

THE UNIVERSITY OF THE WEST INDIES



**MANUAL
OF
PROCEDURES
FOR GRADUATE
DIPLOMAS AND
DEGREES**



**THE UNIVERSITY OF
THE WEST INDIES**

**SCHOOL FOR GRADUATE STUDIES
AND RESEARCH**

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The Manual of Procedures should be read in conjunction with the Regulations for Graduate Diplomas and Degrees, the Graduate Studies Guide for Students and Supervisors, and the Thesis Guide.

ADMISSION

1. Applications for admission to read for Graduate Diplomas or Degrees must first be considered by the Department/Institute/Centre (hereinafter called "Department") to which the student has applied. Heads of Departments should establish a system for the review of applications at Departmental meetings or through a specially appointed Departmental Committee for Graduate Studies. The recommendations of the Department are then submitted to the relevant Campus Committee for Graduate Studies and Research (hereinafter called "Campus Committee") which will normally make the final decision of whether or not to accept the recommendation of the Department on behalf of the Board for Graduate Studies and Research (hereinafter called the "Board").

English Proficiency Test

2. Applicants whose native language is not English may be required to demonstrate English language proficiency prior to registration as stipulated in Section 1 Regulation 17 of the Regulations for Graduate Diplomas and Degrees.

Admission of Applicants with an Honours Degree

3. The minimum requirement for admission to a Graduate Diploma or a taught Master's programme is normally a Lower Second Class Honours degree or its equivalent from an approved Tertiary Level Institution. The minimum admission requirement for MPhil, PhD and MD programmes is normally an Upper Second Class Honours degree or its

equivalent. Further information on direct admission to MPhil and PhD programmes is available in Section 1 Regulations 6-8 of the Regulations for Graduate Diplomas and Degrees.

Admission of Applicants with a Pass Degree

4. The admission of applicants with a Pass degree requires a statement from the Department on the suitability of the applicant to pursue graduate studies at the University of the West Indies. Candidates admitted with a Pass degree may be required to register for such supplementary courses as the Department stipulates.

Admission of Applicants without a First Degree

5. Persons 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 a full statement of the applicant's academic qualifications and work experience, and an overall assessment of the ability of the applicant to pursue graduate studies at the University of the West Indies. This recommendation must be forwarded to the Board for final approval. Candidates admitted without a degree may be required to register for such supplementary courses as the Department stipulates.

Admission to the Doctor of Medicine (DM) Specialist Degree

6. Applicants to the Doctor of Medicine (DM) programme are required to hold a medical degree with eligibility for registration in the country of study. The University's Regulations for Graduate Diplomas and Degrees apply to DM students, but there are also specific regulations governing the DM programme in each Speciality.

REGISTRATION

Procedures for Registration

7. Students will normally be registered in the Department or Faculty to which they have applied. If a student's topic for a research degree is not readily identifiable with a particular Department or Faculty, the student may be considered for registration in the School for Graduate Studies and Research. The Campus Committee should determine the appropriateness of such cases, should identify Supervisors and an Advisory Committee, should ensure that adequate facilities are available to support the research, and should recommend to the Dean of the School for Graduate Studies and Research that the student be registered in the School for Graduate Studies and Research.
8. A candidate whose results relevant to admission criteria are not available at the time of registration may be advised by the Head of Department to follow courses informally, pending the publication of the results.
9. Students are not permitted to register for more than one programme simultaneously, whether at the University of the West Indies or at another institution. However, if a student has completed all work required for a degree and is awaiting final results, the Board can approve provisional registration in another programme pending the availability of the outstanding results.
10. A student's period of registration for a Graduate Diploma or Degree shall date from the time of final approval of the registration unless otherwise specified. Credit will not be given for any work done before that date unless approved by the Board.
11. Registration in a research programme may take place at the beginning of either Semester.

12. Registration in a taught programme will normally take place at the beginning of Semester I.
13. Returning students who fail to register within a month of the registration date in each Semester will be removed from the register of graduate students. A list of such students will be forwarded from the Campus Registrar to the Campus Committee and to the appropriate Department.
14. A student will be considered for reinstatement if an application for reinstatement is submitted to the Campus Committee within a year of his/her removal from the register.
15. A student registered to work on a thesis, research paper or project report, who has not reported to his/her Supervisor during the academic year, will not be re-registered in the following year, unless a satisfactory explanation is provided by the student to the Campus Committee.
16. Students who have submitted their theses, research papers or project reports before the end of an academic year, but whose examination has not been completed, must re-register at the beginning of the following academic year. Such students will be required to pay examination fees only.

Full-time and Part-time Registration

17. All students must be registered as either full-time or part-time, but may change their registration with the approval of the Campus Committee. A request for a change of registration status must be addressed to the Chairman of the Campus Committee and must be accompanied by recommendations from the student's Supervisor(s) and the Head of Department.
18. A candidate who has been registered full-time for two years in the case of a Master's programme, or three years in the case of a Doctoral programme, shall receive no additional time for the completion of the degree through a change to part-time registration.

19. Full-time students may be employed for a maximum of twelve hours per week without losing their full-time status. Teaching and Research Assistants shall be registered as full-time students.

Registration of Specially-Admitted Students

20. Specially-admitted students are persons qualified for entry to a graduate programme at U.W.I. but who wish to pursue only a particular graduate course or courses.
21. A specially-admitted student will not normally be allowed to take more than 12 credits in any given year, or more than a total of 24 credits under this category of registration.
22. Specially-admitted students will be required to pay the appropriate fees as are in effect.
23. Specially-admitted students are permitted to write examinations appropriate to the course(s) they have been allowed to pursue.
24. Continued registration of specially-admitted students is subject to satisfactory reports on their work and conduct.
25. The credits obtained through special admission can be counted towards U.W.I. certification and U.W.I. graduate diplomas and degrees.

Registration of Qualifying Students

26. A candidate whose undergraduate qualification is below that stipulated for entry into a graduate programme may be accepted as a qualifying student and be required to write Qualifying Examinations in courses determined by the Department.
27. Candidates who are required to take Qualifying Examinations will be registered as qualifying students and will NOT be registered in a graduate programme until they have successfully completed the qualifying courses.

28. Heads of Departments should indicate the qualifying courses recommended on the application form for approval by the Campus Committee. Qualifying students will be required to take a minimum of eight (8) credits and a maximum of eighteen (18) credits within one year full time or two years part time.
29. 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.
30. The qualifying courses and the assessment procedure must be provided by the Campus Committee to the Campus Registrar who will supply this information to the applicant in the letter of admission.
31. The administration of the Qualifying Examination(s) is the responsibility of the Campus Registrar.
32. The pass mark for all components of Qualifying Examinations is fifty percent (50%). Candidates will normally be allowed one attempt at each examination, but Departments may make a special case to the Campus Committee for permitting a second attempt.
33. Heads of Departments must ensure that the signed mark sheets are sent to the Chairman of the Campus Committee.
34. The results of all Qualifying Examinations shall be communicated to the candidate in writing by the Campus Registrar.

Course Requirements for Research Degrees

35. Candidates accepted into an MPhil programme will be required to register for graduate courses amounting to a minimum of 6 credits. Candidates accepted into a PhD programme must register for a minimum of 9 course credits. Departments may also require a student to register for other courses if these would strengthen the student's knowledge-

base or skill required for the proposed research programme. Candidates are expected to pass all courses within their first year of registration.

36. Candidates who register for either an MPhil or PhD programme, holding a taught Master's degree or Graduate Diploma, may be granted exemption from the course requirements of the research degree. However, such students may be asked by the Department to take additional courses if these would better prepare the student for the proposed research programme.
37. Students who upgrade from the MPhil to the PhD will be allowed to have their course credits added to the course requirements for the PhD.

Seminars for Research Degrees

38. All candidates for research degrees are required to present research seminars. MPhil candidates must present a minimum of two seminars during their period of registration, and PhD and MD candidates a minimum of three seminars. The results of these seminars must be reported to the Campus Committee in the Supervisor's Progress Report and should be documented on the student's final transcript.

Upgrading of Registration

39. A student who is registered full-time for an MPhil degree may apply, after a period of one year from the date of initial registration and at any time thereafter within a period of three years from the date of initial registration, for upgrading of registration to a PhD. The time period for part-time students will be at the discretion of the Campus Committee. The procedures to be followed for upgrading from the MPhil to the PhD are:
40. The student shall consult with the Supervisor who shall inform the Head of Department of the intention to upgrade.

41. The Head of Department shall inform the Campus Committee of the decision to seek the upgrade.
42. The Head of Department shall appoint an Upgrading Assessment Committee and name its Chairperson, in consultation with the Faculty Committee on Graduate Studies and Research, the student's Advisory Committee, and other Departmental colleagues as deemed appropriate.
43. The Upgrading Assessment Committee shall be comprised of the Supervisor(s), two independent Assessors and the Chairperson, all normally chosen from the academic staff of the University.
44. The Chairperson shall request from the student a report on the work done and accomplishments to date as an MPhil candidate, and a proposal for the work to be pursued as a PhD candidate.
45. The student shall make an oral presentation of work done and work proposed, and shall respond to questions posed by the Upgrading Assessment Committee. On completion of the oral presentation, the Chairperson will meet with the Assessors and will prepare a joint report on the presentation, signed by the Chairperson and Assessors, with a single clear recommendation about the upgrade. If a consensus can not be reached by the Assessment Committee, independent written reports must be prepared by the Chairperson and the Assessors, each with a clear recommendation about the upgrade.
46. The student's written report and research proposal, and the report(s) of the Chairperson and Assessors, will be forwarded to the Campus Committee for consideration. The Campus Committee will inform the Chairperson of the Upgrading Assessment Committee of the outcome of the upgrade application.

Transfer of Registration

47. A candidate registered in a taught Master's programme may apply after one Semester for transfer of registration to the MPhil if, in the opinion of the Head of Department, the candidate has demonstrated the knowledge and skills necessary for pursuing the MPhil.
48. A candidate registered in a taught Master's programme at a university other than the U.W.I. who wishes to transfer to the U.W.I. to complete the degree, will be required to complete at least 50% of the coursework and the research project at the U.W.I.

Extension of Time Limit

49. Time limits for registration in graduate programmes are provided in Section 1 Regulations 54-59 of the Regulations for Graduate Diplomas and Degrees. A candidate whose registration time limit is about to be reached can apply to the Chairman of the Campus Committee for an extension of time not exceeding one year for research papers and project reports, and two years for research theses. Such applications must be accompanied by a statement explaining why the thesis, research paper or project report has not been completed, and indicating how much work remains to be done.

Leave of Absence from a Graduate Programme

50. A candidate may apply for Leave of Absence from a Programme for academic or personal reasons. The candidate's registration will be suspended during Leave of Absence. Applications for Leave of Absence should be addressed to the Chairman of the Campus Committee, and copied to the Head of Department, and must be accompanied by a statement of the reasons for the application.
51. Leave of Absence shall not be granted for more than one academic year in the first instance. A candidate may apply to the Campus Committee for Leave of Absence for a second

year, but further extensions will be at the discretion of the Board.

52. Candidates requesting Leave of Absence should submit their application no later than the third week of the semester. Candidates who absent themselves without permission may have their names removed from the register of graduate students.

Leave of Absence from a Campus

53. A candidate, registered in a graduate programme may apply for Leave of Absence from the Campus for academic or personal reasons. Applications for Leave of Absence from the Campus should be addressed to the Chairman of the Campus Committee and copied to the Head of Department, and must be accompanied by a statement of the reasons for the application.
54. 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 U.W.I., and any examination(s) the candidate will be required to write.
55. The granting of leave of Absence from a Campus does not obligate the University to meet any travel costs which the student might incur.
56. Appropriate alternative examination arrangements should be made for students who have been granted leave of Absence from a Campus during examination periods.
57. Candidates who are granted leave from a Campus after submitting written work for examination are required to maintain their registration and return at their own expense for oral examinations, should the regulations or the examiners require that they be so examined.

SUPERVISION

Appointment of Supervisor(s)

58. At the time of recommending acceptance of an MPhil, PhD. or MD candidate, the Department will nominate a Supervisor for appointment by the Campus Committee. Where more than one Supervisor is appointed, one shall be designated Chief Supervisor and the other Co-Supervisor.
59. In the case of multidisciplinary research projects, more than one Supervisor, representative of the relevant disciplines involved, must be appointed.
60. The Chief Supervisor must hold a graduate degree of the same or higher level as the degree being supervised, unless the Board otherwise decides.

Appointment of an Advisory Committee

61. By the end of the first semester of registration, an Advisory Committee must be nominated by the Head of Department and appointed by the Campus Committee for each student reading for an MPhil, PhD or MD degree. The Committee shall consist of a minimum of three persons, including the Supervisor(s), with no more than one person typically being from outside the University.

Responsibilities of Supervisors and Advisory Committees

62. Supervisors shall provide academic guidance and direction to students in the conduct of their research.
63. The Chief Supervisor shall act as a channel of communication between the student and the University, communicate regularly with the student and Co-Supervisor, if applicable, convene meetings of the Advisory Committee, and by regular reports inform the Campus Committee of the progress of the student's work.

64. The Advisory Committee shall be convened within one month of appointment to review the background of the student and to discuss and approve their programme of study and research.
65. The Advisory Committee shall review the research progress of the student at least once per semester, and shall provide guidance for completion of the research, including thesis preparation.
66. Candidates whose work at any time is reported by their Supervisors to be unsatisfactory, may have their names removed from the register of graduate students.

Responsibilities of Supervisors and Advisory Committees are further described in the Graduate Studies Guide for Students and Supervisors.

Responsibilities of Heads of Departments

67. Heads of Departments should provide prospective graduate students with information on the research strengths of the Department and on the availability of resources, including financial aid, in support of graduate student research.
68. Heads of Departments should ensure 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.
69. Heads of Departments are 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.

Other responsibilities of Heads of Departments appear in this Manual under the Sections on Admission, Registration and Examinations, and are also described in the Graduate Studies Guide for Students and Supervisors.

EXAMINATIONS

70. All examinations, whether by thesis or by written papers, are the administrative responsibility of the Campus Registrar, who must set and publish the dates for each examination in consultation with the Departments concerned, and must inform candidates of such dates.
71. Examination timetables should be published at least one month before the start of examinations. Notification of oral defense of a thesis should be provided at least two weeks before the examination.
72. Candidates must submit theses, research papers and project reports for examination to the Campus Office of the School for Graduate Studies and Research.
73. Heads of Departments must ensure that the submission of examination questions, the marking of scripts and the holding of Examiners Meetings occur on time, so that students can obtain their grades in a timely manner.
74. The transmission of theses and other examination papers to and from Examiners is the responsibility of the Campus Registrar.

Appointment and Duties of Examiners for Written Papers

75. Heads of Departments must nominate Examiners for each written examination, including Qualifying and Departmental Examinations, to the Campus Registrar no later than the second week of the semester in which the examination is scheduled.
76. For each written examination there shall be at least two Internal Examiners, one of whom shall be appointed First Examiner.
77. For those courses in which an External Examiner is deemed necessary, he/she shall be appointed for three years in the

first instance. Such appointments may not be extended beyond an additional three year period.

78. The Campus Committee must approve the appointment of non-UWI staff members as Examiners, following receipt of the nominations from the Head of Department through the Campus Registrar.
79. At the time of nomination of External Examiners and Internal Examiners who are not UWI staff members, the Head of Department must submit their Curriculum vitae to the Campus Committee.
80. The First Examiner shall be responsible for the preparation of the question paper, for the marking of the scripts and coursework, and for participation in oral examinations where required.
81. The First Examiner shall be responsible for compiling the marks from the different Examiners and preparing the mark sheets, clearly identifying whether the candidate has passed all components of the examination. The Head of Department or Dean of the Faculty must then convene a Board of Examiners Meeting.
82. The First Examiner shall forward copies of marksheets, signed by at least two Examiners, to the Campus Registrar on completion of the Board of Examiners meeting. Submission of final marksheets to the Campus Registrar must occur within one month of the date of the examination. The marksheets must be accompanied by marking schemes, solutions and other relevant examination material. When amending the final marksheet, the original mark must be clearly crossed out and the new mark inserted adjacent to the original mark and initialled by the Examiners.

83. All Internal Examiners should be present in the examination room at the start and during the first half hour of any written examination. If the examination is being held in a country that does not have a resident Examiner, the First Examiner shall be available by telephone for the first half-hour of the examination.

Procedure for Board of Examiners Meetings

84. Examiners for all courses will meet as a Board of Examiners under the Chairmanship of the Dean of the Faculty or the Dean's nominee, or the Head of the unit for those Centres and Institutes that are not Faculty-based. All Examiners will be sent written invitations with an attached agenda. Part-time staff members who are Examiners should be invited to meetings of the Board of Examiners, but their absence will not invalidate the proceedings of the meeting. The Minutes of the Board of Examiners meeting should be submitted to the Campus Registrar through the Campus Office of the School for Graduate Studies and Research.
85. Pass lists may be issued by the Campus Registrar immediately following the Board of Examiners meeting at which the results are provisionally approved, since Pass Lists must state "Subject to approval by the Board for Graduate Studies and Research on behalf of Senate". The Board of Examiners must make recommendations to the Campus Committee in respect of candidates who have failed.
86. Candidates permitted a second attempt at an examination, having failed at the first attempt either the coursework or the written paper, will normally be required to rewrite only that part of the examination failed, and the marks allotted to the part passed at the first attempt will be credited to the candidate at the second attempt. Both marks will be entered on the mark sheet.
87. Examiners may require candidates who fail a component of an examination to repeat all components at the second attempt. In such cases, the Board of Examiners will make a special

recommendation to the Campus Committee after discussion with the candidate.

88. Candidates who are allowed resits by the Board of Examiners will normally do so one year later, unless special Resit Examinations have been scheduled earlier. The Board of Examiners will inform the Campus Registrar through the Campus Committee of these scheduled dates. Special Resit Examinations may take place before the beginning of the next semester at the discretion of the Department and with the approval of the Campus Committee.
89. Candidates who, in the opinion of the Board of Examiners, have performed particularly poorly on an examination may be required to repeat the entire course and/or receive remedial work prior to resitting the examination.

Appointment and Duties of Examiners for Theses, Research Papers and Project Reports

90. Heads of Departments must nominate Examiners for each thesis to the Campus Committee for its approval at least three months prior to the expected submission date of the thesis. For research papers and project reports, nominations should be made at least one month prior to the expected submission date. For all theses, and for all research papers or project reports contributing 25% or more of the programme credit ratings, the Examiners must include the Supervisor(s), an Independent Internal Examiner and an External Examiner.
91. Before naming Internal and External Examiners, Heads of Departments should ascertain each nominee's 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 contractual responsibilities.
92. The Heads of Department must provide the Curriculum vitae of each person nominated as an External Examiner for the consideration of the Campus Committee.

93. If a nominee has previously been an External Examiner, the Head of Department may provide a statement of the date and title of the thesis last examined, instead of a Curriculum vitae.
94. The Examiners of all research degrees are expected to be specialists and active researchers in their fields, and should preferably have substantial experience in the supervision and examination of theses.

Submission of Theses for Examination

95. Supervisors are required to certify that a candidate for a degree by thesis has satisfied the University's regulations and that the thesis is ready for examination.
96. A Supervisor who is dissatisfied with the work of a candidate must inform the Campus Registrar through the Campus Committee in writing that he/she is unable to certify that the thesis is ready for examination. The criteria that should inform the Supervisor in making this decision are provided in Section 3 Regulation 10 of the Regulations for Graduate Diplomas and Degrees.
97. A candidate who wishes to submit against the Supervisor's advice should first consult their Advisory Committee, the Head of Department or, if the Head is the Supervisor, the Dean of the Faculty, and finally the Campus Committee. The procedure to be followed in this situation is provided in Section 3 Regulations 11 and 12 of the Regulations for Graduate Diplomas and Degrees.
98. If the consultations do not resolve the issue, and the candidate insists on submitting the thesis, he/she must state this in writing to the Campus Registrar through the Chairman of the Campus Committee.
99. When a thesis is submitted for examination without the Supervisor's approval, the Board will exempt the supervisor from examining the thesis.

Examiners Reports for Theses, Research Papers and Project Reports

100. Examiners of theses are required to report within two months of receipt of the candidate's work. Examiners of research papers and project reports are required to report within one month of the receipt of the candidate's work. The Campus Registrar should send a reminder to Examiners who have not met these deadlines. The Campus Committee should make every effort to ensure that the Examiners respond to the Campus Registrar's reminder(s).
101. In cases where the deadline has not been met, the Campus Committee should discuss with the Head of Department the appointment of new Examiners, where this is feasible and appropriate.
102. In the case of research papers and project reports, the final grade assigned will normally be the average of the grades recommended by the Examiners.
103. 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.

Examination Procedures for Theses are described in detail in Section 3 Regulations 19 to 35 of the Regulations for Graduate Diplomas and Degrees.

Oral Examinations

104. Oral examinations are mandatory for doctoral theses and should be held within one month of the submission of the written reports of the Examiners. The procedures to be followed in conducting an oral examination for a doctoral thesis are described in Section 3 Regulations 31 to 35 of the Regulations for Graduate Diplomas and Degrees.

105. The Campus Committee may authorize an oral examination of an MPhil. candidate on the recommendation of any Examiner. In such instances the oral examination shall follow the same procedure as prescribed for the PhD.
106. The Examiners appointed to examine a written paper in any graduate course may, with the approval of the Campus Committee, put oral questions to a candidate in any case in which they believe that this will help towards a more accurate assessment of the paper.
107. The oral examination of a written paper will be conducted by the Examiners for that course under the Chairmanship of the Head of Department or his/her nominee. The Chair of an oral examination must not be taken by an Examiner.
108. A candidate for whom an oral examination is recommended in any written course must attend at the place and time designated by the Head of Department and at his/her own expense.

APPROVAL OF NEW PROGRAMMES

109. The request and supporting material for approval of new graduate programmes, or amendments to existing programmes, must be sent from the appropriate Faculty, under the signatures of the Dean and Chair of the Faculty Committee, for approval of the Board through the Campus Committee. Except for Departments which have no counterpart on the other campuses, new programmes, or amendments to existing programmes, should be circulated to the relevant Faculties on all UWI campuses for their comments, before submitting them to the Campus Committee and the Board.
110. The comments received from other campuses by Departments proposing a new programme, or amendments to existing programmes, must be included with the proposal submitted to the Campus Committee.

111. The proposing Department must justify its rejection of any comment made by a Department on the other campuses.

FACULTY REGULATIONS

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

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