



INSTITUTE FOR PEACE AND SECURITY STUDIES  
ADDIS ABABA UNIVERSITY

# PhD in Peace and Security Studies

**IPSS**  
HANDBOOKS  
2014 - 2016





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## Preface

The purpose of this handbook is to inform registered and prospective PhD students about the PhD Programme at the Institute for Peace and Security Studies (IPSS) of Addis Ababa University (AAU). This handbook covers the programme's admission requirements, the programme of study of the Institute, specific rules and regulations and the course descriptions of the PhD Programme.

I should acknowledge that this handbook has been prepared based on the 2013 Senate Legislation of Addis Ababa University, the revised Graduate Council booklet of 2012, the handbook of the Peace Department at the University of Bradford, UK and the Institutes' practice since the inception of the PhD Programme.

Special thanks go to the PhD Programme Coordinator, Dr Mesfin Gebremichael, for his relentless efforts in the preparation of this handbook. I would also like to show appreciation to the IPSS staff who contributed valuable comments towards the improvement of the handbook.

It is my sincere hope that this handbook makes a modest contribution to enlightening current and potential participants in the PhD Programme.

Mulugeta Gebrehiwot  
Director  
Institute for Peace and Security Studies  
Addis Ababa University

## List of Acronyms

|      |  |
|------|--|
| AAU  | Addis Ababa University                           |
| AC   | Academic Coordinator                             |
| CGPA | Cumulative Grade Point Average                   |
| CGS  | Council of Graduate Studies                      |
| ECTS | European Credit Transfer and Accumulation System |
| IPSS | Institute for Peace and Security Studies         |
| IGC  | Institute Graduate Committee                     |
| GPA  | Grade Point Average                              |
| MA   | Master of Arts                                   |
| MSc  | Master of Science                                |
| PESS | Peace and Security Studies                       |
| PFHR | Peace, Federalism and Human Rights               |
| PhD  | Doctor of Philosophy                             |

# The PhD Programme at IPSS

## 1. Admission, enrolment and duration

### 1.1 Admission criteria

- 1.1.1 Admission to the PhD Programme at the Institute for Peace and Security Studies follows the general guidelines set forth by AAU's Senate Legislation.
- 1.1.2 Applicants who have successfully completed their MA or MSc degree from an accredited university, preferably in the social sciences, are eligible to apply for admission.
- 1.1.3 Admission will be considered based on the soundness of the applicants' PhD concept note (3-5 pages) specifying: which issues they are considering; the scientific approach, theory and methodology; publication and research experience; and written and oral examinations
- 1.1.4 Applicants are admitted at the beginning of each academic year.

### 1.2 Duration of the programme

- 1.2.1 The duration for the completion of the PhD Programme ranges from three to five years.
- 1.2.2 Extensions may only be granted by a recommendation from the Institute's Graduate Committee (IGC) and with an endorsement from the Academic Commission (AC) and the Council of Graduate Studies (CGS). The extension will only be granted to students who request it for reasons beyond their control. The maximum number of years granted for completion of the programme is six years.

- 1.2.3 Students who fail to maintain continuous registration without officially withdrawing from the programme shall be considered to have dropped out of the programme. If such students wish to resume their studies, they must submit a readmission application to the Office of the Registrar. Their application will be assessed by the IGC and endorsed by the AC on the basis of the rules and regulations in force at the time of readmission.

### **1.3 Overall format of the programme and change of status**

- 1.3.1 Coursework: This period includes two semesters of coursework and the preparation of as well as the public defence of a dissertation proposal. The coursework takes a maximum of three semesters.
- 1.3.2 PhD candidacy is approved once a student completes their coursework with a minimum CGPA of 3.00, completes his/her research proposal and defends it publicly.
- 1.3.3 The dissertation period covers the research and write-up period and continues from the third to the sixth semesters.
- 1.3.4 For sound academic reasons, a supervisor may request the suspension of a student. This request is presented to the IGC and approved by CGS at the recommendation of the AC.
- 1.3.5 A student forgoes any of his/her academic rights when he/she fails to register on time.

## **2. Coursework and structure of the curriculum**

The PhD programme integrates coursework and a dissertation. It aims to deliver a curriculum appropriate to the interdisciplinary nature of peace and security studies. Accordingly, PhD students will pursue a rigorous but flexible doctoral curriculum, with several shared classes (core courses) as well as specialized courses. The Institute may require doctoral students who are deemed to have a deficiency in the field of peace and security studies to take and/or audit additional courses from its MA programmes and/or other post-graduate programmes at AAU.

## 2.1 Coursework

- 2.1.1 The coursework amounts to a maximum of 18 credits, concluded at the end of the first year. Beginning in the second year, PhD students will exclusively concentrate on researching and writing their doctoral dissertation. Additionally, the programme seeks to impart pedagogical skills to doctoral students with the expectation that a majority will pursue careers in institutions of higher learning.
- 2.1.2 Core courses: Students will take three courses during the first semester of their first year: a) research methods, b) contemporary theoretical discourses on peace, federalism and human rights and c) a seminar on conflict, governance and human rights in the Horn of Africa. The core courses will help students lay the groundwork for their dissertation research, acquainting them with an understanding of research design, theories and practical research skills that may be applied to the research and writing of their dissertation.
- 2.1.3 Specialization courses: During the second semester of the first year, students will be required to take speciality courses in their chosen field of specialization- peace and security. There are four courses in this package. One of the courses is compulsory, and students can choose two from the remaining three courses.
- 2.1.4 The coursework is based on student-centered, participatory and interactive teaching and learning methods. The courses take place in a seminar format in which both the instructor and doctoral students will be encouraged to learn from each other. Activities leading to the successful completion of the courses include lectures, case and comparative student presentations, fieldwork (if appropriate), assignments, term papers and possibly final exams.

2.1.5 The Institute, in collaboration with AAU’s College of Education, organizes a mandatory pedagogical seminar for all doctoral students during the first semester of their second year in the programme. Starting from the second semester of the second year, doctoral students will be required to teach a course in the undergraduate/graduate programmes of AAU.

2.1.6 Course numbers: The course code for compulsory courses is PFHR, Peace, Federalism and Human Rights, while the code PESS refers to Peace and Security Studies. All PhD courses are numbered in 800. First semester courses end with the number 1, and second semester courses end with 2. The course number for the dissertation is 999.

| Year, semester | Course No. | Course Title   | ECTS      |
|----------------|------------|--|-----------|
| I, II          | PESS 832   | Theoretical Perspectives on Conflict, Peace and Security | 3         |
|                | PESS 842   | Trends in Global Conflicts and Security                  | 3         |
|                | PESS 852   | Peacebuilding, Democracy and Development                 | 3         |
|                | PESS 862   | Resolution   | 3         |
| II,I - III,II  | PESS 999   | Dissertation   | .         |
| <b>Total</b>   |            |  | <b>12</b> |

Fig.1. List of elective courses, course numbers and ECTS weights

## 2.2 Research (Dissertation)

- 2.2.1 The research part of the programme leads to a PhD dissertation which, at the end of the period of study, must be publicly defended and approved by the examining committee appointed by the Institute.
- 2.2.2 The dissertation is intended to be an independent, academic work of high international standards, and one which has not previously been presented to any university for an award of degree. The dissertation should contribute to the development of knowledge in its field, and be of sufficient quality for it to be considered publishable within the field's academic literature.
- 2.2.3 During their first year in the program, doctoral students will be required to prepare a research proposal for their dissertation. Six months into the programme, students are required to submit a substantiated and detailed dissertation proposal and work plan. At the end of the first year, students who have performed satisfactorily on the coursework and successfully defended their dissertation proposal will be granted a doctoral candidacy status and shall fully concentrate on their dissertation research.
- 2.2.4 The Institute for Peace and Security Studies appoints the main and second supervisors. The supervisors must hold doctoral degrees or equivalent qualifications in the aforementioned fields of specialization or other related disciplines. In addition, the main supervisor should have a minimum rank of Associate Professor.
- 2.2.5 From the first semester of the second year through the third/fourth year, students will enroll for their dissertation. At the end of each semester, the progress of each candidate will be evaluated on the basis of draft chapters in the interdisciplinary PhD colloquium. The supervisors will complete a form evaluating the status and progress of their students. The programme also encourages the

establishment of doctoral students' clubs with the participation of faculty members through which doctoral candidates can regularly present their findings.

- 2.2.6 The Institute establishes an interdisciplinary PhD colloquium where doctoral candidates are required to present their draft chapters/ findings twice a year. Moreover, at the end of each semester both doctoral candidates and their respective supervisors formally report to the Director of the Institute about the progress of their dissertation project. This reporting starts from the beginning of the second year of PhD candidacy.
- 2.2.7 The research period will be complete with a submission of a dissertation totalling 80,000 words in length, with an absolute maximum of 100,000 words. Additional material contained within the dissertation, such as appendices or the bibliography, is excluded from the upper limit. No candidate may submit a dissertation within three academic years of registration except with special permission from the IGC.
- 2.2.8 A dissertation should be publicly defended and have a minimum grade of 'Satisfactory' from a board of examiners to be accepted for partial fulfillment of a PhD degree.
- 2.2.9 The Institute forms a three to five member board of examiners from academics with proven competence in the subject matter of the dissertation and who hold at minimum a PhD.
- 2.2.10 The Board of Examiners will consist of internal and external scholars. Internal examiners are those with an appointment at AAU, while external examiners are those who work outside of the AAU system.

## 3. Assessment/Evaluation

### 3.1 Coursework and research process

- 3.1.1 All coursework will be evaluated by a series of reading and written assignments, paper presentations, term papers and final examinations.
- 3.1.2 Detailed evaluation mechanisms and criteria for each course are expected to be developed by the course convenor and letter grades will be assigned to students at the end of each course.
- 3.1.3 The letter grades range from 'A' which represents Excellent and 'F' which represents Fail. The GPA and CGPA grade values are A=4.00, A-=3.75, B+=3.50, B=3.00, B-=2.75, C+=2.50, C=2.00, D= 1.00 and F= 0.
- 3.1.4 To successfully complete the programme, doctoral students must earn a minimum of B (CGPA of 3.00 and above) in the 18-credit coursework.
- 3.1.5 By the end of the first academic year, PhD students will publicly present and defend their dissertation proposal, which is only approved after successful presentation.
- 3.1.6 For students whose candidacy is approved and are undertaking research towards their dissertation, their supervisors are required to regularly and formally report to the Institute about the progress of each candidates' dissertation project.
- 3.1.7 From the beginning of the first semester of the second year, doctoral students will be required to enroll for the Dissertation Seminar and at the end of each semester their supervisors are required to report on their progress.

## 3.2 Assessment / evaluation of dissertation

### 3.2.1 Examining a dissertation

The doctoral process consists of three components: the examination of the doctoral dissertation, the oral presentation and the questioning of the PhD candidate. An examiner assesses a dissertation by completing an evaluation form. Examiner reports and ranking forms must be submitted to the Institute at least one day before a doctoral dissertation defence.

- 3.2.1.1 The doctoral dissertation examination (the final part of the PhD programme), exposes the student's research and dissertation to academic criticism and gives the student an opportunity to defend his/her work.
- 3.2.1.2 Upon initial submission of a thesis to the Institute, the IGC, in consultation with the student's supervisor(s), appoints an Examining Committee. The PhD programme Coordinator forwards the committee's evaluation form to the Institute. This form lists the members of the Examining Committee, the name and the address of the external examiner and the stated date and time for the oral examination.
- 3.2.1.3 The Examining Committee consists of at least three members, of whom one must be from the candidate's department or programme within the university (internal examiner) and one from outside the university (external examiner). The Chairman of the IGC or his designators shall chair the committee. Should the IGC chair be the advisor of the defending student, the IGC shall assign the chair of the committee. The candidate's advisor shall be a non-voting member of the Examining Committee.
- 3.2.1.4 Any member of the Examining Committee who cannot attend the defence must submit to the chair of the IGC, a written report on the dissertation with any questions

at least one week before the defence. The Institute will then appoint a proxy to raise these questions during the examination. The proxy examiner will assume the role of the absent member of the Examining Committee.

- 3.2.1.5 The Institute announces the upcoming defence via notice posted on the Institute's notice board. Any member of the University can attend a doctoral defence.
- 3.2.1.6 The candidate first presents his/her dissertation orally with any necessary aids required to make an effective presentation. The candidate is then questioned on their dissertation. The chair will give priority to questions from members of the Examining Committee. The chair adjourns the examination when the Examining Committee decides that further questioning is unnecessary.
- 3.2.1.7 The decision of the Examining Committee is based on the dissertation and on the candidate's ability to defend it. All members of the Examining Committee, except the advisor(s), then vote on whether the thesis should be accepted or rejected.
- 3.2.1.8 The advisor or members of the advisory committee shall not take part in the rendering of the final decision on the dissertation and its grading. These decisions shall not be made in the presence of the supervisor(s).
- 3.2.1.9 It is the responsibility of the chair to ensure that a report on the examination is prepared before the committee adjourns. This report will be written according to a format prepared for this purpose, and must include the signatures of all members of the Examining Committee who dissent from its decision.

3.2.1.10 In addition to the joint report of the committee, external examiners are required to submit a brief report on the session and any other remarks or recommendations of general nature related to the programme of study.

### **3.2.3. Decision on dissertation**

The Examining Committee can render one of four decisions, subject to a vote of majority. The dissertation can be:

- 3.2.3.1 Accepted as submitted, which may include corrections that do not require the advisor's approval.
- 3.2.3.2 Accepted with minor modifications defined as corrections that can be made immediately and to the satisfaction of the advisor.
- 3.2.3.3 Accepted with major modifications. The committee's report shall include precise descriptions of the modifications along with a date (maximum of six months) for their completion. It is the responsibility of the student's supervisor to confirm in writing to the Examining Committee and the Institute that the required modifications have been made and approved. It is not necessary for the Examining Committee to reconvene.
- 3.2.2.4 Rejected. Such a dissertation may be re-submitted only once, in a revised form or with some additional work. Such re-submission may only be made six months from the date of the original defence. Formal re-submission of a dissertation follows the same procedure as an initial submission. Should one of the examiners raise the issue of plagiarism, decisions will be made based on the relevant regulations stipulated by the AAU Senate Legislation.

### 3.2.4. Rating a dissertation

3.2.4.1 The next step is to rate the dissertation. Dissertations that receive one of the first three decisions listed above (accepted as submitted, accepted with minor modifications or accepted with major modifications) shall be rated Excellent, Very Good, Good or Satisfactory. A dissertation that has been rejected shall be rated Fail. The ratings shall be based on points given by the external and internal examiners. The points given by the external and internal examiners shall be multiplied by 0.6 and 0.4 respectively, and added up.

#### 3.2.4.2 Excellent (85-100)

A dissertation rated 'Excellent' ought to be an original contribution to knowledge. This does not mean that it must explore a 'new' or little studied problem. An original contribution to knowledge can also result from a novel and perceptive reassessment of a familiar question. The dissertation should be exemplary both in the selection of problems and data for consideration and in the manner by which conclusions are reached about the problem(s). If based upon empirical data, a dissertation graded 'Excellent' should report the data clearly and completely. The conclusions drawn from the data should be persuasive. A person reading a dissertation rated 'Excellent' should conclude that they have learned something new about the issue.

#### 3.2.4.3 Very Good (75-84)

A dissertation rated 'Very Good' should demonstrate mature and substantiated critical engagement with the theoretical and practical context of the work. The research should show high familiarity with the literature in the area of study. The

work should also reflect an in-depth integration of research data and a student's personal contributions.

The analysis and interpretation displayed in the thesis should demonstrate a clear understanding and critical judgement of the issues at hand. The dissertation ought to be well organized, well written and proof read. Very few errors tolerated.

#### 3.2.4.4 Good (65-74)

A dissertation rated 'Good' need not be a contribution to knowledge, but should show sound judgment, a substantial amount of work, clarity of thought and presentation and some creativity. The writer of a 'Good' dissertation need only demonstrate that he/she has carefully and intelligently thought about a problem and presented those thoughts clearly and persuasively. If the dissertation is an empirical one, the research design should be sound and the data judiciously interpreted, although slight flaws in design or analysis may occur. The dissertation ought to be well organized, written and proof read Occasional errors are tolerated.

#### 3.2.4.5 Satisfactory (50-64)

A dissertation rated 'Satisfactory' has to demonstrate some understanding of the debates and issues appropriate to the area of study. While a dissertation rated 'Satisfactory' should not be deficient in any major way, it may be weak in the selection of the problem, manner of presentation, research design and analysis or interpretation and conclusions. A 'Satisfactory' dissertation may be deficient in one of these areas or to a lesser degree in a number of them. This student

is able, when provoked, to offer limited critical reflection on their dissertation topic.

3.2.4.6 Fail (below 50)

There is no reason why a student should automatically pass an oral exam just because he/she has written a dissertation. A dissertation should be rated according to its merits. Poor dissertations will receive poor ratings. A dissertation rated 'Fail' shows minimal industry, deficient understanding of the subject discussed, poor presentation and insufficient familiarity with the relevant literature.

3.2.4.7 Following these principles, qualitative grading can be done as follows:

A. Content of the dissertation: 75%

1. Problem formulation and methodology 20%

2. Data presentation and interpretation 35%

3. Literature coverage 15%

4. Format and overall organization 5%

B. Defence 25%

5. Presentation 10%

6. Response to questions 15%

C. Total 100%

3.2.4.8 If the Examining Committee is unable to reach a decision concerning the dissertation at the time of the defence, it is the responsibility of its chair to determine what is required by the Examining Committee to reach a decision, to make the

necessary arrangements for fulfilling the requirements of the Examining Committee and to promptly call another meeting and inform the student that the Examining Committee's decision is pending. The student is not usually required to be present at the second meeting of the Examining Committee.

3.2.4.9 The relevant Graduate Studies Committee renders a decision of the doctoral degree based on the Committee's and its own records of the student's progress in their assigned programme of study. When the relevant IGC has assessed that the student has fulfilled the requirements of the doctoral degree, it shall request that the Institute recommends to the Council of the School of Graduate Studies that the doctoral degree be awarded. The Council of the School of Graduate Studies shall make a recommendation to the Senate for the award of the doctoral degree. Once the Senate approves such a recommendation, the electronic version of the dissertation may be made available to the public.

3.2.4.10 The Academic Vice President may bring up before the Council of the School of Graduate Studies, any matter that may affect the acceptance of the dissertation or the award of the doctoral degree.

## 4. Supervision

### 4.1 Key responsibilities of principal and external supervisors

- 4.1.1 Dissertation supervisors oversee the research undertakings of PhD students in a manner generally outlined by the practices and traditions of their disciplines and the Institute. To ensure mutually compatible expectations, supervisors should discuss with students the general nature of their working relationship early in the developmental stages of their collaboration.
- 4.1.2 Supervisors should be available to students on a reasonable dissertation for consultation, discussion of dissertation progress and issues related to research. They should provide timely comments on written material submitted by students, including advising students on dissertation submission for examination.
- 4.1.3 Advisors should make appropriate arrangements for students when they go on sabbatical leave or an extended absence i.e. maintain contact when possible or if not, establish a time line for contact.
- 4.1.4 The supervisor should play an active role in seeking to ensure the availability of basic resources required for the student's research, such as funding.
- 4.1.5 The supervisor shall fully inform the student of any and all contractual obligations, which may affect the public defence and/or publication of a student's dissertation.
- 4.1.6 When a dissertation is accepted with major modifications, it is the responsibility of the supervisor to demonstrate to the Examining Committee that the required modifications have been made. The supervisor should inform the PhD Programme Coordinator and the Institute in writing that the modifications have been approved.

4.1.7 If any supervisor wishes to withdraw from supervising a student, the supervisor should demonstrate and submit justifiable reasons in writing to the Coordinator and to the student. Supervisors have a duty to monitor the progress of the student in a supportive way. They must provide a progress report on each student after each semester. External supervisors are assigned from a different area of expertise than the internal supervisors and are usually expected to support students in those areas. One of the external supervisors will act as principal supervisor in the absence of the principal supervisor.

## 4.2 Key responsibilities and rights of students

- 4.2.1 Students should inform themselves regarding regulations and standards as specified in the graduate catalogue and in the relevant documents produced by the Institute and by the School of Graduate Studies.
- 4.2.2 Students will organize a supervision committee (one principal and two external) with whom they will work throughout their studies. The supervision committee/supervisor may be assisted by an advisory committee to be established by the Institute.
- 4.2.3 Students are responsible for: presenting their work, meeting contractual obligations in a timely fashion and maintaining regular contact with supervisors. They are also responsible for responding to their supervisor's advice, sticking to agreed upon timetables for the submission of work and producing work that is typed or word-processed in hard copy.
- 4.2.4 The student is required to work independently and produce original work. Students should submit draft publication materials based on collaborative research to their supervisors before they submit them for final examination or publication.

- 4.2.5 All students are required to schedule a minimum of 6 meetings a year with their supervisors.
- 4.2.6 A student can have, on average, the equivalent of four hours of support per month with their supervisors.
- 4.2.7 Students should keep a diary and write one entry per meeting with their supervisor. This will serve as a reference for the next meeting. Supervisors are also required to complete a student progress report once a semester.
- 4.2.8 A student with valid reasons is allowed to change supervisors or a member of the Examining Committee. He/she should submit a written request outlining their reasons directly to the PhD Programme Coordinator. The Coordinator presents the case to the IGC, which is responsible for issuing a final decision within two weeks.
- 4.2.9 Students have a duty to act in a manner which conforms to the basic principles of natural justice, academic integrity and professionalism and to manage in a similar manner, conflict situations which may arise in their relationships with supervisors.
- 4.2.10 Students should make themselves aware of the rules and regulations on proper citation, including copyright and intellectual property regulations to avoid using the work of another as their own. This may result in a severe charge of plagiarism.
- 4.2.11 Any research funds made available for the research project are utilized as per the supervisors' agreement.

## 5. Degree Nomenclature

Students who have: i) successfully completed the coursework with a minimum letter grade of B (CGPA of 3.00), ii) successfully and publicly defended their dissertation, and iii) gained approval from the Board of Examiners, will be awarded the degree of Doctor in their respective field of specialization.

*“Peace and Security –Doctor of Philosophy in Peace and Security Studies” (with equivalent Amharic translation)*

## 6. Quality assurance

The programme strives to maintain the quality of its education through the use of international external examiners for doctoral defences and by creating links with sister academic institutions in Ethiopia and abroad. There will be periodical evaluation of the programme whereby the Institute organizes workshops and surveys to gather information from different stakeholders such as current and former students, employers and other relevant governmental and non-governmental organizations.

## 7. Funding and financial support

- 7.1 AAU will provide research funds for field visits.
- 7.2 Short-term research assistantships will be offered by IPSS upon fund availability.

## 8. Facilities for research students

- 8.1 Students will have access to all resources at AAU libraries.

## 9. PhD Programme Coordinator

- 9.1 Holds responsibility for the overall quality of the research student's experience.
- 9.2 Manages the admissions process.
- 9.3 Identifies appropriate internal and external examiners.
- 9.4 Is responsible for maintaining appropriate academic standards and completion rates.
- 9.5 Organizes Institute-wide research seminars.
- 9.6 Chairs the Institute's PhD committee.

# Appendix 1

## Course Descriptions

### Guidelines for the dissertation format

#### 1.1 Compulsory courses for all students in the PhD Programme

##### **PFHR 801: Advanced Research Methodology, 3 credit hours**

This course aims at familiarizing doctoral students with the ways in which a vague interest in research is transformed into a theoretically informed puzzle with concrete hypotheses. It clears the ground for students to discover how an appropriate research method is chosen, how a research question/hypothesis is tested, what problems can be encountered in data collection and analysis, how the data can be interpreted, and how the results can be effectively presented. With these objectives in perspective, the course deals with fundamental issues of philosophy of science; epistemology; ontology; empirical, rational and phenomenological approaches; and case and comparative studies. It also examines the formulation of research aims, the roles of the hypothesis, theories as tools to explain reality, definitions and delimitations, quantitative methods, qualitative methods and mixed methods.

##### **PFHR 811: Theories and Praxis on Peace, Federalism and Human Rights, 3 credit hours**

This course aims at reviewing the interconnection in the theoretical and historical foundations of peace and security studies, federalism and human rights. Interrelated themes include: the federalist theoretical tradition and international peace, federalism and peace in multi-ethnic states, peace and human rights, federalism, and individual and collective rights. The course also looks at influential theories about the sources and nature of conflict, violence and peace. Contributions from the social sciences as well as the humanities will be explored, with attention given to connections between interpersonal, inter-group and international levels of analysis.

Also discussed in the course: philosophical foundations on federalism; constitutional, legal, sociological and political approaches to federalism; federal symmetry and asymmetry; key concepts underpinning human rights including rights, duties, dignity and liberty; major philosophical background to the emergence of human rights from both Western and non-Western sources; and analysis of political debates in human rights such as universality, sovereignty and group rights. Student case presentations will be made on the interconnection of peace, security, federalism and human rights on selected countries such as Ethiopia.

**PFHR 821: Seminar on Conflict, Governance and Human Rights in the Horn of Africa, 3 credit hours**

This course focuses on providing an empirical investigation of issues of conflict, governance, and human rights by taking the case of the Horn of Africa. It is a seminar course in which doctoral students will have the chance to lead class discussions by presenting their semester papers. The course specifically deals with the sources and interlocking nature of conflicts in the Horn of Africa; intra-state and inter-state conflicts; internationalized conflicts; refugees, terrorism, trans-border resources and identities; IGAD and other regional organizations in conflict management in the Horn of Africa; the problem of governance in the wider region by comparing the experiences of the countries of the region; the problem of human rights in the wider region; the experiences of the countries of the region regarding human rights – theories and praxis; and the contention between cultural relativism and universalism.

## 1.2. Elective Courses

### **PESS 832: Theoretical Perspectives on Conflict, Peace and Security, Compulsory, 3 credit hours**

The course examines key concepts, theoretical perspectives and models of conflict analysis, peace-building and the structure of contemporary international security, including contending theories of international relations and regional security complexes. It also inquires into military and non-military sources of insecurity as related to global regional and national/state levels as well as human security. Other issues discussed are: critical security studies; conflicts commonly occurring in all human relations; progress from submerged moments to rising tensions; and the examination of crises/violence in the post-conflict stage and the analysis of causes at every relevant stage. Analysis is approached through such theoretical perspectives as the conflict dynamics triangle; needs-based conflict origins; and rational, strategic calculation and analysis of social-psychological processes. Furthermore, the course deals with concepts such as positive peace, a culture of peace and the major approaches/schools on early warning and prevention, conflict management, conflict resolution and transformation/peacebuilding in their historical evolution. The multi-track approach of peacebuilding, particularly the three level analyses of actors and action pyramids, will also be examined. The UN Agenda for Peace will be presented. Discourse on top-down, bottom-up and integrative approaches will be examined featuring state and non-state actors, the varied strategies they deploy in peace interventions and their efforts to ensure coordination for best results.

### **PESS 842: Trends in Global Conflicts and Security, Elective, 3 credit hours**

The major components of this include examination of armed conflicts and wars, their meaning and categorization, types of wars, trends of wars and conflict resolution during and after the Cold War. International norms and trends as related to arms control – nuclear, chemical and biological as well as light weapons and small arms – will be examined. Major causes

of wars clustering around territorial, power- political, ideological and economic factors (geopolitik, realpolitik, idealpolitik, and kapitalpolitik) will be discussed. Due focus will be given to key identity/ethnicity issues namely religion, language and culture. Wars are divided as inter- and intra-state with observable links between the two. Empirical discussions will raise examples from wider war zones with particular emphasis on Africa and the Horn of Africa region.

**PESS 852: Peacebuilding, Democracy and Development, 3 credit hours**

This course focuses on the issues of planning and the implementation of peace intervention efforts and strategies for conflict transformation. This is done after performing conflict analysis and the requisite baseline study. The three major dimensions of conflict and peacebuilding will be presented: individual, relational, and cultural/structural concerns. Peace intervention aims to bring about transformation in all dimensions with varied focus on inter- and intra-state wars. Post-conflict discussions include mechanisms of transcending incompatibility; resolution and its basic elements; peace agreements; problems of change, the need for trust and legitimacy; Disarmament, Demobilization, and Reintegration (DDR); the security dilemmas and transitional justice; power-sharing and prospects of transition to democracy, particularly in multi-ethnic settings; and rehabilitation and equitable economic development. The crosscutting nature of peace, democracy, human rights and development will be examined. The dangers of the recurrence of war and the necessary socio-economic and political changes for lasting peace will similarly be analyzed. The course will use practical examples of post-conflict processes and the struggle to sustain and deepen transitional democracy.

**PESS 862: Actors and Mechanisms of Conflict Resolution, Elective, 3 credit hours**

This course examines major actors of peaceful conflict transformation and their approaches and methods. Peace actors can be governmental, global multilateral (UN), regional, sub-regional and state. Non-state actors

include NGOs (national and international), diverse civil society groups, academic institutions, mass media, etc. The main mechanisms and methods to be examined include dialogue facilitation, problem-solving workshops, mediation, negotiation, arbitration and reconciliation (mainly in internal conflicts). Relationships among the different methods and their conceptual, theoretical and practical aspects will also be raised. It is useful to focus on mediation and negotiation in intractable conflicts and in times of crises. Particular focus will be given to clarifying the process of reconciliation (truth, justice, forgiveness and peace) and its role in transitional justice with lessons from cases such as South Africa, Rwanda, Sierra Leone, Cambodia and the Balkans. African experiences of conflict resolution including traditional mechanisms and eldership as experienced in Ethiopia and other cultures will also be considered.

#### **PESS 999: Dissertation**

The dissertation is a research project involving theoretical and empirical issues of peace, security and other related questions. Students enroll for the dissertation beginning in the second semester of their first year up to the successful defence of their dissertation.

## Appendix 2

### Contents of Research Proposal

#### **2.1 The student must demonstrate the following key points in his/her research proposal:**

- 2.1.1. A conceptual and practical understanding of initial ideas into an effective research plan and proposal.
- 2.1.2. A systematic and critical understanding and awareness of the relevant literature in the area of the study and how this has led to the genesis of the proposed research.
- 2.1.3. The ability to produce a well-constructed research proposal that outlines the various stages of a research project.
- 2.1.4. The ability to work independently and use sound judgment to make methodological decisions and, the ability to foresee potential problems and plan options accordingly.
- 2.1.5. The effective use of skills in time management, written communication, identifying requirements for further learning or progress, and how the proposed research will add to the knowledge base of the discipline.

#### **2.2 Contents of the research proposal:**

- 2.2.1. Provisional title of dissertation
- 2.2.2. Appropriate, clear genesis of research
- 2.2.3. Ability and opportunities to carry out the research effectively
- 2.2.4. Key research questions
- 2.2.5. Appropriate and relevant existing work in the field that is identified, critiqued, considered and effectively related to the proposed research

2.2.6 Proposed methodology, including:

- a. Identification of ethical issues
- b. Access to appropriate data
- c. Appropriate data analysis plans
- d. Reference list(cited in proposal)
- e. Timetable for the research
- f. Evidence of identification of potential problems with consideration of appropriate back-up plans

## Appendix 3

### Dissertation sequence of content, submission and binding

#### 3.1 Sequence of contents

##### A. Title page

A standard title page is required for all dissertations. The title page has no page number.

##### B. Signature page

A signature page containing the signatures of the members of the dissertation Examining Committee must be prepared by the student. After the defence, signature pages are sent to the PhD Programme Coordinator at the Institute and to the Institute's Director for signatures. This is then returned to the Institute. The signature page has no page number. A blank copy of the signature page (with Examiners' names but no signatures) must be inserted into the final electronic submission of the dissertation.

##### C. Abstract

Each doctoral dissertation must include an abstract with the title of the dissertation, the author's name, the degree being sought, the name Addis Ababa University, the year the degree is to be granted, and some text not exceeding 350 words. The abstract must be numbered "iii" in lower case roman numerals.

##### D. Acknowledgments or Dedications page

An acknowledgments or dedication page can be included if desired. If included, it must be page numbered in roman numerals.

## Summary of contents

**Title page**

**Signature page**

**Abstract** (must start on page iii)

**Summary** (where dissertation is not written in English)

**Acknowledgments or Dedications**

**Table of contents** (includes everything after the table of contents)

**List of figures**

**List of tables, illustrations, equations, special symbols, abbreviations, definitions, etc.** (where applicable)

**Text of dissertation** (starts with “Page1” written in Arabic numerals – 1, 2, 3, etc.)

**Endnotes** (where applicable) **Bibliography or references** **Appendices** (if any)

**Glossary**(where applicable)

*N.B. Title page, Signature page, and Acknowledgments are not included in the Table of Contents*

### 3.2 Format guidelines and technical regulations for submission

#### 3.2.1 Initial submission

Students should obtain written approval from supervisor(s) in order to submit their dissertation for defence. The dissertation should be in its final version and ready for defence. Once submitted, the thesis examination process has begun.

Students must submit three paper copies and an electronic version of their dissertation. A PDF version is required but the student may also supply an editable version that examiners may find more convenient to annotate with comments.

Dissertations may be submitted for examination unbound either in file folders or boxes, carrying a clear label with the dissertation title, student name and the Institute's name.

### 3.2.2 Final submission: After dissertation defence

3.2.2.1 Students must submit their final version of their dissertation in hard copy as well as electronically i.e. in a PDF format. The final version must include any required modifications requested by the Examining Committee and any formatting revisions requested by the Institute. Within two weeks after the date of the defence, the student must submit to the Institute: i) an original copy accompanied by approval sheets signed by all members of the examining board, ii) four hard copies of the original and, iii) a soft copy of the dissertation. All copies shall remain property of the University.

3.2.2.2 The PhD Programme Coordinator is responsible for ensuring that the examiner's evaluation forms, the examination report and the completed signature sheets are forwarded to the Institute by the above dates. The Office of the Registrar will be informed that the student has completed all dissertation requirements for the degree in order to be processed for graduation. Upon final submission of the dissertation, a student shall be deemed to have granted the University a non- exclusive, royalty free license to reproduce, archive, preserve, conserve, communicate to the public by telecommunication or on the internet, loan and distribute the thesis worldwide for non- commercial purposes, in any format.

### **a. Page Format**

The submission of the thesis must be on A4 sized paper. It must be double spaced, written in 12 point size, standard font, with a 1.5-inch (3.81 cm) left hand margin and a 1-inch (2.54 cm) margin on the top, bottom and right margins. Charts, tables, figures, appendices, references and all other pages must also conform to the required technical regulations and must not extend beyond the margins.

### **b. Page Numbering**

Pages must be numbered consecutively, as must be chapters, sections, etc., in accordance with the above-mentioned style guidelines, or with standard conventions used in technical work. Consistency in numbering must be maintained throughout the work (including Appendices).

If students find it necessary to use formats other than those described above, the format used must conform to standard usage in their field, and be accepted to the supervisor and the Institute.

## Appendix 4

### Sample PhD title page

Title of Dissertation

Name of Author

A Dissertation Submitted to

Full Name of the Department

Presented in Fulfilment of the Requirements for the  
Degree of Doctor of Philosophy

(Name of Degree)

Addis Ababa University  
Addis Ababa, Ethiopia  
September 2012

## Appendix 5

### Sample PhD signature page

Addis Ababa University  
School of Graduate Studies

This is to certify that the dissertation prepared by [name of student], entitled: [dissertation title] and submitted in fulfillment of the requirements for the degree Doctor of Philosophy [name of degree] complies with the regulations of the University and meets the accepted standards with respect to originality and quality.

Signed by the Examining Committee:

Examiner \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Examiner \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Advisor \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Advisor \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

Chair of Institute or PhD Programme Coordinator

Signature \_\_\_\_\_ Date \_\_\_\_\_



# IPSS

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