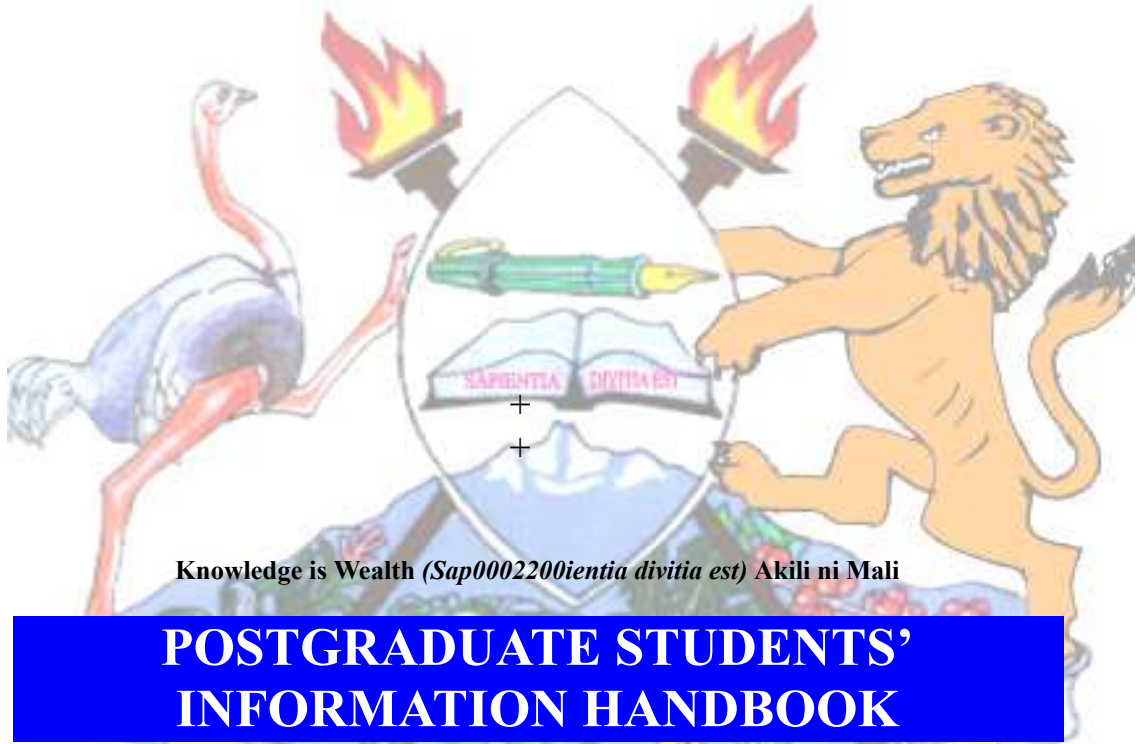


CHUKA

UNIVERSITY





Knowledge is Wealth (*Sapientia Divitia Est*) Akili ni Mali

POSTGRADUATE STUDENTS' INFORMATION HANDBOOK





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Chuka University





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PREAMBLE

The Board of Postgraduate Studies of Chuka University was founded in 2005 when the first group of students was admitted to pursue postgraduate studies. The programmes have since expanded and the Board admits students in many fields of study. The levels coordinated by the Board are Postgraduate Diploma, Master's and Doctorate Degrees. The name of the Board changed to the Board of Postgraduate Studies and Research in 2011 in a move to bestow it the mandate of coordinating research activities in the University. In 2015, it reverted to the Board of Postgraduate Studies when an independent Board of Research was operationalized.

The Board is chaired by a Director and served by representatives from all the Faculties in the University and includes the Academic Registrar, two senate representatives, Directors (REP and QA PC), and the University Librarian. The Deputy Vice-Chancellor (Academic, Research & Students Affairs) guides, oversees and supervises the operations of the Board.

The Board is charged with the following responsibilities:

- (i) Harmonization of postgraduate syllabuses and regulations.
- (ii) Admission of postgraduate students in consultation with Faculties and Departments concerned with programme formulation.
- (iii) Administration of postgraduate scholarships and research grants.
- (iv) Overseeing proper conduct and supervision of postgraduate study programmes offered by Faculties and Departments.
- (v) Administration and vetting of examinations, research projects and theses.
- (vi) Overseeing general welfare and discipline of postgraduate students.

This Handbook was prepared in consultation with the University Management to provide insights on affairs pertaining to postgraduate studies and research. It is envisaged that it will clarify many academic issues and frequently asked questions pertaining to postgraduate students. Ultimately, students who will adhere to the guidelines provided in the handbook should have a smooth time during the course of their studies. The University wishes all the postgraduate students enjoyable reading and application of the stipulations in this handbook.

The University Management reserves the right to revise these regulations from time-to-time without giving prior notice. Candidates are therefore required to keep abreast with any changes as they may arise and are circulated.

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PART ONE
POSTGRADUATE DIPLOMA RULES AND REGULATIONS

1.1. Admission Requirements

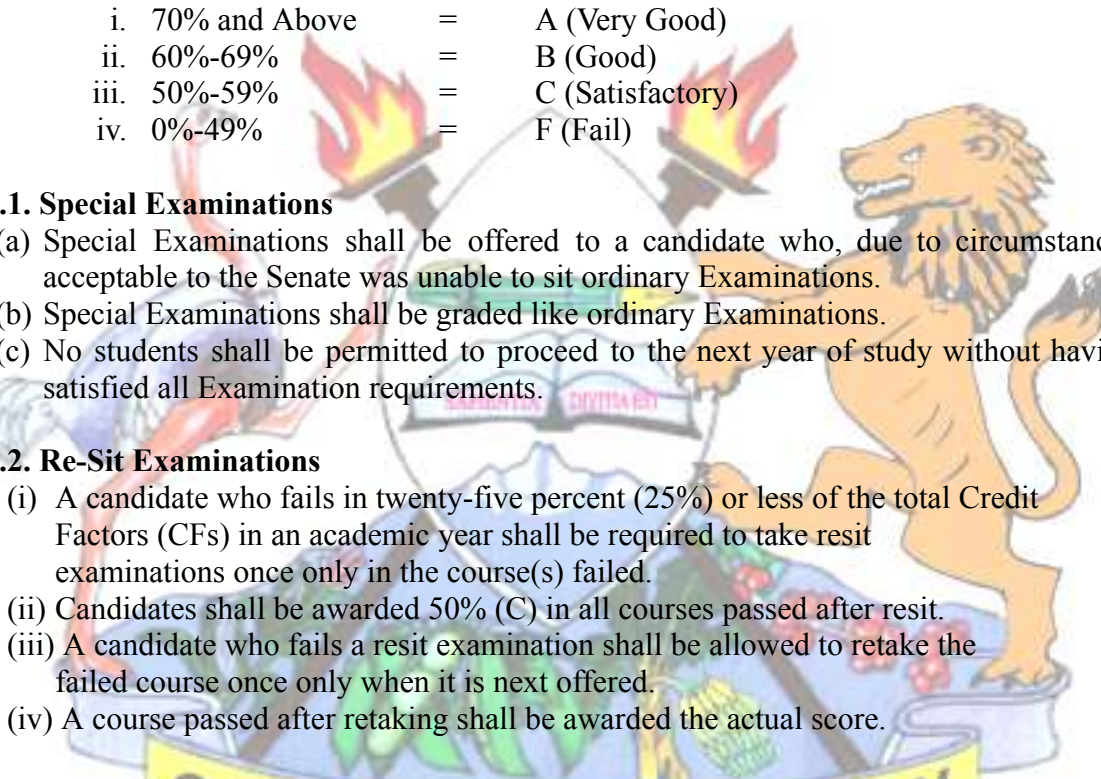
- (a) Applicants shall fulfill the following:
 - (i) Hold at least a Bachelor Degree or its equivalent.
 - (ii) Special requirements as may be prescribed by the Department, Faculty, School or Institute concerned.
- (b) Applicants shall be admitted to only one Postgraduate Diploma programme at a time.
- (c) Application forms may be obtained from Chuka University upon payment of a non-refundable fee as specified from time-to-time.
- (d) Duly completed forms alongside copies of testimonials should be returned to the Director, Board of Postgraduate Studies.
- (e) Admission shall be confirmed by a letter from the Director of Graduate School.

1.2. Duration of Study and Course Requirements

- (a) A Postgraduate Diploma programme shall last a minimum of 9 months and a maximum of 12 months in the case of full-time students who will be required to register for between 15 and 21 Credit Factors per Session, except under special circumstances, which must be approved by the Senate.
- (b) Part-time students shall register for a maximum of twenty-four months.
- (c) A student must take and pass at least thirty (30) Credit Factors of prescribed courses to qualify for the award of a Postgraduate Diploma.

1.3. Examinations

- (a) All Examinations shall be conducted under the authority of the Senate as specified under various Rules and Regulations.
- (b) Only candidates who have registered and have fulfilled all the requirements shall be eligible for taking Examinations.
- (c) Examinations shall be moderated by External Examiners.
- (d) Subject to approval by the Senate, Departments may establish Moderating Committees, chaired by the Chairman of Department and consisting of senior academic staff, which shall moderate the Examinations.
- (e) Each candidate shall pay to the University in respect of Examinations such fees as the Council shall from time to time prescribe.
- (f) Examinations shall consist of:
- (g) Assignments, Practicals, Fieldwork, Industrial Attachment and other Continuous Assessments as required by the Department, Faculty, School or Institute concerned which shall constitute forty percent (40%) of the total marks for each course.
- (h) The Final Examinations, which shall constitute sixty percent (60%) of the total marks for each Course.
- (i) Seminars and Courses which are of a practical nature may be assessed entirely by Continuous Assessment.
- (j) Marks obtained in examinations shall be converted into letter grades as follows:

- 
- | | | |
|------------------|---|------------------|
| i. 70% and Above | = | A (Very Good) |
| ii. 60%-69% | = | B (Good) |
| iii. 50%-59% | = | C (Satisfactory) |
| iv. 0%-49% | = | F (Fail) |

1.3.1. Special Examinations

- Special Examinations shall be offered to a candidate who, due to circumstances acceptable to the Senate was unable to sit ordinary Examinations.
- Special Examinations shall be graded like ordinary Examinations.
- No students shall be permitted to proceed to the next year of study without having satisfied all Examination requirements.

1.3.2. Re-Sit Examinations

- A candidate who fails in twenty-five percent (25%) or less of the total Credit Factors (CFs) in an academic year shall be required to take resit examinations once only in the course(s) failed.
- Candidates shall be awarded 50% (C) in all courses passed after resit.
- A candidate who fails a resit examination shall be allowed to retake the failed course once only when it is next offered.
- A course passed after retaking shall be awarded the actual score.

1.4. Discontinuation

A student shall be discontinued for:

- Failing more than twenty five percent (25%) of the total Credit Factors (CFs) taken in an academic year.
- Obtaining a Cumulative Weighted Average of less than fifty percent (50%).
- Failing a re-sit examination.
- Committing a serious academic examination malpractice as defined in 2.10.
- Failing to register and attend scheduled lectures for two (2) weeks or longer without the consent of the Senate.
- Absconding from research work for a period of sixty (60) days or more.

PART TWO MASTER'S DEGREE RULES AND REGULATIONS

2.1. Application and Admission Procedures

- (a) Application forms may be obtained from Chuka University upon payment of a non-refundable fee and returned after duly completing.
- (b) Applicants shall be admitted to only one programme at a time.
- (c) Admission shall be confirmed by letter from the Director, Graduate School.
- (d) Admission shall be offered to holders of a Bachelor's degree with an Upper Second Class Honours or above or equivalent qualification from recognized institutions.
- (e) In exceptional cases, the Senate may also admit a non-holder of Upper Second Class Honours provided that such a candidate can demonstrate to the satisfaction of the Senate qualification to undertake Postgraduate studies, on the basis of the research and other scholarly work done.
- (f) Subject to approval of the Senate, Departments may formulate regulations requiring applicants to meet other academic qualifications consistent with the goals of the programme or to appear for oral examination to determine suitability for admission.
- (g) Regulations governing admission of candidates holding Higher National Diploma through the Pre-Master's programme shall be done in accordance with the requirements of the respective Departments and Faculties.

2.2. Duration of Study and Course Loading

- (a) Full-time Master's degree candidates shall be registered for a minimum of eighteen (18) months and a maximum of thirty-six (36) months.
- (b) Part-time Master's degree candidates shall be required to complete their programme within thirty (30) and forty-eight (48) months.
- (c) The candidate shall present at least two (2) seminar papers at the departmental level during the course of his/her research.
- (d) The candidate shall present at least one (1) conference papers during the course of his/her research.
- (e) The candidate shall make an oral presentation of his/her part of the thesis findings at the departmental level during the course of his/her research.
- (f) Candidates pursuing Master's degree by coursework, Examination and Thesis must successfully complete thirty (30) CFs of coursework and a Thesis of fifteen (15) CFs to qualify for conferment of the Master's degree.

2.3. Credit Transfer

- (a) Course credits may be considered for transfer to a Master's degree programme provided they have been obtained from a recognized institution.
- (b) No more than forty nine percent (49%) of the total required course credits will be accepted from another institution to qualify for award by Chuka University.

2.4. Master's Degree Options

There shall be two (2) options for the Master's degree:

2.4.1. Master's Degree by Coursework, Examination and Thesis

Under this option, a candidate shall be required to do Coursework, take Examinations, conduct Research, write and submit a Thesis at the end of their study programme.

2.4.2. Master's Degree by Coursework, Examination and Project

Under this Option, a candidate shall devote the entire period of study to taking prescribed Courses and Examination and a project equivalent to two (2) courses of at least 6 CFs.

2.5. Conduct of Study and Supervision

- (a) Candidates registered in accordance with these regulations shall be required to pursue their programmes of study under the guidance of supervisors approved in that capacity by the Senate on the recommendation of the Department and Faculty Board concerned through the Board of Postgraduate Studies.
- (b) There will normally be two (2) supervisors(s) appointed for each candidate. At least one Supervisor must be a member of the academic staff of the Department offering the Degree programme. Supervisors are allowed to be cross-listed by Departments to build capacity for fulfilling this requirement.
- (c) Candidates shall be required to consult their supervisor(s) at least once per month.
- (d) Supervisors shall submit progress reports on each candidate to the Board of Postgraduate Studies through the Chairman of the Department and the Dean of the Faculty on a prescribed form once every three (3) months.
- (e) Where the progress of a candidate is unsatisfactory, a candidate shall be warned in writing by the Director, Graduate School through the Dean of Faculty and the Chairman of the Department concerned. If a candidate shows no improvement after the warning within three (3) months, the Director, Board of Postgraduate Studies shall recommend to the Senate for de-registration of the candidate.
- (f) Where in the judgment of the Board of Postgraduate Studies candidate is not receiving proper supervision from the supervisor(s) the Board shall recommend change of the supervisor(s).

2.6. Examinations

- (a) Master's degree examinations shall be conducted under the authority of the Senate as specified under various Rules and Regulations.
- (b) Examinations shall consist of:
 - i. Continuous Assessment based on Assignments, Practicals and such other Tests as the Regulations of the Department may prescribe, which shall constitute forty percent (40 %) of the total marks for each course.
 - ii. The Final Examinations which shall constitute sixty percent (60%) of the total marks for each course.
- (c) Courses which are purely of a practical nature and/or seminars may be assessed entirely by Continuous Assessment.
- (d) Marks obtained in Examinations shall be converted into Letter Grades as follows:
 - i. 70% and above - A (Very Good)
 - ii. 60%-69% - B (Good)

- iii. 50%-59% - C (Satisfactory)
- iv. 0%-49% - F (Fail)

(e) Other designations related to Examinations shall be as follows:

- P - Pass
- I - Incomplete
- K - Course in progress
- CT - Credit Transfer
- Au - Audit

(f) Examination results shall be processed and approved by the Faculty Board of Examiners and submitted to the Board of Postgraduate Studies for noting before being presented to the Senate by the respective Faculty Dean.

2.6.1. Re-Sit/Retake Examinations

- (i) A candidate who fails in twenty-five percent (25%) or less of the total Credit Factors (CFs) in an academic year will be required to take resit examinations once only in the course(s) failed.
- (ii) Candidates shall score grade C (50%) in all courses passed after re-sitting.
- (iii) A candidate who fails a resit examination shall be allowed to retake the failed course once only when it is next offered.
- (iv) A course passed after retaking shall be awarded the actual score.

2.6.2. Special Examinations

- a) Special Examinations shall be offered to a candidate who, due to circumstances acceptable to the Senate, was unable to sit for ordinary Examinations.
- b) Special Examinations shall be graded like ordinary Examinations.
- c) No student shall be permitted to proceed to the next year of study without having satisfied all Examination requirements.

2.7. Discontinuation

A candidate shall be discontinued for:

- (a) Failing more than twenty five percent (25%) of the total Credit Factors (CFs) taken in an academic year.
- (b) Obtaining a cumulative weighted average of less than fifty percent (50%) in an academic year.
- (c) Failing a resit examination.
- (d) Committing a serious Academic Examination malpractice.
- (e) Failing to register and attend scheduled lectures for two (2) weeks or longer without the consent of the Senate.
- (f) Absconding from research work for a period of sixty (60) days or more.

2.8. Submission and Examination of Thesis

- (a) At least three (3) months before a Thesis is submitted, a candidate shall with the consent of the Supervisor(s) give notice in writing to the Director, Board of

Postgraduate Studies indicating intention to submit Thesis. The notice must be accompanied with an Abstract of the Thesis.

- (b) The Thesis shall be loosely bound and submitted in quadruplicate and shall be accompanied by a signed declaration by the candidate confirming that the Thesis has not been previously submitted for a degree in any other University and is original work of the candidate. The Thesis shall bear the signatures of the supervisors to indicate approval to submit.
- (c) Upon receipt of the Thesis, the Board of Postgraduate Studies shall forward the same to the Examiners within two (2) weeks.
- (d) The Senate, on the recommendation of the Board of Postgraduate Studies, shall appoint in respect of each candidate presenting a Thesis a Board of Examiners consisting of:
 - i. The Dean of the Faculty - Chairman
 - ii. The Director, Board of Postgraduate Studies or a representative of BPGS
 - iii. The Chairman of the Department
 - iv. The Supervisor(s), acting as Internal Examiner
 - v. One Internal Examiner who did not supervise the candidate, but is competent in the candidate's area of study.
 - vi. The External Examiner (to be present if available).
 - vii. Senate representative
 - viii. A representative of the Faculty Board where the candidate is registered
- (e) The Examiners shall be required to submit within one (1) month independent written assessments of the Thesis to the Director, Graduate School indicating:
 - i. Whether or not the Thesis is adequate in form and content.
 - ii. Whether or not the Thesis reflects adequate understanding of the subject; and,
 - iii. Whether or not the Degree should be awarded.
 - iv. The Thesis shall be graded as per Section 1.6 (d).
- (f) Upon receipt of all reports, the Director, Board of Postgraduate Studies shall convene a meeting of the Board of Examiners at which the reports and other academic matters arising from the Thesis shall be considered. The Board of Examiners shall subject the candidate to an Oral Examination to enable it to arrive at a recommendation on the merit of the Thesis. The passing of the candidate shall be based on the decision of the majority of the Board of Examiners.
- (g) If the Board will require the candidate to resubmit and defend the Thesis, this shall be done only once.
- (h) If the Board of Examiners will judge the candidate to have passed or failed in both the quality of the Thesis and the defense, the decision of the Board shall be final.
- (i) The decision of the Board of Examiners shall be communicated verbally to the candidate immediately following the defense by the chair of the panel examining the candidate and in writing by the Director, Board of Postgraduate Studies within two (2) weeks after the defense.
- (j) Where required, a certificate of corrections shall be issued by the Supervisor(s).
- (k) A consolidated report and appropriate recommendation shall be submitted to the Chairman of Senate through the Director, Board of Postgraduate Studies.

2.9. Conferment of a Master's Degree

A candidate shall be conferred a Master's Degree if he/she has passed all examinations, research and all other requirements stipulated by the Senate from time to time.

2.10. Examination Malpractices

- (a) The following malpractices are considered serious and any student guilty of committing any of them shall be liable to discontinuation or expulsion.
 - i. Copying or reading from another candidate's script, source or material.
 - ii. Bringing into the Examination Room any unauthorized materials relevant to the Examination, e.g., books, notes, electronic devices with pre-set formulae, mobile phones, pre-written answers, etc.
 - iii. Abetting, aiding or covering up an Examination malpractice.
 - iv. Seeking or obtaining a deferment of Examination on false pretense.
 - v. Plagiarism.
- (b) Being engaged in any other misconduct relating to Examinations such as taking an Examination Script out of the Examination Room.

2.11. Disciplinary Procedures and Penalties

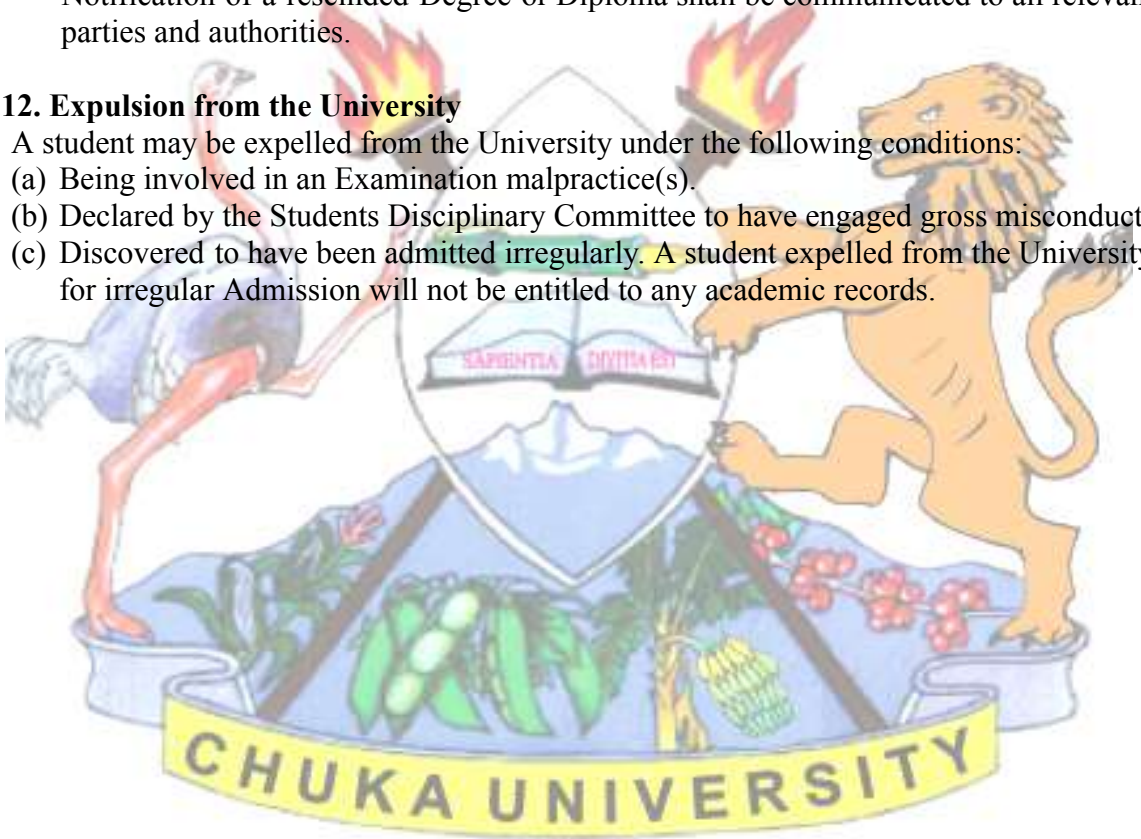
- (a) Examination malpractice shall immediately be reported in writing by invigilators through the Chief Examiner of Department to the Dean of Faculty where the candidate is registered. The report shall include statements by the student involved, invigilators and witnesses.
- (b) The Dean shall convene, not later than two (2) weeks after the End of Semester, a Faculty Students' Disciplinary Committee to deliberate on malpractices.
- (c) The membership of the Faculty Students' Disciplinary Committee shall be as follows:
 - i. The Dean of Faculty where the Course is offered - Chairman
 - ii. Two (2) Chairpersons of Departments (where the course was taught and where the student was registered).
 - iii. Two (2) representatives from within the Faculty where the course was offered.
 - iv. Faculty Administrator, who shall serve as Secretary to the Committee.
- (d) The Faculty Students' Disciplinary Committee shall conduct its procedures, unless otherwise stated, in accordance with protocols stipulated for Faculty Students' Disciplinary Committee.
- (e) The recommendations of the Faculty Disciplinary Committee shall be reported to the Faculty Board of Examiners and the Senate before it deliberates on the Examination Results.
- (f) Discontinued or suspended students may appeal to the Chairman, Grievances Handling and Appeals Committee through the Vice-Chancellor within a period of one (1) month. An appeal not submitted within this period shall not be considered.
- (g) The University may rescind any Degree or Diploma awarded to a graduate who, while registered in a particular programme, committed an academic offense which if it had been detected before graduation, would have resulted in expulsion.

Notification of a rescinded Degree or Diploma shall be communicated to all relevant parties and authorities.

2.12. Expulsion from the University

A student may be expelled from the University under the following conditions:

- (a) Being involved in an Examination malpractice(s).
- (b) Declared by the Students Disciplinary Committee to have engaged gross misconduct.
- (c) Discovered to have been admitted irregularly. A student expelled from the University for irregular Admission will not be entitled to any academic records.



PART THREE
DOCTOR OF PHILOSOPHY DEGREE COMMON REGULATIONS

3.1. Eligibility for Registration

Candidates wishing to enroll in a Doctor of Philosophy (Ph.D.) programme must meet the following requirements –

- (a) Have appropriate preparatory academic training in form of a Master's degree or equivalent academic qualification from an institution recognized by the Senate.
- (b) Fulfill specific requirements as may be stipulated by respective Faculties and Departments with regard to the field of study.

3.2. Application and Admission Procedures

- (a) Applications shall be submitted to the Director, Board of Postgraduate Studies on prescribed forms.
- (b) Application forms should be accompanied by a statement on area of study, in form of a concept note, which the candidate proposes to pursue and of the place at which (s)he intends to carry out the study or research.
- (c) All applications for registration shall be processed in the first instance through the relevant Department in which registration is sought in consultation with the relevant Faculty Graduate Studies Committee. The Faculty Graduate Studies Committee shall then forward all such applications with appropriate comments to their respective Faculty Boards for approval and onward transmission by the Dean of Faculty to the Board of Postgraduate Studies.
- (d) Before recommending registration, the Faculty concerned shall satisfy itself that:
 - i. The proposed field of study is academically sound and can be successfully pursued and supervised by at least one staff from Chuka University.
 - ii. There exist adequate facilities and resources for effective research.
 - iii. All other requirements as stipulated by the Faculty and Senate have been met.

3.3. Registration Duration and Workload

- a) The programme will be expected to last for at least three calendar years and a maximum of four years for full-time candidates or five years for part-time candidates, except by permission of the Senate.
- b) For course work, the candidate must take a minimum 18 CF. The number of CFs to be taken by full-time or part-time candidates at any one time will be determined by the respective Departments and Faculties.
- c) The candidate shall present at least two (2) seminar papers at the departmental level during the course of his/her research.
- d) The candidate shall present at least one (1) conference papers during the course of his/her research.
- e) The candidate shall make an oral presentation of his/her part of the thesis findings at the departmental level during the course of his/her research.
- f) Registration will be reviewed from time-to-time by the Senate. Continuation of registration will depend on evidence of satisfactory progress.

3.4. Nature of Study and Supervision

- a) The Doctor of Philosophy programme shall consist of Coursework, Examinations, Research and Thesis. Individual Faculties will specify the duration of the coursework, examination and Thesis components.
- b) Each candidate shall be required to attend and participate in seminars at the relevant Faculty/Department to enable assess the candidate's progress more closely and to keep candidates in regular touch with their Faculties and Supervisors.
- c) A registered candidate shall be required to pursue his/her programme of study under the supervision of academic staff members appointed in that capacity by the Senate on the recommendation of the Department and Faculty Boards concerned through the Board of Postgraduate Studies.
- d) Recommendations on the appointment of supervisors shall be processed in the first instance by Departments through the Faculty Graduate Studies Committee. The recommendation shall then be forwarded to the Faculty Board for approval and onward transmission to the Senate through the Board of Postgraduate Studies.
- e) Before recommending the appointment of any supervisor, the Faculty Board shall satisfy itself that the proposed supervisor(s) is competent in the subject area and field of research in which the candidate proposes to work.
- f) Where a supervisor is appointed outside the University, such a supervisor should show evidence of competence in the area of study as reflected in the curriculum vitae.
- g) A candidate shall be required to consult the supervisor(s) at least once every month.
- h) It shall be the duty of each of the supervisors to direct and supervise the work of the student as per the study programme. In particular, a supervisor shall be required to:
 - i. Maintain constant and effective contact with the candidate assigned to him/her, through consultations with the candidate(s) at least once a month.
 - ii. Ascertain that the candidate(s) submit the progress reports on their work, to the supervisors at the end of every semester. Periodically, candidates will be required to submit progress reports of their Studies to the Board of Postgraduate Studies through their Supervisor(s), Chairman of Department and the Dean of Faculty on prescribed forms from the Graduate School.
 - iii. Submit individually or jointly with other supervisor(s) academic progress reports through the Chairman of Department to the Dean, copied to the Board of Postgraduate Studies at the end of every semester.
 - iv. Certify every 3 months that the candidate has received adequate supervision.
 - v. Inform the Dean through the Department and Faculty Postgraduate Studies Committee at once if a given candidate's work is unsatisfactory and unlikely to reach the standard required for the award of a Ph.D. degree.
- i) Where the performance of a candidate is considered unsatisfactory as shown by:
 - i. Failure of coursework examinations,
 - ii. Failure to consult the supervisor(s) as required under regulations (g) above, or
 - iii. The receipt of an unsatisfactory report from the supervisor(s) under regulations (h);

Then the candidate shall be given a written warning by the Director of Board of Postgraduate Studies, copied to the Dean of the Faculty to the effect that he/she is showing signs for de-registration. A recommendation for de-registration shall be made to the Senate through the Board of Postgraduate Studies only after receipt of two consecutive negative reports following the warning.

3.5. Examinations

- (a) Coursework assessment for each subject shall consist of:
- Continuous assessment, based on assignments, laboratory and field practicals and such other tests as the regulations of the Department may prescribe, to constitute 40% of the course marks.
 - The end of the semester examinations to constitute 60% of the course marks.
 - Courses which are purely of practical nature and/or seminars shall be assessed entirely by continuous assessment.
 - A candidate will have passed a course upon attaining at least a “C” grade.
 - A candidate whose average is “C” shall be placed on probation.
 - A candidate will be required to maintain a minimum average of “C” grade in coursework in order to continue with the programme. A candidate who fails a course shall be required to either repeat the course once or take an equivalent one. The “F” grade obtained in the first instance shall be retained.
 - Marks obtained in examinations shall be converted into letter grades as follows:-

| | | |
|---------------|---|------------------|
| 70% and above | - | A (Very Good) |
| 60%-69% | - | B (Good) |
| 50%-59% | - | C (Satisfactory) |
| 0%-49% | - | F (Fail) |
- (b) Candidates taking research and Thesis option, Faculties shall in consultation with the Board of Postgraduate Studies, organize qualifying examinations at the onset of the programme.
- (c) Candidates taking coursework, examination and Thesis option, Faculties shall in consultation with the Board of Postgraduate Studies, organize preliminary examination to determine the candidate’s suitability to pursue research in the area of study. The timing and the period of such examinations shall be determined by the respective Faculties and Departments.
- (d) In both cases, examinations shall be conducted in both oral and written forms.
- (e) A candidate who fails the qualifying or preliminary examination shall be allowed to repeat the respective examination only once.

3.6. Resit Examinations

- A candidate who fails in twenty-five percent (25%) or less of the total Credit Factors (CFs) in an academic year will be required to take resit examinations once only in the course(s) failed.
- A candidate shall earn grade C (50%) in courses passed in resit examinations.

3.7. Discontinuation

A candidate shall be discontinued for –

- (i) Failing more than twenty-five percent (25%) of the total Credit Factors (CFs) taken in an academic year.
- (ii) Obtaining a Cumulative Weighted Average of less than fifty percent (50%) for the academic year.
- (iii) Failing a resit examination.
- (iv) Committing a serious academic or examination malpractice as defined under Section (4) of this Statute.
- (v) Failing to register for and attend scheduled lectures for two (2) weeks or longer without the consent of the Senate.
- (vi) Absconding from research work for a period of sixty (60) days or more.

3.8. Special Examinations

- (i) Special Examinations shall be offered if due to circumstances acceptable to the Senate, a candidate was unable to sit Ordinary Examinations.
- (ii) Special Examinations shall be graded like Ordinary Examinations.
- (iii) No student shall be permitted to proceed to the next year of study without having satisfied all examination requirements.

3.9. Submission and Examination of Thesis

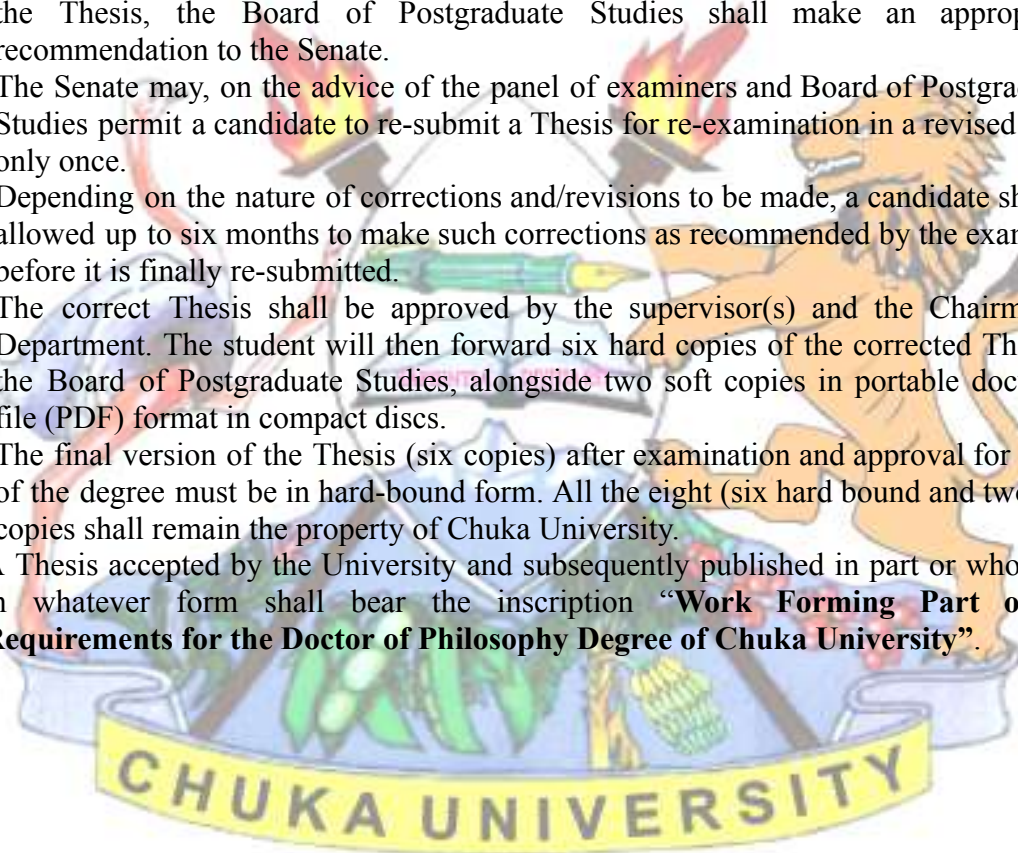
- (a) A candidate will be required to submit a Thesis embodying the results of his/her research at the end of the programme. The Thesis must be written according to the format and specifications provided by the Board of Postgraduate Studies.
- (b) A candidate will be required to give a notice of intent to submit the Thesis at least three months before the date of submission. The notice shall be accompanied with an abstract of the research work contained in the Thesis. Upon receiving the notice of intent to submit a Thesis, the Department shall identify and forward the names of the external examiner and an independent internal examiner to the Board of Postgraduate Studies through the Dean of the respective Faculty.
- (c) The Senate, on recommendation of the Faculty Board concerned and the Graduate School shall then appoint at least two examiners, one of whom shall be an external examiner to the University. In addition, the Senate, on the recommendation of the Board of Postgraduate Studies, and the Faculty Board concerned shall appoint examiners for oral examinations for the candidate as indicated in (h) below.
- (d) A Thesis submitted for examination shall be in six copies and loosely bound and must include a declaration by the candidate to the effect that the Thesis has not been submitted for a degree in any other institution of higher learning and that the content of the Thesis bears the original work of the candidate, except where indicated. A Thesis shall bear the signature of the supervisor(s), indicating that the Thesis has been submitted with their approval as University Supervisors.
- (e) A Thesis submitted for the degree of Doctor of Philosophy must make a distinct contribution to knowledge and show understanding of the subject and display originality of thought. It must also include a complete references to the materials

used in its preparation, whether published or otherwise, and it must conform to the regulations for the submission of Thesis of Chuka University.

- (f) The Internal Examiner and the External Examiner shall each be required to submit to the Board of Postgraduate Studies an independent written assessment of the Thesis within two months, indicating:
 - i. Whether or not the Thesis is adequate in form and content
 - ii. Whether or not the Thesis reflects an adequate understanding of the subject and show display of original thought and significant contribution to knowledge.
 - iii. The report should indicate the strength and weaknesses of each chapter and in consequence state:
 - (i) Whether or not the degree should be awarded.
 - (ii) Whether or not the Thesis makes significant contribution to knowledge.
- (g) A Thesis which does not make a distinct contribution to the existing body of knowledge or understanding of the subject and which does not afford evidence of capacity of original thought shall not be accepted.
- (h) Once the Thesis is found to be acceptable by the examiners, there shall be an oral examination administered by the following panel of examiners:
 - i. Dean of the Faculty concerned - Chair of the Oral Examination Panel
 - ii. Chairman of the Department concerned
 - iii. Director, Board of Postgraduate Studies
 - iv. The Supervisors, as Internal Examiners
 - v. One Internal Examiner from the University who must not have supervised the candidate but is competent in the candidate's area of specialization
 - vi. The External Examiner, if available
 - vii. Faculty Representative
 - viii. Senate representative but who must be external to the Department
- (i) A candidate shall be required to present himself/herself for an oral examination once the Thesis has been found acceptable by examiners.
- (j) The oral examination for the work of a Ph.D. candidate shall be held within four months of submission of the Thesis.
- (k) Passing of a Ph.D. Thesis shall require a majority verdict in oral and examinations. The verdict shall be communicated orally by the Chair of the Examination Panel to the candidate in the panel.
- (l) The Director, Board of Postgraduate Studies shall forward to the student details of the corrections/revisions suggested by the examiners within two weeks from the date of the oral examination.
- (m) Where the recommendation of the panel of examiners is unanimous for/or against the award of the degree, and where such unanimous recommendation is consistent in all aspects with the report of the External Examiner and the results of the oral examination, the Board of Postgraduate Studies shall forward such recommendation to the Senate for approval.
- (n) Where the recommendation of the panel of examiners is not unanimous or the recommendation is not consistent in material respects with the matter referred to in

the Thesis, the Board of Postgraduate Studies shall make an appropriate recommendation to the Senate.

- (o) The Senate may, on the advice of the panel of examiners and Board of Postgraduate Studies permit a candidate to re-submit a Thesis for re-examination in a revised form only once.
- (p) Depending on the nature of corrections and/revisions to be made, a candidate shall be allowed up to six months to make such corrections as recommended by the examiners before it is finally re-submitted.
- (q) The correct Thesis shall be approved by the supervisor(s) and the Chairman of Department. The student will then forward six hard copies of the corrected Thesis to the Board of Postgraduate Studies, alongside two soft copies in portable document file (PDF) format in compact discs.
- (r) The final version of the Thesis (six copies) after examination and approval for award of the degree must be in hard-bound form. All the eight (six hard bound and two soft) copies shall remain the property of Chuka University.
- (s) A Thesis accepted by the University and subsequently published in part or whole and in whatever form shall bear the inscription **“Work Forming Part of the Requirements for the Doctor of Philosophy Degree of Chuka University”**.



PART FOUR

GUIDELINES FOR WRITING RESEARCH PROPOSALS

4.1. Features of a Proposal

Research proposals contain many different or varying features dictated by the respective disciplines. The differences give them discipline peculiarities and/or specialties. However, on the whole, the common, salient features to all disciplines are **eight**, namely:

- a) Preliminaries
- b) Chapter One
- c) Chapter Two
- d) Chapter Three
- e) Work plan
- f) Budget
- g) References
- h) Appendices (optional)

Each of the above has components described below.

4.2. Preliminaries

Basically include:

- a) Title page
- b) Declaration and Recommendations page
- c) Abstract
- d) Table of Contents
- e) List of Tables (Where applicable)
- f) List of Figures (Where applicable)
- g) Acronyms/Abbreviations/Symbols (Where applicable)

4.3. Chapter One: Introduction

This has components which mostly include the following:

- a) Background to the Study
- b) Statement of the Problem
- c) Objectives of the Study
- d) Hypotheses/Research Questions
- e) Significance of the Study/Justification/Rationale
- f) Scope of the Study (Depending on the discipline)
- g) Limitations/Delimitations (Optional)
- h) Assumptions (Optional)
- i) Operational Definition of Terms (Optional)
- j) Expected Output

4.4. Chapter Two: Literature Review

This comprises the following sections:

- 4.4.1. Sub-topics on relevant and related literature that shape the study.
- 4.4.2. The sub-topics should be related to the title and reviewed literature.

4.4.3 Theoretical Framework or Conceptual Framework (Depending on the discipline)

4.5. Chapter Three: Methodology or Materials and Methods

This chapter comprises the following major features:

- 4.5.1. Location of the Study/Research Site
- 4.5.2. Research Design
- 4.5.3. Population (Depending on the discipline)
- 4.5.4. Sampling Procedure and Sample Size (Depending on the discipline)
- 4.5.5. Instruments (Depending on the discipline)
- 4.5.6. Piloting ((Depending on the discipline))
 - 4.5.6.1. Reliability (Depending on the discipline)
 - 4.5.6.2. Validity (Depending on the discipline)
- 4.5.7. Data collection procedures
- 4.5.8. Data analysis
- 4.5.9. Ethical Consideration

4.6. Work plan

4.7. Budget

4.8. References

- (a) This section shall contains the list of all references cited in the text.
- (b) The list should be arranged in alphabetical order in terms of the author(s) and years.
- (c) The name(s) of the author(s) (surname and initials), should be given followed by the year in brackets. This is then followed by the title of the article/book. The journal name, volume, and article pages should then follow. The journal name should be in italics. In the case of a book, the title of the book should be in italics.
- (d) Referencing format: Departures should be as per uniqueness of a discipline, but consistent.

4.9. Appendices (Where applicable)

4.10. Suggested Content Outlines: Adopt or Modify to Suit Study Disciplines

4.10.1. Title Page

The top of a title page should bear the proposal's title in uppercase. The Title:

- a) Should be short, precise, concise and clear.
- b) Should relate to the subject matter of the proposal.
- c) Should be "captivating" or should capture the reader's attention at a glance.
- d) Should be followed by the full name (upper case), which should be written normally, ending with family name (surname) e.g. ROBERT NYAMU MUGO

Next should come the citation "*A Research Proposal Submitted to the Graduate School in Partial Fulfillment of the Requirements for the Award of a Degree of (Name of the programme and discipline) (e.g. **Master of Arts in English**) of Chuka University*".

This is followed again by CHUKA UNIVERSITY just above the month and year of submitting the proposal/thesis.

Finally should come the month (in uppercase) and the year of presentation. The month and the year should not be separated with a comma; they should be written as follows:

CHUKA UNIVERSITY
MAY 2015

4.10.2. The Declaration and Recommendations Page

Here, the candidate swears that: “This proposal is my original work and has not been presented for an award of a diploma or conferment degree in any institution.”

- (a) After this declaration, the candidate’s name signature and the date should follow.

The candidate is also expected to write his/her admission number under the name.

Here, the name should be written in normal order with family name (surname) being the last; e.g. Signature.....

Date.....

Catherine Muthoni Njagi

EM15/0989/10

- (b) A declaration by the supervisor(s) follows, stating that the proposal has been submitted with their approval. This declaration is supposed to appear as follows:

This proposal has been submitted for examination with our approval as university supervisors.

- (c) Within this page, there should be a section for the signatures of the supervisors as illustrated hereunder:

(d) Signature: Date.....

Prof/Dr/Mr/Mrs/Ms

Department of

Chuka University

- (e) The COD and Dean should sign on the accompanying form only and not on this page.

4.10.3. Abstract

It should follow the declaration and recommendations page and the word **ABSTRACT** should be capitalized, bolded and centered.

- (a) The abstract gives a reader a compact summary of the proposal or content.
(b) The abstract should be a summary, synopsis or gist of the whole work presented.
(c) An abstract should be one block paragraph and 1.5 spaced with no quotation or references, and **should not exceed** one page.
(d) If the work is not in English, provide an English translation of the abstract.

4.10.4. Table of Contents

- (a) This page serves as a synopsis of the structural pattern of the proposal and should come after the abstract.
(b) All major sections (chapter level headings) including bibliography, and appendices must be included. But if the proposal is long, sub-headings must be included.

- (c) The headings as listed in the *Table of Contents* must be **worded exactly and formatted** as they appear in the body of the proposal. That is the wording and presentation (i.e. capitalization, special fonts and characters etc.) used for all entries in the Table of Contents must match exactly that which is used in the text.

4.10.5. List of Tables

- (a) A List of Tables should be separated from the Table of Contents and should follow immediately after the Table of Contents. All entries must contain a corresponding page number with leading dots connecting the entry to the page number.
- (b) If the proposal contains many Tables, a separate page should be devoted to the Tables to show the exact title and page numbers where they are found in the body of the proposal.

4.10.6. List of Figures

This list is governed by the same rules as the List of Tables and it follows the List of Tables. Figures may include graphs, photographic illustrations, plates, maps, and drawings.

4.10.7. Acronyms/List of Symbols/Abbreviations

These follow the List of Figures. All symbols and abbreviations for scientific terms used in the report are listed on this page and their full interpretation given, as well as the units of measure where appropriate.

NB: If in the proposal, a candidate uses acronyms only, then, the title for this section shall be acronyms only. If it has symbols and abbreviations, the section should be titled so. Pagination of preliminary pages up to this point should be in lowercase Roman numerals.

4.10.8. Introduction

4.10.8.1. Background Information

- (a) This should be brief and clear to give the reader an overview of the proposed work.
- (b) This is either the scenario that culminates in including, provoking or creating the candidates curiosity or the urge to study the subject; or historical development of whatever nature, scientific, sociological, economical, which has prompted the study.
- (c) A well laid down context of background to the problem, brings about a sound understanding of the problem or rather exposes the same.
- (d) An exercise of discipline is required to keep the introduction and context of background to the problem separate. However, depending on the nature of the problem, it is acceptable to mix under one of the above subtitles, usually introduction.

4.10.8.2. Statement of the Problem

It is an undisputed fact that **the problem** is the core or the heart of any research undertaking. If a candidate does not understand the problem, there are only remote chances, if any, of success. When adequately understood as portrayed through the statement, achieving is easy, less expensive and actually enjoyable. Therefore:

- (a) The problem must be clearly stated to be conspicuous, unequivocal and sharp.
 - (b) Avoid preamble, wandering and irrelevancies.
 - (c) To achieve a sound and acceptable statement of the problem, one does not need two or three paragraphs. One paragraph, even a sentence or two in most cases are enough.
- NB:** The statement of the problem is not a set of objectives.

4.10.8.3. Objectives

- (a) Objectives of a research are like aims and goals of a research. Some researchers may have long-and short-term objectives, or general and specific objectives.
- (b) Appropriate objectives enable the elucidation of and focusing on the data that helps in solving of the research problem.
- (c) Objectives provide intellectual scope of the research. Thus, objectives should be stated unequivocally and as activities whose results will solve the problem(s).

4.10.8.4. Hypotheses

- a) A hypothesis is basically a guiding principle to an argument that leads to a final proved or established conclusion. The hypothesis should be testable.
- b) A proposal could have one or more hypotheses, related to the objectives.
- c) One common quality of hypotheses is that they can be confirmed true or disapproved.
- d) A hypothesis is not a must, especially in the social sciences, where it can be replaced with research questions.

4.10.8.5. Research Questions

- a) Like objectives, research questions are very useful in eliciting the required data if properly structured and implemented.
- b) The question should, therefore, be structured to bring clarity of what the question requires as well as the focus on the relevance. Long and complicated questions do not achieve much. The questions should be related to the objectives.
- c) It is not necessary to have research questions and hypotheses since both are related to objectives. Choose either hypotheses or research questions, **but not both**.

4.10.8.6. Significance of the Study

- a) It is indisputable that research is expensive in both money and time. One should, therefore, establish the need or relevance of the research to account for the expense.
- b) One should justify that the findings will benefit consumers who could be individuals, groups, policy makers, scholars, etc.
- c) But above all, it should be demonstrated that the findings would significantly contribute new knowledge to the body of existing knowledge.

4.10.8.7. Scope

- a) Here, the researcher needs to specify the extent of his/her study in terms of geographical area or the phenomena to be covered, target population, duration of study, timing of the study, resources to be used, choice of the research design(s), etc.
- b) It therefore justifies what and why the work will be done as expressed.
- c) It disciplines and helps to focus the research within practical limits.

4.10.8.8. Limitations/Delimitations

- a) Limitations are factors or conditions that may hinder achieving desired results.
- b) Every researcher needs to put this aspect into consideration.
- c) Above all, there is a need to think of how to address these limitations so that they do not hinder progress or achievement of desired results.

4.10.8.9. Assumptions

- a) Assumptions, unlike limitations, are prevailing factors which can be taken for granted or overlooked by a researcher and he/she still gets the desired results.
- b) It is always good to be conscious of all factors within the course of the research because in a way they may impact the research findings negatively or positively. Therefore, researchers should point out all issues that they feel are within the area of their study and can influence their findings in a way. This way, they make themselves accountable and transparent with regard to the outcome of their research.

4.10.8.10. Definition of Terms

- (a) This entails the terms that are used in a special way or how they should be understood in the context of the research. In this case, definition is done to avoid misunderstanding of the common meaning.
- (b) Definition of terms should always be on a separate page.

4.10.9. Literature Review

- (a) Literature review can be viewed as a selective and critical survey of the written works of the subject area. These include articles, books, and unpublished papers.
- (b) Literature review should include current research works.
- (c) The review should be a critical analysis of the works to reveal what has been done and what has not been done; therefore, revealing the gaps that require filling.
- (d) The review provides aspects of background information which jump-starts the research, and reveals the works to readers.
- (e) The review is useful in providing the theoretical frame-work(s) and finally the pursued results.
- (f) The review, above all, buttresses the researcher's statement of the problem by revealing that the subject of the proposal is untouched or not done as proposed.
- (g) The review should clearly show gaps and/or directions for further research.
- (h) References cited here must contain the name or names (at most two, otherwise use *et al.*) and the year in brackets. For instance, Johari (2011); Chantel and Lulu (2011); Gromyko *et al.* (2010).
- (i) Literature review should be done systematically following the steps listed below:

- i. Read the entire work focused for review, and state categorically what that work deals with (subject covered).
- ii. If it is research work, highlight its findings; if not move to the next step.
- iii. State the relevance of the reviewed work to your study; explicate its usefulness in the entire work.
- iv. Explain how the research you are to carry out deviates from the reviewed work.

The above four steps if well followed will ensure that literature review is tailored to your study and, above all, revealing the **gap in information/knowledge**. The gap of the research is critical in the sense that if there is no gap to be filled, then there is no point of embarking on that research. While doing literature review, make sure that if there are works that are related, they are discussed together. It is also important to ensure that literature review is coherent and having logical flow rather than appearing as disjointed bits from different works. The subdivision of literature review should be done logically and it is important to make sure that various subsections can be justified rather than having fragmented bits which are not meaningful. Avoid cut-and-paste literature review.

4.10.10. Theoretical Framework/Conceptual Framework

- (a) It is in this section where the researcher explains the major theories that exist on tackling the problem. Researchers should strive to use the most up to date theories. Both the outdated and modern theories should be discussed, revealing the merits, demerits and limitation of each.
- (b) The researcher finally chooses one new or a modification of the same or modification of several as his/her model in solving the research problem.
- (c) Two theories can only be used where they are complementing each other to achieve the objectives of the study. Therefore, clear reasons should be used to explain why two theories are used.
- (d) The researcher should be able to explain how the theory is going to be useful or how it will be applied in the study of the phenomena.
- (e) The choice should be convincingly justified. A clear plan on how to steer the work, should be shown here.
- (f) This section is important because it relates and coordinates the literature review, the problem, the significance of the study and the objectives.

4.10.11. Methodology

- (a) This is a section where the results bring either failure or achievement.
- (b) This section is commonly called Methodology, study methods, or materials and methods, depending on the discipline.
- (c) Different types of research in both the same and different disciplines demand specific tools and methods to succeed. It is in this section that the researcher shows what his/her particular research will use and how one will go about doing the research, until data are ready for consumption.
- (d) The section should be very well written so that the reader can be informed to do the same work guided by the write-up.

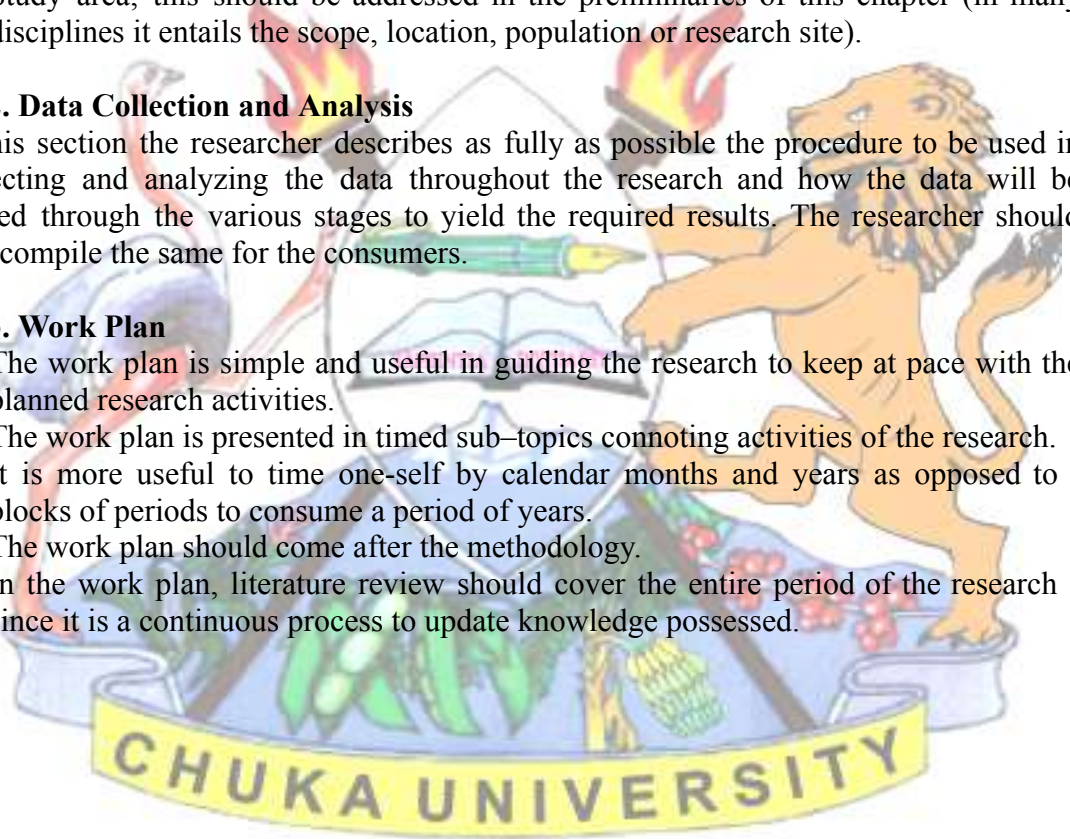
- (e) Study area; this should be addressed in the preliminaries of this chapter (in many disciplines it entails the scope, location, population or research site).

4.10.12. Data Collection and Analysis

In this section the researcher describes as fully as possible the procedure to be used in collecting and analyzing the data throughout the research and how the data will be treated through the various stages to yield the required results. The researcher should also compile the same for the consumers.

4.10.13. Work Plan

- (a) The work plan is simple and useful in guiding the research to keep at pace with the planned research activities.
- (b) The work plan is presented in timed sub-topics connoting activities of the research.
- (c) It is more useful to time one-self by calendar months and years as opposed to blocks of periods to consume a period of years.
- (d) The work plan should come after the methodology.
- (e) In the work plan, literature review should cover the entire period of the research since it is a continuous process to update knowledge possessed.



4.10.14. SAMPLE WORK PLAN

| ACTIVITY | APR-J UN | JUL -SEP | OCT- DEC | JAN- MA R | APR- JUN | JUL -SEP | OCT- DEC | JAN- MA R | APR -JUN | JUL- SEP | OCT- DEC |
|---|-------------|-------------|-------------|-----------------|-------------|-------------|-------------|-----------------|-------------|-------------|-------------|
| Developing Proposal Document | | | | | | | | | | | |
| Literature Review | | | | | | | | | | | |
| Proposal Submission and Defence (at Departmental Level) | | | | | | | | | | | |
| Proposal Submission and Defence (at Faculty Level) | | | | | | | | | | | |
| Pilot Study | | | | | | | | | | | |
| Data Collection | | | | | | | | | | | |
| Data Analysis | | | | | | | | | | | |
| Thesis Writing | | | | | | | | | | | |
| Thesis Submission and Defense | | | | | | | | | | | |
| Final Thesis Submission | | | | | | | | | | | |

4.10.15. Budget

- (a) A budget is an essential component. It should be detailed as is relevant and should account for the value and cost of the project. It should be as realistic as possible.
- (b) Everything in the budget should be itemized. The items normally include stationery, transport, subsistence, research assistants (for Ph.D. only), and cost of production of the final documents.
- (c) A budget should come after the work plan and before references.

4.10.15. SAMPLE BUDGET

| ACTIVITIES | QUANTITY | RATE | TOTAL |
|----------------------------------|-------------------|--------------|----------------|
| Proposal Writing | | | |
| (i) Stationery | | | |
| -Notebooks/paper | 4 reams | 280 | 1,120 |
| -Pens | 1 dozen | 60 x12 | 720 |
| -Flash disk | 1 GB | 960 | 960 |
| -Spring files | 3 pieces | 50 | 150 |
| (ii) Typesetting and printing | 200 copies | 30 | 6,000 |
| (iii) Photocopying | 600copies | 3 | 1,800 |
| (iv) Binding (loosely) | 8 | 50 | 400 |
| (v) Transport (Local) | 30 days (Chuka) | 100 | 3,000 |
| (vi) Subsistence | 30 days (Chuka) | 800 | 24,000 |
| (vii) Literature review: | | | |
| -Transport | 5 days (Nairobi) | 800 | 4,000 |
| -Subsistence | 5 days (Nairobi) | 2,500 | 12,500 |
| Subtotal | | | 54,650 |
| Pilot Study | | | |
| (i) Producing questionnaires | 5 copies | 30 | 150 |
| (ii) Photocopying questionnaires | 150 copies | 3 | 450 |
| (iii) Transport (local) | 5 days | 500 | 2,500 |
| (iv) Subsistence (local) | 5 days | 800 | 4,000 |
| Subtotal | | | 7,100 |
| Data Collection | | | |
| (i) Producing questionnaires | 5 copies | 30 | 150 |
| (ii) Photocopying questionnaires | 260 | 3 | 780 |
| (iii) Subsistence (local) | 18 days (Chuka) | 1000 | 18,000 |
| (iv) Transport (Local) | 18 days (Schools) | 800 | 14,400 |
| Subtotal | | | 33,330 |
| Thesis Preparation | | | |
| (i) Typesetting & printing | 180 copies | 30 | 5,400 |
| (ii) Photocopying | 900 copies | 3 | 2,700 |
| (iii) Binding | 7 copies | 360 | 2,520 |
| (iv) Transport (Local) | 4 days (Chuka) | 800 | 3,200 |
| (v) Subsistence (Local) | 4 days (Chuka) | 800 | 3,200 |
| Subtotal | | | 17,020 |
| Contingencies (10 %) | | 1,300 | |
| Grand total | | | 123,350 |

NB: While preparing a budget, the researcher should make sure that (s) he has factored all the activities in the work plan. This means that the budget has to take into consideration all the activities in the work plan and any others.

At the end of the budget, it is important for the researcher to state whether it is self-sponsored or name any other organization that is sponsoring.

4.10.17. References

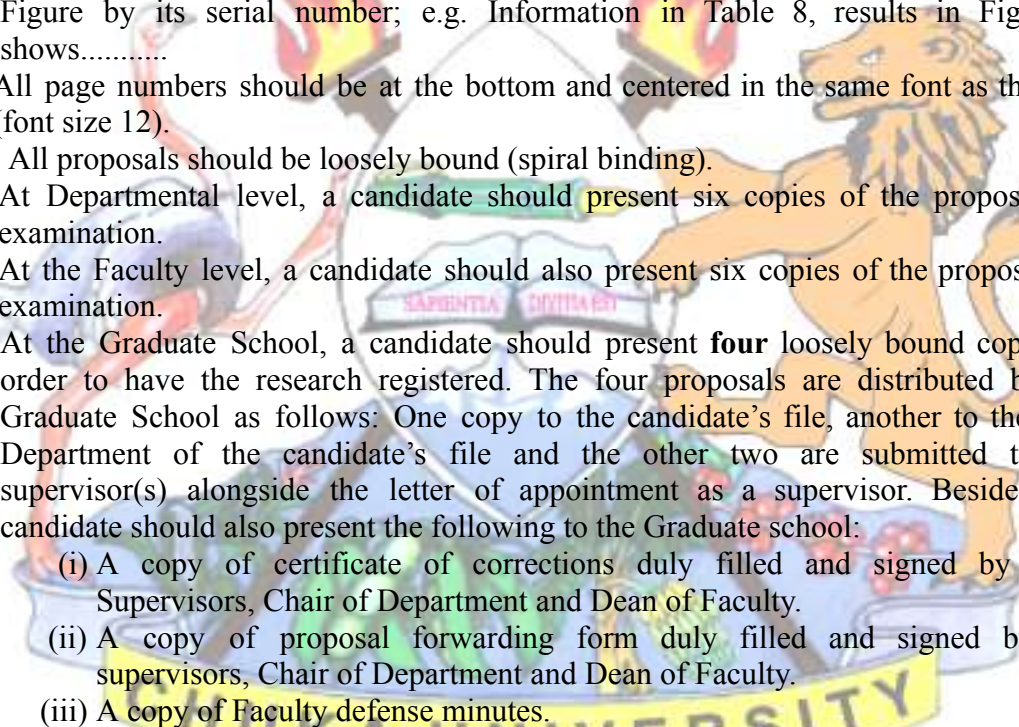
- a) This section contains the list of all references cited in the text.
- b) The list should be arranged in alphabetical order in terms of the author(s) and years.
- c) The name(s) of the author(s) (surname and initials), should be given followed by the year in brackets. This is then followed by the titles of the article/book. The journal name, volume, and article pages should then follow. The journal name should be in italics. In the case of a book, the title of the book should be in italics.

4.10.18. Appendices

- (a) All materials which do not fit easily, or break the flow of the mainstream of the body or text but are relevant to the work as a whole should be retained as appendices and placed at the appropriate end of the proposal.
- (b) The appendices are placed after the references.
- (c) Questionnaires should appear in the appendix.
- (d) Appendices should be numbered e.g. **APPENDIX 1**

4.11. General Comments

- (a) Only major divisions or chapters should begin on a new page.
- (b) Within a chapter, the presentation of sub-sections must be continuous.
- (c) Partially filled pages of text are not acceptable; only non-textual pages such as those presenting Tables and illustrations are acceptable.
- (d) Wherever the heading of a section or sub-section appears near the bottom of a page, it must be followed by at least two complete lines of text, or else, the heading should be forced to the top of the next page.
- (e) Detailed organization of the text varies among academic disciplines. However, the formatting of the text must be consistent throughout.
- (f) The number of pages of the proposal varies according to the discipline in which the study is being done. However, an academic proposal can range from 15 to 30 pages, excluding appendices.
- (g) Pages for items in the **Preliminary Section** should be numbered in lowercase Roman Numerals (e.g. i, ii, iii), while the pagination for the items in **Chapter One** onwards should be in Arabic numerals e.g. (1, 2, 3).
- (h) General formatting of the entire document should strictly adhere to APA manual guidelines.
- (i) All the text must be in **Times New Roman** font face and font **size 12**.
- (j) Line spacing for all the text except Tables and Title page, should be 1.5. The text in the title page and in the Tables should be single line-spaced. In addition, section headings, titles of Tables and Figures should be single line-spaced.

- 
- (k) Discussion of information in Tables and Figures should come below the Table or the Figure. When making reference to a Table or Figure, one should refer to the Table or Figure by its serial number; e.g. Information in Table 8, results in Figure 5 shows.....
- (l) All page numbers should be at the bottom and centered in the same font as the text (font size 12).
- (m) All proposals should be loosely bound (spiral binding).
- (n) At Departmental level, a candidate should present six copies of the proposal for examination.
- (o) At the Faculty level, a candidate should also present six copies of the proposal for examination.
- (p) At the Graduate School, a candidate should present **four** loosely bound copies in order to have the research registered. The four proposals are distributed by the Graduate School as follows: One copy to the candidate's file, another to the host Department of the candidate's file and the other two are submitted to the supervisor(s) alongside the letter of appointment as a supervisor. Besides, the candidate should also present the following to the Graduate school:
- (i) A copy of certificate of corrections duly filled and signed by the Supervisors, Chair of Department and Dean of Faculty.
 - (ii) A copy of proposal forwarding form duly filled and signed by the supervisors, Chair of Department and Dean of Faculty.
 - (iii) A copy of Faculty defense minutes.

NB: Candidates are also expected to seek research permits from the National Commission for Science, Technology and Innovation (NaCoSTI) to legitimise their research activities. These proposals should be duly signed by supervisors, and stamped by the Graduate School before submission to the NACOSTI.

PART FIVE GUIDELINES FOR WRITING A THESIS

5.1. Features of a Research Thesis

Research theses contain different features dictated by their subject matter. The differences give them discipline peculiarities. However, there are common salient features across all academic disciplines. These features include:

- (a) Preliminaries
- (b) Chapter One
- (c) Chapter Two
- (d) Chapter Three
- (e) Chapter Four
- (f) Chapter Five
- (g) Chapter Six (depending on the discipline)
- (h) Chapter Seven (depending on the discipline)
- (i) References
- (j) Appendices

NB. Chuka University Statutes, Publications, Projects, and Research Policies do not condone plagiarism. Level of similarity that will be tolerated as theses are written is 15%.

5.2. Options in Outline of a Thesis

A candidate should choose one of the following options.

5.2.1. OPTION 1 (GOOD FOR SOCIAL SCIENCES)

5.2.1.1. Preliminaries

This section basically includes:

- (a) Title page
- (b) Declaration and Approval page
- (c) Acknowledgements/Dedication/Copyright
- (d) Abstract
- (e) Table of Contents
- (f) List of Tables
- (g) List of Figures
- (h) Acronyms/Abbreviations/Symbols

5.2.1.2. Chapter One: Introduction

This chapter has sections, which mostly include the following:

- (a) Background to the Study
- (b) Statement of the Problem
- (c) Objectives
- (d) Hypotheses/Research Questions
- (e) Significance of the Study/Justification of the Study/Rationale
- (f) Scope of the Study (Depending on the discipline)
- (g) Limitations/Delimitations (Depending on the discipline)

- (h) Assumptions (Depending on the discipline)
- (i) Operational Definition of Terms (Optional)

5.2.1.3. Chapter Two: Literature Review

This chapter comprises the following:

- (a) Sub-topics on relevant and related literature that will shape the study. The subtopics should be related to the title and reviewed literature. Reviewed literature should be related to the study to be carried out and it should be able to spell out the gap in knowledge/information.
- (b) Theoretical Framework/Conceptual Framework (Depending of the discipline)

5.2.1.4. Chapter Three: Methodology or Materials and Methods

This chapter has the following main features:

- (a) Location/site of the Study
- (b) Research Design
- (c) Population (Depending on the discipline)
- (d) Sampling Procedure and Sample Size (Depending on the discipline)
- (e) Instruments (Depending on the discipline)
- (f) Piloting/preliminary research ((Depending on the discipline))
 - (i) Reliability (Depending on the discipline)
 - (ii) Validity (Depending on the discipline)
- (h) Data Collection
- (i) Data Analysis
- (j) Ethical Consideration

5.2.1.5. Chapter Four: Results and Discussion

5.2.1.6. Chapter Five: Summary, Conclusions and Recommendations

5.2.1.7. References

- (a) This section shall contain the list of all references cited in the text.
- (b) The list should be arranged in alphabetical order in terms of the author(s) and years.
- (c) The name(s) of the author(s) (surname and initials), should be given followed by the year in brackets. This is then followed by the title of the article/book. The journal name, volume, and article pages should then follow. The journal name should be in italics. In the case of a book, the title of the book should be in italics.
- (d) Referencing format: Departures should be as per uniqueness of a discipline, but consistent.

5.2.1.8. Appendices (Optional)

These consist of questionnaires, transactions and list of candidate's relevant publications, data analysis details and relevant raw data.

5.2.2. OPTION 2: (GOOD FOR BIOLOGICAL AND PHYSICAL SCIENCES)

5.2.2.1. Preliminaries (*As in Option 1*)

5.2.2.2. Chapter One: Introduction (*as in Option 1*)

5.2.2.3. Chapter Two: Literature Review (*as in Option 1*)

5.2.2.4. Chapter Three: Methodology or Materials and Methods

This chapter consists of the following major sections:

- (a) Research Site
- (b) Research Design
- (c) Data Collection
- (d) Data Analysis
- (e) Ethical Considerations

5.2.2.5. Chapters Four, Five, Six...

It is in these chapters that presentation of analysis and discussion of the data according to the topics or categories of analysis is done.

5.2.2.6. Final Chapter: Summary, Conclusions and Recommendations

5.2.2.7. References (*as in option 1*)

5.2.2.8. Appendices (*as in option 1*)

5.2.3. OPTION 3: (GOOD FOR DOCTORAL THESIS)

5.2.3.1. Preliminaries (*as in Option 1*)

5.2.3.2. Chapter One: Introduction (*as in Option 1*)

5.2.3.3. Chapter Two: Literature Review (*as in option 1*)

5.2.3.4. Chapters Three, Four, Five

These chapters are organized based on topics/experiments or papers. Each consists of:

- (a) A brief introduction/ Literature review as pertains to that section only
- (b) Methodology or Materials and Methods as pertains to that section only
- (c) Results and Discussion as pertains to that section only
- (d) Conclusion and Recommendations as pertains to that section only

5.2.3.5 Summary (goal is to give an executive summary and/or a synthesis of the entire thesis)

5.2.3.6. References (as in option 1)

5.2.3.7. Appendices (as in option 1)

5.3. Sample/Suggested Outlines

5.3.1. Title Page

- (a) This should bear the title of the theses in capital letters followed by the full name of the candidate (ending with the surname).
- (b) The title should be short, precise, concise and clear. It should relate to the subject matter of the Thesis. It should be captivating.
- (c) **This is followed by the following rubric:** “A Thesis Submitted to Graduate School in Partial Fulfillment of the Requirements for the Award of the Degree of ... (Name of the Degree) ... in ... (Name of the Discipline) ... of Chuka University”.
- (d) Finally, the month and the year of presentation are provided.
- (e) All this should be distributed proportionally on the page (*Published theses in the library can assist in formatting*).

5.3.2. Declaration and Approval Page

- (a) On this page, the candidate should swear as follows: **“This thesis is my original work and has not been presented for an award of a diploma or conferment of a degree in any other institution.”**
- (b) After this citation of declaration, the candidate’s name, signature and date should follow. The candidate is also expected to write his/her admission number under the name. The candidate’s name should be written in normal order with the surname coming the last (refer to guide to writing a proposal for illustration).
- (c) A candidate’s declaration is followed by the supervisor(s) declaration that the work has been presented with approval: This declaration is supposed to appear as follows: **This thesis has been submitted with our approval as university supervisors.**

5.3.3. Copyright and Dedication

This should follow the declaration page but on a separate page.

COPYRIGHT ©2010. Complete theses in the library can be used as a guide on this.

5.3.4. Acknowledgements

People or institutions that have contributed to the success of the research work are acknowledged in this part. The order starts with God (for those who are religious), supervisors, lecturers, fellow students, members of the family, friends’ institutions etc. However, it is important to have a disclaimer to exonerate all those who assisted from the attribution, blame of the information, errors or mistakes that may be contained in the theses.

5.3.5. Abstract

- (a) Language: For a thesis written in English, one abstract suffices. For theses written in Kiswahili, the abstracts have to be two for wide readership. The first abstract should

be written in Kiswahili and the second should be the same ideas translated into English. An abstract should not spill over two pages; it should be written in one block paragraph.

- (b) The abstract should be a summary, synopsis or gist of the whole work presented. For the purpose of reporting, it should highlight the contents of every chapter.

5.3.6. Table of Contents

- (a) This is a synopsis of the entire contents of a Thesis.
- (b) It contains all major sections i.e. chapter level headings. If the Thesis is long, sub-headings may be included.
- (c) The headings listed in the Table of Contents must be worded exactly as they appear in the body of the Thesis.
- (d) The wording and presentation (i.e. capitalization, use of special fonts and characters etc.) for all entries in the Table of Contents must match exactly with that in the text.
- (e) All entries must have corresponding page numbers, with leading dots connecting the entry to the page number.

5.3.7. List of Tables

- (a) If the Thesis contains many tables, a separate page should be devoted to the List of Tables specifying the title and the page where the Tables can be found in the Thesis.
- (b) The List of Tables should be separate from the Table of Contents and should come immediately after the Table of Contents.
- (c) All entries must contain a corresponding page number with leading dots or dashes connecting the entry to the page number.

5.3.8. List of Figures

- (a) This list is governed by the same rules as the List of Tables (see above).
- (b) Figures include graphs, photographic illustrations, maps, and drawings.

5.3.9. Acronyms/Symbols/Abbreviations

All symbols, abbreviations and acronyms in the Thesis should be listed on this page and their full interpretations, and units where appropriate given.

5.4. Main Text

5.4.1. Introduction

- (a) The introduction of the thesis should be brief and clear. It should give a reader an insight into the whole work, thereby acting as a summary of the whole Thesis.
- (b) It comes before the literature review and hence highlights views of other authorities in the subject. In a nutshell, it portrays the relevant aspects of the Thesis such as the problem, significance, objectives and hypotheses of the study.
- (c) It should not be long and wordy; or treated like a literature review.

5.4.2. Background Information

- a) This is what incites the scholar's curiosity to study the subject.

- b) Well-laid down context of the background to the study lays bare the importance and brings up a sound understanding of the topic of research.

5.4.3. Statement of the Problem

- (a) This is the nerve-centre of any research work, which should be adequately comprehended by the researcher from the onset.
- (b) The problem must be clearly and conspicuously stated in just one paragraph.
- (c) It should be clearly focused, without unnecessary preambles.
- (d) A statement of the problem requires the researcher to explain what is not known or what is going wrong about the issue in question.

5.4.4. Objectives

- (a) These are aims and goals, which provide the intellectual of the planned research work.
- (b) Objectives should be tailored to the research problem in order to yield relevant data.
- (c) They should be stated so that they align with the hypotheses or research questions.
- (d) They should be stated using measurable action verbs such as to determine, evaluate, enhance, compare, increase etc.

5.4.5. Hypotheses

- a) A hypothesis is a guiding principle to an argument that culminates into valid and reliable conclusions in the research.
- b) In the biophysical sciences, the hypothesis should be measurable in the final stages.
- c) Conversely, in the social sciences the hypothesis is difficult to measure; hence it remains a principle of assumptions, subject to confirmation through research.

5.4.6. Research Questions

- (a) Like objectives, properly structured and implemented research questions yield useful and relevant data.
- (b) The questions should, therefore, be structured to bring out the clarity and the relevance of what the researcher aims to achieve. Long and complicated questions should be avoided.
- (c) The questions should properly relate to the objectives of the studies/study.

5.4.7. Significance of the Study

- (a) Research being expensive both as money and time, it is imperative that its relevance is established at the onset in order to save the researcher unnecessary expenses.
- (b) One should prove that the research findings will be beneficial to the targeted consumers, besides making a contribution to the existing body of knowledge.

5.4.8. Scope

- a) This is an outline of the extent the research has taken. It is pegged on the geographical and intellectual area of study, the time taken, the resources used and the research design.

- b) It justifies what, when and why the work was done as reported.
- c) It portrays the established results under the given circumstances.

5.4.9. Assumptions (Optional)

5.4.10. Definition of Terms

This section is supposed to have technical terms or any other terms that have been used in a special way in the Thesis elaborated. The purpose of this elaboration is to avoid ambiguity or misconceptions. It is important to note that terms can be adopted to carry a specific meaning, which is not ordinary.

5.4.11. Literature Review

- (a) This is a selective and critical survey of written works of the subject area. It is obtained from personal communication, articles, books, published/unpublished papers (for theses only).
- (b) Literature from newspapers and unpublished works should be kept to a minimum.
- (c) It is a critical analysis of the selected works that reveals what has already been researched exhaustively and missing links that need filling through further research.
- (d) It provides background information, which jump-starts the research exercise.
- (e) It is useful in providing the theoretical framework(s) that subsequently conceptualize the fieldwork results.
- (f) Above all, it buttresses the researcher's statement of the problem by revealing that the area of study is untouched and it should reveal the gap to be filled by the study. In order to do this effectively, the researcher needs to explore the work being reviewed generally and say what it is all about. In addition, the researcher should critically say how that given work is relevant to the new study. It should come out clearly how the research is going to be different. By doing this, literature review will not be a "cut-and-paste" or a "paraphrasing" exercise.
- (g) It should bring out with clarity what has been done with regard to the subject of study and go ahead to prove that there is a gap or a major contribution of the current research to the existing body of knowledge.
- (h) Literature review must, and should be exhaustive, thorough, critical, informative and current.
- (i) Where quotes appear, they should be elaborated/applied/explained to make them relevant and meaningful to the study.

5.4.12. Theoretical Framework/Conceptual Framework (Optional)

- (a) This contains theories that exist for tackling a given research problem.
- (b) The essence of a theory is to act as a link between the current and existing knowledge. It is important to note that new knowledge/information is discovered on the premises of the existing body of knowledge.
- (c) In establishing a suitable theoretical framework, the researcher should consider both outdated and modern theories; reveal the merits, demerits and limitations of each.

- (d) The researcher should then choose either one whole, already established framework, or a modification of one or several frameworks for solving the research problem at hand.
- (e) The choice of the frame work should be convincingly justified. A clear mental plan or contemplation on how to steer the work should be shown here.
- (f) The section is important because it relates and co-ordinates the literature review, the problem, the significance of the study and objectives to the applied methodology.

5.4.13. Methodology

- (a) This section embodies the procedures used in eliciting data from the field of study. It includes a description of the study location, elaborate procedures of collecting data (research design, sample population, instruments), compiling, cleaning and analysis.
- (b) This section should be written well to justify the validity and reliability of the study.

5.4.14. Chapter Four: Results and Discussion

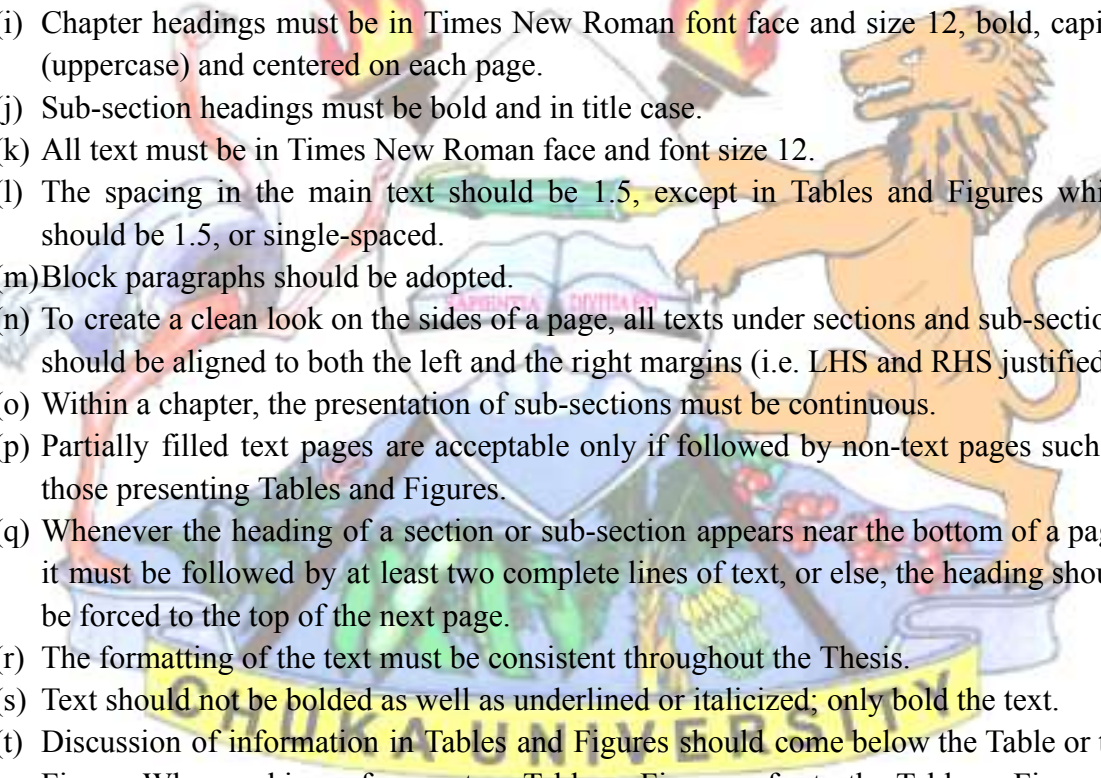
- (a) This chapter gives the uniqueness of a candidate's Thesis. The chapter deals with data compilation, analysis and presentation; results are discussion, interpretation, explanation based on data collected and guided by stated objectives and hypotheses.
- (b) It is in this chapter that findings are presented and discussed to achieve objectives and answer research questions previously set.
- (c) The findings and discussion in this chapter are organized into themes/sections based on research objectives and hypotheses.
- (d) In discussing the results, the candidate needs to compare their study findings with documented works of other scholars.

5.4.15. Chapter Five: Summary, Conclusions and Recommendations

- (a) It summarizes, concludes, recommends and makes suggestions for further research.
- (b) The summary gives the highlights of the main sections of the Thesis. Key findings are stated and supported with relevant statistics.
- (c) The conclusions and recommendations have to be systematic and based on the findings as per research objectives and variables of study.
- (d) Recommendations/suggestions for further adoption and/or research have to be realistic and based on the study findings.

5.4.16. General Format of a Thesis

- (a) All chapters should begin on a new page.
- (b) The cover of the Thesis should be blue in color.
- (c) The spine should bear the candidate's surname and initials; the abbreviation of the degree in capital letters and the year of presentation written from bottom to the top of the spine.
- (d) Pagination should be bottom centered.
- (e) Margins: 3.8 cm left; 2.5 cm right; 2.5 cm bottom and 2.5 cm top
- (f) A Thesis shall not exceed 300 pages.

- 
- (g) List of candidate's publications (optional) should be put in the appendix.
 - (h) Table titles should be at top of Tables, while figures titles should be at the bottom.
 - (i) Chapter headings must be in Times New Roman font face and size 12, bold, capital (uppercase) and centered on each page.
 - (j) Sub-section headings must be bold and in title case.
 - (k) All text must be in Times New Roman face and font size 12.
 - (l) The spacing in the main text should be 1.5, except in Tables and Figures which should be 1.5, or single-spaced.
 - (m) Block paragraphs should be adopted.
 - (n) To create a clean look on the sides of a page, all texts under sections and sub-sections should be aligned to both the left and the right margins (i.e. LHS and RHS justified).
 - (o) Within a chapter, the presentation of sub-sections must be continuous.
 - (p) Partially filled text pages are acceptable only if followed by non-text pages such as those presenting Tables and Figures.
 - (q) Whenever the heading of a section or sub-section appears near the bottom of a page, it must be followed by at least two complete lines of text, or else, the heading should be forced to the top of the next page.
 - (r) The formatting of the text must be consistent throughout the Thesis.
 - (s) Text should not be bolded as well as underlined or italicized; only bold the text.
 - (t) Discussion of information in Tables and Figures should come below the Table or the Figure. When making reference to a Table or Figure, refer to the Table or Figure by the reference number, but not page number. For instance, instead of stating that the "Table below....." a candidate ought to state that, "Information on Table 8, Figure 5 shows....."

5.5. Appendices

All materials, which do not easily fit into the mainstream of the Thesis write up but are relevant to the work as a whole, should be retained as appendices after references.

**APPENDIX I
A SAMPLE TITLE PAGE**

**EFFECTIVENESS OF SCHOOL-BASED INITIATIVES IN SUPPLEMENTING
EDUCATIONAL FINANCES IN MARSABIT COUNTY, KENYA**

CATHERINE MUTHONI NJAGI

**A Thesis Submitted to Graduate School in Partial Fulfillment of the Requirements
for the Award of Master of Education Degree in Environmental Science of Chuka
University**



CHUKA UNIVERSITY

SEPTEMBER 2016

APPENDIX II
SAMPLE DECLARATION AND RECOMMENDATIONS PAGE

Declaration

This proposal/thesis is my original work and has not been presented for an award of a diploma or conferment of degree in any institution.

Signature:

Catherine Muthoni Njagi
EM15/0989/10

Date:

Recommendations

This proposal/Thesis has been submitted with our approval as the University supervisors.

Signature:

Dr. Martin. K. Matano
Department of Education
Chuka University

Date:

Signature:

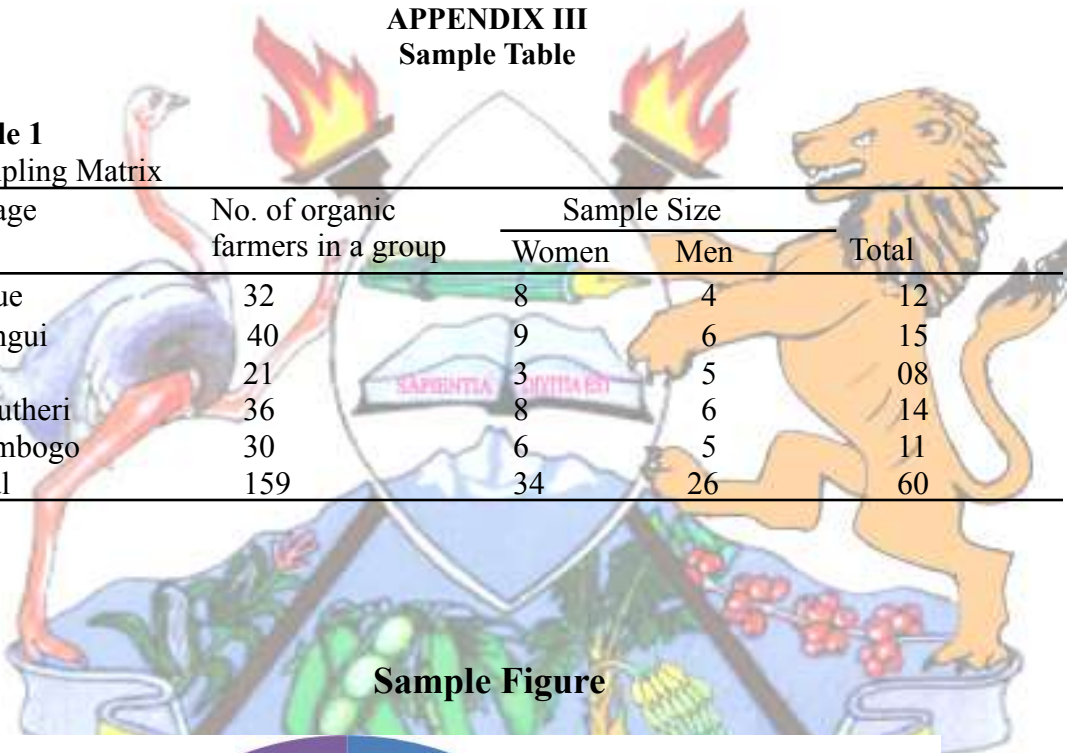
.....
Prof. Holland N. Konde
Department of Arts and Humanities
Egerton University

Date:

**APPENDIX III
Sample Table**

Table 1
Sampling Matrix

| Village | No. of organic farmers in a group | Sample Size | | |
|--------------|-----------------------------------|-------------|-----------|-----------|
| | | Women | Men | Total |
| Kivue | 32 | 8 | 4 | 12 |
| Kiangui | 40 | 9 | 6 | 15 |
| Kau | 21 | 3 | 5 | 08 |
| Gacutheri | 36 | 8 | 6 | 14 |
| Kiambogo | 30 | 6 | 5 | 11 |
| Total | 159 | 34 | 26 | 60 |



Sample Figure

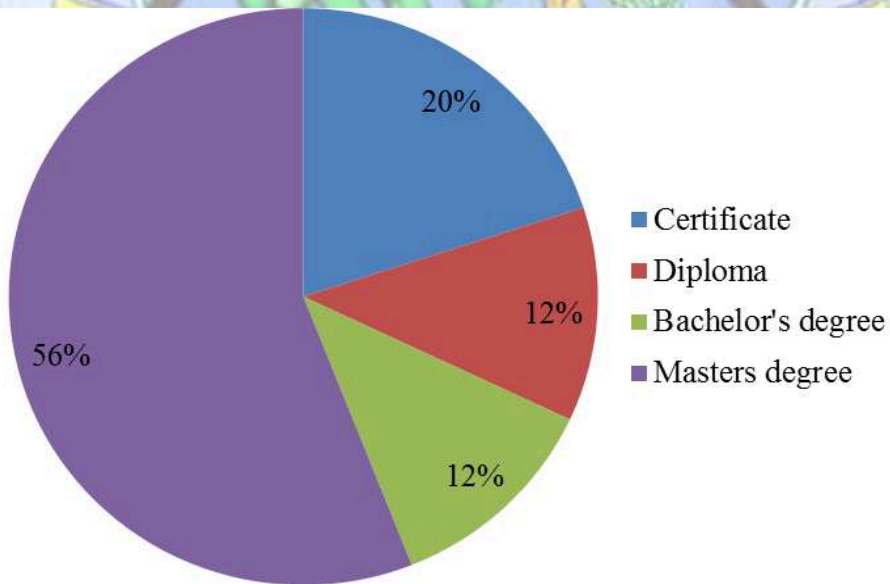


Figure 1. Highest level of education attained by extension officers in Nembure location





Chuka



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