



COMMISSION FOR UNIVERSITY EDUCATION

REPORT

ON

***THE FINDINGS OF THE INQUIRY INTO DOCTOR OF
PHILOSOPHY DEGREES***

OF

**JOMO KENYATTA UNIVERSITY OF AGRICULTURE AND
TECHNOLOGY AWARDED DURING THE 31ST, 32ND AND 33RD
GRADUATION CEREMONY**

UNDERTAKEN ON 25 – 26 JUNE 2019

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ACRONYMS/ABBREVIATIONS

BPS	Board of Postgraduate Studies
COANRE	College of Agricultural and Natural Resources
CoD	Chair of Department
COETEC	College of Engineering and Technology
COHES	College of Health Sciences
COHRED	College of Human Resource Development
COPAS	College of Pure and Applied Science
DVC	Deputy Vice Chancellor
ETLM	Entrepreneurship, Technology, Leadership and Management
IBR	Institute of Biotechnology Research
IEET	Institute of Energy and Environmental Technology
JKUAT	Jomo Kenyatta University of Agriculture and Technology
PAUSTI	Pan African University Institute for Basic Sciences, Technology and Innovation
TUM	Technical University of Mombasa

Chapter One

INTRODUCTION

1.1 Background

The Commission for University Education (CUE) is established under the Universities Act No. 42 of 2012, Revised Edition 2018 [2012] (hereafter The University Act) as the internationally recognized National Quality Assurance Agency for university education in Kenya. The Commission's functions are spelt out in Sections 5 and 5A of The University Act include the following:

Section 5 (1) the functions of the Commission shall be to-

- 5 (1) (a). Promote the objectives of university education;
- 5 (1) (b). Advise the Cabinet Secretary on policy relating to university education;
- 5 (1) (h). Undertake or cause to be undertaken, regular inspections, monitoring and evaluation of universities to ensure compliance with the provisions of The Act or any other regulations made under section 70;
- 5 (1) (i). Collect, disseminate and maintain data on university education;
- 5 (1) (k). Regulate University Education in Kenya; and
- 5 (1) (m). Promote quality research and innovation.

In the exercise of its mandate and stipulated functions, the Commission conducts Quality Assurance activities in Universities, University Constituent Colleges and University Campuses established in Kenya in line with The University Act; Universities Regulations, 2014; and the Universities Standards and Guidelines, 2014 university. Under Regulation 18 of the Universities Regulations, 2014, the Commission may carry out an Audit on any institution as and when it is deemed necessary. This report is on an Audit of the Quality of PhDs awarded during the 31st, 32nd and 33rd Graduation Ceremonies of JKUCAT.

1.2 Rationale to the inquiry on PhDs

Jomo Kenyatta University of Agriculture and Technology has held 33 graduation ceremonies, the most recent being the 33rd Graduation Ceremony held on 21st June 2019, during which a total of 118 graduates were conferred with PhD degrees. The inordinately high number of PhD awards, particularly in the College of Human Resource Development (COHRED) became a matter of public interest. On the part of the Commission for University Education, the Quality Audit Panel that carried out the Regular Institutional Quality Audit of JKUAT on 23 – 27th July 2018 flagged out an issue on supervision of PhDs in the same College (COHRED) due to violation of PROG/STD/17(6) of the Universities Standards and Guidelines, 2014 which guides that the maximum number of students an academic staff shall supervise in any given academic year shall be 3 for PhD and 5 for Masters degrees.. This was captured as a weakness on Pages 10 of 26 and 11 of 26 of the Exit Report signed on Friday, 27th July, 2018. More recently there has been public

oucry on the quality of doctoral degrees conferred by the university especially during the 33rd graduation ceremony. It is against this background that the Commission set out to gather evidence on any progress made in addressing the weakness from the University.

1.3 Composition of the Inquiry Team

The Team that carried out the inquiry comprised six (6) members as follows:

- | | |
|--------------------------|---|
| 1. Prof. Jackson K. Too | Senior ACS, Head of Research & Development (Chairman) |
| 2. Mr. Isaac K. Gathirwa | Chief Legal Officer, Head of Legal & Enforcement |
| 3. Prof. Marcella Mwaka | Senior ACS, Head of Programme Accreditation |
| 4. Mr. Joseph Musyoki | Senior ACS, Head of Institutional Accreditation |
| 5. Mrs Lynette G. Kisaka | Senior ACS, Head of Quality Audit |
| 6. Ms Claris Adoyo | Research Officer |

1.4 Scope and approach

The Terms of Reference for the Inquiry into the PhD Degrees were to inspect, audit and collect evidence on compliance or non-compliance with regulations and standards with regard to:

1. Signing of PhD Theses
2. Ratification of Oral Examination by the Board of Post Graduate Studies
3. Senate approval of candidates for graduation
4. Reports of Internal or External Examiners
5. Annual Progress Reports of Supervisors
6. Profile of the PhD graduate and details of theses
7. Profile of Supervisors
8. Fulltime to part-time academic staff ratio, academic to non-academic staff ratio and workload analysis

The inquiry into the PhDs was based on data contained in graduation booklets for the 31st, 32nd and 33rd congregations of June 2018, November 2018 and June 2019, respectively. The process entailed perusal of documents including PhD theses, student Reports, reports of internal and external supervisors, Minutes of Meetings of the Board of Post-graduate Studies, Minutes of Senate, Publications and authenticity of Journals, student profiles, and profiles of supervisors; and interrogation of concerned academic and administrative staff.

1.5 Brief description of the University

Jomo Kenyatta University of Agriculture and Technology (JKUAT) is organised into the following five (5) Colleges and two (2) Institutes:

- i) College of Pure and Applied Sciences (COPAS)
- ii) College of Engineering and Technology (COETEC)
- iii) College of Health Sciences (COHES)
- iv) College of Human Resource Development (COHRED)
- v) College of Agricultural and Natural Resources (COANRE)

- vi) Institute of Biotechnology Research (IBR)
- vii) Institute of Energy and Environmental Technology IEET

The University also hosts the Pan African University Institute for Basic Sciences, Technology and Innovation (PAUSTI)

JKUAT has campuses in; Nairobi CBD, Karen Campus, Mombasa CBD, Nakuru CBD, Eldoret CBD, Kitale CBD, Kakamega CBD, and Kisii CBD. Until recently, there were campuses in Arusha CBD, Kigali CBD, and in Westlands, Nairobi.

1.5.1 Vision

A University of Global Excellence in Training, Research, Innovation and Entrepreneurship for Development

1.6 Process adopted by the Inquiry Team

The Team's activities included:

1. A courtesy call on the Vice Chancellor,
The Team was well received by the Acting Deputy Vice Chancellor, Academic Affairs.
2. Meeting with the relevant University Officials as follows:
 - i. Acting Deputy Vice Chancellor, Academic Affairs (DVC-AA),
 - ii. Principal, College of Pure and Applied Sciences (COPAS)
 - iii. Acting Principal, College of Engineering and Technology (COETEC)
 - iv. Principal, College of Human Resource Development (COHRED)
 - v. Principal, College of Agricultural and Natural Resources (COANRE)
 - vi. Dean, School of Business
 - vii. Director, Board of Postgraduate Studies (BPS)
3. Perusal of documents (Theses, student files, Minutes of relevant meetings, among others)

1.7 Focus of the Quality Audit

The Audit was specific to the PhD degrees awarded during the 33rd graduation on 21st June 2019, the 32nd graduation held in November 2018 and the 31st graduation held in June 2018. Based on the *Input – Process – Output* model of quality assurance, the inquiry focused on the following key areas:

1. Student Enrolment into PhD programmes with emphasis on adherence to minimum admission requirements (PROG/STD/09 - 4).
2. Student progression
3. Quality of supervision (PROG/STD/17 - 6)
4. Integrity of the examination process and graduation requirements
5. Publications of research findings (PROG/STD/02 – 4g)
6. Award of degrees with emphasis on adherence to minimum standards on instructional hours and workload (PROG/STD/092 - 4).

1.8 Data on PhD and Master's degrees awarded during the period under review

A total of 327 PhD degrees and 2,101 master's degrees were awarded during the 31st, 32nd and 33rd graduation ceremonies held in June 2018, November 2018, and June 2019, respectively. The distribution of PhDs per School/Institute is summarised in Table 1.

Table 1: The PhD awards in June 2018, November 2018 and June 2019

S. NO	COLLEGE /INSTITUTE	33 rd Graduation			32 nd Graduation			31 st Graduation			Overall Total			Per cent
		M	F	Total	M	F	Total	M	F	Total	M	F	Total	
1.	College of Human Resource Development (COHRED)	66	23	89	54	23	77	52	23	75	172	69	241	73.7%
2.	College of Health Sciences (COHES)	6	4	10	6	6	12	3	1	4	15	11	26	8.0%
3.	College of Pure and Applied Science (COPAS)	7	0	7	5	2	7	2	0	2	14	2	16	4.9%
4.	Institute of Biotechnology Research (IBR)	1	0	1				2	0	2	3	0	3	0.9%
5.	Institute of Energy and Environmental Technology (IET)	1	0	1							1	0	1	0.3%
6.	College of Engineering and Technology (COETEC)	4	0	4	0	0	0	2	1	3	6	1	7	2.1%
7.	College of Agricultural and Natural Resources (COANRE)	1	5	6	2	1	3	3	2	5	6	8	14	4.3%
Sub-Total (without PAUSTI)		86	32	118	67	32	99	64	27	91	117	91	308	
8.	Pan African University Institute for Basic Sciences, Technology and Innovation (PAUSTI)				4	1	5	10	4	14	14	5	19	5.8%
GRAND TOTAL		86	32	118	68	32	104	74	31	105	217	91	327	100.0 %

(Figures sourced from relevant Graduation Booklets on JKUAT Website www.jkuat.ac.ke accessed on 24 June 2019 and Documents availed by the University to the Inquiry Team)

From Table 1 above, 281 (91.2%) of the PhDs awarded were from the following three Colleges:

- i. College of Human Resource and Development (CoHRED), 241 (73.7%);
- ii. College of Health Sciences (COHES), 26 (8.0%); and
- iii. College of Agricultural and Natural Resources (COANRE), 14 (4.3%)

The distribution of master's degrees in these three Colleges during the three graduations is shown in Table 2.

Table 2: Master's Degrees June 2018 – June 2019

Congregation	Overall Total	Number and Percentage per College		
		No. COHRED	COHES	COANRE
33 rd - June 2019	661	540 (81.7%)	35 (5.2%)	8 (1.2%)
32 nd - November 2018	709	593 (83.6%)	36 (5.0%)	9 (1.1%)
31 st - June 2018	731	621 (84.9%)	36 (4.9%)	6 (0.8%)

Total	2,101	1,754 (83.5%)	107 (5.1%)	23 (1.1%)	
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Besides graduating 281 (91.2%) of the PhDs, the three Colleges also graduated 1,884 (89.7%) out of a total of 2,101 Master's degrees awarded during the three graduations three graduations under review.

CHAPTER TWO

FINDINGS OF THE INQUIRY

This chapter presents findings of an inquiry into the following areas:

2.1 PhD training process

2.1.1 Admission

The University has an admission procedure clearly stipulated in the University Statutes duly approved by the Council, which the University adheres to. All the PhD students sampled were found to have been admitted into the PhD programme on the basis of a Master's qualification as per the provision of Universities Standards and Guidelines, 2014(PROG/STD/09). However, it was observed that in some instances, e.g. in the case of Ref No. HD433-C004/2446/11, students admitted for PhD did not have relevant academic Bachelor's degree for admission into Master's programme as per the above Standard. Though, the students may have graduated with a Master's degree from a different institution it is incumbent upon the Institution admitting the student for PhD to confirm adherence to Standards.

2.1.2 Location of training

148 (48.1%) of the 308 PhD degrees awarded during the three graduation ceremonies conducted in June 2018, November 2018, and June 2019 were enrolled in campuses other than the Main Campus, as shown in Table 3.

Table 3: PhD training in Campuses

S.No	Campus	Graduates			Total per Campus
		33 rd (June 2019)	32 nd (Nov. 2018)	31 st (June 2018)	
1.	Main Campus	60	50	50	160
2.	Nairobi CBD	17	26	6	49
3.	Mombasa CBD	11	5	7	23
4.	Nakuru CBD	5	2	13	20
5.	Westlands	12	7	7	26
6.	Kitale CBD	1	3	4	8
7.	Karen	6	4	1	11
8.	Kakamega	2	1	1	4
9.	Kisii	1	0	2	3
10.	Kigali CBD	3	1	0	4
TOTAL		118	99	91	308

Two campuses sampled did not meet minimum standards on adequacy of academic staff as described in the section following

Mombasa CBD Campus

Post-graduate student enrolment in Mombasa Campus is shown in Table 4.

Table 4: Post-Graduate Student enrolment, JKUAT Mombasa Campus

S.No	Area of specialisation	Enrolment	Observations
PhD			
1.	PhD Business Administration	23	Thematic Leader is based in Juja (Hence part-time in Mombasa Campus)
2.	PhD Project Management	8	
3.	PhD Supply Chain Management	3	
Sub-Total (PhD)		34	
Master's			
4.	Master of Business Administration	76	
5.	MSc Occupational Safety and Health	13	
6.	MSc Human Resource Management	9	
7.	MSc Project Management	42	
8.	MSc Procurement and Logistics	16	
9.	MSc Public Health	20	
10.	MSc I.T.	11	
11.	MSc Finance	3	
Sub-Total (Master's)		200	
Total Enrolment (Post Graduate)		224	

Table 5: Summary of Academic Staff in Mombasa Campus by Department

Rank	Full Time	Part Time	Total	Observations and Remarks
Business Administration				
Professor	0	0	0	Professor listed as Thematic Leader is based at the Main Campus in Juja on a fulltime basis
Associate Professor	0	0	0	
Senior Lecturer	1	1	2	The Full-Time Senior Lecturer is the Campus Director
Lecturer	1	46	47	<ul style="list-style-type: none"> i. The Full-Time Lecturer is Chair of Department ii. 22 (47%) of the part-time lecturers are PhD holders, of whom a total of eleven are full-time academic staff in other universities-Technical University of Mombasa (5); Kenyatta University (3); Pwani University (2); and Moi University (1). iii. 24 (53%) of the Part-Time lectures are current PhD students of JKUAT Mombasa Campus
Sub-Total	2	49	51	FT : PT staff Ratio 0.04 : 1 (or 2 : 50)
Procurement, Supply Chain and Logistics				
Professor	0	0	0	
Associate Professor	0	0	0	
Senior Lecturer	0	0	0	
Lecturer	0	10	10	<ul style="list-style-type: none"> i. Only one (1) of the 10 part-time lecturers has a PhD ii. The Thematic Leader is Part-time iii. Seven Part-Time lecturers are continuing PhD Students of JKUAT Mombasa Campus
Sub-Total	0	10	10	No full-time staff in this Department
Entrepreneurship, Technology, Leadership and Management (ETLM)				
Professor	0	0	0	
Associate Professor	0	0	0	
Senior Lecturer	0	0	0	
Lecturer	0	10	10	<ul style="list-style-type: none"> iv. Only one (1) of the 10 part-time lecturers has a PhD v. There is no Thematic Leader vi. Nine Part-Time lecturers are continuing PhD Students, 8 of JKUAT Mombasa Campus, and one (1) of TUM
Sub-Total	0	10	10	No full-time staff in this Department

JKUAT Mombasa Campus, just like the other campuses, does not have adequate full-time staff. The critical mass of the teaching staff (supervisors) are based in the Main Campus thus putting into question the quality of training of the majority of CoHRED PhD graduates trained in satellite Campuses. Key stages in the PhD training including coursework, progress seminars and proposal development take place in Campuses.

2.1.3 Student progress

It was noted that there was a process in place for tracking students' progress, and a tool for documenting the progress of students at every stage. There was evidence of completed students' progress reports in the respective students' files. It was noted that approval of Intent to Submit was pegged on availability of duly completed progress reports. However, the comments made in some of the sampled progress reports lacked details of what students had accomplished in terms of methodology, literature review and analysis of data collected. Unqualified remarks such as well done, good progress, satisfactory etc. were prevalent. The progress report tool also required students to submit a progress report every four months but this was not fully adhered to. In some other instances, for example in the case of HD433-2087/2011 and HD433-2209/2012, all progress reports were submitted when the student was due to submit the thesis. This defeats the purpose of progress reports and is in violation of Statute No. 10 of Schedule IV (a) that requires a candidate to submit quarterly progress report.

2.2 PhD supervision

It was noted that all students had been assigned supervisors, at least 2 supervisors. There were records showing the process of assigning supervisors. This process entails;

- (i) Students proposing preferred supervisor/s for assignment by a committee constituted in the respective School.
- (ii) Discussion on proposed names by a select committee in the respective School
- (iii) Submission to Board of Postgraduate Studies (BPS) of the agreed proposed names for appointment.
- (iv) Formal appointment by Director, BPS
- (v) Correspondence to both the students and the supervisors on the appointment of the supervisors.

While the practice of students proposing preferred supervisor was considered by the University to be a good practice, this was found to be in contravention of Statute No. 16 Schedule IV (a) which provides that: *Allocation of students for supervision to academic members of staff should be done in a fair and equitable manner taking into consideration the area of specialization, funding, teaching load and other related research activities.*

2.2.1 Quality of supervision

It was observed that many of the supervisors were carrying a supervision load that is beyond the recommended threshold of 3 PhDs and 5 Masters in any given academic year that is provided under Universities Standards and Guidelines, 2014(PROG/STD/17-6). For instance, in the recent three graduations, three supervisors from CoHRED each graduated: 41; 30; 33 PhD students,

respectively. In addition, each of the three supervisors graduated 45, 106 and 72 Master's students as summarized in Table 6. The three graduations took place within a period of 12 months. The average duration of supervision was five to six years which is within normal range.

Table 6: Supervision load for sampled supervisors

	Level	Supervisor A	Supervisor B	Supervisor C
31st Graduation (June 2018)	PhD	15	7	13
	<i>Master's</i>	15	26	21
Sub-Total		30	33	34
32nd Graduation (November 2018)	PhD	11	9	9
	<i>Master's</i>	18	39	37
Sub-Total		29	48	46
33rd Graduation (June 2019)	PhD	15	14	11
	<i>Master's</i>	12	41	14
Sub-Total		27	55	25
Grant Total Number of students supervised	PhD	41	30	33
	<i>Master's</i>	45	106	72
		86	136	105

It was noted that the supervisor referred to as *Supervisor B* was the sole supervisor for the 41 Master's students he supervised in June 2019, besides supervising 14 PhD students. The 41 Master's students he supervised all by himself specialised **in ten (10) different disciplines** as follows: MBA Strategic Management (13); MSc Finance and Accounting (3); MBA Finance (6); MSc Finance (2); MSc Procurement and Logistics (8); MSc Governance and Leadership (3); MSc Human Resource Management (2); MSc Development Studies (2); MSc Finance Economics (1); and MSc Public Policy Analysis (1). *Supervisors A* and *C* supervised students in 5 and 4 different disciplines, respectively as summarised in Table 7.

Table 7: Supervisor's Area of Specialisation and Areas of master's and PhD supervised

S No.	Specialisation	<i>Supervisor A: Qualification: PhD Strategic Management (JKUAT, 1998)</i>			<i>Supervisor B: Qualification: PhD Economics (JKUAT, 2012)</i>			<i>Supervisor C: Qualification: PhD Human Resource Management (JKUAT, 2011)</i>		
		MSc /MBA	PhD	Total	MSc /MBA	PhD	Total	MSc /MBA	PhD	Total
1.	Business Administration	-	10	10	-	5 (4*)	5	-	7(3*)	7
2.	Finance	1*		1	8	6	14	6		6
3.	Human Resource Management	1	2 (1*)	3	2	2*	4		1	1

4.	Development Studies	1		1	2		2	1*		1
5.	Strategic Management	5		4	13		13	2		2
6.	Project Management	4 (3*)		4				4(1*)		4
7.	Procurement and Logistics	4(3*)		4	8		8			
8.	Entrepreneurship		3	3		1*	1		1*	1
9.	Leadership and Governance		1	1	3		3	1	4(1*)	5
10.	Finance and Accounting				3		3			
11.	Finance Economics				1		1			
12.	Public Policy Analysis				1		1			
13.	Supply Chain Management				1	1	2		1	1
14.	Monitoring and Evaluation							1		1
Total		16 (8*)	16 (1*)	32	42	15(7*)	57	15(2*)	14(5*)	29

*Note: *against a number denotes 'as second supervisor' e.g. 16(8*) means "out of the total 16, he was a second supervisor in 8 cases.*

In addition to supervising candidates at master's and PhD levels to completion, these supervisors were involved in supervising ongoing PhD students, Masters Students and teaching under-graduate students. Further some of them were holding administrative positions. This scenario compromises the quality of post graduate training and research in the university.

It is a requirement that a supervisor shall certify at the end of every three months on a prescribed Form, that the candidate has received supervision. However, there was no evidence that supervision had taken place, hence contravening Statute No. 17(ii) Schedule IV (a) and also compromising the quality of supervision. The compromised quality of supervision was evidenced by examiners' reports and defense committees reports that highlighted fundamental issues in the theses such as unclear problem statements, theoretical frameworks, research designs and objectives - issues that ordinarily ought to have been identified during supervision.

Examination process

The mode of PhD training at JKUAT is by Research or by Coursework and Thesis. For students undertaking coursework, there was evidence of examination transcripts while those pursuing the programme by research only had concept notes in their files. Similarly, there was evidence of research proposals and proposal defense reports in the students' files.

Besides successful defense of research proposals, students are required to give a minimum of four seminar presentations on a regular basis, the frequency of which shall be determined by the department. The proof of successful presentation of seminars is a mandatory requirement for submission of thesis, as per the provisions of University Statute No. 11 Schedule IV (a). However, it was observed that this critical process was not adhered to hence compromising the quality of the students' work.

Appointment of examiners

The appointment of the Board of examiners was promptly constituted immediately the students submitted their thesis. It was however observed that the size and membership of the Board of examiners did not adhere to the provisions of University Statute No. 24 Schedule IV (a) which provides that the Board of Examiners shall consist of seven members comprising of;

- (i) Dean/Director of the Faculty, School, Institute or Centre or his/her competent representative;
- (ii) An External Examiner;
- (iii) Two Internal Examiners one of whom must not have supervised the candidate;
- (iv) Two other persons competent/conversant in the discipline related to the candidate's area of research, at least one of whom should be external to the Department; and
- (v) The Director of the Board of Postgraduate Studies or a representative.

It was observed that in some cases there were as few as four members attending the oral examinations. This meant that the diversity expected to arise from the above composition was not provided during this very important examination stage of PhD training, thus putting the validity of the verdict into question.

Internal and External Examiners reports

Examination reports from both internal and external examiners were available for all the students sampled. However, it was observed that some examiners were assigned too many theses at the same time, and in other instances there was tendency to repeatedly use some specific internal and external examiners, which may have led to perfunctory preparation of reports. This observation resonates with the deliberations of a meeting held between Director, BPS and CoHRED Deans held on 12th September 2018 under Min1/9/2018. A close examination of the reports revealed lack of thorough critique of the theses submitted by students and poor articulation of the comments.

Another observation was that some examiners reports, especially in the 32nd and 31st Graduations were not duly signed, either by all or in some cases by some, for example in the case of HD411-603/2011, HD433-0019/2013, HD419-C004-1899/2013, thus putting to doubt their authenticity.

Board of Examiners reports

It is required that a comprehensive report of the Board of Examiners for the award of the final verdict of the candidate is prepared after the oral examination. However, it was observed that the reports prepared lacked detailed exposition of the students work while in other cases, the reports were not available altogether. In others, the reports identified fundamental weaknesses in the thesis yet went ahead to give a positive verdict.

It was also observed that the provisions of Statute No. 31 Schedule IV (a) were ambiguous as far as the timelines for thesis re-submission is concerned. This creates a lapse that can be abused.

Student Publications

Before the award of a doctoral degree, Universities Standard PROG/STD 02(4g) a candidate shall show proof of acceptance of publication of at least two (2) papers in refereed Journals. It was noted that all students had published at least two publications. However, it was observed that;

- (i) Most students had published in *Strategic Journal of Management* (17 papers); *International Journal of Business and Management* (10 papers), *International Journal of Economic, Commerce and Management* (11 papers), and *European Journal of Business Management and Social Science* (10 papers)
- (ii) Most students published two papers in the same Issue of a Journal, in some cases, as consecutive papers.
- (iii) Some of the Journals that the students published in were non-existent
- (iv) There was a likelihood of conflict of interest in situations where the Editorial Boards of a number of the Journals in which students published included members of Faculty at CoHRED. For example student Ref. No. HD433-C004-4069/2014 who is also a member of staff at JKUAT, published in *American Journal of Finance* ISSN 2520-0445 (Online) Vol.2 Issue 6 No. 3, pp 79-107, 2017 hosted by AJPO Journals (www.ajpojournals.org) in Kenya and whose Editorial Board includes the Principal of the CoHRED and Faculty in the Department (Note: The website has since been pulled down).

Approval of Graduation List

It was noted that out of the 118 PhD graduates of the 33rd Graduation, 112 had been approved by Senate and their names appeared in Graduation Booklet. The remaining six were administratively

approved for graduation by the Vice Chancellor on behalf of Senate and their names were also published in the Graduation Booklet.

It was observed that during the 31st, 32nd and 33rd Graduations, the admission dates of students ranged from 2005 to 2016. Some students were found to have taken too long beyond the stipulated duration for PhD programmes as per the Standard (PROG/STD 02). Further, it was observed that some students submitted their thesis based on a research which did not meet the minimum requirements on research duration. This was in violation of University Standard PROG/STD 02(4) (b) & (e). For example, in the case of Ref. No. HD412-2568/2010 the student completed their research, published, and gave *Intent to submit*, all in less than 12 months following the successful defense of the proposal.

A summary of violations and recommendations is presented in Annex 1.

CONCLUSION AND RECOMMENDATIONS

Based on the above observations, the following conclusions and recommendation are made;

Conclusions

- (i) The University adheres to Universities Standards and Guidelines, 2014 (PROG/STD/09) on Admission requirements for PhD.
- (ii) Of the 89 CoHRED PhD graduates, 58 (65%) were trained in the eight satellite campuses while the majority of qualified academic staff are based at the main campus.
- (iii) There is poor monitoring of students' progress during PhD training.
- (iv) There was non-adherence to the University Statutes in; allocation of supervisors, constitution of Board of Examiners, conduct of student seminar presentations and evidence of supervision.
- (v) There was non-adherence to the Universities Standards and Guidelines, 2014 with respect to; supervision load and duration of Research component of PhD programme (PROG/STD/02).
- (vi) In many cases the board of examiners that sat to consider the oral presentation had as few as four members and yet the University Statutes provide for at least six, putting the validity of the verdict into question.
- (vii) Most of the examination reports submitted were not comprehensive enough to improve the quality of the work of the student.

- (viii) There was no evidence of meetings between supervisors and supervisees as no record of such meetings was available.
- (ix) The Board of Examiners' reports for the oral examination identified fundamental weaknesses in the theses yet went ahead to give a verdict not consistent with the findings.
- (x) Most of the students published in Journals hosted by AJPO Journals in which a number of academic staff of CoHRED had interests.

RECOMMENDATIONS

- (i) The University should cease training PhD students in the satellite campuses for lack of adequate capacity and transfer them to the main campus in Juja.
- (ii) The University should adhere to the Universities Standards and Guidelines, 2014 on supervision of Postgraduate training and submit to the Commission for University Education a report within three months.
- (iii) The University should align their processes on PhD training to the University Statutes.
- (iv) The University should adhere to the Universities Standards and Guidelines, 2014 on duration of PhD and the Research Component.
- (v) The University should submit to the Commission for University Education evidence of the students' publication of two (2) articles in referred journals for each PhD awarded since publication of the Universities Standards and Guidelines, 2014, failure to which the non-conforming PhDs shall be recalled until the graduation requirement is fulfilled.

WAY FORWARD

In view of these findings; the University Senate should meet to review the 118 PhD awards during the 33rd Graduation ceremony held on 21st June 2019 and make decisions on the issues raised in this report and report back to CUE within three months. Further the University Senate should extend the review to all PhDs awarded by the University since the coming into force of the Universities Standards and Guidelines, 2014.

ANNEX 1:

FINDINGS AND RECOMMENDATIONS ON NON-COMPLIANCE WITH LEGAL PROVISIONS AND/OR NON-CONFORMANCE TO STANDARDS AND GUIDELINES PURSUANT TO THE UNIVERSITIES ACT NO. 42 OF 2012; UNIVERSITIES REGULATIONS 2014; AND THE UNIVERSITIES STANDARDS AND GUIDELINES 2014 WITH RESPECT TO PHD DEGREE AWARDS.

ASPECT OF INQUIRY	FINDINGS	RECOMMENDATION
1. Student Enrolment into PhD programmes with emphasis on adherence to minimum admission requirements (PROG/STD/09).		
<p>PROG/STD/09</p> <p><i>Minimum admission requirements shall be provided for every academic programme in line with nationally accepted admission requirements.</i></p> <p>Note:</p> <p>Master's:</p> <ul style="list-style-type: none"> • Relevant academic bachelor's degree holders; • Relevant postgraduate diploma. <p>PhD: Relevant Master's</p>	<p>All the PhD students sampled were admitted into the PhD programme on the basis of a Master's degree as per the provision of Universities Standards and Guidelines, 2014(PROG/STD/09). However, in some instances, e.g. in the case of Ref No. HD433-C004/2446/11, students were admitted for PhD based on Masters degrees without relevant academic Bachelor's degree</p>	<p>The University should ensure that the Master's degrees accepted for admission into PhD programmes conform to minimum Standards on admission requirements as provided Universities Standards and Guidelines, 2014(PROG/STD/09-3).</p>
2. Training in Campuses: The Universities Act No. 42 (Revised 2018) [2012], section 20 (1) (d); Universities Regulations, 2014, Part V Part VI on establishment of campuses; INST/STD/13)		
<p>i. The Universities Act, No 42 of 2012 Section 20 (1)</p> <p>A university granted a Charter in accordance with section 19 may —</p> <p><i>(d) establish campuses and colleges which must conform to standards established by regulations made under this Act</i></p> <p>ii. Universities Regulations, 2014; Part V on Campuses</p> <ul style="list-style-type: none"> • Regulation 45 (c.) adequate measures in place to assure Quality • Regulation 46 (b) localised administrative 	<p>i. Quality assurance measures not clear</p> <p>ii. Adequacy of resources compromised due to over-enrolment of students in campuses</p> <p>iii. More than 70% of the Master's and PhD graduates were trained in the satellite campuses of the University whereas the critical mass of the teaching staff (supervisors) was based at the Main Campus thus putting into question the quality of training of the majority of the graduates trained in satellite Campuses</p>	<p>The University should cease training PhD students in the satellite campuses.</p>

ASPECT OF INQUIRY	FINDINGS	RECOMMENDATION
<p>structures clearly linked to the main campus</p> <p>iii. INST/STD/013</p> <p><i>A university campus shall be the smallest unit of a university and shall have adequate resources to support its student's population which shall mirror those of the main university.</i></p> <p>Guidelines</p> <p>A university campus shall have adequate minimum facilities for the student population therein, which shall include a library, lecture rooms, administration offices, academic staff offices and a student centre.</p>	<p>iv. Key stages in the PhD training including coursework, assignment of supervisors, progress seminars and proposal development take place in Campuses</p>	
<p>3. Supervision and Examination of PhDs: JKUAT Statute No. 16 Schedule IV (a), Statute No. 11 Schedule IV (a), and Universities Standards and Guidelines, 2014 (PROG/STD/17-6).</p>		
<p>i. Allocation of supervisors: JKUAT Statute No. 16 Schedule IV (a) on</p> <p><i>Allocation of students for supervision to academic members of staff should be done in a fair and equitable manner taking into consideration the area of specialization, funding, teaching load and other related research activities.</i></p> <p>ii. Supervision load: Universities Standards and Guidelines, 2014 (PROG/STD/17-6).</p> <ul style="list-style-type: none"> An academic staff shall be assigned students to supervise on thesis/dissertation based on a combination of his/her teaching load, administrative duties, and supervision experience and capacity. 	<p>i. The practice of students proposing preferred supervisors was found to be in contravention of Statute No. 16 Schedule IV as allocation of students for supervision to academic members:</p> <ul style="list-style-type: none"> a. was not done in an equitable manner; b. did not take into consideration the area of specialization, with some academic staff supervising as many as five areas of specialization <p>ii. In assigning students to supervisors:</p> <ul style="list-style-type: none"> a. Teaching load, administrative duties, and maximum supervision load was not taken into account in b. Many supervisors were assigned supervision load beyond the recommended threshold of 3 PhDs and 5 Masters in any given 	<p>i. The University should adhere to the Universities Standards and Guidelines, 2014 on supervision of Postgraduate training and submit to the Commission for University Education a report within three months.</p> <p>ii. The University should align their processes on PhD training to the University Statutes.</p>

ASPECT OF INQUIRY	FINDINGS	RECOMMENDATION
<ul style="list-style-type: none"> • The maximum number of students an academic staff shall supervise in any given academic year shall be: <ul style="list-style-type: none"> a) Masters - 5 b) Doctorate – 3 iii. Certification of supervision: Statute No. 17(ii) Schedule IV (a) A supervisor shall certify at the end of every three months on a prescribed Form, that the candidate has received supervision. iv. Seminar Presentation: Statute No. 11 Schedule IV (a): Proof of successful presentation of seminars is a mandatory requirement for submission of thesis, as per the provisions of University v. Composition of Board of Examiners: Statute No. 24 Schedule IV (a) The Board of Examiners shall consist of seven members comprising of; <ul style="list-style-type: none"> (vi) Dean/Director of the Faculty, School, Institute or Centre or his/her competent representative; (vii) An External Examiner; (viii) Two Internal Examiners one of whom must not have supervised the candidate; (ix) Two other persons competent/conversant in the discipline related to the candidate's area of research, at least one of 	<p>academic year, the highest supervision loads in the recent three graduations being three supervisors who graduated 41; 30; and 33 PhD students, respectively.</p> <p>Note:</p> <ul style="list-style-type: none"> a. The three graduation ceremonies took place within a period of 12 months. b. The PhD supervision load was in addition to 45, 106 and 72 Master's students for each of the three supervisors respectively, as summarized in Table 4. <p>iii. There was no evidence that the requirement to certify supervision was adhered to, hence contravening the Statute No. 17(ii) Schedule IV (a) and also compromising the quality of supervision. The compromised quality of supervision was evident in the fundamental issues raised during oral examinations/defense that ordinarily should have been identified during supervision.</p> <p>iv. Proof of presentation of seminars before submission of thesis was not adhered to thus compromising the quality of the students' work.</p> <p>v. The statutory number and composition of the Board of Examiners was not adhered to in some cases where Board of Examiners had as few as four members attending the oral examinations, thus putting the validity of the verdict into question.</p> <p>vi. There was a tendency: <ul style="list-style-type: none"> a. To assign some examiners too many theses at the same time, </p>	

ASPECT OF INQUIRY	FINDINGS	RECOMMENDATION
<p>whom should be external to the Department; and</p> <p>(x) The Director of the Board of Postgraduate Studies or a representative.</p> <p>vi. Internal and Examiners' Reports: assigning of theses to examiners</p>	<p>b. To repeatedly use some specific internal and external examiners, which may have led to perfunctory preparation of reports.</p> <p>c. In some cases, for some or all examiners not to duly sign examiners reports, especially in the 32nd and 31st Graduations</p>	
<p>4. Duration of study and Publication requirements for PhDs: Universities Standards and Guidelines, 2014, PROG/STD/02 – 4) b), e) and g)</p>		
<p>i. Duration of PhD: University Standard PROG/STD/02-4) b)</p> <p><i>A doctorate degree programme shall normally extend for at least three (3) academic years.</i></p> <p>ii. Duration of PhD Research: University Standard PROG/STD/02- 4) e)</p> <p><i>Research shall form an integral part of a doctoral programme and shall constitute not less than two thirds (⅔) of the entire programme structure</i></p> <p>iii. Publication of PhD research: University Standard PROG/STD/02- 4) g)</p> <p><i>Before the award of a doctoral degree, a candidate shall normally show proof of acceptance for publication of at least two (2) papers in refereed journals.</i></p>	<p>i. Most students had published in journals whose editorial boards included a number Faculty who supervised the same students notably, <i>Strategic Journal of Management</i> (17 papers); <i>International Journal of Business and Management</i> (10 papers), <i>International Journal of Economic, Commerce and Management</i> (11 papers), and <i>European Journal of Business Management and Social Science</i> (10 papers)</p> <p>ii. Many students published two papers in the same Issue of a Journal, in some cases, as consecutive papers.</p> <p>iii. Some of the Journals students published in were non-existent</p> <p>iv. There was a likelihood of conflict of interest where Editorial Boards of a number of the Journals in which students published included members of Faculty and were hosted by AJPO Journals (www.ajpojournals.org) in Kenya</p> <p>Note: The AJPO Journals website appeared to have been pulled down</p>	<p>i. The University should adhere to the Universities Standards and Guidelines, 2014 on duration of PhD and the Research Component</p> <p>ii. For each PhD awarded since publication of the Universities Standards and Guidelines, 2014, the University should submit to the Commission for University Education evidence of the student's publication of two (2) articles in referred journals, failure to which the PhD shall be recalled until the graduation requirement is fulfilled.</p>

ASPECT OF INQUIRY	FINDINGS	RECOMMENDATION
	<p>v. Some students submitted their thesis based on a research which did not meet the minimum requirements on research duration, for example, a student completed research, published, and gave <i>Intent to submit</i>, all in less than 12 months following the successful defense of the proposal.</p>	