submit six monthly progress reports to the supervisor. The supervisor shall then fill a standard form indicating the status of the research progress by the student. The signed form shall be submitted to the DRGT by the supervisor. The form is available at <http://www.rgt.mak.ac.ug>

### **Thesis/Dissertation Format**

The thesis may be developed and presented in one of the following approved formats:

### **The Monograph**

**Table 2: Guidelines for the thesis/dissertation format as a monograph**

Item No.	Item	Item Description
1	Title Page	Contains the name of Makerere University and the logo, a brief and concise title (not more than 20 words) describing the topic of the doctoral research, authors name signature and date, main supervisor's name, signature and date; co-supervisor's name, signature and date, month or full date of the thesis/dissertation, Kampala, Uganda

2	Abstract	A brief summary of one page of the thesis/dissertation
3	Table of Contents	Computer generated page of the main and sub-titles
4	Acknowledgments	Acknowledging key players in the fulfilment of the doctoral studies
5.	Introduction	About 15 pages containing the sub-sections Background, Statement of the problem, applicability of research findings (i.e. Applicability in industry, where applicable), Scientific innovation/s, Accomplished work and future work and brief description of each chapter.
6	Literature Review	About 20 pages of literature review, supporting the purpose and methods of the research, i.e. reviewing the current status, identifying the gaps and justifying the methods to use in the research.
7	Methodology	In-depth description of the methods used in the Research and the limitations and innovations – 5-10 pages
8	Main Findings	Presentation of the results obtained during the data collection process
9	Discussion of Results	in-depth analysis of the main findings of the research
10	Conclusions and Recommendations	The pertinent conclusions are made and the recommendations and the way forward
9	Appendices	include: -Other items like location maps, other illustrations, e.g. graphs, images, - Any other relevant document (e.g. research instruments like questionnaires,

The number of pages for each section is to guide the researcher. However, actual numbers of pages may vary from discipline to discipline.

### **Published papers/chapters**

In the case of the published chapters option, the doctoral student has a collection of at least

five papers containing the main aspects of the research and published in reputable, peer reviewed journals, the structure of the title page follows that of a published text book (**See Annex.....**). The abstract, table of contents, acknowledgements, and introduction apply as in the case of the monograph format. The first published paper shall be a review of literature on the current state of research in the chosen field. Each of the subsequent chapters shall be a published chapter or a chapter already accepted for publication in the format: Introduction, Materials and Methods, Results, Discussion, Conclusions and Recommendations, References. Note that variations will depend on whether the work is published or not.

## **7.0 EXAMINATION REGULATIONS**

### **7.1 General examination and awards regulations**

All Masters Degree programmes are conducted by course work and dissertation or Research Project and are based on semester system or the plans indicated in section 5.0. The courses are conducted on credit unit basis, a credit unit being equivalent to one contact hour per week per semester i.e. a series of 15 contact hours in 15 weeks. One contact hour is equivalent to one hour of lecture/tutorial or 2 hours of practical. Each academic year is divided into two semesters each of which lasts 17 weeks. Two weeks are allowed for examinations. There is a recess semester of 10 weeks after the 2nd Semester, which is applicable in/to some programmes.

#### **7.1.1 University Examinations**

For all programmes leading to the academic awards of the University, there shall be University examinations as a mode of assessment. These examinations shall be normally conducted at the end of every semester.

#### **7.1.2 Examiners**

Every examination for a Degree or Diploma of the University, whether taken at one time or in sections, shall be examined by:

- (i) Internal Examiners, one, or where possible, two or more in each course, and
- (ii) External Examiners, one or more in each course.

#### **7.1.3 Continuous Assessment**

Continuous Assessment consists of Tests, Assignments, Field attachments, self-studies, Practical work etc. which are conducted throughout the programmes and contribute a given percentage to the final assessment mark which varies from programme to programme

#### 7.1.4 Pass Mark

The pass mark for ALL University examinations shall be 60%.

#### 7.1.5 Who qualifies to sit for an examination?

It is a registered student that has made full payment of all the University dues and has a certificate of due performance. Certificate of due performance is obtained after class attendance and doing coursework and continuous assessment tests.

#### 7.1.6 Format of presenting Examination Results

Requirements for the appropriate presentation of results:

- i) The attributes of the complete results of a course include:
  - a) Course Name
  - b) Course Code
  - c) Credit Unit(s) – (CU)
  - d) Score (Raw Mark)
  - e) Grade Point – (GP)
  - f) Result Identifier (Audited– AC/Prerequisite/elective/Retake – RT)

- ii) Total Weighted Scores for a Period of Study (TWS)

The weighted Score of a Course (WS) is the Product of its Grade Point (GP) and its Credit Unit (CU) values

$$WS = GP \times CU \quad \text{Total Weighted Scores, } TWS = \sum (WS)$$

- iii) Grade Point Average (GPA) and Cumulative Grade Point Average (CGPA)  
GPA is worked out per semester while the CGPA is for any period greater than a single semester.

$$\text{For a Single Semester, } GPA = \frac{TWS}{\sum (CU)}$$

$$\text{For more than a Single Semester, } CGPA = \frac{TWS}{\sum (CU)}$$

- iv) **Remarks**

The stage at which the CGPA is being worked out determines the appropriateness of the remark to be given.

#### Note on abbreviations

- a) Normal Progress (NP) or Class of Award
- b) Probationary Progress (**PP**) and **RT** – for a course whose score is less than the

pass mark of 60%.

- c) Incomplete/Investigation – **INC/INV** for a result missing a course work or an examination component.
- d) Absent – **ABS** for an examination missed genuinely.

## **7.2 Policy on Remarking Students' Work**

The Senate approved the guidelines for handling cases of students who are dissatisfied with the marks they have been awarded as follows:

- i. A candidate wishing to make any appeal against his/her examination results shall do so within 30 days from the date of publication of the final results.
- ii. All appeals for re-marking shall be addressed to the Chairperson of the School's Committee and a copy given to the Lecturer concerned.
- iii. Candidates shall make their requests in writing and should clearly specify the grounds upon which the appeal is being made including, but not limited to the following: -
  - a) Miscomputation of marks
  - b) Bias on the part of the Lecturer
  - c) Marks generally out of step with one's over-all performance
  - d) The School Examinations Committee shall communicate its decisions to the affected student within a period of 14 days of its deliberations.
  - e) That from the time the decision to remark is made by the School Examinations Committee remarking should be completed within two weeks and the Dean on behalf of the College /Schools Board of Studies should approve the new mark awarded.
  - f) That if a candidate decides to withdraw his/her appeal before the Committee considers it, such withdrawal should be done in writing.

Subject to the General University Regulations, there are other specific regulations pertaining to each programme, details of which can be sought from the relevant College/Schools or from the Office of the Academic Registrar.

## **7.3 Examination Processing**

### **7.3.1 Displaying Provisional Examination Results**

As soon as the Board of Examiners/Board of Studies of a particular

Academic Unit have considered a certain set of examination results, such provisional results shall be displayed on the Notice Board by the Office of the Dean concerned in a format containing the following:

- a) The registration number of each candidate only.
- b) The Grade Point obtained in each Course for which a candidate attempted the examination.
- c) The Cumulative Grade Point Average and Credits earned by each candidate.

Detailed individual student academic examination results can also be viewed by the student on the University Intranet using a password to be availed at the time of registration.

### **7.3.2 Examiners who Delay in Marking and Submitting Examination Results**

The Chairs of Departments should, through their respective Deans, always submit to the Principal, the names of the Examiners who fail to meet the deadlines set for completing marking and/or processing examination results.

### **7.3.3 Penalty**

In case the errant Examiner or a Part-time Senior Lecturer, his/her allowances should be withheld until the examination results would have been received from him/her.

Full time Senior Lecturers (Lecturers) who do not comply with examination regulations shall be subjected to academic staff disciplinary rules of the University. Academic staffs who consistently fail to meet University obligations (teaching, examinations, supervision and marking) shall be warned twice. After the second warning, the case of the culprit shall be referred to the Appointments Board with a recommendation for dismissal.

### **7.3.4 Examination Timetables**

The examinations in Courses for which very many students have been registered shall be timetabled and conducted at the very beginning of the University Examination seasons.

### **7.3.5 Examination Almanacs**

The Academic Registrar always circulates the almanacs for examinations, marking scripts, submission of marks and results, meetings of the Examiners' Boards and the Senate and its relevant Committees to guide the Students, Examiners, Chairs of Departments and the Deans.

### **7.3.6 Testimonials**

Partial results of candidates can be issued in form of testimonials. The testimonials are issued by the Principal/Deans, bearing their signature, to the candidates from their respective Colleges/Schools on the basis of the examination results which the relevant Boards would have considered and recommended to the Senate. Such Testimonial shall contain the following data:-

- a) The name of the candidate.
- b) The registration number of the candidate.
- c) The name of the academic award registered for by the candidate
- d) The academic year in which the candidate first registered for particular academic programme.
- e) The academic year in which the candidate was being issued Testimonial.
- f) The Courses offered by the candidate and the Grade Point the candidate had obtained in each of those Courses.
- g) The Cumulative Grade Point Average (CGPA) the candidate had obtained in each Semester.

### **7.3.7 Submission of a Thesis/Dissertation for Examination**

*(These regulations are supplementary to the University regulations for individual higher degrees).*

- i) A candidate is not allowed to formally start on research or project work unless he/she has passed the taught courses.
- ii) A candidate submits a research /project proposal to the School Higher Degrees and Research Committee before the end of the second Semester and begins the research component during the second year of study or after course work.
- iii) Master's and Ph.D. candidates must be ready to submit their

Reports, dissertations, Theses by the end of their 2nd and 3rd years respectively.

- iv) Under no circumstances will a candidate be allowed to submit a thesis for examination unless he/she has been under regular and approved supervision for at least one year for a Master's degree and two years for a Doctoral degree.
- v) A candidate intending to submit his or her thesis/dissertation/Project Report must give three months' written notice of submission for a Master's degree or six months written notice for a Doctoral Degree to the Secretary of the College Graduate Studies and Research Committee and copy to the Director, DRGT. The notice of submission must be endorsed by the Supervisor and copied to the respective School. The written notice shall contain the proposed title and an outline of the plan and general scope of the work.
- vi) When the candidates' thesis/dissertation is ready for submission, he/she should submit three loose bound Dissertation/Thesis copies (spiral bound ) embodying the result of his/her special study or research for examination with the authority of the supervisor direct to the Dean of the School.
- vii) A Thesis or Dissertation submitted for the degree must be satisfactory as regards form, content and literary presentation and be worthy of publication; it must also include a full bibliography of the material, whether published or otherwise, used in its preparation.
- viii) No Thesis or Dissertation shall be accepted which does not make a distinct contribution to the knowledge or understanding of the subject and afford evidence of originality.
- ix) If the degree is awarded each copy shall remain in the custody of the University. The thesis or dissertation must be typewritten or printed on good quality quarto paper. The type must be double-spaced and on one side of the paper only. Copies must be clear. There should be a two-inch margin on the left hand and a one-inch margin on the right of the paper. Typing should begin about 1½ inch from the upper margin and there should be a one-inch margin at the bottom of the page. Pages should be numbered consecutively and the number should appear just below the centre of the upper margin. Special techniques in presentation may be necessary in chemistry, physics, and mathematics and, in some

cases biological sciences. Students must consult their supervisors on this matter.

- x) The front (title) page must be systematically arranged as follows:
  - a. Title of the thesis or dissertation in capitals.
  - b. Full name of candidate.
  - c. Then, 'A thesis (or dissertation) submitted in partial fulfilment of the requirements for the award of (insert name of degree) of Makerere University.' This statement should appear in the middle of the page.
  - d. The year.
- xi) A Thesis or Dissertation accepted by the University and subsequently published, in whatever form, shall bear the inscription
  - a) "Thesis or Dissertation Approved for the Degree of Master... Or Doctor of Philosophy of Makerere University."
  - b) (Should include a Disclaimer: A declaration by the candidate, stating that the thesis has not been submitted for a degree in any other University and that no Part of the Thesis or Dissertation is plagiarized work).
- xii) The second page of the thesis or dissertation (and third if necessary) should contain a table of contents with page numbers.
- xiii) A summary of the contents of the thesis, not exceeding a thousand words should follow, beginning on a new page.
- xiv) Tables, text figures, diagrams, and plates should be numbered in separate sequences and should be cited by number in the text. Each table, text figure, diagram and plate should have a full caption. Text figures and diagrams should in general be reproduced by photographic or similar means. There should be a 1 inch margin around all text figures, diagrams and plates.
- xv) Literature must be cited by the author and date or by number in the text, and a list of references must appear at the end of the thesis. Departments may vary in the way they should like literature cited and students would consult their supervisors.
- xvi) Each copy of the final thesis or dissertation is to be bound in black. Advice might be sought from the University Library on this matter. The spine of the thesis or dissertation should be

embossed in gold with the surname and initials of the candidate, the degree for which the thesis or dissertation is being submitted, and the year and the writing should read from the bottom to the top of the spine.

- xvii) Students should consult their supervisors if they require any advice on any matter concerning the form of a thesis or dissertation not covered by these regulations.
- xviii) Supervisors must sign and indicate that they have consented to the submission after satisfactorily reading through the copy.
- xix) Whenever a candidate is submitting the Final copy of his/her dissertation/thesis after the viva voce and corrections, it must be accompanied with a soft copy. No Dissertation will be accepted without fulfilling this demand.
- xx) Faculty of Medicine Postgraduate regulations on Masters Degree dissertations:-
  - a) The dissertation must be presented at least two months before the date of the final examination (written, clinical/practical and oral).
  - b) The examination above (other than dissertation/viva examination) comprises five parts: Essay, Multiple Choice Questions MCQ; Clinical/practical; Oral; and progressive assessment).

N.B: Essay + MCQ weighted at 200 marks = two individual parts of the examination

### **7.3.8 Re-submission**

- i) A student whose draft thesis/dissertation fails to pass shall be advised accordingly. He/she may be requested to re-write or go back to the field and re-submit.
- ii) A student whose draft thesis/dissertation fails the second time to pass shall be offered only one last chance to do so.
- iii) A student who fails a third time shall be offered a Certificate of due performance, indicating Failed Dissertation/Thesis.
- iv) Students who are required to resubmit thesis/dissertation under any category above shall pay re-submission fees for examination, registration, admission, Library and appropriate tuition fees for supervision

### 7.3.9 When to Submit the Final Thesis/Dissertation

All candidates are expected to submit the corrected and well bound copies of their thesis/dissertation within three months after the viva voce/public defence. Failure to meet this requirement without prior explanation leads to automatic de-registration.

### 7.3.10 Appointment of Examiners

- i) When a candidate gives notice of submission, the respective School Higher Degrees Committee recommends the examiners and viva voce panel for approval and appointment by the College Graduate Studies and Research Committee.
- ii) All examiners of PhD candidates or Doctoral students shall be independent academicians who did not play a role as supervisors or committee member.
- iii) It is the responsibility of the College Graduate Studies and Research Committee to appoint examiners and to ensure safe dispatch of copies of the thesis or dissertation to them.
- iv) The College Graduate Studies and Research Committee shall appoint for each Thesis or Dissertation at least three examiners one of whom shall be an examiner external to the University.

### 7.3.11 Reports of Examiners

- i) Examiners are expected to submit their reports in a period of three months. Failure to submit, the examiners are reminded to do so within two weeks. A complete failure by examiners is unusual but if this occurs, the Principal shall request the responsible Departments to nominate a replacement examiner.
- ii) The reports of examiners are sent to the Principal who sends them to the Dean for consideration by the School Higher Degrees and Research Committees. A copy of the report should be sent to the Director, DRGT.
- iii) The School Higher Degrees and Research Committees shall handle the reports as follows:
  - a) Where all the three reports are favourable or two reports are favourable, one of which must be from the external examiner and only minor corrections are required, the School goes ahead to conduct the **viva voce** examination without delay.

- b) After successful **viva voce** examination a candidate shall be advised by the Dean (chairman) to carry out the minor corrections to the satisfaction of the Overseer/supervisor. The details of the corrections to be made which have been identified by the Examiners and **Viva Voce panel** must be communicated in writing to the candidate and maximum period of three months given for submission of corrected Thesis/Dissertation.
- c) Finally, the School submits its recommendations to the Board of Research and Graduate Training for the **award** of the degree. This must be accompanied by signed minutes of the **VIVA VOCE** panel.
- d) The supervisor/internal examiner/Overseer appointed to ensure that corrections are effected should submit his/her report to the Principal through the Dean and copy the Director, Directorate of Research and Graduate Training.

### *Thesis/Dissertation Format*

#### *Format for the Monograph*

The thesis written in monograph format shall be typed in New Times Roman, font size 11 or 12 for the general text, line spacing 1½. Main headings should be font size 13 or 14 Arial bold uppercase and Heading 2 and 3 should have font sizes 12 Arial bold title case. Heading 3 should be in Italic bold title case.

The left margin 25 mm and right margin 20 mm from the edge of an A4 paper. Top margin shall be 25mm and bottom margin 20 mm from the edge of an A4 paper. Chapter Headings shall be on top of a new page, font size 14-16, bold, Arial, centred.

#### *Thesis in form of Published/publishable Papers*

This should be in a normal published book form with ISBN numbers, the format of which should be agreed upon between the student, the supervisor and the publisher. A minimum of 5 papers, published in peer reviewed journals, is required for this form of thesis.

## **8.0 DOCTORAL COMMITTEES –PhD**

### **8.1 Purpose of Doctoral Training**

The purpose of doctoral training is to impart skills to Doctoral students in the art and science of scholarship, and broader skills acquisition, but above all, to develop independent and critical thinkers able to conduct quality research and innovations.

The end products are researchers who can engage with the broader environment of stakeholders as well as the knowledge economy in order for them to remain relevant to local conditions. Doctoral students learn scientific methodology, critical analysis and independence in their studies. The doctoral training and research must therefore stimulate them to adopt a scientific attitude which includes the ability to formulate questions, to give structure to a scientific and socially oriented argument, to find adequate methods and theories for tackling problems and to be able to reflect critically on the subject of their dissertation/thesis, able to apply the newly acquired skills and knowledge, including innovations. Doctoral students are expected to probe deeply into their subjects and be at the forefront of research and innovation in their field. Research is a craft, and the dissertation and/or innovation is the masterpiece—the evidence that the practitioner is now a fully-fledged craftsman and a specialist (skilled) in the knowledge economy world.

## **8.2 Types of Doctorates Offered at Makerere**

Makerere University offers two types of doctorates: the doctorate by research only and the doctorate by course-work and dissertation/thesis.

### **8.2.1 Doctorate by Research Only**

Doctoral students on a Doctorate programme by research only receive no structured instruction apart from the required cross-cutting courses. However, the students define their research area in consultation with their supervisor/s, and are expected to spend approximately three years conducting independent research in this area. During this period, students may audit courses from within their discipline or across disciplines to enhance knowledge and scholarship in their work. Apart from cross-cutting courses, students pursuing a doctorate by research only are not subjected to any other examination, except examination of their Thesis/Dissertation plus a *viva-voce* (oral defence).

### **8.2.2 Doctorate by Coursework and Dissertation/Thesis**

Apart from the required cross-cutting courses, a student pursuing a doctorate by course-work and dissertation/thesis is expected to complete a number of course units in addition to a dissertation/thesis. The number of courses and length of dissertation/thesis may vary by discipline. The student is expected to work with his/her supervisor/s to select the most appropriate courses from within and outside his/her respective College/School. The student will then spend approximately two years completing the dissertation under the guidance of the supervisor and Doctoral Committee. The student is required to have a minimum credit

unit as prescribed by the Unit in order to graduate.

### *General Information*

Regardless of which type of Doctorate one registers for, there are some courses that every student is required to take before they can graduate, called core courses. These cross-cutting courses are an integral part of the individual curriculum (work plan). There are also elective cross-cutting courses that the student may with the advice of the supervisor, choose to study for credit or audit. They are outlined below:

Core cross-cutting courses include:

- i. Advanced Research Methods
- ii. Philosophy of Method
- iii. Advanced Gender Research Studies
- iv. Statistical Methods and Computer Applications in Research
- v. Qualitative Data Management and Analysis
- vi. Information Competence and Management
- vii. Scholarly Writing and Communication Skills

### *Elective Cross-cutting courses*

Elective cross-cutting courses that the student may be required to do shall be identified with the advice of the supervisor. These courses a student may choose to study for credit or audit.

All cross-cutting courses are coordinated by the DRGT in liaison with discipline-specific Units. These courses are timetabled and advertised each Semester on the University Intranet, Notice Boards.

In addition to the above specifications, a Doctoral student may take courses in their School or from other Schools to give their programme multi-disciplinary flavour. The specific courses will be agreed upon between the student and his/her supervisor/s. All Doctoral students are expected to give seminars, where applicable undertake laboratory demonstrations, present their work at conferences and other academic forum, and publish their work.

Doctoral students are required to have a Doctoral Committee which will be charged with monitoring the student's performance and progress and

advising the student throughout the study period. Although the doctoral student may propose some names to be considered for his/her Doctoral Committee, the final decision lies with the School Higher Degrees and Research Committee. The supervisors of the student are members of the Doctoral Committee.

### *Identification of Supervisors*

The synopsis developed by the doctoral student forms the basis for the relevant Department to identify one or two supervisor/s for the student. The Department forwards the names of the proposed supervisors to the College Graduate Studies and Research Committee for appointment. A copy of the Minutes is sent to the Directorate of Research and Graduate Training. At least one supervisor should be based at Makerere University. A doctoral student usually works very closely with his/her supervisor/s, and it is important that a good and cordial, professional relationship is cultivated throughout the doctoral supervision process.

## **8.3 Composition of the Doctoral Committee**

The Committee shall be established at Departmental level, and shall constitute at least two members from the student's major field of study (one or both of them could be the doctoral student's supervisors), the Chair of the Department or Deputy Dean in charge of research and two other experts deemed helpful in the pursuit of the study in question. Membership of the Doctoral Committee shall be composed of 3 to 5 persons. Membership on doctoral committees will be based on expertise in the major or related fields of study and from industry.

The doctoral student, after meeting the various members of staff in their Unit, may make proposals on the membership of their Doctoral Committee, but the final selection of the committee will be done by the Department and approved by the College Graduate Studies and Research Committee.

### *Roles of the Doctoral Committee*

The Committee shall:

- i. Recommend approval of registration of PhD applicants and their PhD Research Proposal to the College Graduate Studies and research Committee.
- ii. Review the independent reports from the student and supervisors and endorse the 6 monthly progress reports.
- iii. Monitor timely progress reporting.

- iv. Identify the external examiner and recommend to the College Graduate Studies and research Committee for approval.
- v. Identify other academic and research opportunities, both inside and outside the university (e.g. conferences, workshops, collaborative opportunities, training, research centres/labs etc.)

### *Interdisciplinary Supervision:*

As much as possible the composition of the Doctoral Committee shall be interdisciplinary to facilitate multidisciplinary skills and knowledge acquisition by the doctoral student. In addition, inclusion of persons outside the University set up as advisors is encouraged.

### **8.3.1 Doctoral Students' Checklist**

Below is a checklist of requirements that doctoral students at Makerere University will find helpful:

- (i) The student must write a synopsis/concept paper consisting of about three to five pages and this forms a basis for the application and provisional registration after paying University fees.
- (ii) The student then undergoes an induction programme: about Makerere, and or about DRGT, allocation of supervisors, selection of a Doctoral Committee, etc. The student plays a role in the identification of possible supervisors.
- (iii) However, the unit shall invite the student to present the synopsis to the School Higher Degrees and Research Committee before a Committee is finally identified.
- (iv) The student and supervisor(s) draw up a study plan and sign a contract.
- (v) The student and the supervisors jointly decide on the composition of a Doctoral Committee consisting of three to five people, including the supervisor/s, the Chair of the Department, the Deputy Dean for Research as Chairperson of the Doctoral Committee and at least one other person from the industry (where appropriate).
- (vi) The doctoral student develops a full proposal within the first year of studies: this forms the basis for final registration: the proposal is assessed by the student's Doctoral Committee.
- (vii) The student should be acquainted with the guidelines for research

and other related documents, including this handbook. Most of these documents can be purchased from the DRGT or downloaded from the DRGT website. In addition, the University Library offers document services and also subscribes to a number of online research journals. The details about the online services for researchers, offered by the University Library can be accessed from the University Library website.

(viii) Reporting Requirements for the Doctoral Candidates:

- (a) Submission of six-monthly progress reports to the supervisor and Doctoral Committee;
- (b) Conference attendance;
- (c) List of Published papers;
- (d) List of Publishable papers (manuscripts);
- (e) Attendance of doctoral seminars;
- (f) Attendance of Doctoral thesis presentations;
- (g) Attendance of doctoral training workshops;
- (h) Completion of cross-cutting courses;
- (i) Seeking of ethical approval of doctoral project (where applicable);
- (j) Thesis Submission requirements:
  - (a) Fill the format for and submission of letter of Intent to submit to the Principal through the Supervisors six months prior to submission;
  - (b) Submission of four copies of thesis report in spiral binding and approved format to the Principal or submission of a completed thesis as a collection of published chapters.

(ix) Doctoral Student's Examination Process:

- a) Viva-voce as a Public Defence;
  - Outcome of the Viva-voce examination:
  - Passed without corrections
  - Passed with minor corrections
- b) Failed, requires re-submission and Viva.
- c) Date of Award of Doctoral Degree.

## **8.4 Upgrading Masters Registration to PhD**

- i. Upgrading Masters Registration to PhD, in case a candidate wishes to upgrade his registration from Masters to PhD, an application should be set to the Directorate of Research and Graduate Training via the College Board of Graduate Training and Research. Such an application must be accompanied by a brief supporting statement from the supervisor and must be made; (a) not less than 12 months after the effective date of registration and (b) not less than 12 months before the candidate wishes to submit his PhD thesis.
- ii. In addition, the College Board of Graduate Training and Research shall recommend upgrading only if:
  - a) The candidate satisfies internal examiners appointed by the board, in subjects specified by the Board, that his/her knowledge and understanding in the field of his studies and related fields are at a level commensurate with the PhD;
  - b) The Original outline of research, or an amended version of such an outline, lends itself to PhD level research.

## **9.0 NOTES FOR THE GUIDANCE OF EXAMINERS OF HIGHER DEGREE THESES/DISSERTATIONS**

These guidelines were approved by Senate on 19th March, 2007

### **9.1 Introduction**

The Board of Research and Graduate Training requires a comprehensive and critical review of the thesis/dissertation. In the course of doing this, the examiner should draw the attention of the Committee to such circumstances and factors as he/she feels the Committee should be made aware of. The examiner's report should be compiled using the following general format, where applicable:

#### **9.1.1 Background**

This section must assess the theoretical and conceptual background, objectives, rationale and clarity and precision of presentation.

#### **9.1.2 Problem statement**

Does the candidate clearly state the nature of the problem and its magnitude or extent? How concise is it? Is there reference to the issues detected in the background that either needs practical or theoretical sense? **(Maximum score 5)**

### **9.1.3 Research Methods**

Indicate whether the candidate has used an appropriate approach to investigate the subject and has not neglected other methods which could have yielded better results. Assess for adequacy and relevance of the data collected and the appropriateness of the tools and instruments, including data analytical procedures/techniques. Assess the appropriateness of hypothesis, questions and relevant assumptions. **(Maximum score: 20)**

### **9.1.4 Results**

Evaluate for the adequacy of data analysis, effectiveness of results presentation, accuracy, transparency, contributions from the study. **(Maximum score 15)**

### **9.1.5 Discussions**

Does the candidate discuss his/her own findings and relate them to other researched work? Does the writer show honesty and transparency in discussing the limitations of his/her study? **(Maximum score 10).**

### **9.1.6 Conclusions and recommendations**

Does the conclusion and recommendation emerge from the candidate's own work? Does the study stimulate further inquiry or scholarship? **(Maximum score 10)**

### **9.1.7 Originality of Contribution**

Please, state clearly whether the thesis makes an original contribution to the existing fund of knowledge. For a PhD/doctoral degree the contribution must be significant, worthy of, for example, 3-5 papers, if the subject is scientific. To qualify for a doctorate, there should be strong evidence that the subject is thoroughly understood, with some original thinking. **(Maximum score 15)**

### **9.1.8 Literature Citation**

Has the candidate made use of available and relevant literature? Does this adequately describe the background, and is she/he abreast of the current literature? Has the candidate exercised due diligence in scholarly bibliographic write-up? **(Maximum score 10).**

### **9.1.9 Overall presentation final write-up**

Indicate whether the candidate has presented the data in a logical flow and concise manner; for example, with cross-references to other sections, and with specific objectives following through appropriate methods leading to the results and discussion of each objective, thus ensuring that conclusions can be logically drawn from the information gathered. Is the abstract informative or not? Does the presentation provide the favour of scholarly and professional output? (Maximum score 10).

### **9.1.10 Corrections or Revision**

Indicate exactly what corrections are necessary or whether the thesis needs to be revised. Occasionally theses require extensive corrections or revision. If this is the case, please set out the corrections and paragraphs affected. Whether minor corrections are required, please indicate them (in ink on the thesis or in your report).

### **9.1.11 Final Evaluation**

Please state frankly and without ambiguity whether the thesis:

- i. Is worthy of the degree award in the present form.
- ii. Is worthy of the degree award after effecting minor corrections indicated in Section 1.10, to the satisfaction of the Internal Examiner.
- iii. Must be revised according to your suggestions in Section 1.10 and re-submitted for examination.
- iv. Is not worthy of the award.

### **9.1.12 Thesis/ Dissertation Grading**

Thesis / Dissertation Grading follows the universal grading system of the University.

- a) Excellent (from 90% and above).
- b) Very good (80% to 89%)
- c) Good but within the category 1.11 (b) (70-79%)
- d) Fair but can be revised (category 1.11(c) (60-69%)
- e) Fail (<60%)
- f) A Masters candidate in category (e) will be permitted to re-submit only twice.
- g) A PhD thesis recommended for re-writing and re-examination by any of the examiners will be given two chances. A re-submission that FAILS the

third attempt will be REJECTED and the candidate discontinued from the PhD programme.

## **9.2 Viva Voce (marked out of 100%)**

Please note that an oral examination is compulsory for Master students and a Public defence for PhD. Examiners shall identify the areas, to be covered during the oral examination and the kind of questions to be discussed in the examination. The panel shall examine the knowledge base on the subject matter or the research.

### **9.2.1 Procedure of the Viva-Voce Examination**

The Dean or Deputy Dean is the Chairperson of the panel (unless stated otherwise) and convenes the Viva Voce. With the exception of Masters Degrees, the viva voce process is a public defence for PhD candidates, whereby the University Community, other than the Viva-Voce Panel, may ask questions. The following procedures shall be followed:

- i) Notice of the viva-voce is given to all the seven or so panel members including copies of the thesis for examination (two weeks in advance), for them to read and make comments.
- ii) The Chair guides the process of the examination.
- iii) Four members of the panel, including the convener, the opponent and the public, should form a quorum.
- iv) The Doctoral candidate is accorded adequate time to present his/her work followed by discussions. An exhaustive face to face intellectual discourse and engagement between the opponent or discussant and Candidate is followed by general questions and discussions by the other members of the panel and the public. This may run for about 2 to 3 hours for PhD and one hour for Masters.
- v) The Viva Voce examination for Masters Students is a closed one conducted by the appointed panel only.
- vi) The panel will evaluate the student's performance and report back to the meeting to provide a verdict.
- vii) The Department should make available, all the relevant facilities to the candidate for the Public Defence. They (the panel) evaluate the candidate's presentation, the quality of the thesis/dissertation as well as the candidate's response questions.
- viii) The assessment then follows laid down criteria where Panellists evaluate the presentation, the project/thesis/dissertation and the response to their questions and give a percentage mark.

- ix) Candidates are finally assessed on a 10 (ten) point system and a pass is equal to 6 points (60%).
- x) If a candidate is assessed and found to be on borderline, the panel takes a decision and makes an appropriate recommendation.
- xi) In case of revision/corrections being required, one of the internal examiners should be satisfied with the completeness of the exercise.
- xii) In case of failure the candidate may be advised to re-do (*only two times*) the work and failure in the third attempt a student is discontinued from the degree programme.
- xiii) The report of the viva voce examination includes:
  - a) The membership of the viva voce panel
  - b) Recommendation of the panel and is signed by all panellists that attended the viva voce.
  - c) The details of the corrections identified by the Examiners and **Viva Voce panel will** be communicated in writing to the candidate to make corrections on.
- xiv) With the exception of re-submission cases, candidates are expected to make corrections within a period of Three Months ONLY. Failure to comply without due explanations, will mean that the Candidate has failed hence; such a candidate will not graduate.
- xv) Examiner's reports should be sent directly to the Principal of the College, not later than three months of receipt of thesis.

### 9.2.2 Award of Degrees

A letter of award of the degree is processed by the DRGT only when a candidate has made corrections on the report/thesis/dissertation as recommended by the viva-voce panel and a letter from the Overseer/Supervisor/Internal examiner who was entrusted by the viva voce panel to oversee the corrections. Three copies of thesis/dissertation in acceptable binding with a hard black cover, endorsed by the student and supervisor(s) must be presented to DRGT. The examiner writes to the Director DRGT indicating that he/she is satisfied with the corrections, through the Dean. Viva voce examination report shall be made available to the DRGT before the award letter is prepared.

**Note:** Only those candidates who have received or have their award letters in preparation are eligible for inclusion in the book of graduating students and to attend the graduation ceremony.

### **9.3 Viva Voce (with reference to Doctoral Students)**

The Doctoral Committee shall form part of the Viva Voce committee with two to five additional independent members (From firms, Industries, Retired Academicians, Relevant Ministry etc.). However, the presentation will be open to the public although the final assessment is by the committee members.

#### **Note:**

- i) The Dean or Deputy Dean shall invite the public to the presentation and chair the meeting at which the public presentation occurs.
- ii) As Chair, he/she sets the academic scene by introducing the candidate and opponent/Discussant.
- iii) Panellists (plus the opponent) shall have received the draft thesis/dissertation at least three weeks before the public presentation.
- iv) The role of the opponent is to engage the PhD candidate in a very constructive scholarly manner and discuss the merits and de-merits of the entire piece of work (chapter by chapter). Provide a scientific and scholarly appraisal and critic of the candidates work.
- v) The opponent is also expected to ask pertinent questions in respect to the thesis/dissertation.
- vi) The public may ask the PhD student some questions but shall not be permitted to determine if he/she passes or not.

### **9.4 Other Matters**

A student who feels dissatisfied with his/her committee may, given that they have good reasons consult their Dean or, in serious cases, the Director of DRGT. The public defence shall be conducted in a friendly academic environment

## **10.0 SUPERVISION (SUPERVISOR/STUDENT/DRGT)**

### **10.1 Role of a Graduate Student**

As a community of scholars, graduate students shall:

- a) Seek detailed information about programme content, admission procedures, selection criteria, and financial and other resources at all Universities to which they seek admission
- b) Conduct themselves in a mature, professional, and civil manner in all interactions with Directorate of Research and Graduate Training Admission staff, graduate advisors, and admission committees throughout the application and admission

process.

- c) Recognize that the Directorate of Research and Graduate Training and graduate programmes have distinct roles and procedures in the graduate admission process.
- d) Recognize that, at The University, each graduate programme has its own set of admission requirements and selection criteria.
- e) Comply with requests for information in a timely way, and respond to institutional deadlines when required to do so.
- f) Accept no more than one offer of admission and notify the DRGT of this decision in a timely manner. The acceptance of an admission slot signifies a firm intention to matriculate at the university and to undertake work associated with the commitment from the University.
- g) in unusual circumstances, when students find that they cannot complete these commitments, they should notify the Directorate of Research and Graduate Training and the appropriate academic unit immediately.
- h) Conduct themselves in a mature, professional, and civil manner in all interactions with staff and fellow colleagues in the community.
- i) Recognize that the academic Supervisor/advisor provides the intellectual and instructional environment in which the student conducts research, and may, through access to teaching and research funds, also provide the student with financial support
- j) Recognize that Academic staff has broad discretion to allocate their own time and other resources in ways which are academically productive.
- k) Recognize that the research supervisor /advisor is responsible for monitoring the accuracy, validity, and integrity of the student's research because careful, well-conceived research reflects favourably on the student, the School advisor, and the University
- l) Exercise the highest integrity in taking examinations and in collecting, analysing, and presenting research data.
- m) Acknowledge the contributions of members of the research team to the student's work in all publications and conference presentations.
- n) Maintain the confidentiality of the academic advisor's professional activities and research prior to presentation or publication.
- o) Take primary responsibility to inform themselves of regulations and policies governing their graduate studies.
- p) Devote an appropriate amount of time and energy toward achieving academic excellence and earning the advanced degree.

- q) Be aware of time constraints and other demands imposed on members of the academic staff and programme staff.
- r) Take the initiative in asking questions that promote the understanding of the academic subjects and advance the field.
- s) Communicate regularly with academic advisors, especially in matters related to research and progress within the graduate programme.

## **10.2 Role of Lecturers and supervisors**

The Lecturers and Supervisors of Graduate Students shall:

1. Create in the classroom, lab, or studio supervisory relations with students that stimulate and encourage students to learn creatively and independently
2. Familiarize themselves with the policies that affect their graduate students.
3. Provide clear maps of the requirements each student must meet, including coursework, research tools, examinations, and thesis or dissertation; and delineate the amount of time expected to complete each step.
4. Evaluate student progress and performance in regular and informative ways, consistent with the practice of the field
5. Help students to develop artistic, interpretive, writing, verbal, and quantitative skills, when appropriate, in accordance with the expectations of the discipline
6. Assist graduate students to develop grant writing skills, where appropriate
7. Take reasonable measures to ensure that each graduate student initiates thesis or dissertation research in a timely fashion. When appropriate, encourage graduate students to participate in professional meetings or perform or display their work in public settings
8. Create an ethos of collegiality so that learning takes place within a community of scholars
9. Counsel students on career and employment opportunities.

## **10.3 Criteria for Selection and Appointment of Supervisors**

These include the following:

- (i) The supervisor has a qualification in a relevant field of study higher than, or at least at the same level, as, the exit level of the Postgraduate programme he/she is supervising.
- (ii) The supervisor has an appropriate research track record, as well as experience, expertise and peer recognition in the field of study.

- (iii) In the case of inexperience or new supervisors, there is on-going staff development and support and joint supervision is explored as an option.
- (iv) Database and profile of proposed supervisors (CV's details of supervisors' experience, details of academic/research standing/stature shall be kept by the office of the Principal.

#### **10.4 Graduate Student Selection**

- (i) The selection process ideally shall match the knowledge, interests and skills of applicants with the requirements and characteristics of graduate programmes and the research and training interests of their Colleges /Schools.
- (ii) The ultimate goal of the admissions process is to enrol top quality graduate students who can complete the programme and contribute to research and professional achievement.
- (iii) Policies and procedures should facilitate, not impede, reaching this goal. University graduate admission baseline standards, including a bachelor's degree with minimum grade point average, standardized tests and language requirements, and administrative procedures, including requirements for School admissions committees and record-keeping, need to be clearly articulated and widely disseminated.
- (iv) Timely and complete communication with applicants and responsible action on the part of Directorate of Research and Graduate Training staff, departmental graduate advisors and admission committee, and student applicants shall be made via different media (e.g. internet, notice boards etc.).

#### **10.5 Role of Directorate of Research and Graduate Training**

The Directorate of Research and Graduate Training, as the only office on campus with the authority to provide official admission offers to new graduate students, has the responsibility to ensure that the admission process is completed fairly on behalf of the prospective graduate student. As such, it is the responsibility of the Directorate of Research and Graduate Training to:

- i. Approve Departmental and College admission procedures including requirements for admission committees and record-keeping. These procedures should be consistent with University governance and subject to review by appropriate University governance bodies.
- ii. Provide all students with accurate information about the costs they will incur during the course of their graduate study
- iii. Receive information about applicants in confidence and respect the private nature of these data, consistent with existing international, regional and national rules and

regulations.

- iv. Accept and deem official only those transcripts issued by the Academic Registrar's office of the institution(s) or other agencies the candidate currently attends or has attended.
- v. Inform candidates promptly and in writing if they are clearly inadmissible.
- vi. Review any offers of admission when candidates have not submitted an application, turned in required credentials, nor met admission standards established by the University.
- vii. Provide, in a timely manner, an official offer of admission that includes all terms and conditions of the offer.
- viii. Establish and publicize a minimum set of documents required for consideration of any applicants.
- ix. Inform students promptly about new or changed admission requirements, especially those which may adversely affect applicants. Ensure that applicants are required to meet only those admission criteria in force at the time the application was received.
- x. Develop and maintain web-based inquiry, application, status and test score transmittal system and provide appropriate system training.
- xi. Encourage applicants to fulfil their responsibilities in the admission process, including: a) complying with requests for information in a timely way, and b) responding to institutional deadlines when required to do so.
- xii. Monitor the progress of graduate students, supervisors and examiners.

## **10.6 Graduate Admission Committees**

The goal of graduate admission at the University, programme, or departmental level is to enrol top quality graduate students who can complete the programme and contribute to teaching, research and professional achievement. It is the responsibility of Deans, Advisors and Admission Committees to:

- i. Establish, maintain, and publicize appropriate admission and selection criteria and ensure that all stated admission criteria are used in admission decisions.
- ii. Appropriately carry out any tasks related to admission decisions, including timely communication with the Directorate of Research and Graduate Training about recommendations for admission and funding opportunities.
- iii. Ensure that recruitment and admission policies are consistent with stated University goals of maintaining and improving equity for all applicants and quality of graduate programmes and increasing student diversity.
- iv. Utilize available and appropriate websites to communicate graduate

programme information to prospective students and to publicize admission processes and selection criteria.

- v. Attempt to match the knowledge, interests and skills of applicants with the requirements, characteristics and capacity of graduate programs and the research and training interests of their faculty.
- vi. Periodically assess the effectiveness of admission procedures and appropriateness of admission criteria.
- vii. Receive information about applicants in confidence and respect the private nature of these data, consistent with national and local statutes.
- viii. Retain confidentiality in Unit admission and financial support deliberations.
- ix. Process applications and respond to inquiries in a timely manner, with attention to stated and relevant deadlines.

## **11.0 EXTERNAL EXAMINERS**

### **11.1 The role of External Examiners**

The principle roles of external examiners consist of the following:

- a) To verify that standards are appropriate for of each unit of study and to provide independent impartial comments on standards set and student achievement of those the standards. The capacity to fulfil this is based on knowledge of standards set and achieved in other higher education institutions, of subject benchmark statements and, where applicable, of the expectations of Professional and Statutory Bodies or co-awarding bodies.
- b) To verify that the process of determining assessment outcomes for individual students is fair, fairly operated, and in line with the regulations of the University.

### **11.2 Specific Roles**

Arising out of the principle role of external examiners the specific obligations and responsibilities of external examiners are:

- 1. Make judgments independent of the internal examiners
- 2. Have powers to recommend to the School Board the adjustment of marks for individual or all students examined
- 3. Have access to the assessed parts of the programme (student scripts and coursework)
- 4. Determine the method and extent of sampling of students' work to scrutinize

5. May recommend to the Faculty Board for the remarking of a student's script
6. Select students for and determine the nature of VIVA VOCE
7. Ascertain cases of suspected cheating
8. Endorse mark and pass lists before they are published
9. The external Examiner should in specific cases assess the extent to which medical and other extenuation circumstances were taken into account.
10. Review and critique students' work (theses/dissertations) based on established criteria and recommend appropriate actions.

### **11.3 Nominations and Appointments**

An external examiner should have enough recent examining and research experience, including external examining experience, to assure the School Board and Senate of his/her competence in assessment and understanding of academic standards in a broad higher education context.

### **11.4 Qualities of External Examiner**

- (i) The external examiner shall be a critical friend so as to offer constructive comments, criticism and suggestions for enhancement in the area of assessment practice.
- (ii) An External Examiner shall be an Academic Professor or Senior Lecturer or practising professional at the rank of consultant or the equivalent.
- (iii) The process of nomination and appointment of external examiners shall be as follows:
  - a) The Head of the relevant Department, through informal contacts, establishes willingness and availability of nominee to serve as External Examiner and solicits his/her Curriculum Vitae.
  - b) The academic members of the Department shall study the Curriculum Vitae to satisfy themselves that the nominee has the necessary expertise, experience and seniority to serve as External Examiner.
  - c) External Examiners for Undergraduate Programmes shall be appointed by the University Senate or the Deputy Vice-Chancellor (Academic Affairs) on the recommendation of the respective College Academic Board.
  - d) External Examiners for Graduate Programmes shall be appointed by the College Principal or the Deputy Vice-Chancellor (Academic Affairs) on the recommendation of the respective College Graduate Studies

and Research Committee.

- e) External Examiners shall be appointed to serve for a period of three years with a possible one year extension.
- f) Thereafter the same External Examiner cannot be re-appointed until a period of one year has elapsed.
- g) A former member of the teaching staff of the University will not be eligible for appointment until a period of three years has elapsed.
- h) An External Examiner will not be appointed from a Department in which a member of staff of the relevant Department at Makerere University is serving as an External Examiner or teaching.

### **11.5 Status of External Examiners**

External Examiners shall be Ex-Officio members of the relevant Examiners' Boards.

### **11.6 Information to be availed to the External Examiners**

The host Department will send to the newly appointed External Examiner the following information:

- i. Programme and course aims, objectives and syllabuses
- ii. Copies of past examination papers
- iii. Methods of assessment/Marking Scheme
- iv. Ways in which marks of individual parts of the examination are aggregated, averaged to produce the final result
- v. The method by which the pass mark (cut-off point) at and above which students are pronounced passed and below which they are declared to have failed. The two alternatives are:
  - a. Absolute or Criterion Reference Test where the pass mark is set and students scoring below that fail regardless of the number.
  - b. Relative or Norm Reference Test method where the pass mark can vary depending on students' performance.
- vi. Proposed dates of departmental and faculty examiners' board meetings
- vii. The External Examiner should be given a face to face briefing
- viii. The route by which External Examiners can raise matters that are important and of a sensitive nature is by making a confidential report to the Deputy Vice Chancellor (Academic Affairs)

### **11.7 Facilitating and Hosting**

The following shall be done to facilitate and streamline the work of External Examiners:

- a) Air ticket and in country transportation arrangements should be made well in advance.
- b) The External Examiners should be met by University support staff whose role is to collect and deliver External Examiners to their prearranged accommodation.
- c) Per Diem or out of pocket allowance should be paid to External Examiners on arrival.
- d) Any refunds for transit expenses should be processed in a timely fashion and paid to External Examiners before they depart for home.
- e) External Examiners should be given the scripts to look at upon arrival at their accommodation.
- f) Payment of examiners' fees is authorized once the reports are received.

### **11.8. Moderation of Examination Papers**

The External Examiner shall review, moderate and approve all examination papers. Therefore:

- a) Draft examination papers should be sent to the External Examiners well in advance allowing enough time for them to propose any modifications they feel necessary
- b) Draft examination papers should be sent with marking schemes or model answers.
- c) External Examiners may be invited to propose one or more questions to be included in the examination papers.
- d) Dissertations where appropriate will be sent to the External Examiner at least a month in advance.
- e) Care must be taken to safeguard the examination against leakage and dissertations against loss
- f) Departments should always carry out internal moderation of examination questions.

### **11.9. Access to written scripts**

External Examiners will be given unfettered access to written scripts and coursework that contribute to the final assessment, namely:

- i. All marked examination scripts
- ii. All evaluated coursework materials

### **11.10 Participation in Oral and Clinical Examinations**

External Examiners are required to participate in oral and clinical examination as follows:

- a) Where only a proportion of students are subjected to oral examination, the criteria for selection of those students should be agreed upon with the External Examiner in advance.
- b) Be involved in the selection of content of the examination, in the marking and making final judgements
- c) The External Examiner will be allowed to meet with the students examined to assess their opinion on the conduct of the examination process, should the need arise.

### **11.11 Participation in Examination Board Meetings**

Aware that most of the courses in the first semester are prerequisites for most of the academic Programmes, External Examiners will be invited during the second semester examination season and the following will apply:

- i. He/she will attend the main Examiners' Board meetings at which final examination results are reviewed and approved before they are published.
- ii. With regard to the conduct of the Examiners' Board meeting a formal minute must be kept noting the following:
  - a. Members present
  - b. The final decisions taken
  - c. In specific cases the extent to which medical and other extenuating circumstances were taken into account
  - d. Any general comments made by Internal and External Examiners

### **11.12 External Examiners' Reports**

External Examiners must annually make a report on the student assessment process to the Deputy Vice-Chancellor (Academic Affairs) with a copy to the respective Schools and Departments. The report must include answers which, to some extent, will act as indicators as to whether the students received the knowledge, skills, values expected to be provided by the respective courses. The external examiner's report shall include the following:

- i. The Curriculum Design and its relevance
- ii. Comparability of the program with those offered in other Institutions of Higher Education, internationally.
- iii. Variability in the assessment process
- iv. Academic standards of awards
- v. Academic standards of student achievement.

In that respect the External Examiner's report will include answers to the following questions:

- a) Were the structure, content and methods of assessment used appropriate and adequate?
- b) How satisfactory was the administration of the examination process?
- c) Was the assessment process appropriate to the course (or subject); the level students (1st, 2nd or third year or postgraduate); and competencies of interest?
- d) Were the examinations sufficiently comprehensive with regard to the programme or course being examined?
- e) Were the materials and facilities used for practicals and clinical examinations appropriate and adequate?
- f) Was the external examiner given adequate access to examination scripts of all borderline candidates and coursework for forming a reasonable opinion?
- g) Was the internal marking appropriate, fair and consistent?
- h) Was the Examiners' Board meeting conducted in an impartial and fair manner?
- i) Was the programme structure, content and objectives well defined and appropriate to the subject matter and the level at which it was taught?
- j) Was the quality of teaching and methods used, as revealed by the examination, effective and appropriate?
- k) Was the general standard of performance of the students satisfactory and comparable to that of similar institutions?
- l) Was the failure rate acceptable or too high?
- m) Was the distribution of honours comparable to that of other institutions?

### **11.13 Routing of the External Examiners' Reports**

- a) On completion of the exercise, the External Examiner should submit his/her

report directly to the Principal of the College, and copied to the respective Schools and Departments. The Academic Registrar will submit the report to the Quality Assurance Committee for consideration and action.

- b) The Quality Assurance Unit should ensure that the respective Faculties and Departments attend to the concerns/suggestions of the External Examiners.

It is important to note that External Examiners' reports are part of the University's annual quality assurance audit system.

#### **11.14 Other Obligations of External Examiners**

External Examiners may be consulted on possible review of existing Programmes and the process of external examination for purposes of improving the assessment process.

#### **11.15 Termination of Appointments**

The appointment of an external examiner may be terminated by the School Board if the Board judges that the responsibilities of the appointment have not been or cannot be fulfilled in the manner or to the standard which the University requires. Reasons for termination may include, but not limited to:

- i. Failure to provide reports on the assessment process required by the University;
- ii. In the case of an examiner appointed to an Award and Progression Examination Board, inability to attend two successive such Boards;
- iii. A change in the External Examiner's circumstances which brings about potential conflicts of interest which might jeopardize objectivity.
- iv. Persistent refusal to work within the University's academic regulations;
- v. Conduct which in the case of an employee of the University, would be the subject of disciplinary action.

#### **11.16 Termination Procedure**

- a) When circumstances arise which are considered as possible grounds for termination of an External Examiner's contract, the Chair of the Board of Examiners will notify the Deputy Vice-Chancellor (Academic Affairs) of the relevant details. The Deputy Vice-Chancellor (Academic Affairs) will write formally to the examiner to inform him/her that the termination is being considered and to offer the opportunity for the examiner to explain the circumstances and request that the termination is not be cancelled.
- b) The Chair of the Faculty/ School/ Institute Quality Assurance Committee,

acting on behalf of the Faculty Board, will take the final decision regarding the termination; the External Examiner will be notified in writing of this decision. The Chair of the Quality Assurance Committee will inform the Faculty Board of the circumstances of the case and of its outcome.

## **12.0 ETHICAL ISSUES**

### **12.1 Professional Standards for Research**

#### **(i) Honesty**

Researchers shall be honest in respect of their own actions and in their responses to the actions of others. All researchers shall refrain from plagiarism, infringement of intellectual property rights, and the fabrication of results.

#### **(ii) Openness**

Researchers shall be open in discussing their work with other researchers and the public. Once the results have been published, researchers should make available relevant data and materials on request. Researchers shall seek the advice of the IP Office about protecting intellectual property rights.

#### **(iii) Accountability**

- a) Researchers must ensure that the research they undertake is;
- b) Consistent with the terms and conditions as defined by the funding body and/or covered by agreements between the University and the funding body;
- c) University research agenda;
- d) needs of the country;
- e) both timely and accurate and;
- f) Conditions relating to publication and the ownership of intellectual property are met.

#### **(iv) Conflict of interest**

Researchers shall be honest about conflict of interest issues throughout the research process especially when reviewing the work of others.

#### **(v) Responsibilities**

- a. The University Board for Research shall be the primary body where issues related to Research Governance, including this Code, are to be considered.
- b. Units shall have a responsibility to ensure a climate of good research practice in their centers.
- c. Researchers are obliged to the Research Code.

#### **(vi) Appropriateness of research Funders**

The University reserves the right to withhold permission for its students and staff to enter into research contracts with certain funding bodies.

**(vii) Ethical approval**

There shall be an ethical committee. Ethical approval must be obtained for all research that falls within the scope of the Ethics and Research Committee.

**(viii) Misconduct**

Research misconduct is a disciplinary offence for staff and students. Research misconduct includes:

- a) Fabrication or falsification of results
- b) Plagiarism, misquotation or misappropriation of the work of others including the unethical use of material provided for review or assessment. Plagiarism is expressing other peoples published expressions or work as one's own, without acknowledging the source. Plagiarism is not tolerated at Makerere University and leads to discontinuation from the degree Programme.
- c) In addition, cheating of any sort is unacceptable and must be reported. Students should always first talk with their department head or someone in the institute/ school leadership if they suspect there is cheating.
- d) Any other research conduct which has the effect of bringing the name of the University into disrepute.
- e) Disciplinary action on the grounds of research misconduct shall be channeled to the Board of Ethical Committee.

**(ix) Non-Compliance with Copyright Issues**

Graduate students shall properly acknowledge copyrighted material used in his/her thesis/dissertation. Where permission is required for the inclusion copyrighted material, such permission must first be secured before the input is utilized. Failure to do this amounts to plagiarism and is unacceptable in the academic community.

**12.2 Conflict of Interests and Code of Conduct**

*Romantic and/or sexual* relationships between staff and students, or supervisors can become problematic should therefore be discouraged. Such relationships have the potential for adverse consequences, including resulting into conflict of interest or the filing of charges of sexual harassment. Given the fundamentally asymmetric nature of the relationship where one party has the power to give grades, thesis supervision /advice, evaluations, recommendations, promotions, or performance evaluations, the apparent consensual nature of the relationship is inherently suspect.

The relationship between the supervisor and his/her student may sometimes develop into intimate personal relationships. Where such a situation arises, the

supervisor is likely to take biased or impartial decisions regarding the research of the graduate student. In a similar way, impartial decisions regarding the supervision of a close relative (a parent, sibling) are not allowed. Therefore, close relative or a partner of the student is not eligible as either main or co-supervisor. In either case, another supervisor shall be appointed by the School Higher Degrees Committee.

### **12.3 School Ethics Committee**

Each School shall have an Ethics Committee. The School Ethics Committee shall consider gender related issues of supervision to facilitate a smooth process of supervision of female graduate students.

The Committee should also ensure that the research activities are without irregularities. Ethical issues of supervision and examination irregularities must be addressed in time. Students must desist from plagiarising material related to their research and strictly observe copyright and other issues. Where permission is required from a publishing body or with regard to research carried involving human and animal objects, the necessary certificates or other related documents must first be obtained from the relevant authorities.

All research involving the use of sensitive personal data to which individuals have not been able to give their consent as well as research that may have physical or psychological impact must be reviewed by an Ethics Committee.

Applications for ethical review should be submitted by the school ethics committee for review. The main responsibility for ensuring ethical review of the research of doctoral students lies with their supervisors. The Ethical review must have been completed and approval granted before research may begin.

It is important for all researchers to know when permits are required or when projects must be submitted for review to the ethics committee, including on animal research.

### **12.4 Records and Archives**

It is very important and a requirement that records must be maintained and rules set for how they must be stored. This is important to enable verification of results and that there has been no misconduct and also so that other researchers may use the material for their own research.

### **12.5 Conflict Resolution**

A student is expected to work very closely with his/her supervisor(s) during the duration of the programme. At times a conflict situation may arise between a supervisor and student. This could arise from issues related to personal matters or to disappointment in level of guidance provided or over performance of the other, or

even in relation to purely scientific disagreement.

It is primarily up to the parties involved to sort out the problems and only after this has failed should they resort to a third party. The Chair of the Department is in charge of the academic/professional activities and is well placed to take action. The aggrieved party should put their complaint/s to him/her in writing at the earliest opportunity.

The Chair of the Department normally discusses the matter with the parties involved, and then writes to the parties giving an opinion on the situation and requesting a written response from each. If a satisfactory resolution is not reached, the case shall then be referred to the Deputy Dean in charge of Graduate Studies and Research, who will appoint a neutral committee of at least three people to make a final ruling on the matter.

In more serious conflicts, like sexual harassment, etc., there are University Guidelines for handling such conflicts (See Sexual Harassment Policy) if the conflict has its roots in profound personality clashes the alternative of considering change of supervision is explored. This however could also result in change of research project/area.

### **12.5.1 Termination of Contract/Doctoral Programme**

There are several circumstances under which the contract between the supervisor and supervisee may be terminated. Some of the circumstances that may result in termination of the supervision contract are outlined below:

#### **i. Sexual Harassment and other Harassments**

Sexual harassment is defined as unwelcome behaviour of a sexual nature or other unwelcome behaviour based on gender that violates the integrity of a student in his or her university studies. Examples of sexual harassment include gender insensitive comments, allusions, touching (groping) and suggestions or demands for sexual services. The University does not tolerate actions that are perceived to be sexual harassment as outlined in the Sexual Harassment Policy.

Instances where a doctoral student and a supervisor becoming romantically involved require that the supervision contract be terminated immediately and another supervisor identified and appointed. Anyone experiencing sexual harassment or other harassments should contact their respective Head of Department or an alternate nearest superior or the University official in charge of gender equality issues.

**ii. Lack of Seriousness on the Part of the Student**

In some cases, a student may lack motivation or drive for the type of project, or even have serious deficiencies related to the research area. Sometimes the student may come to the realisation that the type of project is not suitable for him/her. In such cases, a change of supervisor and project may motivate the student to continue with the doctoral studies.

**iii. Failure of the supervisor to carry out his/her role**

A supervisor may be given another assignment within the University; or move to another university or even go abroad for a considerable period of time, or take a job in industry or in the public sector and is not able to continue supervising the student. Such situations may require change of supervisor. In such circumstances, the Head of Department in collaboration with the Doctoral Committee proposes a new supervisor to the College Graduate Studies and Research Committee. It is the responsibility of the Head of Department and the students' Doctoral Committee to make sure that this alternative is available. A similar procedure is followed in the case of a co-supervisor

**iv. Failure to Supervise due to Natural Causes**

It is known from experience that doctoral research supervision is usually brought to a successful conclusion by the initially appointed supervisor/s. However, there are circumstances when the supervisor becomes indisposed (e.g. by illness) for a considerable period of time, or dies before the doctoral programme is completed. In that case, a replacement or change of research project would be in order.

**v. Non-Compliance with the Study Plan**

- vi. If there is a serious deviation from the study plan by the student and the student and the supervisor cannot agree on the new direction of the research, then a change of supervisor may be considered.
- vii. The student/supervisor who decides to terminate the contract should write to the Deputy Dean, College Graduate Studies and Research Committee, copied to the Director, DRGT, indicating clearly the circumstances and reasons for their desire to terminate the contract. In case there are serious issues that require a student to change supervisor/s rather than drop out of the programme, this should be indicated clearly so that the Department may find the student an alternative supervisor/s. Any drastic change in the research project from the original proposal should be notified to the School and of Graduate Studies

## **13.0 ACADEMIC APPEALS AND COMPLAINTS SYSTEMS**

### **13.1 Policy on Academic Appeals**

#### **13.1.1 General Principles**

- a) Students will have full opportunity to raise individually or collectively matters of proper concern to them without fear of disadvantage and in the knowledge that privacy and confidentiality will be respected.
- b) The rights of staff members and students should be taken into account and protected when handling appeals. There should be a policy on protection of information/data regarding appeals.
- c) The Academic Appeals procedure forms part of the Institution's overall frame work for quality assurance. There are structures to handle students' appeals at every College/school. There should be staff/students' liaison system/official at every College/school. The Dean of students, the health services, academic units should be part of the academic support system for appeals.
- d) The University will ensure that its procedures are fair and that the decisions made are reasonable and have regard to any applicable law.
- e) The University will address student complaints and appeals in a timely manner, using simple and transparent procedures. Informal resolution should be an option at all stages of the complaints procedure which should operate, in the first instance, at the level at which the matter arose.
- f) Information on complaints and appeals procedures will be published, accurate, complete, clearly presented, readily accessible and issued to students and staff.
- g) Sources of impartial help, advice, guidance, and support will be advertised widely within the university.
- h) The complaints and appeals procedures should identify the persons or bodies from whom authoritative guidance may be sought on the applicability and operation of the procedures.
- i) Those responding to investigating or adjudicating upon complaints or appeals must do so impartially and must not act in any matter in which they have a material interest or in which any potential conflict of interest might arise.
- j) A complainant or appellant should be entitled to be accompanied at all stages of the complaints or appeals process by a person of his/her

choice.

- k) The documentation should indicate what further internal procedures, if any, are open to a student dissatisfied with the response to a complaint or outcome of an appeal.
- l) The University will ensure that where a complaint or appeal is upheld appropriate remedial action is implemented.
- m) The University will have in place effective arrangements for the regular monitoring, evaluation, and review of complaints and appeals.
- n) The academic appeals system should be viewed as mediating arbitration, monitoring process which should go beyond handling the current examination malpractice.
- o) The University will keep their monitoring, evaluation and review arrangements under scrutiny, taking into account good practice. There should be tools or instruments for collecting complaints from students.

### **13.1.2 Scope of the Academic Appeals and Complaints System**

The mechanism to handle appeals may be categorised as follows:

- a) Staff/student relations
- b) Teaching, supervision and delivery
- c) Assessment
- d) Procedures of appeals/complaints
- e) Protection of due process
- f) Sanctions
- g) Rewards
- h) Monitoring

If a student has reason to believe that an academic decision reached by the University is incorrect or has been based on incorrect or partial information, he/she has a right to appeal against that decision without fear of reprisal or victimisation. The University shall deal with an academic appeal seriously, impartially, within a reasonable time scale and as appropriate, in confidence.

### **13.1.3 Academic Appeals**

The general regulations of the University prescribe two types of circumstances or good reasons, for one to appeal against an academic decision of the University:

- (a) Where the University suspends or terminates ones registration on the recommendation of the Board of Studies. This may results from examination failure or because a student's academic progress is considered unsatisfactory (e.g. failure to attend classes or to submit work for assessment).
- (b) Where the University awards what a student believes to be an incorrect class or category of degree or other qualification or decides that a student may have not fully satisfied the academic and/or professional requirements for an award.

#### **13.1.4 Grounds for Appeal**

The following are the grounds on which the University will consider an appeal against an academic decision:

- (a) That in reaching its decision the University was unaware of factors which had affected ones performance (e.g. family or personal circumstances or ill health), which for valid reasons one had been unable to make known earlier.
- (b) That there had been a mathematical or procedural error in recording or calculating the marks on which a decision was based.
- (c) That there had been irregularities or administrative errors in the conduct of an examination or other form(s) of assessment of such a nature as to cause reasonable doubt about the examiners decision.
- (d) That you have reason to believe that one or more of the examiners was prejudiced or biased.

The University will not consider appeals on grounds other than the above, particularly:

- (a) Those made against the academic judgement, properly exercised, or duly made by appointed examiners, including external examiners.
- (b) Those made mischievously or frivolously without justifiable ground.
- (c) Those made on the basis of alleged insufficiencies in teaching or supervision or the provision of materials or equipment.
- (d) Those based on ill-health or other circumstances which could and should have been reported to the school at the time of their occurrence
- (e) Where the general regulations preclude appeals in circumstances in which a student has been allowed to be addressed or to re-present a dissertation or thesis.

### 13.1.5 Procedures for appeals

- a) If a student decides to submit an appeal against an academic decision of the University, he/she should do so within 30 days of formal publication or otherwise receiving notification of the results.
- b) The appeal should be addressed to the Dean of Students, setting out in writing the specific grounds on which the appeal is being made. The Office of the Dean of Student will treat any personal information which is received in the course of dealing with students' appeals as confidential. Such information will be kept, used and shared where necessary and appropriate with other members of University staff, only for the purposes of investigating and determining the outcome of one's appeal.
- c) If one requires advice on whether one has proper grounds for an appeal or if one needs help to present the grounds of the appeal, one may seek assistance from the student's guild or from the Dean of Students.
- d) In the first instance, the Dean of Students will normally refer one's appeal to the Head of the Academic Unit for comment and for any further information required to enable it to be considered. On receiving the Schools response, the Dean of Students will consult, where appropriate, with the Academic Registrar and the Deputy-Vice Chancellor (AA) to establish whether there are grounds for appeal.
- e) If it is decided that the grounds for appeal do not accord with those prescribed in the general regulations, the Dean of Students will inform the student of that decision and the reasons in writing, usually within 15 working days of receiving the initial appeal. The appeal will be dismissed and no further action will be taken.
- f) If it is decided that the grounds for appeal do accord with those prescribed in the general regulations, the Dean of Students will take one of the following courses of action, depending on the grounds of the appeal:
- g) In the case of an appeal involving a mathematical or procedural error in calculating a student's eligibility for an award, he/she will ordinarily consult with the chair of the Board of Examiners. If an error is found then the examiner's decision will be amended, if appropriate, including the pre-classification of an award.
- h) In the case of an appeal involving irregularities in the assessment process, circumstances which had not been known at the time a decision was made or allegations of bias, the matter is referred to the

#### Examinations Irregularities and Appeals Committee.

- i) A student who is dissatisfied with the decision of a Committee may appeal to the Senate Academic Policies and Appeals Committee within 30 days from the date of the letter communicating the decision.
- j) The appeal shall be in writing addressed to the Academic Registrar and copied to the Committee stating clearly the grounds of appeal. The Academic Registrar shall acknowledge, in writing, to the student and Chairperson of College/School Committee receipt of the appeal.
- k) A student who pleads guilty to an offence before the College/School Committee shall have a right of appeal only with respect to the penalty.
- l) The Senate Academic Policies and Appeals Committee shall hear the appeal expeditiously. The student appealing shall be notified in writing of the date when the appeal will be heard and shall be given an opportunity to appear before the Senate Academic Policies and Appeals Committee and be heard.
- m) The Academic Registrar shall officially notify the College/School Committee that made the decision in the first instance of the date of hearing of the appeal. The College/School Committee shall have a right of representation.
- n) At the hearing of the appeal, the student shall have an opportunity to be heard and the College/School Committee shall have a right to respond to the student's presentation.
- o) The Senate Academic Policies and Appeals Committee shall have power, on cause being shown, to allow the student to present additional evidence before it.
- p) Where additional witnesses are called they will be subject to cross-examination by the representative of the College/School Committee. The College/School Committee may also adduce additional evidence, which may be responded to by the student.
- q) The Senate Academic Policies and Appeals Committee will then deliberate in the absence of the student and College/School Committee representative preferably on the date of hearing.
- r) The Senate Academic Policies and Appeals Committee may confirm, vary or set aside the decision of the College/School Committee.
- s) The Senate Academic Policies and Appeals Committee shall take into account the rules of natural justice.

### **13.1.6 Appeals Committee**

- a) The appeals committee is composed of members who will not have been directly involved in the original decision of the University.
- b) It will include student members.
- c) The Appeals Committee has authority to determine the way in which it will consider the appeal before it.

### **13.1.7 Code of Practice**

- a) A student appealing and other parties involved in the appeal, have access, prior to the meeting of the Committee, relevant papers, including written commentaries on the appeal and responses to the appeal.
- b) A student applying will be given adequate notice of the date, time and venue for the meeting and also be invited to attend.
- c) The appellant is entitled to be accompanied by “a friend” of his/her choice during the hearing.
- d) The appellant shall be informed, in writing, of the result of the appeal within 10 working days of the meeting. In case of delay due to need for further investigation, notification should be given.
- e) Staff members are not to sit in judgment of their own cause

## **14.0 GRADUATION**

### **14.1 Guidelines for Graduation Ceremonies**

#### **14.1.1 General Guidelines**

1. There should be one “Graduation Week” every academic year to be located during the January Vacation.
2. The Graduate students should have a separate, multi-disciplinary graduation ceremony from that of the undergraduate students.
3. The Chancellor should open the “Graduation Week” by presiding over the ceremony of Graduate students and the graduation week would be closed by the Chancellor or his/her representative.
4. The graduation ceremonies shall have one graduation number during that week and on each day after the conferment of awards the Chancellor or his/her representative would adjourn the ceremony until

the graduation week was closed. The congregation would be dissolved on the last day of the graduation week.

5. The Chancellor or his/her representative should give the Vice Chancellor's awards or any other awards to person(s) being honoured.
6. Undergraduate students would graduate according to their programmes on a scheduled day and time during the "Graduation Week". Programmes that are related and have small numbers of students would combine their ceremonies.
7. The Vice-Chancellor or his/her Deputies should preside over the undergraduate ceremonies and confer degrees/award Diplomas.
8. All graduation ceremonies shall take place at the University or at such other venue as may be agreed upon by the University Senate.
9. There should be a Chancellor's procession (as has been the norm) during the first graduation ceremony for graduate students.
10. In the decentralised Units, there should be a procession of Deans, Heads of Departments, Academic Staff and invited guests, led by the Vice Chancellor (or Deputy Vice-Chancellor).
11. The Academic Registrar's Department should fully cover the decentralised graduation budgets.
12. Since few graduands would attend at a time, there should be no need to disrupt traffic around the Makerere University environments.
13. The list of the graduands should be published on the Makerere University website.

#### **14.1.2 Guidelines on Management, Administration and Coordination**

1. The Ceremonies Secretariat needs to be strengthened in order to adequately handle decentralized graduations and other ceremonies. A Senate Committee on ceremonies should be set up. This Committee should be responsible for:
  - i. Drawing out the schedules for all graduation ceremonies for a given academic year.
  - ii. Arranging to publish one graduation booklet for all graduate and undergraduate students graduating in the "Graduation Week". The format of the booklet should be similar to the ones currently being printed in the centralised graduation system.

- iii. Arrange to issue invitation cards to Graduands and their guests in collaboration with the Academic Registrar.
  - iv. Coordinating the parking and directing of guests to the graduation venue in collaboration with the relevant security officials.
  - v. Arrange the issuing of gowns and other graduation regalia.
  - vi. Arrange the issuing of passes to accredited professional photographers who will be at different sites.
  - vii. Take care of security matters in collaboration with Makerere University Security Department and Makerere University Police Post.
  - viii. Provide first aid stations at the graduation location in collaboration with Makerere University Hospital.
  - ix. Deal with media coverage.
  - x. Offer any assistance that may be required by the Academic Units.
2. There should be Colleges/Schools Ceremonies Committees (Unit Ceremonies Committees) which should liaise with the Senate Committee on Ceremonies and the Academic Registrar.
  3. In order to ensure the uniformity of graduation gowns the University Procurement and Disposal Units should pre-qualify up to four (4) Tailoring firms (tailors) to handle the making and issuing of Gowns on behalf of the University.
  4. There should be an option for hiring the gowns if a student does not want to buy. Two separate fees (for hiring and owning gowns) should be clearly communicated. The University shall be involved in fixing the price of Gowns and the pre-qualified firms should have a provision for hire and purchase of Gowns by Graduands.
  5. The Academic Registrar's office, in conjunction with the Vice Chancellor's office, shall publish newsletters for each graduation week. The Newsletters would include, *inter alia*, the Chancellor's and Vice Chancellor's speeches, news from Academic Units, and any other supplement.
  6. No graduation ceremony shall last more than 3 hours, and the number of people graduating at any one ceremony should be approximately in the range of 400 to 1,500.

7. The examination results for students graduating should be published and submitted to the Academic Registrar's office eight (8) weeks before the graduation ceremony.
8. A student should register to graduate eight (8) weeks before the ceremony by filling in an appropriate form and clearing with all the relevant centres in the university. Filling applications for graduation initiates degree checks in the Directorate of Research and Graduate Training Office. The students and their Supervisors receive a graduation checklist which indicates any deficiencies the students must clear. Students should contact their Supervisors if there are questions about the checklist. The application for graduation also places candidates' names in the graduation programme. In addition, when the completion of degree requirements has been certified by the Director of Directorate of Research and Graduate Training, the Academic Registrar's Office shall authorize the Degree Award order.

#### **14.1.3 Entertainment**

1. The Units, in liaison with the Academic Registrar, should organise their programme and entertainment for the graduation day.
2. The Ceremonies Committee shall organise and coordinate the entertainment.
3. Both the National Anthem and Makerere Anthem shall be sung by the students of Music, Dance & Drama at all the graduation ceremonies.
4. The Convocation shall be required to respond to the new structure.

#### **14.1.4. The Ceremony of Conferment of Degrees/Diplomas**

1. All Colleges/Schools should issue certificates of recognition to their best students during the ceremonies, including graduate students.
2. Colleges/Schools with small numbers of students shall be free to group together for purposes of organizing graduation ceremonies.
3. The Units may invite their own Guest Speaker and select the theme of the speech, but the Vice Chancellor or Deputy Vice-Chancellor should confer the degree and award of diplomas as per the Universities & Other Tertiary Institutions Act (2001).
4. The student with the highest CGPA in each Programme will have his/her name read out and he/she shall come forward to receive a certificate of recognition.
5. The Convocation Awards shall continue to be given to the overall best

Science and Humanities students. Such award shall be announced at the opening of the Graduation Ceremony week and at the respective decentralised ceremonies where the candidates graduate.

6. The best graduate student shall be recognised at the graduation ceremony.

#### **14.1.5. Alumni**

1. Alumni from the various Schools may organize reunions at the decentralised graduation ceremonies. This would facilitate Units, and the University at large, to strategically tap alumni finances in supporting the activities and plans of specific units.
2. The University shall further cultivate the culture of alumni participation and giving through the introduction of prestigious and inspirational speeches by alumni and students. For example, a “chief orator” by a selected alumnus and /or “student oration” delivered by a non-graduating student.

### **15.0 MAKERERE UNIVERSITY SENATE POLICY ON JOINT AWARDS, SEPTEMBER, 2003**

This policy was approved by Senate at the 118th Meeting held on 23rd July, 2003 and recommended to the University Council.

#### **15.1 History and profile of Joint Awards/Partnership in Makerere University**

Joint Awards presuppose collaboration and/or cooperation, which exists between friendly institutions to create an enabling environment in which students and academic staff are willing to participate. Therefore, a Joint Award with a purpose has to be backed by cooperative understanding between institutions.

Makerere University is an internationally recognized University, which realized the need to develop joint degree programmes with other Universities to strengthen research and competence building taking into account its own and collaborating Universities strengths. The research collaboration has been enabled through grants from several partners including NORAD, NUFU, NFR and Sida/SAREC. Awards made jointly are already being offered between Academic Departments and Colleges/Schools within Makerere University, based on the understanding that academic awards originate from one Academic Department/School.

Makerere University/Sida/SAREC bilateral research collaboration with the theme “Lake Victoria and Other Water Sources” is another area where the University is making a deliberate effort to make University research relevant through the students’ exchange/sharing of PhD research supervision programmes.

Further, in the process of establishing Joint Awards, Sida/SAREC has sponsored long term University collaboration between Uganda and Sweden with the aim of strengthening postgraduate research, supervision and training for PhD studies at several College/Schools at Makerere University. Research activities on health, waste management, social, economic and political changes, technological aspects and environmental concerns based in the Colleges of Health Science, Humanities and Social Sciences, Engineering, Art and Technology, and Agricultural and Environmental Sciences are supported under this programme. The Karolinska Institute (KI), a Medical University in Stockholm, was selected by Makerere University for health research collaboration.

The Strategic Plan of Makerere University (2000/01 – 2004/07) had identified interdisciplinary as an essential element in the promotion of teaching and learning. Therefore, since Makerere University has unlimited potential for instituting Joint Awards and, as such, a document detailing the processes of instituting the Awards needs to be produced in order to strengthen the present collaboration between senior researchers to facilitate staff development, research and administrative procedures between Makerere University and other Universities.

## **15.2 Definition of the Term Joint Award**

Joint Award of a qualification in a University system means an award that ensues from jointly executed teaching, supervision and examination or all such multidisciplinary responsibilities between more than one Department in Makerere University and other relevant and recognized Universities. A Joint Award presupposes that collaboration/co-operation exists between the partner institutions to create an enabling environment in which students, academic staff and other stakeholders are willing to participate.

## **15.3 Purpose of Joint Awards**

The purpose of Joint Awards is two-fold:

- i) To utilize related and relevant expertise towards a Course, Degree Award or closely related specialties.
- ii) To establish partnerships between different Universities for their mutual benefit in terms of:
  - a) Human Resource utilization (Joint Teaching and Supervision)
  - b) Technological advantages of either institution to bridge the knowledge and/or digital gap/divide.
  - c) Comparative resource advantages including locality-related advantages and resources valuable in knowledge generation and problem solving.

- d) Research cooperation to solve a common problem and gain common insight.
- e) Interdisciplinarity of knowledge bases within partner institutions for functional expertise to address market/national/international needs.
- f) Situational uniqueness for training others and for research

#### **15.4 Advantages of Joint Awards in International Education**

- i) **Mutual Learning:** A University in a high income country, for example, Sweden, learns about the health situation of a low-income country, for example, Uganda, and gets the opportunity to participate in research that cannot be conducted in Sweden. Uganda benefits and learns from the human resources and research technology in Sweden, and thereby transforms her own human and technical resources. This enables both Universities to make scientific contributions towards solving global healthy market/technological/social needs in a more productive way that either of them could do alone.
- ii) **Strengthening collaboration through research sharing:** Both Universities will improve their organizational and human capacity for research management and postgraduate training. This will include the development of joint research training courses and forms of other student exchange.
- iii) The collaboration has the potential to yield international visibility through excellence in research on global issues communicated by way of joint publications and conferences.

#### **15.5 Advantages of a joint PhD research degree**

A joint research will strengthen the collaboration between senior scientists/scholars and facilitate staff development, research and administrative procedures in both Universities. A holder of a joint PhD degree will have the benefit of the two Universities and she/he will become a future research fellow who can maintain contacts between the two Universities.

##### **15.6.0 The Policy**

##### **15.6.1 Collaborating Institutions**

The Institution to collaborate with should be a recognized institution. There should be structures and expertise to manage, teach, supervise, examine and carry out research for the joint award. Ethical issues related to the award should be noted and agreed as jointly acceptable by either University. The students and staff involved must be made aware of all the Joint award procedures in print, electronic form and visitations by relevant

authorities from the Universities.

### **15.6.2 Agreement to Justify and Strengthen the Complementary and Equal Partnership between Universities**

There should be a collaborative agreement to justify and strengthen the complementary and equal partnership between Universities.

### **15.6.3 Funding mechanism**

There should be an enabling funding mechanism to operationalise the Joint Award.

### **15.6.4 Intellectual Property Rights**

Intellectual Property Rights should belong to the partner Universities and the details of sharing financial proceeds should be worked out as applicable in each University, following a mutually agreed format.

### **15.6.5 Admission Requirements**

The Admission Requirements of the relevant institutions should be equivalent and any modifications/additions to such qualifications should be mutually agreed upon.

### **15.6.6 Requirements and Procedures of Application**

- i) The application requirements of the relevant institutions should be equivalent and any modifications/additions to such qualifications should be mutually agreed upon.
- ii) The programme should be openly advertised for equal opportunity for candidates to apply and information given to staff to appreciate as they participate. Standing procedures, guidelines and statutes should be put in place for any given Joint Award Programme.

The duration of study should be defined and should as much as possible not significantly differ from the existing ones in participating Universities. Duration of stay in a particular University should be prescribed as a requirement before the award is given.

### **15.6.8 Fees Payment and Sharing of Fees between Collaborating Institutions**

The mode of fee payment and sharing should be established between the partner Universities.

### **15.6.9 Coordinating Office**

The University organs to manage and coordinate the award must be clearly identified in each University. A coordinator should therefore be identified.

### **15.6.10 Courses and Coursework Load**

The type of courses and coursework load required by the collaborating University towards the award should be defined.

### **15.6.11 Quality Assurance**

The methods of progress monitoring should be agreed upon using existing methods from either University.

### **15.6.12 Examinations**

The examination process and grading of the award should be agreed upon by both Universities.

### **15.6.13 Format of Dissertation**

The format of results presentation in case of research project or dissertation presentation should be agreed upon to include a comprehensive monograph or both a monograph and peer-reviewed published scientific journal articles (the acceptable number should be defined).

### **15.6.14 Withdrawal of students**

The mechanism of withdrawal from the Joint Award should be defined and withdrawal should be granted only following an investigation.

### **15.6.15 Transcripts**

The documentation of results should be through existing types of transcripts, which will be accepted by the partner Universities with the word "Transcript for the Joint Award" included in the document.

### **15.6.16 Award Certificate**

- (i) The name of the award must be in existence at either University or both official languages be used on the award certificate as agreed upon.
- (ii) The Joint Award Certificate should bear both/all Universities logos

side by side, a statement attributed to the awarding bodies in the partner Universities, title of the degree (class if applicable), candidate's name, date of award and signature of the relevant University authorities. The quality of paper used should be agreed upon and the relevant University seals embossed.

- (iii) The graduation award should be given once in only one of the Universities but the candidate may attend both ceremonies but receive award in only one University identified by the candidate before the award. However, the names should be listed in either award ceremonies.
- 15.6.17 Arbitration
  - (i) Special situations should be resolved by consultation of the bodies responsible for the Joint Awards in the partner Universities.
  - (ii) The agreement should provide for the appointment of an Arbitrator or Arbitrators.

### **15.6.18 Termination of the Joint Award**

The termination of the Joint Award Programme by any of the Universities is by one year's notice with mutual consent, but will not affect the registered students until their studies have been completed or until deregistration.

## **16.0 RESEARCH POLICY**

### **16.1 Preamble**

Research for development (R&D) and innovation today absorbs very considerable resources. Research and development activities have great influence on the policies and growth of institutions, both public and private, and nations as a whole. Research and innovations must be rooted in the interaction between these activities and economic, social, political and institutional processes. A policy in this direction must respond to problems posed by the very innovations, R&D, technology and science, and related activities concerned with the acquisition of knowledge (learning) and its exploitation.

The ultimate benefit of research lies not only in the generation of new knowledge but also in the translation of knowledge into technologies, interventions and strategies effectively and appropriately delivered to the poor. In order to reach this objective, it is imperative that the entire research process be pursued within the context of contemporary knowledge, good ethics, effective policy, adequate resources and international cooperation. Within the context of Makerere University,

research and innovations necessitate multi-level, multi-disciplinary approaches that support the exploration of new ways of using these disciplinary perspectives and methodologies.

The policy puts emphasis on provision of research opportunities, quality and ethics in research and innovation, efficiency and effectiveness in coordination and management of research and innovation at Makerere University. This policy does not address issues pertaining to intellectual property management (IPM)<sup>1</sup>

In achieving the aims of this policy, the University is committed to working closely with national and international organizations that support and monitor research activities. In Uganda, this refers to organizations such as the Uganda National Council of Science and Technology, National Agricultural Research Systems, National Council for Higher Education.

The Research and Innovations Policy was developed under the overarching framework of the University vision, mission and core values.

## **16.2 Purpose of the Research and Innovations Policy**

The overall aim of the Research and Innovations Policy is to strengthen research capacity and output, and increase the contribution of Makerere to the world of knowledge and innovation. This will be achieved through five strategic objectives as shown in Section 3.0.

## **16.3 Strategic Objectives**

- (i) To create an enabling, harmonious, transparent and efficient environment for research and innovations
- (ii) To strengthen research management and coordination
- (iii) To improve research and publications culture
- (iv) To improve funding for research and innovations
- (v) To improve the gender responsiveness of the University through research and innovations.

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<sup>1</sup> The IPM is contained in a separate policy document.

## **16.4 Guiding Principles**

### **16.4.1 Create an enabling environment for research and innovations**

The policy recognizes that a positive harmonious, transparent and efficient environment is essential to foster research and innovation in the University. Within the portfolio of university activities, research (basic and applied), teaching and outreach should be appropriately balanced to ensure efficient creation of knowledge and its transfer. Such an environment will be created through the following strategies:

#### **16.4.1.1 Create centres of excellence that are adequately equipped and maintained for use by all interested parties in the University in a sustainable manner**

The University shall, therefore:

- (i) Develop and update guidelines for setting up centres of excellence
- (ii) Encourage and support the establishment of state-of-the-art laboratories with user guidelines for researchers
- (iii) Encourage the formation of multidisciplinary research teams/groups at centres of excellence
- (iv) Ensure that capacity to maintain the state of the art equipment is developed e.g. through enhanced training of technical staff and users
- (v) Require research equipment and other resources acquired during the life of any research project to revert to the University at termination of the project
- (vi) Guidelines for use of equipment (including bench fees) and disposal of such resources shall be developed by the centre.

#### **16.4.1.2 Support staff members' access to the internet and other ICT services**

The University shall, therefore:

- (i) Provide internet and other ICT facilities at every academic/research unit for purposes of knowledge creation and dissemination.
- (ii) Provide access to the e-resources and other ICT related common services/software for the purpose of data

management and analysis

- iii) Researcher's time compensation shall be provided for at 10% of the total cost of a grant proposal

#### **16.4.1.3 Support researchers to attend and present papers/posters at national and international conferences**

This shall be achieved through the following:

- (i) Provision for travel support in the units' budgets to facilitate staff attendance at conferences
- (ii) Inclusion of a budget line for attendance at conferences in the research projects
- (iii) A requirement for staff to be supported to have obtained invitations to present papers/posters or to chair sessions at these meetings
- (iv) Support shall be in part or total, depending on availability of funds

#### **16.4.1.4 Makerere University shall generate a research agenda periodically**

- (i) Colleges/schools shall formulate research priorities that will feed into the university research agenda.
- ii) The priorities identified shall reflect national research objectives, priorities and relevant international trends.
- (iii) The research agenda shall promote both basic and applied research
- (iv) The review of the research agenda shall be pegged to the review of the University Strategic Plan.

#### **16.4.1.5 Facilitation of national, regional and international collaboration, and global networking**

To this end, the University shall:

- (i) Enter into MoU with leading research and higher education institutions
- (ii) Operationalize and nurture existing MoUs at Makerere University

#### **16.4.1.6 Provision of research support services**

Such services shall include but are not limited to management information systems and library resources that facilitate access to international literature and data bases.

The University shall, therefore:

- (i) Continue to subscribe to relevant data bases that provide information to researchers
- (ii) Create and maintain its own research and innovations data base accessible to the university community and the general public

#### **16.4.1.7 Strengthening of research management and coordination**

The policy recognizes that research activities carried out through various academic and research units in the university have to be managed and coordinated properly for the benefit of the entire university in a fair and transparent manner. This will be achieved through the following strategies:

#### **16.4.1.8 Support to staff to update their skills in research management continually**

This shall be achieved through:

- (i) Conducting regular training workshops/seminars at both unit and centre level in grant proposal writing, financial management, scholarly writing and dissemination, etc.
- (ii) Developing and updating research management tools such as handbooks and guidelines
- (iii) Support to staff to attend skills enhancement courses locally and internationally

#### **16.4.2 Provision of regulations for sourcing services related to research**

Develop guidelines for engaging persons employed from research funds (research assistants, data managers, etc.)

#### **16.4.2.3 Promotion of a mentoring and apprenticeship culture/approach in research**

- (i) Require, as part of the eligibility criteria for research support,

senior members of staff to work with junior members of staff and graduate students on research projects for mentoring and supervision

- (ii) Support senior members of the academic community to work with junior members of staff to produce joint publications
- (iii) Mainstream gender and actively involve women in research activities.
- (iv) Encourage academic units to establish Professorial Research Chairs

#### **16.4.2.4 Provision of guidelines for supervisors and supervisees during the research process to ensure harmony, quality and timely completion**

To this end, the University shall:

- i) Develop, operationalize and review periodically guidelines for the supervision of graduate students (qualification, appointment, remuneration, conduct etc.)
- ii) Disseminate widely the rules and regulations for graduate study

#### **16.4.2.5 Strengthening of the research management and coordination function at institutional and unit levels**

To this end:

- (i) The University shall develop a governance structure for research and coordination
  - a) There shall be a Research, Innovation and Publications Committee at unit level
  - b) Administrative responsibilities regarding research management at unit level shall be specified by the research council
- (ii) Provide tools for internal procedures for approval, control, monitoring and coordination of research and innovations

#### **16.4.2.6 The Board of Research and Graduate Training**

The Board of Research and Graduate Training is one of the Committees of the University Senate.

## **Membership**

i) Chairperson: The Deputy Vice-Chancellor (Academic Affairs)

ii) Members:

Members of Senate from each College or School elected by the units, The Director of the Directorate of Research and Graduate Training, University Librarian, Two graduate students one of whom shall be a woman elected by the Guild. Director of Makerere Institute of Social Research, the University Bursar, Executive Director of the National Council for Science and Research. Two persons from the private sector elected by Senate.

Secretary: The Academic Registrar.

The quorum for the Board of Research and Graduate Training will be 1/3 of the membership (6 members).

## **Terms of Reference**

a) To receive, consider and recommend to Senate proposals from the College/School Committees on Research and Graduate Training.

b) To harmonize all Graduate Programmes.

c) To review the regulations governing Graduate Academic Programmes and make recommendations to the Senate.

d) To receive from Colleges Higher Degrees Committees recommendations on all the applications for entry into Graduate Academic Programmes and take decisions as per Senate guidelines.

e) To consider and take decisions on case of Appeals on Graduate Examination matters.

f) To submit bi-annual reports to Senate as regards to graduate studies in the University.

g) To promote the dissemination of research findings to the community.

h) To administer the funds for Research and Publications from the University funds made available for these purposes.

- i) To submit bi-annual report to the Senate on Research and Publications including performance of funds.
- j) To oversee the implementation of Intellectual Property Management Policy and assist in the review of the policy; and
- k) To advise the University on the management issues related to intellectual Assets/Property.
- l) To oversee scholarly aspects of the Makerere University Press.
- m) To receive and review the University Research Agenda.
- n) To Oversee ethical conduct of Research in the University.

## **16.5 Improvement of research and publications culture**

In order for the university to attain and maintain a leading position in research output, the policy recognizes that the research and publication culture must be enhanced. This shall be realized through measures described hereunder:

### **16.5.1 Provision of incentives /reward for research**

- (i) Staff shall spend at least 20% of their time on research and dissemination. To this end, the University shall:
  - (a) Ensure maintenance of satisfactory staff to student ratios in line with university establishment policy
  - (b) Require staff at levels of lecturer and above (or equivalent) to publish at least one paper in a peer reviewed journal yearly
  - (c) Require doctoral students in the course of their studies to publish at least one paper in a peer reviewed journal before they graduate
  - (d) Develop, operationalize and update periodically a system for tracking of staff research and outputs
  - (e) Require staff to publish research findings in form of policy briefs for use by policy makers
  - (f) Recognize and reward staff for outstanding performance in research and innovations
  - (g) Develop, operationalize and review periodically guidelines on how to identify and reward staff for outstanding research and innovation

### **16.5.2 Provision of and support to platforms for dissemination of research outputs**

*The University shall:*

- (i) Create platforms for staff and students to disseminate research outputs such as seminars and locally hosted journals, newsletters and bulletins (both hardcopy and electronic)
- (ii) Support units to organize regular conferences
- (iii) Support regular public presentations and debates on topical areas of national or international concern
- (iv) The university shall require doctoral students to publish their findings in any of the following forms:
  - a) theses/dissertations as either monograph
  - b) theses/dissertations with chapters as stand-alone papers
  - c) theses/dissertations as a compilation of papers either already published or accepted for publication.
- (v) Re-establish and support the Makerere University Press. To this end, the University shall:
  - (a) Establish, operationalize and review periodically the governance structure of the University Press
  - (b) Develop guidelines for the establishment and define the role of the editorial board
  - (c) Provide financial support to the University Press
- (vi) All research reports shall be deposited with the University Library and the national library at the researcher's cost.

### **16.5.3 Promotion of ethical conduct of research in the university**

*The University shall:*

- (i) Support the establishment of Institutional Review Boards to oversee the ethical conduct of research at units
- (ii) Develop, operationalize and review periodically guidelines on good research practices and misconduct

### **16.5.4 Improvement of funding for research and Innovations**

The policy realizes the importance of securing sufficient funds for staff

members to conduct meaningful research, to attend national and international meetings, and to contribute to the research income of the University. It is envisaged that the strategies highlighted hereunder will improve funding for research and innovations. To this end, the University shall:

- a) Commit at least 3% of the internally generated funds to research and innovations annually.
- b) Require graduate and undergraduate students to contribute towards the cost of research. The amounts paid shall be recommended by the Board of Research and Graduate Training.
- c) Require all research projects to contribute 15% (5% to the DRGT, 3% to the Department, 3% to the School and 4% retained at the centre) of the research costs as institutional overheads/indirect costs. This shall be reviewed by the Board of Research and Graduate Training from time to time
- d) Continue to solicit research funds from national and international organizations, both public and private. Solicitation of funding shall be encouraged and facilitated at individual, departmental, faculty or institute, and college levels
- e) Engage the private sector to contribute towards research and innovations
  - i) Through contract research
  - ii) Sponsoring of research chairs
  - iii) Through joint ventures, licensing, patents and trade marks
- d) Provide general information including databases on possible sources and modes of research funding on a regular basis
- f) The University shall subscribe to databases that provide information on funding opportunities
- g) To improve the gender-responsiveness of the University through research and innovations
- h) Provide opportunities for staff and students to train in gender focused research methodology
  - i) Integrate gender in research proposals
  - j) Encourage involvement of women in research teams.

## **16.6 Implementation**

- (i) This policy shall be implemented and reviewed periodically by the Board of Research and Graduate Training
- ii) This Policy shall be implemented or supplemented in any way consistent with its terms and those of other University policies.
- iii) In the event circumstances require any exception to the terms of this policy, such exceptions shall require the consent of the Vice Chancellor. The Vice Chancellor shall, when practical, seek the advice of the University Council prior to approving any exception to the terms of this Policy. When prior consultation is impractical, the Vice Chancellor shall promptly notify the University Council of any exceptions to the terms of this Policy.
- (iv) This Policy shall not apply to on-going research projects and written agreements between the University and/or any external organization or individual, entered into prior to the date on which this Policy is adopted by the University Council.
- (v) If an existing written agreement is renewed, revised, or amended after the date on which this Policy is adopted by the University Council, reasonable attempts shall be made to conform to such agreement with the requirements of this Policy as of the date on which it is renewed, revised, or amended.
- (vi) After the adoption of this policy, the University Senate shall be responsible for drawing out implementation guidelines or procedures from time to time.

### **16.6.1 Notification**

The Directorate of Research and Graduate Training shall inform all persons subject to this Policy of its terms after its adoption and at regular intervals thereafter. This policy came into effect on 13th March, 2008.

## **17.0 THE INTELLECTUAL PROPERTY MANAGEMENT POLICY (IPM)**

### **17.1 Definitions or Glossary**

#### **Intellectual Assets (IAs)**

**“Intellectual Assets”** refer to all intellectual products that are created by the personnel working in Makerere University. In specific terms, these are items in which personnel have:

- i. Put their ideas;
- ii. Taken particular decisions in respect of different choices;
- iii. Thought of ways to solve particular problems, etc.

“Intellectual Property” means all subject matter capable of being protected by patents, copyright, design, database rights, topography rights, trade mark, plant breeders rights know-how and all other intellectual or industrial property rights in each case whether registered or unregistered, and including applications or rights to apply for them together with all extensions, divisional, continuation, continuations in part and renewals of them and in each and every case all rights or forms of protection having equivalent or similar effect anywhere in the world.

“Copyright” is defined as the exclusive right of a creator/owner of an original creative work to prevent unauthorized copying. The owner of the copyright in a work has the exclusive right to copy the work. Issue copies of the work to the public, rent or lend the work to the public, perform, show, or play the work in the public, communicate the work to the public and make an adaptation of the work or do any of the preceding acts in relation to an adaptation.

“Commercialization” means any form of exploitation of the IP including assignment, licensing or the disposal of any other interests, whether in return for cash or payment in kind or any other form of value

“External body” means a company, government body, registered charity or any other entity or individual who is not a university employee

“Individual” means the inventor, author or creator of IP who is an employee of the University or students at the time of invention, authorship or creation

“Intellectual Property Management Unit” means the unit in the University having responsibility for identifying, protecting and commercializing IP

“Research results” means the results arising from an individual’s research, including details of any IP, results or source code.

“Scholarly materials” includes textbooks (unless such text books were developed using university administered – funds), academic journal articles, conference papers and related presentations, theses and dissertations, popular non-fiction, novels and poems, but excludes any such materials or part of them which can be defined as teaching material or university materials. For the purpose of this policy, computer software, firmware and database are also excluded from this definition.

“Spin out Company” means a company established with a view to commercializing IP originating from the University (whether on its own or with other IP).

“Students” mean any person registered or matriculated as a student of the University, whether for an undergraduate or postgraduate programme.

“Teaching Materials” means any materials created within the University or created on behalf of the University that are intended to be used or accessed by students for the purpose of their programme of study including course guides, handouts and presentation materials (including lecture notes, slides and other audio-visual materials) instruction manuals and assessment and examination questions.

“University Materials” means any type of work produced for administrative purposes, including, but not limited to the promotion and marketing of the university programmes, students and staff recruitment, papers for any internal committee or similar body, material included in any University handbook for employees or students or and other university purpose and any item created by an employee of the university whose job description specifically includes the creation of printed or electronic materials.

“University Resources” means any form of funds, facilities, including equipment and consumables, use/supply of heat, light or power otherwise purchased or paid for by the University or other university subsidiary; or another employee’s contracted hours of work.

“A patent” means giving exclusive rights to commercially exploit ‘the invention’ for the life of the patent. This is given for a product or idea that can be manufactured. A patent is granted for any device, substance, method, or process which is new, inventive or useful

“Registered Design” - the inventor has exclusive rights to use the design specified in the registration (e.g. logo) and specifies the coverage. The owner of a registered design has exclusive rights to authorize other people to use that design

“Board of research and publications” means the legal body that oversees the development and implementation of research, innovations and intellectual assets of the University

“Trademark” - gives the legal right to use, license, or sell the trade mark item for goods and services for which it is registered

## **17.2 Preamble**

Generators of Intellectual Property are considered ‘inventors’ and together with the University have rights to that property. The Intellectual Property Rights provide the legal basis for the recognition of ownership of the intellectual property. The Intellectual Property Management Policy (IPM) covers the handling of the Intellectual Assets and Intellectual Property of the University or those which are generated by the Faculty and staff of Makerere University.

The policy recognizes the central role that the intellectual property holds in a

research-led university. The purpose of the IPM policy is to encourage and support those who wish to create or exploit such products to do so. The expectation is that by acting as an incentive, the implementation of the IPM policy shall galvanise innovation and creativity among both staff and students for the public good, and when commercialised generate income for the innovator and the University. Therefore, Makerere University shall endeavour to foster the development of its inventions and discoveries through patenting and licensing to industry, in particular and generally to the private sector. The University, therefore, is committed to managing efficiently and effectively any intellectual property arising out of staff and student work.

This policy addresses issues related to ownership, protection and commercialisation of intellectual property and innovations created by the students and staff of the University, including reward to intellectual property creators and innovators, while protecting the university against unwarranted risks. The IPM policy is in line with the relevant national laws such as the Copyrights Act Cap 215, Patent Act Cap 216, Trade Marks Act 217 that specify the asset to be protected, and other requirements, such as the country of residence of the originator (s) and the owner of the asset.

In the context of this policy, Intellectual Assets shall include the following items:

- (i) Employment Contracts;
- (ii) Collaborative Agreements;
- (iii) Confidentiality Agreements;
- (iv) Laboratory Notebooks/Notes;
- (v) Field Data/Notes;
- (vi) Licenses – reagents, software;
- (vii) Databases;
- (viii) Software/Simulations;
- (ix) Information/Data from Third Parties;
- (x) Other “tangible” items e.g. cell lines and monoclonal antibodies;
- (xi) Copyright issues;
- (xii) Institutional Policy;
- (xiii) International Agreements

In addition, the policy has been developed under the general framework of the University vision, mission and core values.

### **17.3 Aim of the Makerere University Intellectual Property Management Policy**

The aim of this policy is to stimulate and support innovative thinking among students and staff, and to enable ownership and efficient management of intellectual assets and innovations produced at Makerere. In addition, the implementation of the IPM policy is envisaged to increase income arising from research activities, as well as increase the contribution of Makerere to the wellbeing of society.

### **17.4 Objectives of Makerere University Intellectual Property Management Policy**

- i. To support and promote innovative ideas that can be transformed into useful products for the public good
- ii. To support the management of intellectual property of the University
- iii. To support and promote knowledge transfer mechanisms to students and the wider public.
- iv. To promote economic activity arising from the products of research and innovation

### **17.5 Guiding Principles**

#### **17.5.1 Support and promotion of innovative ideas that can be transformed into useful products for the public good**

The policy recognizes the importance of a well streamlined procedure where all the research activities and innovations are documented. The policy, therefore, stipulates that the University shall:

#### **17.5.2 Developmental an inventory/database of all research activities and innovations:**

- (i) University employees engaged in approved research at the University shall maintain a notebook of their findings which shall contain the information set out in the format approved by the University Research Council, and submit a copy thereof to the Intellectual Property unit through their Supervisor/Chair of the Department.
- (ii) Researchers shall be required to complete the *Intellectual Asset Identification Form* approved by the University Research Council and submit a copy thereof to the Intellectual Property unit through their Supervisor/Head of Department.
- (iii) Research Reports, including theses or dissertations approved for the award of University Degrees or Diplomas, shall constitute intellectual

assets and shall be deposited with the Makerere University Library and the National Library; upon protection under the relevant law shall be transformed into intellectual property.

- a) Provide entrepreneurial skills and raise awareness through training of students and staff on Intellectual Assets and Intellectual Property rights
- b) Solicit for innovative ideas from students and staff and support promising ones

### **17.5.3 Support and strengthening of intellectual property management and coordination at the University**

The University is committed to managing efficiently and effectively any intellectual property arising out of staff and student work, and therefore, shall:

### **17.5.4 Establishment of an Intellectual Property Management unit (IPMU) headed by an Intellectual Property Manager**

- (i) Establish an Intellectual Property Committee as a technical committee of the Board of Research and Graduate Training to assist in the implementation of the IPM policy
- (ii) The role of the Vice Chancellor and the intellectual property management unit shall be defined as follows:
- (iii) The Vice Chancellor shall:
  - a) Be responsible for administering this policy and managing University Inventions, including technological know-how that may be licensable but may not be patented or patentable
  - b) Authorize exceptions to this policy that she/he determines to be in the best interest of the University.
- (iv) The Intellectual Property Management unit shall:
  - a) Create and update a central database where the information on intellectual assets are recorded and accessed by interested persons
  - b) Receive copies of Laboratory Notebooks and Asset Identification Forms for purposes of maintaining an inventory thereof
  - c) In liaison with the Scientist/ Inventor/Author, evaluate the Intellectual Assets to determine their potential for transfer to the public/private sector

- d) Draw up an action plan for the relevant steps, from final development of the innovation to distribution up to the sharing of proceeds
- e) Identify who shall perform the additional development
- f) Identify who shall distribute the innovation
- g) Assess the costs associated with the final development and distribution
- h) Build an impact evaluation method in the distribution process
- i) Collect and develop a database on employment contracts, Student Exchange Agreements, Linkages and Collaborative Agreements, Funding/Donor Agreements, Licenses'/Material Transfer Agreements (MTAs), National and International Laws on the Intellectual Property used or produced by the University, and Research Outputs/Products
- j) Design and review periodically an Intellectual Property Data Management System for the University
- k) Establish a working relationship with the supervisor or persons in the custody of Intellectual Property Related Information
- l) Utilise National and International Legal Instruments in their work
- m) Initiate the commercialization of innovations through to product development partnerships with the private sector
- n) Train staff and students on Intellectual Property/Assets issues
- o) Analyse reports from researchers on Intellectual Assets/Property to determine ownership
- p) Oversee the implementation of the Intellectual Property Management Policy and assist in the review of the policy
- q) Advise the University on the management issues related to Intellectual Assets/Property
- r) The IPM unit shall work closely with the Research & Innovations office to identify intellectual property issues in research proposals and products of research and innovations including those that may be of interest to the private sector
- s) The University shall protect the rights of innovators and the institution. This shall be through:
  - (i) Provision of guidelines for ownership, registration, patenting and

commercialization (ventures, spin-off companies) and disclosure. (Researchers shall seek the assistance of the Intellectual Property unit in applying for registration of copy right, patents, designs or trademarks under the relevant laws or when trying to commercialize their innovation(s))

- (ii) Any discovery or invention that satisfies the following circumstances shall belong to the University (hereinafter referred to as: *University Inventions*):
  - (a) results from research carried out by, or under the direction of any employee of the University which is supported by University funds or funds controlled or administered by the University, or
  - (b) Results arising from an employee's duties with the University, or
  - (c) Has been developed in whole or in part through the utilization of University resources or facilities not available to the general public.
- (iii) Any intellectual property created by a university employee having an honorary appointment at any other institution during that appointment shall lie with the employer who pays the salary of that employee
- (iv) Honorary researchers who are not employed by the University are generally required to transfer any intellectual property they create in the course of their honorary activities to the University subject to the terms and conditions of their honorary contract. Sharing of proceeds from such intellectual property shall follow the university established guidelines for its staff
- (v) University staff funded by outside organizations are required not to make arrangements with such bodies that conflict with their obligations to the University regarding the university's rights to the intellectual property ownership under this policy
- (vi) University employees and students (including postdoctoral appointees, graduate and undergraduate students) shall disclose any University Inventions to the University prior to disclosure of such discoveries or inventions through publications, presentations or communications with third parties including research sponsors.
- (vii) Notwithstanding
  - (vi) the disclosure may be required to comply with legal and/or contractual obligations owed to governmental or non-governmental research sponsors.

- (viii) University staff shall not disclose university inventions in the course of performing outside work for reward unless and until the University has had the opportunity to take the steps necessary to protect University Inventions through patent or otherwise.
- (ix) Students who create innovations or intellectual property and are not University staff shall own any such intellectual property in addition to being inventors, except under the following circumstances:
  - a) In the case of sponsored students where the sponsoring body has claim to the intellectual property.
  - b) In the case of sponsored research by an external body.
  - c) The intellectual property was developed during their University course of work with substantial utilization of university resources as determined by the Board of Research and Publications.
- (x) Notwithstanding
- (ix), students shall have the option of assigning any intellectual property to the University whereby they shall be granted the same rights as any employee inventor as set out in this policy.

**17.5.5 Provision of guidelines for reward of innovators and sharing of financial proceeds**

- (i) Any discovery or invention arising from joint collaboration between the University or its employees, and other institutions shall proportionately belong to the parties.
- (ii) The University shall recover all direct expenses incurred for the patenting, protection and licensing of each university invention from the proceeds before distributing the net proceeds remaining among the inventor(s), major

Administrative unit and the university as follows:

Amount	Inventor (s)	Department	School of Graduate Studies	Centre
First US \$5,000	80%	10%	5%	5%
Above \$5,000	50%	25%	12.5%	12.5%

- (iii) The University shall review the modalities for sharing proceeds of

licensing among the inventor/innovator(s), the inventor's major administrative unit, and the university from time to time

#### **17.5.6 Support and promotion of knowledge transfer mechanisms to students and the wider public**

The university is committed to adhere to good practices and ethical standards in the transfer of knowledge to the users. To this end, the university shall:

#### **17.5.7 Develop, operationalise and review periodically guidelines on the use of intellectual property for the public good e.g. copying/reproduction**

The University shall, in appropriate cases:

- i) Utilize Material Transfer Agreements (MTAs) for purposes of exchanging materials for research or development of innovations.
- (ii) Develop and update periodically the MTA
- (iii) Require that a copy of any Intellectual Assets/Intellectual Property produced by staff and students shall be deposited in the university Library and the IP unit

#### **17.5.8 Promotion of economic activity arising from the products of research and innovation**

The IPM policy provides the basis for the University to take advantage of any intellectual property arising out of innovative research activities in terms of the commercialization. To achieve the commercialization of intellectual property, the university shall:

- a) Support the development of small and medium enterprises (SMEs) (e.g spin-off companies) arising from promising innovations
- b) Develop, operationalize and review periodically guidelines for the commercialization of intellectual property, including licensing and joint ventures with private sector, and spin-off companies. The guidelines shall clearly stipulate the equity interest of the inventor/originator.

### **18.0 QUALITY ASSURANCE**

#### **18.1 Maintenance of High Quality Research and Postgraduate Programmes**

High quality graduate education depends upon the professional and ethical conduct of the participants. Academic staff and graduate students have complementary

responsibilities in the maintenance of academic standards and the creation of high quality graduate programmes. Excellence in graduate education is achieved when both Academic staff and students are highly motivated, possess the academic and professional backgrounds necessary to perform at the highest level, and are sincere in their desire to see each other succeed.

## **18.2 General Principle**

A major purpose of graduate education at the Makerere University is to instil in each student an understanding of and capacity for scholarship, independent research, critical thinking skills, and intellectual honesty.

## **18.3 Programme of Study**

Graduate education is intended to answer the personal needs of students and the special needs of society not satisfied through undergraduate training. Graduate degree programmes should indicate that the holders have sufficiently mastered a programme in a particular field to pursue creative projects in that specialty. The degrees are awarded for completion of a coherent programme -- formalized as the programme or plan of study -- designed to assure the mastery of specified knowledge and skills.

## **18.4 Continuous Graduate Registration Requirement**

After completing all Coursework courses included in the planned programmes or plans of study for degrees, all graduate students must remain continuously registered in each regular semester up to and including the semester in which the degrees are awarded for their programmes.

## **18.5 Regulatory Obligations and Quality Assurance**

The Chairpersons and members of the College/School Graduate Studies and Research committees must become familiar with University rules, regulations, policies, and procedures below:

- (a) Each applicant recommended to the Board of Research and Graduate Training for admission must meet the formal requirements for admission, as specified in the relevant rules, including the University's minimum requirement.
- (b) The proposed research project must be appropriate for the degree and must be able to be completed within the maximum time limit for the degree.
- (c) The Department/School/College must be an appropriate academic location for the proposed research, and appropriate resources (including fieldwork funds) and physical facilities must be provided and maintained through the research period.

- (d) All statements made by a candidate and/or supervisor through the regular reporting procedures established by the University must be validated by the signature of the Head of Department. Any issues raised for the attention of the Head of Department should be followed up with the candidate, supervisor or the Director of the Directorate of Research and Graduate Training, as appropriate.
- (e) Supervisors must be made aware of the requirement to keep the Directorate of Research and Graduate Training informed, via the Chair of Department, of Variation to Candidature or any changes to circumstances which might impact on a supervisor's ability to supervise via the Chair of Department.
- (g) Supervisors must be made aware of their responsibilities toward research candidates and assisted to ensure they fulfil all academic and administrative requirements promptly and satisfactorily.

## **18.6 Graduate Research Community**

- (a) Appropriate opportunities shall be provided, by way of seminars and related activities, for candidates to develop their skills at presenting their work, and to be integrated into a cohesive group. Supervisors and candidates should be encouraged to attend.
- (b) Candidates and supervisors shall be encouraged to participate in other appropriate training activities, such as Workshops in the University.
- (c) Appropriate opportunities shall be provided for candidates to participate in the intellectual activity of the School and to interact with and develop profitable intellectual relationships with one another.
- (d) Each candidate shall be provided with information about the school, including resource allocation, its staff and other candidates' projects, normally in the form of induction. Candidates and supervisors are also encouraged to attend University induction activities.
- (e) The School shall, where possible, facilitate contact between the candidate and other researchers in related areas, including external agency, industry, or other institutional links.

## **18.7 Supervision and Candidate-Supervisor Relationship**

Supervision must be arranged, provided and maintained in accordance with the relevant University rules and the Board of Research and Graduate Training. Specific responsibilities in relation to thesis preparation, submission and examination:

- (a) At the time of submission, the Head of Department must certify that the thesis is properly presented, conforms to the relevant University rules and is, therefore, prima facie, worthy of examination.
- (b) Examiners must be nominated and recommended to the Board of Research and Graduate Training, College/School, as appropriate in a timely fashion, and normally three weeks prior to submission of a thesis for examination.

**18.8 Grievances and Appeals needs clear reformulation**

- (a) Appropriate Directorate of Research and Graduate Training procedure to deal with situations which might be perceived as involving conflicts of interest, including incidences where the Chair of the Department is a candidate’s supervisor, these provisions must exist and candidates must be made aware of them.
- (b) Appropriate DRGT procedure to deal with unresolved conflicts between supervisor(s) and candidates and this must be known by all candidates.

**18.9 Staff Workload**

In allocating workload to staff the following guidelines shall be used.

- (i) The maximum workload (hours per week) for teaching members of staff were weighted in terms of hours as follows:

a. Lecture Preparation	12
b. Lecturing	6
c. Tutorial/Seminar	2
d. Marking	6
e. Practical /Clinical	2
f. Supervision	4
g. Research	4
h. Maximum workload per week	40

- (ii) The mandatory contact hours are based on visible and monitorable workload. (b), (c), and (e) which should be 10 contact hours per week for a member of staff.
- (iii) At postgraduate level senate decided that only staff who possess a PhDs or who are at the rank of Senior Lecturer should teach and supervise graduate students.
- (iv) The Senate approved the following staff/student ratios to guide in deciding the intake capacity to graduate programmes:-

a. Masters programmes	1:5 One Lecturer to Five Students
b. PhD Programmes	1:3 One Lecturer to Three Students

- c. Post grad. Diploma Programmes 1:10 One Lecturer to 10 Students

## 19.0 RULES ON EXAMINATION MALPRACTICES AND IRREGULARITIES

### **Rule 1: Malpractices in Relation to Coursework**

It shall be an offence for a student/candidate to avail to another student/candidate his/her prepared coursework with a view to assisting the latter to do his/her coursework or to negligently expose his/her coursework to another candidate to use.

Penalty

Any student/candidate found guilty of the offence under Rule. 1 above shall be liable to:

- i) Caution and Cancellation of his/her coursework, or
- ii) Caution and Cancellation of his/her coursework and suspension from his/her studies for a period not exceeding one academic year.

### **Rule 2: Fraud in Relation to Coursework**

It shall be an offence for a student/candidate to:

- (a) Submit coursework not prepared by him/her.
- (b) Substantially plagiarise the work of any other person.
- (c) Solicit/purchase any coursework from any other person.
- (d) Falsify/alter marks awarded on a coursework script.

Penalty

Any student/candidate found guilty of involvement in fraudulent conduct related to coursework as set out in Rule. 2 above shall be liable to:

- i) Caution and Cancellation of his/her coursework, or
- ii) Cancellation of his/her coursework and suspension from his/her studies for a period not exceeding one academic year, or
- iii) Cancellation of his/her coursework and dismissal from the University.

### **Rule 3: Malpractices in the Conduct of Examinations**

It shall be an offence for a student/candidate involved in an examination/test to:

- (a) Sit or attempt to sit the examination without valid documentation.
- (b) Enter the examination hall/room later than half an hour after the examination/test has commenced.
- (c) Leave the examination hall/room earlier than half an hour after the

examination has commenced except in emergencies with the express permission of the Invigilator.

- (d) Carry out a conversation or any other communication with another student/candidate once the examination has commenced.
- (e) Indulge in any disruptive conduct including, but not limited to, shouting, assault of another student/candidate, using abusive and /or threatening language, destruction of university property or the property of another student/candidate.
- (f) Take out of the examination room/hall answer booklet(s), used or unused.
- (g) Neglect, omit or in any other way fail to follow lawful instructions or orders issued by the Invigilator.
- (h) Physically assault or insult an Invigilator or any University Official involved in the conduct of the examination.

#### Penalty

Any student/candidate found guilty of contravening Rule 3 above, shall be liable to:

- i) Caution and Cancellation of the relevant examination, or
- ii) Cancellation of the relevant examination and suspension from the University for a period not exceeding two years, or
- iii) Cancellation of the relevant examination and dismissal from the University.
- iv) A student/candidate who contravenes Rule 3(e) shall be liable to a fine as well as any penalty specified above.
- (v) A Government-sponsored student/candidate found guilty of contravening Rule 3 above, may have the Government sponsorship cancelled besides any other punishment taking into account the gravity of the offence except in cases where the student/candidate is dismissed from the University.
- (vi) Any student/candidate found guilty of contravening Rule 3(h) above by physically assaulting an Invigilator or a University Official shall be dismissed from the University.

#### **Rule 4: Cheating in an Examination**

It shall be an offence for any student/candidate involved in an examination to:

- (a) Take into the examination room/hall, in person or by agent, unauthorized materials including, but not limited to, plain papers, condensed/summarized notes, books, and handkerchiefs on which information is written or information written on any part of the body, recording apparatus, mobile phones or any unauthorized electronic equipment.
- (b) Copy from any other candidate/student.

- (c) Involve oneself in plagiarism, that is:
  - (i) Pass off the words or ideas of someone else as his/her own without proper acknowledgement or crediting the original source.
  - (ii) Replicate one's own work which one has presented elsewhere for assessment.
- (d) Aid and/ or abet another candidate/student to copy from a script/ book of another person.
- (e) Exchange answers with another candidate/student in or outside the examination room.
- (f) Collaborate with another candidate/student in the examination room to use telephone discussions and share material including calculators and other electronic equipment.

#### Penalty

Any student/candidate found guilty of cheating in examinations as defined above shall be liable to:

- i) Caution and Cancellation of the relevant examination, or
- ii) Cancellation of the relevant examination and suspension from the University for a period not exceeding two years, or
- (iii) Cancellation of the relevant examinations and dismissal from the University.
- (iv) A Government-sponsored student/candidate found guilty of contravening Rule 4 above, may have the Government sponsorship cancelled besides any other punishment except in cases where the student/candidate is dismissed from the University.
- (v) Any student/candidate found guilty of cheating in examinations on second conviction shall be dismissed from the University.
- (vi) On conclusion of the malpractice case, the confiscated unauthorized material shall be destroyed within sixty (60) days from the date of the letter communicating the decision.
- (vii) Where several paragraphs or ideas have been plagiarized the student shall be warned and awarded a grade "D" for the submitted work.
- (viii) On a second charge of the offence of plagiarism as defined in (a) above, the examination shall be cancelled and the student awarded a grade "F" for the submitted work.
- (ix) On a third and subsequent time of the offence of plagiarism as defined in (a)

above, the student shall be suspended for a year.

- (x) Where the entire material has been lifted from another source verbatim or with only slight alterations the student shall be dismissed from the University.

### **Rule 5: Fraud in Examinations**

It shall be an offence for a student/candidate involved in an examination to:

- (a) Import into the examination hall/room, in person or by agent, a pre-prepared answer script/booklet.
- (b) Substitute an answer script/booklet prepared outside the examination room/hall for the one already submitted to the Invigilator/ Examiner.
- (c) Falsify or alter marks awarded on an examination script/book.
- (d) Impersonate another student/candidate.
- (e) Procure or induce another person to sit for him/her.
- (f) Utter false documents in relation to eligibility to sit University examinations.
- (g) Sit or attempt to sit an examination without authority.
- (h) Deliver to the Examiner's office or residence an examination script/booklet outside the scheduled time for delivery without due authority.
- (i) Fraudulently receive examination papers/questions which have been illegally procured or made available.
- (j) Fraudulently access or attempt to access examination questions before the examination is due.
- (k) Pay or induce another person to illegally procure or make available examination questions/papers.

### **Penalty**

Any student/candidate found guilty of fraudulent conduct as defined above shall be liable to:

- i) Cancellation of the relevant examination and suspension from the University for a period not exceeding two academic years, or
- ii) Cancellation of the relevant examinations and dismissal from the University.
- (iii) A Government-sponsored student/candidate found guilty of contravening Rule 5 above, may have the Government sponsorship cancelled besides any other punishment except in cases where the student/candidate is dismissed from the University.

### **Rule 6 Offences Relating to the Conduct of Irregularities Hearing**

It shall be an offence for any student/candidate whether or not he /she has been accused of an irregularity to:

- a) Interfere with the conduct of investigations into the matter or the hearing of an irregularity by the College/School Appeals and Irregularities Committee.
- b) Intimidate members of the Committee or other members of the University Staff or witnesses in the irregularity matter.
- c) Destroy evidence relating to an alleged irregularity.
- d) Forge or utter false documents in relation to an alleged irregularity.
- e) Bribe or attempt to bribe a University Official, witness or any other person in relation to an alleged irregularity.
- f) Harass or procure others to harass on his /her behalf a University official, witnesses or any other person in relation to an irregularity by making constant telephone calls, visits, etc.

#### Penalty

Any student/candidate found guilty of interference with the conduct of an irregularity hearing as defined in Rule 6 above shall be liable to:

- i) Cancellation of the relevant examinations, or
- ii) Cancellation of the relevant examinations and suspension from the University for a period not exceeding one academic year, or
- iii) Cancellation of the relevant examinations and dismissal from the University.

#### **Rule 7 Possession of firearms during the examination period**

It shall be an offence for a student/candidate involved in an examination/test to:

- (a) Bring within the precincts of the examination room any firearm or potentially dangerous weapon.
- (b) Use a firearm or any potentially dangerous weapon with the purpose to intimidate, threaten or otherwise deter investigations into any examination irregularity.

#### Penalty

Any student found guilty of the offence defined in Rule 6A (a) shall be liable to:

- i) Caution and cancellation of the relevant examination, or
- ii) Cancellation of the relevant examination and suspension for a period not exceeding two years, or
- iii) Cancellation of the relevant examination and dismissal from the University.

**NOTE:** The term “potentially lethal weapon” for purposes of Rule 6A includes, but is not limited to, pangas, machetes, daggers, switch blades, spears, swords, bows & arrows, brass knuckles and any incendiary device. This definition also includes imitations of potentially dangerous weapons such as fake guns.

### **Rule 8 Mitigating and Aggravating Factors When Determining the Appropriate Punishment**

Where the Rule provides a range of punishments, the Committee may take into account the following mitigating and aggravating factors in determining the appropriate punishment.

(a) Mitigating Factors.

- Remorse on the part of the student/candidate.
- Truthfulness
- Lack of substantial benefit from the malpractice
- Student/candidate first offender
- Plea of guilty therefore not wasting the Committee’s time.

(b) Aggravating Factors.

- Substantial benefit from the malpractice.
- Lack of credibility.
- General misconduct.
- Frivolous and vexatious denials.
- Allegations of misconduct on the part of University staff which are subsequently proved to be false.
- Second conviction.

## **Rule 9: Procedure for Hearing of Malpractice Cases.**

- (i) Guidelines on Apprehension of a Suspect
  1. When a student/candidate is suspected to be engaging in examination malpractices, he/she should be apprehended immediately. In the apprehension of a suspect, the following should be taken into account:
    - a. A suspect should be handled in the appropriate manner to ensure that the privacy and bodily integrity of a person is not violated. Body searches should be done in the presence of another person.
    - b. The materials should be taken away as soon as they are found and kept as exhibits.
    - c. Identity of the suspect and possible witnesses should be recorded immediately.
    - d. A suspect should be allowed to proceed with the examination since he/she is presumed to be innocent until proved guilty.
- (ii) Rules of Natural Justice
  2. In the handling of examination irregularities and malpractices, the College/School Examinations Irregularities and Appeals Committee shall take into account the following principles of natural justice:
    - (a) Fair and equal treatment of all students/candidates,
    - (b) The opportunity to enter a plea of guilty or not guilty,
    - (c) Fair hearing accorded to all students/candidates,
    - (d) Right of students/candidates to appear and to defend themselves.
    - (e) Staff not to sit in judgment of their own cause, and Consistency in punishments.
- (iii) Pre- Hearing
  3. The Member of Staff who alleges that a student/candidate was involved in a malpractice shall make a formal written report to the Chairperson of the Committee. Any materials allegedly found on the student/candidate should be given to the Chairperson for safe custody.
  4. The Chairperson of the Committee shall inform the student/candidate in writing of the allegation. A copy of the Rules shall be availed to the student/candidate with the letter of the Chairperson.
  5. The student/candidate shall be allowed to make a formal defence to the allegations in writing addressed to the Chairperson of the Committee.
  6. The student/candidate shall then be invited in writing or by whatever

expedient method to appear before the Committee to defend himself/herself.

7. The student/candidate shall be given adequate notice of the date of appearing before the College/School Committee to enable him/her time to prepare his/her defence.
8. (a) A student/candidate who fails or refuses or omits to appear after being effectively summoned three times shall be suspended indefinitely from the University pending his/her appearance before the Committee.  
(b) The suspension shall remain in place until the Chairperson of the Committee formally notifies the Academic Registrar that the student/candidate has appeared and answered the allegations.
9. A student/candidate alleged to have been involved in examination malpractice shall not be registered for subsequent semester until such a time that the case has been disposed of.

iv) Hearing

10. The Committee shall be properly constituted by the Chairperson and six other members. The membership of the Committee shall be drawn from the Principal/Deans and Deputy Deans and Chairs of Departments in each College/School. Quorum of the Committee shall be five members present.

**(Note:**

- (a) **The membership and quorum should be determined in such a way as to ensure that members do not sit in judgement of their own cases.)**
  - (b) The College Academic Board in each College/School should determine the membership of the College/School Appeals and Irregularities Committee.
11. The student/candidate shall appear in person before the Committee and identify himself/herself as the subject of the proceedings. The Member of Staff/ Invigilator concerned should also be present.
  12. The Committee shall formally charge the student/candidate. The student/candidate shall be informed by the prosecutor of the allegations against him/her and the Rule in the Rules on Examination Malpractices and Irregularities he/she is alleged to have breached. In addition, he/she shall be informed of the possible punishments.
  13. The student/candidate shall formally respond to such allegations.
  14. When the student/candidate responds in the affirmative, a plea of guilty

shall be recorded by the prosecutor.

- (a) On a plea of guilty, the Member of Staff/Invigilator reporting the malpractice shall present the facts constituting the malpractice to the Committee in the presence of the student/candidate.
- (b) Where the student/candidate is alleged to have been found with unauthorised materials, the materials shall be brought before the Committee and the Member of Staff making the report shall state formally in the presence of the student/candidate whether they are the materials he/she is alleged to have found in the possession of the student/candidate.
- (c) The student/candidate shall be given an opportunity to respond to allegations of fact. He/she may disagree with them and he/she has a right to cross-examine the person making the report.
- (d) Where the student/candidate responds to the allegations of facts and the Committee is of the considered opinion that in substance he/she is pleading not guilty, it shall direct that a plea of not guilty be substituted for the plea of guilty.

**(Note: Where the student/candidate admits the offence with an explanation or makes a plea that is vague the Committee should record a plea of not guilty).**

- (e) The student/candidate shall be allowed to plead mitigating factors, which the Committee should take into account in prescribing punishment.
  - (f) The Committee shall then deliberate in the absence of the student/candidate and the Member of Staff/Invigilator making the report.
  - (g) A decision shall be made with regard to the punishment and reasons should be assigned for such a decision.
  - (h) The report shall be forwarded to the Senate Academic Policies and Appeals Committee for information for any other decisions apart from dismissal. Where, on the face of the record, the Senate Academic Policies and Appeals Committee realises that the College/School Committee erred in its decisions; the Committee has a right to review the decision.
15. On a plea of not guilty by the student/candidate, the Member of Staff/Invigilator making the report shall present the facts to the Committee with the guidance of the prosecutor in the presence of the student/candidate who has a right of cross-examination.

- (a) The Member of Staff/Invigilator reporting the malpractice shall present the facts constituting the malpractice to the Committee in the presence of the student/candidate.
  - (b) Where the student/candidate is alleged to have been found with unauthorised materials, the materials shall be brought before the Committee and the Member of Staff making the report shall state formally in the presence of the student/candidate whether they are the materials he/she is alleged to have found in the possession of the student/candidate.
  - (c) The student/candidate shall be given an opportunity to respond to allegations of fact. He/she may disagree with them and he/she has a right to cross-examine the person making the report.
16. The prosecutor may call witnesses whose presence he/she considers important for the just and fair disposal of the case.
  17. The student/candidate shall present his/her defence to the Committee in the presence of the Member of Staff who made the report who also has a right of cross-examination.
  18. The student/candidate may call witnesses to substantiate his/her defence.

**v) Nature of Evidence General**

19. (a) The Committee may admit oral and material evidence, which may be direct or circumstantial.

(Note direct evidence is the account of the eyewitnesses or the original documents while circumstantial evidence is that which is inferred from the circumstances of the case e.g. the student/candidate running away when approached by an Invigilator.)

- (b) The Committee may not admit hearsay evidence unless there is independent evidence that lends it credence.

(Note: hearsay evidence is indirect in the sense that it is given by a person who was not an eye witness e.g. where a witness reports what was told to her/him by another person or photocopies of documents produced where the original is not produced with no adequate explanation as to why. Such evidence should only be accepted where there is other direct evidence which supports the hearsay.)

20. After the close of the evidence and before a decision is made; the student/candidate shall be given an opportunity to present to the Committee mitigating factors.

**vi) Post-Hearing**

21. The Committee shall deliberate on the matter preferably on the same day as the hearing.
22. The Committee shall make findings of fact with respect to the evidence and make a decision based on those facts. The Committee must assign reasons for each decision.
23. The proceedings, Committee deliberations and the decision/ recommendation should be recorded and a signed record should be forwarded to the Senate Academic Policies and Appeals Committee for information for decisions other than dismissal.
24. The student/candidate shall be officially informed of such decision and availed a copy of the decision as well as the record of the proceedings.
25. The student/candidate shall be informed of his/her right of appeal and the procedure to be followed.
26. Where the Committee recommends dismissal of a student/candidate, the decision must be confirmed by the Senate Academic Policies and Appeals Committee and then the student/candidate shall be officially informed of the final decision.

**vii) Appeal Procedures**

27. A student/candidate who is dissatisfied with the decision of a Committee may appeal to the Senate Academic Policies and Appeals Committee within 30 days from the date of the letter communicating the decision.
28. The appeal shall be in writing addressed to the Academic Registrar and copied to the College/School Examinations Irregularities and Appeals Committee stating clearly the grounds of appeal. The Academic Registrar shall acknowledge in writing to the student/candidate and Chairperson of College/School Committee receipt of the appeal.
29. A student/candidate who pleaded guilty to an offence before the College/School Committee shall have a right of appeal only with respect to the penalty.
30. The Senate Academic Policies and Appeals Committee shall hear the appeal expeditiously. The student/candidate appealing shall be notified in writing of the date when the appeal will be heard and should be given an opportunity to appear before the Senate Academic Policies and Appeals Committee and be heard.
31. The Academic Registrar shall officially notify the College/School Committee that made the decision in the first instance of the date of hearing of the appeal. The College/School Committee shall have a right of

representation.

32. At the hearing of the appeal, the student/candidate shall have an opportunity to be heard and the College/School Committee shall have a right to respond to the student/candidate's presentation.
33. The Senate Academic Policies and Appeals Committee shall have power on cause being shown to allow the student/candidate present additional evidence before it.
34. Where additional witnesses are called, they will be subject to cross-examination by the representative of the College/School Committee. The College/School Committee may also adduce additional evidence, which may be responded to by the student/candidate.
35. The Senate Academic Policies and Appeals Committee will then deliberate in the absence of the student/candidate and College/School Committee representative preferably on the date of hearing.
36. The Senate Examinations Committee may confirm, vary or set aside the decision of the College/School Committee.
37. The Senate Examinations Committee shall take into account the rules of natural justice set out in Rule 8(ii) 2 of these Rules.

### **19.1 General Rule for possession of firearms**

It shall be an offence for any student to:

- a) Be in possession of firearms or other potentially lethal weapons on university property and halls of residence.
- b) Use a firearm or any potentially lethal weapon on university property and halls of residence.
- c) Appear on university property or halls of residence wearing a law enforcement security uniform.

Penalty

- iv) Caution, or
- v) Suspension for a period not exceeding two academic years, or
- vi) Dismissal from the University without prejudice to any action that may be pursued in a court of law.

### **19.2 Policy on Retention and Disposition of Examination Scripts**

Due to lack of space in the Academic Units for storing large volumes of scripts, the

Senate has decided on the following measures in handling the retention and disposition of assessment/examination scripts:

- i) Academic Units shall store/retain all assessment examination scripts of students for a period of two years with effect from the end of the semester of a particular assessment. The retention will allow the University to address any complaints or appeals and also to use the scripts for Quality Assurance purposes.
- ii) The Deans are responsible for ensuring that Examination Scripts are disposed of in a secure and appropriate manner at the end of the defined period (two years from the semester of a particular assessment)
- iii) The Academic Units shall ensure prompt return of coursework scripts/assignments/class tests at least not later than two weeks before the beginning of the semester Final Examinations to enable students to know their progress and/or learn from past mistakes.

## **20.0 STUDENTS SUPPORT SERVICES**

### **20.1 Induction/Orientation**

After the student has received his/her admission letter, he/she should report to his/her Department for guidance on induction. Details of the induction programme are enclosed along with the admission letter. Induction helps the new student to become familiar with the university environment and is an opportunity to learn more about the Department, its research activities, and its personnel. During this time, the student is expected to meet with his/her prospective supervisor to discuss the study programme including the rights and obligations of each party. Generally the induction processes include (but not be limited to) the following activities:

- (i) Guidance on reporting protocol (channels of communication, communication hierarchy etc.).
- (ii) A structured Directorate of Research and Graduate Training induction programme.
- (iii) An introduction to the department/unit (College/School Staff, space, email and internet access, library/book-bank facilities, lab/studio facilities and any relevant on going activities etc.).
- (iv) Provision of working space for students.
- (v) Meeting with supervisor/s and discussing relevant courses.
- (vi) Discussing and agreeing on the study plan/way forward with supervisor/s.
- (vii) Making input on the composition of the Doctoral Committee (Note: At least two

of the members of the Doctoral Committee must be supervisors).

- (viii) Understanding the responsibilities of the student vis-à-vis those of the supervisor/s.
- (ix) Guidance on the importance of being an active part of the international academic community (including attending conferences and writing conference papers).
- (x) Guidance on scholarly writing.

## **20.2 Research Support**

The University has some research funds to support doctoral research from sources such as the Uganda Government; 1% University Income which is School generated; and funds from donors.

These research funds are available only to doctoral students who are members of staff of Makerere University and can be accessed through the respective unit. For further information, link to [www.makerere.ac.ug/](http://www.makerere.ac.ug/)

## **20.3 Information Communications Technology (ICT)**

The University, through the Directorate of Information Communications Technology Support (DICTS), provides computer and related services to all the university units. The College/School assists the doctoral student to access internet and e-mail facilities and related computer services.

## **20.4 Library Services**

Please note that the University Library subscribes to a large number and wide variety of scholarly online journals and e-books as a special service for researchers. The University Library on the main campus serves all students and staff. In addition, there are sub-libraries in the many Faculties, Institutes and Schools and several departmental Libraries. For more information visit [www.makerere.ac.ug/mulib](http://www.makerere.ac.ug/mulib).

## **20.5 Guidance and Counselling**

In case you require guidance and counselling on academic or social issues, the first port of call is your supervisor/s, who will guide you on the course of action. The University Guidance and Counselling office is located in the University Hospital.

## **20.6 Health Services**

There is a university hospital on the campus which caters for students and staff. Mulago Hospital, the main national referral hospital is within walking distance from

the main campus. In addition, there are several other hospitals and many private clinics in the greater Kampala area.

The University offers basic health services at the University Hospital. Students are advised to take up health insurance from local companies or from their home countries. Students are also advised to familiarise themselves with these services before they seek similar services elsewhere.

## **20.7 Accommodation**

There is one hall of residence on campus for accommodation of graduate students. Other accommodation facilities can be obtained from the Hostels surrounding the University. These Hostels are within walking distance of the University.

## **20.8 Financial Support or Sponsorship**

Makerere University does not offer scholarships to graduate students with the exception to their own academic staff on graduate training. All graduate students should seek for sponsorships from various donors. Graduate Students may fund their studies and/or research through a variety of means, including:

- i) Self-sponsorship
- ii) Private-sponsorship
- iii) Departmental, Faculty or University projects that may cater for research and/or doctoral training.
- iv) University research funds (for University staff only)

In addition, there are organisations which offer financial support to students. Students are advised to consult with the Directorate of Research and Graduate Training Research Division, for guidance or visit the DRGT website for more information at [www.makerere.ac.ug/](http://www.makerere.ac.ug/)

## **21.0 COUNCIL OF GRADUATE STUDENTS (COGS)**

COGS is a council of graduate students which is a body that brings all graduate students together and coordinates research, academic and welfare matters of graduate students. COGs represent graduate students on key and relevant bodies and committees of the University Council and Senate. The Council of graduate students was formed in 2004. All graduate students are de facto members of COGS and they are, therefore, expected to pay annual membership and subscriptions. COGS are the body that brings all graduate students together and coordinates the welfare and academic matters of graduate students. The University Council and Senate have agreed that Graduate Students be represented

on the key and relevant bodies and committees to present and articulate graduate issues, to champion the traditions of the University in research and promote cultures worthy of research excellence and leadership. The COGS has a constitution and structure managed by an executive body popularly referred to as CABINET. Students are invited to register with COGS at graduate hall of Dag Hammerskjold.

### **21.1 Members of COGs**

All registered Makerere University Graduate Students are de facto members of COGs and are expected to pay annual membership and subscriptions.

#### **a) How can you get involved?**

All Graduate students are represented on the COGs through Graduate course/ programme representatives; every programme sends a representative to the Council through elections at programme level. Graduate students are encouraged to participate in COGs programmes/activities.

#### **b) Benefits from COGs**

- (i) COGs organize regular research workshops and seminars which are essential for Graduate students' success.
- (ii) Regular adverts for research and scholarship opportunities for Graduate students.
- (iii) Advocacy for Students' rights and Obligations. E.g. if you have problems with your lecturers, supervisors or matters affecting you socially or otherwise, COGs advocates for dialogue to find solutions.
- (iv) Organisation of Graduate Students exchange visits to universities within and outside East Africa.
- (v) Publication of the Graduate Voice Magazine.
- (vi) Organisation of Graduate social events, etc.

### **FURTHER INFORMATION**

- (i) More information regarding graduate studies can be obtained from the Schools/Departments where the programme is hosted or the respective website. Students should also visit the Directorate of Research and Graduate Training on the University website at [www.makerere.ac.ug/](http://www.makerere.ac.ug/)
- (ii) The following documents are available for a small fee at the School of Graduate Studies:

- a. Supervision Guidelines
- b. General Information Brochure on Graduate Studies at Makerere University.