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**2015/2016**

**THE UNIVERSITY OF THE WEST INDIES**

**MANUAL OF PROCEDURES**

***Re: Regulations for Graduate Diplomas and Degrees August 2014***

*May 2016*

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# MANUAL OF PROCEDURES

## GRADUATE STUDIES AND RESEARCH

**The Manual of Procedures is intended for use by Faculty and Administrative Staff. It should be read in conjunction with the *Regulations for Graduate Diplomas and Degrees* and the *Thesis Guide*. Supervisors must also refer to the *Graduate Studies Guide for Students and Supervisors*.**

**In this document the *Campus Committee* means the *Campus Committee for a Campus of the Board for Graduate Studies and Research*.**

***The following abbreviations are also used herein:***  
***BGSR – The Board for Graduate Studies and Research;***  
***Registrar – The Registry Office of Graduate Studies and Research;***  
***The UWI – The University of the West Indies***

### SECTION 1 - GENERAL REGULATIONS

#### Applications to Graduate Diplomas and Degrees (Reg 1.5)

1. Except where otherwise stated in advertisements, persons seeking admission to programmes leading to Graduate Diplomas and taught Master's degrees must submit applications to the appropriate Registrar not later than January 31 of the calendar year in which they wish to enter The UWI.
2. Persons seeking admission to MPhil and PhD programmes who wish to begin study in Semester I of the academic year must submit applications to the appropriate Registrar not later than January 31 of the calendar year in which they are seeking entry. Candidates wishing to enter in Semester II should submit applications by March 31 of the preceding calendar year. These dates may be altered in any particular case for which the Campus Committee so decides.

3. Every application shall be assigned by the Campus Committee to a Department after consultation with the Head of Department, and the applicant shall, if accepted in a graduate diploma or degree programme, be deemed to be registered in that department.
4. The Registrar will make available all complete applications for entry to Graduate Diplomas and Degrees to each Head of Department. Heads of Departments are required to convene departmental meetings to consider all applications and make recommendations by March 31 (for Semester 1 entry) and October 31 (for Semester 2 entry).

### Competency in English

5. Applicants whose native language is not English but who have been admitted to a graduate programme must take such tests, as prescribed by the BGSR, to demonstrate English Language proficiency prior to registration.

### Applications for Special Admission (Regs 1.6 – 1.10)

6. The Registrar will submit complete applications for Special Admission to the appropriate Head of Department. The Head of Department will consult with the relevant Programme Coordinator and can recommend a maximum of 12 credits in any given year, and a maximum of 24 credits in total under this category of registration.
7. A maximum of nine (9) relevant credits obtained through special admission can be counted towards certification and graduate diplomas and degrees of The UWI.

### Consideration of Applications

8. The Head of Department should submit all recommendations for entry to Graduate Diplomas and Degrees and for Special Admission to the Campus Committee, which will normally make the final decision of whether or not to accept the recommendation of the department on behalf of the BGSR.

### Admission of Applicants with a Pass Degree

9. If the applicant to a Graduate Diploma or Taught Masters degree possesses a Pass degree, the relevant Head of Department must submit with their

recommendation, a statement on the suitability of the applicant to pursue graduate studies.

10. The Head of the Department must indicate any supplementary courses the applicant would be required to follow, for inclusion in any offer of admission made to the candidate.

### Admission of Applicants without a First Degree from an approved Tertiary Level Institution

11. Applicants without a first degree from an approved Tertiary Level Institution may be considered for admission to a Graduate Diploma or Degree programme. A recommendation from a Department to the Campus Committee that the University accept such an applicant, must be accompanied by full statement of the applicant's academic qualifications and work experience, as well as an overall assessment of the ability of the applicant to pursue graduate studies at The UWI. This recommendation must be forwarded to the BGSR for final approval. Candidates admitted without a degree may be required to register for additional courses as the department stipulates. Such requirements must be included in the offer of admission.

### Admission of Applicants to the MPhil with a Lower Second Class Honours Degree

12. If the applicant to an MPhil degree possesses a Lower Second Class Honours degree, the relevant Head of Department must submit with his/her recommendation, a statement on the suitability of the applicant to pursue an MPhil degree.
13. The Head of Department must indicate any supplementary courses the applicant would be required to follow for inclusion in any offer of admission made to the candidate.

### Admission to the Doctor of Medicine (DM) Specialist Degree

14. Applicants to the Doctor of Medicine (DM) programme are required to hold a medical degree with eligibility for registration in the country of study.
15. Applicants must comply with the regulations governing admission to the

DM programme as well as any additional regulations related to the particular specialty found in the relevant Faculty handbook.

### Procedure for Registration

16. Students registered for Graduate Diplomas and Taught Master's degrees are permitted changes in registration for the addition, substitution or withdrawal from courses, no later than the end of the third week in Semester I for Semester I and year-long courses, and the end of the second week in Semester II for Semester II courses, provided that the changes proposed are within the Regulations for the relevant programmes.

### Appointment of Supervisors (Reg 1.19)

17. The Head of Department must ensure that the person selected as Supervisor of a research student has agreed to supervise the student.

### Appointment and Responsibilities of an Advisory Committee

18. The Advisory Committee must consist of a minimum of three persons, including the Supervisors, with no more than one person typically being from outside the University. This Committee should be convened within one month of appointment to review the background of the student and to discuss and approve the programme of study.
19. The Advisory Committee is responsible for reviewing the research progress of the student at least once per semester and providing guidance for completion of the research, including thesis preparation.

### Responsibilities of Heads of Department

20. Heads of Departments are responsible for ensuring that adequate office and laboratory space, the equipment and supplies required, and the technical and administrative support necessary for the research, are provided and available to graduate students before recommending acceptance, as well as during the programme.
21. Heads of Departments are also responsible for monitoring the relationship between supervisors and students, for intervening expeditiously to resolve differences, and for facilitating a change of Supervisor, if deemed

necessary, through recommendations to the Campus Committee. Heads of Departments should consult the *Graduate Studies Guide for Students and Supervisors* for more details.

### Provisional Acceptance (Reg 1.28)

22. A candidate who has been granted provisional acceptance, but whose award of degree has not been declared by the published closed date of registration, or whose final results are unfavourable, will have his/her offer of admission withdrawn.

### Voluntary Withdrawal (Reg 1.31)

23. A candidate who voluntarily withdraws from a programme or course *before* the close of the published registration period in any semester will have his/her registrations for that semester removed from the record.
24. A candidate who voluntarily withdraws from a programme or course *after* the close of the published registration period in any semester will have the **Late Withdrawal Grade** assigned to all courses to which he/she is registered that semester.
25. The date of withdrawal is determined to be the date at which the letter of withdrawal has been officially stamped as received by any Officer of The UWI.

### Leave of Absence from a Graduate Programme or a Campus (Reg 1.36)

26. Any continuing student who has been granted *leave of absence* by the close of the published registration dates of a semester will have his/her registrations for that semester removed from the record. Leave of absence requests received *after* the end of the published registration period will not normally be considered by the Campus Committee.
27. Requests for leave of absence are not considered from new students in their first semester of registration. Any such requests received will be considered as application for a deferral of admission where the programme permits.

28. Students registered in a graduate programme may apply to the Campus Committee to complete part of their study abroad. Such applications must be accompanied by a recommendation from the Head of the Department and must include the name of the institution to which the candidate is going, the name of the person who will supervise any training to be received, the length of time the candidate will be away from The UWI, and any examination(s) the candidate will be required to write.

### Upgrading of Registration (Reg 1.40)

29. The procedure for upgrading of registration shall be as follows:
- a) The student should first consult his or her Supervisor and then write to the Senior/Assistant Registrar, through the Supervisor and the Head of Department/Unit or Director of Institute/Centre (hereafter “Head”), formally seeking an upgrade of his/her registration. The Dean of the Faculty or his/her nominee should be copied on all correspondence.
  - b) The Senior/Assistant Registrar will seek a recommendation from the Head of Department, advising him or her of student’s eligibility for the upgrade. The Dean should be should be copied on all correspondence.
  - c) If the Head is the student’s Supervisor, he/she must delegate his/ her responsibilities as Head in this process to a senior academic colleague in the Department/Institute/Centre/Unit.
  - d) If the Head is in agreement with the student’s request to upgrade, he/she should consult with the Student Advisory Committee, other Departmental colleagues and the Chairman of the appropriate Faculty Committee to formulate an Upgrade Assessment Committee all normally chosen from the academic staff of the University.

The Upgrade Assessment Committee shall comprise:

- the Chief Supervisor(s),
- at least two independent Assessors, and
- an independent Chairman.

Assessors should therefore be chosen on the basis of their knowledge and experience at the appropriate level in the area of the student’s research. One of the assessors may be drawn from outside the University community in the appropriate circumstances.



- e) If the Head is not in agreement with the request to upgrade, he/she should submit his/her comments on the matter to the Chair, Campus Committee, copying his/her letter to the Supervisor(s). The Chair, Campus Committee, will deliberate and decide whether to allow the upgrade to take place. If approval is not granted, the Senior/Assistant Registrar shall inform student of the decision, copying the Head of Department and Supervisor(s).
- f) The Head shall submit the recommendations for the Upgrade Assessment Committee to the Chair of the Campus Committee for approval.
- g) Once approval has been given for the composition of the Upgrade Assessment Committee, the designated Chairman shall ask the student to provide a copy of his/her Upgrade Proposal for each of the Assessors, and set a mutually agreed date for the oral presentation by the student of his/her:
- report on the work done and accomplishments to date under the M.Phil. registration;
  - proposal to upgrade the work to the Ph.D. beyond the M.Phil. level.
- h) The precise form of material considered as part of the Upgrade Proposal will vary across Departments and disciplines so the student should draft his/her Upgrade Proposal in consultation with his or her Supervisor(s). The Upgrade Proposal should be no more than 100 pages.

Whilst it is recognized that the exact nature of the report submitted by the student will depend on discipline, it should cover at least the following components (not necessarily as discrete items):

- i. An introduction giving the context of the work;
- ii. A literature review;
- iii. A research question and hypothesis;
- iv. A section on methodology;
- v. A substantial piece of work towards the thesis objectives;
- vi. A plan and timetable for the remainder of the work; and
- vii. A bibliography.

- i) The criteria for upgrade to PhD status include:
  - i. Commitment to pursuing research at The UWI leading to the PhD degree;
  - ii. Satisfactory progress in the work so far;
  - iii. Demonstration of sufficient awareness of the context of the work and completion of such tasks as a review of relevant literature and a bibliography;
  - iv. Ability to formulate a viable hypothesis or research question that could be completed within the normal time frame of the PhD programme;
  - v. Satisfactory technical and generic skills development;
  - vi. Formulation of a viable plan for the work;
  - vii. Consideration of the research ethics dimensions of the project, and application for ethics approval from the relevant Research Ethics Committee if appropriate
  - viii. English Language proficiency, both written and spoken.
  
- j) The upgrade will consist of at least a 30-minute oral presentation of the work and proposal by the student, followed by questions posed to the student by the Assessors. After the presentation the Chair will meet with the Assessors to deliberate on whether the student has met the criteria as outlined.
  
- k) The Upgrade Assessment Committee is to recommend either:
  - 1. Pass – upgrade of registration to PhD; or
  - 2. Adequate – subject to revision of the Upgrade Proposal to the satisfaction of the Supervisor within two (2) months; or
  - 3. Inadequate - Revise and resubmit the Upgrade Proposal for second and final attempt at the upgrade seminar within six (6) months; or
  - 4. Fail – MPhil to be completed within a specified time.
  
- l) The Chair of the Upgrade Assessment Committee shall prepare a written joint report on the outcome within two (2) weeks of the upgrade. This report is to be signed by all members and submitted to the Senior/Assistant Registrar for the deliberations of the Campus Committee.

If the Upgrade Assessment Committee cannot reach a consensus,

independent written reports must be prepared by the Chair and the Assessors each with a clear recommendation about the Upgrade and submitted to the Senior/Assistant Registrar.

- m) The Chair of the Campus Committee shall then submit the report(s) of the Upgrade Assessment Committee along with a recommendation to the Chair of the Board for Graduate Studies and Research (Board) for consideration.
- n) The Senior/Assistant Registrar shall inform student of the decision of the Board, copying the Head of Department and Supervisor(s).

### Transfer of Registration (Reg 1.41)

- 30. A taught Master's student wishing to transfer his/her registration to an existing MPhil programme shall submit an application, along with a research proposal, to the Campus Committee following consultation with his/her Head of Department.

### Transitioning from a Graduate Diploma to a Masters Programme

- 31. A student wishing to transition from a Graduate Diploma to a taught Masters shall submit an application to the Campus Committee following consultation with his/her Head of Department. For a transition request to be considered, a relevant taught Masters programme must already exist at the Campus, and the programme regulations must allow for the transition.
- 32. Before making a recommendation the Head of Department should note that:
  - Persons admitted initially into a Diploma and wishing to transition into the Masters without being awarded the Diploma must complete all of the courses in the Taught Masters programme.
  - Persons admitted initially into a Diploma who have completed and been awarded the Diploma within the previous five (5) years, can be exempted from up to 50% of the credits required for the Masters on the basis of credits earned in the Diploma based on a recommendation from the Head of Department. Along with the recommendation, the Head must also identify all courses that have to be taken as these are to be included in the letter to the student.

- Where the Diploma courses were completed outside the 5-year period or the programme design does not allow for the 50% rule, the Head of Department must include with their recommendation a case for consideration by the BGSR.

### Readmission of Candidates (Reg 1.58)

33. A student in good academic standing who was deemed to have withdrawn due to not having registered by the applicable deadline, or who voluntarily withdrew, can at any time submit a letter of application for reinstatement. Where re-entry has been supported, the Head of Department must indicate the semester of re-entry in his/her written recommendation.

### Registration of Qualifying Students (Regs 1.60-1.63)

34. Where a department recommends the acceptance of a candidate as a qualifying student, the Head of Department is required to supply the list of qualifying courses for approval by the Campus Committee at the same time as the recommendation for acceptance.
35. In selecting the list of qualifying courses, Heads of Department should note:
  - Qualifying courses must be extensive enough to remedy weaknesses in the applicant's academic record and to prepare the applicant for graduate work in the discipline.
  - The candidate will be informed of the qualifying courses to be undertaken in his/her letter of admission.
36. Heads of Department must advise the Registrar of those candidates who have successfully completed the qualifying courses and who may therefore be registered for the degree programme.

### Registration for Departmental Courses (Regs 1.64-1.65)

37. Where a Head of Department recommends that an applicant is required to take departmental courses, he/she must identify the courses to be undertaken by the applicant for approval by the Campus Committee at the same time as the recommendation for acceptance to the graduate programme.

38. The candidate will be informed of the departmental courses to be undertaken in his/her letter of admission.

#### Course Requirements for Research Degrees (Reg 1.67)

39. A Head of Department may require a research student to register for courses in addition to the regulatory 6 – 9 credits if, in the opinion of the Supervisor, these courses would strengthen the student's knowledge-base or skill required for the proposed research programme.
40. In selecting additional courses for such students, Heads of Department should note:
  - Candidates are expected to pass all courses within their first year of registration.
  - The time spent on courses is included in the overall time of registration for the degree.

#### Seminars for Research Degrees (Reg 1.68)

41. At the end of each semester the Head of Department should provide to the Registrar evidence of successful completion of all research seminars to which students in that department have registered including the date the seminars were presented.
42. The Head of Department should note that a maximum of two (2) seminars (MPhil) and three (3) seminars (PhD) will be recorded on the student's transcript.

#### Progress Reports (Reg 1.69)

43. At the end of each semester the Head of Department should ensure that a progress report is provided to the Campus Committee in relation to each research student within the department.
44. The Head of Department should note that emolument forms will not be processed for any scholarship research student whose progress report for the last completed semester is outstanding.

## Award of Distinction (Reg 1.73 – 1.74)

45. In calculating the average mark to determine eligibility for a distinction, Heads of Department should note that rounding up of the average mark is **not** permitted.

## SECTION 2 - GENERAL EXAMINATION REGULATIONS

### General Examination Regulations (Reg 2.1)

46. Heads of Department should note that changes of assessment for any graduate course must be submitted to the Campus Committee with clear rationale for the change requested. Changes must be approved ahead of delivery of the course and must be submitted on the course template approved by the BGSR.

### Oral Examinations of Written Examination Components (Reg 2.67)

47. If the Examiners recommend an oral examination for the written examination component of a course for any candidate, the Head of Department must submit a request with the appropriate rationale to the Campus Committee before the oral can be held.
48. If the oral was approved but had not been held prior to the meeting of the relevant Board of Examiners, the mark for that student must be withheld until the results of the oral are available. After the oral has been held, the First Examiner will enter the mark and the related mark sheet must be approved in the usual manner.
49. For a candidate who is unsuccessful in an oral, the original failing mark will stand and the comment ***Failed Oral*** will be added to the student's record in respect of that course.
50. The Head of Department should note that a candidate is only permitted one oral examination in respect of any one course.

### Meetings of Board of Examiners (Regs 2.74 – 2.81)

51. Examiners for all courses will meet as a Board of Examiners under the Chairmanship of the Dean of the Faculty, the Dean's nominee, or the Head of the Units /Centres/ Institutes that are not Faculty-based. All examiners of courses should be invited to meetings of the Board of Examiners.
52. In addition to the course details of each student, the list of medicals approved by the University Medical Officer, mark sheets showing

component and summary marks, details of any special examination arrangements, and, where appropriate, details of circumstances reported in writing by the student to the Registrar, are to be provided to the Chair of the Board of Examiners through the Registrar.

53. The Board of Examiners must make recommendations to the Campus Committee in respect of candidates who have failed courses and students who are eligible to graduate.
54. Candidates who, in the opinion of the Board of Examiners, have performed particularly poorly on any component of a course may be required to repeat the entire course and/or receive remedial work prior to the second attempt. In such cases, the Board of Examiners will make a special recommendation to the Campus Committee. This must be noted in the minutes of the meeting and the Registrar will notify the student in writing.
55. Candidates who are allowed examination re-sits are expected to do so the next time the course is offered. The Head of Department may however request approval from the Campus Committee for a special re-sit examination to take place before the normally scheduled period.
56. Any additional costs related to special examination arrangements are to be met by the candidate.
57. In a case where a candidate seeks a third attempt at a course, he/she must submit a request, in writing to the Registrar, for a waiver of the *Requirement to Withdraw*. A recommendation on the student's request will be sought from the Head of Department through the Dean of the Faculty. The recommendation(s) will be forwarded, along with the candidate's request, to the BGSR for consideration.
58. The Chair must submit the minutes of the meeting to the Registrar within two (2) weeks of each Board of Examiners' meeting.



## SECTION 3 - EXAMINATION OF RESEARCH PAPERS, PROJECT REPORTS AND THESES

### Appointment of Examiners (Regs 3.1 – 3.8)

59. Before naming Internal and External Examiners, Heads of Department must first ascertain their willingness to serve and their ability to report within the time specified by the University. In the case of Internal Examiners, it is understood that examination of the work of graduate students is a part of a staff member's responsibilities.
60. The Heads of Department must provide the Curriculum Vitae of each person nominated as an External Examiner for the consideration of the Campus Committee. Curriculum Vitae must also be provided for Internal Examiners from other campuses of The UWI.

### Examination of Research Papers, Project Reports and Theses (Regs 3.9 - 3.10)

61. The Registrar should send a reminder to Examiners who have not met the stipulated deadlines. The Campus Committee should make every effort to ensure that the Examiners respond to the Registrar's reminder(s).
62. In cases where the deadline has not been met, the Campus Committee should inform the Head of Department that the thesis will be sent to the Additional External Examiner (proxy).
63. In the case of research papers and project reports, the final official mark shall be the average of the marks assigned by the examiners. Where there is: (i) a substantial difference in the marks assigned by the examiners or, (ii) a failing grade assigned by any of the examiners, the Chair of the Campus Committee shall seek agreement among the examiners on the final mark to be assigned.
64. If agreement is achieved, the examiner(s) shall communicate the final mark to the Chair of the Campus Committee.
65. If agreement is not achieved, the Chair of the Campus Committee shall arbitrate and determine whether: (i) an average of all marks should be assigned; or (ii) an additional examiner shall be engaged whose mark shall be final.

66. If the grades, recommendations and written reports of the Examiners of a candidate's research paper or project report differ substantially, the Campus Committee will communicate with the Examiners and attempt to reconcile the disparities. The Campus Committee will make the final decision on the grade awarded.
67. The Registrar will advise candidates whose research papers have been awarded a grade **A** to consult with the Supervisor and Campus Library to ensure that work reaches acceptable standards of presentation before deposit in the Campus Library. See *Thesis Guide*.

### Entry for Examination of a Thesis (Regs 3.17 - 3.18)

68. Where a thesis is to be transmitted electronically to the Examiners, a secure format shall be used.
69. If the Supervisor approves the submission, he/she may submit a short report providing any information that he/she considers might be of value to the Examiners when assessing the student's work. The completion of this report by the Supervisor is optional.
70. In cases where the supervisor does **not** approve the submission of the thesis:
  - a) The Supervisor shall proceed as indicated in The UWI Regulations for Graduate Diplomas and Degrees (2014), Regulations 3.17 and 3.18.
  - b) If the thesis is submitted for examination, the Supervisor will not take part in the formal examination of the student's thesis.
  - c) In the case of Doctoral candidates, and in those cases where the Examiners have recommended an Oral Examination for an MPhil candidate, the Supervisor will not be present at the Oral Examination.
  - d) In the case where the recommendation of the Examiners is that the thesis should **Pass**, subject to corrections and/or revisions being made, the Head of Department will be responsible for identifying an appropriate person to ensure and confirm that the revisions and corrections have been made.
  - e) In the case where the recommendation of Examiners is that the thesis should **Fail** but that it could be revised and re-submitted for Examination, the Head of Department shall meet with the Supervisor and student. They must determine whether consensus can be reached

that the Supervisor will resume his/her responsibility of guiding the student to the point of re-submission of the thesis for Examination. If consensus cannot be reached, the Head of Department will be responsible for recommending the appointment of a new Supervisor to guide the student to the point of resubmission of the thesis for examination.

### Oral Examination of a Thesis (Reg3.31 - 3.40)

71. Arrangements for the oral examination of a thesis are made by the Registrar in collaboration with the Faculty. The Faculty should note that at least one (1) Examiner should normally be physically present at the oral examination.
72. The order of the oral examination follows:
  - a) The Chair of the oral examination confers with the Examiners before convening the examination and agrees to the order of questioning.
  - b) The candidate is given approximately half an hour to present after which Examiners put questions to the candidate.
  - c) When the Examiners are satisfied the Chair will invite questions from the audience, indicating that these will not form part of the formal examination. The Chair may opt not to invite questions from the audience, at his/her discretion.
  - d) When the question period is ended, the candidate and audience are asked to leave the room and the Chair and examiners confer on the award of the degree.
73. Within two weeks of the oral, the Chair will prepare a report of the oral which must include a clear recommendation and any required corrections. The report, which is to be submitted to the Campus Committee, must be signed by the Chairman of the oral and all of the Examiners, and identify the person to whose satisfaction corrections are to be made.
74. The Registrar will submit to the candidate the list of corrections required, along with the written reports of the Examiners, and give a deadline within which these corrections are to be completed.
75. After the corrections have been made, the candidate will submit to the Registrar the corrected thesis, along with a detailed report providing evidence that the required corrections have satisfactorily been made.

## FACULTY REGULATIONS

76. The University's Regulations for Graduate Diplomas and Degrees may be supplemented by Faculty Regulations which have been approved by the BGSR. Faculty Regulations do not take precedence over the University's Regulations for Graduate Diplomas and Degrees.
77. Faculty Regulations govern those aspects of a diploma or degree programme which are specific to Departments or Faculties. These may include the mode of assessment by coursework, the length of a Project Report, or the deadline date for submission of the Project Report or Research Paper.
78. Candidates should be advised to consult the specific Faculty Regulations which the BGSR has approved for their degree programmes. Faculty Regulations are amended from time to time and candidates should be reminded to refer to the regulations currently in force by consulting the Head of Department, Faculty Dean or Campus Registrar.

*The Registry  
Graduate Studies and Research  
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