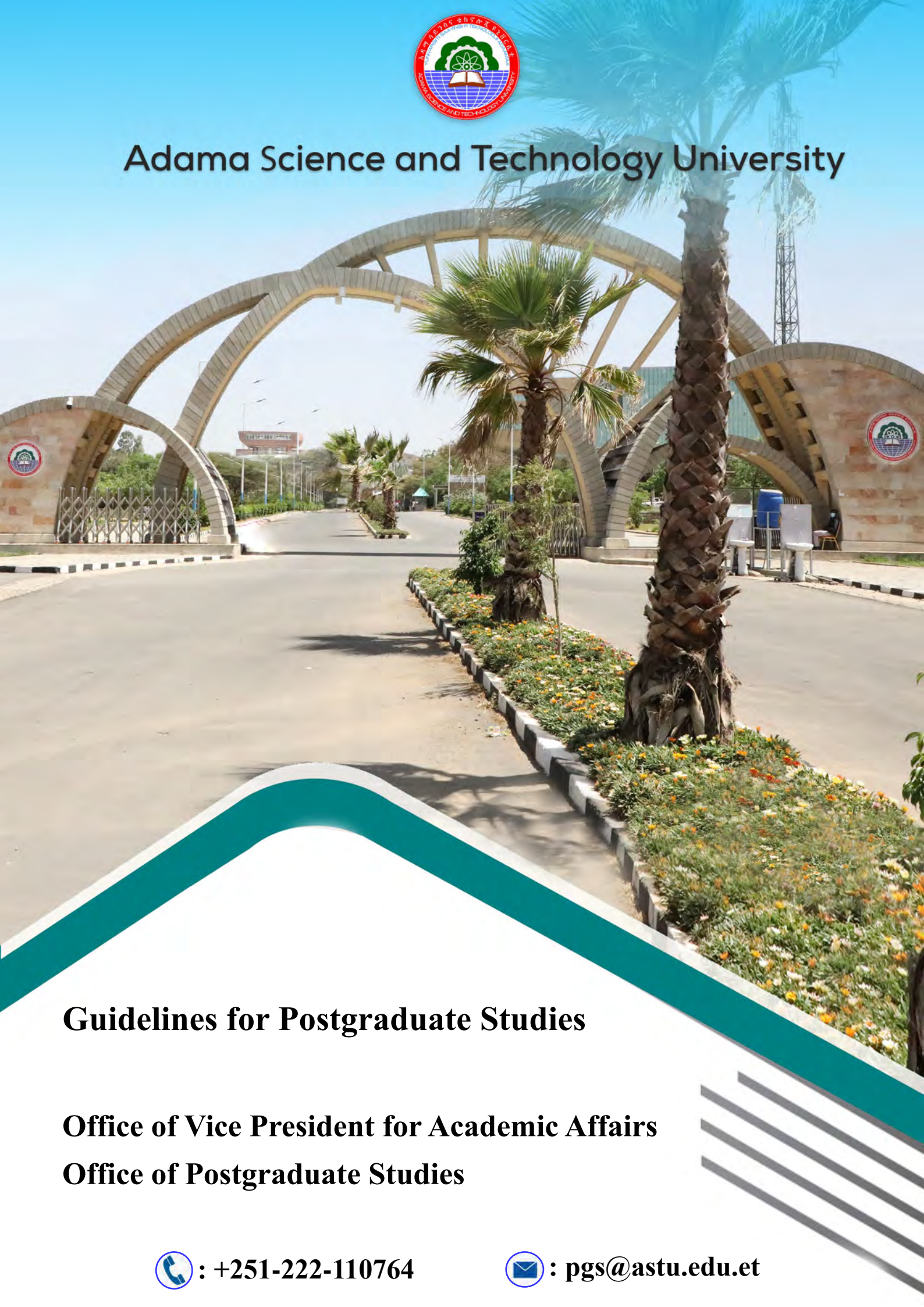





# Adama Science and Technology University



## **Guidelines for Postgraduate Studies**

**Office of Vice President for Academic Affairs**

**Office of Postgraduate Studies**

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**Adama Science and Technology University**

**Guidelines for Postgraduate Studies**

**Revised Edition**

**Office of Vice President for Academic Affairs  
Office of Postgraduate Studies**

**March 2021  
Adama, Ethiopia**

# **Vision and Missions of Adama Science and Technology University (ASTU)**

## **Vision:**

ASTU aspires to be the first choice in Ethiopia and the premier center of excellence in applied science and technology in Africa by 2030.

## **Missions:**

ASTU has the following missions:

1. Produce ethical and internationally competent graduates in applied science and technology through quality education.
2. Conduct problem-solving research.
3. Provide demand driven community service.
4. Serve as center for innovative knowledge and technology transfer.

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## Acronyms

AC	Administrative Council
ADAA	Associate Dean for Academic Affairs
ADRTT	Associate Dean for Research and Technology Transfer
ADPGS	Associate Dean for Postgraduate Studies
BoE	Board of Examiners
CBT	Computer Based Test
CoEs	Center of Excellences
CGPA	Cumulative Grade Point Average
DASQA	Dean for Academic Standard and Quality Assurance
DGAA	Director General for Academic Affairs
DGC	Department Graduate Committee
DPGC	Department Postgraduate Coordinator
DPGS	Dean for Postgraduate Studies
DSAR	Dean for Student and Academic Records
FDRE	Federal Democratic Republic of Ethiopia
HoD	Head of Department
IELTS	International English Language Testing System
IBT	Internet Based Test
MoF	Ministry of Finance
MoU	Memorandum of Understanding
MSc	Master of Science
OPGS	Office of Postgraduate Studies
PBT	Paper Based Test
PG	Postgraduate
Ph.D.	Doctor of Philosophy
SGC	School Graduate Committee
SGPA	Semester Grade Point Average
SMC	School Managing Council
SR	School Registrar
TOEFL	Test of English as a Foreign Language
VPAA	Vice President for Academic Affairs
VPRTT	Vice President for Research and Technology Transfer



# Adama Science and Technology University

## Postgraduate Studies Guideline

### PREAMBLE

- *Whereas*, Ethiopian Higher Education Institutions (herein after HEIs) have institutional responsibility to prepare sufficient knowledgeable, skilled, attitudinally mature graduates in relevant discipline with competence to support Peace, Democracy and National Development and make the country internationally competitive as stipulated in Article 4, sub-article 1 of the HEIs Proclamation No. 1152/2019;
- *Whereas*, ASTU, being a Science and Technology University, has been given especial mandate to produce internationally competent graduates in the field of Science and Technology;
- *Whereas*, ASTU has established five schools: School of Applied Natural Sciences, School of Civil Engineering and Architecture, School of Mechanical Chemical and Materials Engineering, School of Electrical Engineering and Computing, School of Humanities and Social Sciences to effectively run its postgraduate level education in 13 Ph.D., and 18 MSc. Programs;
- *Whereas*, ASTU has seen, for the first time, an unprecedented trend in demand for postgraduate level education at local and national levels in the field of engineering and applied natural sciences;
- *Whereas*, ASTU, being one of the HEIs of the country can issue and implement internal regulations and directives in accordance with Article 8, sub-article 6 of the HEIs Proclamation No. 1152/2019;
- *Whereas*, the postgraduate studies guideline of ASTU approved in 2017 require revisions and timely improvement so as to manage programs of graduate studies of the university in a systematic and well-organized manner;
- Now, therefore, it is deemed necessary to prepare graduate studies guideline which includes stipulations and provisions that could help guide delivery of graduate studies by maintaining consistency, fairness, and reliability in all processes of graduate studies program initiation and execution such as curriculum development, students recruitment and admission, delivery of courses, and management of master's thesis and Ph.D. dissertation;

## **ARTICLE 1: General Provision**

### **1.1 Short Term**

This guideline shall be cited as “Adama Science and Technology University, Postgraduate Studies Guideline, 2021”

### **1.2 General Reference**

Unless expressly stated or implied from the context, provisions of this guideline set out in the masculine gender (He) shall also apply to the feminine gender.

### **1.3 Definitions**

In this Guideline, unless the context requires otherwise:

- 1.3.1 “**Administrative Council (AC)**” shall mean the highest decision making body of the university concerning administrative matters and composed of president, vice presidents, and finance and budget directorate director.
- 1.3.2 “**Academic Staff**” shall mean members of the university employed in the capacity of teaching and/or research, and any other professional of the institution who shall be recognized so by senate statutes.
- 1.3.3 “**Academic Unit**” shall mean a school, an institute, a department or a center or any other similar structure established as a constituent unit of an institution and included in the senate legislation of ASTU.
- 1.3.4 “**Author**” shall mean a writer who has intellectually created a work in an article, book or any other scholarly work. In the case of a computer department, it means a person who has created a program/software. There can be a more than one authors of a single scholarly work.
- 1.3.5 “**Conflict-of-Interest**” shall mean a divergence between an individual’s private interests and his or her professional obligations to the HEI such that an independent observer might reasonably question whether the individual’s professional actions or decisions are determined by considerations of personal gain, financial or otherwise.
- 1.3.6 “**Copyright**” shall mean a protection provided by the laws of Ethiopia to its owners.
- 1.3.7 “**Department/Unit Head**” shall mean an executive manager of an academic unit.
- 1.3.8 “**Ethical Clearance**” shall mean a certificate granted on the understanding that any unanticipated problems and risks, changes to the research plan, or any harm (social, psychological, physical or legal) must be reported to the research ethics board .

- 1.3.9 “**Intellectual Property**” shall mean an ensemble of rights related to inventions, processes, compositions, and other creations of the mind. It mainly includes patents, copyrights, trademarks, industrial designs, and trade secrets.
- 1.3.10 “**Intellectual Property Rights**” shall mean rights that allow owners of intellectual property to benefit from their own work or invention in accordance with the laws of the country.
- 1.3.11 “**Ministry**” shall mean Ministry of Science and Higher Education of the Federal Democratic Republic of Ethiopia.
- 1.3.12 “**Plagiarism**” shall mean claiming or insinuating ownership of another person’s intellectual and/or academic contribution; and it includes (a) using texts of another person without acknowledgement; (b) paraphrasing text without acknowledgement, or (c) using four or more words in the same form and sequence from acknowledged or unacknowledged source without quotation marks and specific page numbers.
- 1.3.13 “**Research**” shall mean a systematized investigation to search for new knowledge or technology and/or to use existing knowledge or technology in a new and creative way in order to generate new concepts, methodologies, understandings, and to solve new or existing problems.
- 1.3.14 “**Research Grant**” means a financial contribution by the university, industry or foundation or governmental or non-governmental organization to a scientific research project conducted in ASTU.
- 1.3.15 “**University**” shall mean Adama Science and Technology University.
- 1.3.16 “**Vice President**” shall mean the Vice President for Academic Affairs.
- 1.3.17 “**Joint-program**” shall mean cooperation with other institutions in the conferral of doctoral degrees.
- 1.3.18 “**Advisor**” shall mean a teaching/ research staff possessing a Ph.D. degree with an academic rank of assistant professor and above or equivalent giving academic guidance to a master’s student.
- 1.3.19 “**Co-advisor**” shall mean a teaching/ research staff possessing a minimum of master degree having at least two publications on reputable journals or Ph.D. holder to work with main advisor as technical collaborator in guiding a master’s student.
- 1.3.20 “**Supervisor**” shall mean a teaching/ research staff possessing a Ph.D. degree with an academic rank of associate professor and above or equivalent that directs and oversees the work of a Ph.D. candidate.

1.3.21 “**Co-supervisor**” shall mean a teaching/ research staff possessing a Ph.D. degree with an academic rank of assistant professor and above or equivalent to work with main supervisor as technical collaborator that directs and oversees the work of a Ph.D. candidate.

1.3.22 “Ph.D. candidate” shall mean a Ph.D. student who has completed all his coursework and comprehensive qualifying examination and is working on his dissertation.

1.3.23 “Academic and Research Assistants” shall mean a support staff member who assists an academic staff in teaching laboratory sessions and field demonstration, in research activities of academic units, and undertakes any other assignments given by the university.

### 1.4 Scope of Application

This guideline applies to:

- 1) academic staff, research staff, academic and research assistants and support staff employed by the University, and other individuals carrying out postgraduate study or research at, or on behalf of the University;
- 2) students enrolled in the Postgraduate programs of the university and their supervisors; and
- 3) individuals holding honorary titles who are delivering courses, supervising and evaluating students of postgraduate program.

### ARTICLE 2: Organizational Structure of the Office

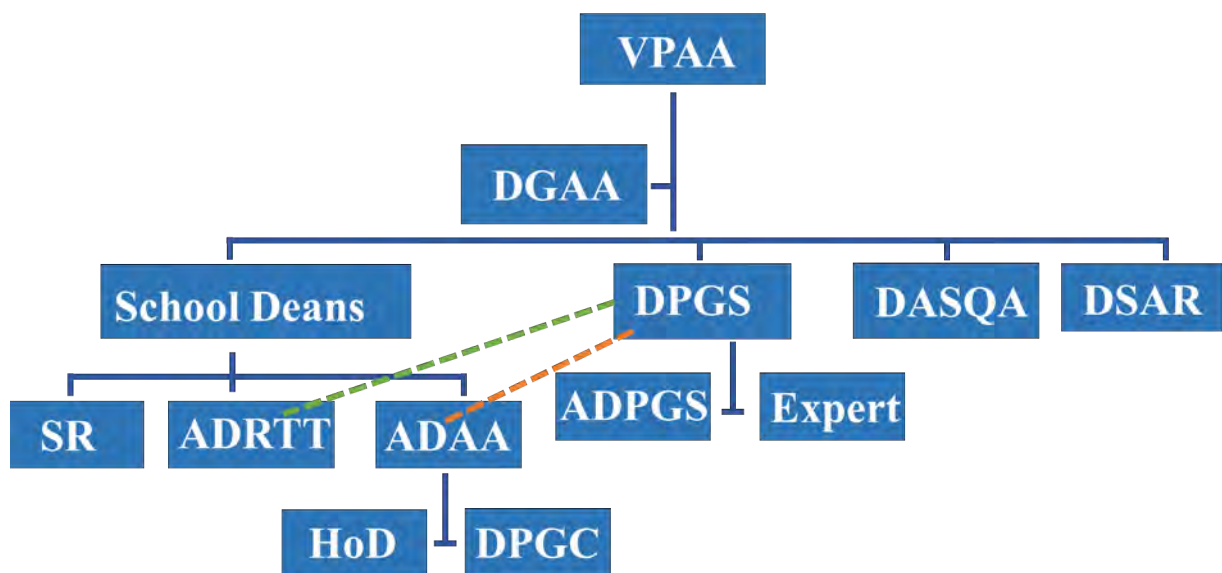


Figure 1. Organizational structure of ASTU’s OPGS

## **2.1. General Provision**

The Office of Postgraduate Studies has a dean, associate dean, one expert and four supportive staff. The Dean for Office of Postgraduate Studies shall lead issues of the postgraduate programs of the university and shall be accountable to the Vice President for Academic Affairs. The Associate Dean for Postgraduate program shall be accountable to the Dean for Office of Postgraduate Studies.

## **2.2. Duties and Responsibilities of Dean for Postgraduate Studies**

- 2.2.1. ensures effective implementation of the policies laid down by the Senate for the proper administration of postgraduate programs, and the welfare of students;
- 2.2.2. presents the annual budget of the office to the VPAA;
- 2.2.3. takes appropriate actions in consultation with the respective SGCs on recommendations with regard to departments, candidates or other academic matters;
- 2.2.4. organizes and submits quarterly report to VPAA on issues pertaining to postgraduate studies and make any recommendations thereof to the VPAA;
- 2.2.5. makes recommendations for the strengthening and development of existing programs or for commencement of new ones and carry out any other task that fosters the development of graduate studies in the University;
- 2.2.6. studies and recommends the initiation of inter-disciplinary and multi-disciplinary postgraduate programs;
- 2.2.7. set necessary guidelines, standards, criteria's and so on centrally in relation to postgraduate programs;
- 2.2.8. establishes make cooperation with other local higher learning institutions, industries, research centers and ministries and other international institutions through DGAA or Vice President for Academic Affairs to share experiences and strengthen the postgraduate programs;
- 2.2.9. supervises all activities of the PG programs across the schools;
- 2.2.10. check the standard of newly developed curricula of graduate programs against minimum requirement and recommends to the university senate for final approval;
- 2.2.11. makes recommendations for the strengthening, development and commencement of new PG programs;
- 2.2.12. approves different payment for PG related issues when requested centrally;
- 2.2.13. write admission letter for every newly admitted student to graduate programs;
- 2.2.14. writes warning letter to Ph.D. students/ candidates who has scored unsatisfactory grade in thesis/dissertation progress report based the recommendation of SGC;

- 2.2.15. undertakes periodic evaluation and assessment of postgraduate programs across schools in collaboration with office of Academic Standards and Quality Assurance;
- 2.2.16. undertakes periodic evaluation and assessment of infrastructure, human power and facilities for postgraduate programs across schools in collaboration with School Deans' offices;
- 2.2.17. evaluate and monitor proper utilization and settlement of funds allocated for thesis/dissertation research;
- 2.2.18. performs such other duties as may be assigned by Director General for Academic Affairs, the Academic Vice President for Academic and the Senate;

**2.3. Duties and Responsibilities of Associate Dean for Postgraduate Studies**

- 2.3.1. supervises all activities of the PG programs across the schools;
- 2.3.2. coordinates announcement, entrance examinations and screening of candidates for graduate studies across schools in collaboration with registrar;
- 2.3.3. follows up and monitors proposal and thesis/dissertation defense at program and school levels;
- 2.3.4. identify all academic problems related to graduate studies and makes follow up for corrective measures at university level;
- 2.3.5. develops guidelines governing graduate program in collaboration with schools as required;
- 2.3.6. organizes quarterly report and submits to OPGS Dean on issues pertaining to postgraduate programs;
- 2.3.7. undertakes periodic evaluation and assessment of graduate programs across schools in collaboration with office of Academic Standards and Quality Assurance;
- 2.3.8. organizes the enrolment data of graduate lists and the academic staff profile conducting postgraduate programs;
- 2.3.9. check the standard of curricula of graduate programs against minimum requirement and recommends to senate standing committee for endorsement;
- 2.3.10. supervise uniform implementation of this guideline and ASTU Senate Legislation pertinent to graduate program;
- 2.3.11. develops and updates course catalogue of postgraduate programs;
- 2.3.12. undertakes periodic evaluation and assessment of infrastructure, human power, and facilities for postgraduate programs across schools in collaboration with School Deans' offices;

- 2.3.13. evaluate and monitor proper utilization and settlement of funds allocated for thesis/dissertation research;
- 2.3.14. keeps proper record of documents related to thesis/dissertation;
- 2.3.15. Performs such other duties as may be assigned by Dean for Graduate Studies and other relevant officials.

#### **2.4. Duties and Responsibilities of School Dean**

- 2.4.1. manages and supervises all activities of the graduate programs in the school;
- 2.4.2. enters into contractual agreement with supervisor, examiners, and invited guests;
- 2.4.3. approves and reviews thesis/dissertation grades and status of graduate students;
- 2.4.4. facilitates periodic reports on the graduate program and submits to the OPGS;
- 2.4.5. approves thesis/dissertation research proposals for each graduate students as recommended by responsible department;
- 2.4.6. appoints members of examining board for thesis/dissertation and other qualifying examinations based on the recommendation of responsible department;
- 2.4.7. identifies and seeks solution for problems that concern postgraduate programs at school level;
- 2.4.8. periodically assesses and evaluates existing postgraduate programs in the school and suggest for further revision;
- 2.4.9. ensures proper implementation of the decisions of the OPGS and other rules governing the assignment/appointment of advisors/examination board members;
- 2.4.10. facilitates the release and settlement of fund allocated for thesis/dissertation research in collaboration with school ADRTT;
- 2.4.11. undertakes periodic evaluation and assessment of infrastructure, human power and facilities at School level in collaboration with office of postgraduate studies;
- 2.4.12. Evaluates and monitors proper utilization and settlement of funds allocated for thesis/dissertation research.

#### **2.5. Duties and Responsibilities of School Associate Dean for RTT**

- 2.5.1. approves the fund of thesis/dissertation research proposals of each graduate students in collaboration with SGC;
- 2.5.2. monitors proper utilization of funds allocated for thesis/dissertation research;
- 2.5.3. evaluates and approves progress report of a Ph.D. dissertation and facilitates the release of the next phase research fund;

- 2.5.4. approves the release and settlement of fund allocated for thesis/dissertation research in collaboration with school Dean;
- 2.5.5. Keeps proper record of documents related to thesis/dissertation.

## **2.6. Duties and Responsibilities of School Associate Dean for Academic Affairs**

- 2.6.1. facilitates the initiation and approval of new graduate studies curricula in collaboration with departments;
- 2.6.2. follow-up the periodic review and improvement of graduate curricula and recommend changes to the SMC;
- 2.6.3. ensures the proper maintenance of PG student records in the School in accordance with guidelines to be set by the Office of the Registrar;
- 2.6.4. directs and coordinates the activities of teaching PG programs;
- 2.6.5. co-ordinates the formulation of criteria for admission of P G students to the school and programs;
- 2.6.6. promotes and coordinates inter School course delivery;
- 2.6.7. oversees the proper conduct of course examination, comprehensive qualifying exam, progress report, pre-defense and final thesis/dissertation defense and undertake all activities related to examination and evaluation of graduate students of respective School;
- 2.6.8. prepares and submit quarterly reports pertinent to postgraduate study to School Dean and/or DGC;
- 2.6.9. oversee the preparation of entrance examinations, and screening of candidates for postgraduate programs in the school;
- 2.6.10. facilitates supply of common resources (class room, transportation, etc.) for postgraduate programs across the programs in the school;
- 2.6.11. organizes and schedules proposal and thesis/dissertation defense, seminars and other related activities at school level;
- 2.6.12. identifies any academic, infrastructure, human power, and facility problems related to postgraduate programs and takes corrective measures in consultation with PGS;
- 2.6.13. undertakes periodic evaluation and assessment of quality of postgraduate programs of the school in collaboration with school level academic standards and quality assurance coordinator;
- 2.6.14. supervises the proper implementation of rules governing the assignment/appointment of advisor/examination board members at school level in collaboration with DGC;



## **2.7. Duties and Responsibilities of Department Head**

The department head is accountable to School Dean and shall have the following duties and responsibilities in relation to graduate studies:

- 2.7.1. manages and supervises all activities of the graduate programs in the department;
- 2.7.2. approves and reviews grades and status of graduate students;
- 2.7.3. prepares and submit quarterly reports on the postgraduate program activities to school Associate Dean for Academic affairs;
- 2.7.4. approves research advisor/supervisor for each graduate students as recommended by DGC;
- 2.7.5. recommends members of examining board for thesis/dissertation and other qualifying examinations in collaboration with DGC;
- 2.7.6. identifies and seeks solution for academic, infrastructure, human power, and facility problems that concern postgraduate programs at department level;
- 2.7.7. approves postgraduate program course offerings and thesis/dissertation proposal review of postgraduate students;
- 2.7.8. periodically assesses and evaluates existing postgraduate programs in the department;
- 2.7.9. implements the decisions of the OPGS through school Dean ;
- 2.7.10. ensures proper implementation of the rules governing the assignment/appointment of advisors/examination board members;
- 2.7.11. Accomplishes all other duties assigned by the school dean in relation to postgraduate programs.

## **2.8. Duties and Responsibilities of Department Postgraduate Coordinator**

Department Postgraduate Coordinator (DPC) shall be nominated by the department head and appointed by the Dean. The DPC shall have an academic rank of at least assistant professor. In the case of shortage of assistant professor, the school dean can appoint an MSc holder as coordinator based on the recommendation of DGC. The DPC shall have the following duties and responsibilities:

- 2.8.1. ensures that the regulations and requirements of the University Senate Legislation related to PGS are met;
- 2.8.2. coordinates postgraduate student recruitment activities and facilitate admission of applicants to postgraduate programs;
- 2.8.3. facilitates the selection of advisors/ supervisors, doctoral committee, and examiners;

- 2.8.4. communicates advisors/ supervisors, doctoral committee, and examiners selected by the DGC;
- 2.8.5. provides advice to postgraduate students on the rules and procedures of the GS programs;
- 2.8.6. handles any process related to invited guests in collaboration with department head;
- 2.8.7. follows up the achievement of academic standard and quality in collaboration with school ASQA coordinator and school associate dean for academic affairs;
- 2.8.8. follows up the academic progress of postgraduate students and provides guidance concerning any changes to student's academic status;
- 2.8.9. resolves conflicts that may arise between postgraduate students and advisor/supervisors;
- 2.8.10. communicates graduate students issues through department head to concerned offices;
- 2.8.11. organizes and monitors postgraduate program events such as comprehensive qualifying exam, thesis defense, graduate seminar, progress report, proposal defense, research showcase events in respective department;
- 2.8.12. produces record and report updated graduate students' data;
- 2.8.13. Facilitates the assignment of course instructors for postgraduate students and monitors its offerings.

## **2.9. Committees in Charge of PGS**

### **2.9.1. *School Graduate Committee***

As per ASTU Senate Legislation, School Graduate Committee is chaired by school Dean and shall have the following duties and responsibilities:

- 2.9.1.1. recommends to the SMC the opening of new programs and revision of existing programs;
- 2.9.1.2. reviews, examines and recommends various postgraduate programs including joint postgraduate programs of the School;
- 2.9.1.3. ensures postgraduate learning and research quality, standards and relevance in cooperation with the office of ASQA;
- 2.9.1.4. implement policies, rules and regulation regarding graduate programs set by ASC;
- 2.9.1.5. supports academic programs in provision and strengthening graduate teaching/learning and researching facilities;

- 2.9.1.6. approves graduate applicants for admission to different programs within the School based on the recommendation of DGC;
- 2.9.1.7. reviews grades and determine academic status of postgraduate students of the School every semester;
- 2.9.1.8. recommends the graduation of postgraduate students to the relevant body of the School;
- 2.9.1.9. reviews and approves the budget proposals and allocate approved budgets for various activities in the graduate programs of the School;
- 2.9.1.10. proposes guidelines on conditions of engagement and remuneration in the graduate programs in the School to the Academic Standing Committee;
- 2.9.1.11. implements guidelines and procedures on the functions and activities of the DGC of respective departments running graduate program and
- 2.9.1.12. performs such other functions relevant to the betterment of the teaching learning processes in the graduate program and promotion of research works in close relation with the related CoEs.

**2.9.2. *Department Graduate Committee***

As per ASTU Senate Legislation, department head/department postgraduate coordinator chairs Department Graduate Committee. In case the department head is not an assistant professor, he shall serve as a secretary of the DGC. The Committee shall have the following duties and responsibilities:

- 2.9.2.1. develops postgraduate programs in the department;
- 2.9.2.2. revises the postgraduate program/curriculum every three years for masters and every five years for Ph.D. whenever the need arises;
- 2.9.2.3. screens applicants on the basis of criteria set in the guideline of PGS and other relevant rules and regulations;
- 2.9.2.4. assigns instructors to the courses and approve the appointment of part-time instructors;
- 2.9.2.5. approves research topic and proposals of graduate students;
- 2.9.2.6. recommends thesis advisors/dissertation supervisors with minimum academic rank of (assistant professor for masters and associate professors Ph.D. programs respectively) for each graduate student;
- 2.9.2.7. recommends members of Examining Board for thesis, dissertation and other qualifying examinations for approval by the school Dean/OPGS;
- 2.9.2.8. undertakes periodic evaluation and assessment of the existing graduate programs, and supervises the implementation of the decision of the school;

- 2.9.2.9. recommends the attachment of graduate students' research projects with related CoE of ASTU;
- 2.9.2.10. examines and decides on graduate students' academic appeals: readmission, make up examination, comprehensive examination, withdrawal, and study duration extension;
- 2.9.2.11. establishes potential doctoral committee most closely specialized in the research area of the Ph.D. student in consultation with the supervisor and
- 2.9.2.12. Ensures proper implementation of rules and regulations of postgraduate programs.

### 2.9.3. *Doctoral Committee*

There shall be a doctoral committee for each Ph.D. students. This committee is composed of five members with minimum of Ph.D. degree holders having specialization closely related with the research area of the Ph.D. scholar. It includes supervisors (main and co-supervisor), two members of the department and one member from other relevant department of the institution officially assigned by school dean based on the recommendation of DGC. The doctoral committee is chaired by one member other than supervisors assigned by DGC and shall have the following roles and responsibilities:

- 2.9.3.1. reviews and consent to the student's study plan;
- 2.9.3.2. evaluate and grade the progress reports (both written and oral) of a Ph.D. student/candidate every semester using the proper format of the university (Appen. 29);
- 2.9.3.3. provides recommendations for the improvement of student's research as well as any concerns identified;
- 2.9.3.4. reviews and accepts dissertation prospectus;
- 2.9.3.5. evaluates pre-final oral examination (pre-defense of the dissertation) and recommends the dissertation for final defense;
- 2.9.3.6. recommends internal and external examiners for Ph.D. dissertation final defense;
- 2.9.3.7. commences its job as early as possible (end of first semester) and gives general guidance for the Ph.D. student/ candidate through his entire study period;

### 2.9.4. *Thesis Advisor/ Ph.D. Dissertation Supervisor (s)*

#### *a) Selection of Advisors/Supervisor*

- 2.9.4.1. As much as possible, the selection of thesis advisor/dissertation supervisor shall be done based on the interest of the advisee and professional relevance.
- 2.9.4.2. A thesis advisor shall be a full-time academic staff with a minimum academic rank of assistant professor or equivalent rank (senior researcher from recognized research institute).

- 2.9.4.3. A person(s) outside of the University in the required area of specialization could serve as a thesis advisor if he holds a Ph.D. degree and he is able to submit letter of consent. In such cases, it will be mandatory to have a co-advisor(s) from the University.
- 2.9.4.4. The optimum number of advisees that an advisor/supervisor can advise shall be determined by the DGC taking into consideration the workload of the advisor/supervisor, the number of students in the academic unit, and other prevailing conditions. However, the maximum number of advisees in a year shall not exceed three for masters and two for Ph.D. per advisor/supervisor.
- 2.9.4.5. In addition to the major advisor, there shall be a co-advisor to support the advisee. The co-advisor must have a minimum of master degree and produced at least two publications on reputable journals in the envisaged research area.
- 2.9.4.6. The dissertation supervisor(s) shall have a minimum academic rank of associate professor.
- 2.9.4.7. In addition to the major supervisor, it is recommended to have co-supervisors to enable the students to use experts of different area. The co-supervisor must have a minimum of Ph.D. degree and has good experience in the envisaged research area.
- 2.9.4.8. A person(s) outside of the University in the required area of specialization could serve as dissertation supervisor if he holds a Ph.D. degree with the level of associate professor and is able to submit letter of consent. In such cases, it will be mandatory to have a co-supervisor (s) from the University.
- 2.9.4.9. In the case of homegrown Ph.D. and Ph.D. by research programs, the student shall have at least one supervisor from ASTU and one from host university.

***b) Duties and Responsibilities of Advisor/supervisor***

***A thesis advisor or a Ph.D. supervisor shall:***

- 2.9.4.10. assist the student in planning and regularly monitoring his research work and advises the student on how to critically evaluate the draft and final manuscripts of the thesis/dissertation for publication,;
- 2.9.4.11. oversee the research undertakings of graduate students/candidates in a manner generally set out through the practices and traditions of their disciplines and academic program, and discuss with students/candidates the general nature of their working relationship early in the developmental stages of their collaboration;
- 2.9.4.12. be available to students on a scheduled basis for consultation and discussion of thesis/dissertation progress and issues related to research;

- 2.9.4.13. provide timely comments and feedback on written material submitted by students/candidates;
- 2.9.4.14. approve the thesis/dissertation of advisees for the final oral defense;
- 2.9.4.15. make appropriate arrangements for students when they go on sabbatical leave or are on extended absence;
- 2.9.4.16. fully inform the student/candidate all obligations (s), as they may pertain to the student, which may affect the public defense and/or publication of a student's thesis/dissertation;
- 2.9.4.17. ensure that all the major modifications are incorporated as per the comments of the board of examiners when a thesis/dissertation is accepted with major modifications;
- 2.9.4.18. provides justifiable reasons and communicates to the department head and the student in writing if he wishes to withdraw from advising/supervising a student;
- 2.9.4.19. act in a manner which conforms to the basic principles of natural justice, academic integrity, and professionalism;
- 2.9.4.20. ensure the submission of progress report every semester for dissertation and twice per semester for thesis to their respective department and
- 2.9.4.21. ensure that there is a proper means of communication between the student and the co-advisor/co-supervisor during the course of the thesis work.

**2.9.5. *Duties and Responsibilities of Advisee***

An advisee shall have the following duties and responsibilities:

- 2.9.5.1 presents progress report at least every month to advisor and on semester basis to doctoral committee/Department;
- 2.9.5.2 submits progress report twice per semester for master students and every semester for Ph.D. candidate;
- 2.9.5.3 Complete his study within two years (for regular masters students) and within four years (for regular Ph.D. candidate). Extension of study period within time frame described by the Senate legislation can only be recommended by DGC after evaluating student's progress.
- 2.9.5.4 identifies research area/ research title, writes proposal, and communicates with advisor/supervisor on timely basis;
- 2.9.5.5 be aware of rules and regulations on proper citation, including copyright and intellectual property regulations to avoid plagiarism which result in a severe academic punishment;
- 2.9.5.6 gets approval of advisor/supervisor before submission of his thesis/dissertation for final examination;

- 2.9.5.7 writes thesis/dissertation and defends it publicly;
- 2.9.5.8 have a rational ground for wishing to change an advisor/supervisor or members of Examining Committees; in such case, the applicant is required to submit a written request outlining the reasons directly to the DGC chairperson. The chairperson presents the case to the DGC, which is responsible for the final decision, within two weeks;
- 2.9.5.9 have the duty to act in a manner which conforms to basic principles of natural justice, academic integrity and professionalism;
- 2.9.5.10 settles utilized research fund as per his approved research proposal and
- 2.9.5.11 abide by ASTU senate legislation and postgraduate studies guideline.

**2.9.6. *Disagreement and prevention of conflicts between Advisor/Supervisor and Advisee***

Both the Advisor/supervisor and the M.Sc. student/Ph.D. candidate shall strive to act professionally and ethically so that disagreements do not escalate and that conflicts do not arise between them. If the candidate or supervisor finds that there is unhealthy relationship that would negatively affect the works, they may involve a third party to mediate and find a possible solution. For this purpose,

- 2.9.6.1. A PhD candidate enrolled in ASTU can contact his immediate supervisor personally as per the schedule agreed up on by both parties.
- 2.9.6.2. If it is difficult for an advisee to contact his immediate supervisor due to possible disagreements/conflict that may occur between him and his supervisor, the advisee may instead involve a Department head or/and the School Dean or Postgraduate Dean to resolve the disagreements.
- 2.9.6.3. If an advisee or advisor/supervisor finds it difficult to continue with the guidance relationship, the parties can individually or jointly apply for a change of supervisor. Changes of the supervisory relationship can also be initiated by the responsible entities such as Department, School, or Office of Postgraduate Studies.

**ARTICLE 3: Postgraduate Studies Administration**

**3.1. Graduate Programs of ASTU**

The University establishes relevant programs of study and research with a view geared to the mission given to it by Council of Ministry under the establishment of ASTU and its vision to be a center of excellence in Science and Technology by 2030.

## **3.2. Initiation of a Postgraduate Programs**

### **3.2.1. General Provision**

Introduction of new programs shall pass through all the required procedures of need assessment, curriculum development, review workshop, program approval, and quality assurance.

### **3.2.2. Development of a New Curriculum**

Launching a new postgraduate program/curriculum shall pass through the following steps and the department, the school ADAA shall carefully document the decisions made at each step, and presented to OPGS together with the draft curriculum;

- 3.2.2.1. In order to launch a new program of postgraduate, the host department shall have at least one associate professor with relevant Ph.D. degree for doctoral program and one assistant professor with relevant field of specialization for the planned master's program;
- 3.2.2.2. The concerned department shall conduct need assessment in collaboration with OPGS and present the result of need assessment openly in the presence of SMC, OPGS, and ASQA;
- 3.2.2.3. Based on the recommendation of SMC, OPGS, and ASQA , the department shall proceed to develop the required new curriculum;
- 3.2.2.4. The curriculum shall be developed by a team of experts with relevant professional background appointed by the department head;
- 3.2.2.5. The developed draft curriculum shall be presented openly and evaluated at the department level for further enrichment in the presence DGC members and other department members;
- 3.2.2.6. Following the incorporation of the comments given at the department level, the draft curriculum shall be presented at school level by the team in the presence of SGC and school ASQA;
- 3.2.2.7. After incorporating the comments given at the preceding, school ADAA shall send the draft curriculum to two external reviewers for further review and organize the review workshop;
- 3.2.2.8. The external review workshop shall be conducted in the presence of reviewers, OPGS, DGC, SGC, university ASQA representative of stakeholders and professionals from various industries;



- 3.2.2.9. After incorporating the comments given at the external review workshop, the draft document will be indorsed by SMC and sent to OPGS further scrutiny;
- 3.2.2.10. The OPGS shall check the draft curriculum against the necessary requirements and endorses it for further review and endorsement by academic senate standing committee;
- 3.2.2.11. Once it has been endorsed by academic senate standing committee, the draft curriculum shall be sent to the University Senate for final approval;
- 3.2.2.12. After checking the incorporation of the senators comments (if any), the OPGS shall send the approved curriculum to the university registrar, university ASQA, the host school, and the department through VPAA for implementation;
- 3.2.2.13. As per ASTU Senate legislation, the quality of the curriculum/program shall be audited by the University ASQA in accordance with the guidelines set by the Higher-Education Relevance and Quality Agency (HERQA);
- 3.2.2.14. If need be, a curriculum revision shall be conducted every three years for master program and every five years for Ph.D. program in consultation with ASQA.

### **3.3. General Admission Provisions**

The admission requirements to all PGS shall be as per ASTU senate legislation and specific curriculum requirements. However, an applicant to PGS shall fulfill the following academic and non-academic requirements:

- 3.3.1. All applicants to ASTU postgraduate programs shall present the original copy of all the necessary academic credentials obtained from accredited higher learning institutions and apply for the program within the due date of application set by the registrar of the university;
- 3.3.2. An applicant can apply for more than one postgraduate programs, but shall be admitted to only one program;
- 3.3.3. Admission to postgraduate programs of ASTU shall be once in a semester;
- 3.3.4. All students applying to join ASTU postgraduate programs shall sit for written entrance examination prepared by respective departments;
- 3.3.5. Applicants who have qualified for admission to postgraduate programs in ASTU shall obtain the acceptance letter from OPGS before registration;
- 3.3.6. The maximum number of graduate students to be enrolled every semester to shall be determined by respective schools or department based on the number of potential advisors in the school and availability of the required facilities;

- 3.3.7. All students admitted to ASTU postgraduate programs, except those sponsored by MoSHE, shall enter into contractual agreement with ASTU;
- 3.3.8. Foreign applicants shall present authenticated academic credentials equivalent to accredited Ethiopian Higher learning institutions;
- 3.3.9. Foreign applicants whose high school and undergraduate medium of instruction is not English shall submit results of TOEFL/IELTS or equivalent language proficiency examination before sitting for entrance examination; such applicants shall score minimum passing mark for TOEFL(70 for IBT, 203 for CBT, 537 for PBT) and 5.0 for academic IELTS tests;
- 3.3.10. In case of male and female applicants score same total marks of evaluation, female applicants shall be favored as an affirmative action;
- 3.3.11. In case if large number of applicants fulfill the pass mark, the department shall determine the cutoff point that allows admission of maximum number of students;
- 3.3.12. Selection of applicants shall be made based on academic achievement and other applicable selection criteria;
- 3.3.13. Sponsored students become legible for registration only when he submits a letter of sponsorship signed by sponsoring organization to OPGS;
- 3.3.14. The sponsoring organization of the students should deposit the specified tuition fees and research fund into university's bank account or sign and send letter of sponsorship before registration;
- 3.3.15. An applicant to postgraduate programs of ASTU shall submit recommendation letters from two referees of his previous higher learning institutions;
- 3.3.16. Standard format for application in the appendices 1 and 2 shall be use.

#### **3.4. Admission to Master's Programs**

- 3.4.1. An applicant to Master's program shall possess BSc/BA degree in respective fields of study from a recognized higher education institution.
- 3.4.2. An applicant shall score a cumulative grade point average of at least 2.5 for female and 2.75 for male.
- 3.4.3. Senior undergraduate students of accredited universities or schools applying to join the graduate program immediately upon graduation may be allowed to sit for entrance examinations administered by departments provided that their CGPA at the end of the first semester of their final year is above 2.75 for male and 2.5 for female.

- 3.4.4. The selection of applicants shall be made based on the academic achievement and other related criteria indicated in Table 1. Selection criteria shall be weighted appropriately and shall be subjected to the approval of DGC.
- 3.4.5. Pass mark for acceptance to master’s program is 60% and above to all field of study.

Table 1: Selection Criteria of master applicants

No	Criteria	%
1	CGPA	35
2	Written entrance examination	60
5	Recommendations	5
6	Affirmative action (5 marks for Female and disabilities)	-
<b>Total</b>		<b>100%</b>

*Note: The CGPA of every applicant shall be multiplied by 8.75.*

- 3.4.6. Application, admission, and other requirements set for regular postgraduate programs are also applicable to all continuing education postgraduate programs.
- 3.4.7. Admission of fast track students shall be treated as per ASTU senate legislation.

### **3.5. Admission to Ph.D. Programs**

- 3.5.1. Any person with a Master’s degree from an accredited institution of higher learning or with equivalent international education may apply for admission to the Ph.D. program.
- 3.5.2. An applicant to Ph.D. program shall possess MSc/MA degree in respective field of study and rated at least “good” (B) in his/her MSc/MA thesis or project.
- 3.5.3. An applicant shall score a cumulative grade point average of at least 3.0 for female and 3.25 for male in his master’s degree.
- 3.5.4. A minimum of one Ph.D. applicant shall be admitted in any program.
- 3.5.5. The maximum number of Ph.D. student admitted to specific program shall be determined based on the availability of supervisors, space, resource and demand for training.
- 3.5.6. Maximum number of Ph.D. students assigned to an academic staff for supervisory service shall not exceed eight for all years.
- 3.5.7. The selection of applicants shall be made based on the academic achievement and other related criteria indicated in Table 2. Selection criteria shall be weighted appropriately and shall be subjected to the approval of DGC.
- 3.5.8. Pass mark for acceptance to Ph.D. program is 70% and above to all fields of studies.

Table 2: Selection Criteria of Ph.D. applicants

NO	Criteria	%
1	CGPA (MSc/MA)	30
2	Written entrance examination	50
3	Synopsis /concept note	15
4	Recommendations	5
5	Affirmative action (5 marks for Female and disabilities)	-
<b>Total</b>		<b>100%</b>

*Note: The CGPA of every applicant shall be multiplied by 7.5*

### **3.6. Procedures for Admission**

#### **3.6.1. Announcement**

3.6.1.1. Under normal circumstances, the concerned school sends the request for announcement for registration and admission twice a year through OPGS eight weeks ahead of stipulated registration time. After evaluating and organizing the request of the schools, the OPGS sends the same to the registrar office for central announcement and further action.

#### **3.6.2. Placement Procedures**

- 3.6.2.1. Departments report their intake capacity to OPGS based on directions stipulated in the university's annual academic calendar. Moreover, the announcement shall be made through OPGS and Office of Main Registrar.
- 3.6.2.2. After organizing the intake capacity of all departments/schools, OPGS sends the same to MoSHE and other universities.
- 3.6.2.3. Lists of applicants sponsored by MoSHE (if any) and/or other government/private institutions shall be sent to Registrar office through the office of Vice President for Academic Affairs (VPAA) for implementation by relevant postgraduate programs of ASTU while private applicants can apply in person to Registrar office of ASTU.
- 3.6.2.4. VPAA forwards the placement of students to OPGS for prompt action.
- 3.6.2.5. The OPGS forwards the list of assigned graduate students to all concerned departments/schools for their information/further action.
- 3.6.2.6. The schools send the selected candidates to the OPGS for endorsement;
- 3.6.2.7. The OPGS sends the same to Main Registrar and gives letter of acceptance to legible candidates.

- 3.6.2.8. Candidates who are legible for admission should get transferred their official transcript to Main Registrar from the universities where they did their first or second degrees before their actual registration.
- 3.6.2.9. The sponsoring organization of the students should deposit the specified tuition fees and research fund into university's account or sign and send letter of sponsorship before registration.
- 3.6.2.10. Sponsored students will be eligible for registration only when the research fund is deposited/letter of sponsorship submitted by the sponsor of a student to OPGS.
- 3.6.2.11. Free scholarship for family of academic staff shall be granted as per ASTU senate legislation after an applicant has gone through formal admission procedures.
- 3.6.2.12. Any application for free scholarship shall be presented to office of VPAA and then will be decided to award or decline by Administrative Council (AC). No office can award scholarship and grant admission without the knowledge of VPAA.
- 3.6.2.13. The school provides status report of postgraduate students to OPGS every semester.
- 3.6.2.14. Simultaneous enrolment in more than one program is not allowed to candidacies. No program can make the selection and admission of postgraduate students without the knowledge and permission of OPGS.

### **3.6.3. Registration**

- 3.6.3.1. Those candidates who have fulfilled the requirements for admission shall receive acceptance letter from the OPGS and they will be registered at their respective school registrar;

### **3.6.4. Provisional Admissions**

- 3.6.4.1. Students admitted to a program from a field of specialization other than the intended area of specialization will be required to take undergraduate courses which will be determined by respective program/school.
- 3.6.4.2. A student who got provisional admission has to complete the remedial courses before being formally accepted as a regular master's student.
- 3.6.4.3. The duration of the student's stay in the university as a provisionally admitted student shall be determined by the concerned program, but shall not exceed one academic year.
- 3.6.4.4. A provisionally admitted student who has satisfactorily completed the prescribed undergraduate courses shall be granted regular graduate student status.
- 3.6.4.5. Such a student must obtain a grade of at least B in the undergraduate courses taken as prescribed in stipulated in the senate legislation.

## **ARTICLE 4: Coursework and Thesis/Dissertation Research**

### **4.1. General Provision**

This part of the document is entirely devoted to issues related to coursework and thesis/dissertation research starting from proposal writing to final thesis/ dissertation. The administration of coursework and thesis/dissertation requirements to all postgraduate students shall be regulated as per ASTU Senate Legislation and specific curriculum requirements. Master's thesis research weighs six credit hours. Under normal condition, a master student shall register for master thesis research at most for two consecutive semesters. A Ph.D. dissertation research shall weigh twelve credit hours and a Ph.D. candidate can register for dissertation research at most for six consecutive semesters. In general, a candidate to PGS shall have the following coursework and thesis/dissertation research:

### **4.2. Coursework for MSc/Ph.D. Programs**

- 4.2.1. Organized academic training shall consist of courses with minimum of 30 credit hours for masters and 24 credit hours for Ph.D. program.
- 4.2.2. The minimum passing grade in the courses taken as part of the Masters/ Ph.D. degree academic training shall be handled as per ASTU's Senate Legislation. For courses assessed as either "pass" or "fail", the student shall obtain a "pass" grade.
- 4.2.3. A doctoral student who scores below the passing grade in any course can re-take the exam once before taking qualifying exam. A student who fails to score passing mark in the re-exam shall be dismissed from the program.
- 4.2.4. Applications for changes of the approved study plan shall be prepared in agreement with the main supervisor, and submitted to the DGC/SGC for approval.
- 4.2.5. If ASTU, or the unit administering the program, is not able to deliver the courses by itself, it should facilitate for the student to take equivalent courses at other relevant institutions, which provide approved master/doctoral degree program.

### **4.3. Ph.D. Comprehensive Qualifying Examination**

The purpose of the comprehensive qualifying exam is to measure in depth understanding of the students in their core subject areas and their readiness to undertake their Ph.D. dissertation. The exam shall be in written format and covers areas relevant to the student's specialization or research topic.

- 4.3.1 Students' **Ph.D. candidacy** shall be ensured by comprehensive exam at the end of the course work.

- 4.3.2 Every Ph.D. student, students of except Ph.D. by research program, shall sit for the comprehensive qualifying exam within two months after completing the course work.
- 4.3.3 Students enrolled in the Ph.D. by research program shall take comprehensive qualifying exam within eighteen months in their respective area of specialization in collaboration with their supervisor.
- 4.3.4 The minimum passing mark for comprehensive qualifying examination shall be 70%.
- 4.3.5 A Ph.D. student who fails to score a pass mark in the comprehensive qualifying exam shall not be registered for dissertation.
- 4.3.6 If a Ph.D. student could not score a pass mark in the qualifying exam, he shall be given re-exam once within a month after the first exam. A student who fails to score passing mark in the qualifying re-exam shall be dismissed from the program.

#### **4.4. Thesis/ Dissertation Proposal Development, Review and Approval**

- 4.4.1. Postgraduate student in collaboration with his thesis advisor/dissertation supervisor should identify researchable topic.
- 4.4.2. Advisors/supervisors are expected to critically assess thesis/dissertation proposal before the student submit it to DGC for critical reviewing by the reviewers. The assessment includes every section of the proposal such as the title, relevance of the problem it is addressing, objectives set to address the problem, relevant literature review, materials and methods or approaches proposed to meet the objectives, appropriateness of data analysis method to be used, work plan, the project cost, budget source and references.
- 4.4.3. Graduate student should strictly follow research proposal writing guidelines set by OPGS.
- 4.4.4. The submitted thesis/dissertation proposal needs to be reviewed by two professionals from the respective department/out of the department with the view to improve the proposal.
- 4.4.5. The department postgraduate coordinator sets a schedule for proposal defense and facilitates the required resources to be used by the students for the presentation session.
- 4.4.6. The advisor(s) and reviewers of the proposal shall attend the presentation. The reviewers could submit their comments to department postgraduate coordinator or come with their comments to the presentation.
- 4.4.7. The student shall present his thesis/dissertation proposal briefly for **25-30 minutes**. After the presentation, questions, comments suggestions, and reflections will be entertained for about 30 and 45 minutes for MSc and Ph.D. presentations respectively.  
The reviewers are expected to submit their review reports in written.

- 4.4.8. The Masters student/Ph.D. candidate in collaboration with his advisor(s)/supervisor(s) shall include all agreed corrections and suggestions during the presentation at the DGC level. The corrected version of the proposal shall be signed by the student and his advisor/supervisor and submitted in six copies to DGC chairperson within two weeks of the defense date for Masters student and within one month for Ph.D. student.
- 4.4.9. The advisor shall take responsibility to cross check incorporation of major comments suggested by reviewers before signing and submitting the final version of the proposal to Department.
- 4.4.10. The chairperson, in collaboration with the DGC secretary, shall thoroughly checks for the inclusion of the agreed corrections and suggestions. The DGC chairperson shall sign on all copies of the corrected and accepted proposal and send to the respective school in writing with approved minutes attached.
- 4.4.11. The school dean shall signs on the completed proposals, and sends to the OPGS for the final approval. The standard format in appendix 30 shall be used for this purpose;
- 4.4.12. The OPGS shall assess the proposal against the guideline, budget proposed, and the correctness of the procedures used.
- 4.4.13. School Associate dean for research has to check the budget of the proposal in and put his signature for approval.
- 4.4.14. After the proposal is approved by OPGS, a letter shall be issued to VPRTT by OPGS so that the budget shall be released for the students.
- 4.4.15. Approved proposal should be sent to OPGS, Department, Associate dean for research, student, finance, VPRTT (require 6 copies in general).
- 4.4.16. Once a thesis/dissertation proposal is approved and the budget is secured, the student cannot normally change the place of work, work plan, methodology or objective of the study. However, in the event of compelling circumstances, the adviser of the student shall submit a formal request (written application supported with necessary documents) for any of such alteration to the respective department. The department head shall forward the case to DGC for professional evaluation and approval. The final decision on the matter shall be made by SGC and OPGS.

#### **4.5. Dissertation Progress Report**

- 4.5.1. Ph.D. candidates doing dissertation work shall report his progress to his supervisor every week and presents written report every semester to the department chair using the format given in the Appendix 28.



- 4.5.2. If the progress report is unsatisfactory, the School dean/ ADAA, in consultation with the DGC and the major supervisor, shall take the necessary actions including oral warning or written warning to the candidate.
- 4.5.3. If at any time the candidate is dissatisfied with the supervision provided or the resources available or with any other matter affecting his progress, the candidate can report the matter to the DGC. If the candidate is still dissatisfied, he may take the matter to OPGS.
- 4.5.4. The progress report of a Ph.D. candidate shall be submitted using a format designed for this purpose (Appendix 23) and endorsed by student's doctoral committee.
- 4.5.5. The department graduate coordinator shall arrange periodical monitoring and evaluations of the progress of Ph.D. candidates' dissertation based on the recommendations of student's doctoral committee to check that the research activities are properly handled as per dissertation proposal.
- 4.5.6. The review results of the Ph.D. candidates' dissertation progress report shall be communicated to the student by the doctoral committee chairperson within one week of the evaluation.
- 4.5.7. A Ph.D. candidate shall incorporate the feedback of the doctoral committee into his dissertation get it signed and resubmit to OPGS after his Department endorses it.

#### **4.6. Publications**

- 4.6.1. A Ph.D. candidate shall publish at least two articles from the results of his dissertation work in peer reviewed accredited national or international journals. Out of the two articles, at least one article shall be published in peer reviewed international journals indexed in Web of Science, Scopus, PubMed.
- 4.6.2. However, a Ph.D. candidate enrolled in the Ph.D. by research program shall publish three articles from the result of his dissertation work in peer reviewed accredited national or international journals. Out of the three articles, at least two articles shall be published in peer reviewed international journals indexed in: Web of Science, Scopus, PubMed.

#### **4.7. Procedures for Master's Thesis Submission and Examination**

Thesis submission shall be handled as per ASTU's Senate Legislation.

#### **Master's Thesis Evaluation**

The Master's thesis evaluation process includes three components: the examination of the Master's thesis, the oral presentation, and the questioning of the Master's candidate. Examiners

evaluate a thesis by completing the form prepared for this purpose (Appendix 23). Reports for Master's examinations are to be submitted to the Department immediately after the defense. In line with these, this guideline addresses requirements and procedures for Master's thesis examination, decision, submission after defense and graduation.

**a) Selection and appointment of external examiner**

4.7.1. The DGC shall recommend external examiners with relevant professional background.

4.7.2. Appointment of board of examiners shall be made by the Dean of the respective School based on the he recommendation of the DGC.

4.7.3. The department seeking the appointment for an external examiner shall submit, to the SGC, biographical data of the examiner including academic achievements and experience.

4.7.4. While identifying and assigning an external examiner, the SGC shall ascertain the following:

- a. The external examiner shall be one with command of authority in the program of study and hold a Ph.D. degree with academic rank of at least Assistant Professor (or equivalent).
- b. Former staff of the Department concerned cannot be invited to be external examiners before a lapse of at least two years,
- c. The same external examiner may not be appointed for more than three consecutive years. An external examiner may be re-invited only after a lapse of two years.
- d. External examiners outside the higher education/research system, for example from industry and research institutions may be appropriate in certain circumstances as may be determined by SGC

**b) Requirements and procedures for Master's thesis examination**

4.7.5. Thesis evaluation shall be conducted as per ASTU Senate Legislation. Unless otherwise agreed to, the defense shall be scheduled within two to three weeks from the student's initial submission of the thesis.

4.7.6. The DGC shall appoint board of examiners as per ASTU Senate Legislation. The examining committee shall consist of a minimum of three members (external examiner, internal examiners and chairperson).The DGC shall assign the chair of the committee.

4.7.7. The student's advisor shall be a non-grading member of the examining committee. The thesis defense shall be made open to all interested.

4.7.8. The chairperson shall open the defense session by introducing the members of the BoE and invites the advisor to introduce the candidate and his graduate work.

- 4.7.9. The chairperson introduces and invites the candidate to present his thesis.
- 4.7.10. The candidate shall presents the main results of his thesis in 20-30 minutes.
- 4.7.11. The candidate shall neatly and formally dress-up during the thesis defense. For this purpose the DGC has to give orientation to students before defense.
- 4.7.12. The members of the BoE examine the candidate for about 30-45 minutes on the subject of his thesis by raising questions and providing improvement suggestions.
- 4.7.13. Up to 10 minutes are given to the audience to give comments and ask questions.
- 4.7.14. The chairperson adjourns the examination session when the examining committee decides that further questioning is unnecessary. The deliberations of the examining committee shall be held in a closed session and the advisor(s) shall not take part in the rendering of final decision on the thesis and its grading.
- 4.7.15. Based on the result of the open defense examination and assessment of the thesis by each member of the board of examiners, pass mark (satisfactory and above) or fail (rejected) shall be given for both the thesis write up and defense using standard formats provided in appendices 23-25.
- 4.7.16. The chairperson announces the decision of the board of examiners to the candidate and the audience.
- 4.7.17. It is the responsibility of the chairperson of the examining committee to ensure that the grade report and other approval forms are fully completed and signed before the examining committee adjourns.

**c) Decision**

The decision of the board of examiners shall have one of the following forms:

- 4.7.18. **Accepted as submitted:** This may include corrections that do not require the supervisor's approval.
- 4.7.19. **Accepted with minor modifications:** this involves corrections which can be made immediately and to the satisfaction of the advisor and internal examiner.
- 4.7.20. **Accepted with major modifications:** The committee's report shall include a precise description of the modifications to be made along with a date (maximum of six months) for the modifications to be completed. It is then the responsibility of the student's advisor to confirm in writing to the BoEs and the Department that the required modifications have been made and approved. It is not necessary for the BoE to reconvene.
- 4.7.21. **Rejected:** Such a thesis shall be re-submitted only once, in revised form or with some additional work. Such re-submission can only be made six months or more from the date of

the original defense. Formal re-submission of a thesis follows the same procedure as an initial submission. The candidate shall then defend his/her thesis. The DGC shall assign members of the examining committee, which may include the same examiners who suggested the re-submission;

4.7.22. A candidate has the right to appeal in writings to his own or with consent of the advisor(s) to the OPGS, when the thesis is rejected by the BoE within one month after the defense examination. The OPGS will examine the candidates appeal vis-à-vis the BoE's decision by establishing a committee of subject specialists, minimum of three and pass a final verdict which will be communicated to the candidate and the BoE within three months of appeal by the student. When one of the examiners raises issue of plagiarized material, decisions must be passed based on relevant regulations stipulated in the ASTU Senate Legislation;

**d) Rating Points**

4.7.23. The points given by the external examiner, internal examiner and chairperson shall be multiplied by 0.5, 0.35 and 0.15, respectively, and added up (Appendix 23 and 24). The overall rating will be as follows (Table 3):

Table 3: Thesis Rating Points

No.	Rank	Mark (%)
1	Excellent	$\geq 85$
2	Very good	$75 \leq X \leq 84$
3	Good	$65 \leq X \leq 74$
4	Satisfactory	$50 \leq X \leq 64$
5	Fail	$< 50$

**e) Evaluation format**

4.7.24. The format shall be signed only by board of examiners who participate in the final thesis defense examination. By signing the form, members indicate approval or disapproval of the content of the thesis and the student's ability to defend it. In case of major modifications or failure, members should outline clearly their recommendation as to what the candidate is expected. Submit the completed forms to the chairperson immediately after the final thesis defense examination is concluded (see appendices 22 and 24);

**f) Final submission-after thesis defense**

4.7.25. Students must submit the final version of their theses, in hard copy as well as electronically in a PDF format within two weeks after successful defense. The final version

of the thesis must include any required modifications recommended by the examining committee. DGC of the Program is responsible for ensuring that all required forms, duly completed and signed, are forwarded to the Program as per ASTU senate legislation. On the basis of the board of examiners report, the DGC will forward the candidate's grade to the respective school. The dean examines this request in light of the report from the DGC and forwards it to the registrar.

#### 4.8. Procedures for Ph.D. Dissertation Submission, Evaluation and Examination

The Doctoral dissertation examination process involves three components: the examination of the dissertation, the oral presentation and the questioning of the Ph.D. candidate by BoEs. The BoEs evaluate a dissertation by completing the evaluation form. Examiners report and ranking forms must be submitted to the Department before the doctoral dissertation defense. In line with these, this guideline addresses requirements and procedures for doctoral dissertation examination, decision, submission after defense and graduation. Based on the nature of his study a Ph.D. students are requested to submit ethical clearance.

##### 4.8.1. Dissertation Submission

- 4.8.1.1. The PhD candidate shall be allowed to submit the Dissertation only after fulfilling all requirements described in this guideline and other applicable regulations.
- 4.8.1.2. The Dissertation complied following ASTU's standard format shall be presented to DGC after the approval of the candidate's supervisor(s).
- 4.8.1.3. The Dissertation after endorsement by DGC shall be forwarded in six hard copies and in softcopies to the department.

##### **a) Selection and appointment of external examiner**

- 4.8.1.4. In consultation with supervisors, DGC shall recommend the appointment of particular persons as external examiners.
- 4.8.1.5. Appointment shall be made by the Dean of the School after the recommendation of the DGC is approved by the SGC.
- 4.8.1.6. The Program seeking the appointment for an external examiner should submit, to the SGC, biographical data indicating academic achievements, recent publications and experience of the examiner.
- 4.8.1.7. In approving an external examiner, the SGC shall ascertain the following:

- a. The external examiner shall be one with command of authority in the program of study and hold a Ph.D. degree with academic rank of at least Associate Professor (or equivalent).
- b. Former staff of the Department concerned cannot be invited to be external examiners before a lapse of at least two years.
- c. The same external examiner may not be appointed for more than three consecutive years. An external examiner may be re-invited only after a lapse of two years.
- d. External examiners outside the higher education/research system, for example from industry or the professions may be appropriate in certain circumstances as may be determined by GSC.

**b) Procedures and Requirements for Doctoral Dissertation Examination**

- 4.8.1.8. Dissertation evaluation shall be conducted as per ASTU Senate Legislation. Unless otherwise agreed to, the defense is generally scheduled within three up to five months from the candidate's initial submission of the dissertation.
- 4.8.1.9. The dissertation examination is the final of the candidate's program. It exposes their research and their dissertation to academic criticism and gives the candidate the opportunity to defend it.
- 4.8.1.10. Upon initial submission of a dissertation to the department, the DGC, in consultation with the candidate's supervisor(s), appoints potential members of Board of Examiners (BoE). The DGC chairperson forwards the final version of the dissertation to the recommended members of BoE including the name and address of the chairperson, internal and external examiners and the preferred date and time for the oral examination to the Program as per ASTU senate legislation.
- 4.8.1.11. The BoE consists of at least three and at most five members, of whom one must be from the candidate's Program or program within the university (internal examiner) and two from outside the university preferably one from abroad (external examiners). The proposed BoE would be approved by the school dean in consultation with OPGS;
- 4.8.1.12. The dean of School shall communicate with the identified members of the examiners for their confirmation of willingness to evaluate the Dissertation within two weeks from the date of communication.

- 4.8.1.13. The dean of school shall send the copies of the dissertation to each of the identified members of BoEs with the note that the evaluation reports are to be received within two months' time.
- 4.8.1.14. The BoEs shall send their evaluation reports using the prescribed form within two months from the date of receipt of the Dissertation (See appendices 22-25).
- 4.8.1.15. The BoEs shall include in their report an overall assessment, placing the Dissertation in one of the following categories:
- a) Accepted
  - b) Revision with minor modification
  - c) Revision with major modification
  - d) Rejected
- 4.8.1.16. The examiners shall enclose a report based on the prescribed format, indicating the major reasons of the decision made under (4.8.1.15).
- 4.8.1.17. The following criteria shall be adapted for decision by DGC based on the recommendations of the examiners as prerequisite for defense.

*Table 4: Recommendation of Dissertation evaluators*

Recommendation of examiners			Possible decision by DGC based on the recommendations of the examiners
Examiner 1	Examiner 2	Examiner 3	
Accept	Accept	Accept	Accept and proceed for viva-voce
Accept	Accept	Revise	Revise and send to the same examiner who recommended the revision
Accept	Revise	Revise	Revise and send to the same examiners who recommended the revision
Revise	Revise	Revise	Revise and send to the same examiners who recommended the revision
Accept	Accept	Reject	Revise and send to the fourth (to be identified) examiner of same category who rejected
Accept	Revise	Reject	Revise and send to the fourth examiner of same category and also send to the same examiner who recommended the revision
Accept	Reject	Reject	Reject
Revise	Revise	Reject	Revise and send to fourth examiner of same category who rejected and also send to same examiners who recommended revision
Revise	Reject	Reject	Reject
Reject	Reject	Reject	Reject

4.8.1.18. Communication of the revised dissertation to the respective examiners indicated in the above table and follow-up is the responsibility of school/Postgraduate Office. However, subject matter related issues are to be handled by the DGC.

4.8.1.19. Only dissertation that got “accept” decision can proceed to the next evaluation(defense).

#### 4.8.2. Dissertation Defense

##### a) Defense ceremony

4.8.2.1 After the dissertation is accepted, the Program announces the upcoming defense via notice posted on the department and university’s notice board. Any member of the university can attend a doctoral defense.

4.8.2.2 The defense is designed to test the in-depth knowledge of the candidate on the subject matter of the Dissertation and competence in defending and explaining his works.

4.8.2.3 The chairperson of the DGC or his designate shall be the chairperson of the BoE. When the DGC chairperson is the supervisor of the defending candidate, the DGC shall assign the chairperson of the BoE. The candidate’s supervisor shall be a non –voting member of the BoE.

4.8.2.4 The chairperson opens the meeting by introducing the members of the BoE and invites the major supervisor to introduce the candidate.

4.8.2.5 The candidate first presents the dissertation orally with whatever aids are required to make an effective presentation from 40-60 minutes. The candidate is then questioned on the dissertation for a maximum of two hours. The chairperson shall give priority to questions from members of the BoE. About 15 minutes shall be given to the audience to give comments and ask questions. The chairperson adjourns the examination when the BoE decides that further questioning is unnecessary.

4.8.2.6 After the defense, the session shall be adjourned for deliberations by the doctoral examination board to decide on the overall performance of the scholar including grading.

4.8.2.7 Based on the result of the open defense examination and assessment of the dissertation by each member of the BoE, an evaluation result of pass/fail shall be given in both the dissertation defense and the performance certification forms, which are accordingly signed by the BoEs.

4.8.2.8 The chairperson announces the decision of the BoEs to the candidate and the audience.

4.8.2.9 The supervisor or members of the doctoral committee shall not take part in the rendering of final decision on the dissertation and its grading. These decisions shall not be made in the presence of the supervisor(s).



4.8.2.10 It is the responsibility of the chairperson to see that a report on the examination is prepared before the BoE adjourns. This report shall be written on a report format prepared for this purpose, and will carry the signatures of all members of the BoE. The written reports of absent readers, and of members of the BoE who dissent from its decision, must be accompanied;

b) Decision on the overall Doctoral Dissertation

The decision of the board of examiners could be:

4.8.2.11 **Accepted with editorial works:** this may include corrections that do not require the supervisor's approval.

4.8.2.12 **Accepted with minor modifications** defined as corrections which can be made immediately and to the satisfaction of the supervisor and internal examiner.

4.8.2.13 **Accepted with major modifications:** The BoEs report shall include a precise description of the modifications along with a date maximum of 6 months for their completion. It is then the responsibility of the candidate's supervisor to confirm in writing to the BoE and the department that the required modifications have been made and approved. It is not necessary for the BoE to reconvene.

4.8.2.14 **Rejected:** Such a dissertation may be re-submitted only once, in revised form or with some additional work. Such re-submission can only be made 6-12 months from the date of the original defense. Formal re-submission of a dissertation follows the same procedure as an initial submission. The candidate shall then defend his/her dissertation. The DGC shall assign the same members of the BoE if possible.

4.8.2.15 In case of appeal a candidate has right to appeal in writings on his own or with consent of the supervisor(s) to the OPGS, when the dissertation is deferred or rejected by the BoE within one month after the defense. The OPGS shall examine the candidates appeal vis-à-vis the BoE decision by establishing a committee of subject specialists composed of minimum of three members and pass a final verdict which will be communicated to the candidate and the BoE within three months of appeal by the candidate.

4.8.2.16 When one of the examiners raise issue of plagiarized material, decisions must be passed based on relevant regulations stipulated in the ASTU Senate Legislation.

4.8.2.17 When the above decision has been made, the next step is to rate the dissertation. A dissertation rendered one of the first three decisions (accepted as submitted, accepted with minor modifications, accepted with major modifications) shall be rated as excellent, very good, good, or satisfactory. A dissertation that has been rejected shall be rated fail. The points given by the external and internal examiners is multiplied by 0.65 and 0.35

respectively and added up (refer to dissertation evaluation format appendix 23). The rating is the same as master's program;

c) Rating Points

4.8.2.18 The points given by the external examiner and internal examiner shall be multiplied by 0.6 and 0.4, respectively, and added up using (Appendix 23 and 24). Students shall receive one of the following ranks/grades based on their score;

Table 5: Dissertation Rating Points

No.	Rank	Mark (%)
1	Excellent	$\geq 85$
2	Very good	$75 < X \leq 84$
3	Good	$65 < X \leq 74$
4	Satisfactory	$50 < X \leq 64$
5	Fail	$< 50$

d) Final Submission after Dissertation defense

4.8.2.19 A Ph.D. candidate must submit the final version of his dissertation, in hard copy as well as electronically in a PDF format within a month after defense. The final version of the dissertation must include any required modifications requested by the BoE and any formatting revisions requested by the Department with the recommendation of the internal examiner. The candidate is responsible for the final electronic submission of his/her dissertation and DGC of the department is responsible for ensuring that all required forms, duly completed and signed, are forwarded to the Program as per article ASTU senate legislation. The student must submit soft copy of the final version of the thesis/dissertation to main library no later than two weeks after the acceptance of the verified copies.

4.8.2.20 Based on the BoE report, the DGC shall forward the candidate's grade to the respective school. The dean approves this request in light of the report from the DGC and forwards it to the OPGS and finally to Registrar.

#### 4.9. Graduation

Based on the program's report and candidates' records, the school presents the list of candidates to SMC members to decide whether the candidate has fulfilled the requirements for the Ph.D. degree. If the decision is positive, the supporting documentation shall be presented to the Senate standing committee and Senate through main registrar office.

## **ARTICLE 5: Postgraduate Studies Research Fund Management**

### **5.1. General Provisions**

All rules and regulations issued by Ministry of Finance (MoF) of the Federal Democratic Republic of Ethiopia (FDRE) shall be adhered to in the utilization of financial and other resources related to postgraduate students' thesis/dissertation researches.

- 5.1.1 A postgraduate student can solicit fund for his thesis/dissertation from various sources (external funding agencies, self-sponsor), however ASTU shall be responsible for funding government sponsored postgraduate students.
- 5.1.2 The office of the VPRTT shall be responsible for financing the thesis/dissertation research projects initiated by government sponsored postgraduate students while Schools are responsible for ensuring proper utilization of research budget allocated as per the approved proposal.
- 5.1.3 All requests for postgraduate students' research funds release shall be channeled through OPGS in consultation with the office of the VPRTT.
- 5.1.4 Research budget of government sponsored postgraduate student's thesis/dissertation project shall be distributed across schools based on the number of graduate students registered for thesis/dissertation in the school.
- 5.1.5 School deans shall be responsible for the preparation of government sponsored postgraduate student's thesis/dissertation project budget in consultation with their respective departments.
- 5.1.6 The school dean shall request for the release of government sponsored postgraduate students research fund through OPGS after the approval of the student's thesis/dissertation project proposal at all levels.
- 5.1.7 Following the request from school deans, the dean of OPGS shall formally request the office of VPRTT for the release of government sponsored PGS students research fund to respective schools as per their request.
- 5.1.8 The respective school shall release the research fund to their students based on approved proposal and their progress report.
- 5.1.9 The ADRTT of the respective school shall monitor and ensure proper utilization of the government sponsored postgraduate students research fund.
- 5.1.10 Research fund of government sponsored Ph.D. students shall be effected in two installments. The first installment shall be released right after the approval of the dissertation proposal; whereas the next installment of the budget shall be released provided

that the Ph.D. student has settled the previous payment, and successfully present progress report to his doctoral committee.

- 5.1.11 The second installment of the dissertation budget of a Ph.D. candidate shall be released after the progress report has been approved by doctoral committee and following a formal written request of the candidate along with statement of expenditures to school ADRTT.
- 5.1.12 Postgraduate students shall strictly adhere to the cost breakdown indicated in the approved thesis/dissertation proposal. Deviation from the original cost breakdown is prohibited unless permitted by school dean through the office of ADRTT and in consultation with the candidate's department.
- 5.1.13 Details about the payments of research assistants, data analysts, laborers, and so on must be provided clearly in the thesis/dissertation proposal.
- 5.1.14 The budget allocated for the travel/fieldwork/allowance/per-diem of a thesis/dissertation research proposal shall be utilized for the proposed activities only if such budget shall not be used for attending conference, seminar, workshop, or any kind of training.
- 5.1.15 The budget allocated for thesis/dissertation projects of government sponsored postgraduate student shall not be used for foreign travel; however, an adviser having externally funded projects may support his Ph.D. student to utilize laboratory facilities in foreign institutions if the service is not available in the country. In such cases, invitation letter shall be secured from host institutions for free laboratory service. Living expense of the student shall be covered from the budget of the advisor's project for a maximum of three months. ASTU shall cover travel and insurance expenses in that case.
- 5.1.16 Self-sponsored postgraduate students shall deposit the payments related course work and thesis/dissertation to ASTU account as per the approved payment guideline of ASTU.
- 5.1.17 In the case of joint program, the MoU signed by the signatory parties shall govern the financial requirements for joint postgraduate program.

## **5.2. Budget Liquidation**

- 5.1.18 Liquidation of the utilized thesis/dissertation budget, other than the labor cost, shall be supported by acceptable cash invoices/original official receipts; the validity of such documents shall be approved by the signature of the student, the adviser/supervisor, and ADRTT.
- 5.1.19 A postgraduate student who fails to liquidate the advance payment of thesis/dissertation project budget within the proposed period is not eligible for second installments whereas,

those who failed to liquidate the payment of the second installment shall be obliged to refund the advance payment to ASTU account.

5.1.20 Disbursement of funds in excess of the approved thesis/dissertation budget is not allowed.

5.1.21 The payment for the acquisition of institutional services for specialized technical/laboratory works for which ASTU has no such infrastructure or services shall be effected by legally acceptable receipt.

## **ARTICLE 6: Effective Date of the Guidelines**

The guidelines for Postgraduate Studies shall enter into force as of March 2021.

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Lemi Guta Enyadene (Ph.D.)  
President,  
Adama Science and Technology University

# APPENDICES

## Appendix 1: Application form for Admission to Postgraduate Studies

Office of the School Registrar  
 Adama Sciences and Technology University  
 P.O/ Box 1888  
 Adama, Ethiopia.

Personal Data (please write in block letters)

Full name: .....

Place and date of birth.....

Gender:..... Nationality: .....Postal address: .....

City.....Zone/Country .....

Tel.No.....Cell phone .....

Fax.....E-mail.....

Fellowship (Please mark x in the boxes)

I will pay all my expenses (including research grant and tuition fee)

Fellowship is requested but has not yet been granted

Fellowship support is required

Fellowship has already been awarded

If the fellowship has been awarded, please indicate the name of the sponsor and attachment of award.....

Please mark one: MSc/MA/MBA/ /Ph.D. program

Department: .....

Specializations: .....

Table 6: Employment Records (Start from recently obtained Credential)

Name of Employer/ organization	Address	Position(s) held	Service Year	
			From	To

Table 7: Academic Record (Start from recently obtained Credential)

University/ College	Country	Major field of study	Diploma/Bachelor's /Master's	Year of attendance	
				From	To

Publications (if any)

Attach list of articles you have published, write name of journal(s) and year of publication

.....  
 .....

Table 8: Checklist of documents submitted (Tick in the boxes)

No	Required documents	Put(√)
1	Completed application form	
2	Copy of Diploma/Bachelor /Master's	
3	Copy of transcript (student copy)	
4	Curriculum vitae	
5	Sponsorship letter (if any)	
6	Recommendation letter(2)	
6	Language proficiency test result (Only for Foreign applicants whose medium of instruction was not English)	

**Statement by the applicant**

I hereby certify that all the information given in this form is complete and correct. I fully realize that the University is entitled to take any action on me; including dismissal if the information given by me here is found incorrect or misleading at any time. I also realize that I will not be entitled to any reimbursement of whatever fee I might have paid in cases the University takes any action on me as a result of the incorrect or misleading information given by me. Moreover, I read and attempt to know all the rules and regulations of the university if I get admission to the program, I will refrain myself from any activity which may be contrary to the interest of Ethiopian people. I shall take full responsibility for reading and abiding by the rules and regulations of the University.

Date and place: \_\_\_\_\_

Signature: \_\_\_\_\_

ATTENTION! Please check the academic calendar of Adama Science and Technology University for the date of entrance examination

Specialization.....MSc/Ph.D.



**Appendix 2: Format for Recommendation Letter**

Full name of the applicant (in block letters)

.....

(To be filled out by a University instructor, employer or by a member of a professional association)

The above-mentioned candidate has applied for admission to ----- department ----- School, Adama Sciences and Technology University. The Office of the Postgraduate Studies will greatly appreciate your assistance in assessing the applicant by providing correct information related the following questions. The information supplied will be held confidential.

1. For how long and in what capacity have you known the candidate?  
.....
2. Give your evaluation of the applicant’s academic potential to pursue graduate studies.  
.....
3. State the candidate’s special points of strength and /or weakness in his/her area of specialization  
.....
4. Describe the candidate’s character and ability specially with respect to withstanding the rigors of graduate studies, and professional commitment.  
.....  
.....

Name.....Position .....

Date ..... Signature .....

Organization:.....

P.O. Box: .....

Town /City: .....Zone/Country .....

Tel. No:.....Cell phone: .....

Fax:..... E-mail .....

Please seal and sign on the postage and mail the completed form directly to the following address

[Office of respective school registrar]  
Adama Sciences and Technology University

P.O Box 1888

Fax Number:

Email Address:

Adama, Ethiopia

### Appendix 3: Letter of Acceptance to Master's program

Date:.....

Ref:.....

Dean for Postgraduate Studies

.....(name of dean)

To: ..... (Name of applicant)

Dear applicant,

On behalf of the office of the postgraduate studies, I'm pleased to inform you that your application for admission to the graduate studies in the field of \_\_\_\_\_ department of \_\_\_\_\_ starting from the first semester of (...../.....) academic year is accepted. This decision is based on: the review results of your credentials and supportive documents, entrance exam and other admission requirements of ASTU. Hence, you are advised to follow applicable regulations to complete your registration to the program you have applied for. Once gain welcome to ASTU and I wish you success in your studies.

Sincerely,

Name of the Dean

Signature

Stamp

**Appendix 4: Letter of Acceptance to Ph.D. program**

Date:.....  
Ref.:.....

Dean for Postgraduate Studies  
.....(name of dean)

To: ..... (Name of Applicant)

Dear applicant,

On behalf of the office of postgraduate studies, I'm pleased to inform you that your application for admission to PhD 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 entrance exam, and other admission requirements of ASTU. Hence, you are advised to complete your registration following applicable regulation. Once again, welcome to ASTU and I wish you success in your studies.

Sincerely,

Name of the Dean  
Signature and Stamp

## **Appendix 5: Components of a Research Proposal**

### **a) Preliminary section**

The preliminary section of Thesis/dissertation proposal has the following section:

#### i) Title

Research proposal title should demarcate the focus/ or theme of the proposed study, reflect the scope and content of the study, concise, simple and catchy in not more than 20 words. The title should be informative/descriptive yet discrete and contain the key words of the proposal.

#### ii) Proposal Summary

It is a brief summary of consisting approximately 300 words (more or less). It should include the research objective, the rationale for the study, the hypothesis (if any) and method of the study. It should also be one page, one paragraph, single space and italic in format.

### **b) Introduction (Chapter One)**

This section includes the background information of the subject, statement of the problem, significance of the study and objectives of the study.

#### 1. Background of the study

In background of the study, the researcher should create reader interest in the topic, lay the broad foundation for the problem that leads to the study, place the study within the larger context of the scholarly literature, and reach out to a specific audience.

#### 2. Statement of the problem

The problem statement describes the context for the study, and it identifies the general analysis approach. It is important in a proposal that the problem stands-out that readers can easily recognize it.

A problem statement should be presented within a context, and that context should be provided and briefly explained, including a discussion of the conceptual or theoretical framework in which it is embedded. Clearly identify and explain the theoretical framework that undergirds the study.

#### 3. Questions and/or hypotheses (Optional)

Questions are most often used in qualitative inquiry. Hypotheses are relevant to theoretical research and are generally used in quantitative inquiry. When a researcher states hypotheses, the reader is entitled to have an exposition of the theory that lead to them (and of the assumptions underlying the theory);

A research question poses a relationship between two or more variables but phrases the relationship as a question; a hypothesis represents a declarative statement of the relations between two or more variables;

Deciding whether to use questions or hypotheses depends on factors such as the purpose of the study, the nature of the design and methodology.

#### 4. General and specific objectives

These are specific objectives arising directly from the general objectives of the study. For each specific objective, you must have a method to attempt to achieve it.

#### 5. Significance of the study

Indicate how the researcher will refine, revise, or extend existing knowledge in the area under investigation. Such refinements, revisions, or extensions may have substantive, theoretical, or methodological significance. Practitioners and professional readers should be considered.

#### 5. Expected outcome of the study

This section clearly present the expected outcome of the study.

#### 6. Delimitation *Scope (this component is field specific)*

This section delimits the specific area of the research. Delimitation addresses how a study will be narrowed in scope—how it is bounded. This is the place to explain the things that the researcher is doing and why he/she has chosen not to do them—the literature he/she will not review (and why not), the population he/she is studying (and why not), the methodological procedures he/she will not use (and why he/she will not use them).

#### 8. Operational Definitions (this component is field specific)

This section clearly identifies and defines the central concepts or ideas of the study. When defining terms, make a judicious choice between using descriptive or operational definitions.

### **c) Literature Review (Chapter Two)**

This section deals with the analysis of existing literature on the subject with the objective of revealing contributions, weaknesses and gaps. The literature review should be according to the themes of the study and should reflect the objectives, hypotheses, methods and research questions. The review of the literature provides the background and context for the research problem. The literature review helps relate the proposed study to the larger ongoing discourse in the literature about a phenomenon, filling in gaps in the literature and extending earlier studies. It should establish the need for the research and indicate that the writer is a knowledgeable about the area.

**d) Materials and Methods (this component is field specific) (Chapter Three)**

In this section, the students should give clear, specific, appropriate and credible procedures that shall be followed to attain the proposed objectives of the study. The research design planned for use should be clearly stated. The research method should be appropriate to the problem area i.e. the statement of the problem, objective and hypothesis. The logistics of implementation should be viewed parallel to the choice of the research methodology and design.

1. Sampling (This component is field specific and optional)

Based on the nature of the field of specializations the necessary sampling techniques and size should be identified and employed in consultation with advisor.

2. Data Collection

Outline the general plan for collecting the data. This may include administration procedures, interview or observation procedures. Include an explicit statement covering the field controls to be employed. Provide a general outline of the time schedule you expect to follow.

3. Data Analysis

The students should decide how the data generated will be analyzed. Descriptions of data analytical methods, techniques, tools and statistical tests that will be used should be provided. Software planned for use in statistical analysis may also mention (e.g., ethnography, SAS, SPSS, STATA and Others).

4. Ethical Consideration

Ethics of the research here refers to the morals of the investigation or intervention as regards the minimal abuse, disregard, safety, social and psychological well-being of the person, community and /or animals i.e., how the principles of consent, beneficence and justice are handled in the study. The researcher needs to include a statement where ethical clearance will be obtained.

**e) Work and Budget plan (Chapter Four)**

1. Work Plan

This is the schedule/ time-table of activities covering the period over which the research is to be implemented with due regard to budgetary consideration. See the appendix

2. Budget plan

This is the financial plan for implementation of the research. It should be clear, realistic and reasonable (affordable). It should be itemized according to the following: equipment, stationery, materials, per-diem, travel, research assistance, services (Secretarial,

Photocopying, Printing, Binding, laboratory etc.), dissemination (Publishing, Conferences etc.), contingency 10%, and Others (Specify).

f) References (Non chapter)

This is a list of all works cited in the proposal and should be written according to the approved format. Citations shall not be less than 15 in the proposal and 60% of the cited paper should published in the last five years. Text books and dissertation/thesis as a citations are not advisable. While there are different referencing styles, as ASTU, the reference style shall be the APA style.

g) Sequence of Content for Thesis/Dissertation Proposal

Thesis/dissertation proposal is in the following sequence:

1. Cover Page

Cover page comprises outer and inner cover pages. The outer cover page of the thesis/dissertation proposal should bear thesis/dissertation title, name of the candidate (full name), logo of the university, name of the department, name of the school, University, advisor(s), town(place) of the university, month and year, in that order. On the other hand, the inner cover page of the thesis/dissertation should bear thesis/dissertation title, name of the candidate (full name), name of the advisor/supervisor, name of the program, name of the school, University, advisor(s), town(place) of the university, month and year, in that order. See Appendix 8 for M.Sc. thesis and Appendix 10 for PhD dissertation.

2. Signature Page/Approval Sheet

A signature page of the thesis/dissertation proposal should be designed to contain the signatures of the student, advisor/supervisor, reviewers of the proposal and chair of the PGC, School Associate dean for research, school dean and OPGS. See Appendix 13.

3. Table of contents

4. List of tables, figures, special symbols (if any) and abbreviations (if any)

5. Text/main body of the proposal (from Summary, Introduction, Literature review, Methodology, Budget and Time Plan)

6. References

7. Appendixes

8. Endnotes (Where applicable)

h) Page Format

The submission of the proposal must be on a A4-size paper. It must be 1.5 spaced, written in 12 point sized standard font, with a 3 cm left hand margins and a 2.5 cm margin at the top, bottom and right. Charts, tables, figures, appendices, references and all other pages must also

conform to the required technical regulations and must not extend beyond the margins. Maps, figures, photographs, charts, tables and appendices must be numbered, titled and sources must be indicated underneath.

i) Numbering

Pages must be numbered consecutively, as must be chapters, sections, etc. Try to avoid more than four levels of heading consistency in numbering must be maintained throughout the work including Appendices. Preliminary pages must be numbered consecutively in lowercase Roman numbers (example: i, ii, iii, iv, v, vi...) and the body of the proposal (Introduction onwards including endnotes section, reference and appendix) should be numbered in Arabic numbers (Example: 1, 2, 3, 4, 5...).

j) Final Submission

A student shall make the required modification by the reviewer/s upon defense before she/he submits the proposal. Minor modifications require approval of the advisor; major modifications require approval of reviewer/s. This does not entail that the committee shall conduct a formal meeting. Students shall submit the final version of the proposal. The final version must contain any revisions required by the reviewer /s and submitted within two weeks for Master's after a defense. There should be appendices in the thesis document.



## **Appendix 6: Thesis/Dissertation Writing and Reporting**

A written format of a research work or report is known as dissertation for Ph.D. students and thesis for master's students. A research report is an organized format of research work done. It is viewed in three major categories: Preliminaries, Textual Body, and References. Therefore, as per ASTU senate legislation, this guideline addresses general standard pattern in thesis/dissertation writing.

- a. Components and Order of Thesis/Dissertation
  - i. Preliminary Section

This section includes the following and should be written in order accordingly.

### **1. Cover page**

Thesis/dissertation thesis comprises outer cover page and inner cover page. The outer cover page of the thesis/dissertation includes the title of the thesis/dissertation, name of the candidate (full name), logo of the university, name of the department, name of the school, place where the thesis/dissertation is submitted and purpose, ASTU, Adama, month and year, in that order is formally submitted. On the other hand, the inner cover page of thesis/dissertation includes the title of the thesis/dissertation, name of the candidate (full name), thesis advisor (co-advisor) name/supervisor (co-supervisor) name, name of the department, name of the school, place where the thesis/dissertation is submitted and purpose, ASTU, Adama, month and year, in that order is formally submitted. See Appendix 15 for M.Sc. thesis and Appendix 19 for Ph.D. dissertation.

### **2. Title Page**

The title page is the second page of a thesis/dissertation and the first page for which a page number is assigned although it does not have a number typed on it. It the title of the thesis/dissertation, name of the candidate (full name), thesis advisor (co-advisor) name/supervisor (co-supervisor) name, name of the program, name of the school, place where the thesis/dissertation is submitted and purpose, ASTU, Adama, month and year, in that order is formally submitted. See appendix 16 for M.Sc. thesis and Appendix 20 for Ph.D. dissertation.

### **3. Approval Sheet**

The final approval page will be incorporated into the student's thesis/dissertation after being signed by the board of examiners and members of the advisory committee or supervisor(s). The signing of the document will occur after a successful open defense and all required revisions to the document arising from the defense. See appendix 22

#### 4. Declaration of Student and advisor(s)/Supervisor(s)

The dissertation shall contain a declaration of both student and advisor(s)/supervisor(s) on the same page to the effect that the work is the result of the student own investigation and that it has not been already submitted in candidature for a degree of this or any other university. See appendix 17

#### 5. Acknowledgement

Acknowledgement is a brief account of the support or the origin and the utility of the study for which the dissertation is presented. It also includes the acknowledgement to the persons and sources that have been helpful to the investigator. If the researcher does not want to mention anything about the study on this page except acknowledging debt to others, it will be desirable to use the title simple and restrained without flattery and effusive recognition for help by the family members and others.

The title 'ACKNOWLEDGEMENT' should be typed in capital letters.

#### 6. Table of Contents

This section lists all the main chapter headings and the essential sub-headings with the appropriate page numbers against each heading or sub-heading. The listing of the main chapters is generally preceded by some preliminaries like preface or acknowledgement, list of tables, list of figures, acronyms, abbreviations, abstract and their respective pages in small Roman numbers and followed at the end by appendices, and Indexes. Contents should neither be too detailed nor should too sketchy. The table of contents serves as an important purpose in providing an outline of the contents of the report. The capitalized title 'Contents' should be the central heading of the page and the capitalized word 'CHAPTER' and 'PAGE' should lead to the numbers of chapters and those of pages respectively on the left and right margins. An example' has' been given in the tabular form.

#### 7. List of Tables

The table of contents is followed by the list of tables on a separate page. This list of tables consists of the titles or captions of the tables included "in the dissertation is along with the page number where these can be located. The capitalized title 'LIST OF TABLES' should be the central heading of the page and the capital words 'TABLE' and 'PAGE' should lead to the numbers and those of pages respectively at left and right margins. The statistical data are presented in vertical columns and horizontal row, according to some classification of subject matter. In the main body of the report any table should be

completed within a page. Numbering tables shall be sequentially arranged through out dissertation.

#### 8. List of Figures and Illustrations

A figure is a device that presents figurative data in pictorial or visual form. The figure is used to a variety of graphs, charts, maps, sketches, diagrams and drawings. It helps to understand the aspects of data clearly and easily. One idea or fact should be presented in each figure. The description of the figure must be given in the textual body. 'FIGURE' should be written in the center of the page at the bottom of the figure. The title of the figure should be written in capital letters two spaces below the figure. In the main body of the report any figure should be completed within a page. A list of figures on a separate page is prepared in the same form as the list of tables except that they are numbered with Arabic numbers. Numbering figures and illustrations shall be sequentially arranged throughout dissertation.

#### 9. List of Acronyms and Abbreviations

List of acronyms and abbreviation shall be included on a separate page.

#### 10. Abstract

It is a brief summary of approximately 400 words (more or less). It should include the research objective, methods employed, major findings & conclusions and recommendations of the study. It should also be one page, one paragraph, single space and Italic in format. It should include key words. This format can be amended as per the requirement of the specific field of study.

#### ii. Main body of the Thesis/Dissertation

The text of the dissertation is the most important section in the organization of research report. The quality of worth of thesis/dissertation is mainly examined in this section. It is the original production of the researcher. The main body of the report serves the function of demonstrating the competence of the researcher. If any sentence, paragraph, concept fails to serve the single function within a given section or chapter, it is irrelevant. The subject matter of any chapter should be relevant to that point. Generally, the main body of the thesis/dissertation shall be determined by the specific requirement of the fields of study.

### **1. Introduction (Chapter 1)**

It consists of the background of the study, statement of the problem, objectives, hypotheses, and research questions, significance of the study, delimitations and limitations of the study. It is reported in past tense form of work completed.

### **2. Literature Review (Chapter Two)**

This chapter is essential in most of the research studies. It presents the comprehensive development of the problem background. It indicates what has already been studied by others, which has a bearing upon the present study. The review of literature stresses two aspects: the first is the consideration of the subject-matter and it is likely more important than the other. The second is related to methodology and design. The review chapter is devoted to the development of the problem statement or the object of the inquiry. The review is utilized to retain a direct relevancy to the study in hand. It is the balancing chapter of the research report.

### **3. Materials and Methods (Chapter Three)**

This chapter indicates the line of approach of the study. The first aspect deals with the method, population and sample of the study and the second part provides the tools and techniques employed in the research. It also presents the procedure of the study. The whole plan of the study is discussed in detail under this chapter. Administration of tools and scoring procedure are reported systematically. The data organization and presentation should be given in this section.

**N.B:** This part shall be modified so that it will be compatible with the nature of the field of study.

### **4. Results and Discussions (Field specific Chapter Four)**

In this chapter analysis and results are reported so as to draw the inferences of the study. The analyses of data are presented in tabular form and in figures or pictorial presentation. The results are interpreted in detail. This chapter provides the original work or contribution by the researcher. The communicative accuracy is required in this chapter. The text must be developed to ensure an effective ordering of the evidences.

In the discussion, the candidates interpret their results. The discussion is used to highlight the importance of the study and describe the limitations of the study and implications for

future research. If students choose to write the results and discussion as one chapter, they should follow the description of major findings with appropriate interpretation and discussion.

**N.B:** This part shall be modified so that it will be compatible with the nature of the field of study.

## **5. Conclusions and Recommendations (In New page without labeling as chapter)**

This section requires the creative and reflective aspect of the researcher. The results are discussed to make them more meaningful comparison of the results with the evidence in the review section should be woven into the text whenever such a discussion can serve to clarify the points being reported. This is the final chapter of a report, thus findings and conclusions of the study are summarized and recommendations for further studies are also given. The main thrust in the section is the answer of the question or solution of the problem. The validity of the findings should be mentioned.

## **6. Reference**

This section consists of references and appendices. The references and appendices are written on a separate page - in the center with capital letters. References are a list of the printed sources utilized in the research work. If the sources in the text are numbered to refer to the source in the references, the entries must be numerically listed in the order of appearance in the text.

The various format manuals include information on form for the references.

Even if there are numerous referencing and citation styles, APA style shall be referencing and citation style for Adama Science and Technology University. The following are examples of writing references in APA style.

### **Example for single author:**

Best, John. W (2012) *Research in Education*, 4rd ed., New Jersey: Prentice-Hall Inc. Englewood Cliffs, 403 pp.

### **Example for two authors:**

McGrath, J.H. and D. Gene Watts (2017) *Research Methods and Designs for Education' Pennsylvania*: International Text-Book Company, 222 pp.

### **Example for three or more authors:**

Selltiz, Claire et al. (2016). *Research Method in Social Relations*, New York: Holt, Rinehartand Winston, 424 pp.

**Example for editor as author:**

Buros, Oscar K. ed. (1965). *The Sixth Mental Measurement*, Yearbook: Highland Park,N.J. : Gryphon Press 1163 pp.

**Example for author not given:**

Author's Guide (2018) Englewood Cliffs, N.J. Prentice Hall, 121 pp.

**Example for unpublished thesis:**

Sharma, R.A. (2014). *Some Predictors of Teacher Effectiveness*, Unpublished" Ph.D. Thesis Submitted to Meerut University, 320 pp.

**Article in an Encyclopedia and Hand Book.**

Barr, A.S. (1944), *Criteria of Teacher-Effectiveness*Ebel's Encyclopedia of Educational Research, 742 p.

**Example for Journals and Periodicals:**

Bar, A.S. (2019), 'The Measurement and Prediction of Teaching Efficiency,' *Review of Educational Research*, 10(4): pp. 185-190.

**A chapter written by an author other than the editor:**

MacCoby E.E. (2013), 'The Interview: A Tool of Social Science', Chapter 12, in the *Hand Book of Social Psychology*, Addison, Wesley Cambridge Mass.

**7. Appendices**

An appendix is the important reference materials category. It includes the material which cannot be logically included in the main body or textual body of the research report or the relevant materials too unwieldy to include in the main body. The appendix usually includes: tools of research, statistical tables and sometime raw-data (when data were processed through computer). Even the material of minor importance e.g. forms, letters, reminders, interview sheets, blank questionnaires, charts, tables, lengthy questions, report of cases (if follow-up or case studies have been conducted). The tools and other material should be placed first and tables at the end and page numbers should be assigned in Roman Numbers (i, ii, xxi). The appendix serves the function of providing greater clarity and authenticity for the readers or consumers of the dissertation. The items of the appendix are very essential for a good research report.

## 8. Footnotes

Footnotes serve a number of purposes. They enable the researcher to substantiate his presentation by quotations or citations of other authorities, to give credit to sources of material that he has reported and to provide the reader with specific sources that he may use to verify the authenticity and accuracy of material quoted. The citation or quoted statements are written in single-spaced whereas the text is written double-spaced. The footnotes are placed at the bottom of the page and are separated from the text by a 3cm horizontal line drawn from the left margin. Footnotes are numbered consecutively within a chapter.

## Appendix 7: Standard format for Reporting

The research report should be written in a style that it is clear and concise. Therefore, the following considerations should be kept in view in writing a research report.

Table 9: Standard format for reporting

Language	English and other local languages
<b>Paper Specifications:</b>	
Color	White
Size	21 cmx29.7 cm (A4)
Weight	≥ 80 gm
<b>Typing:</b>	
Left margin	3 cm
Right margin	2.5 cm
Top margin	2.5 cm
Bottom margin	2.5cm
Spacing	1.5
Side	Front Single
Font size	12
Font type	Times New Roman,
Font style	Regular
Font color	Black

Breaking a word on 2 lines	Not allowed
Corrections with fluid	Not allowed
Overwriting	Not allowed
Crossing out words	Not allowed
Typing machine	Computer
Printing quality	Laser or better quality
Copies	High quality photocopy

## 1. Headings

Generally, a research report is divided into chapters; each chapter begins from a new page. The title of a chapter is called the chapter heading. The word ‘CHAPTER’ is written in capital letters, in the center of the page and title is placed three spaces of the chapter. The following is the example:

**1.1 Major Heading:** A chapter of the report is divided into major chairs. The major heading is written in capital letters, bold face and at the center of the page.

**1.2 Sub-heading:** A major heading is sometimes divided into sub headings which are known as minor heading it starts with left margin of a page in lower-upper letters.

**1.3 Paragraph Heading:** If the minor heading is further divided, the paragraph is used. It must be indented five spaces and underlined. A full stop and dash is marked after such a heading. The written matter starts on the same line.

**1.4** These headings are also specified by using the numbers. For the Main headings 1, 2, 3, 4...so on are assigned in a chapter. The minor headings or sub-headings are shown in decimal numbers e.g. 2.1, 2.2, 2.3, it indicates that 1, 2, 3 are the minor headings of second main headings. Similarly, paragraph headings are indicated in further decimal numbers e.g. 2.1.1, 2.1.2, 2.1.3 last numbers, 1, 2, 3 are paragraph headings of first minor heading of second major heading.

## 2. Pagination

Assigning page numbers of the report is very essential. The title page or initial page of any section does not have a page number typed on it, but a number is allotted to it in the series of pages. Page numbers are typed in the bottom right hand corner, one inch below the top edge of the page. The small or lower Roman numerals (i, ii, iii, iv,) are assigned for the pages of preliminary section. The serial Arabic numbers.1, 2, 3, 4.....so on are assigned for the pages of textual body or main body of the report i.e. Chapter 1 to last references



and annex or appendix. The maximum pages for Ph.D. dissertation shall not exceed 250 pages.

### **3. Proof Reading**

A research report should not have errors. It requires that final typed copies must be checked carefully. All types of errors should be deleted before submission.

### **4. Binding and Submission**

It is the last activity for preparing research report. Before giving to the binder it should be arranged properly, systematically and the serial number of pages are checked carefully and should be approved by thesis advisor. A great precaution must be taken in printing the topic or title of the dissertation that it must be the photo-state form of the topic which was approved by DGC. The covering page must be the same as inner cover given in preliminary section. Then, five hard copies should be submitted, to the respective Programs for evaluation purpose. Sample of thesis/dissertation

## Appendix 8: Thesis Proposal Outer Cover Page

Title-----  
-----



Name of Candidate (Full Name)

A thesis proposal Submitted to the department of-----,  
School of .....

Office of Graduate Studies  
Adama Science and Technology University

Month, year  
Adama, Ethiopia

## Appendix 9: Thesis Proposal Inner Cover Page

Title-----  
-----

Name of Candidate (Full Name)

**Advisor(s)** (Full Name)

A thesis proposal Submitted to the department of-----,  
School of .....

Office of Graduate Studies  
Adama Science and Technology University

Month, year

Adama, Ethiopia

## Appendix 10: Ph.D. Dissertation Proposal Outer Page

Title-----

-----



Name of the Candidate (Full Name)

A Ph.D. Dissertation Proposal Submitted to the department of-----,

School of .....

Office of Graduate Studies  
Adama Science and Technology University

Month, year  
Adama, Ethiopia

**Appendix 11: Ph.D. Dissertation Proposal Inner Cover Page**

Title-----  
-----

Name of the Candidate (Full Name)

A Ph.D. Dissertation Proposal Submitted to the department of-----,

School of .....

Office of Graduate Studies  
Adama Science and Technology University

Month, year  
Adama, Ethiopia

## Appendix 12: Declaration

I declare that this thesis/dissertation proposal entitled “-----  
-----” is my own work and has not been submitted to any university for similar purpose. The references used in this proposal are duly recognized by proper citations.

_____ Name of student	_____ Signature	_____ Date
--------------------------	--------------------	---------------

Recommendation of Advisors/ Supervisors (This should be on separate page student proposal)

I, the major advisor/supervisor of this research proposal, hereby certify that I have closely advised/supervised the student while developing this proposal and read the draft thesis/dissertation proposal entitled “-----  
-----” prepared under my guidance by -----  
----- (name of student). Therefore, I recommend the submission of the proposal to the department for further review and evaluation.

_____ Major Advisor/Supervisor	_____ Signature	_____ Date
-----------------------------------	--------------------	---------------

_____ Co-advisor/Co-supervisor	_____ Signature	_____ Date
-----------------------------------	--------------------	---------------

**Appendix 13: Approval Page for thesis/dissertation proposal**

I/we hereby certify that the recommendation and suggestion given by the proposal review committee are appropriately incorporated into the final thesis/dissertation proposal entitled “-----” by ----- (name of student).

_____ Major Advisor/Supervisor	_____ Signature	_____ Date
-----------------------------------	--------------------	---------------

_____ Co-advisor/ Co-supervisor	_____ Signature	_____ Date
------------------------------------	--------------------	---------------

Approval of Board of Reviewers (This should be on separate page student proposal)

We, the undersigned, members of the Board of Reviewers of the proposal open defense by -----(name of student) have read and evaluated the thesis/dissertation proposal entitled “-----” and assessed the understanding of the candidate about the proposed research. This is, therefore, to certify that the thesis/dissertation proposal is accepted and we recommend the implementation of the proposal. -----.

_____ Chairperson	_____ Signature	_____ Date
----------------------	--------------------	---------------

_____ Reviewer 1	_____ Signature	_____ Date
---------------------	--------------------	---------------

_____ Reviewer 2	_____ Signature	_____ Date
---------------------	--------------------	---------------

Final approval and acceptance of the thesis/dissertation proposal is contingent upon submission of its final copy to the Office of Postgraduate Studies (OPGS) through the Department Graduate Council (DGC) and School Graduate Committee (SGC).

_____ Department Head	_____ Signature	_____ Date
--------------------------	--------------------	---------------

_____ School Dean	_____ Signature	_____ Date
----------------------	--------------------	---------------

_____ Office of Postgraduate Studies, Dean	_____ Signature	_____ Date
---	--------------------	---------------

## Appendix 14: Checklist for evaluating master’s thesis/dissertation proposal

For evaluating Master’s thesis and PhD dissertation proposal, assessors/reviewers shall use the following checklist. The content of the checklist may be modified (if required) to fit the nature of the specific field of study.

Name of Student: \_\_\_\_\_

Research title: \_\_\_\_\_

Table 10: Checklist for evaluating master’s thesis/dissertation proposal

Items	Marks 100%	
	Maximum marks	Scored marks
<b>1. Title:</b>	<b>2%</b>	
The title brief and informative, clear and concise, make clear the population of interest and the major variables, avoided vague, ambiguous, and emotion laden terms	2	
<b>2. Introduction:</b>	<b>18%</b>	
i. The variables of interest have been identified	2	
ii. The theoretical foundation for the study has been developed	3	
iii. The problem is clearly stated and properly defined	2	
iv. A justification or rationale for the study is presented	2	
v. The significance of the study is recognized	2	
vi. The objectives of the study clearly stated	3	
vii. Specific questions are raised and hypotheses are also clearly stated (if any)	1	
viii. Assumptions and delimitations are well stated(if applicable)	2	
ix. Important terms are defined(if applicable)	1	
<b>3. Methodology /Design:</b>	<b>30%</b>	
a. The research design is identified and described	<b>5%</b>	
<b>b. Participants/Subjects:</b>	<b>8%</b>	
i. Study site and target population are briefly described	2	
ii. The samples/participants are identified and described	2	
iii. The techniques of selecting samples are identified and described in detail	2	
iv. The sample size allow for generalization to the population of interest	2	
<b>c. Procedures:</b>	<b>2%</b>	
The procedures are clearly identified and described for data collection and	2	



analysis		
<b>d. Instruments/Tools/Materials:</b>	<b>5%</b>	
i. Appropriate instruments are well identified and adequately described	2	
ii. Pilot study is designed for standardizing the instruments(if any)	2	
iii. The information on the validity and reliability of the instruments provided is also hold for adapted instruments	1	
<b>e. Methods of Analysis of the Data:</b>	<b>10%</b>	
i. Appropriate descriptive statistics are identified for summarizing the data(if applicable)	5	
ii. Appropriate inferential statistics are identified for testing the hypothesis(if applicable)	5	
<b>4. Ethical consideration:</b>	<b>5%</b>	
i. Consent of informed participants are included(if applicable)	2	
ii. Confidentiality of responses are addressed(if applicable)	3	
<b>5. References:</b>	<b>5%</b>	
i. Proper in text citation are used	2	
ii. All resources are well acknowledged	2	
iii. All references are in appropriate standard	1	
<b>6. Work plan:</b> All activities are briefly stated	<b>5%</b>	
<b>7. Budget breakdown:</b>	<b>5%</b>	
<b>8. General quality of the proposal:</b>	<b>10%</b>	
Language clarity, readability and good organization of the proposal are observed	10	
<b>9. Oral presentation:</b>	<b>20%</b>	
i. Manner of presentation	3	
ii. Confidence in the subject matter	3	
iii. Depth of knowledge related to the proposal	5	
iv. Clarity and coherence in his/her presentation	4	
v. Validity of responses to questions /comments raised by examiner	5	
Total		

-----  
Name of examiner

-----  
signature

-----  
Date

## Appendix 15: Master’s Thesis Outer Cover Page

Title-----



Name of Candidate (Full Name)

A Thesis Submitted to the department of-----,  
School of .....

Presented in Partial Fulfillment of the Requirement for the Degree of Master’s in-----  
----- (Specialization in)

Office of Graduate Studies  
Adama Science and Technology University

Month, year  
Adama, Ethiopia

**Appendix 16: Master’s Thesis Inner Cover Page**

Title-----

Name of Candidate (Full Name)

Advisor (s) (Full Name)

A Thesis Submitted to the department of-----,  
School of .....

Presented in Partial Fulfillment of the Requirement for the Degree of Master’s in-----  
----- (Specialization in-----)

Office of Graduate Studies  
Adama Science and Technology University

Month, year  
Adama, Ethiopia

## Appendix 17: Declaration and Recommendation

### Declaration

I hereby declare that this Master Thesis entitled “-----  
-----  
-----” is my original work. That is, it has not been submitted for the award of any academic degree, diploma or certificate in any other university. All sources of materials that are used for this thesis have been duly acknowledged through citation

\_\_\_\_\_  
Name of the student

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

### Recommendation (This should be on separate page student thesis)

I/we, the advisor(s) of this thesis, hereby certify that I/we have read the revised version of the thesis entitled “-----  
-----  
-----” prepared under my/our guidance by -----  
(name of student) submitted in partial fulfillment of the requirements for the degree of Mater’s of Science in -----  
Therefore, I/we recommend the submission of revised version of the thesis to the department following the applicable procedures.

\_\_\_\_\_  
Major Advisor

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Co-advisor

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**Appendix 18: Approval Page of M.Sc. Thesis**

I/we, the advisors of the thesis entitled “\_\_\_\_\_” and developed by (name of student)\_\_\_\_\_, hereby certify that the recommendation and suggestions made by the board of examiners are appropriately incorporated into the final version of the thesis.

_____	_____	_____
Major Advisor	Signature	Date
_____	_____	_____
Co-advisor	Signature	Date

We, the undersigned, members of the Board of Examiners of the thesis by ----- (Name of student) have read and evaluated the thesis entitled “-----” and examined the candidate during open defense. This is, therefore, to certify that the thesis is accepted for partial fulfillment of the requirement of the degree of Master of Science in -----.

_____	_____	_____
Chairperson	Signature	Date
_____	_____	_____
Internal Examiner	Signature	Date
_____	_____	_____
External Examiner	Signature	Date

Final approval and acceptance of the thesis is contingent upon submission of its final copy to the Office of Postgraduate Studies (OPGS) through the Department Graduate Council (DGC) and School Graduate Committee (SGC).

_____	_____	_____
Department Head	Signature	Date
_____	_____	_____
School Dean	Signature	Date
_____	_____	_____
Office of Postgraduate Studies, Dean	Signature	Date

## Appendix 19: Dissertation Outer Cover Page

Title-----



Name of Candidate (Full Name)

A Dissertation Submitted to the department of-----,  
School of .....

Presented in Partial Fulfillment of the Requirement for the Degree of Doctor of Philosophy in-----  
----- (Specialization in)

Office of Graduate Studies  
Adama Science and Technology University

Month, year  
Adama, Ethiopia

**Appendix 20: Dissertation Inner Cover Page**

Title-----

Name of Candidate (Full Name)

Supervisor (s) (Full Name)

A Dissertation Submitted to the department of-----,  
School of .....

Presented in Partial Fulfillment of the Requirement for the Degree of Doctor of Philosophy in-----  
----- (Specialization in-----)

Office of Graduate Studies  
Adama Science and Technology University

Month, year

Adama, Ethiopia

**Appendix 21: Declaration and Recommendation**

**Declaration**

I hereby declare that this Dissertation entitled “-----  
-----” is my original work. That is, it has not been submitted for the award of any academic degree, diploma or certificate in any other university. All sources of materials used for this thesis have been duly acknowledged through appropriate citations.

Name of student	Signature	Date

**Recommendation** (This should be on separate page student dissertation)

I/we, the supervisor(s) of this dissertation, hereby certify that I/we have read and revised the dissertation entitled “-----  
-----” prepared under my/our guidance by ----- (name of student) submitted in partial fulfillment of the requirements for the degree of Doctor of Philosophy in -----  
----- . Therefore, I/we recommend the submission of the dissertation to the department for further review and defense.

Major Supervisor	Signature	Date

Co-supervisor	Signature	Date



## Appendix 22: Approval Page of Ph.D. Dissertation

I/we hereby certify that the recommendations and suggestions made by the board of examiners are appropriately incorporated into the final version of the dissertation entitled “-----” by ----- (name of student).

_____ Major Supervisor	_____ Signature	_____ Date
---------------------------	--------------------	---------------

_____ Co-supervisor	_____ Signature	_____ Date
------------------------	--------------------	---------------

We, the undersigned, members of the Board of Examiners of the dissertation open defense by -----(Name of student) have read and evaluated the dissertation entitled “-----” and examined the candidate during open defense. This is, therefore, to certify that the dissertation is accepted for partial fulfillment of the requirement of the degree of Doctor of Philosophy in -----.

_____ Chairperson	_____ Signature	_____ Date
----------------------	--------------------	---------------

_____ Internal Examiner	_____ Signature	_____ Date
----------------------------	--------------------	---------------

_____ External Examiner 1	_____ Signature	_____ Date
------------------------------	--------------------	---------------

_____ External Examiner 2	_____ Signature	_____ Date
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Finally, approval and acceptance of the dissertation is contingent upon submission of its final copy to the Office of Postgraduate Studies (OPGS) through the candidate’s Department Graduate Council (DGC) and School Graduate Committee (SGC).

_____ Department Head	_____ Signature	_____ Date
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_____ School Dean	_____ Signature	_____ Date
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_____ Office of Postgraduate Studies, Dean	_____ Signature	_____ Date
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## Appendix 23: Thesis/Dissertation evaluation format

M.Sc Thesis:

Ph.D. Dissertation:

Name of Candidate: \_\_\_\_\_

Title: \_\_\_\_\_

Thesis Document and Presentation Evaluation Points	Points Scored
(a) Abstract (3%).....	_____
(b) Literature Review (10%) .....	_____
(c) Materials & Methods (15%) .....	_____
(d) Result & Discussion (30%) .....	_____
(e) Summary, Conclusions and Recommendations (9%)...	_____
(f) References (3%).....	_____
(g) Manner of Presentation and protocol (10%) .....	_____
(h) Confidence in the Subject Matter (5%) .....	_____
(i) Ability of Answering Questions (15%) .....	_____
<b>Total Score =</b>	<input type="text"/>

1. For MSc. thesis: Evaluation weight (%) =  $0.50 \times \text{External Examiner's} + 0.35 \times \text{Internal examiner's} + 0.15 \times \text{Chairperson} =$  \_\_\_\_\_.

2. For Ph.D. Dissertation: Evaluation weight (%) =  $0.60 \times (\text{Average mark of External Examiners}) + 0.4 \times (\text{Average mark of Internal examiners}) =$  \_\_\_\_\_.

Evaluation result (Excellent (A), Very Good (A), Good (B) Satisfactory (B), Fail (C)). The Grading Scales of Each ranks are as follows: **Excellent** if the total score is  $\geq 85$ , **Very Good** if the total score is  $75 \leq X < 85$ , **Good** if the total score is  $65 \leq X < 75$ , **Satisfactory** if the total score is  $50 \leq X < 65$ , and **Fail** if the total score is  $< 50$ . In this description, 'X' indicates the total scores that the student/candidate is obtained.

Grade:

Name of examiner (Internal, External or Chairperson (underline one))

Signature and date

## Appendix 24: Thesis/dissertation evaluation and decision form

*Particulars of the student and decision of the External /Internal/chairperson Examiner*

Name \_\_\_\_\_ ID No. \_\_\_\_\_

Department \_\_\_\_\_

Date of Thesis/Dissertation defense \_\_\_\_\_

Title \_\_\_\_\_

External examiner Evaluation

Internal examiner evaluation (average, if Ph.D.)

Chairperson, if M.Sc. thesis

Grade:

Excellent (A) [85-100):

Very Good (B+) [75-84):

Good (B) [65-74):

Satisfactory (B-) [50-64):

Fail (C) (Below 50):

**The candidate has** passed

failed

We, the undersigned, members of the Board of Examiners of the final open defense by \_\_\_\_\_ have read and evaluated his/her thesis/dissertation entitled“ \_\_\_\_\_” and examined the candidate. This is, therefore, to certify that the thesis/dissertation has been accepted in partial fulfillment of the requirement of the Degree.

**Signatures of the Board of Examiners:**

**Name (print or type)**

**Signature and date**

Advisor \_\_\_\_\_

\_\_\_\_\_

Chairperson \_\_\_\_\_

\_\_\_\_\_

Internal examiner \_\_\_\_\_

\_\_\_\_\_

External examiner \_\_\_\_\_

\_\_\_\_\_

Second External examiner, if Ph.D. \_\_\_\_\_

\_\_\_\_\_

**Remark:** Main comments on thesis/dissertation (please mark on thesis/dissertation with red/blue/pen as well as recommendations to the candidate in the case of failure.

## Appendix 25: Comments and Decision of the Chairman of Board of Examiners

Name \_\_\_\_\_ Signature \_\_\_\_\_

(Chairman, Board of Examiners)

Name of the Candidate: \_\_\_\_\_

**Note:** Please, provide the highlights of issues or points that need correction or improvement. Make it clear and readable as per the articles (numbers) indicated below. The DGC will entirely depend on issues discussed under these articles to evaluate the final draft of the thesis for acceptance. The modification(s) recommended should be clearly indicated under ‘article 3’ (No.3).It is not appropriate to say for example as indicated in ‘article 2’, since points under ‘article 2’ are not binding and do not indicate modification that must be made. Final decision should be stated under No. 4 by mentioning the type (level) such as minor/ major modification or deferred etc. Also mention to whom satisfaction the decision is made. If space given is not enough, use the back of the paper or additional sheet as appropriate.

### 1. Major comments on thesis preparation & defense

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### 2. Suggestions made by Board of Examiners

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3. Modification (s) to be made

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4. Final decision made by the Board of Examiners

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5. Average grade awarded (**Excellent, Very Good, Good, Satisfactory, and Fail**): \_\_\_\_\_

The average grade letter should be calculated based on the following weights:

- For MSc. thesis: Evaluation weight (%) =  $0.50 \times \text{External Examiner's} + 0.35 \times \text{Internal examiner's} + 0.15 \times \text{Chairperson} = \underline{\hspace{2cm}}$ .
- For Ph.D. Dissertation: Evaluation weight (%) =  $0.60 \times (\text{Average mark of External Examiners}) + 0.4 \times (\text{Average mark of Internal examiners}) = \underline{\hspace{2cm}}$ .

To be completed by the Department Head, School Dean and Dean of Office of Postgraduate Studies

To be completed by the Department Head

Approved  Not approved

---

Name of the Department Head                      Signature                      Date

To be completed by the School Dean

Approved  Not approved

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Name of the School Dean                      Signature                      Date

To be completed by Dean Office of Postgraduate Studies

Approved  Not approved

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Name of the Dean                      Signature                      Date

**Appendix 26: Examination Committee Delegation form**

To: Department Graduate Committee

From: -----

Major advisor and member of the examiners of the Ph.D. dissertation open defense. Student-----  
----- had a defense examination of Ph.D. dissertation entitled “---  
-----  
-----

The examining board had finally accepted the thesis with minor /major editorial corrections and had delegated the committee consisting of the advisors, -----to see that the student has incorporated all the recommendation. Accordingly, I have checked that student..... has taken care of all the suggestion of editorial correction indicated by the member of examining board to the best satisfaction. This is, therefore, to testify student-----has met the requirements and that she/he is recommended for graduation.

Sincerely,

Name of Student-----

CC:  
Office of Postgraduate Studies



**Appendix 27: Study duration extension form for M.Sc. /Ph.D. studies**

I-----the undersigned student would like to extend my study period  
because of-----for -----year.

Considering my aforementioned challenges, I would like to request the office of postgraduate  
studies to -----

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Name of the candidate

Signature and Date

**Appendix 28: Ph.D. Progress Report format**

**Adama Science and Technology University**  
**Ph.D. Progress Report format**  
**Office of Postgraduate Studies**  
**Address: Telephone: +251-222-110764**                      **P.O. Box: 1888**

**Table 11: Ph.D. Progress Report format**

<b>1. Title of the Ph.D. research project:</b>	<b>6. Project duration:</b> _____ up to _____
<b>2. Name of the Ph.D. candidate:</b>	<b>7. Fund approved:</b> _____ Birr
<b>3. Name of supervisor(s)</b>  <b>3.1 Main supervisor</b> -----  <b>3.2 Co-supervisor</b> -----	<b>8. Fund utilized</b>  _____ Birr
<b>4. School:</b>  <b>5. Department:</b>  <b>Tele:</b> <b>E-mail:</b>	

**9. Short description of the research project:**

**9.1 Objective(s) achieved in the current progress**

**10. Work plan for the current reporting period: (State briefly the work plan for the Ph.D. research project until the current reporting is made).**

**11. Work accomplished /achievements description: (the report need to include)**

- i) Complete summary of the literature review,
- ii) Any research tools developed,
- iii) Results
- iv) Publication (if any give title and address of the journal)

**12. Problem encountered: (State any major problems encountered while conducting the research):**

**13. Work Plan for the next report: (Description of the work plan for the next phase, including the research time table):**

**14. Fund utilized: indicate the detail expenditure of amount of money utilized for the reporting period.**

	Items	Unit	Unit Cost	Total Cost	Remark
1	<b>Personal Expenses</b>				
	Per diem for Ph.D. student				
	Per diem for data collectors(if any)				
	Assistant Payment (if any)				
2	<b>Purchase of Items</b>				
	Chemicals(any research inputs)				
	Stationery				
3	<b>Other Survives</b>				
	Any laboratory and material testing costs				
4	<b>Transportation</b>				
	Vehicle rent				
	TOTAL				

**15. I certify that the information and figures given in the report are correct and complete to the best of my knowledge.**

_____ Name of Ph.D. student	_____ Signature	_____ Date
_____ Name of Supervisor	_____ Signature	_____ Date
_____ Name of Co-supervisor	_____ Signature	_____ Date

**16. Approval of technical reviewers:**

_____ Name of reviewer	_____ Signature	_____ Date
_____ Name of reviewer	_____ Signature	_____ Date

**17. Approval of Doctoral Committee:**

_____ Name	_____ Signature	_____ Date
_____ Name	_____ Signature	_____ Date
_____ Name	_____ Signature	_____ Date
_____ Name	_____ Signature	_____ Date

18. Approved by the department

\_\_\_\_\_  
Name of Department

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

19. Approved by the school ADAA

\_\_\_\_\_  
Name of ADAA

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

**For ADPGS use**  
Approved by ADPGS:

\_\_\_\_\_  
Name of ADPGS

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## Appendix 29: Ph.D. Progress Report Evaluation format

**Adama Science and Technology University  
Progress Report Evaluation Format  
Office of Postgraduate Studies**

**Address: Telephone: +251-222-110764**

**P.O.Box: 1888**

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### **A. Administration information**

1. Title of the proposal:

\_\_\_\_\_

2. a) Name of Ph.D. candidate: \_\_\_\_\_

b) Name of Major supervisor: \_\_\_\_\_

c) Name of Co-supervisor: \_\_\_\_\_

3. School: \_\_\_\_\_

4. Department: \_\_\_\_\_

5. a) Study duration: \_\_\_\_\_

b) Reporting period: \_\_\_\_\_

### **B. General evaluation**

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

Comment-----  
-----  
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### **C. Technical**

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

\_\_\_\_\_  
\_\_\_\_\_

2. Method used: Is the research methodology for this report sufficiently described?

\_\_\_\_\_  
\_\_\_\_\_

3. Work plan: Is the work plan achieved as per the research proposal?

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4. Results: Are the results well described and can be repeated in this report?

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

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

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7. Fund utilization: Is the fund utilized as per the proposed plan? \_\_\_\_\_

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8. Recommendations: What is recommendation of this report for future

funding put ✓

Accept the report without change:

Accept the report with minor change:

Accept the report with major revision:

Not accepted, that needs re-writing:

9. Recommendations of technical reviewer

- a. \_\_\_\_\_
- b. \_\_\_\_\_
- c. \_\_\_\_\_
- d. \_\_\_\_\_
- e. \_\_\_\_\_

Reviewer's Name \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_







We are Dedicated to Innovative Knowledge!



March, 2021  
ASTU