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School of Graduate Studies
Office of the Vice President for Academic Affairs
Jimma University

Guidelines for Doctoral Programs
(Revised)



January 2023
Jimma, Ethiopia

A handwritten signature in blue ink, consisting of a stylized, cursive script.

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Acronyms and Abbreviations

JU	Jimma University
HEI	Higher Education Institution
AVP	Vice President for Academic Affairs
UGC	University Graduate Council
AC	Academic Commission of College/ Institute/ School
CGSC	College Graduate Studies Coordinator
IGSD	Institute Graduate Studies Director
CGC	College Graduate Council
IGC	Institute Graduate Council
Cr. Hr	Credit Hour
DC	Department Council
DGC	Department Graduate Council
PDC	Proposal Defense Committee
MoE	Ministry of Education
SGPA	Semester Grade Point Average
PhD	Doctor of Philosophy
D.Ed.	Doctor of Education
CGPA	Cumulative Grade Point Average
SGS	School of Graduate Studies
GKEN	Global Knowledge Exchange Network



General Provisions

Short Title

This guideline shall be cited as the "Guideline for Doctoral Programs, Jimma University."

Operational Definitions

1. **Doctoral Program:** refers to graduate programs defined as terminal degree programs such as Ph.D., D.Ed., Sub-specialty Certificates, and other professional Doctoral degrees.
2. **College/Institute:** refers to the academic units (college, institute, faculty, or academy) that admit graduate students.
3. **College/Institute Graduate Studies Coordinator/Director (CGSC/IGSD):** refers to college/ institute level office coordinating and facilitating graduate program activities.
4. **University Graduate Council (UGC):** refers to the body that oversees all the activities of graduate studies in the University and is chaired by the Vice President for Academic Affairs.
5. **College/Institute Graduate Council (CGC/IGC):** refers to the body that oversees all the activities of graduate studies at the college/Institute and is chaired by the Dean/Director/Vice Dean/Vice Director.
6. **Candidate/Student:** refers to people who apply for a Doctoral Degree program admission and successfully fulfill the admission requirement and registered for the program.
7. **Comprehensive Qualifying Examination:** refers to an oral or written comprehensive examination to evaluate the Doctoral student's subject matter knowledge as prescribed in a discipline-specific curriculum.
8. **Department Graduate Council (DGC):** refers to the department-level Council that oversees the graduate program activities of the department.
9. **Dissertation:** refers to the final Doctoral dissertation prepared and submitted for defense by a Doctoral candidate.
10. **External examiner:** refers to an academic staff external to Jimma University (can be outside of Ethiopia where there is no expert in the country) with a Ph.D. degree and at least with an academic rank of Associate Professor and above who will be appointed to examine the Doctoral dissertation.



11. **Internal examiner:** refers to an academic staff of Jimma University holding a Ph.D. degree and at least with an academic rank of Associate Professor and above who will be selected to examine the Doctoral dissertation.
12. **Joint programs:** refer to graduate/Doctoral programs jointly administered by JU and other partner higher education institutes with a signed Memorandum of Understanding (MoU).
13. **Dual or double degree program:** refers to a program in which one or two separate degrees can be issued based on a Memorandum of Understanding (MoU) signed between partner institutions.
14. **Sandwich Program:** refers to mobility graduate/Doctoral programs whereby the candidate is expected to register either at JU, or a Partner institution; and spend a minimum required period in the partner institution as specified in the program document.
15. **School of Graduate Studies (SGS):** refers to the University level graduate program coordinating office that oversees activities of all the graduate programs of JU.
16. **Proposal Defense Committee (PDC):** refers to a group of academic professionals holding a Ph.D. degree, constituted to evaluate candidates' Doctoral dissertation proposal and pre-submission Doctoral dissertation defense whose term may be extended until the candidate submit his/her Doctoral dissertation.
17. **Supervisor:** refers to a Doctoral dissertation advisor/promoter/guide who is a member of the academic staff of JU or another HEI/Industry/Research Institute appointed by the DGC to supervise/advise/promote/guide a Doctoral student research work.
18. **Pre-submission Doctoral Dissertation Defense:** refers to a public dissertation defense where the candidate shall present the results of his/her Doctoral research work before submitting his/her final Doctoral dissertation to the department for evaluation.



1. Introduction

1.1. Background for the Guideline

Jimma University (JU) aspires to be one of the leading community-based research universities in Africa and renowned in the World by 2030. To achieve this envisioned target, the well-managed studies conducted by graduate students and their supervisors in various areas of programs are of paramount importance. One of the indicators of research achievements is believed to be well-documented research outputs in the form of theses or dissertations. A dissertation is a written record of research work undertaken by a Doctoral candidate for the fulfillment of an academic degree or professional qualification.

The School of Graduate Studies (SGS) of Jimma University is one of the institutes of the University that plays its role towards the realization of the leading community-based research University. As an integral part of the University's academic wing, the office has launched a coordinated effort towards strengthening graduate programs, thereby leading in bringing the doctoral programs to their utmost quality and standards. Therefore, revising this guideline for doctoral studies is believed to raise the standards a step up.

As a result, SGS works towards making graduate programs well organized with strict accountability and a better communication system. To further make the graduate program effective and pertinent, the School plans to establish all the parameters of quality, relevance, and uniform system (guideline) across all academic units (colleges/ faculties/ institutes/ academies) through this revised guideline. This guideline helps to keep the Doctoral students, their supervisors, the academic community at the University, and the Public at large better informed about the procedures to be followed and requirements to be fulfilled for success in the graduate programs. In addition, it contains information on the minimum qualifications for admission; an outline of the graduate programs, the duration of the courses; guidelines to be used by prospective students who plan to enroll for a higher degree concerning dissertation, assessment procedures, and guidelines on Doctoral programs supervision.



The terminal degree programs at JU comprise the award of Doctor of Philosophy (Ph.D.), Doctor of Education (D.Ed.), or Specialty and subspecialty certificates and other professional Doctoral degree programs. The guideline also addresses the programs the colleges/institutes run as sandwich, joint or collaborative graduate programs in collaboration with partner universities and other modalities.

1.2. Rationale for Revision

It is well known that Jimma University has already developed a guideline for the Doctoral training program that has served the management of the program since 2017. However, the existing doctoral guideline is not enough to effectively manage the programs as it does not incorporate all the requirements to manage the graduate programs to a standard level. Therefore, it is reasonable to revise the guideline.

Management of the graduate studies has not been systematized because there are disparities among colleges and institutes in running the graduate programs; students do not get proper assistance to complete their studies in the given time frame, and the programs are managed in a fragmented way. The revised guideline is believed to address all the procedures that need to be followed and define the roles and responsibilities of different actors throughout the process from admission to graduation of the Doctoral candidate.

The School of Graduate Studies of the University is pleased to wish you a prosperous stay at Jimma University, where we anticipate real and practical education through its cherished educational philosophy called community-based education, and success can come from your perseverance and hard work throughout your endeavors in your academic arena.

Failure to follow governing principles and procedures stipulated in the guideline may result in termination of the study or disqualification of admission and/or rejection of the dissertation for examination.



1.3. Objectives of the Guideline

This Doctoral guideline aims to provide clear guidance to students across all University doctoral programs to help them develop sound proposals, undertake original scientific research, and produce the standard research report. More specifically, the guideline has the following objectives:

- To offer a complete guideline that creates harmonized working procedures for all Doctoral studies across all academic units (colleges/ institutes/ faculties/academies) of the University.
- To ease the process of supervising, reviewing, assessing, and approving the proposal and Doctoral dissertation.
- To establish a sense of accountability, responsibility, and transparency at all levels on issues related to graduate studies.
- To provide a quick reference to the academic unit heads, staff, students, and other stakeholders so that issues related to graduate programs can be easily accessed and managed.

2. Organizational Structure and Actors in Doctoral Programs

2.1. Organogram of the School of Graduate Studies (SGS)

A hierarchy of academic councils, offices, and committees administers the Doctoral programs of Jimma University. The organogram of the Doctoral program implementing bodies is presented in Figure 1.

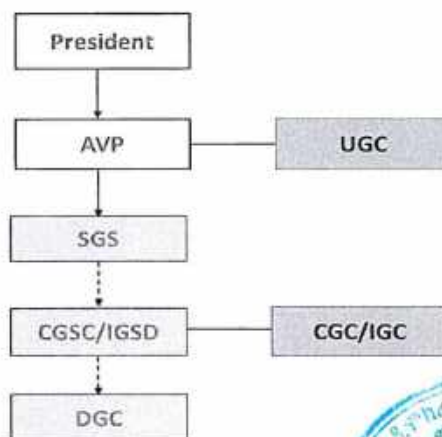


Figure 1: Organogram of hierarchies to run the Doctoral program



Remark: White stands for the leadership role, yellow stands for the implementation role, orange stands for the supportive role, the solid arrow indicates the authoritative relationship, and the broken arrow indicates the functional relationship.

2.2. Roles and Responsibilities of Different Actors in Doctoral Program

2.2.1. University Graduate Council (UGC)

The Council of graduate studies is organized as follows. The members of the University Graduate Council (UGC) are provided hereunder:

- | | |
|---|-------------|
| a. Academic Vice President | Chairperson |
| b. School Graduate Studies Director | Secretary |
| c. College Deans/Institute Directors | members |
| d. Research Director | member |
| e. Registrar Director | member |
| f. Academic Programs and Quality Enhancement Director | member |
| g. University Library Director | member |
| h. CBE Director | member |
| i. A Representative of graduate students | members |
| j. Two senior Professors | members |

The University Graduate Council shall:

- Follow up on the development of graduate programs.
- Check up on the review or revision of the graduate programs at least every five years.
- Recommend new, or propose amendments to the existing rules and regulations governing graduate programs.
- Examine issues proposed by the various graduate programs for improvement, revision, or adjustment of the existing rules and regulations.
- Set guidelines for admissions to graduate programs.
- Propose tuition fee and waiver policies for graduate programs to the Senate.
- Ensure that concerned graduate program offices implement the existing guidelines or Senate decisions.
- Recommend general policy for the welfare of graduate students.
- Participate in the periodic audits of graduate programs of the University.
- Advise the Senate in all matters regarding graduate programs.



2.2.2. School of Graduate Studies (SGS)

At the University level, the graduate programs are managed by the School of Graduate Studies (SGS). The SGS, in collaboration with colleges/institutes, shall:

- a. Ensure that the guidelines and decisions of the University are implemented by concerned graduate program coordinating offices.
- b. Supervise colleges/institutes in the selection process of the doctoral candidate(s).
- c. Ensure that the teaching-learning and graduate researches in all colleges/ institutes are aligned with the University's academic calendar.
- d. Participate in the periodic assessment of the graduate programs of colleges/ institutes and organize workshops to consult with stakeholders.
- e. Enhance collaborations with graduate programs in sister universities and research institutes in the country.
- f. Organize annual graduate curricula review workshop and present to the UGC for recommendation to Senate approval.
- g. Present the School's annual budget to the Academic Vice President's office.
- h. Ensure the proper administration of the graduate programs and the welfare of graduate students.
- i. In collaboration with the university registrar, follow up issues and directives about admission and graduation of the graduate student.
- j. Make recommendations for the strengthening and development of existing programs or for initiating new ones and carries out any other tasks that foster the development of graduate studies in the University.
- k. Promote the initiation of interdisciplinary and multidisciplinary graduate programs.
- l. Recommend decisions to the concerned body on complaints from graduate students.
- m. Submit quarterly and annual performance reports to the Vice President for Academic Affairs.
- n. Perform other duties assigned by the Academic Vice President office.



2.2.3. College/Institute Graduate Studies Coordinator/ Director (CGSC/IGSD)

The coordinator/director is accountable to the college dean or institute directors and has a functional relationship with the School of graduate studies directorate. The CGSC/IGSD shall:

- a. Supervise all activities of the graduate programs in the College/Institute.
- b. Prepare periodic reports on its activities and submit them to the college/institute dean/director and SGS director.
- c. Facilitate the preparation of entrance examinations to screen out candidates for graduate studies.
- d. Mobilize common resources (classroom, internet, transportation, etc.) in collaboration with other offices for graduate programs.
- e. In consultation with the dean/director/SGS director, organize and schedule research defense, seminar presentations, workshops, and other related cross-cutting activities of the graduate studies.
- f. Attend all matters related to graduate studies at the college/institute level and follow up for corrective measures.
- g. Supervise graduate program course offerings and dissertation research proposals of graduate students at the college/ institute level.
- h. Organize reports and submit to the Dean/Director and the SGS on matters related to graduate studies program regularly.
- i. Undertake periodic evaluation and assessment of graduate programs.
- j. Supervise and follow up the uniform implementation of rules governing the assignment/appointment of advisors/examination board members and Viva Voce.
- k. Accomplish all other duties assigned by the college dean, Institute director, or SGS director.



2.2.4. College/Institute Graduate Council (CGC/IGC)

There shall be a Council of Graduate Studies at the college/institute level from now on, referred to as the CGC/IGC. The CGC/IGC will have the following members:

- | | |
|--|-------------|
| a. Dean/Vice Dean/Vice Director | Chairperson |
| b. CGSC/IGSD | Secretary |
| c. College/Institute registrar | member |
| d. DGC Chair of each Department* | member |
| e. College/Institute Research Coordinator/Director (if applicable) | member |
| f. Graduate Student Representative | member |

*can be represented by a senior Ph.D. holder staff member of the DGC where the Chair of the DGC is not a Ph.D. holder.

The CGC/IGC shall:

- Oversee the implementation of rules and regulations governing graduate programs at the college/institute level.
- Promote interdisciplinary graduate programs.
- Ensure the integration of research and teaching for all graduate programs at the college/Institute level.
- Recommend new graduate programs Curriculum for subsequent approval by the College/Institute Academic Commission (AC) and periodically assess and evaluate the existing ones.
- Examine graduate students' appeals related to their studies and their respective DGC could not handle that.
- Advise the college/institute on all matters related to graduate programs.

2.2.5. Department Graduate Council (DGC)

The DGC shall be composed of the Department Head as Chairperson and at least three staff members but not exceeding seven with the rank of Assistant Professor or above to be elected by the department council (DC). The term of service of elected members of the Council shall be three years. However, a member shall be eligible for re-election. It is recommended that the members are involved in teaching and supervision at the graduate programs.



The DGC is accountable to the Head of the Department and shall:

- a. Supervise all activities of the graduate programs in the departments.
- b. Approve (review and endorse) grades and academic status of graduate students.
- c. Evaluate the academic and research progress report of the graduate student and recommend a graduate student for either registration or withdrawal as the case arises.
- d. Recommend and/or approve a research adviser for each graduate student.
- e. Recommend members of the examining board for dissertation and other qualifying examinations.
- f. The DGC will forward the decision to the CGC/IGC through the CGSC/IGSD.
- g. Review and approves dissertation research proposals submitted by graduate students or the supervisor.
- h. Constitute an ad hoc committee called the Proposal Defense Committee (PDC) for proposal defense and pre-submission dissertation defense.
- i. Supervise entrance examination preparation, screening candidates for the graduate program, and approve their admission.
- j. Approve graduate program course offerings and dissertation research proposals of graduate students.
- k. Recommend new graduate programs curriculum for subsequent approval by DC and AC and periodically assess and evaluate the existing ones in the department.
- l. Appoint supervisors for graduate students and constitute examination board members for dissertation evaluation.
- m. Entertain a graduate student's request for a change of supervisor.

2.2.6. Proposal Defense Committee (PDC)

The PDC shall comprise a minimum of three members with Ph.D. degree from the same department or related disciplines and expertise in the area of the work. The PDC shall be chaired by one of the committee members.

The PDC shall:

- a. Evaluate a duly signed research proposal submitted by a Doctoral student and determine whether the proposal is acceptable, requires modification, or is rejected.



- b. Suggest important research techniques or assist in multidisciplinary research or feedback that will promote the student research success.
- c. Evaluate pre-submission Doctoral dissertation seminar and recommend submission to the department.

The PDC shall be constituted at the proposal defense stage and maintained for the pre-submission Doctoral dissertation defense, provided the members are still active members of the University; otherwise, a replacement can be done for the missing members.

2.3. Doctoral Supervisor and Co-Supervisor

The supervisor is generally responsible for acting in a manner that conforms to basic principles of natural justice, academic integrity, and professionalism and managing conflict situations that may arise in the relationship with the student. The general responsibilities of advisors/supervisors include but are not limited to the following:

- a. Maintain high professional conduct, ethics, and decorum befitting respective candidates.
- b. Be familiar with JU policies, guidelines, procedures, and the Doctoral curriculum and regulations.
- c. Be aware of problem-solving mechanisms and available support services should administrative problems arise.
- d. Advise candidates about plans for leave during the students' candidature and consult with the candidate and the head of the academic unit or the Director of the School of Graduate Studies about proposed arrangements for supervision during a sanctioned leave.
- e. Ensure students publish, individually or in a group, high-quality research articles in reputed Journals during each academic year.
- f. Maintain collegial and supportive relationships with candidates and fellow professors.
- g. In addition to providing appropriate academic support, supervisors are responsible for several administrative procedures associated with the candidature of a Doctoral candidate.



2.3.1. Responsibility of the principal Supervisor

The responsibilities of the principal supervisor include the following but are not limited to:

- a. Discuss with the student about their working relationships to ensure mutual expectations.
- b. Be available to students on a reasonable basis for consultation and discussion.
- c. Make appropriate arrangements for students when he/she goes on sabbatical leave or extended absence.
- d. Play an active role in ensuring the availability of basic resources required for the research.
- e. Assist the candidate in preparing a research proposal that can be completed and written within the prescribed study period.
- f. Make sure that ethical approval is sought for the research, where appropriate.
- g. Arrange for the candidate to be familiar with the facilities and research activities of the program.
- h. Ensure that the university procedure on health and safety are adequately adhered to by ensuring that the student receives proper training.
- i. Establish a timetable of regular meetings with the student at which all matters relating to the student's work can be discussed. In addition, there should be at least a monthly meeting or other formal communication (such as email) in which records are kept making sure there is a record of the contacts between the supervisor(s) and the student so that the progress of supervision can be reviewed at any stage. In the event of subsequent disagreement, the records of the meetings will be an important basis on which to resolve issues.
- j. Assist the candidate by regularly checking the records of data and observations and suggesting improvements where appropriate.
- k. Arrange, as appropriate, for his/her candidates to interact with other staff regarding their work via seminars and oral presentations.
- l. Encourage his/her candidate to publish their results as they emerge and are suitable for publication.
- m. Submit to the department any report about the candidate's progress as required.



- n. Advise the candidate of concern at the earliest opportunity if the candidate falls behind expected progress and actively assist the candidate in improving.
- o. Consult the Department and CGSC/IGSD if the candidate continues not to meet expected progress and seek advice on or assistance with action to be taken.
- p. Provide timely constructive criticism and advice on submitted written drafts at the earliest opportunity.
- q. Facilitate timely completion of the candidate's study and ultimate completion of the dissertation.
- r. Recommend the department the list of potential examiners for the candidate doctoral dissertation evaluation.
- s. Submit the student progress report per semester to the department for evaluation by the DGC.
- t. Be responsible for all administrative requirements of the candidate.

2.3.2. Responsibility of the Co-Supervisor

The responsibilities of a co-supervisor(s) include the following but are not limited to:

- a. Enhance the effective supervision of the student by contributing complementary opinions or new areas of expertise to that of the principal supervisor.
- b. Provide continuity of supervision in the event of the absence or departure of the principal supervisor.
- c. Attend, as appropriate, meetings between the candidate and other supervisors.
- d. Participate in any assessment of the candidate's work.
- e. Be responsible for all administrative requirements of the candidate in cases where the principal supervisor is external to JU.

2.3.3. Responsibility of the Doctoral Student

The responsibilities of the student include the following but are not limited to:

- a. Identify his/her broad area of research interest during the specified time bearing in mind the thematic areas of the University and/or the country.
- b. Submit the possible topic to the department, which facilitates the appropriate research supervisor(s) assignment.
- c. Refine and finalize the research topic in consultation with other supervisor(s).



- d. Become familiar with, and abide by the University's legislations governing the degree and associated procedures as contained in this and other documents for the doctoral programs.
- e. Be proactive and seek advice and support from the supervisor(s) and the department.
- f. Apply for ethical approval for the research wherever appropriate.
- g. Must not reach any agreement(s) with any organization (private or individual) which may bind the University to any ethical or intellectual property issues without the written agreement of JU.
- h. Abide by a timetable for a meeting or other formal communication (such as email) with the supervisor(s).
- i. Report on his/her progress regularly to his/her supervisor(s).
- j. Bring any problem interfering with his/her study or research, including social or medical nature, to the supervisor(s) or the department.
- k. Submit the dissertation for examination, having taken into account the supervisor(s)' opinion(s) and approval.
- l. All government-sponsored Doctoral students shall contribute 3 Cr. Hrs workload per semester that teaching, masters student supervision, tutorials, etc. can cover.
- m. Seek amicable solutions before invoking formal procedures, such as lodging written complaints to the department.

2.4.Conflicts Management and Changes to supervisor(s)

The DGC shall permit a change of the supervisor(s) if deemed fit based on the request of the candidate under extraordinary circumstances, such as a change of research topic before registration is confirmed, the supervisor being away from the place of work for more than a year, or the supervisor is deceased. In all these cases or any other compelling reasons, the student can apply for a change of supervisor to the department. The DGC shall evaluate the issue and forward the solution to CGC/IGC via CGSC/IGSD.



Procedures for the change supervisor(s) are the following:

- a. If a doctoral student has a grievance against his supervisor for a valid reason, the student should be given the right to ask his supervisor to be changed. However, DGC will try to resolve the conflict through discussion. If DGC cannot fix this, the CGSC/IGSD, in consultation with the CGC/IGC, will address the problem. If agreement cannot be reached through the CGC/IGC, the case can be referred to the office of SGS, and if need be, the case will be directed to the office of the Academic Vice President, where its decision on the matter will be final.
- b. Any conflict with a co-supervisor will be resolved by the supervisor, who has to report the conflict to DGC.
- c. A supervisor or co-supervisor may only withdraw as supervisor or co-supervisor in exceptional cases, stating the reasons. The supervisor or co-supervisor will have to immediately notify the Doctoral student, the other supervisors, the department and the CGSC/IGSD about his/her withdrawal.
- d. A student may change the supervisor(s) only with the approval of the DGC.

3. Admission Requirements for Doctoral Program

3.1. Admission Period

Admission to a Doctoral program can take place twice (first and/or second semesters) in an Ethiopian academic calendar.

3.2. Admission Requirements

A candidate applying for a Doctoral program should:

- a. have a master's or equivalent degree in related fields from a recognized higher learning institution AND,
- b. provide two recommendation letters (one from his/her previous academic Institution and one from his/her employing organization), a motivation letter, and a Doctoral research concept paper AND,
- c. have a CGPA of 3.00 or higher and a master's thesis rated as 'good' or higher or equivalent a AND,



- d. provide a signed sponsorship letter if sponsored by an organization or provide proof of financial capability (minimum of 75,000.00 ETB) for the educational payments if self-sponsored AND,
- e. present a concept paper to the DGC followed by an interview and/or entrance examination based on the requirements stipulated in the curriculum AND,
- f. a maximum age limit of 45 years AND,
- g. An applicant whose medium of instruction of previous studies is not in English should bear a minimum of 6.0 in IELTS or equivalent TOEFL result.

Table 1: selection criteria for doctoral admission

S/N	Selection Criteria	Weight (%)	Remark
1	CGPA (Master's Degree, Specialty Certificate)	30	Can be calculated using a CGPA * 7.5
2	Master's Degree/Specialty certificate thesis grade	15	Excellent (A = 4) = 15%, others calculated proportionally
3	Entrance Examination	20	
4	Concept note presentation and interview	20	Average value from multiple examiners
5	Publication in a Scopus, Web of science or PubMed indexed journal*	10	One publication 5%; and two and above numbers of publications 10%
6	Recommendation letter and Motivation letter	5	2.5 points each
7	Affirmative action: (For a female applicant, people from underdeveloped regions, and people with disabilities)	5 %	5% of the total point the candidate acquire from the serial number (1-6)

*For admission into doctoral programs without coursework, one publication relevant to the field he/she applied for and in which the applicant is a first author in a Scopus, Web of science or PubMed indexed journal is a minimum requirement (*i.e.*, one publication 5%, and two and above numbers of publications 10%).

Remarks:

- For disciplines where entrance examination may not be suitable, the concept note can be evaluated for 40%, provided that it is clearly stated in the curriculum.
- The availability of the potential supervisor shall determine the maximum number of Doctoral students to be admitted.



3.3. Doctoral Concept Note

- a. A Doctoral applicant has to submit a concept note as part of his/her application to the program.
- b. The concept note helps to evaluate the candidate's potential and identify a supervisor with similar interests and appropriate expertise.
- c. The concept note needs to describe the broad focus area for the doctoral research work explaining the what, the why, and the how of the study not exceeding five pages.
- d. The DGC of the respective Department shall evaluate the concept note (Appendix 2).
- e. Evaluators have to make sure that the applicant has a reasonable preliminary understanding of the area that includes:
 - i. The ability to state original research ideas,
 - ii. The ability to explain the rationale for the concept,
 - iii. Knowledge of the methods appropriate for the proposed research idea.
- f. Based on the concept note, the DGC can assign an appropriate supervisor or approve the one selected by the candidate to guide the admitted student in developing a research proposal. There can be a possibility for modification of the concept note in consultation with the supervisor.

3.4. Assignment of Doctoral Supervisor

Before the admission of a candidate to a doctoral program, the DGC must ensure the availability of a potential research supervisor to work with the prospective candidate. During his/her study period, a Doctoral student will work under the guidance of an assigned supervisor (s) who has equal responsibility for following up on the overall study and progress the student makes. The following should be considered while assigning a Doctoral supervisor.

- a. The principal supervisor assumes the highest responsibility of the supervisory processes, and hence he/she should be an expert in the proposed research area.
- b. The principal supervisor should be at least an Associate Professor with a Ph.D. or equivalent, and the co-supervisor(s) should be an Assistant Professor and above with a Ph.D. or equivalent.
- c. At least one of the supervisors should be a full-time member of the University except where new program modalities dictate otherwise.



- d. A candidate in a "sandwich" scheme shall have at least one supervisor from the partner University.
- e. No supervisor can officially be assigned as a principal supervisor or co-supervisor to any of his/her family member (partner, son/daughter, brother/sister, parents).

3.5. Admission procedures

- a. Announcements for applicants will be made through advertisement by the University registrar two months before the admission date.
- b. The applications, together with the necessary documents, shall be submitted to the office of the University registrar.
- c. The assessment of the applications for admission to the program shall be made by the Department Graduate Council (DGC) and must ensure the assignment of a doctoral supervisor for successful candidates.
- d. The admission of successful candidates will be endorsed by the academic commission of the respective college/institute/and the university registrar or its delegate shall grant the student an admission letter (Appendix 1).
- e. The department shall ensure that there is a potential supervisor for admitted candidates before formally registering them.
- f. Registration period of students from other doctoral program modalities such as joint/dual degree programs, sandwich programs, and GKEN may be flexibly entertained depending on the candidate's visit to the partner Institution and other unforeseen administrative difficulties.

4. Duration of the Program

- a. The duration of the time required for the completion of a Doctoral program is four years.
- b. With a justifiable reason and the recommendation of the supervisor(s), extension can be allowed for an additional two years, but a delay beyond six years shall be entertained if the reason produced gets approved by the UGC.



- c. The duration for Doctoral coursework shall be one academic year with a maximum extension of six months for course-intensive programs with a comprehensive qualifying examination.
- d. Submission of a Doctoral dissertation before three years from the date of admission is not allowed in any case.

5. Categories of Doctoral programs

The doctoral programs aim to develop highly capable professionals by providing core professional courses and sound research methods or by researching only with profound theories and practical techniques to build a solid and broad understanding of various disciplines. Hence, this guideline considers the two categories of Doctoral programs: *Doctoral programs with coursework* and *Doctoral programs without coursework*.

5.1. Doctoral programs with coursework

5.1.1. Course Credit and requirements

- a. Each student admitted to a Doctoral program with coursework shall be required to take courses to acquire an in-depth understanding of the discipline.
- b. A total of 6 to 12 credit hours per semester shall normally be considered a full load for a full-time Doctoral candidate.
- c. The total credit hours in Doctoral programs with coursework shall be 12 to 24 credit hours.
- d. Additional courses that can supplement the specific research areas of the student may be recommended by the supervisor and can be taken at any stage of the program.
- e. Twelve credit hours shall be allotted to Doctoral Dissertation unless and otherwise prescribed in a discipline-specific curriculum approved by the Senate.
- f. An Academic staff assigned to deliver a course should have a Ph.D. degree with a minimum academic rank of Associate Professor. However, in a situation where there is a shortage of qualified academic staff, with a special decision of the DGC, an Assistant Professor with a Ph.D. degree and one published article in a Scopus, Web of science or PubMed indexed journal since the last promotion may be assigned to deliver a course.



- g. All Doctoral students must register for 'Doctoral Dissertation' with 12 credit hours each semester after completing course work and with an approved Doctoral proposal by the DGC.
- h. Based on the requirements prescribed in a discipline-specific curriculum, the candidate shall present a seminar on the progress of his/her research work or topic relevant to his/her field of study.
- i. The coursework is a mandatory requirement for the award of the Doctoral degree in this doctoral program category.

5.1.2. Doctoral Courses Assessment

- a. Each course could be assessed based on examinations, reports, project work presentations, and other assessment mechanisms stipulated in the curriculum.
- b. To complete coursework, a Doctoral student must obtain a minimum CGPA of 3.00.
- c. At the end of each semester, the DGC shall examine the case of each candidate who has failed to maintain the minimum requirement in (b) and recommend course repetition.
- d. A student is subject to dismissal without probation if the semester GPA is below 2.75 at the end of any semester.
- e. A student with a grade less than "B" shall be allowed to repeat the courses provided his/her semester GPA is greater or equal to 2.75. The final grade for the repeated course shall be used for the computation of CGPA/GPA.
- f. The grading scale for all courses in the Doctoral program with coursework is as stipulated in Table 2.



Table 2: Grading scales of a doctoral program with coursework

Raw Mark	Letter grade	Grade points
[90, 100]	A +	4.00
[85, 90)	A	4.00
[80, 85)	A -	3.75
[75, 80)	B+	3.50
[70, 75)	B	3.00
[65, 70)	B -	2.75
[58, 65)	C+	2.50
[50, 58)	C	2.00
[40, 50)	D	1.00
< 40	F	0.00

Source: JU Senate Legislation

5.2. Doctoral programs without coursework

Some colleges/Institutes may have a doctoral program without coursework. This program may not require compulsory courses; however, course auditing and soft skill courses may be recommended by the supervisor to be undertaken by the Doctoral candidate. Modalities for such programs are the following.

- a. In a doctoral program without coursework, it is assumed that the student has sufficient knowledge and research experience on the subject matter he/she is going to do his/her Doctoral research and is not required to take courses.
- b. Courses that can supplement the specific research areas of the student may be recommended by the supervisor and can be taken at any stage of the program.
- c. The candidate should present at least one seminar per semester on the progress of his research work or any topic relevant to his field of study.
- d. The department shall facilitate the seminar presentation.



5.3. Joint and dual Doctoral Programs

A joint or dual Doctoral degree program may be considered if a Doctoral program is carried out in collaboration with another higher education institution(s) having the right to award the Doctoral degree. However, the following general guiding principles should meet for awarding the aforementioned Doctoral degrees:

- a. The partnership or collaboration agreement for the joint or dual degree programs can be initiated and coordinated by any college, institute, or school of graduate studies and approved by the Vice President for Academics; finally, the MoU will be signed by the President of the University.
- b. Issues pertaining to the selection of the candidate, mode of delivery, assignment of supervisors, service to the Doctoral candidate, financial responsibilities of the parties, monitoring and evaluation mechanisms, and duration of the stay of the candidate in the institutions shall be agreed on a case-by-case basis between JU and the Partner Institution(s).
- c. The partnering institutions can appoint one institution as the main institution that acts as the contact point for the Doctoral candidate and the other as the partner institution(s).
- d. The registration of the candidate, the Dissertation defense, and the award of the degree must comply with the regulations and guidelines of the main institution unless otherwise stated in the agreement document clearly.
- e. The candidate can be awarded one diploma signed and sealed by both institutions or by either of one institute as per their agreement.
- f. Dual degrees, based on one Doctoral dissertation having a similar title and content, shall be awarded to a candidate registered in either of these programs only if the partnering institutions state explicitly in their agreement document.
- g. The partner Universities will recognize the degree awarded, whether double or joint.
- h. The Doctoral candidates admitted to the specific Doctoral program at JU must abide by this guideline and the discipline-specific requirements of the program.



5.4. Staff Workload

The staff workload for the Doctoral coursework, seminar course, and dissertation supervision can be considered as follows.

- a. The Doctoral course workload for the course offering staff shall be considered two times the credit hour of the course.
- b. The doctoral seminar course workload, the student registered for without credit hours, shall be considered as two credit hours per seminar course.
- c. Doctoral dissertation supervision workload shall be two credit hours per student for the principal supervisor and 1.5 credit hours per student for co-supervisor(s).
- d. The maximum number of students the principal supervisor can supervise shall be three students per batch, and co-supervisors can supervise two students per batch.
- e. The workload for each member of the PDC, the committee constituted to evaluate both the Doctoral Dissertation proposal and the pre-submission Doctoral Dissertation defense, shall be 0.5 Cr. Hr. per the proposal and the Dissertation defense respectively.
- f. The independent chairperson of the board of examiners for a Doctoral dissertation examination can be considered equivalent (for remuneration purpose) to an internal examiner and entitled to equal pay.

6. Academic Status of a Doctoral Student

The following are the general requirements for assessing a doctoral student's academic status.

- a. A Doctoral student must register every semester following the University's academic calendar, and failure to do so for two consecutive semesters will result in canceling his/her candidature.
- b. To continue his/her Doctoral candidature, a Doctoral student should defend his/her proposal in his/her desired field of specialization and get it approved by DGC at least within six months from the date of completion of his/her coursework and six-month from the date of admission for Doctoral programs without coursework.
- c. Completing the Doctoral proposal defense and its approval is a pre-requisite for the registration to the research work leading to a Doctoral dissertation.



- d. For Doctoral programs requiring an additional, comprehensive qualifying examination, the academic status of a Doctoral candidate can be determined as per the requirements stipulated in the discipline-specific curriculum without negating all the conditions mentioned above in this guideline.
- e. Doctoral students from other modalities such as a sandwich, joint, collaborative, and GKEN shall also be treated by the same with flexible treatment under justifiable reasons.

6.1. Withdrawal

The following procedures will be implemented for withdrawal from and readmission to the Doctoral program. A candidate who enrolled in the program could withdraw provided that:

- a. There are justifiable circumstances for withdrawing and this is supported by research supervisor in a written application to the DGC.
- b. The DGC will deliberate on the application and approve the request for withdrawal if found valid.
- c. A Doctoral student who requests for withdrawal within two months of admission will be considered as deferring the admission and will be treated as a new admission for the next academic year.

6.2. Readmission

- a. A candidate who withdrew from the Doctoral program following the above procedures could apply for readmission (except sub-article 6.1(c)) to the office of the University registrar within two years from the date of approval of the withdrawal beyond which his/her candidature will be automatically canceled.
- b. The duration of time that the candidate withdrew from the study would not be considered in the calculation of his/her duration of stay in the program.



6.3. Dissertation Progress Report and its Evaluation

- a. A Doctoral student undertaking research work is expected to submit a duly signed hard copy of his/her yearly progress report by his/her supervisor to the department before the registration time for the next academic year (Appendix 6), but the student is expected to register every semester.
- b. The department shall arrange a mandatory open progress report presentation before the first semester of the next academic year registration for all doctoral students registered for Doctoral research work.
- c. The DGC is responsible for critically evaluating and approving the student's progress report, whether it is satisfactory or not for registration for the next academic year (Appendix 7).
- d. If the progress made by the candidate is 'unsatisfactory,' the following steps will be taken by the DGC.
 - i. For the first appearance of 'Unsatisfactory' progress, the DGC will arrange a discussion with the candidate and his/her supervisors to deliberate on the circumstances related to the unsatisfactory progress.
 - ii. Following the deliberations in (i), the DGC can recommend the candidate for registration with a written warning.
 - iii. If the candidate gets two consecutive 'Unsatisfactory' progresses, the DGC will advise the candidate to withdraw with a formal request for readmission in the following semester. However, the period the candidate was away from the program will be counted as part of the duration of his/her studies, beyond which the student is forced to terminate his/her candidature.
 - iv. If there is any reason to do so, the student and/or the supervisors can appeal the decision of the DGC to the CGC/IGC.
- e. The Doctoral students will not be allowed to register for the next academic year without submitting the approved progress report along with the registration slip to the college/institute registrar office.



7. Graduation requirement

- a. Successful completion of the coursework with a minimum CGPA of 3.00 and a minimum "B" grade for all courses registered for AND,
- b. Successful completion of a Doctoral dissertation evaluated with a minimum grade rated as "Satisfactory" AND,
- c. Publication of an original article arising from the Doctoral dissertation in a reputable journal indexed in Scopus, Web of Science, or PubMed (at least one published and one submitted) for a candidate in a Doctoral program with coursework OR,
- d. Publication of at least two original articles arising from the Doctoral dissertation in a reputable journal indexed in Scopus, Web of Science, or PubMed for a candidate in a Doctoral program without coursework AND,
- e. At least one conference presentation (oral or poster) in either an international or national forum AND,
- f. The affiliation of the candidate seeking a Doctoral degree should be Jimma University or Jimma University and a partner institution in case of sandwich and a joint program in the publications mentioned above.
- g. Colleges or institutes can have their own requirements without violating the minimum requirements stipulated in these sub-articles (a-f) and based on the nature of their disciplines.



A handwritten signature in blue ink, consisting of a stylized, cursive script.

8. Doctoral Dissertation Work Process

8.1. The Research Proposal

8.1.1. Components of a Doctoral Proposal

With some tolerable variations across programs, a Doctoral proposal shall typically contain an introductory section(Background, statement of the problem, objectives, research questions and/or hypotheses, significance of the study/benefits and beneficiaries, delimitation/scope, and operational definitions), a review of key related literature, materials and methods, Ethical Consideration (if any), budget and time breakdown, references, and appendices (if any).

Remark: The detailed descriptions of the proposal components and template or working manual can be developed to fit into different disciplines' contexts as deemed fit by the SGS/CGSC/IGSD and shall be approved by UGC/AC.

8.1.2. Proposal Approval Procedures

- a. A registered Doctoral student is expected to develop a research proposal in consultation with the supervisor(s).
- b. The proposal shall be developed and defended within a six-month time from the completion date of the coursework for the candidate in the Doctoral program with coursework, while it is from the date of admission for the candidate in the Doctoral program without coursework.
- c. Three copies of a duly signed proposal by the Doctoral candidate supervisor should be submitted to the department.
- d. Upon receiving the supervisor-approved proposal, the DGC shall set up a three-member Proposal Defense Committee (PDC) at the earliest to evaluate the proposal.
- e. The PDC shall be composed of a chairperson and two reviewers specializing in a focus area of the proposal submitted.
- f. To make the evaluation as objective as possible, the PDC shall follow the evaluation criteria for the rating of proposals (Appendix 3).
- g. The department, in consultation with the supervisor and the PDC, shall fix the date and venue for the open defense of the proposal.



- h. At the end of the oral presentation session, the PDC will determine whether the proposal is accepted, requires some modifications, or is rejected (Appendix 4).
- i. The PDC shall submit a written report of its decision and comments and suggestions for improvement to the head of the Department at the end of the session (Appendix 5).
- j. If the PDC accepts the proposal without modifications, four copies of the proposal will be submitted to the department (copies for the department, Doctoral coordinator of the department, supervisor, and CGSC/IGSD).
- k. If the proposal is accepted with modifications, the details of the weaknesses that require attention will be made available to the student and supervisor(s).
- l. After the necessary modifications are made to the satisfaction of the PDC, the final proposal shall be submitted to the department in four copies; otherwise, the proposal will be subject to rejection.
- m. If the PDC rejects the proposal, the student shall be given six months to write a new proposal.
- n. A student whose proposal has been rejected twice shall be dismissed from the program on academic grounds.
- o. The accepted proposal shall be approved by the DGC and forwarded to the CGSC/IGSD for funding and other administrative procedures.
- p. Depending on the specific requirements stated in the discipline-specific curriculum, the accepted proposal can be subject to upgrading after conducting the pilot study.

Remark: The PDC can consult the supervisor(s) whenever the committee needs clarity before making a final decision.

8.1.3. Funding Scheme for Doctoral Programs

Different funding mechanisms are available to support the doctoral dissertation and can be pursued by the Doctoral candidate in consultation with his/her supervisor(s). These funding mechanisms are but are not limited to

- a. Fund from Government treasury allocated for graduate program research (as per the Directives from the EFDR Ministry of Finance).
- b. Jimma University Mega research funding scheme (as per JU Guidelines and Procedures for Research (Revised), August 2022).



- c. Collaborative projects fund (as per the Collaborative Projects Management Guideline of the University, March 2022).
- d. Mobility schemes as per different signed MOUs by JU and partners.
- e. Other possible sources.

After funding is received and all other administrative procedures are completed, a candidate is expected to start his/her Doctoral research work leading to a dissertation based on the approved proposal, and his/her progress will be monitored according to article 6.3 (Dissertation Progress Report and its Evaluation).

8.2. Doctoral Dissertation Submission, Evaluation, and Defense

8.2.1. Doctoral Dissertation

A doctoral dissertation is a booklet that summarizes the outcomes of the Doctoral candidate's research work. The component of a Doctoral Dissertation shall typically contain preliminary matters, an introductory section (Background, statement of the problem, objectives, research questions and/or hypotheses, significance of the study/benefits and beneficiaries, delimitation/scope, and operational definitions), a review of key related literature, materials and methods, ethical consideration (if any), results, discussion, summary/conclusion, recommendation, references, and appendices (if any).

A candidate whose course work or comprehensive qualifying examination (if applicable) is "incomplete" is not entitled to process the pre-submission defense arrangement and other procedures as stated in the proceeding sub-articles.

Remark: The detailed descriptions of the Doctoral dissertation components and the template or working manual for the write-up can be developed to fit into the context of different disciplines as deemed fit by the SGS/CGSC/IGSD and shall be approved by UGC/AC.

8.2.2. Pre-Submission Dissertation defense

- a. Once the dissertation is completed, the candidate shall present a pre-submission open public defense before submitting his/her dissertation.
- b. This pre-submission open public defense shall only be arranged if and only if the candidate has no "unsatisfactory" grade in his/her previous semester progress report and



has fulfilled the publication requirements stipulated in the graduation requirement (Article 7).

- c. This pre-submission open public defense is a form of internal quality control.
- d. This pre-submission open public seminar is expected to highlight the main aspect of the work, such as the research gap, the rationale for the study, the conceptual framework of the study, the methodology, and major findings in not more than 40 slides.
- e. This pre-submission open public defense is open to all the faculties and graduate students in the University.
- f. If the PDC is satisfied with the scientific quality of the work and the component stated in (d), the PDC shall recommend the candidate to submit the dissertation to the department; otherwise, the PDC shall advise the candidate for further improvement and reappear for presentation in three months (Appendix 9).

8.2.3. Dissertation Submission requirements

- a. Successful completion of the pre-submission defense with the recommendation of the PDC and the written approval of the adviser AND,
- b. A plagiarism test report/certificate AND,
- c. Two spiral banded hard copies (one for the internal examiner and the other for the department) and the soft copy (electronic version) of the dissertation to the department AND,
- d. Printed copy(ies) of the publication(s) arising from the dissertation AND,
- e. A printed copy of the conference proceeding/Book of abstract indicating the candidate presentation (Page(s) containing the full bibliographic information) AND,
- f. The grade report for the completion of the course signed and stamped by the college registrar (if applicable) AND,
- g. List of potential examiners (four external and two internal) along with their recent curriculum vitae proposed by the supervisor.



Remark: Before submitting the dissertation, the supervisor must perform a plagiarism test, and a report (Appendix 8) must be submitted along with the dissertation. Academic work relies heavily on honesty. If you plagiarize or misuse data, the strength of your presentation and contribution is null and void. Any student who commits plagiarism or fraud may have his or her student status removed, and a degree may be revoked if the plagiarism or fraud is discovered after the degree has been received. Plagiarism is a serious offense, and you must ensure that you do not inadvertently commit plagiarism. The level of plagiarism at the doctoral level will be considered as prescribed in Jimma University Anti-plagiarism Policy Guideline.

8.2.4. The Examination Board and Dissertation Evaluation

The Examination Board shall have a minimum of four and a maximum of five members consisting of an independent chairperson who is a senior academician from related areas of the Ph.D. work to be defended, the college or institute registrar as nonvoting secretary, one internal examiner who is a member of Jimma University, and two external examiners external to Jimma University. Under normal circumstances, the selection of one external examiner is sufficient except in situations where the nature of the dissertation work is interdisciplinary/multidisciplinary, in which case two external examiners may be required to form an academic judgment of the dissertation in addition to one internal examiner.

The selection procedure of the examination board is as follows:

- a. The supervisor will send a proposed list of potential examiners (external and internal) as per sub-article 8.2.3(g) to the department.
- b. The DGC will review the profile of the proposed potential examiners and shall appoint the Examining Board by selecting an examiner with the academic rank of at least an Associate Professor with a Ph.D. degree (or equivalent).
- c. In the exceptional case where there is a shortage of internal examiners with an academic rank of at least an Associate Professor with a Ph.D. degree, the DGC shall select an additional external examiner.
- d. The department shall send the dissertation along with the evaluation form with a set of prescribed criteria (Appendix 10) to the internal and external examiners within two month to submit their evaluation reports. The Evaluation report may reveal any of the following possibilities (e and f):



- e. A Doctoral dissertation is:
- i. "Accepted with no changes," OR
 - ii. "Accepted with minor changes" to be made to the satisfaction of the supervisor, OR
 - iii. "Accepted with major modification" to be made to the satisfaction of both the external and internal examiners.
 - iv. If a dissertation requires substantial changes in substance, the examiners shall include a detail of the nature of the changes required and indicate the time by which the changes are to be completed.
- f. A Doctoral dissertation shall be rejected if;
- i. The work does not meet the required standards set by the University; OR
 - ii. The work is plagiarized as judged by the examiners; OR
 - iii. The work has already been used to confer a degree from this or another University.
- g. Based on the evaluation report of the internal and external examiners, the department, in consultation with the supervisor, will set a date for the Viva Voce, provided the dissertation is accepted by the internal and external examiners.

8.2.5. The Viva Voce

The viva (an oral examination for academic qualification) will be held in a public session. Defense examinations should be held at a venue that reflects the formality of the occasion (e.g., Faculty Conference, Hall). The following shall be considered for the Viva Voce:

- a. Once the dissertation gets acceptance as per (sub-article 8.2.4), the Viva Voce is an important milestone to validate whether the candidate actually does the work or not through face-to-face testing of his/her technical understanding and knowledge related to the dissertation.
- b. The viva voce examination shall be chaired by an independent chairperson (sub-article 8.2.4) who is an academic staff (including those with honorary appointments) of Jimma University.



- c. The presence of an independent chairperson from related areas of the research is designed to ensure that the viva voce examination is conducted in a fair and ordered manner. In addition, it is a protection mechanism for both students and examiners in the event of subsequent allegations of misconduct or bias on behalf of the examiners.

8.2.6. Role and duties of the Chairperson

The role of the Chair is basically to ensure that:

- a. Chair the preliminary meeting of the examiners, including agreeing on a structure and format for the viva, including the roles of the examiners.
- b. Ensure that the viva is conducted professionally and that each examiner has the opportunity to ask questions.
- c. Introduce the supervisor and the examiners.
- d. Ensure that the length of the examination is appropriate. A typical examination period will take 90-120 minutes.
- e. Ensure that all those present understand the procedures to be followed: All persons attending the defense should turn off their mobile phones and any other audiovisual device they may have in their possession that may cause a distraction to the candidate, board of examiners, or members of the Public. Only the examiners will be entitled to use a laptop or other electronic device to follow the candidate's presentation and subsequent question and answer session with the Board.
- f. Outline the structure and format of the viva voce to all attendees.
- g. Intervene in the examining process only if there appears to be bias, misconduct, or unfairness or if the examiners are diverting from the agreed format of the viva in such a manner as to disadvantage the student, or if the Chair believes the viva is progressing in a way which could compromise academic standards. Actions that might be taken include calling a temporary halt to the meeting, holding a private discussion with the examiners or the candidate, or, most exceptionally, ending the examination.
- h. Chair the post-viva discussion of the examiners and assist them in formulating a recommendation.
- i. Ensure that the examiners complete and sign the relevant forms at the end of the viva.



- j. Ensure that the examiner's recommendation is conveyed to the student professionally and that the student is clear about what may be required of him/her.
- k. Provide information for any subsequent appeal procedure.

8.2.7. Role and duties of the College/Institute Registrar

The College/Institute registrar shall be the Secretary of the Board of Examiners. He/she will be responsible for all administrative aspects with respect to the award of the degree, preparation, completion, and submission of documentation relating to the final grading of the dissertation (including the list of signatures), oversight of formal aspects of the examination, calling the candidate into the room, ensures that the endorsement of the college/Institute academic commission and the Senate follows retroactively.

8.2.8. Participation in Assessment Procedures

- a. Members of the Public should not speak or participate in any way during the defense examination/Viva Voce.
- b. Members of the Public will be entitled to participate if called upon to do so by the Chair of the board of examiners.
- c. As and when appropriate, the Chair may call on the supervisor(s) to make whatever contribution to the proceedings they see fit.

8.2.9. Procedure for the Viva Voce

The Viva Voce can happen at any pre-agreed time of the day based on the conveniences of the Examination board and the candidate. However, the Viva Voce should follow the template given below.



Table 3: Activities to be carried out during the Viva Voce

S/N	Activity	Responsibility	Remark
1	Examiners Board Meeting: to introduce each other, discuss the Viva Voce Schedule, and wear the gown	Chairperson	
2	The Public takes their sit in the defense hall	College/Institute Registrar	
3	The examination board members take their seats in the defense hall	College/Institute Registrar	Welcoming by the Public
4	Dean/ the College Postgraduate coordinator/Director introduces the board of examiners	Dean/CGSC/IGSD	
5	The Examination Board Chair introduces the Supervisors	Chairperson	
6	The principal supervisor introduces the candidate's profile	Principal Supervisor	
7	The Chairperson invites the candidate to present his/her Doctoral dissertation	Chairperson	
8	Presentation of the main findings by a Doctoral candidate (40-45 Minutes)	Doctoral candidate	Time (45 minutes)
9	The Chairperson invites the examiners and indicates that they have one and half hours	Chairperson	
10	Examination by examiners (one and half hours)	External and Internal examiners	45 minutes each
11	Questions from the Public	Chairperson	15 minutes
12	Board of Examiners meeting for decision and grading (Post defense meeting in a separate room)	College/Institute Registrar	20 Minutes

8.2.10. Dissertation Rating and Grading

Following this period of deliberation (S/N 12 of Table 3), the examiners will decide the rating and grade to be awarded (Appendix 11). The examining board deliberation is confidential, and the decision is determined by the average of the individual grading/rating of the examiners where there are multiple external examiners, according to Table 4 below.



Table 4: Grading scale for Doctoral dissertation

Evaluation result	Percent (%)*
Excellent	≥ 85
Very Good	$75 \leq X < 85$
Good	$60 \leq X < 75$
Satisfactory	$50 \leq X < 60$
Fail	< 50

* Evaluation weight (%) = 0.65 x External examiner's + 0.35 x Internal examiner's

Once all members of the board of examiners have completed the necessary documentation, the Secretary (College/Institute Registrar) will lead the examination board back to the defense hall.

8.2.11. Declaration of the Result and Decoration of Candidate

The chairperson will declare the candidate's dissertation grade and rating result. This will be followed by the decoration of the candidate (academic dressing) to indicate that the candidate has completed all the requirements for the award of a Doctorate degree. The decoration procedure is as follows

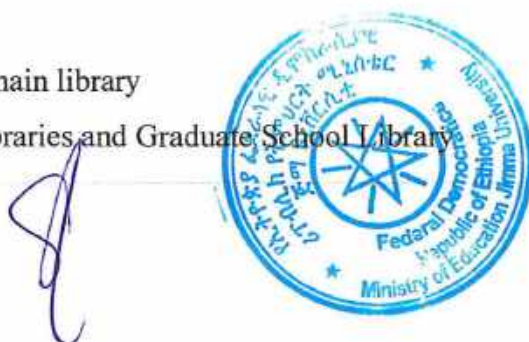
- a. Co-Supervisor*: The Gown,
- b. Principal Supervisor: The Hood,
- c. External examiner: The Cape/Bonnet,
- d. Chairperson (assisted by the Registrar): Award of doctorate degree folder.

**In cases where no co-supervisor exists, the Internal Examiner shall perform the duty indicated.*

8.3. Submission of final dissertation after successful Viva Voce

Five copies of the final corrected dissertation printed on good quality paper, including the signatures of the candidate and his supervisor(s) and examination board, should be submitted to the department. In addition, the department should send one copy of the SGS/CGS/IGS for university Doctoral dissertation documentation. No diploma would be issued for candidates who failed to do so. The remaining copies are to be distributed as follows:

- a. a bound copy for the supervisor
- b. a bound copy for the candidate's home department
- c. a bound copy to the student
- d. a bound copy for the University central/main library
- e. Electronic version to College/Institute libraries and Graduate School Library



9. Provisions for Complaints

- a. Upon rejection of their application to a Doctoral degree program, students have the right to complain.
- b. The complaint, including an account of the grounds for the complaint, is to be sent to JU SGS for a final ruling.
- c. For complaints regarding the rejection of applications for approval of course works, or other parts of the organized academic training program, the applicable law is the JU Senate Legislation.
- d. Complaints against the grading of specific examinations or other student assessments are lodged in accordance with the Senate Legislation.
- e. Complaints regarding rejected applications for dissertation evaluation, graduation requirements and non-approval of the dissertation, or public defense or Viva Voce can be made to JU SGS. The JU SGS can thoroughly investigate all aspects of the challenged decision and forward its recommendations.

10. Effective Date of Implementation

This guideline shall enter into force or implementation as of January 2023.



Jemal Abafita (Ph.D.)
President of Jimma University



Appendices:

Appendix 1: Letter of Admission to Doctoral program

Ref.: _____

Date: _____

To: _____ (Name of Applicant)

Dear applicant,

On behalf of the School of Graduate Studies office, Jimma University I'm pleased to inform you that your application for admission to a Doctoral (Ph.D., D.Ed., Sub-specialty certificate) program in _____, Department of _____ starting from the first semester of (...../.....) academic year is accepted. This decision is based on the review of your credentials and other supportive documents annexed to your application, the result of the entrance exam, and other admission requirements of the University. Hence, you are advised to complete your registration following applicable regulations.

Once again, welcome to Jimma University, and I wish you success in your studies.

Sincerely,

Name of the University Registrar/its delegate
(Signature and Stamp)



Appendix 2: Doctoral concept note evaluation form

No	Criteria	Max point (%)	Gained point
1	The extent to which the concept note addresses the what, the why, and the how of the study	8	
2	The ability to state original research ideas	4	
3	The ability to explain the rationale for the concept	4	
4	Knowledge of the methods appropriate for the proposed research idea	4	



[Handwritten signature]

Appendix 3: A PhD Proposal evaluation criteria (Document write-up)

Student's Name: _____

ID. No: _____

Dissertation title: _____

Criteria	1	2	3	4	5	Score
1. Introduction (20%)	<ul style="list-style-type: none"> Irrelevant background of the research. The problem statement is not clear Objectives/research questions/hypotheses of the dissertation are unfocused and unclear 	<ul style="list-style-type: none"> The background is weak. The problem statement is partly clear. Objectives/research questions/hypotheses of the dissertation are less focused and mostly unclear 	<ul style="list-style-type: none"> The background is moderately clear. The problem statement is moderately clear. Objectives/research questions/hypotheses of the dissertation are moderately focused and clear 	<ul style="list-style-type: none"> The background is mostly clear. The problem statement is largely clear. Objectives/research questions/hypotheses of the dissertation are largely focused and clear 	<ul style="list-style-type: none"> The background is all clear. Problem statement is very clear. Objectives/research questions/hypotheses of the dissertation are largely focused and clear 	
2. Preliminary Literature review (15%)	<ul style="list-style-type: none"> Failed to review preliminary literature relevant to the study. No synthesis, critique or rationale. Lacks description of research samples, methodologies, & findings. 	<ul style="list-style-type: none"> Inadequate review of the preliminary literature relevant to the study. Poorly organized. Weak rationale for choice of theoretical perspectives/empirical studies. Insufficient description of research samples, methodologies, & findings 	<ul style="list-style-type: none"> Comprehensive review of the preliminary literature relevant to the study. Moderately well organized. Some mention of relatedness of scholarship. Moderately clear rationale for choice of theoretical perspectives/empirical studies. Somewhat focused description of research samples, methodologies, & findings. 	<ul style="list-style-type: none"> Review of the preliminary literature is fairly well organized, acknowledging the relatedness of the research and scholarship. The rationale for including/ excluding various theoretical perspectives/empirical studies is apparent. Includes description of research samples and methodologies. 	<ul style="list-style-type: none"> A comprehensive review of the preliminary literature relevant to the study. Well organized, with nuanced critique regarding the relatedness of the research and scholarship reviewed. Includes specific criteria for inclusion/exclusion of various theoretical perspectives/empirical studies. Clearly describes research samples, methodologies, & findings. 	



3. Research Methodology and Materials/Methods/ (35%)	Little or no description of (if applicable): subjects, design/approach, methods/procedures, and statistical analyses.	Inadequate description of (if applicable): subjects, design/approach, methods/procedures, and statistical analyses.	Moderate or excessive description of (if applicable): subjects, design/approach, methods/procedures, and statistical analyses.	Most detail included/ slightly excessive detail in description of (if applicable): subjects, design/approach, methods/procedures, and statistical analyses.	Appropriate detail in description of (if applicable): subjects, design/approach, methods/procedures, and statistical analyses.
4. Budgeting (5%)	<ul style="list-style-type: none"> Mention of infeasible budget breakdown. 	<ul style="list-style-type: none"> Mention of few feasible budget breakdown. 	<ul style="list-style-type: none"> Mention of some feasible budget breakdowns. 	<ul style="list-style-type: none"> Mention of most feasible budget breakdowns. 	<ul style="list-style-type: none"> Mention of All feasible budget breakdowns.
5. Time breakdown (5%)	<ul style="list-style-type: none"> Mention of infeasible of time breakdown. 	<ul style="list-style-type: none"> Mention of few feasible time breakdown. 	<ul style="list-style-type: none"> Mention of some feasible time breakdowns. 	<ul style="list-style-type: none"> Mention of most feasible time breakdowns. 	<ul style="list-style-type: none"> Mention of All feasible time breakdowns.
6. Referencing (5%)	<ul style="list-style-type: none"> Incorrect use of citation Improper listing of references/bibliography 	<ul style="list-style-type: none"> Few correct use of citation Few proper listing of references/bibliography 	<ul style="list-style-type: none"> Some correct use of citation Some proper listing of references/bibliography 	<ul style="list-style-type: none"> Mostly correct use of citation Mostly proper listing of references/bibliography 	<ul style="list-style-type: none"> All correct use of citation All proper listing of references/bibliography
Total=85%					
General Comment: _____					

Reviewer's Name _____ Signature: _____ Date: _____



Appendix 4: A Doctoral Proposal evaluation criteria (Oral Presentation)

Student's Name: _____ ID.No: _____

Dissertation title: _____

Criteria	1	2	3	4	5	Score
1. <i>Inclusion of Introduction (Background, problem, objectives/research questions) and methodology in oral presentation (5%)</i>	<ul style="list-style-type: none"> Focused on one or two of the important elements in the oral presentation 	<ul style="list-style-type: none"> Included some of the important elements in the oral presentation 	<ul style="list-style-type: none"> Included half of the important elements in the oral presentation 	<ul style="list-style-type: none"> Included most of the important elements in the oral presentation 	<ul style="list-style-type: none"> Included all of the important elements in the oral presentation 	
2. <i>Clarity of the oral presentation (5%)</i>	<ul style="list-style-type: none"> The oral presentation of the important proposal elements was unclear 	<ul style="list-style-type: none"> The presentation of the important proposal elements was mostly unclear 	<ul style="list-style-type: none"> The presentation of the proposal elements was moderately clear 	<ul style="list-style-type: none"> The presentation of the proposal elements was largely clear 	<ul style="list-style-type: none"> The presentation of the proposal elements was all clear 	
3. <i>Handling questions (5%)</i>	<ul style="list-style-type: none"> Does not understand any of the questions as result responses are unrelated to the questions 	<ul style="list-style-type: none"> understands few of the questions The responses to most of the questions are unrelated to the questions 	<ul style="list-style-type: none"> understands some of the questions The responses to some of the questions are related to the questions 	<ul style="list-style-type: none"> understands most of the questions The responses to most of the questions are related to the questions 	<ul style="list-style-type: none"> Understands all of the questions The responses to all of the questions are related to the questions 	



Total=15%

General Comment: _____



Reviewer's Name: _____

Signature: _____

Date: _____

Appendix 5: Overall Marking of the Doctoral Proposal and Approval

The overall marking result of the proposal shall be the sum of the written (Appendix 2) and the oral presentation (Appendix 3), and the cut-off points shall be as follows:

1. Accepted: $\geq 70\%$
2. Accepted with modification: $\geq 50\% < 70\%$
3. Reject: < 50

Description:

- A Doctoral candidate whose proposal is accepted with modification would be given another three months to resubmit the improved and approved proposal.
- A Doctoral candidate whose proposal has been rejected would be given another six months to resubmit and defend a proposal.
- A proposal may automatically be rejected if suspected of plagiarism by the reviewer/s.

_____	_____	_____
Chairperson	Signature	Date
_____	_____	_____
Reviewer 1	Signature	Date
_____	_____	_____
Reviewer 2	Signature	Date
_____	_____	_____
Main Supervisor	Signature	Date



Appendix 6: Dissertation progress report template

(University Logo)
Dissertation Progress Report

By _____ / ID No: _____

Doctoral Student in _____

Principal Supervisor: _____

Faculty/Department/School: _____

College/Institute: _____

Jimma University



Date: _____

Place: _____

1. **Title of the Doctoral dissertation:**

2. **Reporting Period:**

3. **Objectives of the dissertation**

a. General Objective

b. Specific Objectives

4. **Work plan used for the current reporting period (state briefly the work plan extracted from the dissertation proposal until the current reporting is made)**

5. **Achievements /progress:** Indicate which objectives have been achieved, details of the milestones and deliverables during the reporting period. Include detailed summaries of the result obtained.

6. **Summary of scientific result obtained during the reporting period**

a. List of publications submitted, accepted, and published (if any)

Remark: Please attach full article published or unpublished.

b. Presentation in conference/seminars (if any)

SL



[Empty rectangular box]

7. **Funding:** Indicate source of fund and the amount of money utilized during the reporting period.

[Empty rectangular box]

8. Problems encountered (state any major problems or challenges encountered while conducting the research with in the reporting period).

[Empty rectangular box]

9. Measures taken to alleviate the problem/ challenge:

[Empty rectangular box]

10. Planning for the coming period

[Empty rectangular box]

Doctoral Candidate: _____ Signature: _____ Date: _____

Principal Supervisor: _____ Signature: _____ Date: _____

Approval

Head Department/ DGC chair _____ Signature: _____ Date: _____

(Department Seal)



Appendix 7: Dissertation Progress Report Evaluation format

A. Administration information

1. Title of the proposal:

a. Name of the Doctoral candidate: _____

b. Name of Principal supervisor: _____

c. Name of Co-supervisor (s): _____

2. College/Institute: _____

3. Faculty/Department/School: _____

4. Reporting period: _____

B. General assessment

This may involve editorial quality; lay out, length, and quality of references.

Comment:

C. Technical Assessment

1. The extent to which the objectives are achieved as per the dissertation proposal:

2. **Method used:** To what extent the research methodology for this report sufficiently described?

3. **Work plan:** To what extent the work plan achieved as per the research proposal?

4. **Results:** Are there any results generated as per the proposal? If so, how well it is described?

5. **Scientific results:** Are the scientific results sufficient in line with the study plan?

6. **The work plan:** Is the future plan realistic and achievable?



7. **Fund utilization:** To what extent the fund utilization is aligned with the proposed plan?

8. **Recommendations:** The recommendation of the reviewers is:

Recommendation	Mark (Put √)
Satisfactory	
Unsatisfactory, but recommended for registration with written warning	
Unsatisfactory and not recommended for registration	

Reviewer's Name: _____ Signature: _____ Date: _____

Approval:

HoD/DGC Chair: _____ Signature: _____ Date: _____



Appendix 8: Plagiarism test certificate

I the supervisor of a PhD dissertation entitled-----
----- certify that it has been tested for
plagiarism and is found below the 15% limit.

Name-----Sign-----Date-----



Appendix 9: Pre-submission Doctoral dissertation defense assessment form

During the pre-submission presentation, the evaluation section of this form is to be completed by the Chairperson of the PDC and the form signed by all the members.

Name of the Doctoral student-----

Title of the Doctoral dissertation-----

Pre-submission Presentation evaluation of the dissertation

S/N	Criteria	Yes	No	Remark
1	Was the student well prepared for the presentation?			
2	Is the presentation judged to be adequate in terms of quality and duration?			
3	Does the Dissertation have a substantial & original contribution to knowledge of the subject?			
4	Does the student show familiarity with, and understanding of, the relevant literature related to the dissertation?			
5	Does the dissertation provide a sufficient and comprehensive study of the topic?			
6	Is the dissertation structure appropriate and are the results adequately justified?			
Does the panel identify any areas of concern in the following?				
7	Problem/hypotheses?			
8	Methodology?			
9	Quality of research?			
10	Other? (Please add details if required)			
11	Is the dissertation on track to meet the academic standards that make it suitable for submission and examination?			

Overall pre-submission review evaluation

Recommend for Submission

Recommend for improvement

Note: If the overall pre-submission review result is "Recommend for improvement", the dissertation shall be subject to revision within a minimum of 3 month.

Chairperson

Signature

Date

Reviewer 1

Signature

Date

Reviewer 2

Signature

Date

Principal Supervisor

Signature

Date



Appendix 10: Doctoral dissertation evaluation format

Name of candidate: _____ ID No: _____

Dissertation Title: _____

Part I: Quantitative Grading

Name of the External/Internal Examiner: _____

Criteria		Percentage	Points earned	Remark
To be completed before the Viva Voce				
Doctoral dissertation booklet Evaluation	Abstract	5%		
	Materials and Methods	15%		
	Literature Review	10%		
	Result and Discussion	40%		
	Summary and Conclusion	10%		
	Sub-Total	80%		
To be completed during the Viva Voce				
Defense Examination	Manner of presentation	5%		
	Confidence in the subject matter	5%		
	Ability of answering questions	10%		
	Sub-Total	20%		
Grand Total		100%		

Part II: Details of the written Report (comments, suggestions, questions, and Inputs) arises from the Doctoral dissertation booklet.

Part III: Recommendations

Please circle the appropriate letter of your recommendation on dissertation to decide whether or not the candidate proceeds to Viva Voce/oral defense.

- a. A Doctoral dissertation for Viva Voce is* :
 - ii. "Accepted with no changes," or
 - iii. "Accepted with minor changes" as indicated in part II to be made to the satisfaction of the supervisor, or
 - iv. "Accepted with major modification" that requires substantial changes in substance as mentioned in part II to the satisfaction of both the external and or the internal examiner.

* The period of time by which the changes are to be completed must be indicated for the recommendation's options if applicable.



- b. A Doctoral dissertation shall be rejected for Viva Voce if.
- i. The work does not meet the required standards set by the University; or
 - ii. The work is plagiarized as judged by the examiners; or
 - iii. The work has been already used to confer a degree from this or another University.

Remark: Please note that each part (I-III) should be on separate pages while submitting the report.

External/Internal Examiner

Signature

Date



Appendix 11: Doctoral dissertation grading and rating (Result summary)

Name _____ ID No. _____
 Department _____
 Date of Doctoral Dissertation defense _____
 Title _____

External examiner Evaluation

Internal examiner evaluation

Evaluation weight (%) = 0.65 x (External Examiner) + 0.35 x (Internal examiner) =

_____.

Grade:
 Excellent [85-100):
 Very Good [75-84):
 Good [65-74):
 Satisfactory [50-64):
 Fail (Below 50):

We, the undersigned, members of the Board of Examiners of the Viva Voce/oral defense by _____ have read and evaluated his/her thesis/dissertation entitled " _____ " and examined the candidate. This is, therefore, to certify that the doctoral dissertation has been accepted in the fulfillment of the requirement of the Doctoral Degree.

_____	_____	_____
Chairperson	Signature	Date
_____	_____	_____
External Examiner	Signature	Date
_____	_____	_____
Internal Examiner	Signature	Date
_____	_____	_____
Principal Supervisor	Signature	Date

