



TOM MBOYA UNIVERSITY
KNOWLEDGE FOR SUSTAINABLE INNOVATION ENTERPRISE

DIRECTORATE OF POSTGRADUATE STUDIES

**RULES AND REGULATIONS FOR
POSTGRADUATE STUDIES**

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TABLES OF CONTENTS

TABLES OF CONTENTS	ii
PREAMBLE.....	vi
LIST OF ABBREVIATIONS	vii
DEFINITION OF TERMS.....	viii
1.0. INTRODUCTION	1
2.0. OBJECTIVES	2
3.0. THE BOARD OF THE DIRECTORATE OF POSTGRADUATE STUDIES	2
3.1. Membership.....	2
3.2 Meetings of the Board	3
4.0 POSTGRADUATE FACULTY	3
4.1 Membership.....	3
4.2 Terms of Reference and Functions of Postgraduate Faculty	3
4.3 Restrictions on Supervision and Examination of Thesis Project.....	3
5.0 DEPARTMENTAL POSTGRADUATE STUDIES COMMITTEE (DPGSC).....	4
5.1 Membership.....	4
5.2 Terms of Reference and Functions of DPGSC	4
6.0 FACULTY POSTGRADUATE STUDIES COMMITTEE (FPGSC).....	4
6.1 Membership.....	4

6.2 Terms of Reference and Functions of FPGSC.....	5
7.0 SUBMISSION AND PROCESSING OF APPLICATIONS FOR POSTGRADUATE STUDIES	5
7.1 Submission of Applications for Postgraduate Studies	5
7.2 Change of Course/Programme.....	7
7.3 Deferment/Suspension of Studies	7
7.4 Re-admission.....	7
7.5 Extension of Studies.....	8
7.6 Registration of Admitted Students	8
8.0 TITLES OF POSTGRADUATE QUALIFICATION	8
8.1 Degree Titles	8
8.2 Other Titles.....	8
9.0 CONDUCT OF STUDIES COMMON RULES AND REGULATIONS FOR POSTGRADUATE STUDIES.....	9
9.1 Eligibility.....	9
9.1.1Postgraduate Certificate	9
9.1.2Postgraduate Diploma	9
9.1.3Master’s Degree	9
9.1.4Doctoral Degree.....	9
9.2 Structure of Postgraduate Programmes.....	10
9.2.1Postgraduate Certificate Programme	10

9.2.2 Postgraduate Diploma	10
9.2.3 Masters Degrees	11
9.2.4 Doctoral degrees	12
9.2.5 Flexible degree programmes.....	13
10. SUPERVISION	14
10.1 General.....	14
10.2 Appointment of Supervisors.....	15
10.3 Replacement of Supervisors	15
11.0 PROCESSING OF EXAMINATIONS.....	16
11.1 Processing of Examinations in General	16
11.2 Assessment and Examination of Postgraduate Programmes.....	16
11.2.1 Postgraduate Certificate	16
11.2.2 Postgraduate Diploma	17
11.2.3 Masters Degrees.....	18
11.2.4 Recommendation for the award of the Doctoral Degree	19
11.3.1 Submission and Examination of Projects.....	19
11.3.2 Submission of Thesis for Examination.....	21
11.3.3 The Oral Defense.....	23
11.3.4 Final Submission of Thesis.....	25
12.0 MENTORSHIP TEACHING	26

13.0 DEREGISTRATION	27
14.0 HIGHER DOCTORATES.....	30
15.0 EXEMPTIONS FROM THESE RULES AND REGULATIONS.....	31
16.0 REVIEW OF RULES AND REGULATIONS.....	31
APPENDIXES	

PREAMBLE

Research, teaching and learning are core activities of Tom Mboya University. These activities are not only informed by expectations from the society and the research undertaken by the university, but also by the vision and mission of the university that cuts its niche (Flag ship areas: Public Policy and Allied Studies; Studies of Lake Victoria and Allied Challenges; Tourism and Cultural Studies; and Food Security and Agricultural Studies) in teaching and learning. The niche is then operationalized by postgraduate education that responds to cutting edge solutions that address academic, social, economic, political and general development needs of society. The university intends to be academically relevant, while offering market-driven postgraduate programmes that address futuristic scenarios based and supported by research. These programmes are required to be of high quality in order to achieve the mission and vision of the university and also attract postgraduate students to the university. TMU has developed the Postgraduate Rules and Regulations policy to ensure that its students needs and aspirations are well guided, timely and achievable.

LIST OF ABBREVIATIONS

ARSA	–	Academic Research and Students Affairs
CUE	–	Commission for University Education
DVC	–	Deputy Vice Chancellor
DPS	-	Directorate of Postgraduate Studies
FPGSC	-	Faculty Postgraduate Studies Committee
TMU	–	Tom Mboya University
PGD	–	Post Graduate Diploma
PhD	–	Doctor of Philosophy

DEFINITION OF TERMS

For the purpose of this policy:

Academic Programme	A design of learning content, which includes intentions, structure of content, delivery modes, academic resources and assessment modes
Academic Year	A period of study that normally consist of two semesters and may include a third semester to cater for practical attachments, teaching practice and other field courses as may be determined by Academic Board.
Aim/Purpose	A term used to indicate the teaching intentions, direction or orientation of a course or programme.
Assessment	A general term that embraces all methods used to judge the performance of an individual, group or organization.
Assessment Criteria	Descriptions of what the learner will have to demonstrate in order that learning outcomes specific to a course have been achieved. The purpose of assessment criteria is to establish clear and unambiguous standards of achievement in respect of each learning outcome. Level descriptors are used as a guide during this process.
Benchmark	A point of reference against which something may be measured.
Best practice	Effective, ideal or paradigmatic practice within an organisation that others would benefit from adopting or adapting.
Competence	Acquisition of knowledge skills and abilities at a level of expertise sufficient to be able to perform in an appropriate work setting (within or outside academia).
Compliance	Undertaking activities or establishing practices or policies in accordance with the requirements or expectations of an external regulatory authority.
Contact Hour	One contact hour corresponds to one hour of teaching and/or learning activity such as lecture, tutorial class, seminar, workshop, practical class or structured independent learning activity such as distance learning or resource-based learning.
Continuous Assessment	An evaluation taken on an ongoing basis as part of a course or course unit which contributes to the final mark.
Course	Is the part of a programme in which a student can receive as assessment normally taught over a semester, and may comprise one or more units of study

Criteria	The specification of elements against which a judgment is made.
Curriculum	An organized programme of study for a given degree or diploma awards incorporating all matters including rationale of the programme, purpose, expected learning outcomes, academic resources for the support of the programme, academic organization of the programme, admission requirements, mode of delivery, programme content requirements, assessment process requirements and requirements for the award.
Discipline	A particular branch of learning or body of knowledge.
Internal institutional audit	is a process that institutions undertake for themselves to check that they have procedures in place to assure quality, integrity or standards of provision and outcomes across the institution.
Lecture hour	A period of time equivalent to one such continuous hour in lecture form, two in a tutorial or open learning session, three in a laboratory practical or practicum and five in farm or similar practice;
Mode of Study	The method for delivery of an academic programme.
Multidisciplinary Programme	A programme derived or drawn from two or more disciplines by placing side by side courses from the disciplines but makes no attempt to integrate the insights produced by these courses into an interdisciplinary curriculum.
Peer Review	An evaluation by people of the same level.
Plagiarism	To copy another person's ideas, words or work and pretend that they are your own
Thesis dissertation	A structured synthesis of the outcome of a student's research at master's or doctoral level

1.0 INTRODUCTION

Tom Mboya University (TMU) a successor of Tom Mboya University College (TMUC) established through Legal Notice No. 55 in the Kenya Gazette Supplement No 45 of 8th April 2016 as a constituent college of Maseno University, Kenya, was chartered as a full University under Section 23 of the Universities Act 2012 and under Section 32 of Tom Mboya University Charter on the 4th of August 2022. The mandate of TMU is by law provided for all the functions and objects of a university that are generally provided under the Universities Act of Kenya, to include : Provision and integration of teaching and research and effective application of knowledge and skills to the life, work, and welfare of the citizens of Kenya; Playing a leading role in the development and expansion of the opportunities for higher education and research; Contribution to industrial and technological development through innovations and technology transfer; and development as an institution of excellence in teaching, training, scholarship, entrepreneurship, innovations, research, and consultancy services.

All agreed that as much as possible, the emphasis in teaching would focus on both the acquisition of knowledge and its practical application based on more hours of contact, fieldwork, and industrial attachment as guided by the Commission for University Education (CUE). This would give students a holistic understanding of the environment upon which they will operate as professionals. In particular, this would ensure that the graduates from Tom Mboya University would be capable of self-employment and job creation rather than relying on the already scarce formal employment. It was specifically indicated that TMU would play a focused role towards attainment of goals of job creation and industrial growth through exploitation of national skills and resources articulated in the Kenya National Vision 2030.

VISION

To be a premier internationally recognized University distinguished for its teaching, research, and innovation.

MISSION

To transform and sustainably contribute to society through teaching; research and innovation; knowledge creation, application and outreach.

CORE VALUES

- Excellence in teaching, research and innovation
- Accountability;
- Efficiency;
- Integrity; and
- Sustainability.

The Directorate of Postgraduate Studies (DPS) of Tom Mboya University co-ordinates all postgraduate programmes in the University and reports on the same to Senate. The postgraduate programmes include, postgraduate certificates, diplomas and Master Doctorate Degrees.

The DPS is charged with the responsibility of ensuring that the postgraduate programmes are initiated and maintained: that qualified students are attracted into these programmes; that high level research at the postgraduate and post- doctoral level is maintained; that studies are completed in the stipulated time and that research findings are disseminated to the users so that they are of benefit to Kenya and generally to scholarship. The DPS Board shall make recommendations for award of Scholarships and Fellowships. It shall also administer the Directorate of Postgraduate Studies Research Grant when such awards are available. Teaching and research shall, however, be carried out in the various Faculties.

2.0 OBJECTIVES

The objectives of the Directorate of Postgraduate Studies are to:

- (i) Co-ordinate Postgraduate academic programmes from Faculties and ensure rules and regulations relating to postgraduate studies are strictly adhered to;
- (ii) Co-ordinate the admission of postgraduate students, the conduct of postgraduate programmes including examinations and recommend to Senate awards of postgraduate certificates, diplomas and degrees;
- (iii) Negotiate for funding and co-ordinate the distribution of funds for Directorate of Postgraduate Studies Research Grant Scheme;
- (iv) Organize and co-ordinate seminars, Inaugural and Public lecture series;
- (v) Encourage the publication and dissemination of research findings;
- (vi) Ensure that patents and other intellectual property rights are secured where appropriate;
- (vii) Co-ordinate matters pertaining to the welfare of postgraduate students and ensure the existence of an environment that is conducive for the conduct of their studies;
- (viii) Make recommendations for award of scholarships, fellowships, Directorate of Postgraduate Studies Research Grant.

3.0 THE BOARD OF THE DIRECTORATE OF POSTGRADUATE STUDIES

The Board of the Directorate of Postgraduate Studies shall be responsible to Senate for all matters pertaining to postgraduate studies at Tom Mboya University.

3.1 Membership

- 1. the Deputy Vice-Chancellor (ARSA) who shall serve as Chairperson;
- 2. the Director (DPS) who shall serve as the Secretary to the DPS Board;
- 3. Deans of faculties;
- 4. two representatives of the Senate of the opposite sex;
- 5. Director Quality Assurance
- 6. Director Research, Innovation and Technology Transfer
- 7. the University Librarian;
- 8. the Registrar (Academics);
- 9. other scholars of the University that have been invited at the discretion of the DPS Board to attend its meetings in advisory capacity only and without the right to vote at such meetings.

3.2 Meetings of the Board

The Board of the Directorate of Postgraduate Studies shall normally meet once a month

- 3.2.1 Notice of regular Board meetings shall be given at least one week in advance with published agenda.
- 3.2.2 The Director, Directorate of Postgraduate Studies, may call a special meeting of the Board and the agenda of such meeting shall be the only business of the day.
- 3.2.3 The quorum for the transaction of any business during all meetings shall be one third or the nearest whole number above one third of the membership of the Board of the Directorate of Postgraduate Studies.
- 3.2.4 The Directorate of Postgraduate Studies Board may at its own discretion invite other persons to attend any of its meetings in an advisory capacity. Such persons shall be listed as “in attendance” and shall not have the power to vote.

4.0 POSTGRADUATE FACULTY

All full-time academic staff who are holders of a doctorate degree, teach postgraduate courses or supervise postgraduate research constitute the “Postgraduate Faculty”.

4.1 Membership

Members of the Postgraduate Faculty (PGF) are the following:

- (i) Professors
- (ii) Associate Professors.
- (iii) Senior Lecturers.
- (iv) Lecturers holding doctoral degrees with relevant teaching and/or research experience at postgraduate level and who are engaged in productive research.

4.2 Terms of Reference and Functions of Postgraduate Faculty

- (v) Teaching postgraduate programmes in their departments;
- (vi) Supervision of postgraduate students’ these projects (proposal, research, writing, submission and examination);
- (vii) Serving as Academic Advisors of postgraduate students;
- (viii) Serving on examination panels for postgraduate students;
- (ix) Holding consultative meetings under the Chair of the Dean of where necessary;
- (x) Coordinating and promoting faculty postgraduate research activities.

4.3 Restrictions on Supervision and Examination of Thesis Project

- (xi) Postgraduate diploma candidates shall normally be supervised and examined by holders of Masters Degrees and above;
- (xii) Masters’ candidates shall normally be supervised and examined by holders of Doctoral Degrees;
- (xiii) Doctoral candidates shall be supervised and examined by holders of Doctoral degrees with relevant research experience as evidenced by three (3) publications in peer reviewed indexed journals or one (1) University level academic books after graduation;

- (xiv) A member of staff shall normally declare conflict of interest and is expected to observe professional ethics in the supervision and examination of students
- (xv) Postgraduate student supervision numbers shall be maximum of 4 Masters and 2 PhD students at any given time.

5.0 DEPARTMENTAL POSTGRADUATE STUDIES COMMITTEE (DPGSC)

5.1 Membership

- (i) All teaching staff in the Department who are designated members of Postgraduate Faculty.
- (ii) The Chairperson of Department
- (iii) A Chairperson, who shall normally not be Chairperson of Department, and who shall be elected by the academic members of the Department initially in a meeting to be convened by the Chairperson of Department. The Chairperson of the DPGSC shall normally be a Senior Lecturer or a higher grade.

5.2 Terms of Reference and Functions of DPGSC

The Departmental Postgraduate Studies Committee shall:

- (i) Initiate and co-ordinate postgraduate programmes in the Department;
- (ii) Collaborate, whenever necessary, with other departments in the Faculty and the University in general, in running inter-disciplinary Postgraduate;
- (iii) Review applications for postgraduate admissions and make recommendations to the Postgraduate Studies Committee;
- (iv) Recommend the appointment of Supervisors, Internal Examiners and External Examiners to the Faculty Postgraduate Studies Committee;
- (v) The Chairperson of the DPGSC shall be the Academic Advisor for postgraduate students in the Department;
- (vi) Carry out any other functions assigned to it by the Board of the Directorate of Postgraduate Studies;
- (vii) At its discretion invite other persons to attend any of its meetings in an advisory capacity. Such persons shall be listed in attendance and shall have no power to vote;
- (viii) Each semester, the Chairperson of the DPGSC shall submit to the Director DPS a list of all post-graduate students at the department.

6.0 FACULTY POSTGRADUATE STUDIES COMMITTEE (FPGSC)

6.1 Membership

- (i) All Chairpersons of Departmental Postgraduate Studies Committee in that Faculty.
- (ii) The Dean of the Faculty or representative.
- (iii) A Chairperson, who shall normally not be the Dean of the Faculty, shall be elected by the members of the FPGSC initially in a meeting to be convened by the Dean of that Faculty.
- (iv) At its discretion the committee shall invite other relevant persons to attend any of

their meetings in advisory capacity. Such persons shall have no power to vote.

6.2 Terms of Reference and Functions of FPGSC

The Faculty Postgraduate Studies Committee (FPGSC) is responsible to the Directorate of Postgraduate Studies Board or to the relevant Academic Board of the Constituent College.

The Faculty Postgraduate Studies Committee shall:

- (i) Recommend to the Directorate of Postgraduate Studies Board, all postgraduate academic programmes in the faculty.
- (ii) Recommend to the Directorate of Postgraduate Studies Board all candidates for admission to postgraduate studies.
- (iii) Recommend to the Directorate of Postgraduate Studies Board the appointment of Supervisors, Internal Examiners and External Examiners.
- (iv) Recommend to the Directorate of Postgraduate Studies Board candidates for the award of scholarships, and fellowships.
- (v) Communicate to the Directorate of Postgraduate Studies Board all problems facing postgraduate students in the faculty.
- (vi) Recommend to the Directorate of Postgraduate Studies Board the award of higher certificates, diplomas, and degrees to postgraduate students in their faculty.
- (vii) Organizing seminars for postgraduate students and staff.

When matters pertaining to examinations are presented for deliberation, the Chairperson shall ask the student representatives not to attend such meetings.

7.0 SUBMISSION AND PROCESSING OF APPLICATIONS FOR POSTGRADUATE STUDIES

7.1 Submission of Applications for Postgraduate Studies

- (i) Three sets of application forms for postgraduate studies shall be issued by the Director, Directorate of Postgraduate Studies after an applicant has paid the appropriate application fee. Applicants shall also use the online application form through university web site or any other relevant sub-domain. Application forms shall also be downloaded from the University web site or other relevant sub-domain.
- (ii) Completed application forms, plus copies of Secondary Faculty Certificates, Degree Certificates, Official Degree Transcripts and any other relevant Testimonials shall be submitted to the Director, Directorate of Postgraduate Studies who will record all the forms for statistical and monitoring purposes. Completed applications together with evidence of payment of application fee may also be received through the online application form, postal mail or dropped off in person at the Office of the Director, Directorate of Postgraduate Studies or any of the campuses of Tom Mboya University.
- (iii) Doctoral applicants shall submit with application forms a concept paper of the intended research not exceeding 500 words.
- (iv) All applications shall be acknowledged by the Director, Directorate of Postgraduate Studies and forwarded to relevant Departments where the

Departmental Postgraduate Studies Committee shall prepare a shortlist of candidates. Thereafter, the application, together with minutes of the DPGSC meeting, shall be tabled before the FPGSC meeting for further processing. All applications with foreign earned certificates, diplomas and degrees shall be accompanied by certificate of equation from the Commission for University Education.

- (v) Chairpersons of Faculty Postgraduate Studies Committee shall forward, through their respective Deans, names of short-listed candidates, minutes of FPGSC meetings and all the processed application forms to the Director, Directorate of Postgraduate Studies.
- (vi) The Directorate of Postgraduate Studies Board shall scrutinize all applications for postgraduate studies and if satisfied with an applicant's eligibility for registration, shall recommend to Senate that the applicant be registered.
- (vii) Before recommending a candidate to the Admissions Board for admission and registration, the faculty concerned shall satisfy itself that:
 - a. The candidate meets the minimum entry requirements for that programme.
 - b. The proposed field of study can be pursued under the supervision of the University Postgraduate Faculty.
 - c. The candidate has adequate opportunities for consulting his/her supervisor(s) at least once a month.
 - d. The candidate has adequate facilities for practical work where applicable.
 - e. Any foreign earned testimonials have been equated by the Commission for University Education.
- (viii) A Department which does not have sufficient Postgraduate Faculty to teach, supervise and examine its own postgraduate students shall normally not admit/register students in that particular academic year. The recommended ratio of Postgraduate Faculty: Postgraduate students for supervision shall be 1:10 at any one given time.
- (ix) The Director, Directorate of Postgraduate Studies shall send letters of admission and/or registration to all successful candidates within one week of approval. Such letters shall be copied to the Registrar, Academic and Students Affairs, Head of teaching Department and the relevant Dean of Faculty.
- (x) Admission into the current academic year for postgraduate candidates shall normally close on the date designated by Senate. The beginning of the academic year for Postgraduate students shall normally be synchronized with the university calendar. Admissions will be conducted in January, May, September of each year. However, Doctoral students can join at any time of the year with approval of the relevant department.
- (xi) All students must present original certificates for verification at first registration. Students registered for eLearning programmes shall present their original certificates for verification at the examination centres when they take the first sit-in examinations or on their first mid-semester face-to-face meeting. No eLearning

student shall be allowed to graduate before their original certificates are verified.

7.2 Change of Course/Programme

- (i) A candidate requesting for change of course/programme shall normally make a request to the Director, Directorate of Postgraduate Studies within one month of enrolment as a postgraduate student;
- (ii) Such requests shall be sent through the Chairpersons of the Postgraduate Departmental Committee of both the current department and the proposed new department;
- (iii) Students requesting for change of course/programme must meet admission requirements of the desired course/programme;
- (iv) The request for change of course/programme shall be discussed by the Board, Directorate of Postgraduate Studies and if accepted be proposed to Senate for approval.

7.3 Deferment/Suspension of Studies

- (i) A candidate may in exceptional cases be allowed, for good academic and personal reasons, to suspend his/her studies for a specific period.
- (ii) Requests for deferment should be addressed to the Director, Directorate of Postgraduate Studies stating acceptable/justifiable grounds and the period of deferment.
- (iii) The Directorate of Postgraduate Studies Board shall consider the request and recommend to Deans' Committee and Senate to approve deferment/suspension of studies for a period not exceeding one academic year.
- (iv) The letter granting deferment or otherwise shall be copied to the Dean of Faculty, Chairperson of the Department and the Principal/Director of the campus where a student is registered.

7.4 Re-admission

- (i) At the expiry of an approved period of deferment/suspension of studies, the student shall request for re-admission. Requests for re-admission shall be addressed to the Director, Directorate of Postgraduate Studies.
- (ii) Upon approval of the Directorate of Postgraduate Studies Board, the Director DPS shall re-admit or advise the student to resume studies. The re-admission shall be communicated as stated in 7.3 (iv) above.
- (iii) A student who suspends studies for a period exceeding one academic year may re-apply for fresh admission. If re-admitted, the student shall request by writing to the Director DPS for exemption from coursework done before suspension of studies.
 - a) For such students, the Director DPS shall write to Chairperson of the DPGSC to convene a meeting to discuss the student's request for exemption from coursework and to make recommendation to the Director DPS.
 - b) The Director DPS shall table recommendations from the Chairperson DPGSC to DPS Board that shall return a verdict of whether or not to approve a

readmission request.

7.5 Extension of Studies

- (i) A candidate who is unable to submit a Masters or Doctoral degree thesis within the stipulated time in accordance with clause 9.2.3 and 9.2.4 may apply for extension of studies. Such application should be addressed to the Director, Directorate of Postgraduate Studies through the candidate's supervisors, Chairman of the Department, Dean of the Faculty; clearly stating the reasons for extension and provide sufficient evidence.
- (ii) Extension of studies shall be granted for such a period as to enable the candidate complete studies within the maximum allowed duration as specified in clauses 9.2.3(i) and 9.2.4 (v) of these Rules and Regulations. A candidate that does not meet these conditions shall be deregistered as specified in Section 12.0

7.6 Registration of Admitted Students

- (i) All admitted students shall be required to register physically or online, with the Office of the Registrar, Academic and Students Affairs within the first three weeks of the Semester;
- (ii) Candidates admitted to eLearning programmes shall undertake a mandatory online Orientation to eLearning course before participating in the online course(s) in which they are registered;
- (iii) A candidate shall not be allowed to sit for a University Examination if she/he has not fulfilled the condition in (i) above;
- (iv) A candidate shall be required to register for University Examinations at least two weeks before the start of Semester Examinations;
- (v) All continuing postgraduate students shall sign the Nominal Roll at the Directorate of Postgraduate at the beginning of every semester. Students signing the Nominal Roll for the first time must produce original degree certificates for verification.

8.0 TITLES OF POSTGRADUATE QUALIFICATION

8.1 Degree Titles

The University offers the following degrees:

- (a). Master of Arts (MA)
- (b). Master of Business Administration (MBA)
- (c). Master of Education (MEd)
- (d). Master of Science (MSc)
- (e). Doctor of Philosophy (PhD)
- (f). Doctor of Letters (DLitt)

Department Faculties may propose new degrees giving justification for consideration and approval by Senate.

8.2 Other Titles

- (a) Postgraduate Certificates
- (b) Postgraduate Diploma

9.0 CONDUCT OF STUDIES COMMON RULES AND REGULATIONS FOR POSTGRADUATE STUDIES

9.1 Eligibility

9.1.1 Postgraduate Certificate

To qualify for admission into the postgraduate certificate programme applicants shall be:

- (i) Holders of a degree of Tom Mboya University or any other recognized University by the Commission for University Education
- (ii) In addition to the above, the applicant may be required to fulfil specific Faculty requirements approved by Senate.

9.1.2 Postgraduate Diploma

To qualify for admission into the Postgraduate Diploma (PGD) an applicant shall be:

- (i) Holders of a degree of Tom Mboya University or a degree from any other University recognized by the Commission for University Education.
- (ii) In addition to the above, the applicant may be required to fulfil specific Faculty requirements as approved by Senate.

9.1.3 Master's Degree

To qualify for admission into the Master's degree an applicant shall be:

- (i) Holder of at least an upper second-class honours degree of Tom Mboya University or any other University recognized by the Commission for University Education.
- (ii) Holder of a lower second-class degree of Tom Mboya University or any other University recognized by the Commission for University Education and Postgraduate Diploma of Tom Mboya University or any other recognized University or evidence of at least two (2) years research experience as demonstrated by publication in peer reviewed journals.
- (iii) Holder of a pass degree of Tom Mboya University or any other University recognized by the Commission for University Education. and a Postgraduate Diploma of Tom Mboya University or any other recognized University and evidence of at least three (3) years research experience as demonstrated by publications in peer reviewed journals.
- (iv) In addition to the above, the applicant must meet the specific requirements of the Masters programme as approved by Senate.

9.1.4 Doctoral Degree

To qualify for admission into a Doctoral programme, the applicant shall be:

- (i) Holders of a Master's degree of Tom Mboya University in the relevant field, or
- (ii) Holders of a relevant Master's degree of any other University recognized by the Commission for University Education.
- (iii) In addition to the above, the applicant must meet the specific requirements of the Doctoral degree programme as approved by Senate.

9.2 Structure of Postgraduate Programmes

9.2.1 Postgraduate Certificate Programme

- (i) The duration of the Postgraduate Certificate programme shall be between 3 to 6 months. The programme shall be designed by the respective departments which shall submit it to the Directorate of Postgraduate Studies Board through FPGSC.
- (ii) The DPS Board shall forward the proposed programme with recommendations to Senate for approval.

9.2.2 Postgraduate Diploma

- (i) The Postgraduate Diploma (PGD) programme shall consist of a minimum of 9 units of course work, examination and project distributed over two consecutive semesters as follows:

FIRST SEMESTER	Coursework	4 units minimum
	Project	1 unit maximum
SECOND SEMESTER	Coursework	2 units minimum
	Project	2 units maximum

- (ii) Students registered for Postgraduate Diploma programmes offered through eLearning shall normally enrol for a minimum of 2 units each semester or as determined by the respective Faculties.
- (i) Students shall choose courses in consultation with Departmental Postgraduate Faculty where applicable. All candidates shall normally participate in the seminars arranged by their departments
- (ii) A candidate registered in accordance with these regulations shall be required to undertake a project under supervision by academic staff appointed in that capacity by Senate on the recommendation of the Faculty Board concerned to the Board Directorate of Postgraduate Studies.
- (i) Each student shall choose a topic for his/her project in consultation with academic staff from the Departmental Faculty within one month of the first semester.
- (ii) Only one supervisor will be appointed for each candidate from among the academic staff of the faculty concerned by Director, Directorate of Postgraduate Studies upon recommendation by the Department concerned and approval of the Board, Directorate of Postgraduate Studies.
- (iii) The candidate shall submit and present a project proposal to the DPGSC within one month of the first semester.
- (iv) The approved project proposal and minutes of the DPGSC that approved the proposal shall be submitted to the Directorate of Postgraduate Studies, for processing and recommendation to Senate for final approval. Proposals not accompanied by minutes of DPGSC shall not be processed.
- (v) Students whose research involve human subjects must obtain ethical approval from any of the ethical review boards mandated by NACOSTI.
- (vi) All students must obtain research authorization from NACOSTI before they commence their research;
- (vii) The processing of the submitted project proposal from the DPGSC to Directorate of Postgraduate Studies shall take a maximum of two (2) weeks.

9.2.3 Masters Degrees

Master's Degree programme in all departments shall normally consist of coursework, examination and these projects normally extending over a period of two academic years distributed over four semesters of full time/part-time attendance provided that part-time attendance shall not exceed a period of four calendar years from the date of registration.

9.2.3.1 Master's Degree (Coursework and Thesis Option)

The Master's degree programme (thesis option) in any department shall consist of a minimum of 14 units, and a maximum of 19 units of coursework, examination and thesis distributed over four semesters as below:

Masters by Coursework and Thesis

First Semester:	Coursework:	4 units minimum	6 units max
Second Semester:	Coursework:	3 units minimum	6 units max
	Research Proposal/topic		1 unit
Third Semester:		Research	3 units
Fourth Semester:		Research/Thesis submission	4 units

- (i) Students registered for Master's Degree (Coursework and Thesis) programmes offered through eLearning and other flexible modes shall normally enrol for a minimum of 2 units each semester or as determined by the respective Faculties.
- (ii) During the coursework semesters, students shall be encouraged to propose prospective supervisors to the Chairperson DPGSC, from among the Postgraduate Faculty in the Department.
- (iii) The candidate shall submit a thesis research proposal/topic to the DPGSC within 4 weeks of the next semester following completion of coursework.
- (iv) Within two days of proposal/topic receipt, the DPGSC Chairperson shall forward the proposal to the Chairperson, FPGSC who will convene a proposal presentation seminar that must be attended by all Postgraduate Faculty of the Department concerned and chairpersons of DPGSC in the Faculty or their representatives.
- (v) All postgraduate studies faculty shall be invited to the presentations. The Chairperson, FPGSC/representative shall chair the presentations.
- (vi) The faculty shall organize oral Defense for research proposal topics.
- (vii) The processing of the submitted thesis research proposal from the DPGSC to Directorate of Postgraduate Studies shall take a maximum of four (4) weeks.
- (viii) The approved research proposal/topic and minutes of the FPGSC that approved the proposal shall be submitted to the Directorate of Postgraduate Studies for processing and recommendation to Senate for final approval. Proposals not accompanied by minutes of FPGSC shall not be processed at DPS.
- (ix) The approved thesis proposal/topic and minutes of the FPGSC that approved the proposal shall be submitted to the Directorate of Postgraduate Studies, for processing and recommendation to Senate for final approval. Proposals not accompanied by minutes of FPGSC shall not be processed.
- (x) Students whose research involve human subjects must obtain ethical approval from any of the ethical review boards mandated by NACOSTI.

- (xi) All students must obtain research authorization from NACOSTI before the commencement of research.

9.2.3.2 Master's Degree (Coursework and Project Option)

The Master's degree programme (project option) in any department shall normally consist of a minimum of 15 units, and a maximum of 22 units of course work, examination, and project research distributed over four semesters as below:

Masters by Coursework and Project			
First Semester:	Coursework:	4 units minimum	6 units' max.
Second Semester:	Coursework:	3 units minimum	6 units' max
Third Semester:	Course work:	3 units minimum	6 units' max.
	Project Proposal/topic	1 unit	
Fourth Semester:	Research/Project submission		3 units

- (i) Students registered for Master's Degree (Coursework and Project) programmes offered through eLearning and other flexible modes shall normally enrol for a minimum of 2 units each semester or as determined by the respective Faculties.
- (ii) Students shall choose topics for their projects in consultation with their supervisors from the Departmental Postgraduate Faculty.
- (iii) The candidate shall submit a project research proposal to the DPGSC within 2 weeks of the next semester following completion of coursework
- (iv) The processing of the submitted project research proposal from the DPGSC to Directorate of Postgraduate Studies shall take a maximum of four (4) weeks.
- (v) The approved project proposal/problem and minutes of the FPGSC that approved the proposal/topic shall be submitted to the Directorate of Postgraduate Studies, for processing and recommendation to the Senate for final approval.
NB: Proposal problems not accompanied by minutes of FPGSC shall not be processed.
- (vi) Students whose research involve human subjects must obtain ethical approval from any of the ethical review boards mandated by NACOSTI.
- (vii) All students must obtain research authorization from NACOSTI.
- (viii) Coursework for Master's degree shall normally include research methodology and conventions of scientific communication.

9.2.4 Doctoral degrees

The Doctoral programme in any Department shall normally consist of coursework and thesis and shall together add up to a minimum of 20 units as shown below:

First Semester:	Course work:	4 units
Second Semester:	Course work:	4 units
Third Semester:	Research only	3 units
Fourth Semester:	Research only:	3 units

Deficiency

- (i) Where a doctoral student is found deficient in areas necessary for PhD. research work as determined by the Department, the student shall be required to register for relevant courses from Master Undergraduate programmes.
- (ii) Such students will be expected to register and pass examinations in the courses, particularly level 8 courses. Where the relevant courses are already available in eLearning mode, such students may join the online class.
- (iii) Once admission is recommended by Directorate of Postgraduate Studies Board and approved by Senate, the candidate shall be issued with a provisional admission letter with a reference number valid for one year within which to complete coursework and submit a research proposal to the Directorate of Postgraduate Studies.
- (iv) A Doctoral student must submit to the Director, Directorate of Postgraduate Studies, through his/her respective FPGSC a full research proposal within one year after registration.
- (v) The DPS board shall discuss and approve PhD proposal then send it to the Senate for approval.
- (vi) Students whose research involve human subjects must obtain ethical approval from any of the ethical review boards mandated by NACOSTI.
- (vii) All students must obtain research authorization from NACOSTI.
- (viii) A candidate may be registered as a full-time student for the Doctoral degree for a minimum of three years and a maximum of five years. A candidate may be registered as a part-time student for the Doctoral degree for a minimum of four years and a maximum of seven years. The Directorate of Postgraduate Studies Board will review registration from time to time. Continuance of registration will depend on evidence of satisfactory progress.
- (ix) A duly registered candidate shall be required to pursue his or her programme of study within the stipulated duration, under supervision of Postgraduate Faculty approved by Senate.

9.2.5 Flexible degree programmes

Postgraduate degree programmes offered by Tom Mboya University shall be available in flexible three-semester-a-year/trimester modes that will allow a student to complete their degree programme on an accelerated schedule. Students who prefer a flexible degree programme shall enrol in one or a combination of the following modes:

1. Evening study mode: Studying at Tom Mboya University campus after work.
2. Weekend mode: Attending classes during weekends.
3. Sandwich mode: Attending intensive face-to-face classes during any of the three official Faculty holidays in April, August and December.
4. eLearning mode: Learning at the eCampus through the internet at one's own time.
5. Variations in the number and sequence of course modules by student per

semester, as well as the pre-requisite order of taking core, required or elective courses, shall affect the time frame within which a specific degree may be obtained by each student.

10. SUPERVISION

10.1 General

- (i) A candidate registered in accordance with these regulations shall be required to pursue his/her programme of study under instruction or supervision by academic staff appointed in that capacity by Senate on the recommendation of the Faculty Board concerned to the Board Directorate of Postgraduate Studies.
- (ii) A meeting of the DPGSC shall be convened within the semester which students will complete coursework, to recommend supervisors for the students to the Director, Directorate of Postgraduate Studies.
- (iii) The Director, Directorate of Postgraduate Studies shall present the recommended supervisors to the Board, Directorate of Postgraduate Studies for approval. All approved supervisors shall be issued with letters of appointment by the Director, Directorate of Postgraduate Studies.
- (iv) Normally, only two supervisors will be appointed for each candidate from among the Postgraduate Faculty of the Faculty concerned for Masters by Coursework and Thesis or Doctoral students. However, in rare cases, Faculty Boards may recommend to the Board, Directorate of Postgraduate Studies appointment of additional supervisor(s) as they may deem necessary in individual cases. Such recommendation for additional supervisor(s) shall be accompanied by proper justification.
- (v) Normally, only one supervisor will be appointed for each candidate from among the Postgraduate Faculty of the Department concerned for Masters by Coursework and Project or among the academic staff for a Postgraduate Diploma student.
- (vi) At least one of the Supervisors must be a member of staff in the Department where the Masters by Coursework and Thesis or Doctoral candidate is registered.
- (vii) Supervisors shall submit to the Director, Directorate of Postgraduate Studies either individually or jointly, academic reports on the progress of each candidate every six months. Each report shall be sent to the Director DPS through the respective Chairpersons of the DPGSC and FPGSC Chairperson.
- (viii) Doctoral candidates (and Masters candidates who have completed course work) shall be required to consult their supervisor(s) at least once a month and to submit, every semester, a written progress report to the Director, Directorate of Postgraduate Studies through the Supervisors, the Chairman of the Department and the Dean of the Faculty.
- (ix) The Director, Directorate of Postgraduate Studies shall issue a letter recommending termination of studies to a student who fails to submit a report in a given semester.
- (x) Where the progress of a given candidate is unsatisfactory, such a candidate shall be given a written caution by the Director, Directorate of Postgraduate Studies to the effect that unless the candidate shows signs of improvement within the subsequent six months, the DPS shall investigate and recommend appropriate action.
- (xi) When the report of the student is adverse on supervisor(s), the Director, Directorate of Postgraduate Studies will constitute a committee comprising Deans of

Faculty/Chairpersons of Department and Academic Registrar to investigate and make recommendations.

- (xii) The Director, Directorate of Postgraduate Studies in consultation with Deans of Faculties and Chairpersons of Departments shall ensure the effective supervision of the students.

10.2 Appointment of Supervisors

- (i) The concerned Departmental and Faculty Postgraduate Studies Committees in consultation with the Director, Directorate of Postgraduate Studies, shall process recommendations on the appointment of Supervisors in the first instance.
- (ii) The Directorate of Postgraduate Studies Board shall discuss and make recommendations to the Senate on the suitability of Supervisors, based on acceptable thesis project research proposals from the candidate.
- (iii) Before recommending the appointment of any Supervisor, the Directorate of Postgraduate Studies Board shall satisfy itself that the proposed Supervisor is competent in the subject area in which the candidate proposes to work. All Internal Supervisors for Masters and Doctoral programmes must be members of the Postgraduate Faculty as defined in section 4.1 and taking into consideration section 4.3 of these Rules and Regulations.
- (iv) Each candidate shall normally have two Supervisors. At least one supervisor shall normally be a member of the teaching Department in which the student is registered. The Supervisor whose specialty is closest to 'the student's field of research shall be designated as the Main Supervisor.
- (v) Where an additional Supervisor is recommended for appointment from outside the University, including the student's workplace, such a person shall show evidence of competence in the area of study through academic publications preferably produced in peer reviewed indexed journals. Such a person shall also submit a current CV to be approved by Senate before formal appointment.
- (vi) All students shall be required to consult their Supervisor(s) at least once a month based on a schedule to be worked out between the student and the Supervisor.
- (vii) Supervisors shall submit to the Director, Directorate of Postgraduate Studies, either individually or jointly, academic reports on the progress of each student every six months. The reports shall be copied to the respective FPGSC Chairperson, Registrar (Academic Affairs), the respective Dean, the Chairperson of Department and the respective Chairperson of the DPGSC.
- (viii) All Supervisors approved by Senate shall be informed in writing of their appointment by the Director, Directorate of Postgraduate Studies.

10.3 Replacement of Supervisors

- (i). Where the DPGSC is not satisfied that supervision of a particular candidate is effective, they shall recommend for a replacement to the Directorate of Postgraduate Studies Board through FPGSC.
- (ii). Minutes of the DPGSC and FPGSC meetings specifying reasons or justification for the recommended replacement shall be attached to the letter of

recommendation.

- (iii). Where a supervisor leaves the University and is not available to continue with supervision, is incapacitated or deceased, another supervisor shall be appointed, if the research work has not progressed to an advanced stage.
- (iv). However, if the research work is at an advanced stage, research proposal having been approved by the Directorate of Postgraduate Studies, such a supervisor shall be retained in the these project report. The Department shall, however, recommend appointment of a thesis advisor who shall normally sign the thesis as an advisor. Advance stage is defined as proposal having been approved by the Directorate of Postgraduate Studies.

11.0 PROCESSING OF EXAMINATIONS

11.1 Processing of Examinations in General

- (i) Unless otherwise stated, 'Regulations for the Conduct of Examinations' as outlined in the Common Rules and Regulations for Undergraduate Examinations shall normally apply.
- (ii) The teaching Department in which a student was taught shall process postgraduate coursework examination results. The Chairperson of the DPGSC shall submit fully moderated coursework examination results for all its registered candidates duly approved by the committee through the Chairperson of the Department to the Faculty Postgraduate Board of Examiners for deliberations.
- (iii) The Chairperson of FPGSC shall chair postgraduate Board of Examiners meeting to deliberate on the coursework examination results.
- (iv) The Chairperson of the FPGSC shall submit coursework examination results and appropriate recommendations to the Dean of the Faculty. The Dean of the Faculty shall forward copies of approved coursework examination results to the Directorate of Postgraduate Studies Board within two months after the end of the semester in which the courses were taught and examined. The results shall be reported directly to the Senate by Director, Directorate of Postgraduate Studies.
- (v) Processing procedure of examinations for programmes involving coursework and examination assessment at the second year of study shall be as stipulated in Clause 11.2.3 (ii).

11.2 Assessment and Examination of Postgraduate Programmes

11.2.1 Postgraduate Certificate

- (i) The Postgraduate Certificate Course shall be assessed through:
 - a) Written Examinations
 - b) Reports
 - c) Seminars
 - d) Any other appropriate mode of assessment approved by Senate.
- (ii) Departments shall specify the manner of assessment for approval by Senate.
- (iii) **Recommendations for the Award of Postgraduate Certificates**

The Chairperson of the respective FPGSC shall forward names of candidates who have met their programme requirements to the Directorate of Postgraduate Studies Board. The Directorate of Postgraduate Studies Board shall deliberate on the results and recommend the successful candidates to Senate for the award of the respective Certificates.

11.2.2 Postgraduate Diploma

Examination of Courses and Projects for PGD

- (i) Candidates enrolled for PGD examinations shall be required to attain a pass grade in all courses they registered for and in their projects. The pass mark shall be 50%
- (ii) Assessment at the end of a course shall consist of:
 - (a) A written examination, which shall normally constitute 60% of the total marks in each course.
 - (b) Departments may prescribe laboratory assignments, continuous assessment based on essays, and such other tests administered face-to-face or online. This shall normally constitute 40% of the total marks.
- (iii) A candidate who fails a prescribed course shall be eligible to take failed course when next offered.
- (iv) A candidate who fails more than 50% of the courses taken shall be discontinued.
- (v) The project report shall be submitted before the University examinations scheduled in the second semester of the academic year of study or before sitting exams in the last module of coursework if registered for an eLearning or any other flexible mode.
- (vi) The project report shall be marked by the student's Internal Examiner and presented for final assessment by the External Examiner for coursework examinations.
- (vii) The project report shall be assessed out of a maximum of 100 marks. A candidate who fails in the project shall be given opportunity to re-submit the project report.
- (viii) A candidate, who for valid reasons such as sickness, fails to sit for an examination, shall be allowed to sit for the examination when next scheduled.
- (ix) A candidate must pass both coursework and project to be awarded the PGD. The award of the Post Graduate Diploma, based on the mean mark obtained in coursework and project shall be graded as follows:

Grading System for Post Graduate Diploma Coursework

Percentage	Grade	Remarks
70-100	A	Distinction
60-69	B	Credit
50-59	C	Pass
Below 50	D	Fail

Recommendations for the Award of the Postgraduate Diploma

The Chairpersons of the respective FPGSC shall forward names of candidates who have met their coursework and projects requirements to the Directorate of Postgraduate Studies Board. The Directorate of Postgraduate Studies Board shall deliberate the results and recommend the

successful candidates to Senate for the award of the respective Diplomas.

11.2.3 Masters Degrees

- (i) Candidates shall be required to pass in all the prescribed courses in a given programme. The pass mark shall be 50%.
- (ii) Assessment at the end of the course work shall consist of:
 - (a) A written examination which shall normally constitute 60% of the total marks in each course.
 - (b) Continuous assessment based on essays, laboratory assignments and such other tests administered face-to-face or online as may be prescribed by the Department. This will normally constitute 40% of the total marks.
- (iii) A candidate who fails a prescribed course in the first year shall be eligible to take the failed course(s) when next offered. Re-sits shall not be taken more than two times. Prescribed courses include core, pre-requisite or elective courses as specified in the academic programmes
- (iv) A candidate who fails more than 50% of the courses taken shall be discontinued.
- (v) Continuous assessment marks shall count towards a re-sit examination.
- (vi) A candidate who, for valid reasons such as sickness, fails to sit an examination shall be allowed to sit for the examination when next scheduled. Medical cases must be supported by documents from the University Medical Officer or accredited Medical Officer for eLearning students.
- (vii) Students are free to take extra courses over and above the prescribed number of units and shall be given a grade, which shall normally be reflected on their transcripts. Students are also free to audit courses face- to-face or online with the approval of the Lecturer concerned or Head of Department. Such courses shall not be examined.
- (viii) A candidate who takes an extra course must pass as long as the candidate passes the prescribed units.
- (ix) The procedure for submission and examination of Theses shall be as outlined in sections 11.3 of these Rules and Regulations.

Grading System for Masters Coursework

Percentage Marks	Grade	Remarks
70-100	A	Distinction
60-69	B	Credit
50-59	C	Pass
Below 50	D	Fail

(x) Recommendations for the Award of the Master's Degree

(a) Coursework and Thesis

Names of candidates who have submitted bound theses shall be tabled to the

Board, Directorate of Postgraduate Studies, together with 8 (eight) copies of the bound theses, electronic copies of the theses and minutes of the respective Oral Defense. The Board shall inspect and verify conformity to standards of the bound theses, and once satisfied, shall recommend the successful candidates to Senate for the award of the respective Masters Degrees, taking into consideration other requirements in respect of course work.

(b) Coursework and Project

Names of candidates whose projects have been marked and graded shall be tabled to the Directorate of Postgraduate Studies Board, together with eight (8) copies of the bound project reports, electronic copies of the project reports and minutes of the respective Oral Project Presentation. The Board shall inspect the bound project documents and once satisfied, shall recommend the successful candidates to Senate for the award of the respective Masters Degrees, taking into consideration other requirements in respect of coursework.

11.2.4 Recommendation for the award of the Doctoral Degree

Names of candidates who have submitted bound theses shall be tabled in the Board of the Directorate of Postgraduate Studies, together with eight (8) copies of the bound theses, electronic copies of the theses and minutes of the respective Oral Defense. The Board shall inspect the bound theses, and once satisfied, shall recommend the successful candidates to Senate for the award of the respective Doctoral Degrees, after ensuring the candidate has published at least one paper in a refereed journal.

11.3 Examination of Projects and Theses

11.3.1 Submission and Examination of Projects

- (i) The student shall submit eight copies of reports signed by the supervisor to the Chairperson, Departmental Postgraduate Studies Committee for presentation for examination.
- (ii) For each candidate, the DPGSC shall recommend to the Board, Directorate of Postgraduate Studies one Internal Examiner and an External Examiner to examine the Project Report.
- (iii) Project report submission shall be accompanied by an anti-plagiarism certificate, which must show a level of plagiarism not exceeding 15% in accordance with the Tom Mboya University Anti-Plagiarism Policy.
- (iv) Senate shall on the recommendation of the Directorate of Postgraduate Studies Board, appoint in respect of each candidate presenting a Project Report, a Panel of Examiners consisting of:
 - a. Chairperson, Faculty Postgraduate Studies Committee or Director, of the faculty/his representative as Chairperson,
 - b. The External Examiner,
 - c. One Internal Examiner who shall be from the relevant Department,
 - d. The candidate's Supervisor, (who shall be in attendance during the oral Defense)
 - e. One Faculty Representative from the candidate's department.

- f. Representative of the DPS Board
 - g. Dean of the Faculty or Representative
- (v) Each Examiner shall indicate within his/her detailed report:
- a. Whether or not the project is adequate in form and content;
 - b. Whether or not the project reflects an adequate understanding of the subject or adds new knowledge in the subject area and in consequence;
 - c. Whether or not the project report needs corrections; and
 - d. Whether the candidate should be awarded the degree or not.
- (vi) Upon receiving the reports from both Internal and External Examiners, the Chairperson, Departmental Postgraduate Studies Committee in liaison with Chairperson, Faculty Postgraduate Studies Committee shall organize for defense within two weeks.
- (vii) The Chairman, Faculty Postgraduate Studies Committee shall choose a date for oral examination and inform the Director, Directorate of Postgraduate Studies.
- (viii) The Director, Directorate of Postgraduate Studies shall nominate a representative from the Directorate of Postgraduate Studies Board to attend each project defense.
- (ix) The External Examiner shall normally not be invited to attend the oral presentation, unless she/he awarded a failure grade in the project examination.
- (x) The student shall make an oral 15 minutes project presentation followed by a 30 minutes oral examination by the Examining Panel, chaired by the Chairperson, Faculty Postgraduate Studies Committee. The oral presentation shall be open to the public. Whereas all Postgraduate Faculty shall be invited, only the panel members shall award marks. In exceptional cases approved by the Board, Directorate of Postgraduate Studies, eLearning students may be allowed to make their presentations via videoconference or other such technology.
- (xi) After the completion of the Oral Defense, the Panel of Examiners shall decide:
- (a) Whether the candidate defended the project report adequately and whether the candidate should be granted an outright pass, and recommend the award of the degree subject to the candidate fulfilling other University requirements in respect of the degree programme.
 - (b) Whether the project report needs minor revision and/or corrections over and above the recommendations in the Examiners' Reports and recommend submission of the final revised project report within two weeks, duly certified by the Supervisor.
 - (c) Whether the project report needs major revision and corrections and recommend re-submission of the project report within one month for assessment by the Internal Examiner. Should the project report still be inadequate/fail at this stage, the candidate must submit a revised project report within three months for fresh assessment by both Examiners and appear for a second defense thereafter.
 - (d) Whether the project report needs a thorough overhaul, including collection of more data and/or change of methodology, and recommend re-submission within four months for fresh assessment by three Examiners and a second defense thereafter.
 - (e) Whether the project report is unacceptable for the award of the respective degree,

and grant the candidate an outright failure.

As long as less than 50% of the members of the Board of Examiners dissent, the decision of the rest of the members shall prevail.

A candidate must satisfy the Board of Examiners in both the Oral Defense and the Written project to be declared pass overall.

Chairperson, Faculty Postgraduate Studies Committee shall notify Director, Directorate of Postgraduate Studies about the final status of the student by forwarding a copy of fee clearance sheet, fee statement, and minutes of oral examination, examiners reports, and a copy of the final revised project report.

Chairperson, Faculty postgraduate studies committee shall forward the project report examination results together with minutes to Director, Directorate of Postgraduate Studies for processing by the Board, Directorate of Postgraduate Studies and submission to Senate.

11.3.2 Submission of Thesis for Examination

(i) Intent to Submit

- a) Only candidates whose research proposals have been approved by the Senate shall be eligible to submit Intent to Submit thesis.
- b) At least twelve weeks before the end of the fourth and sixth semester for Master's and Doctoral theses respectively, a candidate shall give a written Notice of Intent to submit a thesis to the Director, Directorate of Postgraduate Studies, through the Supervisor(s).
- c) The notice shall be copied to the Dean of the Faculty, the Chairpersons of the Department and Departmental & Faculty Postgraduate Studies Committees.
- d) The notice should include an Abstract not exceeding 400 words signed by student and countersigned and dated by the Supervisor(s), and evidence of All fee clearance.

(ii) Publications

- a) For Master candidates, the notice shall also include at least one publication in peer reviewed indexed journals or evidence of acceptance for publication. The publication must be recent and must be drawn from the thesis.
- b) For doctoral candidates, the notice shall also include at least two publications drawn from the thesis and published in peer reviewed indexed journals that have been approved by the candidate's respective Faculty. In addition, the publications must be recent and must be drawn from the thesis.

NB: Based on the strength of the discipline, the following indexing databases are recommended for publication:

1. ERIC - Education Resources Information Centre
2. Oxford Index
3. EBSCO
4. Web of SCIENCE
5. SCOPUS

6. SCImago

These databases will be reviewed from time to time for authentication.

- (iii) Before acceptance of Intent to Submit, the Directorate of Postgraduate Studies shall also verify if the
 - a. student has submitted all sets of progress reports as outlined in Section 10.1;
 - b. student has presented his thesis research findings at least once for a Master's candidate and at least twice for a PhD candidate, at the faculty level.
- (iv) A thesis submitted for the degree of Doctor of Philosophy must make a distinct contribution to knowledge and show an understanding of the subject and display originality of thought as evidenced by at least two publications in a peer reviewed indexed journal. It must also include a complete bibliography or references to the materials used in its preparation, whether published or otherwise; and it must also conform to the regulations for the submission of thesis of Tom Mboya University.
 - a. In case a candidate is unable to submit a thesis within the stipulated time, then extension can be granted subject to 7.5 (i) of these rules and regulations.
 - b. Within four weeks after the Notice of Intent to submit a thesis has been issued, the respective Departmental Postgraduate Studies Committee shall recommend to the Directorate of Postgraduate Studies Board, through the respective FPGSC, one External Examiner, two Internal Examiners, one Faculty Representative who shall normally be from the candidate's department, and one representative from the DPS Board for the candidate's Board of Examiners. The CVs of examiners who are not staff of Tom Mboya University must be submitted to Director, Directorate of Postgraduate Studies for approval by the Directorate of Postgraduate Studies Board and Senate.
 - c. The Directorate of Postgraduate Studies Board shall forward the list of Board of Examiners, with appropriate recommendations, to Senate.
- (v) Senate shall on the recommendation of the Directorate of Postgraduate Studies Board, appoint in respect of each candidate presenting a thesis, a Board of Examiners consisting of:
 - a. Director, Directorate of Postgraduate Studies or representative as Chairperson,
 - b. The External Examiner,
 - c. Two Internal Examiners, at least one of whom shall be from the relevant Department,
 - d. Candidate's Supervisor(s), (who shall be in attendance during the oral defense)
 - e. One Faculty Representative.
 - f. One Representative of the DPS Full Board
 - g. Dean of the Faculty or Representative
- (vi) Where the Department does not have adequate Postgraduate Faculty, an internal examiner can be appointed from outside the University.

- (vii) When the three reports come in from examiners, the Director, Directorate of Postgraduate Studies shall in consultation with the Deans of concerned Faculties set the date for oral defense.
- (viii) The Directorate of Postgraduate Studies shall provide Secretariat. The minutes of the oral defense shall be submitted to the Director, Directorate of Postgraduate Studies, within one week of the defense.
- (ix) Each candidate shall normally submit a soft copy of the thesis, eight (8) spiral bound copies of his/her thesis to the Director, Directorate of Postgraduate Studies. The thesis must be prepared according to the format approved by Senate and must be signed by the student and the Supervisor(s) and bear the date of submission.
- (x) Thesis submission shall be accompanied by an anti-plagiarism certificate, which must show a level of plagiarism not exceeding 15% in accordance with the Tom Mboya University Anti-Plagiarism Policy.
- (xi) The Director, Directorate of Postgraduate Studies shall distribute copies of the thesis to the Internal and External Examiners. The two Internal Examiners and the External Examiner shall be required to assess the thesis and submit detailed reports to the Director, Directorate of Postgraduate Studies within four weeks (one month), from the date of dispatch of the thesis.
- (xii) The Faculty Representative shall normally be a member of the Postgraduate Faculty from Tom Mboya University and shall normally be drawn from the candidate's Faculty. The Faculty Representative shall not be required to read the thesis although they shall be encouraged to access a copy of an unmarked thesis at most a day before the defense and the written assessment reports during the defense. Faculty Representative shall give his or her assessment of the candidate's thesis only during the Oral Defense.
- (xiii) Reports from the External and Internal Examiners shall normally be circulated to Senate approved members of Board of Examiners at the oral defense.
- (xiv) Each Examiner shall indicate within his/her detailed report:
 - a) Whether or not the thesis is adequate in form and content;
 - b) Whether or not the thesis reflects an adequate understanding of the subject or adds new knowledge in the subject area and in consequence;
 - c) Whether or not the thesis needs corrections; and
 - d) Whether or not the candidate should be awarded the degree.
- (xv) Examiners shall be given maximum of one month to examine the thesis.
- (xvi) An honorarium shall be paid to the Examiners subject to the submission of a satisfactory report on time. The Internal Examiners shall attend the oral defense.

11.3.3 The Oral Defense

- (i) As soon as all the examiners' reports are received, the Director (DPS) shall convene a meeting of the Board of Examiners at which the examiners' reports and other academic matters arising from the thesis shall be considered. Such a date shall normally be within two weeks of the date of receipt of the last report.
- (ii) The External Examiner shall not normally be invited to attend the Oral Defense, unless she/he awarded a fail grade in the thesis examination.
- (iii) Members of the Board of Examiners shall attend the oral Defense in person and not

send a representative. There shall be a penalty, in accordance with University Rules and Regulations on Examinations, for members of the Board of Examiners who fail to attend the oral Defense or cause delay in the commencement of the Defense without valid reason.

- (iv) The Oral Defense shall be open to the public. Examiners will be given opportunity to ask all their questions first before the public does. The public will be allowed to ask questions but these shall normally not contribute to assessment of the candidate.
- (v) The duration of the Oral Defense for Masters Candidates shall normally be a maximum of 2 (two) hours, consisting of 20 minutes of the candidate's presentation followed by questions and answers session. For Doctoral candidates, the duration shall normally be a maximum of 3 (three) hours, consisting of 40 minutes of the candidate's presentation, followed by a questions and answers session.
- (vi) **After the completion of the Oral Defense, the Board of Examiners shall decide:**
 - a. Whether the candidate defended the thesis adequately and whether the candidate should be granted outright pass and recommend the award of the degree subject to the candidate fulfilling other University requirements in respect of the degree programme.
 - b. Whether the thesis needs minor revision and/or corrections over and above the recommendations in the Examiners' Reports and recommend submission of the final revised thesis within one month, duly certified by the Supervisors.
 - c. Whether the thesis needs major revision and corrections and recommend re-submission of the thesis within three months for assessment by one of the Internal Examiners. Should the candidate still fail at this stage, the candidate must submit a revised thesis within six months for fresh assessment by all the three Examiner and appear for a second Defense thereafter.
 - d. Whether the thesis needs a thorough overhaul, including collection of more data and/or change of methodology, and recommend re- submission within nine months for fresh assessment by three Examiners and a second Defense thereafter.
 - e. Whether the thesis is unacceptable for the award of the respective degree, and grant the candidate an outright fail.
- (vii) The supervisors of the students shall be excluded from decision making during and after the oral Defense.
- (viii) As long as less than 50% of the members of the Board of Examiners dissent, the decision of the rest of the members shall prevail.
- (ix) A candidate must satisfy the Board of Examiners in both the Oral Defense and the Written Thesis to be declared pass overall.
- (x) Where the recommendation of the Board of Examiners is unanimous for or against the award of the degree and where such unanimous recommendation is consistent in all respects with the reports of the examiners, and the results of an oral examination, the Director, Directorate of Postgraduate Studies shall forward

- such recommendation to the Vice Chancellor for approval on behalf of Senate.
- (xi) Where the recommendation of the Board of Examiners is not unanimous, or the recommendation is not consistent in material respects with the matters referred to in regulation 11.3.3 (vi and ix) it shall be referred to the full Board of Faculty of Postgraduate Studies for an appropriate recommendation to Senate.
 - (xii) The Director, Directorate of Postgraduate Studie representative shall make a brief report on the conduct of the Defense to the Board, Faculty of Postgraduate Studies. Where the reports are adverse, the Board shall recommend to Chairman of Senate to take appropriate remedial action.
 - (xiii) An examiner that awarded a pass grade for a thesis that is not successfully defended shall be replaced before re-examination of the thesis.
 - (xiv) A thesis cannot be defended more than twice.
 - (xv) A thesis accepted by the University and subsequently published in part or in whole and in whatever form, shall bear the inscription, “work forming part of the requirements for the degree of Master or Doctor of Philosophy of Tom Mboya University”.

11.3.3.1: Process for Submission of Thesis when awarded Option C.

In the event that a thesis is awarded the Option C. in the Oral defense, the submission of final corrected thesis documents after oral defense to DPS for recommendation to Senate will adhere to the following process:

1. The student receives the Thesis documents, the 3 examiners reports and the detailed minutes for correction;
2. After the student completes the corrections, the student submits to DPS the corrected document and report duly signed by the supervisors, with a submission letter copied to the Faculty Dean;
3. DPS acknowledges receipt and forwards the document and report to the appointed internal examiner in writing for action;
4. The appointed internal examiner overseeing the corrections submits the marked document with the corrections and report examined as properly performed and duly signed back to DPS;
5. DPS acknowledges receipt of both documents and forwards to the student in writing, the examined corrections document to include/improve on any identified marked areas.
6. The student submits the final document, duly signed by the supervisors to DPS, copied to the Faculty Dean for the issuance of the Correction Completion Certificate as documented in 11.3.4. (i).

11.3.3.2: Process for Submission of Thesis when awarded Option D.

In the event that a thesis is awarded the Option d. in the Oral defense, the resubmission will adhere to all the requirements of a fresh submission as stipulated in Clause 11.3.2.

11.3.4 Final Submission of Thesis

- (i) Once a candidate has revised the thesis according to the recommendations of the Board of Examiners, normally the main supervisor shall check the thesis and then write to the Director, DPS, certifying that all corrections and amendments

suggested by the Examiners have indeed been incorporated. This communication shall be copied to the respective Dean of the Faculty according to the format approved by Senate.

- (ii) An honorarium shall be paid to the supervisors subject to the student making all corrections and amendments suggested during the oral Defense.
- (iii) In case of 11.3.3 (v) c above, the proposed Internal Examiner will sign the certificate of correction.
- (iv) Hard covered bound copies of the thesis shall be lettered in gold on the spine with the following information: Title of the thesis, name of candidate with the year of final submission at the bottom.
- (v) The final thesis shall be bound in boards with green buckram for Masters and navy-blue buckram for Doctoral Degree.
- (vi) The final project report shall be bound in boards with red buckram for Master's Degree and orange buckram for Postgraduate Diploma.
- (vii) At least eight (8) copies of the hardbound thesis shall be submitted to the Dean, DPS together with a certificate from the University Librarian and one copy each shall be given to the Supervisor(s). One copy of the thesis shall be deposited in the University Library and one copy in the Directorate of Postgraduate Studies Library. If plates are included in a thesis, original photographs, and not photocopies, shall be used in all the copies of thesis submitted.
- (viii) The candidate shall also submit a soft copy of the final thesis or project report to the Directorate of Postgraduate Studies.
- (ix) Distribution of the final hard copies of thesis or project reports shall be done after approval by Directorate of Postgraduate Studies Board and Senate.
- (x) Only candidates whose Certificates of Corrections and/or final examination results shall have reached the Director, Directorate of Postgraduate Studies one month before the set University Graduation Day shall be allowed to graduate.

12.0 MENTORSHIP TEACHING

Tom Mboya University recognizes that teaching is a key career path for many post-graduate students pursuing Master's and PhD programs. As part of the mentorship program for post-graduate students, the University shall put in place two models of mentorship teaching programs:

- i. Tutorial programs for Master's students: This shall involve a Co-Teaching model in which the supervisor of a Master's student shall Lecture for 1 or 2 Hours every week then the Master's student shall tutor for the remaining 2 or 1 hours as need arises. Additional responsibilities for the master's student shall involve invigilation of the exam for the course co-taught and assisting with marking of exams for the course co-taught.
- ii. Where a lecturer has a PhD student, then the supervisor shall offer a more advanced mentorship training for their student by either jointly designing an Undergraduate or Master's course in line with their research area, or teaching an Undergraduate or Master's course in line with their research area. Since teaching and other university operations are a key component of PhD training, it is essential that a PhD student receive first-hand supervised mentorship in teaching. Whereas a Master's student shall have limited control over a course by co-teaching only as a tutor, a PhD student will have a greater responsibility

in handling the course be designing the course outline, teaching 85% of the course, creating assessments and marking the course. However, mark entry shall be supervised by the Faculty/Department Dean or the supervisor.

13.0 DEREGISTRATION

Senate shall de-register a postgraduate student if:

- (i) The student fails to live up to the academic requirements in Section 11.2 for Postgraduate Certificate, Postgraduate Diploma, Masters and Doctoral programmes
- (ii) The student's conduct is contrary to the University Rules and Regulations.
- (iii) The student has not signed the nominal roll for two consecutive semesters and has not deferred studies.
- (iv) The student has not completed the prescribed studies after
 - (a) three years for full-time or five years for part-time, studies since the date of registration in a Master's Degree programme.
 - (b) five years for full-time or seven years for part-time, studies since the date of registration in a Doctoral degree programme.
- (v) The candidate has not submitted the final revised thesis after the prescribed time decided during the Oral Defense without a valid reason.
- (vi) Students who are deregistered but not satisfied with deregistration, can appeal to the Deputy Vice Chancellor Academic and Student Affairs.
- (vii) Student's whose petitions to the DVC ARSA are successful shall apply for re-admission as stipulated in section 7.4 of these Rules and Regulations.
- (viii) Students re-admitted under 12.0 (v) of these Rules and Regulations shall be required to clear all outstanding tuition fees. In addition, such students shall be required to pay Kenya Shillings 30,000 for PhD students and Kenya Shillings 25,000 for Master's students for each additional academic year beyond the stipulated period for their respective degree programme as outlined under 12 (v).

14.0 HIGHER DOCTORATES

The degree Doctor of Science (DSc) or Doctor of Letters (DLitt.) differs from the other postgraduate research degrees in that no specific course of study is required. The submission for the degrees shall consist of published work of high distinction resulting from research contribution to knowledge and which has established the candidate's authoritative standing in his or her subject. Applications for higher doctorates are considered from graduates of Tom Mboya University or other recognized Universities who must have graduated with a PhD. not less than ten years prior to the application. The candidates should be associated with Tom Mboya University and must have made significant and relevant contribution to the University. Details of the application procedure and assessment shall be as approved by Senate.

14.1 HIGHER DOCTORATES (OTHER THAN HONARARY DEGREES)

Tom Mboya University offers higher doctorates other than Doctor of Philosophy or Doctor of

Medicine that include but are not limited to Doctor of Science (DSc), Doctor of Letters (DLL), and Doctor of Literature. These are the highest academic awards offered by the University and may be conferred upon graduates or close affiliates of Tom Mboya University who shall be adjudged by Senate to have distinguished themselves by their substantial and original contributions to the advancement of learning, which have given them authoritative standing and international eminence in their respective fields. The higher doctorate is thus a recognition of real distinction in the candidate's area of study. It is awarded rarely and only after rigorous examination of a substantial and significant corpus of material by examiners of authoritative standing and international eminence in the field of the submitted work and who are themselves active in research.

The following regulations shall apply to all Faculties of Tom Mboya University and its constituent colleges.

- 14.1.1. The following shall be eligible for the award of a Higher Doctorate of Tom Mboya University;
 - 14.1.1.1. A holder of the Doctor of Philosophy or Doctor of Medicine degree of the Tom Mboya University of at least five years;
 - 14.1.1.2. A holder of the Doctor of Philosophy degree from any other recognized University of at least five years standing, provided that at the time of application, the candidate will have been either;
 - 14.1.1.2.1 A full-time or part-time member of the academic staff, or (ii) in research association with Tom Mboya University and (iii) provided further that in both cases (i) and (ii) specified above, the association with the Tom Mboya University shall constitute contribution to advancement of learning by the University.
 - 14.1.1.3. A holder of a degree of another University equivalent to the PhD degree of Tom Mboya University, or a person whose attainment in qualification and scholarship is approved by Senate as equivalent to the PhD degree of Tom Mboya University; provided that in either case the applicant shall in addition fulfil the conditions specified in paragraph 2b (i), (ii) and (iii) above.
- 14.1.2. The Higher Doctorate shall be awarded only for the original published work such as would give a candidate authoritative international standing in his/her particular field of research. The application must be based wholly or substantially on original work of distinction carried out by the candidate. The term "published" shall mean printed in a referred journal, book or monograph which shall have been made available to the public.
- 14.1.3. A candidate for Higher Doctorate shall apply to the Board of the Directorate of Postgraduate Studies, indicating the discipline in respect of which he/she wishes to be considered. However, Senate, on the recommendation of the Board, may approve the consideration of the application under a different discipline.

- 14.1.4. In the application the applicant shall include three sets of the following;
- (i) Full curriculum vitae including a classified list of the submitted published work.
 - (ii) A concise statement (not exceeding 2,000) of the focus of the scholastic contribution of the work intended for submission.
 - (iii) A statement certifying either that the published work is that of the candidate or, in the case of collaborative work, that the candidate has made a substantial contribution to the work. The proportion of the collaborative work represented by the candidate's effort must be clearly indicated;
 - (iv) A statement giving full details of any other degree or diploma for which the work, in whole or in part, may have been submitted;
- 14.1.5. Upon receiving the application, the Director, Directorate of Postgraduate Studies shall examine and determine if the candidate has met the initial requirements in paragraph 4. The Director, Directorate of Postgraduate Studies shall forward the documents to the Dean of the Faculty wherein the discipline in question falls.
- 14.1.6. The Dean of the Faculty shall appoint an Examination Committee of three senior academics who have a general understanding of the applicant's field of research. At least two members of the Committee must be academic members of the University, one of whom will be nominated to chair the Examination Committee.
- 14.1.7. The Examination Committee will investigate the information provided, including the quality and nature of the submission for examination, will seek input from the Dean of the Faculty, and will make a recommendation to the Director, Directorate of Postgraduate Studies within one month, that the faculty:
- 14.1.7.1. will allow the applicant to be admitted to candidature for the higher doctorate or
 - 14.1.7.2. will not allow the applicant to be admitted to candidature for the higher doctorate.
- 14.1.8. The Dean of the Faculty shall forward the Examination Committee's recommendation to the Director, Directorate of Postgraduate Studies.
- 14.1.9. The Director, Directorate of Postgraduate Studies shall advise the applicant of the faculty's decision and, if the application has been accepted, will request written notification of the applicant's intention to proceed with candidature and submission. The submission of work to be examined must be received by the Director, Directorate of

Postgraduate Studies within three months of the notification that the application was accepted.

14.1.10. The sets of publication specified in paragraph 5 above, shall be accompanied by three copies of the thesis of not more than 50,000 words, typed or printed double- space on A4 paper. The thesis shall be a unifying account of the works submitted, indicating their significance to the advancement of knowledge. Where a part of the work submitted has been published jointly with other collaborators, the candidate shall specify in the thesis hi her contribution. The thesis shall include a declaration by the candidate confirming that it has not been submitted for the degree in any other institution and that its contents are the original work of the candidate. The thesis shall comply with the “Regulations for Submission of Thesis for a Higher Degree of the Tom Mboya University”. All three sets of the published works and the thesis shall remain the property of the University.

14.1.11. The submission of the applicant’s works, as specified in paragraph 4 and 10 above, shall be accompanied by evidence of payment of a non-refundable fee.

(a) Upon receipt of the documents specified in paragraphs 4 and 10 above, the Board, Directorate of Postgraduate Studies shall, in consultation with the relevant Faculty, propose to the Senate names of three examiners who are eminent scholars, at least two of whom shall be external examiners. The examiners will be requested to submit their signed confidential reports within two months from the date of their letter of invitation.

(b)The reports shall include an evaluation of the importance and originality of the candidate’s contribution to the advancement of knowledge and the scholarly distinction which would entitle him/her to be regarded as an authority in hi her field of knowledge. The reports shall state whether or not, in the examiner’s opinion, the degree should be awarded.

14.1.12. (a) Upon receipt of the reports of the three examiners, the Director, Directorate of Postgraduate Studies shall, within one month, arrange all the relevant documents in a discussable form and forward them to the Chairman of the Senate, who shall then convene a meeting of the Evaluation Panel to review the examiner’s reports, evaluate the thesis Defense and determine the outcome.

(b) The Evaluation Panel shall comprise:

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|-------|---|---|----------|
| (i) | Chairman of Senate | - | Chairman |
| (ii) | Deputy Vice-Chancellors | - | Members |
| (iii) | Three Appointed Examiners | - | Members |
| (iv) | Director, Directorate of Postgraduate Studies | - | Member |

- | | | | |
|--------|--|---|-----------------|
| (v) | Three Senior University Scholars
One of whom shall be from the relevant
discipline and appointed by Senate | - | Members |
| (vi) | Not more than three members may
be co-opted by Senate where appropriate | - | Members |
| (vii) | The Registrar, Academic and Students Affairs - | | Secretary |
| (viii) | Principal of the relevant College | - | (In attendance) |
| (ix) | Dean of the relevant Faculty | - | (In attendance) |
| (x) | DSc scholar | - | (In attendance) |

14.1.13. A thesis for the Higher Doctorate degree shall be defended before a public audience provided that while members of the public shall be free to ask the candidate questions relevant to the subject of his/her thesis, only the Panel Members, shall participate in the final assessment of the thesis and the candidate's performance in Defense of the same.

14.1.14. The decision of the Evaluation Panel shall be subject to approval by Senate.

14.1.15. The examiners' reports and the report of the Evaluation Panel shall be held in strict confidence.

14.1.16. An unsuccessful candidate for the award of the Higher Doctorate shall be permitted to re-apply only once after the expiration of a period of at least three years.

HONORARY DEGREES

The award of a honorary degree shall be as provided for in the Tom Mboya University Award of Honorary Degrees Policy.

15.0 EXEMPTIONS FROM THESE RULES AND REGULATIONS

Request for exemptions from the application of these general Rules and Regulations may be submitted to the Board of the Directorate of Postgraduate Studies by the Chairperson of a FPGSC. The Board of the Directorate of Postgraduate Studies shall discuss such request and make appropriate recommendations to Senate.

16.0 REVIEW OF RULES AND REGULATIONS

Rules and Regulations shall normally be reviewed by the Board of the Graduate Studies after every four years.

