



WAYAMBA UNIVERSITY OF SRI LANKA

BY-LAWS NO. 1 OF May 2022

(In Terms of Sections 29 (d) and 135 (1) (a), (b) &(c) of Universities Act No. 16 of 1978)

BY-LAWS FOR POSTGRADUATE RESEARCH DEGREES

1. Degree Programmes

- Degree of Master of Philosophy (M.Phil.) - SLQF Level 11
- Degree of Doctor of Philosophy (Ph.D.) - SLQF Level 12

There are two categories of registered students for these courses:

- Full-time
- Part-time

1.1. Eligibility

- **Master of Philosophy Degree (M.Phil.)**

1. Master's Degree of SLQF level 10 relevant to the subject
OR
2. Bachelor's Honours degree of SLQF level 6 (including four-year Joint Major Degree) relevant to the subject
OR
3. Bachelor's Degree of SLQF level 5 relevant to the subject with a minimum GPA of 3.0 in the scale of 0-4
OR
4. Bachelor's Degree of SLQF level 5 or above and passing a qualifying examination (oral, written or both) conducted by the relevant Faculty

- **Doctor of Philosophy Degree (Ph.D.)**

1. Master's Degree of SLQF level 11 relevant to the subject
OR
2. Bachelor's Honours degree of SLQF level 6 relevant to the subject with a minimum GPA of 3.0 in the scale of 0-4
OR
3. Bachelor's Honours degree of SLQF level 6 relevant to the subject and Master's Degree of SLQF level 10 relevant to the subject

1.2. Duration

- **Master of Philosophy Degree (M.Phil.)**

Minimum period of study for the M.Phil. degree:

| | | |
|--------------------|---|------------------|
| Full-time students | - | Two (02) years |
| Part-time students | - | Three (03) years |

The maximum period of study will be six (06) years.

- **Doctor of Philosophy Degree (Ph.D.)**

Minimum period of study for the Ph.D. degree:

| | | |
|--------------------|---|------------------|
| Full-time students | - | Three (03) years |
| Part-time students | - | Five (05) years |

The maximum period of study will be eight (08) years.

1.3. Application procedure

Process:

- The application should be forwarded to the Registrar of the Wayamba University of Sri Lanka (WUSL).
- The Registrar will then send it to the relevant Faculty Higher Degrees Committee (FHDC).
- The FHDC, with its recommendation, should forward the application to the Senate Research & Higher Degrees Committee (SRHDC).
- The SRHDC, with its recommendation, should then submit the application to the Senate for its approval.

Documents Required:

The applicant should submit the following documents along with the application:

- Certified copies of the ‘Degree Certificate’.
- Synopsis of the proposed research, including the field of research, the tentative title, purpose/objectives of research, research methodology along with the name/s and institutional affiliations of supervisor/s selected to supervise the research work.
- Letter of Consent from the Supervisor/s along with their CVs.
- Two Referee Reports
- Certified copy of the Birth Certificate.
- The applicant should arrange for an ‘academic transcript/s’ to be sent to the Registrar, WUSL by the relevant university.
- Proof of evidence of funds/financial support to conduct the research work.
- Declaration of release of the student from work by the employer, if applicable.

1.4. Selection of Supervisors

The Principal Supervisor must be an academic of the WUSL. Other supervisors are co-supervisors and can be qualified academic(s) of either in WUSL or from other recognized institute(s).

Please refer to the Criteria 1 for full details.

1.5. Presentation by Postgraduate Applicants

The applicant is required to defend his/her research proposal to the relevant FHDC within the first two months from the date of submission of application on a date decided by the FHDC.

FRHC shall schedule the proposal presentation and defence to be conducted within two months from submission date of a postgraduate application if the proposal is reviewed by experts within the University. However, FHDC shall decide if a particular proposal is required to be reviewed by external reviewers before the proposal presentation and defence take place by considering the available expertise on the particular subject area within the Faculty. In such case, FRHC shall take extra time up to three months to conduct the proposal presentation and defence.

An Evaluation Report of the proposal defence should be submitted by the chairman of FHDC to the SRHDC.

1.6. Effective Date of Registration

The effective date of registration for the postgraduate program will be the date of research proposal defence to the FHDC.

1.7. Renewal of Registration

It shall be obligatory for each student to pay all components of annual fee every year until completion of the program by successful defence and submission of final thesis. However, after completing the minimum period for the degree, the candidate is eligible for an exemption of all annual fee components except the registration fee (see the Course Fee Structure) for a grace period of 6 months, if the candidate successfully completes the defence and the final submission of the thesis within the grace period. If the candidate fails to submit the final thesis within the grace period, he/she shall pay all components of the annual fee within 30 days from the end of the grace period.

1.8. Changes in Registration

A student who wishes to make changes to any initially accepted terms and conditions of his/her registration [e.g. upgrades, status (part time to full time and vice versa) and withdrawal of registration, should request to the Registrar with the recommendation of supervisors. Upon receiving such a request, it will be noted to the SHRDC and forwarded to the respective FHDC. All such changes in registration should receive the recommendation of FHDC and the SRHDC for the approval of the Senate.

1.9. Upgrading the Registration from M.Phil. to Ph.D. Degree Program

Any candidate shall apply for ‘Upgrading of Registration’ from M.Phil to Ph.D through their supervisors to the Registrar. Upon receiving the request, it will be noted to the SRHDC and forwarded to the respective FHDC. The FHDC will evaluate progress made by the student and make recommendations to the SRHDC in this regard. Services of an outside expert could be obtained, if necessary, to evaluate the progress of the candidate.

Application for such upgrade should be made by a ‘*Full-Time*’ student within 12 to 18 months and a ‘*Part-Time*’ student within 18 to 24 months from the date of registration to the M.Phil. Degree Program.

The request for upgrade should accompany the ‘Upgrade Fee’ as prescribed under the Course Fee Structure.

The SRHDC shall consider the following minimum requirements fulfill by the candidate with respect the upgrading of registration of M.Phil. to Ph.D:

- i. Letter of approval of upgrade from all the Supervisor/s.
- ii. The Progress Reports submitted by the student from the date of registration until the date of request of upgrade are accepted by the SRHDC.
- iii. The student shall present the progress of his/her M.Phil. research and the planned program of research leading to the Ph.D. to the relevant FHDC and obtain its approval. The SHRDC, in consultation with the FHDC, shall appoint two of its members also to this panel as nominees.

Student who seeks upgrading of his/her postgraduate program should pay the ‘Program Upgrade Fee’ to the WUSL (see the Course Fee Structure) and attach the original receipt to the application.

1.10. Transfer of Registration from Ph.D. to M.Phil. to Degree Program

If any candidate wishes to ‘Transfer the Registration’ from Ph.D to M.Phil, it should be requested through their supervisors to the Registrar. Upon receiving the request, it will be noted to the SRHDC and forwarded to the respective FHDC. The FHDC will evaluate the request and forward with its recommendation to the SRHDC. The SRHDC will consider such requests on case-by-case basis and make its recommendations to the Senate.

1.11. Withdrawal of Registration from Ph.D. or M.Phil

A student shall withdraw his/her registration before commencement of the academic program or in the middle providing a written request through principal supervisor for his/her withdrawal to the SRHDC through the FHDC. For the student who withdraw before commencement of the academic program, except application Processing Fee, Registration Fee, and Administration Fee, other fees will be

refunded. If the student withdraws in the middle of the academic program, only the Library Deposit Fee will be refunded on their request within six months.

1.12. Submission of Progress Reports

The student should submit a Progress Report on his/her research work to the Assistant Registrar of the Faculty that he/she has been registered on ‘half-yearly’ basis.

The deadlines for submission of Progress Reports are June 30th and December 31st of each calendar year.

Student should submit the Progress Report approved by the Supervisor/s within one month from the completion of the six-month-period in effect to the relevant FHDC. The principal supervisor must sign the progress report, and the signatures of co-supervisors are optional. Progress reports not adhering to the above will be returned by the SRHDC through FHDC to the PG student.

In the case of 1st Progress Report, it should be submitted on either June 30th or December 31st whichever is closest to the date of completion of six-month-period from the date of registration (i.e. if the said period is less than 6 months, the student is not supposed to submit the Progress Report covering that shorter period).

Any Progress Report that is not recommended by the FHDC will be returned to the student. In such situation, student must take care of ‘resubmission of the progress report’ within the first three-month period from the completion of the six-month-period. Failure in adhering to above will lead to suspension of student’s registration. Within six months, student should re-activate the registration by paying the relevant fee (see the Course Fee Structure) and student must submit the required progress report through the proper channel. If PG student failed to take actions within six months after suspension, student’s registration will be cancelled.

1.13. Suspension from Registration Based on Progress Reports

Student shall be ‘suspended from registration’ with effect from the date of elapsing of three-month period provided for Progress Report submission.

If the student wishes to ‘reactivate/reinstate the registration’, he/she should submit a written request to the FHDC through the Supervisor/s within six months from the date of suspension.

Student should pay the ‘Registration Re-activation Fee’ to the WUSL (see Course Fee Structure) and attach the original receipt to the application.

Date of reinstatement of registration shall be date on which the FHDC recommends the student Progress Report and the request.

If PG student failed to take actions within six months after suspension, student’s registration will be cancelled. With a valid reason, PG student may appeal about the cancellation of registration to the Registrar through supervisors.

1.14. Thesis

The thesis shall consist of the candidate's own account of his/her research. It must provide a distinct contribution to knowledge and afford evidence of originality. It must be satisfactory as regards literary presentation. Only research conducted after registration will be considered for the M.Phil. and Ph.D. degree program.

The thesis should be certified by the Supervisor/s as embodying the candidate's own work. The thesis shall be submitted in three copies, which may be in temporary binding.

1.15. Examination

1.15.1 Thesis Format Evaluation

A thesis is checked for the format by the Thesis Format Editor (TFE) at the following two stages in order to ensure that the WUSL standards and norms are upheld in the thesis.

- Thesis format checking-step 1: Prior to submitting the thesis to the external examiners
- Thesis format checking-step 2: After a successful completion of the thesis defence examination.

Please refer to the Criteria 2 for full details.

1.15.2 Thesis Evaluation

The Senate will appoint two or more experts in the relevant field as external examiners to evaluate the thesis. The SRHDC, based on the recommendation of the relevant FHDC, shall propose the names of external examiners to the Senate immediately after submitting of the thesis. Relevant FHDC may request supervisors to suggest names of external examiners. Award of the degree shall be based on the recommendations of the examiners and candidate's success in the thesis defence examination.

1.15.3 Thesis Defence Examination

Composition of the Examination Board for the Thesis Defence Examination shall be: (1) Chairman of SRHDC; (2) Dean of the Faculty; (3) Chairperson of FHDC, and (4) External Examiner/s. The Chairman of SRHDC moderates the examination and the Dean and the Chairperson of FHDC will be observers. The Supervisor/s may be present as Observer/s as well. If a member of the Board is a supervisor of the candidate, a suitable replacement should be appointed by the SRHDC. The Examination Branch shall post a notice of the defence inviting the general community on the Faculty notice board at least 7 days prior to the date of defence. The notice shall contain title of research, name of candidate, name of supervisor(s), date, venue, and time.

1.15.4 Appeals

If the Thesis Examination Panel decides that a candidate has not successfully defended the thesis then the candidate may request for a repeat thesis defence examination to be held after 30 days from the date of the failed attempt. The request should be made to the SAR Examination with the recommendation of supervisors. The candidate shall pay the examination fee (as prescribed under the Course Fee Structure) for repeat examinations and the original payment slip should be supplemented with the request letter.

1.15.5 Requirement for Submission of M.Phil. / Ph.D. Thesis for the Defence

At the point of submission of the M.Phil. Thesis:

Minimum of TWO research communications in an ‘abstract form’ that have been presented at a recognized research forum (conference/symposia).

At the point of submission of the Ph.D. Thesis:

Minimum of ONE research article published in a refereed journal and minimum of TWO research communications in an ‘abstract form’ that have been presented at a recognized research forum (conference/symposia).

In both cases above, the candidate should essentially be the ‘first author’ of aforesaid research communications. The SRHDC will take the support of external experts to determine whether such publications have arisen out of the research work of student.

1.15.6 Disorderly Conduct by Student

Any candidate who violates the rules of examinations or disobey the authority of examiners shall be deemed guilty of the offenses of disorderly conduct and his/her candidature shall be cancelled from that examination and he/she shall be prohibited from sitting any examination of this University for the period up to two academic years. In case of any examination offence, the Chairman of the SRHDC shall report the incident to the Senate and request to appoint an inquiry committee.

1.16. Final Submission of Thesis

A candidate whose thesis is accepted by the examination board for the award of a degree is required to make all corrections, revisions, etc., as proposed by the external examiners and submit three copies within three months after thesis defence examination in fully bound form to the Senior Assistant Registrar/Assistant Registrar, Examinations. After the release of results two copies shall become the property of the WUSL and the other shall be returned to the candidate.

1.17. Effective Date for the Award of Degree

The effective date for the award of the degree shall be the first day of the following month after submission of thesis for examination. For students who appear for the second thesis defence examination, the effective date shall be the first day of the following month after the second defence examination.

If a candidate whose thesis is accepted by the examination board for the award of a degree fails to submit the thesis after corrections within three months, the effective date shall be the first day of the following month after submission of corrected thesis. In case of resubmission, the effective date shall be the first day of the following month after re-submission of the thesis.

1.18. Course Fees

Candidate shall pay the required fees according to the most recent Course Fee Structure for Postgraduate Research Program

1.19. Suspended Periods

The maximum allowable period for completing the degree shall remain unchanged if the candidate is suspended for any reasons other than medical conditions.

1.20. Ethics Approval

All Research involving animals or human participants, their data and/or tissue (this may also include research involving the data of deceased participants) must obtain *ethics approval* from the University Ethics Review Committee (ERC) or from another recognized body.



Wayamba University of Sri Lanka

POSTGRADUATE RESEARCH DEGREE PROGRAMS

Criteria 1:

Supervision of Postgraduate Research Degree Students and Appointing Supervisors

Prepared by
Senate Research and Higher Degrees Committee (SRHDC)

May 2022

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SUPERVISION OF POSTGRADUATE RESEARCH DEGREE STUDENTS AND APPOINTING SUPERVISORS

1. Principle of Supervision

Postgraduate research degree students of the Wayamba University of Sri Lanka (WUSL) are directly supervised throughout their candidature by a Principal Supervisor or a Supervisory Team comprising experienced supervisors. Appropriate arrangements will be made to substitute for possible absence of a supervisor. The role of the supervisor/s is to advise and guide candidates in their research work, track the progress of their studies, and monitor the quality of their research work. Senate Research and Higher Degrees Committee (SRHDC) serves as the monitoring body to ensure proper supervision during the period of candidature and is not directly involved in the supervision process.

Defining the research topic for a postgraduate degree has to be specific and is vital as the student should not be burdened with a topic to cover large area that cannot be addressed within the SLQF standard period of study approved to the candidature, and conversely, the topic should give sufficient scope for investigation appropriate to the degree. In conjunction with the Faculty Higher Degrees Committee (FHDC), supervisor/s shall undertake responsibility of supervision as outlined in this document and the postgraduate research degree by-laws.

The following are the most important steps that supervisors are expected to follow in supervising students.

- (a) Principal supervisor (sec 3.1) should initiate the process of supervision by overseeing the details of the research; how to manage it, the hypothesis, the experimental design, the resources needed and the procedures that will have to be learned. The student and the other supervisor/s should thoroughly discuss to establish a clear understanding between them on the objectives, general design of the research programme, and the hypothesis before the commencement of study.
- (b) Supervisors should take initiatives to change the scope or emphasis of the research as the work proceeds, if a real need arises; these changes need the approval of the FHDC and the SRHDC. Such changes should be identified at an early stage and, in deciding such changes, supervisor is expected to seek student's opinion.
- (c) Supervisors are expected to supervise and direct students appropriately to reach learning outcomes of the programme of study. The learning outcomes will also assist in identification of training and development needs. For this reason, a number of training and development activities for research students are offered at the university level in addition to other development programmes offered by faculties. It is important that the supervisors to be conversant with the level of outcomes expected in M. Phil. (SLQF L-11) and PhD (SLQF L-12) programmes.

- (d) Supervisors should make the student aware of the nature of Thesis Examination and the expectations of thesis (M.Phil. and PhD).
- (e) It is important that supervisors and students are aware that the thesis must be the student's own work. Further, students should be made aware of details of the programmes of study, learning & training requirements, safety issues, safeguarding data and the ethical aspects of the research which are fundamental parts of the research programme.
- (f) Supervisors should make students aware of the necessity of maintaining high standards of academic conduct and of the requirements to avoid fabrication of results or plagiarism.

2. Number of Supervisors in A Supervisory Team

The Principal Supervisor must be an academic of the WUSL. Other supervisors are co-supervisors and can be qualified academic of either in WUSL or from other recognized institute(s).

The service of another supervisor to the team may be sought, and may be appointed from an external organization, in special circumstances listed below.

- When the research needs collaboration with an external organizations requiring specialist inputs.
- When there is a need to supplement the supervisory team with specialist expertise.
- Any other situation deemed necessary; such as instances where a part of research is conducted in a foreign country.

If a further need arises, an additional supervisor/s to the team can be appointed during the course of study on the recommendation of FHDC.

Maximum number of supervisors for M.Phil is 3 and PhD is 4 including the principal supervisor.

3. Designation of Supervisors

The supervisor/supervisory team of a postgraduate research degree should be experienced and qualified individuals chosen appropriately from WUSL or other external organizations. FHDC has the responsibility of nominating supervisors to the SRHDC.

The supervisors in the team are designated as "Principal Supervisor" and other supervisor(s) as Co-Supervisor(s). The following requirements are applied in respect of selecting the Principal Supervisor and Co-Supervisor(s).

3.1 Principal Supervisor

The overall in-charge (supervisor) of the research project involved in planning and conducting the research, guiding and training the student and having the capacity for facilitating the research including financial support is considered to be the principal supervisor.

If the principal supervisor is not available for some period for supervision, a member nominated by the principal supervisor / FHDC shall substitute the principal supervisor.

3.2 Co-Supervisor(s)

The co-supervisor is a member of the supervisory team who collaborates concurrently with the principal supervisor.

4. Nomination and Selection of Supervisors

The selection of appropriate, qualified and experienced individuals as supervisors for the supervision of a student in postgraduate research degree is crucial because supervisors are responsible for advising and directing students to complete the research programme successfully. The following general guidelines and criteria are applied in nominating and selecting supervisors.

4.1 General guidelines for nominating supervisors

- Supervisors should have the necessary competence, time, commitment and access to resources to undertake the supervision.
- Individuals who are enrolled as higher degree students (SLQF L11 or SLQF L12) at WUSL are not eligible to be a member of the supervisory team.
- The principal supervisor is the person as detailed in section 3.1.
- The other supervisors (co-supervisor(s)) may be appointed from the staff of the WUSL and /or an external organization depending on the situation.

4.2 Eligibility criteria for supervisors of M. Phil. Or Ph.D. Degree

(a) A Doctoral degree equivalent to SLQF L12 qualification in the relevant field

OR

Any other equivalent qualification to the above which acceptable to the Senate of the WUSL, AND have published at least three full papers within last three years in peer reviewed journals, published at least twice a year

AND

(b) Research experience relevant to the area of the student's proposed research.

5. Responsibilities and Support of Supervisors

Supervision is the key process that ensures the research degree students achieve objectives and reach up to the level of learning outcomes of the study (SLQF L11 and SLQF L12). Supervision carried out based on learning outcomes assists the FHDC and SRHDC to monitor and evaluate the progress of the student.

5.1 General responsibilities of supervisors

It is the supervisors who are entrusted with the direct responsibility of supervising the students by the process detailed in this document.

5.2 Specific supervisory responsibilities and support

The following are the specific responsibilities of supervisors at different stages of student's candidature.

5.2.1 Responsibilities at the commencement of the student's candidature

The following are the specific responsibilities of supervisors at the commencement of the student's candidature.

- (i) Advising and discussing with the student and guiding on the research process, aims, scope, review of literature, experimental design, presentation and interpretation of results, preparation of the thesis etc.
- (ii) Directing students to apply for ethics and other approvals from the appropriate committees as required.
- (iii) Making students aware of the supervisor's expectations of supervision, frequency of formal meetings between the supervisor and student, the extent of the supervisor's input into the student's activities, arrangements for supervision in the case of absence of a supervisor, and access to resources and space available for research.
- (iv) Identifying specific areas in which students require development of their skills and referring the students to appropriate sources of assistance.
- (v) Updating the student with new criteria and changes / amendments to the postgraduate research degree by-laws promptly.

5.2.2 Responsibilities throughout the student's candidature / study

The following are the specific responsibilities of supervisors throughout the student's candidature

- (i) Monitoring, evaluating and reporting the progress to the FHDC and giving feedback to the student.
- (ii) Carrying out informal discussions and conducting frequent meetings with the student and with other supervisors on matters related to the progress of the study and guide students at regular intervals to ensure proper implementation of the research.

- (iii) Encouraging the student to actively engage in the research programme in a manner to produce significant results in accordance with the time plan.
- (iv) Obtaining approval from the SRHDC in advance for arrangements for supervision during the absence of a member of the supervisory team.
- (v) Ensuring that approvals are obtained from FHDC and SRHDC for any major changes in the research programme, if needed.
- (vi) Encouraging the student to submit biannual progress reports to the FHDC before the set deadlines.
- (vii) Guiding the student to overcome shortcomings when the progress is unsatisfactory.
- (viii) Reporting to the FHDC on any serious issues affecting the student's progress.

5.2.3 Responsibilities during the preparation of the thesis

The following are the specific responsibilities of supervisors during the preparation of the thesis.

- (i) The role of supervisors in preparation of the thesis is to be a guide, advisor and critical reviewer rather than a co-author or an editor. The student should be made aware that the thesis is his / her own work.
- (ii) Discussing with the student on the format & content of the thesis, and the processes involved in planning and writing the thesis. Further, advising the students on style, accuracy and appropriate use of English language.
- (iii) Directing and assisting the student for preparation and submission of manuscripts for publication.
- (iv) Making students aware of the necessity of publishing their work during the candidature to avoid possible delays in submitting the thesis.
- (v) Referring the student to appropriate sources of assistance on matters related to thesis preparation such as academic writing, statistical analysis and interpretation etc.
- (vi) Reviewing and commenting on the content and the draft of the thesis and ensuring that the thesis is submitted in time with other requirements complying with the Thesis Preparation Guidelines (TPG).

5.2.4 Responsibilities in Thesis Defense Examination and revision

The following are the specific responsibilities of supervisors at the commencement of the student's candidature

- (i) Making the student aware that the supervisor/s is not a co-author or editor of the thesis and will not be involved in thesis defense examination.
- (ii) Assisting the SRHDC and the examination division on matters that requires clarifications on diverse or / and adverse comments by the thesis examiners.
- (iii) Advising and providing feedback for necessary revisions that need to bring the thesis to the required standard.

5.2.5 Other academic support

The following are the other academic supports that a student should be provided by the supervisor.

- (i) Making himself / herself as a mentor to provide support to the student on both academic and personal matters.
- (ii) Advising students on effective use of time.
- (iii) Identifying limitations of students and referring them for assistance.
- (iv) Making arrangements to establish contacts with other researchers in related areas in external organizations.
- (v) Nominating thesis examiners to the FHDC at least three months ahead of the thesis submission.
- (vi) Advising the student on examiners' recommendations for necessary amendments to the thesis.
- (vii) Encouraging the student to complete the degree within the stipulated time.

5.2.6 Support with resources and facilities

The following are the support with resources and facilities that a student should be provided by the supervisors.

- (i) Providing necessary material resources to complete the research work such as fieldwork, research travel support, orientation, learning support, prescribed training.
- (ii) Facilitating links between the student and other researchers in related areas, in other institutions.

6. Appointment of Supervisors

The appointment of supervisor is made by the Vice Chancellor of WUSL on the recommendation of the senate and SRHDC.

Subsequent to the approval of the senate to admit an applicant in a postgraduate degree programme, the prospective supervisors are asked to submit duly completed **form a** expressing their willingness and availability to supervise the student during the candidature. It is important

that a direct consultation between applicant and prospective supervisor should occur before signing form a. Applicants are made aware of the names of their supervisors when they are informed of their candidature for the degree.

7. Changes and Revisions in Supervision

Change / revision of supervisor/s can be considered if; (a) a request is made by the student / supervisor on reasonable grounds acceptable to the SRHDC and the senate, (b) change in the research environment such as location of research, need for advanced technologies etc (c) in situations of supervisor's sickness / death / leaving the job, country etc. In all situations, request has to be made to the SRHDC through the FHDC.

7.1 Supervisor's request for changes

Supervisor/s may request changes in supervision during the student's candidature, and may seek approval of the FHDC in the event of;

- (a) Serious health concerns
- (b) Leaving the job
- (c) Leaving the country permanently / very long period.
- (d) Change in the research environment such as location of research, need for advanced technologies etc.

Requests for changes in supervision must be made along with a nomination for a mutually agreed substitute in writing to the SRHDC with the recommendation of the FHDC.

7.2 Students' requests for changes (Without prior consent of the supervisors)

Students may request changes in supervision during candidature, and he/she should seek advice on such moves from the Grievances Committee (see website). If a postgraduate student initiates such request, then the request shall be channeled through the Head of the Department and the Dean to the FHDC after seeking the advice from the Grievances Committee.

8. Arrangements During the Absence of a Supervisor

All supervisors of a supervisory team should inform the SRHDC through FHDC in advance if they plan to go on leave for more than one month. It is the responsibility of the supervisor to nominate a substitute for him / her with a supervision plan for the period of absence.

When the principal supervisor goes on leave for more than three months, an acting arrangement must be made in consultation with another member of the supervisory team and the student and the FHDC at least a month before the due date of leave. The final arrangement in such situation requires the approval of the SRHDC subsequent to the recommendation of the FHDC. It is expected that the original principal supervisor will continue to have regular contact with

the student whenever possible, but the acting principal supervisor will be responsible for day-to-day assistance required by the student.

9. Meetings With Students

The type and amount of contact between supervisors and students depends on experience and expertise of the students and the stage of candidature. However, the recommended minimum amount of formal contact is twice a month. Supervisors and students are jointly responsible for initiating discussions. If a formal face-to-face meeting is not possible, some form of contact (e-mail, telephone) should be maintained. It is also required that all supervisors should meet together regularly if possible. While it may be appropriate in some cases for supervisors to hold supervisory meetings with several students in a group, all students should have regular opportunities to meet with their supervisors individually.

10. Progress Review

10.1 Biannual progress report

It is the responsibility of the principal supervisor to advise students on the submission of biannual progress reports during the candidature. Students are supposed to submit the progress report to the FHDC with the recommendation of the supervisors.

10.2 Annual progress review

Annual progress review is more comprehensive and students are required to present one-year-progress at the research forum, “WURC”. The review is conducted by a panel recommended by the FHDC approved by the SRHDC. The supervisors may present at the review as observers. The proceedings of the congress will be published. Registration of students, who failed to submit and present abstract in WURC, will be suspended. Those students must re-activate the registration by paying the relevant payments (as prescribed in the Course Fee Schedule) within six months from the suspension, or else their registration will be cancelled.

10.3 Role of faculty higher degrees committee in progress monitoring

Each Faculty functions a higher degrees committee (FHDC) which is responsible for ensuring that the standard and quality of research degree programmes are maintained and the interests of registered candidates are protected. As directed by SRHDC, FHDC monitors the progress of the research degree students and hold meetings with the supervisory teams when the progress is unsatisfactory.

11. Grievances of Students

Students have the opportunity to forward and discuss their grievances through the Postgraduate Grievances Committee. Details and guidelines can be found on the University Website.

Annexure A: Supervisors' nomination acceptance letter

Registrar
Wayamba University of Sri Lanka

(Date)

Dear Sir;

Letter of acceptance by supervisor

I hereby accept to serve as the principal supervisor/co-supervisor in the supervisory team appointed to supervise Rev/Mr/Miss (name of the student) in his/her M. Phil / PhD study in the area of Biotechnology at the Wayamba University of Sri Lanka.

I read and understand the responsibilities of the principal supervisor/co-supervisor.

Thanking you,

Faithfully,

(Name of the supervisor)

SUPERVISOR NOMINATION FORM

Part (i): Details of candidate

- (a) Name and Registration No. :
- (b) Thesis Title (As approved by the Senate) :
- (c) Subject area
- (d) Degree Programme (*MPhil/ PhD*) :
- (e) Enrolment year (Month, Year) :
- (f) Department / Faculty :

Part (ii): Details of nominated supervisor (Two page resume of the nominee should be attached with the form)

- (a) Name :
- (b) Highest postgraduate qualifications
- (c) Designation :
- (d) Department / Faculty :
- (e) University / Institution :
- (f) Phone (Office/ Home / Mobile) :
- (g) Home address :

Part (iii): Two most recent M. Phil / PhD supervision

| Supervision | University | Thesis Title, year, | Principal supervisor / co-supervisor |
|---------------|------------|---------------------|--------------------------------------|
| .Phil/Ph.D | | | |
| M.Phil./Ph.D. | | | |

Part (iv): Two most recent and current research & publications of the nominated supervisor

| Grant no. | Funding Source | Title of the project | Principal investigator / co-investigator |
|--|----------------|----------------------|--|
| Grant 1 | | | |
| Grant 2 | | | |
| Number of papers in peer reviewed local journals | | | |
| Number of papers in peer reviewed foreign journals | | | |

| | |
|---|-------|
| Number of papers published in refereed conference proceedings | |
| Part (v): Nomination, recommendations, approvals and follow-up actions | |
| (a) <u>Recommendation of the FHDC</u> | |
| <p>I confirm that;</p> <ul style="list-style-type: none"> (i) the nominations were made in compliance with the criteria for selecting supervisors; (ii) the candidate's proposed research for the degree fall in subject disciplines of our faculty; (iii) the above nominees agreed to serve as the supervisors for the titled thesis research project. (iv) the nominees were made aware of the WUSL supervision process. | |
| <p>If the supervisor is overseas, please give seasons for nominating a supervisor from overseas.</p> | |
| Signature of the Chairman, FHDC: | Date: |
| (b) <u>Recommendation of the SRHDC</u> | |
| <p>The appointment of the nominee as a supervisor is recommended. If the nomination is not recommended, return the form to the FHDC indicating reasons.</p> | |
| Signature of the Chairman, SRHDC | Date: |
| (c) <u>Senate decision</u>: Appointment is approved / not approved_ | |
| <p>If approved, Registrar shall issue the letter of appointment. If not approved, Secretary / SRHDC shall inform the FHDC to send a fresh nomination. This should be informed to the immediately available SRHDC.</p> | |
| <u>Office use (Special notes)</u> | |

Evaluation of Postgraduate Thesis and Appointing Examiners



Wayamba University of Sri Lanka

Postgraduate Research Degree Programs

Criteria 2:

Evaluation of Postgraduate Theses and Appointing Examiners

**Prepared by
Senate Research and Higher Degrees Committee (SRHDC)**

May 2022

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1. Guidelines of Evaluation of Theses

A candidate, enrolled in an M. Phil. degree program (SLQF-L11) or Ph.D. degree program (SLQF-L12) at the Wayamba University of Sri Lanka (WUSL), undertakes fulltime research for a minimum period of two years or three years, respectively. The progress of research carried out is monitored and assessed bi-annually through progress report as well as annually at the Wayamba University Research Congress (WURC) during the period of candidature.

Thesis examination is the final evaluation which the candidate faces in respect of obtaining postgraduate degree qualification. Each postgraduate candidate compiles and presents his / her research work and findings together with other required information in a specific form; “Thesis”. Preparation of thesis is done according to the standards and norms given in the Thesis Preparation Guidelines (TPG). The thesis submitted by the candidate is evaluated by a panel of external examiners; Thesis Evaluation Panel (TEP).

Thesis examination is a two-step-process in which the thesis evaluation is the first step (step 1).

Step 1: Thesis evaluation

Step 2: Thesis Defence Examination

TEP conducts the thesis evaluation. The outcome of thesis evaluation (step 1) is based on the judgments made by the members of the TEP and thus, the thesis examination is proceeded to thesis defence examination (step 2) according to the composite judgment of TEP (Table 1 of sec 5.3).

Thesis Defence Examination Panel (TDEP) conducts the Thesis Defence Examination and further assesses the quality of the thesis and determine whether it fulfills the requirements. Thesis defence also provides an opportunity for the candidate to “defend” their final product and engage intellectually with questions related to the work they have carried out over the course of the study. The thesis defense is intended to be a thoughtful, supportive interchange that is in-depth but not intimidating.

WUSL is committed to conduct independent thesis examination for which WUSL appoints TEP for step 1 (sec 1.1) and TDEP for step 2 (sec 7.4). Both TEP and TDEP include two external examiners. The thesis examination shall be thorough but standard and fair where the candidate needs to feel that he / she has been properly assessed.

The candidate should pass the thesis examination for the award of the degree. In addition to passing the thesis examination, there should be evidence of dissemination of new knowledge generated from the research work carried out for the thesis. Concurrently, by the time of thesis submission, the respective research work must have been accepted / published of which the candidate is the first author / primary author.

The selection of appropriate examiners is a vital part of the thesis examination process, and the principal supervisor plays an important role in suggesting suitable examiners. All thesis examiners

should have expertise in the topic or / and methodology of the thesis and be able to evaluate whether the thesis meets the criteria for the award of the degree. WUSL shall adapt the underlying principle / procedures / criteria to ensure that the thesis examination is conducted in a fair and transparent manner.

1.1 Composition of Thesis Evaluation Panel

Thesis Evaluation Panel (TEP) of a thesis necessarily comprises two examiners; “Thesis Examiners / External examiners”. Examiners among them cover all aspects of the work to be presented by the candidate. Examiners are qualified academics appointed from outside the home university (Sec 10).

1.2 Provision of appointing an additional examiner (Third examiner) to TEP

In exceptional circumstances, usually connected with the nature of the thesis such as where the thesis is of interdisciplinary/multidisciplinary, it might be necessary to get the service of a third examiner. If such a need arises, the supervisor should seek written permission from the SRHDC for appointing a third examiner to TEP (sec 10).

Requests for the third examiner should be submitted to the SRHDC through the FHDC with its recommendation.

1.3 Provision of appointing overseas examiners to TEP

Overseas Examiners may be appointed as one of the examiners of the TEP only in situations where no local expert is available to serve as an examiner. Principal supervisor and the Chairman of Faculty Higher Degrees Committee (FHDC) have to ensure that the proposed overseas examiners are sufficiently familiar with the local education system and the standard required for the degree being examined (Sec 10).

Requests for overseas examiners should be submitted to the SRHDC with the recommendation of the FHDC.

Note: University does not pay expenses for overseas examiners (International travel, accommodation and subsistence).

1.4 Reapproving examiners when delaying examination

If the examination has not taken place within 12 months from the initial appointment of examiners, the re-approval for the examiners shall be considered with the updated details. In such situations, Principal supervisor should check the availability of the examiner for the new examination schedule.

Requests for re-approval for examiners should be submitted to the SRHDC with the recommendation of the FHDC.

2. Thesis Expectations

Examiners and others who are involved in thesis examination should be aware of expectations of the thesis. WUSL conducts two types of postgraduate research degree programs (M. Phil. and Ph.D. equivalent to SLQF-L11 and SLQF-L12, respectively) in different areas / fields specified according to the disciplines of departments / faculties. Thesis is a scholarly work requiring discussion of methodology, conclusion and significance of the research beyond manuscripts for publication; therefore, thesis examination is based on the level of expectations of the thesis as well as subject discipline. In general, expectations at different level of qualification are listed in sections below.

2.1 Expectations of M. Phil thesis

The following are the expectations of M. Phil degree thesis that the examiners should consider in the thesis evaluation.

- Thesis for M. Phil degree must show familiarity with previous work in the field and must demonstrate the ability to carry out research, organize results, and defend the approach and conclusions in a scholarly manner according to disciplinary norms.
- An exhaustive review of work in the particular field of study is not necessarily required. Expectation for the level of original scholarship at the M. Phil level varies with the discipline.
- The thesis must be written in compliance with standards and norms for academic and scholarly expression and for publishing in the public domain.

In concurrence with the general expectations on the content of an M. Phil thesis mentioned above, FHDCs may provide additional written guidelines to students outlining specific expectations of the particular discipline.

2.2 Expectations of PhD thesis

The following are the expectations of PhD degree thesis that the examiners should consider for in the thesis evaluation.

- Thesis for PhD degree must constitute original scholarship and must be a distinct contribution to knowledge.
- It must show familiarity with previous work in the field and must demonstrate ability to plan and carry out research, organize results, and defend the approach and conclusions in a scholarly manner.
- The research presented must meet current standards of the discipline and also the thesis must clearly demonstrate how the research advances the knowledge in the field.
- The thesis must be written in compliance with standards and norms for academic and scholarly expression and for publishing in the public domain.

In concurrence with the general expectations on the content of a PhD thesis mentioned above, FHDCs may provide additional written guidelines to students outlining specific expectations of the particular discipline.

3. Standards and Norms Applied to Thesis Preparation

The organization of a thesis follows the conventional monograph style format. WUSL requires that all thesis conform to the standards and norms given in the Thesis Preparation Guide (TPG) of WUSL. Unless SRHDC has given written consent in advance, deviations from these standards and norms shall not be accepted.

3.1 Thesis format checking

A thesis is checked for the format by the Thesis Format Editor (TFE) at the following two stages in order to ensure that the WUSL standards and norms are upheld in the thesis.

- Thesis format checking-step 1: Prior to submitting the thesis to the external examiners (Sec 3.1.1)
- Thesis format checking-step 2: After a successful completion of the thesis defence examination (Sec 8.1).

3.1.1 Thesis format checking-step 1

TFE decides on the acceptability of the form of the thesis presented and make the following recommendations.

- a) Thesis is in 'acceptable' form and it can be submitted to the examiners in its present form.
- b) Thesis needs minor formatting. Thesis can be submitted to the examiners after adhering to the minor corrections in consultation with the Principal supervisor.
- c) Thesis is not in acceptable form to be submitted to the examiners. The candidate has to rearrange the thesis according to TPG and resubmit to the TFE.

TFE is expected to submit the report on the accuracy of the format of the thesis within two weeks from the submission.

3.2 Submission of thesis for format checking-step 1

Principal supervisor should decide whether the thesis is set for submission for format checking. After getting the consent of the Principal supervisor, the student should submit a soft bound copy of the thesis to the Senior Assistant Registrar (SAR) / Academic Branch with "Format Checking Request Form 1" (Annexure F). It is the SAR/ Academic Branch who submits the thesis to TFE for format checking.

The requirements that should be fulfilled prior to applying for thesis format checking are specified in Form 1.

Note: TFE is paid for format checking of thesis.

3.3 Appointing thesis format editor

A Thesis Format Editor (TFE) is appointed for each faculty with the consent of SRHDC. As the role of the TFE is to ensure that the standards and norms of the University are upheld in theses, the member does not need to be a subject expert. The term of TFE is three years for an appointment. If TFE is planning to go on leave for more than one month, he / she should inform the SRHDC in advance. SRHDC shall appoint another suitable member of the SRHDC to act in his / her absence.

4. Responsibilities of Examiners of TEP

Examiners of the thesis evaluation panel (TEP) have following major responsibilities (section 4.1 and 4.2) in thesis evaluation and thesis defence examination and, verify whether the articles published / accepted are from the content of thesis (By Laws No 01/2014).

4.1 Responsibility of TEP members in thesis evaluation

The responsibility of TEP members in thesis evaluation is to read the thesis and evaluate it in the light of their expert knowledge of the field and judge on the following.

- Originality of the work presented in the thesis.
- Compliance to the thesis expectations as specified in section 2.

4.2 Responsibility of TEP members in judging the relevance of publications / articles

The examiners are expected to make a judgement on the relevance of the articles published / accepted to the work presented in the thesis.

Note: By the time of submission of the thesis, the candidate should have articles accepted / or published from the thesis; Two abstracts for M. Phil., one full papers in refereed journals for PhD.

4.3 Responsibility of TEP members in submitting the examiner's report

Each examiner is required to submit a comprehensive report based on the two points specified under section 4.1 to the Senior Assistant Registrar of the Examination Division, WUSL.

4.4 Responsibility of TEP members in attending the thesis defence examination

Examiners are expected to attend the thesis defence examination. If an examiner is unable to be present at the thesis defence examination, the examiner should submit concerns regarding aspects specified in 4.1 and 4.2 in advance.

5. Criteria For Awarding Grades in Thesis Examination

Examiners who are appointed to the TEP of a thesis evaluate the thesis and award grades according sections 5.1 and 5.2 and the "Guideline for Thesis Examiners (GTE)". Each examiner provides a grade of "recommended" or "not recommended" by assessing whether or not the thesis fulfills the requirement for the award of the degree.

5.1 Criteria for awarding grade "recommended"

A grade of "recommended" for thesis shall be awarded under following three categories based on the level of corrections identified by the examiners (minor corrections or major corrections or no correction), provided that no high level of plagiarism (above 25%) is detected in the thesis.

- a) Recommended without corrections
- b) Recommended with minor corrections

- c) Recommended with major corrections

“Corrections” referred above are associated with following.

- improper presentation of the thesis
- improper use of language
- insufficient analysis of data.

The final grade / composite grade will be decided according to the criteria given in Table 1 (Section 5.3).

5.2 Criteria for awarding grade “not recommended”

A grade of “not recommended” should be awarded under any one of the following conditions.

- a) The revisions required are major such as the need for a new study, experimentation, or significant additional research or reformulation.
- b) The plagiarism detected in the thesis is above 25%.

Examiners are asked to indicate such sections / paragraphs of the thesis where plagiarism is detected. The final grade / composite grade will be decided according to the criteria given in Table 1 (Section 5.3).

5.3 Final / composite grade and provision to proceed to the defence examination

The grades awarded by the individual examiners for a thesis can be either identical or divided (different). In such situations, the final / composite grade of the thesis examination will be determined according to the criteria given in Table 1. The candidate should be informed of the outcome of the thesis evaluation; whether it allows proceeding to the next step of thesis examination; Thesis Defence Examination.

5.3.1 Next step to follow with the composite grade “recommended”

Under the respective provisions given in table 1, the examination process can be proceeded to the next Thesis Defence Examination. SAR / Exams shall inform it to the principal supervisor and the student. Principal supervisor should discuss with the SAR to arrange the defence examination (section 7.2).

5.3.2 Next step to follow with the composite grade “not recommended”

Under this recommendation, there is no provision (Table 1 of section 5.3) to proceed to the thesis defense examination. SAR / Exams shall inform the outcome of the thesis evaluation to the student, SRHDC, FHDC and the supervisor. Under this condition, the student has to comply with major revisions required such as the need for a new study, experimentation, or significant additional research or reformulation. Principal supervisor has to support the student to address the issues indicated by the examiners. The student should reorganize the thesis incorporating results of new studies, new experimentation etc as soon as possible in order to avoid elapse of the maximum period allocated for the completion of the degree.

5.3.3 Provision to deal with plagiarism

If “not recommended” is plagiarism based, SRHDC shall inform it to the Senate for a possible disciplinary inquiry (Sec 9).

Evaluation of Postgraduate Thesis and Appointing Examiners

Table 1: Criteria for determining the composite grade in thesis evaluation

| Grade category / combination | Grades given by individual examiners | | Composite grade to be assigned | Proceed to Thesis Defence Examination |
|------------------------------|--------------------------------------|----------------------------------|---|---------------------------------------|
| | Examiner 1 | Examiner 2 | | |
| 1 | Recommended without revisions | Recommended without revisions | Recommended without revisions | Yes |
| 2 | Recommended with minor revisions | Recommended without revisions | Recommended with minor revisions | Yes |
| 3 | Recommended with minor revisions | Recommended with minor revisions | Recommended with minor revisions | Yes |
| 4 | Recommended with minor revisions | Recommended with major revisions | Recommended with major revisions | Yes |
| 5 | Recommended with major revisions | Recommended with major revisions | Recommended with major revisions | Yes |
| 6 | Recommended without revisions | Not recommended | SRHDC shall decide about appointing a third examiner. | Based on the composite judgment |
| 7 | Recommended with minor revisions | Not recommended | SRHDC shall decide about appointing a third examiner. | Based on the composite judgment |
| 8 | Recommended with major revisions | Not recommended | Not recommended | No |
| 9 | Not recommended | Not recommended | Not recommended | No |

6. Influencing Examiners and Examination Process and Consequences

In order to strengthen independence of the examination process, once the thesis has been submitted, no one of the WUSL other than SAR / Exam should attempt to communicate with the examiners regarding the thesis, nor should examiners communicate with one another or with the student or the supervisors until the examination process is complete.

Communication regarding the thesis, in any mode, with examiners by the supervisors, student, FHDC, SRHDC after the nomination process, may lead to conflict of interest and the examination process will not proceed further. All questions regarding the defence examination should be addressed to the SAR / Examination, WUSL.

7. Examination Procedures

Thesis Examination includes two parts; Thesis Evaluation (sec 1) and Thesis Defence (sec 1). Thesis examination is proceeded to thesis defence based on the composite judgment of the Thesis Evaluation Panel (Table 1 of sec 5.3).

7.1 Thesis examination entry

The student should apply for thesis examination with the consent from the Principal Supervisor by submitting the Thesis Examination Entry Form (Annexure H) to the SAR / Academic. The application should reach the SAR /Academic at least one months prior to the projected submission of the thesis for format checking-step 1.

SRHDC considers the request for thesis examination entry when all the conditions specified in the thesis examination entry form are fulfilled. The decision of the SRHDC will be conveyed to the student within 7 days from the receipt of the request.

7.2 Selecting members to TEP

Once the request of the student for thesis examination entry is granted by the SRHDC, the FHDC will be informed by the SAR / Academic to nominate members (external examiners) to the TEP. FHDC should send the names of examiners along with the examiner nomination form (Annexure E) to the SAR / Academic within two weeks from the notification.

SRHDC recommends and further confirms the nominated examiners with the concurrence of the Senate (sec 10). However, the FHDC and SRHDC have the provision to reject nominated / suggested examiners (sec 10).

7.3 Applying for thesis format checking-step 1

The candidate should apply for thesis format checking 1 after receiving the notification of granting approval for thesis examination entry. The following documents should be submitted to the SAR / Academic for format checking 1.

- A soft bound copy of the thesis

- Duly filled thesis format checking 1 form

Guidelines for step-1 of thesis format checking are described in section 3.

7.4 Documents to be submitted by the candidate for thesis evaluation

After completing the thesis format checking 1, the candidate should submit the documents to the SAR / Exams through the SAR/ Academic (Sec 11).

7.5 Sending documents to examiners for evaluation

Examiner's thesis evaluation report form, Guideline for thesis evaluation and the documents listed in section 11.1 are sent to the examiners by the SAR / Exams for evaluation and judgment (Section 5).

7.6 Duration for thesis evaluation by examiners

Examiners are expected to complete the evaluation within two months and return the documents with the evaluation report to the SAR / Exams. In situations, where overseas examiners are involved, the evaluation process might take longer time than expected.

7.7 Thesis Defence Examination

When the examiners' reports have reached the SAR / Exams, the composite judgment will be decided according to the criteria given under Section 5.3, and accordingly steps will be taken by the SAR / Exams to proceed to the Thesis Defence Examination. Copies of examiners' reports will be made available to all members of the Thesis Defence Examination Panel (TDEP). It is the responsibility of those who are involved in the defence examination, to keep credibility in ensuring the candidate does not see the reports until the examination is over.

It is expected that supervisors will discuss with SAR / Exams on arrangements for thesis defence examination.

SAR / Exams shall seek the advice of the SRHDC in deciding the composite judgment when such situations arise as indicated in table 1 of section 5.3.

7.8 Arranging Thesis Defence Examination

It is the responsibility of SAR/Examinations to contact the examiners and arrange a time and place for the defence examination. Under any circumstances the candidate shall not involve in this matter. Thesis Defence Examination will be held at a suitable venue of the relevant Faculty. Faculties should make sure to provide necessary facilities including refreshments to conduct the examination. The SAR/Examinations shall notify to the public about the Thesis Defence Examination at least 7 days prior to the defence.

7.9 Documents that a candidate receive after the defense examination

The following documents should be given to the candidate after the defence examination.

- a) Copies of relevant sections of thesis evaluation reports of TEP.
- b) All available copies of the thesis.
- c) Written overall comments of the TDEP, if any.

7.10 Thesis defence examination panel (TDEP)

TDEP of thesis consists of following.

- a) Chairman of SRHDC
- b) Two / three external examiners
- c) Dean of the relevant Faculty
- d) Chairman of the Higher Degrees Committee of the relevant Faculty.

In situations, where TDEP members under categories (a), (c) and (d) are happen to be candidate's supervisors, the Senate on the recommendation of SRHDC will appoint new members to TDEP.

7.11 Chair of the thesis defence examination

The chairman of the SRHDC chairs the thesis defence examination (By-Laws). The role of the chair is to command proper conduct of the defence examination, to ensure adherence to the By-Laws, and to report any examination misconduct to the Senate. The chairman shall allow the presentation to be witnessed by guests, and shall permit a reasonable time for such guests to ask questions from the candidate before the closed-door examination by the appointed examiners.

7.12 Thesis defence by video-conferencing

WUSL provides the option of video-conferencing facility to conduct thesis defence examination. If a defence examination by video-conferencing is required, the candidate / supervisor should make a written request to the SAR / Exams.

The video conferencing facility can be made available in the following situations provided that the person who requests the facility ensures the availability of such facility at the other terminal from where the examiner / candidate propose to join the defence examination.

- a) Candidate is currently living outside Sri Lanka and not able to come to Sri Lanka due to acceptable reasons such as matters related to visa.
- b) Candidate engaged in a foreign assignment with the concurrence of the SRHDC for a duration of more than one year of which more than 6 months to go from the scheduled date of defence examination.
- c) Examiners are living in a foreign country and willing to join the defence examination by video conferencing.

Note: This facility will not be made available for students who live and work in Sri Lanka and who have gone abroad for a short period of time (less than six months).

7.13 Video-conferencing fee

An extra fee of providing video-conferencing facility has to be paid by the candidate in advance. The defence examination will not be conducted until the fee has been paid, if the video conferencing facility has been requested.

7.14 Presentation by the candidate

Prior to the defence examination, the candidate should make a presentation on his / her thesis.

7.15 Presence of supervisors at defence examination

The supervisors are invited to be present at the defence examination room as observers. This custom is practised in the university irrespective of the field of study.

8. Submission of Final Version of the Thesis

If the candidate passes the thesis examination (both the thesis evaluation and the defence), the next step is to submit a soft bound copy of the thesis to SAR / Exams after incorporating corrections suggested by the TDEP.

The candidate must consult the supervisor or other individuals referred / designated by the TDEP for making corrections.

8.1 Thesis format checking-step 2

Thesis format checking-step 2 is the final format checking has to be done on the thesis after a successful completion of the thesis defence. SAR / Exams should send the soft bound copy to the TFE of the thesis to ensure that the WUSL standards and norms are upheld.

TFE decides on the acceptability of the thesis for final submission as follows.

- a) Thesis is in 'acceptable' form to present in final hard bound form.
- b) Thesis needs minor formatting. Thesis can be presented in final hard bound form after adhering to the minor corrections.
- c) Thesis is not in acceptable form to present in final hard bound form. The candidate has to rearrange the thesis according to Thesis Preparation Guide (TPG) and resubmit to the TFE.

Supervisor/s has to certify that the suggested revisions have been properly attended before submitting the final thesis. The final hard bound thesis should be submitted to the SAR / Exams in four copies.

Note: The effective date of the degree qualification is determined according to the By-Laws. A format checking fee has to be paid

9. Act on Plagiarism

If the grade "not recommended" awarded by an examiner is plagiarism based, SRHDC shall report it to the Senate for a possible disciplinary inquiry. In cases where plagiarism in the thesis is charged, the thesis examination cease to proceed until the case is investigated by the university and a final decision is reached.

In cases where plagiarism is suspected, the examiner must return to the SAR / Exams the thesis and a report on the suspected plagiarism, citing sources of the original material that was allegedly plagiarized.

10. Appointing Examiners

10.1 Procedure for appointment of examiners

Principal supervisor suggests suitable examiners to the FHDC. Appointment of external examiners is made with the approval of the Senate on the recommendation of the FHDC and SRHDC.

10.2 General guidelines for supervisors to follow when suggesting examiners

Examiners should have expertise in the topic or / and methodology of the thesis and should be able to make independent judgments on the thesis. In addition to examiners' expertise, the following matters should be considered.

- a) Consider suggesting senior experienced academic/s as one examiner in situations, where a relatively junior academic with little experience as an examiner is suggested as the other examiner.
- b) Consider suggesting independent examiners (Specific guidelines are provided below).
- c) Maintaining diversity among the examiners suggested.
- d) Steps should be taken to avoid the overuse of the same examiners, and especially the same combination of examiners frequently.
- e) Consider making a clear case for the choice of particular examiners. The supervisor should give specific reasons for the choice of that particular examiner in relation to his/her particular academic expertise.
- f) Verify whether there are any academic and / or personal connections between a student and an examiner.
- g) Consider previous experience of examiners in examining MPhil and PhD theses.
- h) Consider associated travel costs when nominating an examiner from overseas (See section 1.3).
- i) Consider not to suggest both examiners from the same institution.

10.3 Eligibility criteria for selecting examiners

Examiners are experts of the relevant discipline other than the academics of WUSL. The following eligibility criteria are applied when selecting an examiner.

An examiner must;

- a) hold a doctoral degree or equivalent from a recognized university.
- b) be a scholar of established reputation and competence in the field of the thesis research.
(Both examiners should be experts in the scope of the thesis)
- c) have experience of supervising M. Phil and / or PhD students.
- d) not be in conflict of interest as specified in Annexure C.

10.4 Responsibility of suggesting examiners

It is the responsibility of the Principal supervisor to suggest examiners. All supervisor(s) and FHDC must agree on the names listed for examiners at least 10 weeks before the expected date of thesis submission. The Principal supervisor must confirm that the examiners are willing to serve prior to submission.

10.5 Submitting the “examiner nomination form”

Principal supervisor should fill the examiner nomination form for each nominee and submit to the FHDC with a copy of a three-page-summary of the thesis (section 10.7). FHDC submit these documents to the SRHDC with its recommendation and observations at least 8 weeks before the expected date of thesis submission for evaluation.

Office of SRHDC will return any incomplete forms to the supervisor, which may cause delays to the examination process. Supervisors are therefore advised to provide full information in all sections of the form.

The following basic details of the nominee should be provided.

- Title (Professor, Dr, etc), name and full address.
- Expertise in relation to the thesis.
- Experience of M.Phil. and PhD examining (if none, the Supervisor should state the nominated examiner’s experience of PhD supervision).
- Any connections with the candidate and/or the supervisor (these may be professional, academic or personal connections);
- A statement indicating the reasons for the nominations of an examiner from overseas.

10.6 Three-page summary of the thesis

The three-page summary of the thesis itself is the candidate’s description of thesis. FHDC will not be able to adequately consider the suitability of the examiners without the description of thesis.

10.7 Provision to reject nomination of examiners

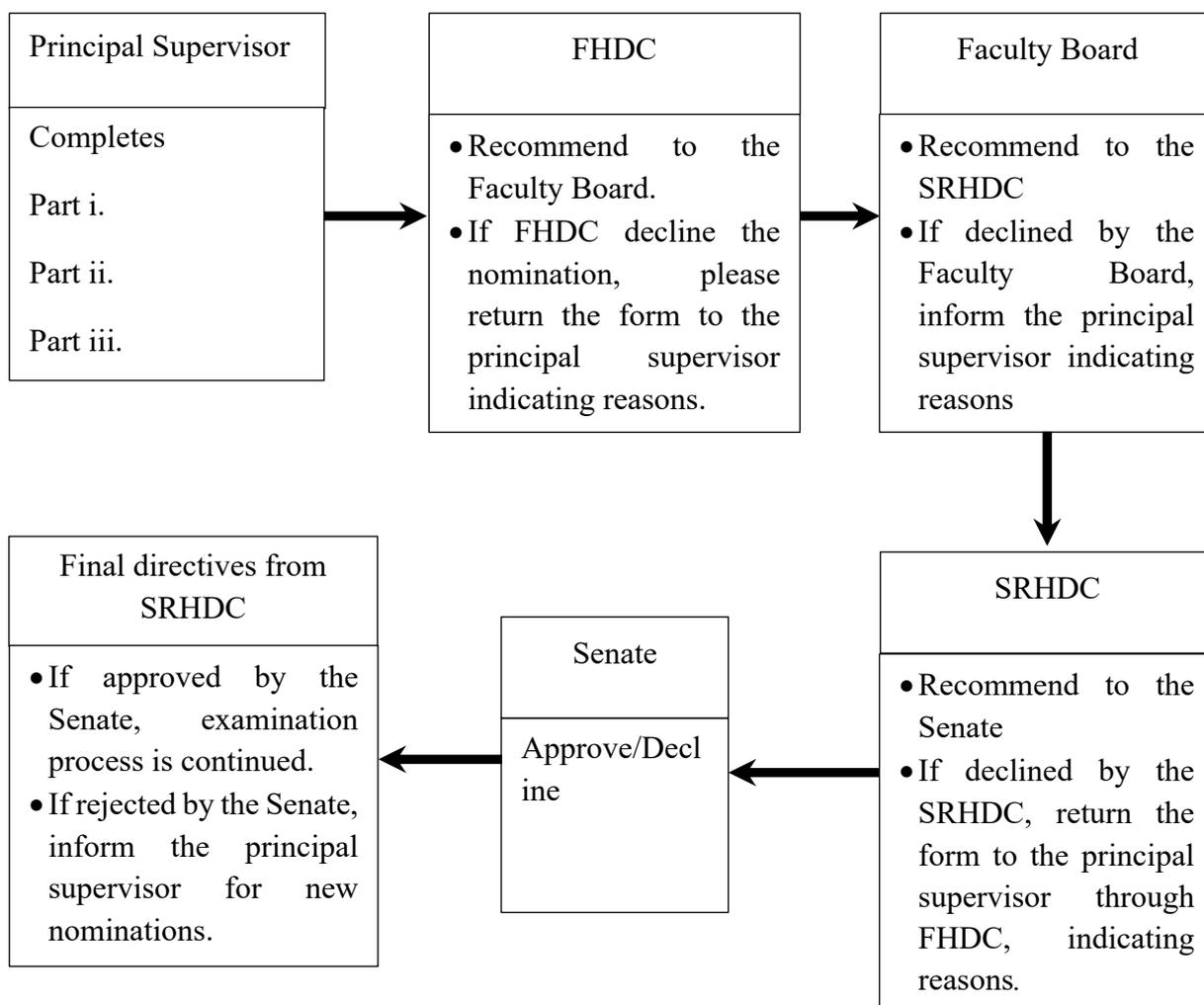
FHDC and SRHDC have the provision to reject nominations of examiners on the following grounds.

- a) Candidate is offered a job from the same academic department as the external examiner is affiliated.
- b) An examiner has been offered a job by WUSL.

10.8 Submitting new nominations of examiners

If FHDC or SRHDC rejected the original examiner nominations, new nominations should be made. The examination entry form should therefore be completed and submitted to the FHDC at least two months in advance of the thesis being submitted to allow sufficient time for the process to be completed so that once the thesis has been received it can be sent immediately to the examiners.

10.9 Overview of Nomination Process



11. Submission of Thesis and Other Documents for Evaluation

11.1 Documents to be submitted

The following documents should be submitted to the SAR / Exams through the SAR / Academic.

- Three copies of the thesis with the declaration signed by the student and all supervisors.
- Thesis submission form signed by the student and the supervisors.
- Certified copies of publications or/and letters of acceptance for publications made from thesis.
- Duly filled “Check list of documents” signed by the student.
- Three-page summary of the thesis

11.2 Who and where to submit

It is the candidate who should submit all the above documents (*Section 11.1*) to the Office of the SAR / Exams through the SAR / Academic.

11.3 Accepting and acknowledging the receipt of documents

All the documents should be submitted together. No partial submission of documents is entertained under any circumstances. Submission should be made by the candidate the SAR / Exams through the SAR / Academic SAR / Academic will accept the documents if all the following conditions are fulfilled.

- a) Thesis submission form signed by the student.
- b) Thesis submission form signed by the supervisors.
- c) Submission of three copies of the thesis with the declaration of student and the supervisors.
- d) Submission of certified copies of publications or / and letters of acceptance of publications made out of the thesis.

SAR / Academic will issue an acknowledgement receipt at acceptance of the document.

In situations where the SAR / Academic has not accepted the document/s, the candidate has to follow the procedure and resubmit the thesis along with other documents and duly filled forms/s; in such situations, the submission date is referred to the new submission date.

12. Annexure A: Points to be addressed by the supervisor in order to judge on any situations of conflict interest before nominating an examiner

It is the responsibility of the supervisor to get response to the following questions from the potential examiner. Any potential examiner who responds 'yes' to any of the following questions would be considered to be in conflict of interest.

Questions that the potential examiner respond with "Yes" or "No"

- a) Have you co-authored any publication with the student?
- b) Have you co-authored any publication with the student's supervisor?
- c) Have you carried out research in collaboration with the student (within the last five years)?
- d) Have you carried out research in collaboration with the student's supervisor (within the last five years)?
- e) Are you presently carrying out research in collaboration with the student?
- f) Are you presently carrying out research in collaboration with the student's supervisors?
- g) Do you knowingly have a financial interest in an entity that could benefit from the thesis research?
- h) Have you previously read the thesis, or parts of it, or evaluated the student's thesis research (e.g., as an advisor, as a member of supervisory team / FHDC/ SRHDC etc)
- i) Have you previously examined or been examined by the student's supervisor (within the last five years), e.g., the former student or former supervisor of the student's supervisor?
- j) Do you have a former or pending affiliation with the WUSL?
- k) Have you held an academic appointment at WUSL within the last five years?
- l) Have you engaged in (or intend to engage in) discussions/ negotiations with the student or supervisor relating to future employment or supervision?
- m) Could your relationship with the student or supervisor appear to have a conflict of interest?

13. Annexure B: Points that supervisors should think to expedite the examination process

- a) Contact proposed examiners informally ask about their willingness to act as examiners and check their availability for the purpose. Then you submit the examiner nomination forms.
- b) Submit forms well in advance of the expected date of thesis submission, preferably four months beforehand.
- c) If any query arises as to the suitability of a proposed examiner which cannot be resolved by the FHDC, the matter should be referred to the SRHDC for a decision.
- d) Supervisors should avoid repeatedly nominating the same person as an Examiner, or nominating each other to act for the other's student within a short time frame.
- e) Discuss with the Senior Assistant Registrar of Examination about arranging the Viva voce examination

14. Annexure C: Conflict of interests that rule out appointing an expert as an examiner

- a) Examiners should not be engaged in any on-going collaborations with members of the student's supervisory team
- b) Examiners should not be currently engaged in the joint supervision of students with members of the student's supervisory team
- c) If an examiner is an ex-visitor to WUSL then they should not have worked with the student during their visit or provided the student with any feedback regarding their thesis research.
- d) If the examiner is an ex-student of the supervisor there must have been no overlap in time between the examiner (the ex-student) and the candidate being at WUSL.
- e) The candidate's supervisors or advisers.
- f) Academic staff who have taken an active role in considering a candidate's transfer of registration from the MPhil to the PhD degree are ineligible to serve as an examiner.
- g) Former members of the academic staff of WUSL who resigned.

15. Annexure D: Guide to fill the Examiner Nomination Form

Examiner nomination form must be submitted before the candidate submits his / her thesis. For each nominated examiner, a separate “examiner nomination form” should be filled.

Part (i): Details of the candidate and the principal supervisor

Part (ii): Details of thesis

Part (iii): Details of examiners

- Candidate’s supervisors should not be nominated as examiners.
- Two examiners must not be selected from the same institution.
- SRHDC approval is required for the appointment of a third examiner.
- When nominating overseas examiners, it is required to provide a supporting statement explaining why an expert cannot be from Sri Lanka.

Part (iv): Details of three recent thesis examinations undertaken by each examiner for universities

Part (v): Principal Supervisor’s declaration

Part (vi): Recommendation and approvals

- Chairman / FHDC must sign this section if he or she is satisfied that the nomination is being made in accordance with the criteria for the appointment of examiners
- SRHDC recommendation is required.
- In instances where the Chairman-FHDC is the supervisor of the candidate, the nomination and appointment form should be approved by the Dean of the Faculty.

Submission of three page summary of the thesis

The candidate is required to forward a “three page summary of the thesis” (not to exceed three pages) to the principal supervisor. Thesis summary is an overview / description of the thesis with sufficient information to judge about the expertise required for thesis examination. This summary should be prepared by the candidate.

Submission of the completed examiner nomination forms

Principal supervisor should submit all completed forms along with one copy of the thesis summary to the Office of the FHDC.

16. Annexure E: Examiner Nomination Form

| | | | |
|---|-----------------|-------------|-------------|
| Part (I): Details of Candidate and Supervisor | | | |
| Details of the Candidate | | | |
| Name with title (Rev, Prof, Dr, Ms, Mr.) : | | | |
| Department, Faculty : | | | |
| Registration Number / PG Degree : | | | |
| Title of the thesis : | | | |
| Details of the <u>Principal</u> Supervisor | | | |
| Name with title (Rev, Prof, Dr, Ms, Mr.) : | | | |
| Department, Faculty, Institution : | | | |
| Email : | | Tel : | |
| Part (II): Details of nominated examiner | | | |
| Name with title (Rev, Prof, Dr, Ms, Mr.) : | | | |
| Highest postgraduate qualification : | | | |
| Area : | | | |
| University, year : | | | |
| Present affiliation : | | | |
| Position, Department : | | | |
| Faculty, University/ Institution : | | | |
| Email : | | Telephone : | |
| Reason for appointing overseas examiner/s | | | |
| | | | |
| Part (iii): Two recent M. Phil / PhD examinations /supervision by the nominated examiner | | | |
| Examination | Title of thesis | Year | Institution |
| M. Phil / PhD | | | |
| M. Phil / PhD | | | |
| Supervision | | | |
| M. Phil/PhD | | | |

Evaluation of Postgraduate Thesis and Appointing Examiners

| | | | |
|--|--|-------|--------------|
| M. Phil/PhD | | | |
| Part (iv): First-supervisor's declaration | | | |
| I confirm that the examiners are nominated according to WUSL criteria for appointment of research degree examiners. | | | |
| Signature of Supervisor: | | | Date: |
| Part (v): Recommendation and approvals (<i>If not recommended, please return the form to the supervisor indicating reasons for not recommending.</i>) | | | |
| <u>Recommendation of the FHDC:</u> Recommended / Not recommended | | | |
| Signature of Chairman, FHDC: | | | Date: |
| <u>Approval of the SRHDC:</u> Approved / Not approved | | | |
| Signature of Secretary, SRHDC: | | Date: | SRHDC Mt No: |
| <u>Approval of the Senate:</u> <i>Approved / Not approved (Senate Mt. No.)</i> | | | |
| <u>Final Directives by the SRHDC</u> | | | |
| Examination process can be taken forward with the nominated examiners | | | |

17. Annexure F: Format Checking Request Form (Step-1)

| | |
|--|--------|
| <p><i>Instructions to the candidate and supervisor</i> Along with the duly completed Format Checking Request Form (FCRF-1), the candidates should submit a draft of the thesis directly to the SAR/Exams for format checking. By the time of making the request the following conditions should be fulfilled; The candidate's should have duly maintained registration at WUSL. (Registration has been renewed and no suspension in progress, maximum duration allowed for completion the degree has not elapsed. The candidate should have paid all fees to the WUSL (no outstanding fees)</p> | |
| Part (i): Candidates details (To be filled by the candidate) | |
| Name of the candidate | |
| Registration number | |
| Thesis Title (As approved by the Senate) | |
| Degree Programme (MPhil/ PhD) | |
| Enrolment year (Month, Year) | |
| Department / Faculty | |
| Subject Area | |
| <p>I hereby declare that; the submitted work is my own work completed during the candidature for the degree stated above. my postgraduate registration at WUSL is continued/ renewed I have paid fees (no outstanding fees).</p> <p>Signature of the candidate: _____ Date: _____</p> | |
| Part (ii): Principal Supervisor's declaration (To be filled by the principal supervisor) | |
| <p>I hereby give my consent for format checking of the draft of the above detailed thesis. I also confirm that the work presented in the thesis is candidate's own work.</p> | |
| Email: | Phone: |
| <p>Name and signature of Principal Supervisor _____ Date _____</p> | |
| Part (iii): Acceptance by SAR / Exams | |
| Request is accepted / not accepted | |
| <p>If not accepted, indicate under what condition/s (above a, b) it was not accepted.</p> | |
| <p>The draft thesis along with the draft thesis was forwarded to the Thesis Format Editor (TFE) for format checking / the candidate for resubmission after fulfilling all conditions.</p> | |
| <p>Signature of the SAR / Exams _____ Date: _____</p> | |
| Part (iii) Recommendation of the TEF (Tick the appropriate box) | |

Evaluation of Postgraduate Thesis and Appointing Examiners

| | |
|---|-------|
| Thesis is in 'acceptable' form and it can be submitted to the examiners in its present form. | |
| Thesis needs minor formatting. Thesis can be submitted to the examiners after adhering to the minor corrections in consultation with the First-supervisor. | |
| Thesis is not in acceptable form to be submitted to the examiners. The candidate has to rearrange the thesis according to TPG and resubmit to the TFE. | |
| TEF should submit the draft thesis and the form to the SAR / Exams | |
| Name and the signature of TFE | Date |
| Part (iv): Directives to candidate by SAR / Exams | |
| <p>The candidate should proceed according to the recommendation given in Part (iii).</p> <p>Recommendation (a): Submit three soft bound copies.</p> <p>Recommendation (b): Submit three soft bound copies after incorporating minor corrections.</p> <p>Recommendation (c): Resubmit a draft thesis for format checking after rearranging. A new form has to be submitted</p> | |
| Signature of the SAR / Exams | Date: |

18. Annexure G: Format Checking Request Form (Step-2)

| | |
|--|--------|
| <p><i>Instructions to the candidate and supervisor</i> <i>This is the final format checking and it verifies whether the suggestions made by the Thesis Defence Examination Panel are appropriately adhered in the final version of the thesis. The request for final format checking should be made to the SAR / Exams by submitting a soft bound of the thesis along with a duly filled form (FCRF-2). By the time of making the request the following conditions should be fulfilled;</i> <i>The candidate's should have duly maintained registration at WUSL. (Registration has been renewed and no suspension in progress, maximum duration allowed for completion the degree has not elapsed.</i> <i>The candidate should have paid all fees to the WUSL (no outstanding fees)</i></p> | |
| <p>Part (i): Candidates details (To be filled by the candidate)</p> | |
| Name of the candidate | |
| Registration number | |
| Thesis Title (As approved by the Senate) | |
| Degree Programme (MPhil/ PhD) | |
| Enrolment year (Month, Year) | |
| Department / Faculty | |
| Subject Area | |
| <p>I hereby declare that; the suggestions of TDEP have been incorporated in the copy of the thesis submitted herewith. my postgraduate registration at WUSL is continued/ renewed. I have paid fees (no outstanding fees).</p> | |
| Signature of the candidate: | Date: |
| <p>Part (ii): Principal Supervisor's declaration (To be filled by the principal supervisor)</p> | |
| <p>I hereby certify that the candidate made the correction after discussing with me.</p> | |
| Email: | Phone: |
| Name and signature of Principal Supervisor | Date |
| <p>Part (iii): Acceptance by SAR / Exams</p> | |
| The request for final checking is accepted / not accepted | |
| <p>If not accepted, indicate under which condition/s above (above a, b) it was not accepted.</p> | |
| <p>The thesis along with the form was forwarded to the Thesis Format Editor (TFE) for final format checking / the candidate for resubmission after fulfilling all conditions.</p> | |
| Name & signature of the SAR / Exams | Date: |
| <p>Part (iii) Recommendation of the TEF (Tick the appropriate box)</p> | |

Evaluation of Postgraduate Thesis and Appointing Examiners

| | |
|--|-------|
| TFE decides on the acceptability of the thesis for final submission as follows. | |
| Thesis is in 'acceptable' form to present in final hard bound form. | |
| Thesis can be presented in final hard bound form after adhering to the minor corrections. | |
| Thesis is not in acceptable form to present in final hard bound form. The candidate has to rearrange the thesis according to TPG and resubmit to the TFE. | |
| TEF should submit the draft thesis and the form to the SAR / Exams | |
| | |
| Name and the signature of TFE | Date |
| Part (iv): Directives to candidate by SAR / Exams | |
| <p>The candidate should proceed according to the recommendation given in Part (iii). Recommendation (a): Submit three hard bound copies of thesis (Final version). Recommendation (b): Submit three hard bound copies after making minor corrections (Final version). Recommendation (c): Rearrange and resubmit a draft thesis for final format checking. A new form has to be submitted</p> | |
| Signature of the SAR / Exams | Date: |

19. Annexure H: Thesis examination entry form

Instruction to candidates and supervisors
 The candidates should request for thesis examination by submitting four copies of the format-checked thesis along the completed thesis examination entry form (TEEF) directly to the SAR/ Exams. Request is accepted if all the following additional conditions are fulfilled.
 Submission of two certified copies of two published/ accepted articles made from the thesis research work of which the candidate should be the first author of these publications)
 Candidate should have passed the course modules prescribed by the SRHDC.
 By the time of making the request, candidate should have a duly maintained registration at WUSL. (no suspension in progress, maximum duration allowed for completion the degree has not elapsed).
 Candidate should have paid all fees to the WUSL (no outstanding fees)

| | |
|--|--------|
| Part (i): Candidates details (To be filled by the candidate) | |
| Name of the candidate and registration no. | |
| Thesis Title (As approved by the Senate) | |
| Degree Programme (MPhil/ PhD) | |
| Enrolment year (Month, Year) | |
| Department / Faculty | |
| Subject Area | |
| <p>I hereby declare that the submitted work is my own work completed during the candidature for the degree stated above, and I have not obtained a degree elsewhere on the basis of the research presented in this submitted work. Where the submitted work is based on work done by myself jointly with others, I certify that a substantial part is my own original work, the extent of which is indicated in the title page of the submitted work. Further, I declare that; (i) I have not enrolled for degree programmes elsewhere during my candidature at WUSL. I am aware that my request for thesis examination will not be accepted by the university if the above conditions (a, b, c, and d) are not fulfilled.</p> | |
| Signature of the candidate: | Date: |
| Part (ii): Principal Supervisor's declaration (To be filled by the principal supervisor) | |
| <p>I hereby give my consent for thesis examination of the above detailed thesis. I also confirm that the work presented in the thesis is candidate's own work and has completed the minimum registration period for the degree programme.</p> | |
| Email: | Phone: |
| Name and signature of Principal Supervisor: | Date: |
| Part (iii): Acceptance by the SAR / Exams | |
| Request for thesis examination is accepted / not accepted | |
| <p>If accepted, inform the Faculty Higher Degrees Committee to nominate examiners for thesis evaluation and thesis defence.</p> | |
| <p>If not accepted, inform the candidate indicating under which condition/s (above a, b, c, and d) it was not accepted. Resubmission is required.</p> | |
| <p>SAR / Exams shall inform the outcome of the above step (Part (iii)) and seeks advice of SRHDC in situations of conflicts.</p> | |
| Signature of SAR / Exams | Date: |

Course Fee Structure for Postgraduate Research Degree Programs

Senate Research and Higher Degrees Committee
Wayamba University of Sri Lanka

Effective Date: 26/05/2022

| | Type of Fee | Duration | Ph.D. (Rs.) | M.Phil. (Rs.) |
|----|---------------------------------------|-----------------------------------|-------------|---------------|
| 1 | Application Processing | - | 6,000 | 6,000 |
| 2 | Registration | Per Year | 5,000 | 5,000 |
| 3 | Administration | Per Year | 5,000 | 5,000 |
| 4 | Supervision | Per Year | 25,000 | 25,000 |
| 5 | Facility* | Per Year | 25,000 | 25,000 |
| 6 | Examination | Per Attempt | 50,000 | 45,000 |
| 7 | ICT | Per Year | 2,000 | 2,000 |
| 8 | Welfare & Health | Per year | 1,000 | 1,000 |
| 9 | Conference / Publication | Per Year | 5,000 | 5,000 |
| 10 | Library | Per Year | 1,000 | 1,000 |
| 11 | Library Deposit (Refundable)** | One Time at Registration | 3,000 | 3,000 |
| 12 | Registration Re-Activation | Along with Request to Re-activate | 10,000 | 10,000 |
| 13 | Program Upgrade From M.Phil. to Ph.D. | Along with Request to Upgrade | - | 20,000 |
| 14 | Compulsory Courses/Workshops | Per Year | 5,000 | 5,000 |

* Facility Fee does not include stationery, travelling, consumables or research expenses

** Library Deposit should be paid separately from other fees.