



ETHIOPIAN CIVIL SERVICE UNIVERSITY  
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School of Graduate Studies (SGS)  
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# ORDINANCE FOR DOCTORAL PROGRAMS



ECSU  
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Addis Ababa

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Ethiopian Civil Service University - Senate Legislation 2017

Ethiopian Civil Service University-Ordinance for Doctoral Program, draft manuscript (June 2016)

Ethiopian Civil Service University- Doctor of Philosophy Program (Draft proposal (December 2010)

Addis Ababa University, School of Graduate Studies-Thesis writing, examination and Grading Guidelines (April 2012)

Hawassa University, School of Graduate Studies- General Policy Guidelines for Graduate studies (2012)

Indian Institute of Foreign Trade (IIFT), PhD Programme, Rules and Regulations

Albert Einstein College of Medicine, Graduate Programs in the Biomedical Sciences- Thesis and Defence Guidelines (2012)

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## **Preamble**

The Ethiopian Civil Service University (ECSU) was established in January 1995 but was made formal established in February 1996 as an autonomous higher institute with legal status by the Council of Ministers Regulation No. 3/1996. It had a mandate to design and offer undergraduate and postgraduate level educational programs and training as well as to undertake consultancy and research activities with the aim to build the capacity of the Ethiopian Public Sector to face the challenges of an ever changing development paradigm, and ever expanding development agenda. The academic programs of the University are tailor-made to meet the needs of Ethiopia's public sector at the federal and regional levels.

The Ethiopian Civil Service College offers Bachelor Degree programs which it started with 376 students in Law and Economics degree program as a college. It launched Master's Degree programs since 2005 in different professional and technical academic streams. The ECSC has upgraded its status to a university level since June 2011. The university launched its Ph.D. program since March 2011. In the short span since its start, it has conferred Ph.D. degrees on 24 graduates in specialization of doctoral programs on Public Management, Public Financial Management, and Urban and Development. Starting from March 2017 three new additional doctoral programs have been launched which include specialization in Environment and Resilience Management, Urban and Regional Planning, and Mobility and Infrastructure Provision.

The mission of the Ethiopian Civil Service University is building the capacity of the public sector through specialized education, training, research and consultancy services. The special feature of the ECSU is that students joining the university come not from preparatory schools as the case with other higher institutes and accountable to the Ministry of Education but civil servants from public organizations. Therefore the ECSU is accountable to the Ministry of Public service and Human Resources Development. It focuses with specialized programs which are not offered by other institutes of higher education. The ESCU since its establishment has contributed much to the capacity building effort of the public service in Ethiopia. The academic programs it launched are closely attached with the needs of the public sector.

This Ordinance for doctoral programs sets out the procedures and the requirements of the doctoral programs in the Ethiopian Civil Service University

## **Vision and Mission Statement**

The vision of graduate studies in the Ethiopian Civil Service University is the fulfillment of the vision of the University which is encapsulated as

*To become a leading center of excellence in public service capacity building in Africa by 2025 through building efficient, effective, transparent and accountable public service which can contribute to the realization of the development and transformation drive of the country*

The mission of the graduate studies is also the mission of the University which is “*enhancing the service orientation, transparency and accountability of the public service by building its capacity through specialized education, training, consultancy, research and community services.*”

While pursuing this mission it follows the value systems of the university which include:

- Customer focus
- Commitment
- Continuous learning
- Welcoming diversity
- Attention to the disadvantage
- Participatory leadership
- Collaboration

In line with the vision, mission and value statements of the University, the procedures and requirements stated in this Ordinance embody the philosophy of doctoral program and ensure a high standard of performance at the University. Within this general framework and subject to the approval of the University Senate, the various colleges, institutes, schools and centers may adopt so as to suit their particular academic goals. The School of Graduate Studies shall ensure that all the rules and procedures given in the Ordinance are adhered to and implemented accordingly. When an issue not covered in this ordinance is encountered, the same shall be forwarded to the University Senate through the School of Graduate Studies for its consideration.

## **SECTION ONE: GENERAL PROVISION**

### **1. Short Title**

- 1.1. This ordinance may be called as “Ordinance Governing Doctoral Programs” at the Ethiopian Civil Service University.

### **2. Issuing Authority**

- 2.1. The ordinance should be approved by the University Senate pursuant to the power vested in it by Article 49 of the Higher Education Proclamation No. 650/2009

### **3. Definition**

In this Ordinance, unless the context otherwise requires:

- 3.1. “Ordinance” means the Ordinance made under the Senate (Executive Council) approval
- 3.2. “Degree” means the Degree of Philosophy (abbreviated as Ph.D.)
- 3.3. “Entrance test” means the objective and essay Test taken by the applicants and administered by the university to qualify them for Ph.D. registration
- 3.4. “Course Work” means the courses prescribed as part of the Ph.D. program and all candidates shall successfully complete as a prerequisite to start to start the preparation of Ph.D. Thesis
- 3.5. “Research supervisor” means the qualified professor or associate professor who is recognized by the university to supervise the candidates in their PhD program
- 3.6. “Co-supervisor/co-advisor” mean the recognized research supervisor who supervises an interdisciplinary doctoral dissertation of a candidate as the second supervisor along with the research supervisor
- 3.7. “Doctoral Candidate” means Ph.D. program applicant accepted as a Ph.D. student a Graduate Academic Unit, after fulfilling the requirements of completion of the coursework satisfactorily and her/his synopsis gets final approval of an examining panel of the College.
- 3.8. “Reputed Journal” means a professional /literary and peer reviewed journal or publication fulfilling the Journal Reputability guidelines of the ECSU 2017 in which articles and papers are selected for publication by a panel of readers who are experts in the field



## **4. General**

- 4.1. The PhD programs are basically research-based programs. However, PhD candidates may be asked to attend relevant modules while their main responsibility shall remain to be researching on specific problem and producing a PhD Dissertation.
- 4.2. The courses are intended to prepare the student for research. Course works include overview of the latest development in theories and concepts in the areas of research, tools and techniques of analysis; research paradigms, methodology and methods, and a rigorous research drill based on reviewing the stock of knowledge in specific research area, and identifying current debates.
- 4.3. As far as available resources allow PhD courses shall be tailored to the individual candidate in terms of pre-doctoral experience and future employment. A candidate may be required to undergo bridging program from the master's program in case these are relevant to his/her research and are recommended by her/his supervisor.
- 4.4. In certain circumstances, the student may need only to audit such courses. But this has to be specified at the start.
- 4.5. In addition to regular courses a doctoral student is expected to have interdisciplinary perspective; through joint seminars, interdisciplinary course work, lab rotations etc.

## **5. Main goals of doctoral programs**

- 5.1. Enabling students to become independent, creative and productive researchers
- 5.2. Enable students to become high level policy analysts able to design evidence-based sound policies which can contribute to poverty reduction and its ultimate eradication

- 5.3. Enable students to be competent and qualified high level faculty members who can teach, research, and supervise research work of graduate students
- 5.4. Enable students to be competent administrators and managers able to take high level public administration and leadership responsibilities

## **6. Objectives of Doctoral Programs**

The objectives of the doctoral programs at the Ethiopian Civil Service University are

- 6.1. To develop manpower of the highest quality to cater the manpower needs of the country the highest education level
- 6.2. To carry out research in the frontier areas of development
- 6.3. To develop the highest quality manpower for policy analysis and development

## **7. Learning Outcomes of Doctoral Programs**

The essence of doctoral programs is basically the development of the ability to conduct original research and extend the boundaries of knowledge. In order to do so PhD candidates are expected to maintain the following knowledge, skills, and attitude standards

- 7.1. Ability to acquire information and synthesize state of the art knowledge and be able to capture current debates in their specific thematic areas
- 7.2. Ability to perform scholarly communication across fields
- 7.3. Be creative, have critical thinking capacity
- 7.4. Ability to independently apply methodologies of scientific research as well as to create new knowledge
- 7.5. Ability to critically analyze research findings and to understand their importance in the relevant context
- 7.6. Ability to communicate in an international academic, scientific and industrial environment
- 7.7. Multi-disciplinary, multi-cultural experiences and respect diversity
- 7.8. Ability to handle uncertainty, conflict and solve problems and manage failure
- 7.9. Have leadership skills, team work, rigorous capacity to manage research with sound policy implications which contribute to poverty reduction and ultimately to its eradication
- 7.10. Be endowed with high standard of integrity and professionalism

- 7.11. Ability to demonstrate individual maturity, responsibility and confidence by:
  - 7.11.1. Being able to evaluate one's own work and the work of others
  - 7.11.2. Accepting criticism from others, including constructive recommendations
  - 7.11.3. Meeting assignments and time obligations
  - 7.11.4. Ability to clearly communicate verbally and in writing.

## **8. Launching a New Ph.D. Program**

A doctoral program can be launched based on demand from A Public organization to fill the knowledge gap in a specific development aspect. However a college by itself can also initiate the launching of a doctoral program, in which case the College has to make sure before filing a study

- 8.1. Acknowledge that a doctoral program is an expensive investment
- 8.2. Establish a need justification based on a need assessment survey through a participatory process and/or consultative meetings with officials and employees of the concerned public organizations: does the program address crucial issues of development aspect in terms of manpower requirement educated at the highest level?
- 8.3. Early communication (brainstorming) with AVP, Academic Affairs Directorate, School of Graduate Studies,
- 8.4. Specify goals of the program/the learning outcomes
- 8.5. Establish course and codes
- 8.6. Ensure availability of Ph.D. faculty for delivering courses and supervising research. There should be at least relevant full time faculty members in a department to launch the Ph.D. program. the maximum number of Ph.D. students under the supervision of a full time faculty member is five which might be increased to eight under special circumstances in certain [teaching] departments subject to prior approval of the HERQA
- 8.7. Secure approval of the Senate of the university
- 8.8. Determine size of intake
- 8.9. Establish clear admission criteria and application dateline
- 8.10. Establish timetable for launching new program

## **9. Organizational and institutional set up for doctoral programs**

The following academic units closely work on the PhD programs at the ECSU. Based on the Senate Legislation 2017, the duties and responsibilities of each unit is shown as follows.

Council of Graduate Studies  
School of Graduate Studies (SGS)  
College Academic Commission (AC)  
CGC, SGC, IGC (College, School, Institute Graduate Committee respectively)  
Department Graduate Committee  
Graduate Program Coordinator

### **9.1. Duties and responsibilities of Council of Graduate Studies**

- 9.1.1. Review, examine, and recommend various graduate programs;
- 9.1.2. Ensure graduate learning and research quality, standards and relevance;
- 9.1.3. Implement policies, rules, and regulations regarding graduate programs;
- 9.1.4. Supports Colleges in the provision and strengthening of graduate teaching/ learning and researching facilities;
- 9.1.5. Assess graduate students' course and research performances based on the SGS regulations for defense examination and approves Board of examiners as presented by respective DGCs;
- 9.1.6. Assess graduate students' course and research performance and recommend the same for approval by the Senate;

### **9.2. The School of Graduate Studies**

The school of Graduate Studies has a dual mission of advancing graduate education and enhancing the graduate student experience with all graduate and postgraduate course providing institutes, schools and departments to broaden the boundaries of education. The School endeavors to enhance graduate education and training, research, consultancy and community services with the goal of building robust research and educational partnerships; providing advocacy, and promoting diversity.

The School of Graduate Studies in line with the University mission and vision has the objectives to produce professionals who can identify, analyze and intervene on societal

problems, undertake empirical research pertinent to the felt needs of the society; improve the practice and profession of their respective fields and contribute to societal development.

In doing so, the School of Graduate Studies has been entrusted duties and responsibilities as provided by the provisions of the University Senate Legislation 2017 which include among others:

- 9.2.1 Offer, through the colleges, graduate programs and research leading to the degrees of Master of Arts (MA.), Master of Science (MSc), Master of Laws (LLM), Doctor of Philosophy (PhD), and other post-graduate diplomas;
- 9.2.2. May offer, as conditions permit, such programs of study and research leading to postgraduate and post-doctoral diplomas. This provision shall apply to both regular and continuing education programs.
- 9.2.3. Develop and propose guidelines, quality standards, manuals and formats that ensure the harmonized and standardized offering of graduate programs as well as the preparation and examination of proposals, theses and dissertations;
- 9.2.4. Ensure that graduate programs are delivered by colleges as per the guidelines, quality standards, manuals and formats of the University;
- 9.2.5. Approve the assignment of external and internal examiners proposed by colleges;
- 9.2.6. Approve research budgets for thesis and dissertation;
- 9.2.7. Assist colleges in organizing defense sessions in a harmonized manner;
- 9.2.8. Keep records of the process and outcomes of examinations and a database of external examiners;
- 9.2.9. Publish annually an abstract of best thesis and dissertation;
- 9.2.10 Present the annual plan and budget of the SGS to the AVP;
- 9.2.11 Ensure effective implementation of the policies and guidelines laid down by the Senate for the proper administration of graduate programs and research;
- 9.2.12 Take appropriate actions in consultation with the respective DGC on recommendations with regard to graduate programs or other academic matters;
- 9.2.13 Issue, in consultation with the Registrar, directives pertaining to registration, record keeping, and the like for graduate programs and ensure their implementation;
- 9.2.14 Submit to the AVP monthly, quarterly and annual reports;

- 9.2.15 Receive recommendations for the strengthening and development of existing programs or for commencement of new ones and carry out any other tasks that foster the development of graduate studies in the University as per the recommendation and the approval of the Senate;
- 9.2.16 Study and recommend the initiation of inter-disciplinary and multi-disciplinary graduate programs; and
- 9.2.17 Perform such other duties as may be assigned by the AVP.

### **9.3. College Academic Commission**

The College AC shall be the highest body of a college for academic/research matters.  
Powers and responsibilities of the College Academic Commission

- 9.3.1. Recommend to the APC guidelines that facilitates the teaching learning process;
- 9.3.2. Issue guidelines for setting/marking of examinations in the college in accordance with rules and regulations approved by the Senate;
- 9.3.3. Recommend to the Senate the establishment of new programs in the college and/or the modification of existing ones;
- 9.3.4. Deliberate and decide upon all appointment and promotion cases presented to it through the College Staff Affairs Committee;
- 9.3.5. Promote research works within the College, issue guidelines on their execution, and monitor their implementation on the basis of regulations issued by the Senate;
- 9.3.6. Recommend, to the ASAC, all leaves of Academic Staff;
- 9.3.7. Review the missions and objectives of the College on a periodic basis and evaluate the success of their implementation;
- 9.3.8. Promote the welfare of staff and students and ensure observance of discipline within the college as provided by rules and regulations of the University;
- 9.3.9. Approve academic status of students determined by SC/DC of the college every semester;
- 9.3.10. Recommend to the Senate the graduation of students of the college as well as the college medal winner;
- 9.3.11. Initiate staff development schemes for the college; prioritize training programs for the staff and recommend candidates for trainings;
- 9.3.12. Issue guidelines on conditions of employment and remuneration for consultancy services in the college in accordance with the University rules and regulations;
- 9.3.13. Receive and assess the results of the annual performance evaluation of the members of the academic staff and make recommendations to the dean on possible actions to be taken as a result of the evaluation;
- 9.3.14. Issue guidelines and procedures on the functions and activities of its standing committees; and
- 9.3.15. Perform other functions relevant to the betterment of the teaching-learning process and promotion of research in the college.

#### **9.4. Duties and Responsibilities the CGC/IGC/SGC/DGCs**

- 9.4.1. Supervise all activities of the programs;
- 9.4.2. Approve status of the students, and review and endorse grades;
- 9.4.3. Prepare periodic reports on its activities and submit the same to the Academic Unit;
- 9.4.5. Review and approve thesis research proposals submitted by graduate students under the supervision of their academic advisors;
- 9.4.6 Recommend members of examining board for thesis, dissertation and other qualifying examinations for approval by the SC/IC/DC;
- 9.4.7. Oversee settings of entrance examinations and screen candidates and approve for admission;
- 9.4.8. Recommend and/or approve a research adviser for each graduate student;
- 9.4.10. Screen and assign graduate students eligible for teaching assistantship;
- 9.4.11 Attend to all academic problems that concern the Academic Unit at graduate studies level;
- 9.4.12 Suggest revision and amendment of policies, rules and regulations governing graduate studies in the Academic Unit;
- 9.4.13 Approve graduate program course offerings and thesis research proposals of graduate students

#### **9.5. Duties and responsibilities Department Graduate Committee**

- 9.5.1 Develop graduate academic and research program in collaboration with the staff;
- 9.5.2 Prepare and approve graduate course offerings and ensure that staff members with appropriate specialization and academic rank are assigned to teach courses;
- 9.5.3. Assign staff members with the minimum ranks of assistant professor to teach master's courses and associate professor to teach PhD courses; however, under special circumstances, staff with the academic ranks of lecturer and assistant professor with recognized merits and experiences may teach Master's and PhD courses, respectively, subject to prior approval by the CGS;
- 9.5.4. Review and revise periodically curricula of graduate programs and research thematic areas;
- 9.5.5 Assess and approve MA/MSc and PhD research proposals for graduate research;
- 9.5.6. Monitor and ensure that MA/MSc and PhD are in line with the research thematic areas of the University;
- 9.5.7. Establish mechanisms that guide the evaluation of graduate students' research;
- 9.5.8. Supervise and coordinate all activities of graduate programs;

- 9.5.9. Review and approve graduate students' examination papers and grades on the basis of guidelines provided by the CGS;
- 9.5.10. Prepare semester reports on its activities and submit the same to the School of Graduate Studies;
- 9.5.11. Monitor and rectify, if problems arise, the assignment of research advisors to graduate students; and
- 9.5.12. Assign members of Examining Boards for thesis, dissertation, and other qualifying examinations and get approval from the CGS

## **9.6. Duties and responsibilities of Graduate Program Coordinator**

- 9.6.1. Plan, coordinate and direct the academic activities of the program;
- 9.6.2. Prepare course offering and course grouping for the program;
- 9.6.3. Assign instructors to courses in consultation with the head;
- 9.6.4. Allocate semester workloads fairly to the academic staff as per the Legislation;
- 9.6.5. Assign academic advisors to students in consultation with the head;
- 9.6.6. Lead change activities at the program level;
- 9.6.7. Coordinate the performance evaluation of staff at program level and submit results to the head;
- 9.6.8. Schedule and follow up support to students who are in probation, warning or re-sit exam status at the program level;
- 9.6.7 Coordinate the preparation and revision of curricula, modules, teaching materials and seminars at the program level;
- 9.6.8 Teach, research and participate in training and consultancy activities according to university workload policy and rules;
- 9.6.8. Check and approve the quality of exams and continuous assessments and supervise the administration of exams



## **SECTION TWO: ADMISSION & REGISTRATION**

### **10. General admission Provision**

10.1. Candidate who has a high scholastic standing, whose professional experience has been superior and who has received good recommendations from an employing public organization shall be granted for admission.

10.2. The academic unit, may from time to time, include additional admission requirements in conformity with the university's rules and regulations effected by sending the request to Admission and registration directorates for processing admission and registration eight weeks ahead of the Ethiopian new year except for summer students

### **11. Admission requirement**

An Applicant for admission fulfilling the necessary academic and non-academic requirements shall submit a PhD research proposal (concept note) together with letter of motivation. Applicant must pass an entrance research aptitude examination which will be evaluated alongside the submitted PhD concept note and other criteria as stated in the senate legislation of the ECSU. Admission to the PhD programs will be based on a full time student status.

#### **11.1. Academic requirements**

11.1.1. An applicant seeking admission to a d PhD program in the University must have completed the academic requirements of Master's Degree for PhD admission in the specific/related field(s) of study at the University or any other recognized institution of higher learning. A candidate should have a strong academic record from his or her previous studies

11.1.2. College/Schools/Institute/Departments may require PhD applicants to present preliminary PhD research themes or proposal/synopsis. The applicant must meet satisfactorily the selection criteria which may include the entrance examination to be administered by the Academic Units concerned.

11.1.3. Admission to the PhD programs shall be done on the basis of the relative merit of the applicant to be determined on the following components.

1. Academic record
2. A preliminary research proposal/synopsis

3. Three confidential letters from referees in sealed envelopes
  4. Master's degree thesis rated 'very good' or 'excellent' where applicable
  5. Marks secured for entrance exam
- 11.1.4. The relative weight of the above components has to be determined by the Council of Graduate Studies of the University.
- 11.1.5. Applicant should pass the Entrance Admission Test to be conducted by the university with a minimum point of 75%. Special remedial program may be designed for those scoring between 50% and 75% to be admitted to the PhD Program as a doctoral candidate.
- 11.1.6. Foreign applicants may, in lieu of sitting for entrance examination, submit results of GRE. For applicants whose undergraduate and/or graduate programs medium of instruction is not English, TOEFL, IELTS or equivalent language proficiency examinations may be required.
- 11.1.7. A foreign applicant seeking admission to a PhD program in the University shall fulfill the following:
1. Have Master's Degree from a foreign higher education institution recognized by Ethiopia as determined by the Ministry of Education;
  2. Have submitted results of GRE or equivalent examination acceptable to the University;
  3. Have fulfilled the scholarship criteria decided by Senate of the University.

## **11.2. Non-academic requirement**

- 11.2.1 The University may, for pedagogic reason or special nature of the field of study, set requirements related to age and work experience. For pedagogic reasons or special requirements of the field of study, age limit should not exceed 50 for PhD degree.
- 11.2.2. The applicant must have a two years minimum appropriate work experience.
- 11.2.3. Few exceptional cases might be considered on the basis of government's needs subject to the approval of the SEC.
- 11.2.4. The candidate must produce three letters of recommendation from former instructors, employers or professional associations for PhD applicants.
- 11.2.5 Self-financing PhD applicants shall be required to present evidence of financial support.

### **11.3. Eligibility qualification for international students:**

They are required to submit

- 11.3.1. Their application with a proof of fellowship award from the government or international Organization; and
- 11.3.2. A proof of sponsorship from his/her government or self-financing evidence shall be eligible to sit and take entrance exam.

### **11.4. Selection procedure**

- 11.4.1. The Admission/Registrar Office shortlists applicants with a proven academic record based on the above criteria
- 11.4.2. Admission will be made based on technical performance examination and/or interview.
- 11.4.3. The college/institute/school shall call the short listed candidates for an interview (if needed) to the selection committee assigned by the College Graduate Committee consisting of faculty members associated with that particular college
- 11.4.4. Based on the technical performance of the candidate in the examination and/or interview in addition her/his academic record, the Student Placement Committee will recommend to the Colleges and School of Graduate Studies, names of candidate found suitable for admission to the Ph.D. program.
- 11.4.5. All applicants, who are offered admission, will be informed within a week of the process. Candidates whose selection is approved by the CGS and CGC the will be admitted to the Ph.D. programs.
- 11.4.6. Student Placement Committee shall be responsible to prepare, conduct and monitor the entrance test.

### **11.5. Cancellation of Admission**

- 11.5.1. Students admitted provisionally or otherwise to any program shall submit copies of their mark sheets, provisional certificates, etc. of the qualifying examination and other documents by the last date specified for the purpose in the academic calendar
- 11.5.2. The Council of Graduate Studies (CGS) has the right to cancel the admission of any student, if
  1. She/he fails to submit the prescribed documents demonstrating her/his minimum academic qualification for admission, by the specified date or to meet other stipulated requirement (s)
  2. It is found (at any time latter) that the student had provided some false information or suppressed relevant information while seeking admission.

3. There are any other proven concerns regarding to the process of the entrance exam

11.5.3. All applicants (except international applicants) accepted to the Ph.D. Program should sign a contract agreement to serve the Ethiopian Government [Federal, Regional or Town Administration] for a specified period after completing his/her Ph.D. from the University.

### **11.6. Registration**

The ECSU Senate Legislation 2017 dictates registration for graduate programs to take place every semester provided that the required pass or probation status is met. Every student must register at the beginning of each semester in order to keep enrollment active. A student who fails to maintain continuous registration without officially withdrawing from the program shall be considered to have dropped out. However the registration of PhD applicant who qualified for admission to the Ph.D. programs can be conducted at initial registration and final (candidacy) registration.

#### **11.6.1 Initial registration**

11.6.1.1. The date of initial registration shall normally be the date on which the qualified student registers for the first time for the PhD program. The applicant will be registered as Advanced Graduate Student (AGS)/doctoral student

#### **11.6.2 Final (candidacy) registration**

11.6.2.1. On the basis of the advanced student satisfactory performance (minimum of "B" grade and CGPA of 3.0 and above) and clearing with all PhD course work, and having the PhD research proposal approved, and a positive assessment by the supervisors and the Graduate Committee of the respective academic unit regarding the overall performance of the student, she/he will be registered as a Ph.D. candidate. The expected progress of the student in the different stages is outlined in the proceeding sections.

#### **11.6.3. Cancellation of registration**

11.6.3.1. The admission to PhD Program of a candidate shall be cancelled in any of the following eventualities upon approval of the Council of Graduate Studies based on the decision of Academic Commission of the College and communication to the Senate Executive Committee.

1. If the student is absent for a continuous period of weeks without prior information/sanction of leave
2. If she/he fails to renew her/his registration subject to the provisions contained in this Ordinance
3. If she/he fails to clear the PhD course work, or her/his CGPA is less than 3.0 and is not able to remedy according to the provision of this Ordinance
4. If her/his proposal/synopsis and pre-submission seminar are not approved even after submission of the revised proposal and/or delivery of revised seminar
5. If the candidate fails to submit the dissertation within the maximum stipulated period as provided in this ordinance
6. If the candidate resigns from the PhD program and her/his resignation is duly recommended by the supervisor
7. If the candidate is found involved in an act of indiscipline and/or misconduct and the cancellation has been recommended by the Academic Commission of the College and approved by the Council of Graduate Studies

## **SECTION THREE: PROGRAM OF Ph.D. STUDIES**

### **12. Duration of the PhD program**

- 12.1. PhD programs may have course work and research or research only options. The candidate shall study under a thesis advisor who may be assisted by co-supervisor a co-advisor and/or an advisory committee for the student if and when required.
- 12.2. The CGC/IGC/DGC/SGC shall present its program of graduate studies to the CC/IC/ SC/DC which, after careful consideration, shall present the program curriculum to the CASC which in turn shall present it to the Senate for approval before implementation. This has to be preceded by curriculum validation workshop with comments incorporated.
- 12.3. A regular PhD student shall take a minimum of 25 and a maximum of 30 ECTS in a semester.

### **13. Academic session**

- 13.1. Each academic year (September to July) consists of two academic semesters. Each semester is for about 16 weeks. Normal schedule of these semesters are prepared by the University Registrar and approved by the Senate.

### **14. Academic Load**

- 14.1. Each course is given a weightage called *credits*. The number of credits of each course is based on the number of contact hours for lectures, tutorials, and practical. A typical course is of 3-4 credits.
- 14.2. Credits will be assigned to the course based on the following general pattern:
1. One credits for each lecture class of 50 minutes/ week for 16 weeks.
  2. One credit for each tutorial class of 1-2 hours; per week for 16 weeks
  3. One credit for each laboratory or practical class of 2-3 hours per week for 16 weeks

## **15. Duration of study**

15.1. The duration of study for regular PhD program shall range from three to four years. Considering withdrawal, dismissal, dropout and readmission, the validity period of a course in a regular PhD program shall be five years.

## **16. Exams**

There are three major exams that a student should pass to earn his Ph.D. in the ECSU. These exams measure a student's progress towards becoming independent researcher.

16.1. The first exam is the set of written exams taken at each semester until the third semester (1 ½ year) on core subjects and research methodology and methods to verify his/her competency in core subjects and research methodology. At the end of the exams the student can sign up for doctoral research

16.2. The second exam is the proposal defence, which is an oral examination. The proposal defence is to make sure the student understands the problem and has the necessary background to do research in the areas she/he has selected. Upon passing this exam the student advances to candidacy and can sign up to doctoral dissertation.

16.3. The final exam is the viva voce which oral examination for PhD academic qualification or the actual dissertation defense. The student explains and defends his/ her original research as embodied in his/her thesis document and publications

## **17. Progress at successive stages during doctoral studies**

### **17.1. Stage I: Course work**

17.1.1. Course work is compulsory for all participants in the PhD programs. The duration of course work at the ECSU PhD program is one and half years spread over three semesters.

17.1.2. Courses in the PhD programs include: compulsory core courses, common core course, specialization courses (discipline specific courses), elective courses and audited courses.

17.1.3. A candidate doctoral student needs to secure a minimum of 'B' grade in all courses to qualify for PhD research work.

17.1.4. At the end of the first semester a Faculty member will be allocated for each student to help them in their research pursuits including selection of literature for review (Knowledge area development drill) and selection of electives during the second semester.

## **17.2. Fulfilling requirements for confirmation of PhD candidature**

17.2.1. Advancement to candidacy is attained by a doctoral student upon successful completion of comprehensive examination (synthesizing papers), approval of the dissertation topic, successful presentation of the research proposal, a minimum of "B" grade and a CGPA of 3.0 and above in the PhD course work, and all course deficiencies have been remedied.

17.2.2. A minimum of 85% attendance is also required for each course.

17.2.3. If the student failed to attend the classes, the same needs to be communicated to the Programme Coordinator in a week time who will bring the case to the attention of the Graduate Committee as soon as possible.

17.2.4. The Graduate Committee provides the option of dropping a semester and attending the missed courses with the next batch. If the student is willing to do so she/he would apply to Program Department providing valid reasons and be allowed to attend the course work along with the next batch as an exception after due approval of the Academic Commission of the College.

17.2.5. Notwithstanding the provision of the University Senate Legislation 2017 on the removal of incomplete "I" grades, ***if the course work of a candidate remains incomplete for two years from the date of joining the PhD programme she/he will not be allowed to continue the field data collection and if the course remains incomplete for three years from the date of joining the PhD Programme her/his registration will be automatically cancelled.***

17.2.6. At the end of the third semester the student will prepare a seminar paper which summarizes the theoretical framework developed through a knowledge area development drill during the second and third semester guided by a prospective supervisor. As the student become well-informed about her/his topic and prior research on the topic, her/his knowledge should suggest a purpose for her/his thesis/dissertation. When a student is able to articulate this purpose clearly, she/he is ready to write her/his prospectus/proposal.



17.2.7. A full time Ph.D. scholar will contribute significantly in the academic activities of her/his respective College during the weekdays. A PhD student shall be involved in offering lectures and tutorials and other similar academic responsibilities (with no payment) within or outside the University, when assigned by the University on a weekly basis for not more than: Three hours of lecture; or. Six hours of tutorial; or. Six hours of laboratory work; or the equivalent workload.

17.2.8. These academic responsibilities of the Ph.D. scholars will be strictly defined and their performance under these activities will be evaluated by the faculty concerned.

17.2.9. In addition, in order to develop proficiency in data handling techniques and use of databases, they might be involved in supervising the research work being undertaken by the research fellows, so that the progress of their doctoral research does not suffer.

17.2.10. ***A full time PhD student is never allowed to involve in any other research projects except her/his PhD research development.***

#### **17.2.11. Performance evaluation in Stage I**

1. The research scholar is required to submit a monthly progress report (SGS-PhD: Form 000) through his/her supervisor.
2. The research scholar is required to sign an attendance register on all working days to be kept in the PhD Program coordinator except when she/he is on any other assigned duty/sanctioned leave
3. When the research scholar is pursuing Ph.D. course work/she/he is expected to ensure regular attendance in each course
4. Medical leave, Maternity/paternity leave will be admissible to a Ph.D. student as per the rules of the University and Law of the country. .

#### **17.3. Stage II: Confirmation of Ph.D. Candidature and allocation of Research Supervisor**

17.3.1. Candidate's registration will get 'Confirmed', when: she/he

1. Clears the coursework satisfactorily and
2. Her/his synopsis/proposal gets final approval of an examining panel of the College.

- 17.3.2. After commencement of the Programme in September, the Chair Person of the Graduate Committee (Ph.D.) of the Academic Unit will help the Ph.D. scholars in identification of their research interest during the first semester of coursework.
- 17.3.3. The Chair Person of Graduate Committee (Ph.D.) will also provide the students the faculty research profile for enabling them to make an informed decision at the end of semester one. The students would then be fully aware about the possibility of joining a college faculty as research scholar.
- 17.3.4. In order to ensure timely submission of the doctoral dissertation, the ECSU follows the policy of maintaining an upper limit on the number of research scholars to be allocated per faculty which is five.
- 17.3.5. At the time of submitting the Synopsis/proposal, the students must indicate names of three ECSU faculties as their proposed supervisor from a particular discipline. Chair of the Graduate Committee (Ph.D.) of the Academic Unit will put the Research Supervisor in line with the students' research interest, faculty's research inclination and the existing ECSU norms.
- 17.3.6. After allocation of Research Supervisor, depending upon the multidisciplinary nature of the thesis a scholar might be assigned by the Graduate Committee of the Academic Unit a **Doctoral Advisory Committee (DAC)**, consisting of the Ph.D. Guide and two other faculty members. The Ph.D. supervisor may indicate the name of two faculties to PD (Ph.D.) for this purpose. At least one member of the committee should be nominated by the Academic Units on its behalf. However there should not be more than two supervisors from the same college.
- 17.3.7. After allocation of Research Supervisor, the candidate has to appear in the synopsis Confirmation Seminar, where an examining panel of the College will assess the presentation and approve her / his Synopsis and Thesis Title. Suggestions received at the Seminar have to be incorporated before submitting the revised synopsis to Graduate Committee (PhD).
- 17.3.8. The student is required to incorporate in his/her synopsis/proposal pertinent comments and suggestions arising from the public defence and submit three copies of the final proposal duly approved by the supervisor and co-supervisor (if any) to Head of the PhD Program Academic Unit.

17.3.9. In case the synopsis/proposal of a student is rejected by the examiners s/he will be given a maximum of two months period to improve it and resubmit it for evaluation or submit an altogether fresh synopsis/proposal for a new evaluation.

**17.3.10. If the synopsis/ proposal of a candidate is rejected twice the (Ph.D.) Graduate Committee of the Academic Unit need to discuss the status of the student and report to the head of Program Academic Unit who will forward the case to the Academic Unit Council. The decision of the Academic Commission will be final. An option might be to award M.Phil. degree at the end of 4 semesters of full time study and completing an alternative culmination work. This option requires approval of the Council of Graduate Studies.**

17.3.11. A PhD student advances to candidacy before beginning the primary dissertation research. After completion of the coursework at the third semester, at the beginning of the fourth semester the student is required to submit and present her/his proposed Ph.D. 'Synopsis' before an examining panel of the College for approval. While preparing the synopsis, the Ph.D. scholar may get in touch with Institute faculties and benefit from their suggestions. The Synopsis must successfully explain various aspects of students' research, e.g. motivation of undertaking the research, literature survey, gaps in the literature, identification of research problem, proposed hypothesis, methodology, data sources and tentative chapterization to the Graduate Committee (Ph.D.). Refer to Policy Guidelines of Graduate Research 2017.

17.3.12. The Examining Panel for PhD proposal/synopsis is composed of one external examiner (domiciled in Ethiopia), one internal examiner both with academic qualification of no less than associate professor and who are experts in the concerned field, and a chairperson (preferably the Chairperson of the Graduate Committee of the Academic Unit if she/he is Ph.D. holder and having an academic rank of assistant professor with more than three years of experience in teaching and research or above).

**17.3.13. All candidates are required to confirm their candidature before mid of the third year from the date of enrolment. A Candidate is allowed to submit her/his thesis within a maximum period of ONE AND HALF years from the date of 'Confirmation'.**

17.3.14. In case participants find an academicians from outside of the Institute who is conversant with her/his topic of research she/he may apply to consider her/him

as Co-supervisor requesting Chair of Graduate Committee (PhD) and getting the final approval from the Director of the College in consultation with the Director for School of Graduate Studies. Only one Co-guide from outside the institute is allowed.

**17.3.15. Only in exceptional circumstances (as per merit, e.g. the case of multidisciplinary research), a student may be allowed to receive allocation of both Ph.D. supervisor and Co-supervisor from within ECSU, with due permission of Academic Vice President.** However, the two faculties must belong to different disciplines in that scenario.

#### **17.4. Stage III: Thesis Title**

17.4.1. The process of allotting the Research Supervisor to guide the student during her/his thesis writing stage would be over along with the successful Confirmation of Ph.D. Candidature.

17.4.2. The '**Title**' of the thesis will also get finalized once the candidate's synopsis is approved and her/his candidature is confirmed.

17.4.3. If required, the '**Title**' approved at the time of Confirmation Seminar may be changed **ONLY ONCE** 'partially' before the thesis submission (SGS-PhD Form: 00). Under such circumstances, the student needs to apply to the academic unit through her/his Supervisor for the same. The School of Graduate Studies should also be informed about the changes.

#### **17.5. Stage IV: Evaluation of the Progress in Doctoral Research**

17.5.1. After confirmation of the title, the student needs to work in association with the Research Supervisor and the Doctoral Advisory Committee (DAC), if any.

17.5.2. The students must report their progress to the Research Supervisor and or to the DAC on a regular basis. Once in every month, they must meet their Research Supervisor for discussion on the progress made. Every month a progress report (**SGS-PhD: Form-00**) should be filled by the candidate and the supervisor and reported to the PhD Program Academic Unit. Once in every three months they must meet their DAC (in case assigned to them) making a formal presentation in front of them, and the concerned DAC would certify his/her progress to the Department Graduate Committee (Ph.D.).

17.5.3. In addition, nearly six months after the presentation to DAC, the scholars would make another presentation (colloquium) to a broader faculty panel. The DAC members of a particular student would also attend the second meeting to evaluate the progress of the student over the last presentation.

***17.5.4 In case the candidate failed to present her/his research to the concerned research supervisor and co – supervisor or the Doctoral Advisory Committee, as the case might be, for more than three months, her/his registration for Ph.D. programme may be automatically cancelled.***

17.5.5. Ph.D. scholars are encouraged to publish articles in Reputed Refereed Academic Journals during their thesis work. However those Ph.D. scholars following the article dissertation format are required to submit the proof of acceptance of at least TWO articles in TWO Reputed Refereed Academic Journals, during their thesis work stage.

#### **17.6. Stage V: Submission of Thesis**

17.6.1. A Ph.D. candidate at ECSU must deliver a pre-submission internal defence seminar to all faculty members of the Institute, without which submission of the thesis is not possible. The supervisor in consultation with PhD Program Coordinator and the School of Graduate Studies shall organize the pre-submission seminar.

17.6.2. The seminar will provide the Graduate Committee (Ph.D.) with an opportunity to assess the work of the candidate and if not satisfied, the candidate will be required to further work as suggested in the seminar and deliver a fresh pre-submission seminar within a period specified by the Committee.

17.6.3. In case the Committee is satisfied with the pre-submission seminar or with minor comments; the candidate should incorporate all suggestions/comments received during internal defense in the thesis to be submitted.

17.6.4. The Graduate Committee through the program coordinator will forward to the PhD Academic Unit

1. Candidate's application for submission of the dissertation (SGS-PhD: Form 000)
2. Certificate informing the completion of the pre-submission seminar; and
3. The exact title of the dissertation

17.6.5. The candidate needs to submit her/his dissertation within SIX months from the day of the pre-submission seminar.

17.6.6. The candidate conferring with the supervisor/the Doctoral Advisory Committee (DAC) shall give notice of readiness to submit a thesis. This will promote the SGC/IGC/DGC or CGC to appoint an examining board and select an external examiner.

17.6.7. Details of the Submission Requirements are provided in the Box that follows:

**Submission Requirement**

1. Submit completed Course work Grade sheet. Minimum requirement is B Only Grade.
2. Submit 'Confirmation' Certificate.
3. Work for a minimum period of TWO years from the date of 'Confirmation'.
4. For scholars following the articles dissertation format submit letter of 'acceptance' of at least two articles in two reputed refereed academic journals
5. Presentation in at least ONE progress seminar every year.
6. Successful defense of the thesis at the internal defense seminar
7. Clearance of all dues
8. Submit FIVE copies of "Abstract"/summary and one soft copy (in a CD) of the abstract
9. FIVE original copies in spiral bound or equivalent form and one soft copy (in a CD) of the thesis duly signed by the candidate and countersigned by the Supervisor declaring that it is an original work and not submitted partly or fully for the award of any degree in any institution.
10. A copy right transfer certificate as per prescribed format

17.6.8. A candidate may submit the copies of the abstract/summary of the dissertation duly forwarded by the supervisor to the head of the PhD program Academic Unit one month before the submission of the dissertation in order to expedite the process of evaluation.

17.6.9. The candidate may incorporate in her/his dissertation the contents of any work which she/he may have published in refereed/non-refereed forum, after clearly mentioning that in the dissertation.

17.6.10. If the candidate fails to submit the dissertation within specified period, then an extension of three months can be given by the College/Institute based on the recommendation of the Council of Graduate Studies.

***17.6.11. However the candidate should not include any published /unpublished research works done by her/him prior to her/his initial registration in the PhD program or any research work submitted by her/him to any institution for the award of any other degree or diploma.***

### **17.7. Adjudication of the Thesis**

17.7.1. For the adjudication of the Ph. D. thesis, there shall be a Board of Examiners consisting of two external members who shall be experts in the concerned field and not be below the rank of Associate Professor to be chosen by SCG/IGC/DGC from a panel of examiners submitted by the concerned Supervisor and approved by the School of Graduate Studies (SGS).

17.7.2. Each External examiner appointed to adjudicate the thesis shall send the report to Chairperson of SCG/IGC/DGC within two weeks from the date of receipt of the thesis. However, if the examiner's report is not received within a maximum period of three weeks, the thesis shall be sent to a third examiner from among the panel approved by SGS.

### **17.8. Stage VI: Ph.D. Thesis Evaluation Procedure and Viva-Voce**

17.8.1. The Supervisor of a candidate shall, after her/his pre-submission defense, eight weeks in advance of the submission of Ph.D. dissertation, forward FIVE copies of Abstract of the dissertation including Table of Contents to Chairperson of the Department Graduate Committee in both soft and hard format. The Chairperson of DGC will forward the copies to PhD Program Department or Academic Unit.

17.8.2. The Supervisor of the candidate shall also submit names of three External Experts on the subject area to the Chairperson of the Department Graduate Committee. At least ONE of the two External Examiners must be named from Higher Academic Institutes based abroad or in Regions as circumstances permit.



- 17.8.3. The Graduate Committee will rank the names of the three proposed External Experts in the order of their preference and forward the document to the SC/IC/DC and the School of Graduate Studies seeking their approval.
- 17.8.4. The Chair Person of the Graduate Committee (PhD) will send the soft copies of the abstract of the dissertation to THREE Experts in the order approved by the Director for checking their availability and willingness for the evaluation. The experts will be requested to respond by two weeks. This will facilitate immediate communication of the submitted dissertation to the External Experts. Upon receiving their positive response, the Chair Person of the Graduate Committee (PhD) will send the hard copy of the dissertation to the External Experts who responded positively.
- 17.8.5. If one of the three top-ranked External Experts expresses her/his inability to evaluate the thesis owing to prior commitments/by the proposed timeline, the External Expert ranked next in the same order will be contacted by the Chair Person of the Graduate Committee (PhD).
- 17.8.6. A candidate after completion of research shall submit the dissertation to the Graduate Committee (PhD) at any time during working hours of the University (proposed) after completing the clearance process.
- 17.8.7. A candidate shall be permitted to submit the dissertation only after her/his Supervisor certifies that the thesis in current form is worthy of consideration for the award of a Ph.D. degree.
- 17.8.8. A candidate shall be permitted to submit the dissertation, only when the same incorporate ALL relevant comments received at the pre-submission defense seminar from ECSU faculties.
- 17.8.9. For candidates who chose the Article Format they shall be permitted to submit the dissertation, provided they submit the letter of 'acceptance' of at least two articles in two reputed refereed academic journals.
- 17.8.10. The submitted dissertation must be a piece of novel research characterized either by the discovery of new facts, or by a fresh interpretation of facts or theories. The dissertation work must be satisfactory in terms of its academic rigor, language and presentation.



- 17.8.11. The candidate needs to submit an undertaking that the submitted dissertation involves original research by her/him. Copy of the undertaking needs to be attached with every bound thesis.
- 17.8.12. Submitted dissertation will be sent for evaluation to Two 'External Experts'. The Department Graduate Committee will request the External Experts to submit their comments by six weeks' time.
- 17.8.13. If the report is not received from an examiner within six weeks of the receipt of the dissertation by the examiner a reminder will be sent and after a fortnight another reminder will be sent to the examiner. in case the report is not received within three months her/his examinership shall be cancelled.
- 17.8.14. Then another expert earlier approved by the Chair Person of the Graduate Committee (PhD) in order of preference might be approached.

## 17.9. Examiners' reports

17.9.1. An examiner shall submit her/his report on a prescribed format made available to her/him with dissertation. She/he shall examine the dissertation and give her/his own opinion with reference to points mentioned in the format and shall make one of the specific recommendations given there in.

17.9.2. The examiner's report shall include:

1. A critical account of the work of the candidate as embodied in the dissertation and an evaluation of the work in terms of its contribution to the advancement of knowledge.
2. Details of any question to be asked or points to be clarified at the Viva-Voce Examination.
3. A definite recommendation as to whether the Ph. D. Degree should be awarded or not.

17.9.3. Examiners shall place their report in any of the following categories in the prescribed format:

1. **Category I: APPROVED with no revision:** Limited grammatical, labeling, or numbering change is required. Only a small number of sentence additions or deletions should be necessary. Approval page should be signed by the examiner.

2. **Category II: APPROVED with minor Revision:** The candidate will be required to recognize portion of the manuscript and change some of the content. Change may include but are not limited to a minor refinement of the conclusions or recommendation sections, as well as correcting tables, issues with the bibliography and referencing, or typographical and grammatical errors. Change must be completed and these changes can be overseen by the school. Approval page should be signed by the examiner.
  3. **Category III: APPROVED With Major Revision:** The candidate will be required to recognize significant portion of the manuscript. Changes may include but are not limited to rewriting a complete chapter or revising a literature review, adding tables or further data analysis, addressing inconsistency between the research questions and findings, or lack of adequate data. Approval page will not be signed until changes are made.
  4. **Category IV: REJECTED or Not Approved:** if the dissertation content is determined not of acceptable quality, the candidate is considered to have failed. Failing the dissertation will result in program dismissal.
- 17.9.4. After receiving the reports of all examiners, copies of the categorized reports (without the identity of the Examiners) shall be sent to the Thesis Supervisor(s) through the Ph.D. Graduate Committee of the Academic Unit. The supervisor(s) shall ensure and certify that all the suggestions (if any) have been incorporated.
- 17.9.5. If the reports are either in **Category I or Category II** then the Graduate Committee shall intimate the supervisor about the name(s) of Internal and External Examiner(s) and also request to constitute the oral Board as per Para.
- 17.9.6. The supervisor shall send the list of suggested Examiners with the responses of student against the comments of Examiner(s), if any, to Graduate Committee of the Academic Unit who shall recommended it for approval.
- 17.9.10. If an Examiner gives his report in **Category III** then clarification/modifications suggested by the Examiner shall be done by the candidate in consultation with Supervisor(s). Then supervisor shall send the corrected Thesis along with the responses and explanatory notes to the Graduate Committee of the Academic Unit the candidate belongs to who shall advise the Academic Unit to send the corrected Thesis along with the responses and explanatory notes to the same Examiner with a request to respond within six weeks. If no response from the Examiner is received within six weeks' time or Examiner gives his report **again in Category III** then the matter shall be referred to the College Academic Commission for the further course of action.

- 17.9.11. If more than one EXAMINER GIVES their report in **Category III** then clarification/ modification suggested by the Examiners shall be done by the candidate in consultation with Supervisor(s). Then supervisor shall send the corrected Thesis along with the responses and explanatory notes to the Graduate Committee of the Academic Unit the candidate belongs who shall advise the Academic Unit to send the corrected Thesis along with the responses and explanatory notes to all the external Examiners. If no response from the Examiners is received within six weeks time or the Examiners give their report again in **Category III** then the matter shall be referred to the College Academic Commission for further course of action.
- 17.9.12. If one of the examiners places his report in **Category IV** the matter shall be referred to Academic Commission of the College for deciding the further course of action.
- 17.9.13. ***If the reports received from more than one Examiner are in Category IV the Thesis shall be rejected and the candidature of the student shall stand automatically terminated.***
- 17.9.14. In case of unanimous recommendation of the examiners whether for acceptance, rejection, or for the revision of the dissertation, it shall be deemed to be final and further action appropriate to the case shall be taken.
- 17.9.15. If one examiner recommends a revision of the dissertation, the candidate shall submit the dissertation after the necessary revision. The examiner shall submit her/his report on the revised dissertation on a prescribed format made available to her/him. She/he may recommend the dissertation to be either accepted or rejected. In accordance with the examiner's recommendation, an appropriate action will be taken.
- 17.9.16. In case one examiner recommends a rejection of the dissertation, a third external examiner shall be appointed from the panel of already approved examiners.
- 17.9.17. Reports of all the examiners shall be made available to the **Board of PhD Dissertation Defence** prior to the oral defence.
- 17.9.18. On submission of the evaluation report by at least two External Experts, viva-voce will be conducted if both reports are favourable. In case, one of the evaluation reports is not favourable, the evaluation report of the third examiner will be considered.

### **17.10. Viva Voce**

- 17.10.1. The Viva-Voce shall be conducted by the Board of examiners composed of one Internal and two External examiners.
- 17.10.2. The candidate is required to defend her/his dissertation in front of the External Expert (at least ONE has to be present), Research Supervisor, Programme head of Ph.D. Programme and Chairperson/ School/institute/department Graduate Committee, and the Director for School of Graduate Studies.
- 17.10.3. The External Experts may recommend that the degree be awarded subject to satisfactory viva voce test on the dissertation, or that the dissertation may be rejected, or that the dissertation be resubmitted.
- 17.10.4. The Ph.D. degree shall be awarded only after TWO external experts unanimously recommend for the same, and following the successful viva-voce.
- 17.10.5. In case of resubmission of dissertation, the dissertation must be resubmitted within SIX months from the date of supply of comments of the External Experts to the candidate by the Office of the respective academic unit of the ECSU.
- 17.10.6. *The dissertation may only be resubmitted ONCE.***
- 17.10.7. If the candidate fails to submit the dissertation within specified period, then an extension of three months can be given by the College/Institute on the recommendation of Council of Graduate Studies.
- 17.10.8. In case of resubmission, the dissertation needs to be sent to the original External Experts, unless they explicitly express their inability.
- 17.10.9. The Board of PhD Dissertation Defence shall submit a comprehensive report on the performance of the candidate during the oral defence.
- 17.10.10. If the Board of PhD Dissertation Defence recommends the award of the Ph. D degree to the candidate she/he shall submit three hard bound copies of the dissertation to the office of the Ph.D. program Academic Unit incorporating corrections and suggestions of the examiners.

17.10.11. Any issue concerning the Ph.D. dissertation evaluation procedure or interpretation of the approved provisions shall be referred to the Director of the School of Graduate Studies and through her/him to the Academic Vice President whose decision shall be final.

#### **17.11. Extension Provision in the Ph.D. Programme**

17.11.1 If any candidate who has received confirmation for the Ph.D. programme fails to submit her/his thesis within the stipulated FOUR years (from the date of enrolment) she/he may seek for '**Extension**'.

17.11.2. Only ONE year extension will be given to the candidate if the Doctoral Advisory Committee (if any) and Graduate Committee of the academic unit are satisfied by the progress of the thesis work. Candidate has to submit her / his thesis within the extension period without paying any extra fees.

17.11.3. The full time Ph.D. scholars may receive scholarship during fifth year period for the first SIX months. Further extension to the scholarship will be subject to satisfactory progress of the doctoral work.

17.11.4. ***Under no circumstances, doctoral fellowship to full time students will be extended beyond FIVE years.***

***17.11.5. If the candidate is not able to submit her / his thesis during the extension period, her / his enrolment from the Ph.D. Programme will be cancelled automatically.***

#### **17.12. De-Registration from the Ph.D. Programme**

17.12.1. If any candidate who has received confirmation for the Ph.D. programme fails to submit her/his thesis within the stipulated FOUR years (from the date of enrolment) she/he may apply for the '**Deregistration**'.

17.12.2. Candidate who has been granted extension for the submission of Ph.D. thesis will not be permitted to avail the facility of Deregistration.

17.12.3. Candidate willing to apply for Deregistration has to send her / his request for deregistration in writing through Supervisor to the Chair Person of the Graduate Committee (Ph..D.) Deregistration will be allowed only when the Dean of the College approves the recommendation of the head of the Academic Unit.

17.12.4. Any Deregistered candidate may Re-register herself/himself within FOUR years from the date of Deregistration after payment of the registration fee of Ethiopian Birr \_\_\_\_\_. In addition to this, the candidate availing the option of Deregistration would be required to pay Annual Fee of Ethiopian Birr. \_\_\_\_\_ for use of various databases / journals available in ECSU library.

17.12.5. During the Re-registration of a deregistered candidate, she/he has to furnish the following documents

1. Deregistration Certificate
2. Confirmation Certificate
3. Re-registration Fee Payment Certificate

17.12.6. In case of deregistration, the, candidate has to submit her/his thesis within FIVE years from the date of Deregistration. **Failing to do so, her/his enrolment from Ph.D. Programme will be cancelled automatically.**

### **17.13. Award of the doctorate degree**

17.13.7. The reports of the Board of PhD Dissertation Defence shall be placed before the Graduate Committee (Ph. D.) of the academic unit for consideration and approval of the award of the Ph.D. degree to the candidate, provided all the recommendations are positive and Unanimous.

17.13.8. A graduation decision shall be processed by the relevant SGC/IGC/DGC/CGC endorsed by the Academic Commission of the College and approved by the Senate;

17.13.9. After the dissertation has been approved by the Graduate Committee (Ph.D.) of the academic unit (SGC/IGC/DGC/CGC), the Council of Graduate Studies and the senate for the award of Ph.D. degree, the Candidate may be issued a provisional degree and may be given the photocopy of the examiners' report by the Registrar of the university.

17.13.10. The year of the submission of the dissertation shall be the year of the award of the PhD degree. Likewise, the year of submission of a revised dissertation will be the year of of the award of the Ph.D. in case the dissertation has been recommended for revision

17.13.11. A PhD student shall fulfill the following in order to graduate

1. Take and passed all the prescribed courses of the curriculum;

2. Produce a dissertation that fulfills the required academic merit;
  3. Have a minimum CGPA of 3.00 with minimum of “B” grade for each course has earned at least minimum credits as specified
  4. Paid all the dues of the College/Institute and has no pending case of indiscipline.
  5. Fulfill all the requirements as stated in the University Senate Legislation 2017.
- 17.13.12. The Doctorate degree to be awarded shall be called “Doctor of Philosophy” (Ph.D. in short) and the certificate shall mention the name of the doctoral program (in ...), the title of the dissertation, and the College in which the candidate was admitted for the PhD program.
- 17.13.13. Three hard bound copies of the dissertation in its final form to be submitted to the Ph.D. Program academic unit and the School of Graduate after the oral defence bearing the following copy right certificate in the beginning of the dissertation on a separate page:

**Copy Right© Ethiopian Civil service University  
P.O.Box 5648 Addis Ababa, Ethiopia  
All Rights Reserved**

- 17.13.14. The University Registrar shall issue appropriate credential to graduated students upon approval of the graduation by Senate.
- 17.13.15. Depository with ECSU: Following the successful completion of the evaluation process and announcement of the award of Ph.D., the College shall submit one hard copy and soft copy (in CD) of the Ph. D thesis to SGS within a period of 30 days.

#### **17.14. Graduation with Distinction, Great Distinction and Very Great Distinction**

- 17.14.1. A PhD student who graduates with CGPA/CANG of 4.00 shall be awarded Highest Honor (**Summa Cum Laude**).
- 17.14.2. A PhD student who graduates with CGPA/CANG > 3.95 and < 4.00 shall be awarded Great Honor (**Magna Cum Laude**).
- 17.14.3. A PhD student who graduates with CGPA/CANG > 3.90 and < 3.95 shall be awarded Honor (**Cum Laude**).

**17.15. Temporary withdrawal from the program**

- 17.15.1. A student admitted to the Ph.D. program may be permitted to withdraw from the program for some genuine reasons and later allowed to join back to complete the research work and submit the dissertation without exceeding the maximum prescribed time limit for the dissertation submission
- 17.15.2. Under no circumstances withdrawal shall be granted with retrospective effect without the decision of the Council of Graduate Studies based upon the decision of the College Academic Commission presented to it by the Director of the College.
- 17.15.3. A research scholar should submit a medical certificate in support of her/his absence for health reasons within two days of his joining the College, if not submitted already
- 17.15.4. A fulltime sponsored student may be permitted to join back her/his parent organization after fulfilling the minimum residency period requirement for the submission of the dissertation.



## SECTION FOUR: MISCELLANEOUS

### 18. Teaching and Evaluation

#### 18.1. Teaching

- 18.1.1. **Medium of instruction:** the medium of instruction of all courses shall be *English*.
- 18.1.2. **Approval of courses:** each course along with its weight in terms of credit hours is approved by the CGC/SGC/IGC/DGC. Only approved courses may be offered during any semester/summer-term.
- 18.1.3. **List of courses:** the list of course to be offered in a Ph.D. Program is finalized before the beginning of the semester, by the CGC/SGC/IGC/DGC hosting that program.
- 18.1.4. **Conduct of courses:** each course shall be conducted by the faculty members with the assistance of required teaching assistants, as required. The faculty member is responsible for conducting the course: teaching in the class, holding the examinations, evaluating the performance of students, awarding the grades at the end of the semester, and submitting the grades to the Registrar within 72 hours of the completion of the final examination or enter into the Student Information Management Systems.
- 18.1.5. **Teaching assignments:** prior to each semester, the Dean of the College hosting the Ph. D program shall request the SGC/IGC/DGC his/ to prove a list of courses being offered by faculty members in the next semester. The SGC/IGC/DGC shall hold a meeting to determine names of faculty members offering the courses of the next semester. The teaching load has to be approved by the Academic Vice President.
- 18.1.6. **Auditing of courses:** a student may audit any number of courses beyond the prescribed minimum number of courses. Students wishing to audit a course shall seek the consent of the instructor of the course being audited. The name of the audited course will appear in the Grade-Card of the student. No grade will be awarded to students auditing a course; the Instructor may require such student to submit all homework and term papers during the semester just like the students, who are taking the course.

## **18.2. Supervisor Allocation**

- 18.2.1. A Faculty member with academic status of associate professor and above from the university or college maybe appointed as a Supervisor provided that he/she has Ph.D. degree.
- 18.2.2. The faculty member should have three years of teaching/research experience after the award of the Ph.D. Degree and demonstrated outstanding ability for research in the subject area.
- 18.2.3. The assignment of theses advisers and co-advisers and dissertation supervisors and co-supervisors shall be based on specialization and expertise of the staff
- 18.2.4. The maximum number of student allocated to a supervisor shall be according to the designation academic status: Professor (6) and Associate Professor (4) excluding supernumerary allotment as permitted by the Academic Vice President.
- 18.2.5. In case of joint supervision, the number of students enrolled will be counted as one for each of the joint Supervisors, except for load analysis.
- 18.2.6. In an academic unit where teachers are retiring, leaving or are proceeding on long leave, on deputation or where unforeseen circumstances has necessitated redistribution/reallocation, the Academic Commission (AC) of the College appoint Supervisor(s)/Joint Supervisor(s) as supernumerary allotment. This shall be approved by Council of Graduate Studies.
- 18.2.7. Instructors on deputation/long leave of more than a year may not be included in the list of proposed supervisors in a college and in determining the maximum enrolment strength.
- 18.2.8. The CGC/SGC/IGC/DGC, on the recommendation of the supervisor and/or student, may appoint scholars of eminence who may be residing in Ethiopia or abroad, as joint supervisor(s).

## **18.3. Attendance requirements**

- 18.3.1. A student should have full attendance in each course.
- 18.3.2 Unless the student takes leave of absence for valid reasons, the student has to attend every lecture, tutorial, or lab session.

- 18.3.3. If a student is absent without any reason, the instructor would send him a warning by email. If the student's attendance falls below 85%, then the instructor will notify the Department/Institute and a letter will be sent to the student.
- 18.3.4. If the student still does not attend the classes regularly, then the respective Ph.D. Program academic Unit can cancel the student from the course based upon the opinion of the Graduate Committee.
- 18.3.5. Once a student is canceled from a course, that course will not show up in the grade card of the student.

#### **18.4. Evaluation**

- 18.4.1. The performance of students in a course is evaluated in a continuous basis, using their interaction in the classroom, and performances in examinations, the laboratory work (if any), and term-papers and projects.
- 18.4.2. Schedule of examinations: Each course shall have one mid-semester and one end-semester examinations with additional two assessments.
- 18.4.3. Make up examinations: no make-up examinations are admissible without valid reasons. But, if a student fails to appear in any examination (one mid-semester and one end semester examinations) for a genuine reason (such as illness), she/he may make a request to the CGC/SGC/IGC/DGC for a make-up examination within two days of his recovery from illness.
- 18.4.5. A medical certificate shall be furnished when illness being the reason for absence from the examination. In such cases, the marks obtained in the other elements of evaluation may be prorated for the examination missed.
- 18.4.6. When two examinations are missed in a course, the prorating maybe done for only one examination; the marks in the other examination shall be taken as zero.

#### **18.5. Grading system**

- 18.5.1. Grades and grade points: at the end of the semester, a student is awarded a relative letter grade in each course by the instructor offering the course considering the performance of the student during the semester.
- 18.5.2. Five regular letter grades, namely A, B, C, D and F shall be awarded in each course for Ph.D. students. Each letter grade is associated with a numerical equivalent on a 4-point scale (called Grade Point).
- 18.5.3. The grades shall be submitted to the registrar office within 72 hours after the end semester examination.

- 18.5.4. A student is awarded 'I' grade in a course, when the student fails to appear in the end-semester examination for a genuine reason. The student shall appear for a make-up examination within the first two week of the next semester and seek to convert the 'I' grade into one of the regular grades, at least one day before the last date of add drop in the next semester.
- 18.5.5. Any 'I' grade remaining after this date shall be converted automatically into an 'F' grade.
- 18.5.6. A Ph. D. student shall obtain at least a 'B' Grade in the minimum number of courses that she/he needs to earn credit.
- 18.5.7. Change of grade already awarded: normally, a letter grade once awarded shall not be changed. Only, in exceptional circumstances, the CGC/ISGC/IGC/DGC may allow the required change, based on through investigation of the assessment results by a neutral committee.

#### **18.6. Termination**

- 18.6.1. A student maybe terminated from the Ph.D. Program by the College/Institute/School, if the student:
1. is absent without authorized leave of absence for a major part of the semester and does not appear in the end-semester examination of the courses in which she/he is registered;
  2. fails to report and register by the last date of registration without a bonafide reason;
  3. violates the code of conduct, involves in ragging, etc, as confirmed by the student Disciplinary Action committee of the college; or
  4. does not earn the prescribed minimum of credits within a maximum of 2 years from the date of registration, including all leaves of absence.

#### **18.7. Appeal against termination**

- 18.7.1. A student, who is terminated form the Ph. D. Program, can appeal for reconsideration to the College
- 18.7.2. In the appeal, the student is expected to give reasons for poor academic performance and/or why the termination should be reconsidered.
- 18.7.3. The Senate upon a written suggestion from the CGS and after considering all the available inputs shall take a final decision

## **18.8. Leave**

- 18.8.1. Application for leave of absence should be addressed to the head of the academic unit, and submitted with a medical certificate, if applicable.
- 18.8.2. Usually, leave must not be availed of without prior approval of the academic unit
- 18.8.3. Applications for all kinds of leave must be submitted well in advance of the date of commencement of the leave requested.
- 18.8.4. Student's absence from the institute without sanctioned leave will entail loss of financial assistantship for the period of absence and in extreme circumstances may also result in the termination from the respective Ph. D Program.
- 18.8.5. Ph. D. students are entitled for vacation leave up to a maximum of 15 days per semester in addition to public Holidays.
- 18.8.6. Vacation leave not availed in a semester will not be carried over to the next semester.
- 18.8.7. For bonafide reasons, the student may also be allowed casual leave for upto 7 days per semester.
- 18.8.8. Ph. D students may be granted medical leave, duly supported by a medical certificate.
- 18.8.9. Female students are entitled for maternity leave, duly supported by a medical certificate, during the tenure of their assistantship or fellowship.
- 18.8.10. Male students are also entitled for 15 days paternity leave, once during the tenure of their assistantship of fellowship. The leave should be duly supported by a medical certificate.
- 18.8.11. Special leave is admissible with the recommendation of supervisor(s) to attend seminars and conference in Ethiopia or aboard to present research papers.

## **18.9. Conduct and discipline**

- 18.9.1. Code of conduct: each student shall conduct himself/herself in a manner befitting his/her association with an institute of national importance. He/she shall not indulge in any activity, which is likely to bring down the prestige of the institute.
- 18.9.3. She/he shall show due respect and courtesy to the faculty members, administrators, officers and employees of the institute, and good neighborly behavior to fellow students. Due attention and courtesy shall be paid to visitors to the institute and residents of the campus.

18.9.4. Lack of courtesy and decorum, unbecoming conduct (both within and outside the institute), willful damage and/or removal of institute property or belongings of fellow students, disturbing others in their studies, adoption of unfair means during examinations, breach of rules and regulations of the institute, noisy and unseemly behavior and similar other undesirable activities shall constitute violation of the code of Conduct for students.

18.9.5. Ragging in any form is strictly prohibited and considered a serious criminal offence and violation of the code of conduct. Involvement of the student in ragging shall lead to his/ her expulsion from the institute.

### **18.10. Disciplinary actions and related matter**

18.10.1. Violation of the code of the conduct shall invite disciplinary action which may include punishment such as reprimand, disciplinary probation, fine, and debarring from Examinations, withdrawal of scholarship and/ or placement services, withholding of grades and /or Degrees, cancellation of Registration and even expulsion from the institute

18.10.2. Violation of the code of the conduct by an individual or by a group of students shall be referred to the Student Disciplinary committee (SDC). A student, faculty or other functionary of the institution may refer a case to this committee for consideration. Further, the Graduate committee of the Academic unit may appoint a special committee to investigate and /or recommend appropriate action for any act of gross indiscipline involving an individual or a number of students, which, in his/her view, may tarnish the image of the institute.

18.10.3. The recommendation for any action, including expulsion of a student from the institute, shall be treated by the Academic Commission and referred to the senate for its final decision through the AVP.

18.10.4. The senate may not recommend a student ,who is found guilty of some major offence for the award of a degree/ diploma/certificate even if he /she has satisfactorily completed all the academic requirements.

### **18.11. Unfair means (UFM)**

18.11.1. Unfair mean shall comprise of followings.

1. Copping from the papers/ mobile electronic equipment, or materials in the possession of the student.
2. Copping from the answer book of neighboring students
3. Possession of the relevant material

4. Disturbing the smooth conduct of the examination
5. Misbehaviors with the invigilator
6. Act unbecoming of an examinee of the institute.

### **18.12. Repeal and savings**

- 18.12.1. On and after the coming into force of these ordinances, other Regulations in force governing Doctoral Degree program shall stand repealed.
- 18.12.2. Provided such repeal shall not affect the registration and continuation of doctoral degree program under the repealed Regulation except when the candidates exercise their option to switch over as provided below.
- 18.12.3. The School of Graduate Studies shall initiate additional guidelines, instruction etc., to be issued by the University as it may deem fit to implement the provision of this ordinance
- 18.12.4. In case of any difficulty in the implementation or giving effect to the provisions of these ordinances, the Academic Vice President may interpret and take such decisions that he/she deems fit and his/her decision shall be final.

### **19. Outstanding issues**

- 19.1. Notwithstanding anything contained in this ordinance all Ph.D. students shall be governed by the Senate Legislation 2017 and other rules and procedures framed by the Senate of the University in this regard and enforced from time to time.
- 19.2. The President / Academic President can order a special procedure for the evaluation of a Ph.D. dissertation to protect the work of classified nature involving national security and sovereignty and/or to protect the intellectual property rights of a candidate, the supervisor and the University
- 19.3. Any doubt or arising from the interpretation of the provisions in this ordinance shall be referred to the President or the Academic Vice President whose decision shall be final

### **20. Effective date**

20. 1. This ordinance will be effective form the date of approval by the Senate of the Ethiopian Civil Service University.

## List of acronyms

AC	Academic Commission
AVP	Academic Vice President
ASAC	Academic Staff Affairs Committee
CASC	Curriculum and Academic Standards Committee
CEP	Continuing Education Program
CGC	College Graduate Committee
CGS	Council of Graduate Studies
DAC	Doctoral Advisory Committee
DASQAC	Department Academic Standards and Quality Assurance Committee
DC	Department Council
DGC	Department Graduate Committees
IC	Institute council
SC	School Council
SGC	School Graduate Committee
CASC	Curriculum and Academic Standards Committee
SEC	Senate Executive Committee
SDC	Student Discipline Committee