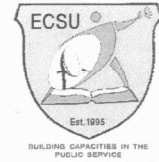


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**Federal Democratic Republic of Ethiopia**  
**Ethiopian Civil Service University**  
**Addis Ababa - Ethiopia**



ቀን:

25 JAN 2019

Date

ቁጥር:

Ref. No

CSU/13/8/784

College of Finance, Management and Development  
College of Urban Development and Engineering  
College of Leadership and Governance  
ECSU

Subject: *Sending Guidelines, Procedures and Revised Roadmap for Pre-Submission Seminar*

Pre-submission seminar or pre-viva review is a requirement as a procedure to finalize PhD studies here in the Ethiopian Civil Service University. This is clearly stated in the Senate Legislation of the University as well as the Ordinance for PhD Programs.

Accordingly, a roadmap is attached herewith to optimize the processing of the activities in the time available between now and the final viva voce, the Senate approval, and the Graduation ceremony to be held in July, 2019.

Colleges and all concerned bodies of the ECSU are also requested to collaborate in the realization of the pre-submission seminar (pre-viva review) according to procedures and time allotted in the Guidelines, and subsequently the PhD defense of 2019. If issues arise, they have to be managed consensually among all concerned bodies. Attached herewith we have sent you 16 pages of the Guidelines, Procedure and the revised Roadmap.

Regards,

**Gemma Gudissa Angessa (PHD)**  
**Academic Vice President**



Cc:

- Office of the President
  - School of Graduate Studies
  - Academic Program Office
- ECSU



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ETHIOPIAN CIVIL SERVICE UNIVERSITY  
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School of Graduate Studies (SGS)



## Guideline, Procedures and roadmap for Pre-Submission Seminar / pre –viva Review/

### 1. Introduction

The Ethiopian Civil Service University in its Senate Legislation 2017 (Article 115.4.2) stipulates pre-submission seminar as a condition to PhD thesis examination. The Ordinance for Doctoral Programs (ECSU-SGS, July 2017) in its Article 17.6.1 -17.6.5 further elaborates the conditions for pre-submission review. Therefore it is a requirement to have pre-submission confirmed prior to submitting a dissertation for examination. Moreover with the journal publication as an option being left for the discretion of the candidate and the supervisor, the need for rigorous pre-viva review is understandable.

Pre-submission seminar/review is the most important step before the final defence of PhD dissertation. It is the oral examination which is a chance for scholars to discuss their work with experts. Normally before submitting the thesis for pre viva, the scholar should prepare well and make one self ready to respond to series of questions from the examiners. The main aim of this step is to ensure that there is no plagiarism involved, and that the scholar is clear about his/her thesis. It involves lots of penetrating and probing questions and sometimes become conceptually complex debate. Pre-submission review/ or pre-viva is a communication between the scholar and examiners. Therefore the scholar is expected to have good communication skills and should build confidence on his/her capability. It is highly recommendable to make a practice presentation before actual pre-submission seminar. A pre-submission review may be carried out in public or in closed doors.

The presentation will be conducted in a supportive and engaging environment, thus enabling the scholar to continue to enhance his/her communication and presentation skills within an academic context. The feedback he/she receives is designed to ensure that he/she is on track to a timely, and successful completion, that his/her research skills are developing appropriately and that the supervisory arrangements are appropriate.



The Pre-Submission Review will be designed by discipline area of the candidate to provide him/her with the opportunity to receive constructive advice from a broad range of academic staff in his/her area on the remaining preparation required for timely submission of the PhD dissertation. Such advice can be invaluable for clarifying the final tasks to be completed, including any additional methodological scaffolding which can deflect objections from examiners antagonistic to the approach followed.

## 2. Preparing for the pre-submission review

Candidates and supervisors will be notified by email **five weeks** before the due date for the Pre-Submission Review. Subsequently the Principal Supervisor will nominate academic and active researchers from internal (university) faculty members with appropriate qualifications to the College as member of the examining panel at least **four weeks** prior to the scheduled presentation date, for approval by the College Graduate Council and subsequently by the School of Graduate Studies (use SGS-PhD: Form 003).

A completed 'Application for Pre-Submission Seminar (Review)' by the candidate endorsed by his/her main supervisor (**attached format – SGS-PhD form 007-2**) has to be submitted to the department notifying he/she is ready for it and requesting the necessary arrangement to proceed. The application must be accompanied by four copies of the pre-submission draft synopsis of the dissertation in five copies (no more than 10 pages), and format for the **Recommendation of Department Graduate Council (SGS-PhD: Form 007-3 A)** for review by the members of the College Graduate Council via the Department head **three weeks** before the scheduled presentation date. For those who follow the article based format - two research papers in reputed journals and two papers in the conferences/seminars during the period of registration in the form of acceptance letter or the reprint with the certificate should be submitted. The candidate has to kindly ensure that the copies are duly certified by the supervisor and are properly written following the guidelines for writing the thesis. Upon the endorsement of the College Graduate Council the draft copies of the thesis and synopsis with the accompanying forms will be circulated to the panel through the Department of the program two weeks before the scheduled presentation date.

Notice for Pre-Ph.D submission presentation must be issued by the Office of Academic Vice Dean of the College with the approval of the Dean of the college, after fixing the exact date in consultation with the concerned chairperson and supervisor, **at least 7 working days** in advance.



If exceptional circumstances prevent the candidate from presenting on the nominated date, an alternative date may be requested. Exceptional circumstances will be considered on a case by case basis and include medical, personal or family circumstances (documentary evidence required). The request would normally need to be made no less than **14 days** prior to the scheduled Pre-Submission presentation.

The Pre-Submission Review will take into consideration the quality of the research, including problem recognition, conceptualization, research design, analytical and interpretive skills, and overall scholarly standard of the research, timeliness of progress, and whether the comments and improvements given during proposal defence have been addressed. Consideration will also be given for development of transferable skills developed appropriately through workshop attendance and training programs as per the program requirements and the demands of the particular project and goals.

The presentation covers approximately 30 to 40 minutes using Power Point (10 slides) and must cover the following:

- Objectives and Scope of the Study
- Literature review (briefly 2-3 slides only)
- Identification of the research gaps based on literature review
- Problem Formulation
- Research Methodology
- Data Collection/Analysis
- Results and Discussion
- Conclusions
- Contributions of the research (with policy implications)
- Further Scope of the Research

Slides should predominately cover candidate's work.

### **3. The pre-submission review panel**

The Panel will comprise at a minimum:

1. All supervisors of the candidate
2. input from external supervisors (one external to the College and another external to the department) is also required
3. One or more senior members of the College/School's academic staff (including the Postgraduate Coordinator).
4. At least one discipline expert (internal or external to the department not outside the college)



The Chair of the Committee will normally be the senior (in academic status) member of the examining panel. Note, however that the Chair of the Committee **MUST NOT** be a supervisor and therefore, if any member of panel or postgraduate coordinator is also a supervisor, another senior member of the School's academic staff should be appointed as the Chair. Where the Head of College/School/Discipline is appointed to the Chair, another senior member of academic staff of the College/School, who is not a supervisor should sign in the capacity of the Head of College/School/Discipline. This is to ensure the impartiality of the progress assessment.

#### **4. The role of the panel**

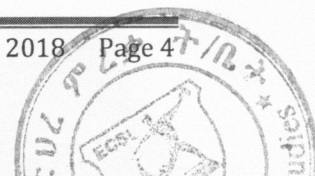
The Panel's role is to:

- Assess whether the proposed dissertation is likely to satisfy the academic standards necessary for submission and examination
- Provide constructive criticism and advice on any areas of concern brought to light during the review of written information provided by the student
- Assess whether the student's dissertation will be ready for submission within the maximum time allocated for the degree.

Where possible, the Panel should be the same Panel (excluding external examiners) convened for Confirmation of Candidature and Mid- Candidature review (if applicable).

#### **5. The review session**

The panel Chair welcomes the candidate and asks to introduce him/her self to the panel. The Chair will explain briefly the pre-viva process. Then the candidate is asked to explain the panel about the title of the thesis. The intention is to create supportive environment for the candidate. The candidate will present a power point presentation of 50 minutes (30 minutes presentation followed by 20 minutes question and answers/discussion). Then the candidate will be asked a series of questions. The candidate needs to be fully confident and be ready to respond to all queries raised by examiners. Time management depends upon the skills of a candidate. Following the Review, the Panel will convene to discuss the candidate's performance and his/her readiness for thesis submission.



All Supervisors will be asked to leave the room for the final session. Overall progress to date (this will be in lieu of the Annual Progress Review) will be reviewed to determine the classification category. Following the oral presentation and discussion, panel members will discuss the written submission and oral presentation in private. Feedback from the Review Panel will be given in a closed session with the panel members only (10 mins). At the conclusion of these discussions, the candidate will be verbally advised of the panel's recommendations and any other feedback and suggestions. The candidate has to take note of the suggestions/corrections given during the seminar. The suggestions shall be discussed with supervisor(s) and incorporated in the final dissertation. Formal written confirmation of the panel's deliberations will follow after the meeting. The Chair of the Panel will then complete **(SGS-PhD: Form 007-3C)** based on the Panel's discussion.

## 6. Recommendation of the panel

The panel can recommend one of the following outcomes

1. The outcome is satisfactory and the candidate should continue.
2. The outcome is satisfactory, subject to the recommendations of the Panel being made within the timelines stipulated by the Panel (normally within 2 months).
3. The candidate is not making satisfactory progress (as detailed in the Panel Evaluation) and the candidate has 1 month to provide a response to the Panel. Failure to respond or progress to be satisfactory will result in Unsatisfactory Progress proceedings being invoked.

If the committee is fully satisfied with the research work completed by the candidate/ research scholar, it will recommend through the chairperson to the Department of the PhD program to allow the research scholar to write his / her thesis and submit the final draft within three months from the date of clearance by Department Graduate Committee /Council (DGC). The thesis can be submitted only after two months from the date of recommendation by Department Graduate Committee /Council (DGC). If a candidate fails to submit the thesis in stipulated period, then extension in submission period can be provided by the Dean of the college on the recommendation of DGC in consultation with Academic Vice President. If the research scholar even then fails to submit his / her thesis within a stipulated period of 8 months, he / she will have to submit the thesis after making Pre-Ph.D submission review presentation again.

The Chair will ensure that the panel report and recommendation on Pre-Submission review is forwarded to the department head of the PhD program in which the scholar has enrolled within 10 working days of the oral presentation. Upon receipt of the report,



the Department will email all relevant documentation to the candidate/supervisor and confirm the Panel's classification of the review.

After the evaluation is done, the scholar will be asked to come for the final viva voce to defend the thesis before the panel of examiners. The scholar (deepening on the format type he/she has chosen) might also be advised to bring photo copies of the published papers in international journals of repute/referred/indexed.

If committee is not satisfied with the research work done by the research scholar, it will advise the research scholar to make the specific changes / undertake additional research work and resubmit the extended synopsis using the pre-viva correction form (SGS-PhD: Form 007-3D). If applicable, the panel will also recommend whether an extension to candidature (doctoral) be granted.

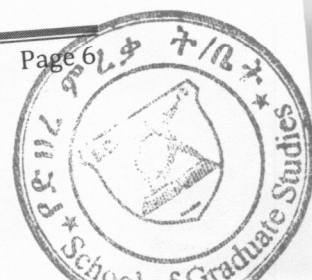
The department will submit final report of the panel with all the papers to the Office of the Academic Vice Dean of the College and copied to the School of Graduate Studies for records.

### 7. Instruction for the candidate

Complete **Section A** of Application for Pre-Submission Seminar /Review (SGS-PhD: Form 007-2) and leave the remainder of the form blank. Submit to your principal supervisor no later than three weeks prior to your Pre-submission Review date. Your supervisor will countersign and submit to the department before your review panel date. During the Review Panel meeting, the Chair of the Panel will complete Pre viva evaluation form (SGS-PhD: Form 007-3C). You have to collect the copies containing the remarks and feedback (checklist for pre-viva evaluation form: SGS-PhD: Form 007-3B) signed by the entire Panel and you will be asked to incorporate the comments and return to your supervisor the pre-viva list of correction form: SGS-PhD: Form 007-3D duly proving that you have incorporated all the comments to your supervisor seeking their approval that allow you for the viva-voce.

### 8. Relevant formats

No	Format code	Purpose	Remark
1	SGS-PhD: Form 003	Request for the constitution of examination committee	Policy guideline for graduate research Annexed
2	SGS-PhD: Form 007-2	Application for pre-submission seminar	Annexed
3	SGS-PhD: Form 007-3A	Recommendation of department graduate council	Annexed
4	SGS-PhD: Form 007-3B	Checklist for pre-viva evaluation	Annexed
5	SGS-PhD: Form 007-3C	Pre-viva evaluation form	Annexed
6	SGS-PhD: Form 007-3D	List of correction form	Annexed





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**ETHIOPIAN CIVIL SERVICE UNIVERSITY**  
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**School of Graduate Studies (SGS)**



**Application for Pre-Submission Seminar /Review (SGS-PhD: Form 007-2)**

College \_\_\_\_\_ Department \_\_\_\_\_ Program \_\_\_\_\_

Name of the PhD candidate \_\_\_\_\_ ID No \_\_\_\_\_

Name of the Supervisor(s) \_\_\_\_\_

Title of dissertation \_\_\_\_\_

I am here by submitting my thesis in accordance with Senate Legislation 2017 Article 155.4.2 and the Ordinance for Doctoral Programs (ECSU-SGS July 2017) – Article 17.6.1 -17.6.5.

Student signature \_\_\_\_\_  
 Date: \_\_\_\_\_

Countersigned by the Supervisor(s) \_\_\_\_\_  
 Date: \_\_\_\_\_

**Enclosures:**

1. 4 copies of Thesis
2. Soft copies of thesis (as single Pdf file) and synopsis in CD
3. 5 copies of Synopsis of Thesis
4. Letter of supervisor giving names and addresses of at least five eminent persons to be on the panel of examiners (SGS-PhD: Form 003)

**For Academic unit head of the PhD program**

Thesis received on \_\_\_\_\_

Thesis returned for want of \_\_\_\_\_

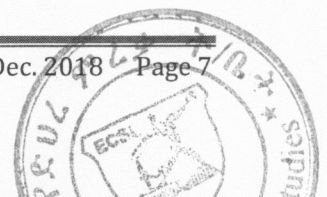
The Thesis detained for want of \_\_\_\_\_

Verified the following:

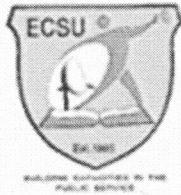
The requirements of Clause 17.6.7 of Ordinance for Doctoral Programs

The title of Thesis approved on first candidature and approved by DGC/CGC \_\_\_\_\_

Thesis forwarded to the Registrar on \_\_\_\_\_







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**Recommendation of Department Graduate Council: SGS-PhD: Form 007-3 A**  
 College \_\_\_\_\_ Department \_\_\_\_\_ Program \_\_\_\_\_

***We member of the Department Graduate Council ascertain that in view of the following:***

1. Date of first registration in the Ph.D. programme: \_\_\_\_\_  
 If more than four years have been taken, please make sure evidence is provided for:
  - (i) Extension of time granted up to \_\_\_\_\_
  - (ii) Minutes No. & date on which the last extension was granted: \_\_\_\_\_
2. Have completed all course works with no pending issues: *qualified/ not qualified*
2. Publication status: *Waived/ complied*
3. Open seminar/conference carried as transferable skill development: *yes/no*
4. Two copies of the pre-submission draft for review by the members of the Department graduate council: *yes/no*
5. The draft pre-submission follows the format provided by the formatting manual: *yes/ no*
6. Exactly the same title (including case, capitalization etc) should appear on the thesis as that of the Proposal defence as confirmation for candidature: *Yes / No*
7. Ensure that the copies are duly certified by the supervisor and are properly written following the guidelines for writing the thesis: *Yes/no*
8. Have been checked that the thesis is free of Plagiarism: *yes/no*

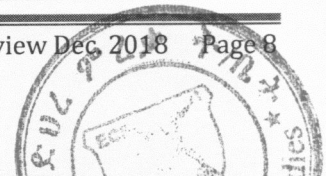
***the candidate is a fit /not fit to submit.***

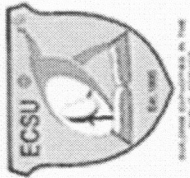
**Members of the Graduate Council:**

- |          |                 |            |
|----------|-----------------|------------|
| 1. _____ | Signature _____ | Date _____ |
| 2. _____ | Signature _____ | Date _____ |
| 3. _____ | Signature _____ | Date _____ |
| 4. _____ | Signature _____ | Date _____ |
| 5. _____ | Signature _____ | Date _____ |

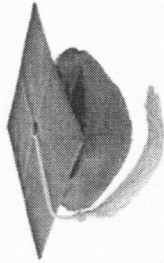
Signature of the head of the department \_\_\_\_\_

Signature of the Academic Vice Dean \_\_\_\_\_





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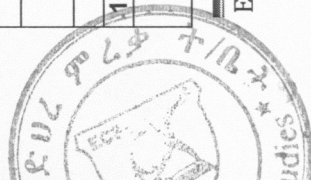
Checklist for Pre-Viva Evaluation form: SGS-PhD: Form 007-3 B  
 Department \_\_\_\_\_ Program \_\_\_\_\_

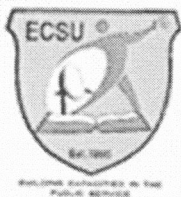
College \_\_\_\_\_  
 Name of candidate: \_\_\_\_\_  
 Dissertation Title: \_\_\_\_\_  
 Pre-viva date: \_\_\_\_\_

Criteria	Yes	No	Evaluative Remark of the examining professor/panel
<b>1 Introduction</b> Are the objectives based on in-depth literature review? Does the thesis clearly mention focus, scope and limitation?			
<b>2 Literature</b> Does the candidate show familiarity with, and understanding of, the relevant literature? Is the literature survey up-to-date and exhaustive? Does the review critically argues findings and or methods from previous work? Are the research gaps clearly identified?			
<b>3 Methodology</b> Is the methodology adopted up-to-date? Is the methodology adopted described exhaustively? Is justification on use of the specific method or model convincingly provided? Is the limitation of the method explained adequately? Are the key aspects of the sampling adequately discussed? Is justification for sample size provided? Are issues of reliability and validity well managed?			
<b>4 Analysis, results and discussions</b> Does the thesis demonstrate analytical rigor up to par with PhD dissertation? Are the results adequately justified?			

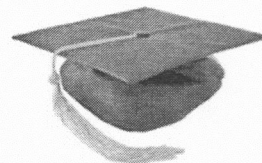


	Is validation comparison with theory or previous work provided?			
<b>5</b>	<b>Conclusion</b> Are the conclusions supported by the findings? Are the conclusions clearly spelt out by way of answering the research questions or providing results of hypothesis testing? Is the thesis placed in terms of the existing theory? Is adequate justification for the use of the specific theoretical framework provided? Does the candidate provide adequate explanation which previous studies closely match his/her? Where he/she does differ?			
<b>6</b>	<b>Recommendation</b> Is policy implication of the findings or theoretical implication explicitly stated? Are the findings generalizable?			
<b>7</b>	<b>References</b> Is the citation of references done in the standard format? Are the references relevant and adequate to the work? Are all references cited in the list?			
<b>8</b>	<b>Documentation of thesis</b> Is the flow of writing logical? Is the line /thread/ of argumentation goes along the whole thesis? Language use, grammar, syntax and mechanics are up to par with Ph.D dissertation?			
<b>9</b>	<b>Major contributions</b> Does the study come out with original knowledge addition in this area of research? Is the thesis on track to meet the academic standards that make it suitable for submission and examination? In the view of the Panel, will the thesis be ready for submission within two months? If not, what is the realistic timeframe until completion?			
<b>10</b>	<b>Way forward</b> Is direction for future research provided as continuation of the dissertation findings?			





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**Pre viva evaluation form (SGS-PhD: Form 007-3C)**

College \_\_\_\_\_ Department \_\_\_\_\_ Program \_\_\_\_\_

**SECTION A: To be filled by the candidate**

**1. Students Information**

Candidates name	
ID Number	
College	
Department	
Programme	
Supervisors' name	
Co-supervisors (If any)	1.
	2.
Dissertation Title	
Date of Pre-viva	

**SECTION B: Results of Evaluation** (to be filled by the panel of examiners)

Based on the evaluation results as shown in the attached evaluation form SGS-PhD: Form 007-3 A:

Recommended for oral examination/viva voce

Remark: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

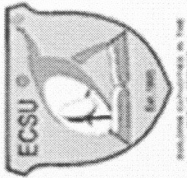
Not recommend for oral examination /viva voce

Remark: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

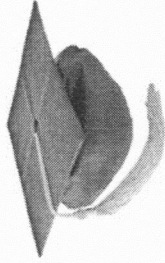
Verification by Chairman:

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





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College \_\_\_\_\_ Pre-Viva List of correction form: SGS-PhD: Form 007-3 D (page 1-3)  
Department \_\_\_\_\_ Program \_\_\_\_\_

**Section A: to be filled by the candidate**

Name of candidate: \_\_\_\_\_  
Dissertation Title: \_\_\_\_\_  
Pre-viva date: \_\_\_\_\_

No.	List of corrections	Amendment in the thesis	Page/justification



No.	List of corrections	Amendments in the thesis	Page/justification

**Section B: verification by main supervisor and co supervisor (if applicable)**

I am satisfied with the corrections made by the candidate as listed in the corrections form and therefore agree for the candidate to submit his/her draft thesis for oral examination (viva-voce).

**Approved by supervisor:**

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

Name: \_\_\_\_\_

Date: \_\_\_\_\_

**Approved by co supervisor (if applicable)**

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

Name: \_\_\_\_\_

Date: \_\_\_\_\_



**Section C: Verification by examiners**

I am satisfied with the corrections made by the candidate as listed in the corrections form and therefore agree for the candidate to submit his/her draft thesis for oral examination (viva-voce).

**Approved by Examiner 1:**

Signature: \_\_\_\_\_  
Name: \_\_\_\_\_  
Date: \_\_\_\_\_

**Approved by Examiner 2**

Signature: \_\_\_\_\_  
Name: \_\_\_\_\_  
Date: \_\_\_\_\_

**Section D: Verification by Academic Vice Dean**

I am satisfied with the corrections made by the candidate as listed in the corrections form and therefore agree for the candidate to submit his/her draft thesis for oral examination (viva-voce).

Signature: \_\_\_\_\_  
Name: \_\_\_\_\_  
Date: \_\_\_\_\_

**Section E: Verification by Department**

I hereby confirm the candidate has submitted:

PhD ( ___ copies of draft thesis)
Correction form
Draft thesis submission form
Publication ( ___ copies of certification for journal publication) ___ copies of letter of acceptance for journal publication
Ethical clearance (if applicable)

Name \_\_\_\_\_  
Designation \_\_\_\_\_ (stamp)  
Signature \_\_\_\_\_  
Date \_\_\_\_\_



### Road map for pre viva review and beyond

No	activities	January	February	March	April	May	June	July	Form	Responsible body
1	Notifying candidates & supervisors the date pre-viva	■								SGS
2	Submission for the constitution of examining panel	■							SGS-PhD: Form 003	supervisor
3	Approval by college graduate council/academic commission	■								College AC CGC
4	Application for pre-submission seminar/pre-viva review	■							SGS-PhD: Form 007-2	Candidate & supervisor
5	Evaluation by the Department Graduate Council	■							SGS-PhD: Form 007-3A	DGC
6	Notifying the schedule for pre-viva review		■							Academic Vice Dean
7	Holding the review session		■						SGS-PhD: Form 007-3A & 0073c	Candidates & examiners
8	Incorporating comments		■	■						Candidate
9	Verification by the examiners and concerned bodies			■					SGS-PhD: Form 007-3D	Examiners & concerned
10	Submission for final viva-voce				■				SGS-PhD: form	Candidate & supervisor
11	Request for the constitution of examining board for the viva voce					■			SGS-PhD: Form 003	supervisor
12	Sending the complete list of suggested examiners with CV to SGS via VD Academics of the college				■					Academic Vice Dean
13	Approval by concerned bodies				■					SGS, GC of University
14	Notifying examining board members					■				Academic Vice dean
15	Circulation of dissertation among examining members					■				Department
16	Reading and marking by examiners						■			Examiners
17	Notification by examiners							■		Examiners







claiming the thesis is not defensible (if applies)																																								
18 Defense rehearsal																																								Candidates, PhD program coordinators

No	activities	January	February	March	April	May	June	July	Form	Responsible body
19	Viva voce									Candidates, examiners, appropriate bodies of ECSU candidates
20	Submission of the revised thesis to the respective chair of the examining board via Dept									Candidate & supervisor
21	Publication & submission of final PhD dissertation									Senate
22	Senate approval (July 3)									ECSU
23	Graduation ceremony (July 6)									ECSU