



THE UNIVERSITY OF ZAMBIA

**REGULATIONS AND GUIDELINES FOR POSTGRADUATE
STUDIES**

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1. RATIONALE

In 2008, the Directorate of Research and Graduate Studies undertook a comprehensive review of the University Regulations for Postgraduate Studies which had been in use since 2006. A wide consultative process involving all internal stakeholders was adopted and completed in September 2009. The Regulations were approved by the Board of Graduate Studies in November the same year and officially came into effect on 20th July 2010. Since then, a number of areas have been identified which require strengthening thereby necessitating another review which also involved a consultative process resulting in the production of the March, 2015 version of the regulations. In 2018, another review was conducted to accommodate new trends in postgraduate training, which resulted into a draft. However, this was overtaken by the decentralisation of postgraduate training at the University necessitating a 2020 review. Notably, the devolution of postgraduate studies functions from DRGS to the Schools and Units has necessitated the strengthening of the School Boards of Graduate Studies to enable them to provide quality control. In addition, the review was necessitated by the need to align the regulations to the University of Zambia Statutes, the Higher Education Authority Regulations and Zambia Qualifications Authority (ZAQA) as well as to accommodate the structured PhD curriculum framework, Taught Masters and the Structured Masters by Research and Publication option. This document derives strength from the Higher Education Act Number 4 of 2013 and the University of Zambia Statutes.

2. SCOPE

The scope of the Postgraduate Regulations of the University of Zambia is as follows:

- (a) The Academic Regulations detailed in this document shall govern all postgraduate studies at the University of Zambia and are binding.
- (b) An individual School or Institute of the University may stipulate specific regulatory requirements, over and above those specified herein, provided that such additional requirements do not in any way conflict with or compromise the regulations detailed in this document. Such additional regulations shall require approval by the School Board of Graduate Studies on behalf of the University Senate. These Regulations shall apply to all postgraduate students at the University of Zambia.

3. REGULATIONS COMMON TO ALL POSTGRADUATE PROGRAMMES

The University of Zambia shall offer the Postgraduate Diploma, Master's Degree and Doctor of Philosophy Degree to qualified individual. In some cases, the University shall offer a Pre-Master's Bridging Programme. The postgraduate programmes shall be administered by Schools and Institutes under the oversight of the School Board of Graduate Studies which shall require the presence of at least two Deans or Directors. These programmes shall be regulated as follows:

3.1 Postgraduate Diploma

3.1.1 Eligibility for admission to the Postgraduate Diploma

The following shall be eligible to apply for admission to the Postgraduate Diploma of the University:

- 3.1.1.1 Graduates of the University of Zambia and any other recognised University who have the appropriate Bachelor's degree; or
- 3.1.1.2 Notwithstanding the provisions in Section 3.1.1.1 above, the Candidates shall also be required to meet any additional admission requirements stipulated in the relevant programme of study.

3.1.2 Structure of Postgraduate Diploma Programme

Programme of study shall comprise:

- 3.1.2.1 Coursework as required by the respective School or Department;
- 3.1.2.2 Attendance at lectures, tutorials and study groups as well as participation in field trips or seminars as directed by the course lecturers; and
- 3.1.2.3 Any other academic activity or practical needed to attain the level appropriate for the award of a Postgraduate Diploma.
- 3.1.2.4 The course material shall be delivered in any appropriate mode, which will depend on the subject syllabus and the number of Students enrolled.
- 3.1.2.5 The Postgraduate Diploma shall normally consist of coursework undertaken over a period of twelve months.
- 3.1.2.6 The Postgraduate Diploma in the Law School shall consist of coursework undertaken over a period of six months.

3.1.3 Assessment and Examination

- 3.1.3.1 Whatever the mode of delivery, there shall be some means of assessment, such as presentations, submission of a report/project, or a written examination.
- 3.1.3.2 The specific mode of assessment of the courses shall be specified in course outlines.
- 3.1.3.3 A Student pursuing a Postgraduate Diploma shall present themselves for the relevant examinations at the appropriate times.

3.1.4 Conversion from the Diploma to the Taught Masters Programme

- 3.1.4.1 A Student registered for a Postgraduate Diploma programme may be eligible to transfer to a Taught Master's Degree programme either during or at the end of the programme. Such eligibility to transfer shall not confer an automatic right to transfer.
- 3.1.4.2 The School Board of Graduate Studies shall use its discretion to stipulate the precise requirements for transfer to a Master's Degree programme from the corresponding Postgraduate Diploma programme.
- 3.1.4.3 The requirements prescribed for transfer from the Postgraduate Diploma programme to the corresponding Taught Master's Degree programme shall be clearly stipulated in the programme regulations for both the Postgraduate Diploma and the Master's Degree programmes. These shall include entrance requirements and expected levels of achievement during the programme and in the examination.
- 3.1.4.4 A Student who is awarded the Master's Degree after transfer in accordance with Section 3.1.4.3 above shall not be eligible to receive the Postgraduate Diploma as well.
- 3.1.4.5 A Student who is awarded the Postgraduate Diploma before transfer to the Master's Degree may retain the Postgraduate Diploma even though they are awarded the Master's Degree.

3.1.5 The Award of the Postgraduate Diploma

- 3.1.5.1 The Postgraduate Diploma shall be awarded by the University of Zambia in the relevant field of study.
- 3.1.5.2 All Diplomas shall be conferred at the graduation ceremony of the University.
- 3.1.5.3 A Student who qualifies for both the Diploma and the Masters award after transferring as per Section 3.1.4.4 shall receive the Masters award only.
- 3.1.5.4 No Student shall receive more than one award for the same period of study.

3.1.6 The Award of the Special Post Graduate Diploma

- 3.1.6.1 A student who has completed Part I Masters by coursework and is unable to proceed to Part II (as stipulated in the programme

specific curricula), or

- 3.1.6.2 Where the dissertation submitted for Master's degree part II fails to attain the requirements to be awarded a Master's degree shall be awarded a Special Post Graduate Diploma. No further work shall be required on the dissertation by the student.

3.2 Pre-Masters Bridging Programme

3.2.1 Eligibility

The following shall be eligible to apply for admission to the Pre-Master's Bridging Programmes offered by various Schools or Institutes of the University of Zambia:

- 3.2.1.1 Graduates from the University of Zambia and any other recognized university who have the appropriate Bachelor's Degree but have a deficit in background senior undergraduate courses recommended for the subject area in which they intend to specialise during their postgraduate studies at the University of Zambia.
- 3.2.1.2 Graduates from any other recognised university who have the appropriate Bachelor's Degree and equivalent senior undergraduate courses but who are deemed by Postgraduate Committees of relevant Departments in the University offering postgraduate studies, to be deficient in specified background knowledge needed in the area of specialisation they intend to major in at postgraduate level at the University of Zambia.

3.2.2 Structure and Assessment of the Pre-master's work

- 3.2.2.1 A student admitted to the Pre-Master's Bridging Programme shall attend coursework for all the recommended senior undergraduate courses.
- 3.2.2.2 The student shall be required to pass the continuous assessment and final University examinations for all the recommended senior undergraduate courses in order to qualify for admission to the intended regular Master's degree programme.

3.3 Professional Master's Degree Programme (Coursework Only)

3.3.1 Eligibility

The following shall be eligible to apply for admission to the Professional Master's Degree of the University:

- 3.3.1.1 Graduates of the University of Zambia and any other recognised

university who have the appropriate Bachelor's Degree; or

- 3.3.1.2 Candidates who completed the Pre-Master's Programme at the University of Zambia.
- 3.3.1.3 However, the above criteria may be revised depending on the circumstances at the time.
- 3.3.1.4 In addition to the provisions in Sections 3.3.1.1 and 3.3.1.2 above, Candidates shall also be required to meet any other admission requirements stipulated in the relevant programme of study.

3.3.2 Structure of Professional Master's Degree Programmes

- 3.3.2.1 A registered student shall pursue a course of study approved by the School Board of Graduate Studies.
- 3.3.2.2 The Professional Master's Degree programme shall consist of coursework undertaken over eighteen months.
- 3.3.2.3 The Accelerated Master of Laws (LL.M) Degree shall be undertaken over a period of twelve months.
- 3.3.2.4 The Professional Master's Degree programme shall read as a Master of a respective programme. For instance, Master of Midwifery, Master of Business Administration, Master of Laws.

3.3.3 Examination of the Professional Master's Degree programme

The following shall be eligible to apply for admission to the Professional Master's Degree programme of the University.

- 3.3.3.1 The specific mode of assessment of the courses shall be specified in the individual course outlines.
- 3.3.3.2 Registered students shall present themselves for the relevant examinations at the appropriate times.
- 3.3.3.3 All courses shall be examined in accordance with the provisions of Section 22 of these Regulations.

3.3.4 The Award of a Professional Master's Degree programme

- 3.3.4.1 A Student who fulfils the coursework requirements for the Professional Master's Degree programme and has satisfied the Board of Examiners shall be recommended to the Senate, through the School Board of Graduate Studies, for the award of the University of Zambia Master's Degree in the relevant field of study. For instance, Master of Midwifery, Master of Business

Administration, Master of Laws.

- 3.3.4.2 The Degree shall be conferred at a graduation ceremony of the University.

3.4 Taught Master's Degree Programme by Coursework and Dissertation

3.4.1 Eligibility

The following shall be eligible to apply for admission to the Taught Master's Degree by Coursework and Dissertation of the University:

- 3.4.1.1 Graduates of the University of Zambia and any other recognised University who have the appropriate Bachelor Degree; or
- 3.4.1.2 Candidates who completed the Pre-master's programme at the University of Zambia shall be eligible to apply.
- 3.4.1.3 However, the above criteria may be revised depending on the circumstances at the time.
- 3.4.1.4 In addition to the provisions in Sections 3.4.1.1 and 3.4.1.2 above, Candidates shall also be required to meet any other admission requirements stipulated in the relevant programme of study.

3.4.2 Structure of Taught Master's Degree by Coursework and Dissertation

- 3.4.2.1 A Student shall pursue studies within a programme approved by the School Board of Graduate Studies, and shall present themselves for the relevant examinations at the appropriate times.
- 3.4.2.2 The Taught Master's Degree programme by coursework and dissertation shall consist of two parts, which shall be undertaken consecutively: Part I (course work) and Part II (research)
- 3.4.2.3 Part I shall be undertaken over a period of twelve months of full- time study or eighteen months of part-time study/distance education and comprises:
 - (a) Coursework as required by the respective School or Department;
 - (b) Attendance at lectures and tutorials/laboratories as well as participation in field trips/seminars as guided by the programme curriculum.
 - (c) An examination at the end of each course taken in Part 1; and

- (d) Submission of a research proposal for Part II of the programme for approval.

3.4.2.4 Part II shall be undertaken over a period of twelve months of full- time study or eighteen months of part-time study and shall comprise supervised research work culminating in the submission of a dissertation. The research proposal for the dissertation shall be approved by the School Board of Graduate Studies, on the recommendation of the concerned Department.

3.4.2.5 No Student shall be permitted to proceed to Part II of the programme unless they have satisfied the requirements for Part I or they have been exempted from them on the basis of equivalent standing acquired elsewhere.

3.4.3 Examination of the Taught Master's Degree by Coursework and Dissertation

3.4.3.1 The specific mode of assessment of the courses taken in Part I shall

be specified in the course outline.

3.4.3.2 Courses taken in Part I shall be examined in accordance with the provisions of the Section 22 of these regulations.

3.4.3.3 Candidates of the Master's degree by Coursework and Dissertation shall submit a dissertation of **20,000 to 35,000** words.

3.4.3.4 Examination of Part II shall consist of the examination of the Candidate's dissertation by a Board of Examiners comprising three Internal Examiners in accordance with the provisions of Section 12 of these regulations.

3.4.3.5 The Board of Examiners will consider the examiners' reports and make a formal decision. The verdict shall be communicated to the student in accordance with Section 12.11.2 b (v).

3.4.4 Award of the Taught Master's Degree by Coursework and Dissertation

3.4.4.1 The award of the Master's Degree with Dissertation is contingent upon a Student having:

- (a) Completed an approved programme of supervised research;
- (b) Presented a written dissertation which demonstrates an advanced level of knowledge and understanding in the Candidate's field of study and which describes and summarises the research undertakings and findings;

- (c) Satisfied the Board of Examiners in an oral examination on matters relevant to the subject matter of the dissertation; and
- (d) Complied with the supervision and attendance requirements as laid down by the relevant School.

3.4.4.2 A Student who fulfils the requirements for the Taught Master's Degree by coursework and dissertation and has satisfied the Board of Examiners shall be recommended to the Senate, through the School Board of Graduate Studies, for the award of the University of Zambia Master's Degree in the relevant field of study.

3.4.4.3 The Degree shall be conferred at a graduation ceremony of the University.

3.5 Master of Medicine Degree Programme

3.5.1 Eligibility

The following shall be eligible to apply for admission to the Master of Medicine Degree of the University:

- 3.5.1.1 Graduates of the University of Zambia and any other recognised University who have the appropriate Bachelor's Degree
- 3.5.1.2 However, the above criteria may be revised depending on competition.
- 3.5.1.3 In addition to the provisions in Section 3.5.1.1 above, Candidates shall also be required to meet any other admission requirements stipulated in the relevant programme of study.

3.5.2 Structure of the Master of Medicine Degree Programme

- 3.5.2.1 The Master of Medicine programme shall be an in-service training programme at the University of Zambia.
- 3.5.2.2 A Student shall pursue a course of study approved by the School Board of Graduate Studies, and shall present themselves for the relevant examinations at the appropriate times.
- 3.5.2.3 The duration of the programme shall be for a minimum of four years or maximum of five years.
- 3.5.2.4 The Master of Medicine Degree programme shall consist of four parts, namely Parts I-IV, which shall be undertaken consecutively. No Student shall be permitted to proceed from

one part to the next without passing the Oral, Clinical and written examinations for each part.

3.5.2.5 Part I shall be undertaken over twelve months of full-time study and shall comprise:

- (a) Coursework (revision and expansion of relevant basic sciences) as required by the School or Department;
- (b) General clinical experience in the Student's specific Department at an introductory level;
- (c) Attendance at lectures and tutorials as directed by the Student's specific Department;
- (d) Identification of research proposal topic; and
- (e) Written, clinical and oral examinations.

3.5.2.6 Part II shall normally be undertaken over twelve months of full-time study and shall comprise:

- (a) Coursework (in the practice of the specialised field in general) as required by the respective School or Department;
- (b) Acquisition of general clinical experience in the Candidate's specific Department at an intermediate level;
- (c) Submission of an approved research proposal; and
- (d) Written clinical and oral examinations.

3.5.2.7 Part III shall normally be undertaken over twelve months of full-time study and shall comprise:

- (a) Coursework (in the principles and practice of the major specialities) as required by the respective School or Department;
- (b) Acquisition of specialist clinical experience in the Candidate's specific Department at an introductory level and clinical experience in the general field at an advanced level;
- (c) Supervised research on an approved research topic;
- (d) An elective rotation in a District practice, or other approved clinical electives; and
- (e) Written clinical and oral examinations.

3.5.2.8 Part IV shall normally be undertaken over twelve months

of full-time study and shall comprise:

- (a) Coursework (in the principles and practice of the sub-specialities) as required by the respective School or Department;
- (b) Acquisition of sub-specialist clinical experience in the Candidate's specific Department at an introductory level and clinical practice in the general field of specialisation at an advanced level;
- (c) Submission of dissertation for examination at least three months before the final clinical and oral examinations;
- (d) Examination of the Dissertation; and
- (e) Written clinical and oral examinations.

3.5.3 Examination of Parts I - IV of the Master of Medicine Degree by Coursework and Dissertation

3.5.3.1 The Candidates shall be examined in all Parts of coursework by means of written and oral examinations in accordance with the provisions of the Sections 12 and 22 of these regulations.

3.5.3.2 The dissertation shall be examined in Part IV in accordance with the provisions of the Section 12 of these regulations.

3.5.4 Award of the Master of Medicine Degree by Coursework and Dissertation

The Master of Medicine Degree shall be conferred at a graduation ceremony of the University.

3.6 Master's Degree by Research

There shall be two options for Master's Degree by Research:

- (a) Master's Degree by Monograph
- (b) Master's Degree by Publication

3.6.1 Eligibility

3.6.1.1 The following are the eligibility criteria for admission to the Master's Degree by Research:

- (a) Graduates of the University of Zambia and any other recognised University who have the appropriate Bachelor's Degree; or

- (b) Candidates who completed Pre-master's programme at the University of Zambia shall be eligible to apply.
- (c) In addition to the provisions in Section 3.6.1.1 (a) above, Candidates shall also be required to meet any other admission requirements stipulated in the relevant programme of study.

3.6.1.2 The eligibility criteria are subject to revision depending on competition and other circumstances.

3.6.2 Structure of the Master's by Research Degree Programme

- 3.6.2.1 The normal duration of a Master's Degree by Monograph shall be twenty-four months of full-time study or thirty-six months of part-time study.
- 3.6.2.2 A research proposal and a three-page summary shall be submitted and an oral presentation of the same shall be made by the Candidate to the Department, which in turn shall submit the three-page summary for consideration and approval to the School. The approved research proposal shall be sent by the Head of Department to the School Board of Graduate Studies for ratification and record.
- 3.6.2.3 The School Board of Graduate Studies may require a Student to attend a course or such courses as may be found necessary to remedy any deficiencies in the Student's academic background so as to endow the Student with specialised skills or knowledge such as scientific writing, communication and research methodology to assist them in their study or research. Performance in the course(s) offered may be assessed.
- 3.6.2.4 The Student shall be required to submit a softcopy of the thesis for examination to the Assistant Dean – Postgraduate Studies.

3.6.3 Examination of the Master's by Research

- 3.6.3.1 Candidates of the Master's degree by Monograph shall submit a thesis of **40,000 to 60,000 words** which shall be examined by a Board of Examiners comprising one External and two Internal Examiners in accordance with the provisions of Section 12 of these regulations.
- 3.6.3.2 Candidates of the Master's degree by Publication shall submit a short thesis of **30,000 to 40,000 words** which shall have at least one publication as an annex and shall be examined by a Board

of Examiners comprising two Internal Examiners only. There shall be no need of external examiners because the peer review process of the annexed publication would be equivalent to two or three external examiners depending on journal requirements.

- 3.6.3.3 In addition to the thesis examination, there shall be an oral examination (*Viva Voce*) for both the Master's Degree by Monograph and the Master's Degree Publication. The *Viva Voce* shall be conducted by the Board of Examiners in accordance with the provisions of Section 12 and in line with 3.6.3.1 and 3.6.3.2 above.

3.6.4 The Award of the Master's by Research Degree

- 3.6.4.1 The award of the Master's Degree by Monograph is contingent upon a Student having:

- (a) Completed an approved programme of supervised research;
- (b) Presented a written thesis which demonstrates an advanced level knowledge and understanding in the Candidate's field of study and which describes and summarises the research undertakings and findings
- (c) Satisfied the Board of Examiners in an oral examination on matters relevant to the subject matter of the thesis;
- (d) Complied with the supervision and attendance requirements as laid down by the relevant School; and
- (e) Proof of submission of at least one journal article or a letter of acceptance of at least one journal article.

- 3.6.4.2 The award of the Master's Degree by Publication is contingent upon a Student having:

- (a) Successfully completed at least 120 credit units of approved coursework including Research Methodology, Scientific Writing and a discipline-specific course (as advised by the Head of Department). Transcripts of results for courses or modules conducted outside the University of Zambia must be submitted to the Department for approval and registration. Credit points will be awarded following the guidelines set by Higher Education Authority and the Zambia Qualifications Authority in consultation with degree requirements of individual Programmes.

- (b) Published at least one scholarly paper from their work in a peer-reviewed indexed journal with a minimum impact factor of 1.0. The Journal must be indexed by major scholarly biometric engines such as PubMed, Web of Science, Scopus, or if the publisher is a member of a recognised industry initiative such as COPE, DOAJ, OASPA, INASP Journals Online, African Journals Online, etc.
- (c) Submitted an approved short thesis of **ABOUT 30,000** words highlighting a critical review of the paper(s) published from the research of the Master's work.

3.6.4.3 A Student who has fulfilled the requirements of Sections 3.6.4.1 and 3.6.4.2 and satisfied the Board of Examiners shall be recommended to the Senate, through the School Board of Graduate Studies for conferment of the University of Zambia Master's Degree in the relevant field of study.

3.6.4.4 The degree shall be conferred at a graduation ceremony of the University.

3.7 Upgrading a Master's by Publication to Master of Philosophy (MPhil).

3.7.1.1 Masters students who perform exceptionally well will be upgraded to a Master of Philosophy degree (MPhil).

3.7.1.2 The exceptional performance will include:

- i. Publishing more than one paper in an indexed peer-reviewed journal with an impact factor of at least 1.0
- ii. Publishing one paper in an indexed peer-reviewed journal with an impact factor of at least 3.0 as first author and as a corresponding author.
- iii. Publishing within the same subject area as indicated in the submitted educational plan, concept note or research proposal.

3.7.1.3 The following will not be considered for upgrade to MPhil:

- i. Candidates registered under a taught master's programme.
- ii. Candidates who submit review papers.

3.7.1.4 The supervisor will write to the Head of Department indicating the exceptional performance of his or her student. The Head of Department will assess the papers with the help of an independent expert (if the need arises) in the field. If it is

established that the student fulfils the requirements of an upgrade to MPhil, the Head will submit the case to the School Board of Graduate Studies for approval.

- 3.7.1.5 A Student who has fulfilled the requirements of Section 3.9.2 and satisfied the School Board of Examiners shall be recommended to the Senate, through the School Board of Graduate Studies for the Award of the MPhil Degree of the University of Zambia in the relevant field of study.

3.8 Doctor of Philosophy (PhD) and Professional Doctorate

The University of Zambia offers Doctorate Degrees through the following modes:

- (a) PhD by Coursework and Research
- (b) PhD by Research
- (c) PhD by Cumulative Publications
- (d) Professional Doctorate

3.8.1 Eligibility to the PhD

- (a) Graduates of the University of Zambia or other recognised universities who hold the appropriate Master's degree or Master of Philosophy;
- (b) A Candidate whom the University recognises as having equivalent standing to holders of the Master's Degree of the University;
- (c) Notwithstanding the provisions above, an Applicant may be required to take a qualifying examination and, in certain cases, to take appropriate courses prior to admission.

3.8.2 Additional admission requirements for the PhD by Cumulative Publications.

- 3.8.2.1 Holders of MSc or MPhil of the University of Zambia or any other recognised university.
- 3.8.2.2 Active researchers in their fields of expertise with a minimum of five years' experience post-attainment of Master's degree in a University, Research Unit or Institution.
- 3.8.2.3 Applicants who have published at least five research articles as first author and corresponding author in the relevant field of specialization in indexed peer-reviewed journals with an impact factor of at least 1.0. The five papers should have been published within five years before the time the candidate is applying to register for a PhD. The five papers should be

submitted to the Head of Department at the time of application.

3.8.3 Duration of the PhD

3.8.3.1 By Coursework and Research and by Research only.

The normal duration for the PhD by Research and coursework and PhD by Research only shall be 3-5 years of full-time study, and 4-7 years of part-time study.

3.8.3.2 By Cumulative Publications

The normal duration for the PhD by Cumulative Publications shall be 3years.

3.8.4 Structure of the PhD by Coursework and Research

3.8.4.1 The normal duration for the PhD by Coursework and Research and PhD by Research only shall be 3-5 years of full-time study and 4-7 years of part-time study.

3.8.4.2 The PhD by Coursework and Research shall comprise supervised research work culminating in the submission of a thesis with two papers.

3.8.4.3 Upon the recommendation of the relevant Department, the Candidate's full research proposal as well as a five-page summary of the PhD proposal shall be considered for possible approval by the appropriate School Board of Graduate Studies. The Assistant Dean or the Assistant Director for Postgraduate Studies shall keep the record.

3.8.4.4 The whole process of proposal preparation and approval shall normally not exceed:

- (a) The duration of the first six months of study in the case of full-time candidates; and
- (b) The duration of the first nine months of study in the case of part-time candidates.

3.8.4.5 Course work with prescribed number of credits as guided by the programme will be undertaken to enable the candidates develop skills in proposal preparation.

3.8.4.6 The School Board of Graduate Studies may require a Student to attend a course or courses as may be found necessary to equip the Student with specialised skills or knowledge to assist them in their study or research. Performance in the course(s) offered

shall be assessed in accordance with the Programme requirements.

- 3.8.4.7 The required coursework is defined within each PhD programme in line with the school curriculum. The required coursework shall include courses at PhD or Master's degree level equivalent to the minimum credit units for PhD as indicated in Appendix C.
- 3.8.4.8 The distribution of the credit points shall be as indicated in Appendix C.
- 3.8.4.9 For courses offered at the University of Zambia, candidates shall consult the Head of Department to find out the period when particular courses would run and to register for them accordingly.
- 3.8.4.10 A candidate who has done courses outside their department within 3 years of their admission into PhD will have credits transferred towards their coursework. The candidate shall apply to the Head of department to have credits transferred to their PhD coursework.
- 3.8.4.11 There shall be a mandatory midterm evaluation of a Candidate's progress after 18 months of registration by an academic outside the supervision team. The assessor will be an independent scholar in the subject from within or outside the school.

3.8.5 Structure of the PhD by Research or PhD by Publication

- 3.8.5.1 The normal duration for the PhD by Research shall be 3-5 years of full-time study and 4-7 years of part-time study.
- 3.8.5.2 The PhD by Research shall comprise supervised research work culminating in the submission of a thesis with two papers.
- 3.8.5.3 Upon the recommendation of the relevant Department, the Candidate's full research proposal as well as a five-page summary of the PhD proposal shall be considered for possible approval by the appropriate School Board of Graduate Studies. The Assistant Dean or the Assistant Director for Postgraduate Studies shall keep the record.
- 3.8.5.4 The whole process of proposal preparation and approval shall normally not exceed:

- (a) The duration of the first six months of study in the case of full-time candidates; and
 - (b) The duration of the first nine months of study in the case of part-time candidates.
- 3.8.5.5 Course work with prescribed number of credits as guided by the programme will be undertaken to enable the candidates develop skills in proposal preparation.
- 3.8.5.6 The School Board of Graduate Studies may require a Student to attend a course or courses as may be found necessary to equip the Student with specialised skills or knowledge to assist them in their study or research. Performance in the course(s) offered shall be assessed in accordance with the Programme requirements.
- 3.8.5.7 The required coursework is defined within each PhD programme in line with the school curriculum. The required coursework shall include courses at PhD or Master's degree level equivalent to the minimum credit units for PhD as indicated in Appendix C.
- 3.8.5.8 The distribution of the credits points shall be as indicated in Appendix C.
- 3.8.5.9 For courses offered at the University of Zambia, candidates shall consult the Head of Department to find out the period when particular courses would run and to register for them accordingly.
- 3.8.5.10 A candidate who has done courses outside their department within 3 years of their admission into PhD will have credits transferred towards their coursework in accordance with the Student and Credit Transfer Policy of the University of Zambia.
- 3.8.5.11 There shall be a mandatory midterm evaluation of a Candidate's progress after 18 months of registration by an academic outside the supervision team. The assessor will be an independent scholar in the subject from within or outside the school.

3.8.6 Examination of the PhD by Coursework and Research and PhD by Research and Publication

- 3.8.6.1 The PhD coursework shall be examined by the course coordinators.

- 3.8.6.2 The PhD candidate shall submit an electronic copy of their thesis for examination in accordance with the procedures stipulated in Section 12.
- 3.8.6.3 The PhD thesis shall be examined in accordance with the provisions. In some optional cases the PhD candidate shall also present a 30 minutes' trial lecture on the given topic in the discipline to demonstrate the breadth of their understanding of the field. The Board of Examiners shall assess the trial lecture.

3.8.7 Award of the PhD by Coursework and Research and the PhD by Research

- 3.8.7.1 The award of the degree of PhD by Coursework and Research and PhD by Research is contingent upon a Candidate having:
 - (a) Completed an approved programme of supervised research.
 - (b) Successfully completed required coursework (Credits as indicated in Appendix C).
 - (c) Submitted a written thesis **of 65,000 to 90,000** words based on original research.
 - (d) Complied with the supervision requirements as laid down by the respective School; and published at least two peer-reviewed articles in a peer-reviewed journal with a minimum impact factor of 1.0. The journals must be indexed by major scholarly biometric engines such as PubMed, Web of Science, Scopus, or if the publisher is a member of a recognised industry initiative such as COPE, DOAJ, OASPA, INASP Journals Online, African Journals Online.
 - (e) All Journal articles published in predatory journals shall not be considered
 - (f) Satisfied the Board of Examiners in an oral examination (Viva Voce) that the Candidate has a deep understanding of the field of study; and having presented a trial lecture on a given topic (where required) as indicated in 3.8.6.3. The trial lecture shall be presented the same day but before the Viva voce. All this shall be done in public.
- 3.8.7.2 A Candidate who has fulfilled the requirements of the research programme in 3.8.7.1 shall be recommended to the Senate, through the School Board of Graduate Studies, for conferment of the degree of Doctor of Philosophy of the University of Zambia.

- 3.8.7.3 The Doctor of Philosophy Degree shall be conferred at a graduation ceremony of the University.

3.8.8 Structure of the PhD by Cumulative Publications

- 3.8.8.1 The normal duration for the PhD by Cumulative Publications shall be 3 years of full-time study.
- 3.8.8.2 Applicants to the PhD by Cumulative Publications shall submit their selected publications in the same specialisation to the Head of Department and a brief critical review of the five publications.
- 3.8.8.3 The Head of Department shall appoint three internal assessors to give the School Board of Studies an opinion on the appropriateness of the submission. One of the assessors may be the Head of Department but must also include the most appropriate subject specialists. The internal assessors will assess whether the submission appears to meet the criteria for the award of the degree as specified or not and to recommend approval of the applicant's candidature. Where the assessors observe some gaps, they will recommend to the student to fill these gaps before approval of candidature.
- 3.8.8.4 The submitted cumulative publications must be in peer-reviewed indexed journals and must demonstrate evidence of an original and significant contribution to knowledge within the discipline. The applicant must be the first and corresponding author on all the submitted publications. Publications submitted for the Cumulative PhD shall not be more than five years old at the time of student registration.
- 3.8.8.5 When the applicant's candidature is approved, the School Board will appoint a Supervisor to provide support and guidance on publications to be submitted for examination. The Supervisor should be a member of academic staff with a good publication record.
- 3.8.8.6 The Supervisor shall provide guidance to the candidate in the following:-
- (a) whether further publications are needed;
 - (b) choice of the critical supporting documents;
 - (c) the importance of coherence of the work to be submitted, and;
 - (d) the need for any research training,

(e) Thesis write-up

3.8.8.7 Candidates should indicate at the point of submission of the thesis title that they intend to pursue the PhD by Cumulative Publications. A candidate who has been admitted to another PhD mode or to the MPhil shall not be eligible to transfer to this mode of PhD under these regulations.

3.8.9 Examination of the PhD by Cumulative Publications

3.8.9.1 The candidate shall submit a short thesis of **30,000 to 40,000** words based on at least five papers published in indexed peer-reviewed journals as detailed in 3.8.7.1.

3.8.9.2 Publications included in the thesis submitted for the PhD by Cumulative Publications should not have been used in a pending or an already awarded academic qualification.

3.8.9.3 The PhD by Cumulative Publications thesis will be examined by a board of examiners comprising three internal examiners. There shall be no external examiners since the thesis will be based on peer-reviewed publications.

3.8.10 The Award of the PhD by Cumulative Publication

3.8.10.1 The award of the PhD by Cumulative Publications is contingent upon a Candidate having:

- (a) Presented a thesis whose number of words is detailed in 3.8.9.1
- (b) Successfully presented an approved 30-minute public trial lecture on a given topic.
- (c) Satisfied the Board of Examiners in an oral examination (Viva Voce) that the Candidate has a deep understanding of the field of study.
- (d) Complied with the supervision requirements as laid down by the University.

3.8.10.2 A candidate who has fulfilled the requirements for the award of the PhD by Cumulative Publications shall be recommended to the Senate, through the School Board of Graduate Studies, for the award of the degree of Doctor of Philosophy of the University of Zambia.

3.8.10.3 The Doctor of Philosophy Degree shall be conferred at a graduation ceremony of the University.

3.8.11 Failure to fulfil the requirements of the PhD Award

A Candidate who fails to fulfil the requirements of the PhD may be recommended to the Senate through the School Board of Graduate Studies, for the award of the Master of Philosophy (MPhil) degree or other qualification lower than PhD.

3.9 Professional Doctorate Degree

The University of Zambia offers Professional Doctorate degrees mainly by coursework.

3.9.1 Eligibility to the Professional Doctorate

- 3.9.1.1 Graduates of the University of Zambia who hold the appropriate Master's or MPhil degree.
- 3.9.1.2 Candidate from other recognised universities who possess an appropriate Master's or MPhil Degree of the University.
- 3.9.1.3 Notwithstanding the provisions above, an Applicant may be required to take a qualifying examination and, in certain cases, to take appropriate courses prior to admission.

3.9.2 Structure of the Professional Doctorate Degree

- 3.9.2.1 The normal duration for the Professional Doctorate degree programme shall be 3-5 years of full-time study, 4-7 years of part-time study.
- 3.9.2.2 The required coursework is defined within each Professional Doctorate programme in line with the school curriculum. The required coursework shall be at Doctoral level.
- 3.9.2.3 A candidate who has done courses outside their department within 5 years of their admission into PhD may apply for credits to be transferred towards their coursework in accordance with the Student and Credit Transfer Policy of the University of Zambia.

3.9.3 Assessment of the Professional Doctorate Degree

- 3.9.3.1 The Professional Doctorate coursework shall be examined by the Department(s).
- 3.9.3.2 The research report shall be assessed by the Principal Supervisor and two independent internal examiners.

3.9.4 Award of the Professional Doctorate Degree

- 3.9.4.1 The award of the degree of the Professional Doctorate is contingent upon a Candidate having:

- (a) Successfully completed approved required coursework (360 credit points) in accordance with Appendix C and specific requirements set by the school curriculum.

3.9.4.2 A Candidate who has fulfilled the requirements of the programme, accumulated minimum credit points, and satisfied the Board of Examiners shall be recommended to the Senate, through the School Board of Graduate Studies, for award of the of Professional Doctorate of the University of Zambia.

3.9.4.3 The Professional Doctorate Degree shall be conferred at a graduation ceremony of the University.

3.10 Higher Doctorate Degree

3.10.1 Types of Higher Doctorate Degrees Offered

The following are the Higher Doctorate Degrees offered by the University:

3.10.1.1 Doctor of Science (DSc): Applicable to academic disciplines in the Schools or Institutes of Agricultural Sciences, Engineering, Medicine, Mines, Natural Sciences and Veterinary Medicine.

3.10.1.2 Doctor of Letters (DLtt): Applicable to academic disciplines in the Schools or Institutes of Education, Law and of Humanities and Social Sciences.

3.10.2 Eligibility for Higher Doctorate Degree

The following shall be eligible for candidature for a Higher Doctorate of the University:

3.10.2.1 A holder of a Doctorate Degree of the University of Zambia of at least six years standing; or

3.10.2.2 A holder of a Doctorate Degree of any other recognised University who at the time of applying for the Higher Doctorate Degree, has served in a teaching or research role for not less than four years at the University of Zambia; and

3.10.2.3 Any member of the University academic staff who has published at least fifteen scholarly work or research in a particular field in internationally recognised referred journals and made an original contribution to knowledge.

3.10.3 Application for Candidature

3.10.3.1 A Higher Doctorate shall be awarded for a sustained, original and distinguished contribution to a branch of knowledge, as stipulated in Section 3.10.2 above.

3.10.3.2 A prospective Candidate for a Higher Doctorate shall apply to the School of their academic discipline.

3.10.3.3 The Applicant shall provide the following documents to support their application for the Higher Doctorate candidacy:

- (a) Detailed curriculum vitae;
- (b) Certified copies of their academic qualifications;
- (c) Provide a concise and comprehensive unifying statement of not more than one thousand words summing up their research work;
- (d) Provide compiled published work, excluding any work which has been submitted for the award of any degree or diploma at this or any other University; and
- (e) A signed declaration that the compiled work has not been submitted for Higher Doctorate at any other University.

3.10.4 Evaluation of Candidature for Higher Doctorate

3.10.4.1 The appropriate School Board of Graduate Studies shall consider all applications for the Higher Doctorate and evaluate the eligibility of the Applicants.

3.10.4.2 The Dean or Director of the concerned School shall submit the recommendations of the School Board of Graduate Studies to a Panel of Assessors.

3.10.5 Assessment Procedure

3.10.5.1 The School Board of Graduate Studies shall appoint a panel of at least five Assessors for the Candidate. Two of the Assessors shall be external to the University.

3.10.5.2 The function of the Assessors shall be to certify and critically assess the Candidate's published work to ascertain that the work has made a substantial and original contribution to knowledge.

3.10.5.3 The Assessors shall submit a signed report on the Candidate's work to the Dean or Director within three months. The Assessors shall state in definite terms whether the Higher Doctorate should be awarded to the Candidate or not.

3.10.5.4 The candidate shall hold a public lecture as part of the assessment.

3.10.5.5 In case of disagreement among the Assessors regulations like those prescribed for Doctoral Degree Candidates for such a case

shall apply.

- 3.10.5.6 A Candidate who fails to qualify for the Higher Doctorate award shall only be allowed to re-apply for the same degree after a minimum period of five years.

3.10.6 Criteria for Appointment of Assessors

- 3.10.6.1 The Assessors for a Higher Doctorate shall be selected from amongst highly distinguished scholars in the appropriate discipline and should preferably be themselves PhD holders.
- 3.10.6.2 An Assessor should not have co-published with the Candidate.

3.10.7 The Award of the Higher Doctorate

- 3.10.7.1 Final approval of the award of the degree shall be granted by the Senate on the recommendation of the School Board of Graduate Studies.
- 3.10.7.2 The degree shall be conferred at a special convocation ceremony of the University.
- 3.10.7.3 A successful Candidate for the Higher Doctorate award shall be required to give a public acceptance lecture at the special Convocation.

3.11 Post-Doctoral Studies

3.11.1 Eligibility

The University of Zambia shall offer Post-Doctoral studies to Candidate who qualified for PhD within the previous 5 years at the time of application.

3.11.2 Structure of Post-Doctoral Studies

- 3.11.2.1 The Post-Doctoral studies are intended to provide the recently qualified PhD holder an opportunity to expand their research skills and knowledge.
- 3.11.2.2 The Post-Doctoral Researcher is given a temporary working Position that is assigned by the host School or Institute for a period determined by the School or Institute.
- 3.11.2.3 The Post-Doctoral Researcher is expected to carry out research and other academic activities approved by the School or Institute.
- 3.11.2.4 The host School or Institute shall determine the conditions under which the Post-Doctoral Researcher will serve in consultation

with Academic Office.

3.11.3 Qualification after completion of Post-Doctoral Studies

The University of Zambia will not give any award for completion of Post-Doctoral studies.

4. SUMMARY OF POSTGRADUATE PROGRAMMES OFFERED AT THE UNIVERSITY OF ZAMBIA

The University of Zambia offers opportunities for postgraduate studies at Diploma, Masters, Doctorate and Higher Doctorate levels.

4.1 Postgraduate Diploma

- (a) Regular Postgraduate Diploma: This is a Postgraduate Diploma approved and offered by the relevant Schools or Institutes

4.2 Master's Degrees

The University of Zambia offers Master's Degrees through the following modes:

- (a) Professional Master's Degree (Coursework Only)
- (b) Taught Master's Degree by Coursework and Dissertation
- (c) Master's Degree by Research
- (d) Master of Medicine (MMed)

4.3 Doctorate Degree

The University of Zambia offers Doctor of Philosophy (PhD) and Professional Doctorate degrees. The PhD Degrees are offered through the following modes:

- (a) PhD by Coursework and Research
- (b) PhD by Research
- (c) PhD by Cumulative Publications

The Professional Doctorate is offered through coursework and a research report.

4.4 Higher Doctorate Degree

The following are the Higher Doctorate Degrees offered by the University:

- (a) Doctor of Science (DSc)
- (b) Doctor of Letters (DLitt)

5. MARKETING AND QUALITY ASSURANCE

- (a) Schools and Institutes and the Marketing Unit of the University shall be responsible for marketing of their Postgraduate programmes in line with relevant policies of the University.
- (b) Schools and Institutes shall be responsible for developing School or Institute-specific Postgraduate Handbooks.
- (c) The Directorate of Quality Assurance shall be responsible for providing templates for School and Institute-specific handbooks.

6. APPLICATION AND ADMISSION PROCEDURES

The applications and admissions procedures shall be as stipulated in the Admissions Policy of the University of Zambia.

7. REGISTRATION

- (a) All admitted Students shall be required to register for courses online at the beginning of the academic year through the online platform which is accessible on the UNZA website. Registration shall be completed upon payment of requisite fees.
- (b) Registration for postgraduate studies shall normally be effective from the beginning of each academic year.
- (c) A Student who registers or enrolls later than the end of the normal registration period without prior approval and in the absence of a medical or other good cause shall be liable to a late registration penalty fee.
- (d) A Student on a postgraduate programme by research who has not started their programme of study within the registration period from the effective registration date as stipulated in 7(c) shall be considered as having absconded from the programme and their admission shall be deemed to have lapsed. Consequently, they shall be required to re-apply to the School or Institute if they wish to be re-admitted.
- (e) A Student who wishes to withdraw from studies shall apply, using the prescribed form, for permission to the Dean or Director in their School or Institute.
- (f) A student wishing to resume their studies following a period of withdrawal with permission from studies shall apply, using the prescribed form, for permission to the Dean or Director in their School or Institute and then register in order to resume their programme of study.

- (g) Student who stays away from studies without permission for a term or semester shall be deemed to have absconded and shall be deregistered without notice.
- (h) A Student shall not be allowed to register for more than one programme at any given time.
- (i) Failure to complete the registration process shall exclude the student from all academic services.
- (j) Schools or Institutes shall be responsible for coordinating orientation events for students in collaboration with Academic Office, International Link Office, CICT, Clinic, Library, Dean of Students Office and any other relevant University unit.

8. ENROLMENT

- (a) All admitted Applicants who accept a place at the University shall be required to enrol either on full-time, on part-time or distance education basis at the times specified by the University. However, an Applicant admitted to a Postgraduate Diploma or a Taught Master's Degree programme shall normally enrol for their studies as a full-time Student only, unless otherwise stipulated in the individual programme.
- (b) Enrolment for part-time research shall be permitted by the University only where the School Board of Graduate Studies is satisfied that the Student shall be able to attend school for such periods of time as shall be necessary for adequate
- (c) Applicants who accept a place at the University shall be required to pay the requisite fees to register in the relevant programme of study.
- (d) A Student who wishes to change their enrolment status shall be required to apply to the respective school for permission to do so.
- (e) A student who wishes to change programme within or across Schools or Institutes shall be required to apply to the respective School or Institute.
- (f) A student who wishes to transfer from another University shall be required to apply to the respective School or Institute in accordance with the Student and Credit Transfer Policy of the University of Zambia.
- (g) All enrolled Students shall abide by these and any other relevant University regulations.
- (h) Failure to comply with the University's requirements of 8(a)-8(d) shall result in the withdrawal of the offer of a place and or in the termination of the Student's enrolment.

9. TERMINATION OF STUDENT REGISTRATION

9.1 Grounds for Termination of Student Registration

A Student's registration may be terminated on any one or more of the following grounds:

- (a) Failure to settle fees within the stipulated period and according to the agreed conditions.
- (b) In the absence of a satisfactory and adequately documented reason, the Student fails to satisfy the requirements for attendance or submission of work specified for the course.
- (c) Failure to adhere to the regulations stipulated in this document and those stipulated in the specific programme of study in which the Student is registered and any other relevant University regulations.
- (d) Involvement in unethical professional, research or academic activities such as plagiarism exceeding the similarity index of 25% excluding tables, figures, references and appendices.
- (e) Involvement in any unlawful activity contrary to the General Rules and Regulations for Students of the University of Zambia.

9.2 Procedure for Termination of Student Registration

The following steps shall be taken:

- (a) The appropriate Head of Department shall issue a written warning to the Student.
- (b) If no satisfactory improvement is observed within a month, the Head shall report the matter to the Assistant Dean or Assistant Director for Postgraduate Studies who shall issue a first formal written warning to the Student. The warning letter shall state the reason(s) for the dissatisfaction of the Supervisor or the Department and any specific area(s) which must be improved upon to avoid deregistration.
- (c) If no satisfactory improvement is observed within four weeks the Assistant Dean or Assistant Director shall issue a second and final formal written warning to the Student.
- (d) At each warning, the Student shall have an opportunity to meet with the Supervisor or Head of Department in the presence of the Assistant Dean or Assistant Director to discuss the grounds for dissatisfaction. The Student may request one other member of academic staff of the Department to be present at the meeting.

The Head of Department or the Supervisor may set the warning aside in writing at this point.

- (e) Any formal warning that has not been set aside will remain active for the duration of the Student's period of study.
- (f) If after the second warning from the Assistant Dean or Assistant Director, the Head of Department or the Supervisor deems it necessary that the Student's registration should be terminated, a recommendation for deregistration shall be made to the School Board of Graduate Studies.
- (g) Upon approval the School Board of Graduate Studies the School or Institute shall write to the Student informing them of the decision and the reasons. The student has the right to appeal against the decision using the normal appeal procedure of their right to appeal.

There shall be no appeal against the academic judgment of the Board.

10. ASSESSMENT

10.1 Assessment of Courses

- (a) Methods of assessment are stipulated in individual programmes, courses or modules and shall be communicated to Students through the course outline.
- (b) By registering for a course or module, a Student shall also be deemed to have entered for examination in that course or module.
- (c) In order to qualify for a final grade in a course from the Examiners, a Student is required to satisfy the attendance requirements stipulated and to complete and present for assessment all work stipulated for the course within stipulated deadlines.
- (d) Examinations shall be organised by the Schools or Institutes, in line with the University Calendar. A more comprehensive treatment of this matter is contained in Section 22.

10.2 Quality Assurance

The quality of all postgraduate programmes at the University shall be assured through a variety of ways, such as:

10.2.1 External Examination

The University postgraduate programmes shall be subjected to external examination in two ways:

i. Postgraduate Diploma and Taught Master's Degree

External Examiners for Postgraduate Diplomas and Taught Master's Degree programmes shall be appointed who shall be expected to visit the University once in two years. This visit shall normally take place at the time of consideration of final examination results. In between the External Examiner's visits, full consultation shall take place between the External Examiner and the teaching Department, a written record of which shall be made available to the School Board of Graduate Studies.

ii. Masters by Research and Doctorate Degrees

External Examiners shall be appointed to examine Masters and Doctorate theses in accordance with Sections 12.

10.2.2 Internal Examination

Internal Examiners shall be appointed to examine Masters and Doctorate theses in accordance with Sections 12.

10.2.3 Curriculum Review

The University postgraduate programmes shall be reviewed (by Departments in Schools or Institutes) every five years to enhance Student learning, engagement, experience and outcome.

10.2.4 Research Supervision

To assure quality in supervision the following shall be adhered to:

- i. each student shall be assigned one or more supervisors in accordance with the Section 12 of this regulation,
- ii. regular contact between the supervisor and student shall be monitored using the approved Research Supervision Record Form signed by both the student and supervisor after every meeting,
- iii. develop a joint annual work plan between the supervisor and the student as the basis for monitoring of student's progress.
- iv. submit joint annual progress report between the supervisor and the student to the Head of Department.

10.3 Assessment Procedure for Postgraduate Diploma and Taught Master's Degrees

All the following regulations apply to both programmes.

- (a) Postgraduate Diploma and Taught Masters A Student for the Postgraduate Diploma or the Taught Master's Degree shall be examined in coursework

and where applicable, practical reports. Normally all coursework examinations shall take as prescribed in the University calendar, unless where prior approval is obtained from the School Board of Graduate Studies to have the examinations at other times.

- (b) The coursework examination shall consist of:
 - i. Continuous coursework assessment based on tests, essays, laboratory work, and such other assignments as may be deemed necessary for the particular programme; and
 - ii. Examination: A written, Oral, Practical or Clinical Examination
 - iii. The Coursework Examination for the One Year Master of Laws Degree Mode B shall include a long paper.
- (c) The criteria for course assessment and the relative weights of the components are stipulated in the individual courses or modules.
- (d) A grade representative of the Student's performance shall be awarded for each course or module in which the Student is registered. The pass threshold for all courses or modules is grade C.
- (e) The grading system is as follows:

Grade	Points Full-Course	Points Half-Course	Percentage	Remarks
A+	5	2.5	86-100	Upper Distinction
A	4	2.0	75-85	Lower Distinction
B+	3	1.5	70-74	Merit
B	2	1	65-69	Credit
C+	1	0.5	55-64	Definite Pass
C	0	0	50-54	Bare Pass
D+	0	0	45-49	Bare Fail – Supplementary (where applicable)
D	0	0	0 – 44	Fail –Repeat
F	0	0	0 – 49	*Definite Fail

* Applicable to a candidate who has failed supplementary examination

- (f) The academic Department responsible for teaching a particular Course or module shall be responsible for assessing and grading Students in the course or module material.

- (g) The Head of Department shall be responsible for entering and submitting the grades through the online system to the Assistant Deans or Assistant Directors for Postgraduate Studies for consideration by the appropriate School Board of Graduate Studies. The School Board of Graduate Studies shall approve the results.

10.3.1 Approval of Examination Results

Following the deadline for submission of final examinations grades, there shall be a meeting of the School Board of Graduate Studies at which all the grades shall be reviewed.

If the School Board of Graduate Studies cannot meet within the stipulated time, the Chairperson of the Board shall approve the examination results on behalf of the School Board of Graduate Studies.

Only grades approved by the School Board of Graduate Studies shall be released to Students.

10.3.2 Deferred Examination

A Student who did not write or complete an examination or part of an examination in courses or modules in which they were registered due to a valid reason may with the approval of the Board:

- (a) Write the examination in those courses or modules in which they were not able to be examined; or
- (b) Write a deferred examination in those courses or modules missed.

10.3.3 Supplementary Examination

- (a) Where applicable, the School Board of Graduate Studies may grant permission to an eligible Student to write a supplementary examination if the candidate gets a D+ in the courses or modules failed.
- (b) To be eligible for consideration for a supplementary examination, the Student must have:
 - i. Passed at least 75% of the courses or modules for which they were registered;
 - ii. Passed the continuous assessment component of the courses or modules failed; and
 - iii. Fulfilled the attendance and other requirements prescribed for the courses or modules failed.

- (c) Notwithstanding the provisions of Section 10.3.3(b), a supplementary examination may not be granted if the course or module is offered in the subsequent term or semester.

10.4 Additional Regulations for the Taught Master's Degree

- (a) The coursework examination may, where applicable, include an oral examination.
- (b) For the Clinical Degree Programme, the Student's score in a course or module shall be the aggregate of the written and oral clinical examination scores. However, a Student who fails to achieve a pass grade in either component of the examination shall be deemed to have failed the whole course or module.

10.5 Additional Regulations for Master of Medicine

At the end of each year, examinations shall consist of two parts: the written (Part one) and the oral and clinical (Part two). Only the students who pass part one shall take part two examination. Part two results shall be given after publication of part one results.

11. PROCEDURE FOR SUBMISSION OF RESEARCH PROPOSALS

- (a) A Student pursuing postgraduate programme with research shall be required to submit a research proposal conforming to the format stipulated by the University of Zambia Postgraduate Regulations.
- (b) Research proposals for Diploma and Taught Master's Degree shall be approved at Department level and ratified by the School Board of Graduate Studies.
- (c) The Student shall present their proposed research topic to the concerned Department and subsequently submit the full research proposal and a summary to the Head of the Department. Research proposals for Masters by Research and Doctoral theses shall be approved at School or Institute level following the procedure outlined in Regulation 12.
- (d) Masters by Research and Doctoral students shall present their proposals at open fora organised by the School or Institute.
- (e) Length of Research Proposal Summary:
 - i. Master's Degree by coursework and dissertation: One page
 - ii. Master's by Research: Three pages
 - iii. Doctor of Philosophy: Five pages
 - iv. Professional Doctorate: Three pages

- (f) The Department shall submit its recommendations and the research proposal summary together with the Minutes of the relevant departmental meeting to the School Board of Graduate Studies for approval.
- (g) A Candidate pursuing Master's Degree by coursework and dissertation shall be notified of the decision of their proposal by the Head of Department within a month of the submission.
- (h) The Candidate shall be notified of the decision of the School Board of Graduate Studies regarding their research proposal by the Assistant Deans or Assistant Directors responsible for Postgraduate Studies.
- (i) Once the proposal has been approved, the candidate shall submit their proposal for Ethical Clearance to the respective Research Ethics Committees at the University of Zambia.

12. EXAMINATION OF MASTERS DISSERTATIONS AND MASTERS OR DOCTORAL THESES

- 1) A Student shall be examined by a Board of Examiners appointed by the Dean or Director on the recommendation of the appropriate Departmental Postgraduate Committee.
- 2) The Board of Examiners shall comprise:
 - (a) Taught Masters Dissertation
 - (i) Three Internal Examiners, normally from within the University, preferably from the teaching Department, none of whom should have supervised the Student.
 - (ii) The Chairperson shall be appointed by the Dean and shall be at the rank of Senior Lecturer or above from within the School or University where the school may not have sufficient senior staff.
 - (iii) The Head of Department or their representative shall be the Secretary to the Board.
 - (iv) The Supervisor(s) shall be in attendance.
 - (b) Masters and Doctoral Theses
 - (i) One External Examiner from within or outside Zambia
 - (ii) Two Internal Examiners, neither of whom should have supervised the Student.

- (iii) The Chairperson shall be appointed by the Dean and shall be at the rank of Senior Lecturer or above from within the School.
- (iv) The Head of Department or their representative shall be the Secretary to the Board.
- (v) The Supervisor(s) shall be in attendance.

12.1 Criteria for Selecting Internal Examiners

The following shall be the criteria for selecting Internal Examiners:

- (a) The Internal Examiners shall normally be selected from the teaching Department or School or Unit of the University.
- (b) Candidates for Internal Examiner for Master's examination shall be academics and or professionals who are well qualified and conversant with the subject area. This implies that if they are academics, they should normally hold an earned PhD (or equivalent). If they are professionals, they should be at comparable career levels.
- (c) Candidates for Internal Examiner for PhD examination shall be academics and or professionals who are well qualified and conversant with the subject area. This implies that if they are academics, they should normally hold an earned PhD (or equivalent) and at the Rank of Lecturer 1 or above. If they are professionals, they should be at comparable career levels.

12.2 Criteria for Selecting External Examiners

The following shall be the criteria for selecting External Examiners:

- (a) Candidates for External Examiner shall be academics and or professionals who are well established within their fields. This implies that if they are academics, they should be at Senior Lecturer level (or equivalent) or above. If they are professionals, they should be at comparable career levels.
- (b) Individuals who have no record of research publications shall not be considered for nomination as External Examiners.
- (c) An External Examiner shall be experienced in, or be familiar with, the role of External Examiners in the monitoring of academic/professional standards.
- (d) An External Examiner should be engaged in pursuits, including creative or research or publication activities relevant to the appropriate discipline in which they are called to examine.

- (e) To uphold neutrality in the assessment process, the External Examiner should not have co-published any papers, books or other academic work with the principal Supervisor or the Co-Supervisor of the Student to be examined in the past five years.

12.3 Appointment of Examiners

- 1) The supervisor shall identify internal and external examiners required for examination of thesis or dissertations. The Department shall recommend the examiners and forward the names to the School Board of Graduate Studies for approval. The Department shall submit the following:
 - (a) The list of recommended Examiners; and
 - (b) The Curriculum Vitae of the External Examiner and of any Internal Examiner who is not a member of academic staff at the University.
Minutes of the Departmental Postgraduate Committee
- 2) The School Board shall approve the appointment of the Examiners.
- 3) Following the approval of the Examiners by the Board, the Dean or Director shall appoint the Examiners.
- 4) Schools or Institutes shall be responsible for payment of Examiners.

12.4 Responsibilities of External Examiners

An External Examiner shall be expected to:

- (a) Examine the thesis and submit a duly signed detailed Examination report to the School Assistant Deans or Directors of Postgraduate Studies within one month of despatch of the thesis by courier. The examined thesis shall also be returned.
- (b) Participate in the Board of Examiners' meeting for the Candidate being examined.
- (c) Certify the results of the examinations.

12.5 Guidelines for Examining Theses and Dissertations - Major Areas of Focus

- (a) In examining the thesis or dissertation, examiners are required to make specific comments or observations on, among others, the following:
- (b) Comprehensiveness of the abstract with regard to: What was investigated, why it was investigated, how it was investigated (Data collection, Data analysis), Major findings of the investigation, Implications of the findings, Conclusion, Recommendations for further research;

- (c) Appropriateness of the statement of the problem, the main research objective or research question, the specific research objectives or research questions and the research design in relation to the title;
- (d) Appropriateness of the theoretical or conceptual framework (where applicable) in relation to the main research objective or research question, the specific research objectives or research questions;
- (e) Where neither theoretical nor conceptual framework is applicable, the examiner should consider appropriateness of the ontological or epistemological orientation being applied;
- (f) Appropriateness and adequacy of the literature review and significance of the gap or gaps identified in relation to the theoretical or the conceptual framework, the main research objective or research question, the specific research objectives or research questions;
- (g) Where literature review is not applicable, the examiner should consider appropriateness of the ontological or epistemological orientation being applied;
- (h) Coherence of reasoning advanced to justify the research paradigm followed, the research design adopted, and the methodological specifics of sampling procedure, sampling site, sample size, participant inclusion or exclusion criteria, design of research instruments, type of data collected and data analysis procedures applied in relation to the gap or gaps identified;
- (i) Adequacy of the presented findings in relation to the title, the main research objective or research question, the specific research objectives or research questions and the identified knowledge gap;
- (j) Adequacy of the discussion of the presented findings in relation to the title, the main research objective or research question, the specific research objectives or research questions, the theoretical or conceptual framework or the ontological or epistemological orientation and the literature review including addressing the gap or gaps identified; and
- (k) Appropriateness of the conclusion and the recommendations in relation to the main research objective or research question, the theoretical or the conceptual framework or the ontological or the epistemological orientation and the findings.

12.6 Guidelines for Preparation of Reports on Dissertations or Theses Examinations Section One

- (a) When preparing the report on the Student's performance, the Examiner shall be required, among other things, to state their view on whether:
- (b) The scope of the dissertation or thesis examined is what might reasonably be expected after one year of full-time research for the Taught Master's Degree, two years of full-time research for the Masters by Research and at least three years of full-time research for the Doctoral Degree;
- (c) The dissertation or thesis is the Student's own account of their investigations;
- (d) The dissertation or thesis is either a record of original work or of an ordered and critical exposition of existing knowledge and provides evidence that the field has been surveyed thoroughly;
- (e) A thesis or dissertation submitted for examination may be submitted together with a copy of at least one paper (Masters) and two papers (PhD) that has been published in a recognised peer-reviewed journal. This is applicable to Masters by research and PhD only;
- (f) The quality of writing and the general presentation of the dissertation or thesis are satisfactory;
- (g) The dissertation or thesis is an integrated whole and demonstrates clarity of expression, coherence of thought and the logical development of arguments and conclusions;
- (h) The stated objectives of the dissertation or thesis were achieved; and
- (i) When all the above are taken into consideration, the work is worthy of contributing to partial fulfilment or fulfilment of the requirements for the award of the Degree registered for.

12.7 Postgraduate Examination Verdicts

The Examiners shall give the dissertation or thesis one of the following Verdicts as the final result of the examination conducted on the document:

12.7.1 Regular Postgraduate Diploma

- (a) Passed coursework with project report examined by supervisor and or internal examiner as the case may be.

12.7.2 Masters' Dissertation

- (a) Pass without any corrections**

The dissertation has passed as submitted, with no corrections to be made.

(b) Pass subject to minor corrections

(Minor corrections include: typographical, grammatical and stylistic errors). These corrections have to be made to the final copy of the dissertation to the satisfaction of the Principal Supervisor within one (1) month from the date of the formal notification of the candidate of the outcome of the dissertation examination.

(c) Pass subject to moderate corrections

(Moderate corrections include: re-organisation of the dissertation; transfer of material or data from one section of the dissertation to another; beefing up of the literature review; providing more detailed explanation of issues; providing clearer linkage of the various components of the dissertation). These corrections have to be made to the final copy of the dissertation to the satisfaction of the examiner or examiners who deemed the dissertation Pass subject to moderate corrections within two (2) months from the date of the formal notification of the candidate of the outcome of the dissertation examination.

(d) Re-submission within six months for re-examination by internal examiners only

(Corrections include: re-calculation or re-analysis and re-interpretation of data already in the dissertation; re-writing sections of the dissertation; collection of new primary or secondary data to strengthen the dissertation; re-analysis, re-interpretation and re-integration of old data and new primary data; re-writing the dissertation). The revised dissertation shall be re-submitted for re-examination by all internal examiners within six (6) months from the date of the formal notification of the candidate of the outcome of the dissertation examination). The Board of Examiners will determine whether another oral presentation (*viva voce*) will be required during the re-examination.

(e) Award Postgraduate Diploma

The award of a Postgraduate Diploma of the University of Zambia in the subject area of study of the candidate, instead of a Master's degree. This is in case where the dissertation submitted by the candidate has not attained the Masters level of scholarship. No further work shall be required on the dissertation by the student.

(f) Outright Fail

The objectives of the research were not achieved. The candidate has not met the requirements for the award of the degree for which he or she is being examined and the work done is not good enough for the award of a lower qualification.

12.7.3 Masters by Research Thesis and Master of Philosophy Thesis

(a) **Pass without any corrections**

The thesis has passed as submitted, with no corrections to be made.

(b) **Pass subject to minor corrections**

(Minor corrections include: typographical, grammatical and stylistic errors). These corrections have to be made to the final copy of the thesis to satisfaction of the Principal Supervisor within one (1) month from the date of the formal notification of the candidate of the outcome of the thesis examination.

(c) **Pass subject to moderate corrections**

(Moderate corrections include: re-organisation of the thesis; transfer of material or data from one section of the thesis to another; beefing up of the literature review; providing more detailed explanation of issues; providing clearer linkage of the various components of the thesis). These corrections have to be made to the final copy of the thesis to the satisfaction of the internal examiner or examiners who deemed the dissertation Pass subject to moderate corrections within two (2) months from the date of the formal notification of the candidate of the outcome of the thesis examination.

(d) **Re-submission within six months for re-examination by internal examiners only**

(Corrections include: re-calculation or re-analysis and re-interpretation of data already in the thesis; re-writing sections of the thesis; collection of new primary or secondary data to strengthen the thesis; re-analysis, re-interpretation and re-integration of old data and new primary data; re-writing the thesis). The revised thesis shall be re-submitted for re-examination by all internal examiners within six (6) months from the date of the formal notification of the candidate of the outcome of the thesis examination). The Board of Examiners will determine whether another oral presentation (*viva voce*) will be required during the re-examination.

(e) **A referral for re-writing and re-examination within nine months by all examiners, including a *Viva Voce* examination, where applicable**
(substantial work to be done to the thesis including: redesigning or strengthening of the research design; collection of new primary data from

the field; re-analysis, re-interpretation and re-integration of old data and new primary data; re-writing the thesis). The re-written thesis shall be submitted for re-examination by all examiners (including the external examiner), within nine (9) months from the date of the formal notification of the candidate of the outcome of the thesis examination.

(f) **Outright Fail**

The objectives of the research were not achieved. The candidate has not met the requirements for the award of the degree for which he or she is being examined and the work done is not good enough for the award of a lower qualification.

12.7.4 Doctor of Philosophy

(a) **Pass without any corrections**

The thesis has passed as submitted, with no corrections to be made.

(b) **Pass subject to minor corrections**

(Minor corrections include: typographical, grammatical and stylistic errors). These corrections have to be made to the final copy of the thesis to satisfaction of the Principal Supervisor within one (1) month from the date of the formal notification of the candidate of the outcome of the thesis examination.

(c) **Pass subject to moderate corrections**

(Moderate corrections include: re-organisation of the thesis; transfer of material or data from one section of the thesis to another; beefing up of the literature review; providing more detailed explanation of issues; providing clearer linkage of the various components of the thesis). These corrections have to be made to the final copy of the thesis to the satisfaction of the examiner or examiners who deemed the thesis Pass subject to moderate corrections within two (2) months from the date of the formal notification of the candidate of the outcome of the thesis examination.

(d) **Re-submission within six months for re-examination by internal examiners only**

(Corrections include: re-calculation or re-analysis and re-interpretation of data already in the dissertation; re-writing sections of the dissertation; OR collection of new primary or secondary data to strengthen the dissertation; re-analysis, re-interpretation and re-integration of old data and new primary data; re-writing the thesis). The revised thesis shall be re-submitted for re-examination by all internal examiners within six (6)

months from the date of the formal notification of the candidate of the outcome of the thesis examination). The Board of Examiners will determine whether another oral presentation (*viva voce*) will be required during the re-examination.

- (e) **A referral for re-writing and re-examination within nine months by** all Examiners, including a *Viva Voce* examination, where applicable (substantial work to be done including: redesigning or strengthening of the research design; collection of new primary data from the field; re-analysis, re-interpretation and re-integration of old data and new primary data; re-writing the thesis). The re-written thesis shall be submitted for re-examination by all Examiners (including the External Examiner), within nine (9) months from the date of the formal notification of the candidate of the outcome of the thesis examination.

- (f) **Award Master of Philosophy**

The award of Master of Philosophy degree of the University of Zambia in the subject area of study of the candidate, instead of a Doctor of Philosophy degree. This is in case where the thesis submitted by the candidate has not attained the doctoral level of scholarship but is good enough for the award of a lower qualification, subject to the recommended corrections overseen by the Principal Supervisor.

- (g) **Outright Fail**

The objectives of the research were not achieved. All the results unrelated to the research. Plagiarism exceeding the prescribed threshold of 20 percent of similarity index. The thesis lacking research-backed scientific writing. The entire methodology is wrong. The candidate has not met the requirements for the award of the degree for which he or she is being examined and the work done is not good enough for the award of a lower qualification.

The examiner is required to compile a list of corrections to be made to the dissertation or thesis by the candidate. The examiner's report must be sent together with a copy of the dissertation examined to the Assistant Deans or Directors (PG) in the respective School. The examination reports are to be submitted to the appropriate Assistant Deans or Directors for Postgraduate Studies and the appropriate Head of Department within one month of receipt of the dissertation by the Examiner.

12.7.5 Professional Doctorate Research Paper

The verdict shall be made by the Principal supervisor and shall be approved by the School Graduate Board.

12.8 Receipt of Examiners' Reports

- 1) In order to accelerate the examination of dissertations, all Examiners shall be required to submit their examination reports to the appropriate Assistant Deans or Directors for Postgraduate Studies and copied to the appropriate Head of Department within one month after the dissertation or thesis has been distributed to them.
- 2) If after one month no report has been received, the Examiner concerned shall be written to by the relevant School Assistant Deans or Assistant Directors for Postgraduate Studies and be given two weeks as deadline for the submission of the report.
- 3) If after the communicated deadline, the concerned Examiner has failed to submit the Examination Report, the Assistant Deans or Assistant Directors (PG) shall seek replacement of the Examiner.
- 4) All correspondence on the matter shall be copied to the Directorate of Research and Graduate Studies for information.

12.9 Processing of Dissertations or Theses Examinations Reports

The following procedure shall apply to the processing of the Examinations Reports for both Taught Master's Degree Dissertations and Master's and Doctoral Theses:

12.9.1 Oral (*Viva Voce*) Examination

- (a) After the dissertation/thesis Examination Reports have been received from all the Examiners, the appropriate School Assistant Deans or Directors for Postgraduate Studies shall forward them to the Chairperson of the Board of Examiners. Within two weeks of receipt of the reports, the Chairperson of the Board of Examiners shall convene a Board of Examiners meeting to discuss the dissertation/thesis Examination Results and then to conduct the *Viva Voce* examination.
- (b) The *Viva Voce* examination shall be mandatory. The Student shall bring with him/her to the examination a copy of the thesis that was submitted for examination.
- (c) The normal duration of the *Viva Voce* examination shall not be more than three hours.
- (d) The Supervisor shall be in attendance at the *Viva Voce* examination.

- (e) The Head of Department shall represent the Department at the Viva Voce examination. Where the Head of Department is also either Supervisor or Examiner, the Head shall delegate an appropriate member of staff to represent the Department.
- (f) The *Viva Voce* examination shall be conducted by the duly appointed Board of Examiners in two Parts:
 - (i) **Part I**

The Student shall make a presentation on their dissertation or thesis to the Board of Examiners and members of the public. The duration of the presentation shall normally be 15 minutes for Masters and 30 minutes for PhD. Members of the public may ask questions at the end of the oral presentation and then leave.
 - (ii) **Part II**

The Board of Examiners shall ask questions on the Student's presentation. The student shall not be present during deliberations of their verdict.
- (g) The questions in the *Viva Voce* examination shall primarily be focussed on the Student's dissertation or thesis research area. Questions in peripheral areas shall also be encouraged in order to establish the Student's level of academic accomplishment in their subject matter.
- (h) The function of the *Viva Voce* examination shall be to ensure:
 - i. That the thesis presented with respect to methodology, data analysis and findings is the original work of the Student;
 - ii. That the broader subject area of the study is adequately grasped; and
 - iii. That if there are any inconsistencies in the dissertation or thesis, the student should explain and be guided by the examiners.
- (i) All members of the Board of Examiners are expected to be present at the *Viva Voce* examination. For non-local External Examiners, the following shall apply:
 - i. The respective School Deans or Directors should contact the Directorate of Research and Graduate Studies in advance to arrange to fly the External Examiner to Zambia for the *Viva Voce* examination.
 - ii. Where physical presence of either Internal or External Examiner is not possible, teleconferencing or other electronic media should be arranged.

- iii. If neither (i) nor (ii) above can be effected, a local academic “Proxy” should be appointed. The “Proxy” shall conduct the *Viva Voce* examination on behalf of the External Examiner. The Proxy shall be an academic in a research field closely aligned with the Candidate’s research area.

12.9.2 The Board of Examiners Meeting

- (a) Upon receipt of all examiners reports, the Deans or Directors shall appoint a Chairperson of the Board of Examiners for each candidate. The chairperson shall convene a meeting to consider the reports.
- (b) The deliberations of the Board of Examiners shall be as follows:
 - i. A consultative meeting shall be convened by the Chairperson of the Board of Examiners to strategize the management of board of examiners meeting.
 - ii. The *Viva Voce* examination shall be conducted immediately after the consultative meeting.
 - iii. After the *Viva Voce* examination, the student shall be requested to wait outside. After the *Viva Voce* examination, a final meeting of the Board of Examiners shall be held to consider the Examiners reports on the thesis or dissertation as well as the performance of the Candidate at the *Viva Voce* examination.
 - iv. The final Board of Examiners meeting shall arrive at the overall Verdict for the thesis and the *Viva Voce* examination.
 - v. At the conclusion of the final Board of Examiners meeting, the Chairperson shall inform the Student of the verdict. This shall apply to Dissertations and Thesis. However, this should be treated as provisional and may in fact change at the meeting of the School Board of Graduate Studies.
 - vi. After the Departmental Board of Examiners meeting, the Head of Department shall prepare a consolidated Examination Report (Chairperson’s Report) shall (include the digest of the dissertation or thesis, deliberations of the Board of Examiners and Verdict of the Board of Examiners. The report shall be signed by the Secretary and Chairperson.
 - vii. The Chairperson’s Report shall be submitted to the appropriate Assistant Deans or Directors for Postgraduate Studies, within a week following the Board of Examiners meeting, who in turn shall

submit it as an agenda item for consideration at the next meeting of the School Board of Graduate Studies.

12.9.3 Chairperson's Report on the Board of Examiners' Meeting

The Departmental Chairperson's Report shall, among other items, contain:

- (a) A resume of the thesis or dissertation;
- (b) Digests of all Examiners' reports;
- (c) Report of the *Viva Voce* Examination;
- (d) Overall Verdict of the Board of Examiners; and

Minutes of the Board of Examiners' meeting which shall include among others the recommendations of the Board of Examiners' meeting;

12.9.4 Consideration of Chairperson's Report by the School Board of Graduate Studies

The Departmental Chairperson's report shall be submitted to the School Board of Graduate Studies by the Assistant Dean or Assistant Directors for consideration and approval.

12.10 Final Communication of Examination Results

- (a) Final Examination results shall only be released to Students by the School after they have been approved by the School Board of Graduate Studies and ratified by the University Senate.
- (b) The examination results of any Student who is in breach of the University Regulations shall have their results withheld.

12.11 Follow-up Procedure on Dissertation or Thesis Examination Results

The dissertation or thesis examination result shall be communicated to the Student by the Dean or Director after which the following Regulations shall apply:

12.11.1 Pass without any corrections

- (a) The Student shall be required to submit three hard-bound copies as well as a soft copy of their dissertation or thesis to the School or Institute through the appropriate School Assistant Deans or Directors for Postgraduate Studies within four weeks of the date of the School Board of Graduate Studies approval of the Examiners recommendations.
- (b) Failure to submit the bound copy in stipulated time, the Student shall be regarded as not having met the requirements for the award of the degree and may be required to pay examination and or other fee(s).

- (c) The Student and the Supervisors shall be responsible for ensuring that the hardbound copies and the soft copy of their dissertation or thesis conform to the specifications prescribed under Section 25.
- (d) Upon receiving the three acceptable hard-bound copies and a soft copy of the dissertation or thesis, the School or Institute, on behalf of the School Board of Graduate Studies shall prepare the completion letter and recommend the Student to the University Senate for the award of the appropriate degree.

12.11.2 Pass subject to minor corrections

- (a) The Student shall be required to make all corrections and or amendments, in accordance with the Examiners' recommendations, to the final copy of the dissertation or thesis, to the satisfaction of their Supervisor (s) and to submit three acceptable hard-bound copies as well as a soft copy of their dissertation or thesis to the School or Institute through the appropriate School Assistant Deans or Directors for Postgraduate Studies within one (1) month from the date of the formal notification of the candidate of the outcome of the dissertation or thesis examination.
- (b) Failure to submit the bound copy in stipulated time, the Student shall be regarded as not having met the requirements for the award of the degree and may be required to pay examination and or extension fees.
- (c) The Student shall be responsible for ensuring that the hard-bound copies and the soft copy of their dissertation or thesis conform to the specifications prescribed under Section 25 and attach the Supervisor's Certificate to the effect that all recommended corrections and or amendments had been incorporated.
- (d) Upon receiving the three hard-bound copies and the soft copy of the dissertation or thesis, the School or Institute shall, on behalf of the School Board of Graduate Studies, recommend the Student to the University Senate for the award of the appropriate degree.

12.13.3 Pass Subject to Moderate Corrections

- (a) The Student shall be required to make all corrections and or amendments, in accordance with the Examiners' recommendations, to the final copy of the dissertation or thesis, to the satisfaction of their Internal Examiner (s) and to submit five acceptable hard-bound copies as well as a soft copy of their dissertation or thesis to the School or Institute through the appropriate School Assistant Deans or Assistant Directors for Postgraduate Studies within two (2) months from the date of the formal

notification of the candidate of the outcome of the dissertation or thesis examination.

Failure to submit the bound copy in stipulated time, the Student shall be regarded as not having met the requirements for the award of the degree and may be required to pay examination and or extension fees.

- (b) The Student and the Supervisor shall be responsible for ensuring that the hard-bound copies and the soft copy of their dissertation or thesis conform to the specifications prescribed under Section 25 and attach the Supervisor's certificate to the effect that all recommended corrections and or amendments had been incorporated.
- (c) Upon receiving the three hard-bound copies and the soft copy of the dissertation or thesis, the Dean or Director shall, on behalf of the School Board of Graduate Studies, prepare a completion letter and recommend the Student to the University Senate for the award of the appropriate degree.

12.11.3 Re-submission for re-examination within six months

- (a) The Student shall be required to act, under supervision, on all recommendations made by the Board of Examiners, to rewrite their dissertation or thesis and re-submit three loosely bound copies of the revised dissertation or thesis for re-examination within six months to the Head of the concerned Department, who shall forward it to the School Assistant Deans or Directors for Postgraduate Studies for action.
- (b) Failure to submit the bound copy in stipulated time, the Student shall be deemed to have failed the re-examination.
- (c) The Student shall be required to attach their Supervisor's certificate to the effect that the revised dissertation or thesis is ready for re-examination.
- (d) If the Student's registration had lapsed, they shall be required to re-register and pay the stipulated fees. The dissertation shall be revised and re-submitted for re-examination within the period of registration.
- (e) The School Assistant Deans or Directors for Postgraduate Studies shall send the copies of the revised dissertation or thesis to the Examiners for re-examination.
- (f) Where re-examination of the dissertation is required, the Examiners shall give one of the following Verdicts:
 - i. Pass after re-examination;
 - ii. Pass subject to minor corrections;

- iii. Award Postgraduate Diploma for Masters (Coursework and Research) and Master of Philosophy for PhD; or
- iv. Fail.

12.11.4 Re-submission for re- examination including *Viva Voce* Examination where applicable

- (a) The Student shall be required to act, under supervision, on all recommendations made by the Board of Examiners, to rewrite their dissertation or thesis and re-submit three loosely bound copies of the revised dissertation or thesis for re-examination within six to nine months to the appropriate Assistant Deans or Directors for Postgraduate Studies through the Head of the concerned Department.

Failure to this, the Student shall be deemed to have failed the re-examination.

- (b) All provisions of the Regulation 12.7 shall apply to Resubmission for re-examination within six to nine months cases.
- (c) In addition to provisions of Regulation 12.7 above, the Student shall appear for the *Viva Voce* examination, if required.
- (d) The *Viva Voce* examination, if required, shall be conducted in accordance with the provisions of Regulation 12.7.
- (e) The Board of Examiners meeting shall be conducted according to Regulation 12.7.

12.12 Processing of Examiners' Reports for Re-examination

The re-examination reports from the Examiners shall be processed in accordance with Regulation 12.10.

- (a) If the Student fails to submit their revised dissertation or thesis for re-examination within the stipulated period of six or nine months, they shall be deemed to have failed. In such a case, the Student shall be excluded from the University.

12.13 Examination Irregularities

- (a) The University of Zambia Examinations Regulations shall apply.
- (b) All inquiries on the examination process shall be made to the appropriate School Assistant Deans or Directors for Postgraduate Studies with copies of the correspondence to the Academic Office.

- (c) All examinations shall be conducted under the University regulations. Any violation will attract the appropriate penalty under the regulations.

13. RESEARCH ETHICS COMMITTEE

- (a) Each School shall direct research proposals to the appropriate University Research Ethics Committee for approval. The University has three Research Ethics Committees as follows:
 - i. All life science-based research conducted in, among others, the Schools or Institutes of Agricultural Sciences, Nursing, Health Sciences, Public Health, Medicine and Veterinary Medicine shall be attended to by University of Zambia Biomedical Research Ethics Committee (UNZABREC).
 - ii. All social science-based research conducted in, among others, the Schools or Institutes of Education, Humanities & Social Sciences, Law, Graduate School of Business, Institute of Distance Education and INESOR shall be attended to by Humanities and Social Sciences Research Ethics Committee (HSSREC).
 - iii. All applied science-based research conducted in, among others, the Schools or Institutes of Engineering, Mines and Natural Sciences shall be attended to by Natural and Applied Sciences Research Ethics Committee (NASREC).

14. RESEARCH SUPERVISION

14.1 Research Topic

Research shall be undertaken only on an approved topic and under the supervision of an approved Supervisor or Supervisors.

14.2 Procedure for Appointment of Supervisors

- 14.2.1.1 The Student shall have the opportunity of identifying a potential Supervisor and a research area. The Department shall have the responsibility of assigning the Supervisor or Supervisors for each Masters and Doctorate Student taking into account the expertise available, the workloads and the potential funding in the Department.
- 14.2.1.2 The Supervisor or Supervisors' nomination shall be approved by the School Board of Graduate Studies.
- 14.2.1.3 When it is desirable to access specific expertise elsewhere, an additional Supervisor may be appointed from another

Department or from outside the University.

14.2.1.4 Two or more Supervisors shall be appointed where the research is inter-disciplinary or if all, or part, of the research is carried out in a location outside the University, or at another University as part of a Sandwich programme.

14.2.1.5 Where two or more Supervisors are appointed, one of them shall be designated as Principal Supervisor and the others shall be designated as Co-Supervisors. All Principal Supervisors shall be academic members of the University of Zambia and shall be from the School where the student is registered.

14.3 Number of Supervisors

(a) **Part II of the Taught Master's Degree**

Each Student in Part II of the Taught Master's degree shall normally be assigned a Principal Supervisor and maybe assigned a Co-Supervisor.

(b) **Master's Degree by Research**

A Student for a Master's degree by Research shall be assigned a principal Supervisor and maybe assigned a Co-Supervisor.

(c) **Doctoral Degree**

- i. A Student for the degree of Doctor of Philosophy shall be assigned a Principal Supervisor and one or two core supervisors.
- ii. A student for the degree of Doctor of Philosophy shall be assigned a supervisory Board comprising a Chairperson and three or more other members. This is especially so in cases where the research is inter-disciplinary and or inter-institutional in nature.

(d) **Professional Doctorate Degree**

A Student for the Professional Doctorate shall be assigned a Principal Supervisor and one co-supervisor.

14.4 Criteria for Appointment of Supervisors

- (a) The Principal Supervisor shall be an academic member of staff of the Department at the University of Zambia in which the research Student is registered. The Co-Supervisor may be an academic staff from a Department at the University of Zambia or may be employed by another institution from within or outside Zambia.

14.5 Principal Supervisor

- (a) For the Taught Master's Degree, the Principal Supervisor shall normally be the holder of Doctorate degree.
- (b) For the Master's Degree by Research, the Principal Supervisor shall be the holder of a Doctorate degree provided that one is at the level of at least Lecturer 1 of appointment.
- (c) For the degree of Doctor of Philosophy, the Principal Supervisor shall be the holder of a Doctorate degree and shall be at the rank of Senior Lecturer or above.
- (d) Notwithstanding the provisions of Section 14.5(c), in special circumstances the School Board of Graduate Studies may recommend a Lecturer below the rank of Senior Lecturer for appointment as Principal Supervisor provided that they have the necessary expertise and experience in the relevant field, or have already supervised a Doctoral degree Candidate.

14.6 Co-Supervisor

- (a) The Co-Supervisor shall hold the same qualification as the Principal Supervisor.

14.7 The Role of Supervisors

- (a) The role of Supervisors shall be spelt out in the letter of appointment. The Supervisors and the Students shall receive a copy of a document outlining their responsibilities.

14.8 The Role of the Principal Supervisor

The major responsibilities of the Principal Supervisor shall include:

- (a) To guide the Student in developing their research topic and, where necessary, to recommend the courses to take;
- (b) To orient the Student on facilities, resources, library support and other services provided by the University;
- (c) To advise the Student on how to conduct research, and to develop the Student's skills in areas such as critical thinking, scientific writing, research project management, thesis writing, computing and data analysis, literature searching, and the management of databases and archival material;

- (d) To supervise the Student through monthly research meetings, advise on any problems encountered and set deadlines for work schedules; these monthly meetings must be mandatory.
- (e) To monitor and record the progress of the Student through academic quarterly reports;
- (f) To advise the Student on possible revisions to the thesis before submission for examination;
- (g) To consolidate comments from the Co-Supervisor(s) and communicating the same to the student;
- (h) In an event of a disagreement with the Co-Supervisor(s), the Principal Supervisor shall have the final say on the decision; and
- (i) To identify and recommend to the Head of Department prospective External Examiner(s) and Internal Examiners for the Student.

14.9 The Role of the Co-Supervisor

The responsibilities of a Co-Supervisor shall be:

- (a) To assist the Principal Supervisor in supervising the Student and to serve in place of the Principal Supervisor when absent;
- (b) To read and comment on the Student's research progress reports and share any suggestions with the Principal Supervisor;
- (c) To read and comment on the Student's dissertation or thesis and share any suggested revisions with the Principal Supervisor; and
- (d) To act for the Principal Supervisor, if required, as a member of the Examination Board in the oral examination, where applicable.

14.10 Quality Assurance

- (a) All new Supervisors shall be expected to attend a training course on Policies and current practices with respect to supervision of postgraduate students, University Postgraduate Regulations, research project management, critical thinking and scientific writing.
- (b) Schools and Institutes shall regularly organise training workshops for the Supervisors to update them on new developments. The seminars shall be coordinated by the School or Institute with support from relevant Units in the University.
- (c) The number of Students a Supervisor shall be responsible for shall depend on their other duties in the Department, especially the undergraduate

teaching load. The Principal Supervisor shall not concurrently supervise more than five PhD and seven Masters Students, or not more than ten Masters Students where there are no PhD Students.

- (d) The Deans or Directors, the Assistant Deans or Assistant Directors for Postgraduate Studies and the respective Heads of Department shall monitor the number of Students of each Supervisor with regard to agreed ceilings.
- (e) The RECs and Academic Office shall disseminate Code of Ethics for Supervisors and students during induction or training.

15. MONITORING THE PROGRESS OF POSTGRADUATE STUDENTS

- (a) The Principal Supervisor shall upload quarterly student Progress Report onto the Student Information System (SIS) for each of their Students. A printed or pdf version of this report shall be signed by all the Supervisors.
- (b) The Assistant Deans or Directors for Postgraduate Studies shall upload quarterly student Progress Report onto to the SIS every academic year.
- (c) The performance of a Student who does not maintain adequate contact with their Supervisors shall be deemed unsatisfactory and appropriate sanctions shall apply. All contact sessions between the Student and the Supervisor shall be recorded on the SIS system.
- (d) The progress of a Student shall be signified by one of three letter status grades on the Postgraduate Progress Report Form, namely:
 - S:** Satisfactory (research to continue);
 - U:** Unsatisfactory (remedial action recommended); and
 - W:** Withdrawn (recommended to withdraw from research).
- (e) A Student who is deemed not to be making satisfactory progress shall be asked to meet with their Supervisor(s) and Head of Department to agree on a course of action that will lead to completion of the research.
- (f) In instances where a course of action is not agreed upon, and progress is unlikely, the Student may be requested by the Supervisor(s) and Head of Department to withdraw from the programme.
- (g) A Student shall be required to participate in Seminars or Conferences. For PhD and Masters by Research students shall be required to produce evidence of presenting a Paper based on their research findings at a Seminar or Conference mandatorily.

- (h) Graduate seminars shall be conducted by Schools or Institutes on a regular basis in an academic year.

16. GRIEVANCE PROCEDURE AND CHANGE OF SUPERVISOR

- 16.1 In the event of dissatisfaction, a Student may submit a complaint about the inadequacy of supervision in the first instance to the Supervisor. If the matter remains unresolved, the Student may submit a formal written complaint to the Head of Department.
- 16.2 The Head of Department shall normally investigate the complaint within ten working days and take action. The decision shall be communicated to the Student and Supervisor in writing.
- 16.3 If the matter remains unresolved, the Student may write to the Dean or Director of the appropriate School who shall preside over the matter and take action.
- 16.4 Complaints about inadequacy of supervision shall not be entertained once a thesis or dissertation has been presented for examination.
- 16.5 If the Supervisor is the Head of Department, the formal written complaint should be directed to the Dean.
- 16.6 A change of Supervisor may be made if the original Supervisor becomes unavailable, or where the Supervisor and the Student cannot agree on how to proceed with work and the relationship becomes acrimonious, or where a relationship, apart from the academic relationship, develops between the Supervisor and the Student.
- 16.7 The new Supervisor shall be appointed in accordance with the provisions set out in Section 12 above.

17. PERIOD OF STUDY

- (a) The period of study for any programme shall normally be continuous. The School Board of Graduate Studies may grant an interruption of studies of up to twelve months on financial, medical or personal grounds on the recommendation of the Student's Head of Department through the respective School Board of Graduate Studies.
- (b) Students who interrupt their studies shall become deregistered for the duration of the interruption and shall not have the right to attend classes, use the University facilities, or receive tuition or supervision.

- (c) Save for the case of ‘Sandwich programmes’ and unless stipulated otherwise in the individual programme regulations, a Student shall follow the entire programme of study at the University of Zambia.

18. EXTENSION OF STUDY PERIOD

- (a) Where circumstances dictate, the School Board of Graduate Studies, acting on the recommendation of the appropriate Department, may extend the period of study by a maximum of **six months**.
- (b) Further extension of the study period can only be granted by the Dean or Director on the recommendation of the School Board of Graduate Studies. This shall normally be for **six months** only.
- (c) Upon extension of studies students shall be required to pay applicable registration fees

19. NON-CLASSIFICATION OF POSTGRADUATE DIPLOMAS AND DEGREES

The Postgraduate Diplomas and Degrees of the University of Zambia are not classified.

20. PROGRAMMES

- (a) The structure of programmes of study at graduate level will be stipulated in the regulations for individual programmes of study in each School.
- (b) The University shall reserve the right to vary the content and delivery of programmes of study, to discontinue, merge, or combine programmes, and to introduce new programmes if such action is reasonably considered to be necessary in achieving the University’s mission. Such change may occur either before or after admission. Students shall be informed, as soon as practicable, of any substantial changes which might affect their programmes of study.
- (c) The University shall at all times aim to offer flexibility within programmes of study. The School Board of Graduate Studies may, at its discretion, allow part of the programme to be undertaken at another institution under the ‘sandwich’ arrangement provided the institution at which the learning has to take place and its arrangements for the assessment of students shall have been approved by the School Board of Graduate Studies.
- (d) For the purposes of credit transfer, the School Board of Graduate Studies shall consider only information on courses or modules and assessment results provided and certified by the host institution.

21. SANDWICH AND JOINT PROGRAMME

21.1 Definition

A Sandwich programme is a Split-Site study programme mainly at Masters and Doctoral level. Under this programme, a Student pursues their programme at two universities. To participate in the programme, the Student must meet the admission criteria at both universities.

21.2 Registration

The Student shall fulfil the registration formalities at both universities.

21.3 Academic Supervisors

The Student shall have at least two Academic Supervisors, one at each University. However, a Memorandum of Understanding (MoU) shall stipulate who the Principal Supervisor shall be.

21.4 Submission and Examination of Dissertations and Theses

- (a) The Candidate shall submit their dissertation or thesis to the degree granting University. The examination of the dissertation or thesis shall be conducted by the University awarding the degree.
- (b) Where the University of Zambia is the degree awarding University, all University of Zambia regulations governing postgraduate studies shall apply.

21.5 Award of the Sandwich and Joint Degree

- (a) The Degree shall be awarded by the University stipulated to be the Principal University in the Memorandum of Understanding.
- (b) At the inception of the programme it shall be clearly spelt out which of the two Universities shall be the principal one (where most of the work will be done).
- (c) A Student who has fulfilled the requirements of the research programme and all other requirements of the Principal University shall be eligible for the award of the appropriate Degree.
- (d) The Degree shall be conferred at a graduation ceremony of the appropriate University.
- (e) The University Senate shall decide on the number of convocations in an academic year.

22. ASSESSMENT, GRADING AND PROGRESSION FOR POSTGRADUATE STUDENTS

22.1 Procedure for Assessment in the University

- (a) The granting of a University of Zambia award shall be on the basis of a Student's performance in assessments which have been set by the Department of the University and approved by the School Board of Graduate Studies.
- (b) The term 'assessment' in this document shall be construed to include reference, as appropriate, to written and oral examinations, assessment of coursework, project work, examination of theses, dissertations and similar work, and such other forms of assessment of Candidates' performance as may have been approved or prescribed by the School Board of Graduate Studies in relation to any course of study or instruction.

22.1.1 Responsibility for Final Assessments

The School or Institute shall have the overall responsibility for the conduct of assessments and shall in particular ensure:

- (a) The proper conduct of assessments, including invigilation;
- (b) Implementation of maximum security in all matters pertaining to assessments;
- (c) That assessment papers are prepared by Internal Examiner and moderated within the Department.
- (d) That the University of Zambia facilitate moderation of assessments by External Examiners;
- (e) That appropriate assessment arrangements are made for each Candidate;
- (f) That scripts and other assessment materials are examined by Internal Examiners and that results for each Candidate as approved by the appropriate School Board of Graduate Studies are made available for meetings of the School Board of Graduate Studies called to consider assessment results;
- (g) That accurate records in regard to Student assessment along with all associated materials are maintained up to date by the Head of Department; and;
- (h) Timely communication of the recommendations of the School Board of Graduate Studies to concerned Students in line with the University Calendar.

22.1.2 Internal Examiners and their Role

- (a) The academic staff in the Department responsible for assessment functions shall be deemed to be Internal Examiners.
- (b) The role of Internal Examiners shall be as follows:
 - i. To prepare appropriate assessment instruments in accordance with internationally established and accepted academic practice and standards;
 - ii. To submit the agreed assessment papers in good time to the Office of the Head of Department;
 - iii. To determine, after consultation with the External Examiner(s) (when available), the grades to be awarded to each Candidate, prior to the meeting of the appropriate School Board of Graduate Studies; and
 - iv. To attend and contribute to the deliberations of meetings of the appropriate School Board of Graduate Studies when requested.

22.2 Grading

At the end of each **academic year or trimester or semester**, an appropriate letter grade representative of the quality of a Student's performance (in a particular course) shall be awarded for each course for which a Student is registered. This shall follow the Grade Point Average (GPA).

22.2.1 Grades

(a) Pass Grades

Grade	Points Full-Course	Points Half-Course	Percentage	Remarks
A+	5	2.5	86-100	Upper Distinction
A	4	2.0	75-85	Lower Distinction
B+	3	1.5	70-74	Merit
B	2	1	65-69	Credit
C+	1	0.5	55-64	Definite Pass
C	0	0	50-54	Bare Pass
D+	0	0	45-49	Bare Fail – Supplementary (where applicable)
D	0	0	0 - 44	Fail–Repeat
F	0	0	0 - 49	Definite Fail in a Supplementary Examination
S	0	0	-	Satisfactory, Pass in Practical Course
P	0	0	-	Pass in a Supplementary Examination
AG	0	0	-	Agro tat (compassionate grounds or complimentary pass)

(b) Fail Grades

Grade	Meaning
D+	Bare Fail – Supplementary where applicable
D	Fail – Repeat
F	Definite Fail
NE	No examination taken
LT	Left the course during the academic year without permission
DQ	Disqualified in a course by the School Board of Graduate Studies
WD	Withdrawn from the course with penalty for unsatisfactory academic progress; recorded when a Student has not completed the required level of coursework after a final warning by the Deans or Directors

(c) Administrative Grades

Grade	Meaning
DC	Deceased during the course
DF	Deferred examination: (recorded where, for health or other compassionate reasons, a Student is to be allowed to write the final examination later, during the period reserved for the deferred examination)
DR	Student de-registered for failure to pay fees
IN	Incomplete: (recorded where a Student has not yet completed all the requirements of a course and has been given an extension with formal permission by the Board of Studies).
RS	Re-sit course examination only: (recorded when a Student was allowed by the Board of Studies to re-sit the final examination and carry over coursework continuous assessment)
SP	Supplementary examination: (recorded where a Student is allowed to write a supplementary examination during the period reserved for supplementary examinations).
WP	Withdrawn from the course with permission

22.2.2 Grade Check Request

- (a) Students who consider themselves to have been assigned an incorrect grade in a course may request for a check of their grade within two weeks of the relevant results becoming available.
- (b) They shall appeal to the Vice-Chancellor within 14 days after publication of results and shall pay the fee prevailing at the time.
- (c) The Internal Examiner shall be required to review the grade on receipt of the formal request.

22.2.3 Guidelines for Grade Check

The following guidelines shall be used when checking a grade:

- (a) Check to ensure that marks given to individual elements of an examination are included in the total marks;
- (b) Check that the original total mark is accurate; and
- (c) The School Board of Graduate Studies shall ratify the grade in cases where the check places the Student in another category. It should be noted that a Grade may be changed to a lower or higher grade according to the results of the grade check.

22.3 Student Progression

- (a) The Departmental Examination Board shall review the grades awarded to each Student in the programme or programmes in its Department at the end of each academic year.
- (b) The Departmental Examination Board shall comprise the Head of Department and the academic staff responsible for teaching or coordinating the courses graded in the programme under consideration. The Departmental Examination Board shall decide on the progress of each Student in line with their performance.
- (c) The Departmental Examination Board shall make recommendation(s) to the relevant School Board of Graduate Studies as to the progress of each Student.
- (d) The School Board of Graduate Studies shall consider Student progression at the end of each academic year or trimester or semester and submit its recommendations to the School Board of Graduate Studies for approval.
- (e) The School Board of Graduate Studies shall review the progress of each Student at the end of each academic year or trimester or semester, with a view to determining whether or not the Student should proceed to the next stage of the programme of study.

- (f) The following Table lists comments that may be recorded on a Student's academic report at the end of the academic year or trimester or semester:

Comment	Definition	Progression
Clear Pass (Applicable to programmes lasting more than two academic years)	A student has passed all courses in a given academic year.	A student shall continue the programme with new courses in the next academic year.
Proceed to next semester (No longer valid under UNZA term system but valid under UNZA-ZOU collaboration programmes)	A student has failed 50% or less of the semester courses but, according to the School Regulations, may repeat and carry the failed courses and proceed to the next semester.	A student shall continue programme but must repeat failed courses or equivalent, as defined by the School Board of Graduate Studies.
Proceed to Part II	A student has passed all Part I courses and has completed all of the requirements for Part I and shall proceed to Part II.	A student shall register for Part II of the programme.
Proceed and Repeat	A student who fails 50% of the course load shall Proceed to the next level and Repeat the failed courses provided that the student shall not take any upper course in which the prerequisite (core) courses have been failed.	A student shall continue programme but must repeat failed courses or equivalent, as defined by the School Board of Graduate Studies.
Repeat Year	A student who fails more than 50% of full course load shall repeat the failed courses only.	A student shall repeat all failed courses.
Deferred Examinations	A student who has missed a final examination for illness certified by a Medical Officer or other reasons applied by the School Board of Graduate Studies on compassionate grounds.	A student shall sit for missed examinations at the time prescribed for deferred examinations and shall obtain normal classified grades, after which their progression status shall be determined.
Supplementary Examinations	A student has failed one or more examinations and has	A student shall sit for a supplementary examination at

Comment	Definition	Progression
	been permitted by the School Board of Graduate Studies to sit for a supplementary examination as defined by the School regulations.	the time prescribed for supplementary examinations and shall be awarded either a pass or fail grade, after which their progression status shall be determined.
At Part-time	A student is already at part-time and does not qualify or does not wish to take up full-time studies.	A student shall register as a part-time student next academic year or trimester or semester. Progression shall be determined at the completion of all the required coursework for the programme.
Incomplete (Temporary)	A student has not completed all coursework required for the course as specified in the School regulations and has been given permission to complete by the Board of Examiners.	Student's progression status shall be determined after unfinished coursework has been presented and graded.
Special Case (temporary)	A student under disciplinary investigation.	Progression status shall be determined by the decision of the Academic Office.
Graduate	A student has completed all programme requirements to graduate and is presented to Senate for the Award of the degree.	Graduate at the next Graduation Ceremony.
Award Posthumously	A student has completed all programme requirements to graduate but passed away before being presented to Senate for the University Award.	Graduate at the next Graduation Ceremony.
Suspended	A student has been found to have committed a disciplinary offence and was suspended by Senate.	A student shall be suspended from studies as prescribed by the University of Zambia Regulations.
Expelled	A student has been found to have committed a disciplinary	A student shall not register in the University of Zambia without

Comment	Definition	Progression
	offence and was expelled from the University by Senate.	permission of Senate.
Withdrawn with Permission	A student requested to leave studies during the academic year and was granted permission by the School.	A student shall register next academic year. If withdrawn on health grounds, a medical certificate shall be required to register.

23. PROCEDURE FOR PREPARATION OF PROPOSAL FOR MASTER’S AND DOCTORATE DEGREES

23.1 Postgraduate Generic Research Proposal Format

23.1.1 Preamble

Recommended maximum length of a proposal is ten (10) pages excluding title page, references and appendices. In addition, font size 12 Times New Roman and 1.5 line spacing is recommended.

23.1.2 Cover Page

The cover page shall carry the following information suitably spaced and centred:

- i. Title of study
- ii. Student’s full name
- iii. The statement “A proposal submitted to the University of Zambia in partial fulfilment of the requirements for the award of the degree of (name of degree) in (name of programme)” or “A proposal submitted to the University of Zambia in fulfilment of the requirements of the degree of (name of degree) in (name of programme)”
- iv. THE UNIVERSITY OF ZAMBIA, LUSAKA; and
- v. Date (Year only)

23.1.3 Title

A good research title is informative and concise. It is the first statement that helps the reader begin to understand the nature of the study. The title should:

- i. be informative and concise
- ii. convey to the reader the main focus of the research
- iii. be limited to a single statement

- iv. link key variables
- v. not have more than twenty (20) words

23.1.4 Introduction

The introduction gives a reader an indication of what the study intends to do. It also indicates that the researcher is familiar with other research that have been done in areas related to his or her proposed study, has a clear understanding of the problem being researched and steps that will be used in conducting the research. A good introduction should therefore, provide:

(a) Background

The background should:

- i. stimulate interest of the reader
- ii. provide a picture of the problem to be researched
- iii. indicate the need for addressing the problem
- iv. be informative and persuasive since it attempts to enlighten the reader about the research problem and the need for addressing the problem.

(b) Statement of the problem

- i. The statement of the problem should clearly state the problem by indicating unanswered question(s), gap(s) or area(s) that has not been understood, determined or tested.
- ii. be supported by statement or source.
- iii. use simple and objective language (no poetic, comical or emotional language use)
- iv. be stated in form of a simple declarative statement such as, “We do not know...” a question form.

(c) Aim or Purpose of the study

The aim or purpose of study should:

- i. state what the study intends to test or determine.
- ii. be linked with the study title.

(d) Study Objectives

Objectives can be general and specific.

General objective: Should specify the kind of knowledge the study is expected to obtain. It should clearly state what is to be described, determined, identified, compared and in case of hypothesis, confirmed (general objective is optional because it serves similar purpose with the aim or the purpose of the study).

(e) **Specific objectives:** Specify the kind of knowledge the study is expected to obtain. Consider the following guidelines when writing specific objectives:

- i. In order to remain focused on the problem, objectives should not be more than three for masters and five for PhD students.
- ii. Focused on the statement of the problem
- iii. Specific, measurable, attainable, realistic and time-bound
- iv. Indicate specific activities that researcher shall carry out.

(f) **Research questions**

Each question should link to a specific study objective.

(g) **Research hypothesis**

Is a statement created by researcher to speculate upon the outcome of the research or experiment? Sometimes a study has no hypothesis if it is designed to be exploratory in order to develop some specific understanding of a problem. When a proposed study includes hypothesis, the following sequence may be followed: research question, hypothesis and objectives.

(h) **Significance of the study**

Explains importance of the study, the beneficiaries, if any, and how they shall benefit from such a study.

(i) **Scope of the study**

Should show bounds or delimitations of the study.

(j) **Theoretical and Conceptual framework** (optional for Masters but compulsory for PhD students)

Theoretical and conceptual frameworks are frames of reference that form the basis for observations, definitions of concepts, research designs, interpretations and generalizations of results.

Theoretical framework is used when a study intends to be guided by an existing theory or theories while conceptual framework is used when concepts are used to guide a study

When no existing theory fits the concepts that the researcher wishes to study, the researcher may construct a conceptual framework that can be used to explain the relationship between the concepts or variables used in the study.

It should be compulsory at PhD level to enable candidates generate new ideas or innovations by way of a theory.

Although theoretical and conceptual frameworks are based on existing literature, they are a separate section from the literature review chapter. As a result, when one of the two is used, it should appear under chapter one - Introduction.

(k) **Operational definitions**

Should describe definitions of key terms used in the study.

(l) **1.11 Ethical considerations**

This section should indicate how ethical issues will be considered. (For instance, stating that participants will be treated with respect, consent will be obtained from participants before they participate in the study, they will have the right to understand what the researcher is doing and the researcher will share the findings with them for their reactions among others).

There is need to state that clearance will be obtained from the University of Zambia Ethics Committee.

23.1.5 Literature Review

The rationale behind the literature review is that the research is needed and there is related literature to the area of study. The literature review section should include the following

- (a) Historical overview of area of study
- (b) Provides a critique of the validity of literature
- (c) Identify gap (s) of knowledge
- (d) Include a statement on how the proposed study will contribute to the knowledge base of the area of study.
- (e) Include at least ten (10) Journal articles published in the past ten (10) years.

23.1.6 Methodology or Materials and Methods

Research methodology is the way to systematically and scientifically solve the research problem. The methodology includes the various steps that are adopted by a researcher in studying the research problem along with the logic behind them. Research methods and materials, on the other hand, may be understood as all those techniques and associated materials that are used for conducting research. Research methods or techniques, thus, refer to the methods the researcher uses in performing research operations. In other words, all those methods which are used by the researcher during the course of studying the research problem are termed as research methods. The methodology may be qualitative or quantitative. Quantitative studies focus on subjective information, such as feelings, experiences, opinions or data that cannot be quantified. Quantitative research

focuses on statistics and quantifiable information. The methodology section should include:

(a) **Research Design**

- i. This shows a description of a plan to be used in collecting the relevant evidence in order to achieve the objectives. For instance, case study, correlation, exploration, description, diagnosis, experimentation and survey research designs.
- ii. Always show justification for choosing a particular research design.
NOTE: In some departments, particularly for analytical as opposed to descriptive research the methodology section is further segmented into:

23.2 Study Area Or Site

Provides description of sites where the study will be conducted.

23.3 Study population

Provides a description of all the intended subjects, respondents or participants. Where possible the researcher should provide numbers.

(b) **Study sample**

Provides a description of the actual number of subjects, respondents or participants.

(c) **Sampling techniques**

Provides a description and justification of techniques used to select a subject, respondent or participant.

(d) **Data collection instruments**

Provides a description and justification of instruments used to collect data.

(e) **Data collection procedure and time line**

Provides an explanation about how the data will be collected, its nature and estimated time required to collect the data.

(f) **Data analysis instruments and procedures**

State the tools and procedures that will be used in analysing data and their justification.

23.4 References

All the schools in the University should use references and not bibliography because the use of references ensures that candidates list all sources cited within the text in the reference section.

Different formats of citation and referencing are available and the exact format selected is not critical, but consistency and completeness is. A candidate should therefore, use one consistent style of referencing.

Bibliography on the other hand, is a list of all the materials or sources that have been consulted while writing a proposal, including those that are not specifically given in the text of the proposal. The weakness of not including sources in the text but only under the bibliography section is that there is no evidence as to whether the materials or sources were really used and the context in which they were used. As a result, bibliography should not be used in proposal writing. Neither should it be used in dissertation/thesis writing.

23.5 Appendices

Appendices follow either Roman numeral or letter formatting, such as Appendix I, appendix II and so on or Appendix A and Appendix B, respectively. Appendix is optional in proposal writing. Where applicable the study may include:

- (a) Gantt Chart (Time table)
- (b) Study Budget
- (c) Maps
- (d) Instruments for data collection (such as Questionnaire, Observation checklist, Interview guide and Focus group discussion guide) and
- (e) Ethical clearance letter among others.

24. SUMMARISED POSTGRADUATE RESEARCH PROPOSAL FORMAT

In summary, the postgraduate research proposal format includes:

Title Page (not numbered)

24.1 INTRODUCTION

- 24.1.1 Background
- 24.1.2 Statement of the Problem
- 24.1.3 Aim or Purpose of the study
- 24.1.4 Study Objectives
- 24.1.5 Research Questions

- 24.1.6 Research Hypothesis (optional)
- 24.1.7 Significance of the Study
- 24.1.8 Theoretical or Conceptual Framework
- 24.1.9 Scope of the study
- 24.1.10 Operational Definitions
- 24.1.11 Ethical Considerations

24.2 LITERATURE REVIEW

24.3 METHODOLOGY OR MATERIALS AND METHODS

- 24.3.1 Research Design
- 24.3.2 Study area or Site
- 24.3.3 Study Population
- 24.3.4 Study Sample
- 24.3.5 Sampling Techniques
- 24.3.6 Instruments for Data Collection
- 24.3.7 Procedure for Data collection
- 24.3.8 Data analysis

24.4 REFERENCES

24.5 APPENDICES

- 24.5.1 Time line
- 24.5.2 Budget
- 24.5.3 Instruments for data collection
- 24.5.4 Any other materials deemed necessary for this section

The proposal should be submitted to the Head of Department for departmental approval then to the School with summarized copies for records as follows: Five (5) pages for PhD and three (3) pages for Masters.

25. PROCEDURE FOR PREPARATION OF DISSERTATIONS/THESES FOR MASTER'S AND DOCTORATE DEGREES

A dissertation or thesis shall be satisfactory as regards format and literary presentation. It shall consist of preliminaries, text and end matter.

25.1 Preliminaries

The preliminaries shall consist of the following items, and in the order given:

(a) **Title Page**

Format at 6cm, 10cm, 16cm, and 23cm down on the page for each main block of the text. Also, observe ALL CAPS where indicated. The title page has no page number. Doctoral documents should be indicated by the word THESIS and master's manuscripts receive the designation of DISSERTATION on the title page.

THESIS TITLE CENTERED

IN CAPITAL LETTERS

by

Name of the Candidate

The statement “A Dissertation submitted to the University of Zambia in partial fulfilment of the requirements for the award of the degree of (name of degree) in (name of programme)” or “A Thesis submitted to the University of Zambia in fulfilment of the requirements of the degree of (name of degree) in (name of programme)”

The University of Zambia

Month, Year

(b) **Sample Notice of Copyright Page**

Copyright Declaration

Immediately precedes the title page and does not have a page number. Centre copyright information “© 2024 by -----. All rights reserved.” vertically and horizontally. Name must match appearance on the title page.

(c) **Declaration**

A signed declaration by the Student that the dissertation or thesis represents their own work, and that it has not previously been submitted for a degree, diploma or other qualification at this or any other University. Alternatively, if published work or material from the Candidate's other work has been incorporated, this must be indicated here.

(d) **Abstract**

This shall be a concise single-spaced summary of the thesis and should not be more than 500 words and must be one page in length. It must be in a single paragraph.

(e) **Acknowledgements or Preface of Acknowledgements**

(f) **Table of Contents**

(g) **List of Tables**

(h) **List of Figures, Maps and Illustrations**

(i) **List of Abbreviations and Acronyms**

Abbreviations or acronyms which refer only to the bibliography may be placed at the head of the bibliography.

25.2 Main Text

The main text shall be organised into appropriate chapters, including an Introduction, a Literature Review, the Methodology, Results, a Discussion, a Conclusion as well as Recommendations. The font size of the main text shall be 12 and sentence spacing shall be 1.5 within paragraphs.

25.3 End Matter

This shall contain references and appendices.

25.4 Language

The dissertation or thesis shall be written in formal British English, except for sources, quotations and other cases where other languages may be required. At the discretion of the School Board of Graduate Studies, a thesis in a language subject may be written in another language.

25.5 Miscellaneous

- (a) Unless required by context, measurements shall be in the metric or SI (Système Internationale) system of units.
- (b) For geographical names, reference shall be made to the Times Index-Gazetteer of the World (London: Times Publishing House, 1965) and in

case of Zambia to the Gazetteer of Geographical Names in the Republic of Zambia (Lusaka: Government Printer, 1967).

- (c) For personal names, reference shall be made to any standard biographical Dictionary.
- (d) Non-English words and phrases used in the text shall be underlined, e.g., Mukoka, par excellence or typed in italics: *Mukoka*, *par excellence*.
- (e) Enumeration shall be by words or figures, but not both together (e.g. not 'Ten (10)'). In general, numbers up to ten may be spelled out, and numbers over ten written as figures.
- (f) The word 'percent' shall be used to denote such values in the text, but in tables the symbol '%' should be used.
- (g) Exterior quotation marks shall be single, and interior ones doubled. Thus: He said 'I don't like the word "naive."' The full stop should be placed inside the final quotation marks except for the purpose of setting off a citation.
- (h) Sources of tables and diagrams, or of the data contained therein, shall in all cases be clearly stated beneath the table or diagram concerned.

25.6 Production Specifications

25.6.1 Paper

The typescript of the thesis shall be on A4 size white 80g/m² paper. Only one side of the paper should be used.

25.6.2 Font Size, Typeface and Spacing

All copies submitted shall be clearly typed, using a standard 12 point font size with double or one-and-a-half line spacing in the body of the text. Times New Roman typeface is preferred. For footnotes and indented quotations single spacing may be used.

25.6.3 Margins

Margins at the binding edge shall be not less than 40 mm, and the other margins not less than 25 mm.

25.6.4 Illustrations

Any tables, charts, graphs, diagrams, maps or supplementary information which are larger than the overall measurements of the required A4 size shall be presented ready for binding either by mounting and folding in, or

by inserting into a pocket on the inside back cover of the volume after binding.

Alternatively, if the volume of illustrative material warrants it, a separate volume of larger size should be submitted.

25.6.5 Pagination

- (a) Each page of the dissertation or thesis shall be numbered. The preliminaries shall be numbered in lower case Roman numerals while the text and end matter shall be numbered in Arabic numerals.
- (b) Pages shall be numbered consecutively throughout the text, including those pages incorporating photographs or diagrams which are included as whole pages.
- (c) Where the thesis consists of more than one volume, the pagination shall indicate the Arabic number of the volume as well as the page number referring to the particular volume.
- (d) Appendices shall be named alphabetically, and each appendix paginated consecutively with the main text and with the others.
- (e) Page numbers shall be located centrally at the bottom of the page and approximately 20 mm above the edge of the page.

25.7 Abstract of Dissertation or Thesis

- (a) The Abstract, of not more than 500 words or one page in length, shall be bound as an integral part of the dissertation or thesis and should precede the main text. Each copy of the dissertation or thesis submitted should be accompanied by a separate copy of the Abstract.
- (b) The Abstract shall be printed in single spacing and should indicate the author and title of the dissertation or thesis in the form of a heading.

25.8 Referencing (See also Appendix A)

One of the following methods should be used for the referencing and citation of published work in the dissertation or thesis:

- (a) The Harvard System which is described in Appendix A; or
- (b) A recognised standard method appropriate to the discipline and agreed with the Supervisor with the endorsement of the appropriate School Board of Postgraduate Studies.
- (c) The selected method or the selected system should be consistent and complete.

23.12 Binding and Cover

- (a) The final version of the dissertation or thesis shall be bound with hard boards to a finished size of 220 mm x 307 mm, and shall be covered in 'Zambian Green' buckram (Redbridge Book Cloth Co. Everest Washable, light green shade 631 or equivalent). A soft copy of the final version of the Dissertation or Thesis shall also be submitted.
- (b) The boards shall have sufficient rigidity to enable the dissertation or thesis to stand upright on a shelf without other support. The binding shall also be such as to enable the pages to lie flat when the dissertation or thesis is placed lying down and opened at any page.
- (c) The dissertation or thesis shall be securely bound in such a way that pages cannot be removed or replaced. Any photograph or diagram, which is not reproduced integrally with the text, shall be fixed firmly in place.
- (d) The spine of the cover shall bear:
 - i. The name of the Student (consisting of the forename, middle names initialised, and the Candidate's surname); and
 - ii. The Degree for which the dissertation or thesis is submitted, as well as the year in which it has been accepted. This information shall run from head to tail and be in a minimum of 18 point letters stamped in good quality copper coloured foil (Whiley's New vap Magna 432 or equivalent).

26. FORMAT FOR PREPARATION OF THESES FOR PHD BY CUMULATIVE PUBLICATIONS

The thesis shall have the following components:

- (a) Title,
- (b) Acknowledgement,
- (c) Content,
- (d) List of papers,
- (e) Abbreviations,
- (f) Abstract,
- (g) Introduction,
- (h) Aims of Study,
- (i) Summaries of individual papers,

- (j) Methodological considerations,
- (k) Discussion,
- (l) Future work,
- (m) References, and
- (n) Appendix (student's paper or papers).

26.1 Pre-Publication, Copyright and Ownership

- 25.1.1 A Student shall be encouraged to publish material in advance of the submission of the dissertation or thesis. If available, reprints of such published material should be appended to the dissertation or thesis.
- 25.1.2 Copyright of the dissertation or thesis resides with the Student. Ownership of other intellectual property arising in the course of the preparation of the dissertation or thesis and patent rights in respect of any associated product or process shall be agreed in advance between the Student and the University.
- 25.1.3 In cases where the material in the dissertation or thesis is confidential or proprietary, the Examiners shall be required to sign a non-disclosure undertaking in respect of the material.
- 25.1.4 The Principal Supervisor shall advise the Directorate of Research and Graduate Studies in regard to the basis on which access to the dissertation or thesis for purposes of research may be accorded to third parties.
- 25.1.5 The University Library shall retain a copy of the dissertation or thesis and shall make this copy available for consultation in accordance with normal Library practice.
- 25.1.6 Notwithstanding the provisions of Regulation 25.1.5, in cases where the material in the dissertation or thesis is confidential, the University Library shall restrict access to the dissertation or thesis for a specified time after it has been lodged in the Library.
- 25.1.7 The University Library shall make provision for the inclusion of abstract of the dissertation or thesis in the appropriate directories of abstracts for reference by the international academic community.
- 25.1.7 The University Library shall upload the Dissertation or Thesis to the Online University Repository.

27. IMPLEMENTATION AND INTERPRETATION OF THE REGULATIONS GOVERNING POSTGRADUATE PROGRAMMES

27.1 Implementation

The Schools and Institutes shall be responsible for implementation of these Regulations.

27.2 Interpretation

In the event of any disagreement or conflict in regard to the interpretation of any of these Regulations, the matter shall be referred to the Board of Graduate Studies, whose ruling shall be final.

28. REVIEW OF THE REGULATIONS

- (a) These Regulations shall be subject to periodic review, as the University Senate may require.
- (b) The University shall reserve the right to add, amend, withdraw or make other alterations to the Regulations at any such times as may be deemed necessary.

APPENDICES

APPENDIX A: GUIDELINES FOR THE CITATION OF REFERENCES IN DISSERTATIONS OR THESES AT THE UNIVERSITY OF ZAMBIA.

A.1 Although this Appendix is intended as a guide to the Harvard System, other referencing systems can be used as long as consistency is observed.

A.2 Referencing Style for Different Information Sources

A.2.1 Books

The following are the guidelines for referencing books.

(a) **If there is only one author:**

(i) The citation in the body of the text shall be, for example, "(Leevai, 1990)"; and

(ii) The reference shall be as shown below:

Leevai, D.C., 1990. Physics: Principles with Applications. 3rd ed. Englewood Cliffs, N.J.: Prentice Hall.

(b) **If there are two authors:**

(i) The citation in the body of the text shall be, for example, "(Shigley and Mischke, 1976)"; and

(ii) The reference shall be as shown below:

Shigley, M. and F. P. Mischke, 1976. Writing Scientific Papers in English, Amsterdam: Elsevier/North Holland/Medica.

(c) **If there are more than two authors:**

(i) The citation in the body of the text shall be, for example, "(Bird et al., 1960)"; and

(ii) The reference shall list all the authors as shown below:

Bird, R. B., W. F. Stewart and E. N. Lightfoot, 1960. Transport Phenomena, Phenomena, New York: Wiley.

(d) It is acceptable to cite an author by name, e.g., "Leevai (1990)", in the body of the text.

A.2.2 Edited books

(a) The citation of an edited anthology in the body of the text should be, e.g., "(Juran, 1952)"; and

(b) The reference shall be as shown below:

Juran, J.M. (ed.), 1952. The Poems and Letters of Andrew Marvell, 2 vols. 2nd ed. Oxford University Press.

A.2.3 **Dissertations or Theses**

May be cited as in the example given below:

- (a) The citation of a dissertation/thesis in the body of the text should be, e.g., “(Caremeway, 1997)”; and
- (b) The reference shall be as shown below:

Caremeway L., 1997. Optimisation of the Mechanical Properties in an Investment Cast Aluminium Alloy. Unpublished PhD Thesis, University of Zambia.

A.2.4 **Chapter in an Edited Book**

- (a) The citation to a contribution in a book in the body of the text, should be, e.g., “(Pauling, 1972; Louis and Che, 1985)”; and
- (b) The references shall be as shown below:
 - (i) Louis, C., and M. Che, 1985. The structure of CeO₂, in: Reactivity of Solids, P. Barret, Ed, 1057-1059, Amsterdam: Elsevier.
 - (ii) Pauling, L., 1972. Science and Peace: Nobel Lecture, December 11, 1963. In: F.W. Haberman (Ed), Nobel Lectures, Peace 1951 - 1970. Amsterdam: Nobel Foundation/Elsevier, .271-287.

A.2.5 **Unauthored Works**

Occasionally a book has no obvious author. In such a case:

- (a) Most of the reference should be cited in the text, e.g., “(Handbook of Industrial Materials. 1992.)”. Another example would be “(Ireland. Department of Education, 1984)”; and
- (b) The references shall be as shown below:
 - (i) Handbook of Industrial Materials. 2nd. ed., 1992. Oxford: Elsevier.
 - (ii) Ireland. Department of Education, 1984. Ages for Learning: Decisions of Government. Dublin: Stationery Office.

A.2.6 **Journal Articles**

- (a) The citation in the body of the text should be, e.g., “(Carey, 1975a; Kim and Johnston, 1987; O'Bradaigh et al., 1991)”. If an author has published

more than once in the same year, the citations may be differentiated as “(Carey, 1975 a; Carey, 1975 b)”;

- (b) The references shall be as shown below:
 - (i) Carey, S.W., 1975 a. "The expanding earth; an essay review. Part 1" *Earth-Sci. Rev.*, 11, 105-143.
 - (ii) Carey, S.W., 1975 b. "The expanding earth; an essay review. Part 2" *Earth-Sci. Rev.*, 11, 106-189.
 - (iii) Kim, K. and K.P. Johnston. 1987. "Molecular interactions in dilute supercritical fluid solutions", *Ind.Eng.Chem.Res.* 26, 1206-1213.
 - (iv) Bradaigh, C.M., R.B. Pipes and P. Mallon. 1991. "Issues in diaphragm forming of continuous fibre reinforced thermoplastic composites." *Polymer Composites*, 12(4), 246-256.

A.2.7 **Magazine or Newspaper Articles**

- (a) Newspaper and periodical articles are cited in the same way as other publications in the main body of the text, e.g., “(Fisk, 1993; Divine, 1965)”.
- (b) The references shall be as shown below:
 - (i) Divine, D., 1965. "Will Bomber Command Last?" *Sunday Times*, January 31st, p.19.
 - (ii) Fisk, R., 1993. "Destinies Collide on the Nile." *Independent on Sunday*, 28 March, p.18.

A.2.8 **Conference Proceedings**

- (a) A citation to a paper in conference proceedings in the main body of the text should be, e.g., “(Kaunitz, 1985)”. Alternatively, the entire conference may be cited, e.g., “(Supercomputing Systems, 1985)”.

Sometimes conference proceedings are published as issues of journals and author citations should be made accordingly, e.g., “(Bouras, C., 1975)”.
- (b) The references shall be as shown below:
 - (i) Kaunitz., J. 1985. "Database backup and recovery in transaction driven information systems." In: *Supercomputing Systems: Proceedings of the First International Conference*, St. Petersburg, Florida, December 16-20, 1985. Svetlana P. Katashev and Steven I. Katashev, eds. Washington, D.C.: IEE Computer Society Press, 265-272; or

- (ii) Supercomputing Systems: Proceedings of the First International Conference, 1985. St Petersburg, Florida, December 16-20, 1985. S. P. Katashev and S.I. Katashev, Eds. Washington, D.C.: IEEE Computer Society Press.
- (iii) Bouras, C., 1975."Particular difficulties in the conservation and study of Greek historical monuments."InPhotogrammetric Surveys of Monuments and Sites. Photogrammetria, J. Badekas (Editor) 30: 99-105.

A.2.9 Online Resources from the Library

HARVARD STYLE OF REFERENCING

Accurate referencing is a component to good academic practice. This also ensures tracing of ones sources in an academic paper and avoid plagiarism. It also gives quality and integrity to an academic paper other than just demonstrating that only relevant literature was read.

Harvard referencing is the recommended style by the University of Zambia's Directorate of Research and Graduate Studies.

In text citation

Harvard uses the author/date system: the author's surname and year of publication e.g. (Baggish, 2012). This style is used for all types of resources of information.

Referencing

There are variations depending on the type of resource one is using. Include initials in the references. Remember to initialize the other names such as the first name and other names provided for the author.

Examples:

Alexandra, H. (1995). Library associations in Africa: a case of professionalism. 1st ed. London: Longman. [single author text book]

Baggish, M. S., Karram, M. K. and Johnson, K. (2011). Atlas of pelvic anatomy and gynecologic surgery. 3rd ed. London: Cambridge University Press. [three authors]

Basic format to reference journal articles

- 1) Author or authors. The surname is followed by first initials.
- 2) Year of publication of the article e.g. (2015)

- 3) Article title (in single inverted commas).
- 4) Journal title (in italics or bold as agreeable by the supervisor).
- 5) Volume of journal e.g. 16
- 6) Issue number of journal e.g. (3)
- 7) Page range of article e.g. 195-230

Example:

Clarke, S. (2009). Medical and professional ethics. **The British Medical Journal**. 53 (1), 1-6.
 [title of a journal can be in italics or bold. Choose one style agreeable with the supervisor].
MIND THE PUNCTUATION!

Harvard reference of online resource includes information in the following order:

Online journal:

Surname, Initials. (Year) Title of article. Title of journal, Vol no (issue no), pp. page nos
 [Online]. Available from: website address. [Accessed date viewed].

Example given.

Johnson, T. (2020). A brief history of information ethics. Journal of information ethics, 10 (5).
 Pp
 102-230. [Online]. Available from <http://www.ub.es/bid/13froel12.html> [Accessed April 16, 2010]

Online article format

1. Author (the person or organisation responsible for the site or the article)
2. Year (date of publication, created or last updated)
3. Title (in italics) or normal font. Agree with Supervisor
4. Name of sponsor of site (if available)
5. Accessed day month year (the day you viewed the site)
6. URL or Internet address

Example given

Marshall, J. (2010). *Linking research to practice: the rise of evidence-based health sciences in Librarianship* [online]. Accessed 14/3/2021 from <http://news.bbc.co.uk/1/hi/worldamericas/8484400.stm>

A.2.10

Patents

- (a) A citation in the body of the text to a patent or a patent application should be, e.g., “(Philip Morris Inc.; 1981, Winget Ltd, 1967)”; and
- (b) The references shall be as shown below:
 - (i) Philip Morris Inc., 1981. "Optical perforating apparatus and system". European patent application 0021165A1. 1981 01-07.
 - (ii) Winget Ltd 1967 "Detachable bulldozer attachment for dumper vehicles". Inventor: Reginald John England. 8 Mar Appl: 10 June 1963. Int C1: E02F 3/76. GB C1: EIF 12 GB Patent.

A.2.11

Technical Reports

- (a) The citation in the body of the text should be, e.g., “(Brinkley *et al.*, 1986)”.
- (b) The references shall be as shown below:

Brinkley, J., C. Cornelius and R. Altmann, 1986. "Application of constraint satisfaction techniques.", Technical Report KSL - 86 - 28 Stanford University, CA.

A.2.12

Additional Guidance

- (a) A particular feature of the Harvard System, which is often over looked, is that the initials of the first author follow the surname in the list of references, but this is reversed for the remaining authors (Louis and Che, 1986).
- (b) The list of references should be given at the end of a chapter or dissertation or thesis in alphabetical order. Where the authors of two entries have the same surname the entries should be ordered alphabetically according to the different authors' initials regardless of publication date. Where the first cited author is cited with two different co-authors, the entries should be entered alphabetically by second author.
- (c) In citing journal names, the full name or an acceptable abbreviated form may be used. The most important consideration is to be consistent, so that abbreviations are not mixed with full titles and no more than one abbreviation is used for a particular journal.

29. APPENDIX B: FORMS FOR POSTGRADUATE STUDIES

The following Forms have been designed to ensure that each stage of the Postgraduate Student's progress is followed in accordance with the Regulations for Postgraduate Studies. The stage and or process to which a Form is applicable is referred to in the Title of the Form.

UNZA PG-Form 1	Notice of Intent to Submit Dissertation or Thesis for Examination
UNZA PG-Form 2	Nomination of Examiners for Taught Master's Degree
UNZA PG-Form 3	Nomination of Examiners for Master's Degree by Research and Doctoral Degree
UNZA PG-Form 4	Submission of Dissertation or Thesis for Examination
UNZA PG-Form 5	Examiners' Report – Taught Master's Degree
UNZA PG-Form 6	Examiners' Report – Master's Degree by Research and Thesis
UNZA PG-Form 7	Examiners' Report – Doctor of Philosophy Degree
UNZA PG-Form 8	Change of Supervisor(s)
UNZA PG-Form 9	Postgraduate Student Progress Report
UNZA PG-Form 10	Application for Extension of Study Period
UNZA PG-Form 11	Research Supervision Record Form
UNZA PG FORM 12	Postgraduate Research Project Examination Report
UNZA PG-FORM 13	Postgraduate Student Withdrawal Form
UNZA PG-FORM 14	Postgraduate Student Resumption of Studies Form

THE UNIVERSITY OF ZAMBIA

NOTICE OF INTENT TO SUBMIT DISSERTATION OR THESIS FOR EXAMINATION

Title of Degree: _____

Name of Student: _____

Computer Number: _____

School: _____

Department: _____

Dissertation/Thesis Title: _____

Name of Supervisor: _____

Proposed Submission Date: _____

Signature of Student: _____ Date: _____

Signature of Supervisor: _____ Date: _____

Note: This Form must be submitted to the Dean or Director and copied to the School Assistant Dean for Postgraduate Studies and the Head of Department at least three months before the intended date of submission of the Dissertation or Thesis for examination.

THE UNIVERSITY OF ZAMBIA

NOMINATION OF EXAMINERS – TAUGHT MASTERS DEGREE

Title of Degree: _____

Name of Student: _____

Computer Number: _____

School: _____

Department: _____

Dissertation Title: _____

Proposed Submission Date: _____

Nomination _____ of _____ Internal
Examiners: _____

Internal Examiner 1:

Name: _____ Position in UNZA: _____

Internal Examiner 2:

Name: _____ Position in UNZA: _____

Internal Examiner 3:

Name: _____ Position in UNZA: _____

Nominated by:

Name of Supervisor: _____

Signature: _____ Date: _____

Approved by:

Name of Head of Department: _____

Signature: _____ Date: _____

Notes:

1. This Form must be submitted to the Assistant Dean for Postgraduate Studies for approval by the School Postgraduate Studies Committee.
2. Curriculum vitae should be submitted for any Examiners who are not members of the University academic staff

THE UNIVERSITY OF ZAMBIA
NOMINATION OF EXAMINERS – MASTER’S DEGREE BY RESEARCH AND
DOCTORAL DEGREE

Title of Degree: _____

Name of Student: _____

Computer Number: _____

School: _____

Department: _____

Thesis Title: _____

Proposed Submission Date: _____

Nomination of Internal Examiners:

Internal Examiner 1:

Name: _____ Position in UNZA: _____

Internal Examiner 2:

Name: _____ Position in UNZA: _____

Nomination of External Examiner (Curriculum Vitae must be submitted)

Name and Address: _____

Qualifications: _____

Position Held: _____

Nominated by:

Name of Supervisor: _____

Signature: _____ Date: _____

Approved by:

Name of Head of Department: _____

Signature: _____ Date: _____

Notes:

1. This Form must be submitted to the appropriate Assistant Dean for Postgraduate Studies for approval by the School Postgraduate Studies Committee.

2. Curriculum vitae should be submitted for any Examiners who are not academic staff of the University.

THE UNIVERSITY OF ZAMBIA

SUBMISSION OF DISSERTATION OR THESIS FOR EXAMINATION

Title of Degree: _____

Name of Student: _____

Computer _____ Number: _____

School: _____

Department: _____

Dissertation or Thesis Title: _____

Signature of Student: _____ Date: _____

Supervisor's Comments:

I recommend or do not recommend this Dissertation or Thesis for submission for examination.

Signature of Supervisor: _____ Date: _____

Co-Supervisor's Comments:

I recommend or do not recommend this Dissertation or Thesis for submission for examination.

Signature of Co-Supervisor: _____ Date: _____

Name of Assistant Dean (PG): _____

Signature: _____ Date of Receipt of the Dissertation or Thesis: _____

Note: If a Supervisor does not support the submission, they should additionally submit a report to the Assistant Dean for Postgraduate Studies through the Head of Department regarding their position.

THE UNIVERSITY OF ZAMBIA

EXAMINERS' REPORT – TAUGHT MASTER'S DEGREE DISSERTATION

Name of Student: _____

Title of Degree: _____

Title of Dissertation: _____

Name of Examiner: _____

Examiner's Report:

1. Please attach two signed copies of the written report on the dissertation examination. The report should include general comments, specific comments and suggested amendments. In addition, a list of corrections to be made should also be attached.
2. Recommendation: Please make one of the following recommendations:
 - (a) **Pass Without any Corrections** (the thesis has passed as submitted, with no corrections to be made) ☐
 - (b) **Pass Subject to Minor Corrections** (Minor corrections include:
 - typographical, grammatical, and stylistic errors).☐
 - (c) **Pass subject to moderate corrections** (Moderate corrections include:
 - re-organisation of the dissertation; transfer of material or data from one section of the dissertation to another; beefing up of the literature review, providing more detailed explanation of issues; providing clearer linkage of the various components of the thesis).☐
 - (d) **Re-submission within six months for re-examination by Internal Examiners only** (re-calculation or re-analysis and re-interpretation of data already in the dissertation; re-writing sections of the dissertation; collection of new primary or secondary data to strengthen the dissertation; re-analysis, re-interpretation and re-integration of old data and new primary data; re-writing the thesis). ☐
 - (e) **Award Postgraduate Diploma** ☐
The award of a Postgraduate Diploma of the University of Zambia in the subject area of study of the candidate, instead of a Master's degree. This is in case where the dissertation submitted by the candidate has not attained the Masters level of scholarship but is good enough for the award of a lower qualification, subject to the recommended corrections, where applicable.
 - (f) **Outright Fail** (Objectives of the research were not achieved) ☐
The candidate has not met the requirements for the award of the degree for which he or she is being examined and the work done is not good enough for the award of a lower qualification.

Signature of Examiner: _____ Date: _____

THE UNIVERSITY OF ZAMBIA
EXAMINERS' REPORT – MASTER'S DEGREE BY RESEARCH THESIS

Name of Student: _____

Degree to be Awarded: _____

Title of Thesis: _____

Name of Examiner: _____

Examiner's Report:

1. Please attach two signed copies of the written report on the dissertation examination. The report should include general comments, specific comments and suggested amendments. In addition, a list of corrections to be made should also be attached.
2. Recommendation: Please make one of the following recommendations:
 - (a) **Pass Without any Corrections** (the thesis has passed as submitted, with no corrections to be made) ☐
 - (b) **Pass Subject to Minor Corrections** (Minor corrections include:
- typographical, grammatical, and stylistic errors). ☐
 - (c) **Pass subject to moderate corrections** (Moderate corrections include:
re-organisation of the dissertation; transfer of material or data from one section of the dissertation to another; beefing up of the literature review, providing more detailed explanation of issues; providing clearer linkage of the various components of the thesis). ☐
 - (d) **Re-submission within six months for re-examination by Internal Examiners only** (re-calculation or re-analysis and re-interpretation of data already in the dissertation; re-writing sections of the dissertation; collection of new primary or secondary data to strengthen the dissertation; re-analysis, re-interpretation and re-integration of old data and new primary data; re-writing the thesis). ☐
 - (e) **A referral for re-writing and re-examination within nine months by all examiners, including a *Viva Voce* examination, where applicable** (substantial work to be done to the thesis including: redesigning or strengthening of the research design; collection of new primary data from the field; re-analysis, re-interpretation and re-integration of old data and new primary data; re-writing the thesis). ☐
 - (f) **Outright Fail** (Objectives of the research were not achieved)
The candidate has not met the requirements for the award of the degree for which he or she is being examined and the work done is not good enough for the award of a lower qualification. ☐

Signature of Examiner: _____ Date: _____

THE UNIVERSITY OF ZAMBIA

EXAMINERS' REPORT – DOCTOR OF PHILOSOPHY DEGREE THESIS

Name of Student: _____

Degree to be Awarded: _____

Title of Thesis: _____

Name of Examiner: _____

Examiner's Report:

1. Please attach two signed copies of the written report on the thesis examination. The report should include general comments, specific comments and suggested amendments. In addition, a list of corrections to be made should also be attached.
2. Recommendation: Please make one of the following recommendations:
 - (a) **Pass Without any Corrections** (the thesis has passed as submitted, with no corrections to be made) ☐
 - (b) **Pass Subject to Minor Corrections** (Minor corrections include: typographical, grammatical and stylistic errors). ☐
 - (c) **Pass subject to moderate corrections** (Moderate corrections include: re-organisation of the dissertation; transfer of material or data from one section of the dissertation to another; beefing up of the literature review, providing more detailed explanation of issues; providing clearer linkage of the various components of the thesis). ☐
 - (d) **Re-submission within six months for re-examination by Internal Examiners only** (re-calculation or re-analysis and re-interpretation of data already in the dissertation; re-writing sections of the dissertation; collection of new primary or secondary data to strengthen the dissertation; re-analysis, re-interpretation and re-integration of old data and new primary data; re-writing the thesis). ☐
 - (e) **A referral for re-writing and re-examination within nine months by all examiners, including a *Viva Voce* examination, where applicable** (substantial work to be done to the thesis including: redesigning or strengthening of the research design; collection of new primary data from the field; re-analysis, re-interpretation and re-integration of old data and new primary data; re-writing the thesis). ☐
 - (f) **Award Master of Philosophy**
The award of a Master of Philosophy degree of the University of Zambia in the subject area of study of the candidate, instead of a Doctor of Philosophy degree. This is in case where the thesis submitted by the candidate has not attained the doctoral level of scholarship but is good enough for the award of a lower qualification, subject to the recommended corrections, where applicable. ☐
 - (g) **Outright Fail** (Objectives of the research were not achieved)
The candidate has not met the requirements for the award of the degree for which he or she is being examined and the work done is not good enough for the award of a lower qualification. ☐

Signature _____ of _____ Examiner: _____

Date: _____

THE UNIVERSITY OF ZAMBIA
REQUEST FOR CHANGE OF SUPERVISOR(S)

Title of Degree: _____

Name of Student: _____

Computer Number: _____

School: _____

Department: _____

Dissertation or Thesis Title: _____

Proposed New Supervisor(s):

1. Name: _____

2. Name: _____

Name(s) of Previous Supervisor(s):

1. Name: _____

2. Name: _____

Reason(s) for change of Supervisor(s): _____

Signature of Head of Department: _____ Date: _____

Note: This Form must be submitted to the School Assistant Dean for Postgraduate Studies for approval by the School Postgraduate Studies Committee.

THE UNIVERSITY OF ZAMBIA
POSTGRADUATE STUDENT PROGRESS REPORT

Title of Degree: _____

Name of Student: _____

Computer Number: _____

School: _____

Department: _____

Dissertation or Thesis Title: _____

Current Student Status (**tick box**)

Full-time ☐ Part-time ☐ Full-time writing up ☐ Part-time writing up ☐

Progress (**tick box**)

Satisfactory (S) ☐ Unsatisfactory (U) ☐ Withdrawn (W) ☐

On target to submit thesis within prescribed period (2 years for Masters, 3 years for PhD)

Yes ☐ No ☐

Expected Date of Submission of Dissertation or Thesis _____

Principal Supervisor's Comments: _____

(Please continue on a new sheet if necessary)

Name of Principal Supervisor: _____

Signature: _____ Date: _____

Name of Head of Department: _____

Signature: _____ Date: _____

Name of School Assistant Dean (PG): _____

Signature: _____ Date: _____

THE UNIVERSITY OF ZAMBIA
APPLICATION FOR AN EXTENSION OF STUDY PERIOD

Title of Degree: _____

Name of Student: _____

Computer Number: _____

School: _____

Department: _____

Dissertation or Thesis Title: _____

Date of First Registration: _____

Extension Requested: _____

(Please indicate if this is a first extension request)

Reasons for Extension: _____

(Please continue on a separate sheet if necessary)

Expected Date of Submission of Dissertation or Thesis: _____

Signature of Student: _____ Date: _____

Comments by Principal Supervisor: _____

(Please continue on a separate sheet if necessary)

Name: _____ Signature: _____ Date: _____

Comments by Head of Department: _____

Name: _____ Signature: _____ Date: _____

Note:

1. A request for an extension must be made at least two months before the expiry of the normal period of study, failure to which a penalty fee will be charged, in addition to the prescribed fees for continuation of study.
2. This form should be submitted to the School Assistant Dean for Postgraduate Studies for consideration or approval, as appropriate, by the School Postgraduate Studies Committee.

THE UNIVERSITY OF ZAMBIA

Research Supervision Record Form

Please type or complete in black pen and delete where appropriate.

SCHOOL.....

DEPARTMENT.....

Research Topic.....

.....

Student Name: Student ID No:

PG Diploma	Masters	PhD	DISTANCE	Full-time	Part-time
------------	---------	-----	----------	-----------	-----------

Year of Study

1	2	3	4	5	6
---	---	---	---	---	---

 Expected date of completion/submission of thesis:

Date of Meeting: Meeting type:

Face to Face	Skype	E-mail	Video Conference
--------------	-------	--------	------------------

Supervisor(s) present: Supervisor 1: Supervisor 2:

Activity for meeting (as per timeline)

Summary of discussion including action to be taken by student

Proposed date and agenda for next meeting

Signatures:

I agree that the statements above are a correct record of the supervision tutorial.

Student: Date:

Supervisor 1: Date:

Supervisor 2: Date:

Copies to: Student or Assistant Dean (R) Assistant Dean (PG) or Head of Department

THE UNIVERSITY OF ZAMBIA
POSTGRADUATE RESEARCH PROJECT EXAMINATION REPORT

School: _____ Reporting Month _____ Year _____

SN	Name of Student	Programme of Study	Title of Dissertation / Thesis	Examiners' Available Verdicts***:			Board of Examiners' Final Verdict	School Board's decision:
				PWC; PWMC; PWMDC, RSUB-6; APGD; REW-REE; or OTF				Approved / Other comment
				Internal Examiner 1	Internal Examiner 2	Internal Examiner 3 /External Examiner		
1.								
2.								
3.								
4.								
5.								
6.								
7.								
8.								
9.								
10.								

Prepared by:

Stamp

Name: _____

Position: _____

Signature: _____

Date: _____

Checked by:

Name: _____

Position: _____

Signature: _____

Date: _____

THE UNIVERSITY OF ZAMBIA**POSTGRADUATE STUDENT WITHDRAWAL FORM**

Last Name	First Name	Major	Academic Level	Student Number
Term/Semester:			Year/Term/Semester of Withdrawal:	

- Students wishing to drop all classes may WITHDRAW after being registered.
- In addition, students living in residence halls are required to obtain a signature from Dean of Students Affairs Office.
- International postgraduate students must obtain a signature from International Liaison Office
- Be aware, students who withdraw may have the comment “withdraw with permission” placed on their transcript.

1. Student Signature Required

I hereby withdraw my current enrolment at University of Zambia for the term and year indicated above.

Reason for withdrawal: _____

I understand that this does not relieve me of any financial obligation to the University.

Signed _____ Date _____

2. Head of Department

Withdrawals that are required to receive Head of Department's approval must have an effective date. The Office of the Dean/ Director is unable to process requests without one.

Effective Date:

Comments:

Signed _____
(HoD)

Date:

Printed _____
(HoD)

SUBMIT COMPLETED FORM TO THE OFFICE OF THE DEAN/ DIRECTOR

OFFICE OF THE DEAN/ DIRECTOR FOR OFFICIAL USE ONLY					
Received by		Date		Effective Date	

THE UNIVERSITY OF ZAMBIA**POSTGRADUATE STUDENT RESUMPTION OF STUDIES FORM**

Last Name	First Name	Major	Academic Level	Student Number
TERM :			Year/Term/Semester of Withdrawal :	

Resumption of studies

I kindly ask for permission to resume my studies in Term or Semester or academic year

Statement of

Reasons:

.....

.....

.....

.....

.....

.....

Date.....

.....

(Applicant's signature)

SUBMIT COMPLETED FORM TO THE OFFICE OF THE DEAN/ DIRECTOR

OFFICE OF THE DEAN/ DIRECTOR FOR OFFICIAL USE ONLY					
Received by		Date		Effective Date	

30. APPENDIX C: DISTRIBUTION OF CREDIT POINTS

PhD Type	Courses	Credits	Total Credits
PhD by Research	University Mandatory PhD Courses	60	360
	Elective Courses	20	
	Scholarship	20	
	Research Thesis	260	
Part Taught PhD	University Mandatory PhD Courses	60	360
	Discipline-Specific Courses	80	
	Elective Courses	20	
	Scholarship	20	
	Research Thesis	180	
Professional Doctorate	Coursework (including practice i.e., clinical)	240	360
	Workshop or Seminar or Conferences or Journal Clubs	60	
	Research Report	60	
PhD by Cumulative Publications	University Mandatory PhD Courses	60	360
	Five publications prior to registration	180	
	Thesis, Trial lecture and defence	120	