

Hazara University Graduate Programs

Regulations & Procedures (Revised 2023)



Hazara University, Mansehra
Website: www.hu.edu.pk, email: dir_ar@hu.edu.pk
Phone no. 0997-414159 Fax no. 0997-414111

PREFACE

A dynamic system always needs changes for improvement. The Higher Education system in Pakistan is having an array of improvements since 2001 after University Grants Commission was upgraded as *Higher Education Commission of Pakistan*. The HEC has recently revised several policies. The new policies have been recommended for implementation to the HEIs with effect from the *Semester Fall – 2023*, which include the ***Graduate Education Policy (GEP) – 2023*** and ***Undergraduate Education Policy (UEP) - 2023***. Hazara University adopted the said policies in the 29th meeting of the Academic Council. However, besides adoption, for the practical implementation, the University Regulations (related to Graduate and UG both) also needed revision to accommodate the new changes/updation brought by these policies of 2023 and the procedures for the process were required to have been explained. Realizing this, the Academic Council constituted a committee for the purpose which completed its task in a very short time within the targeted period and complied with the document presented here. It contains procedures/matters related to both PhD and MPhil (equivalent) programs separately, in the form of Regulations while additional information is annexed. Hazara University has always aimed at quality graduate studies and producing high quality graduates beneficial for solutions to the problems faced by our society through the skills they have acquired during their study phase at Hazara University. For the purpose, already well developed and comprehensive rules and regulations existed along with other policy documents pertaining to the academic matters of the University. Now this revised document of *Regulations* related to the MPhil (equivalent) and PhD programs will pave the way for the implementation of the fresh policies of HEC. This document will act as a quick reference of guidelines and procedures with regards to the recurring academic activities related to the graduate programs such as eligibility criteria, plan of studies, thesis, examination, final defense timings and clarified order of milestones in issuance of notification, award of degree and final submission of PCD-form to HEC. Besides, compliance to this document by the academic departments, Chairpersons, Deans and relevant Administrative Sections, I believe that the students and their supervisors or research advisors have also responsibility upon them to **be aware of and comply with all regulations, policies, procedures, and guidelines along with the deadlines/dates and complete Academic & Research Calendars.**

Professor Dr Mohsan Nawaz
Vice Chancellor

Contents

1.	Short Title, Commencement and Application.....	5
1.1	Legal Title and Validity	5
2.	Definitions:	5
A.	Regulations and Procedures for Master of Philosophy or Equivalent Degree Programs	7
3.	Eligibility Criteria for MS/MPhil Admission and Merit.....	7
3.1	Eligibility Criteria.....	7
3.2	Evaluation of the Candidates and Preparing Merit List:	8
3.3	The Role of Advanced Studies and Research Board (ASRB)	8
4.	General Rules and Regulations.....	8
4.1	Degree Completion Timeline	8
4.2	Coursework Requirement for Award of MS/MPhil/Equivalent Degrees For award of MPhil/MS/equivalent degree.....	9
4.3	Transfer of Credit Hours at MS/MPhil Level. (Also, for PhD Level See Section 13.3 of PhD Regulations)	9
5.	Graduate Research Committee (GRC)	9
5.1	Functions of the Committee	10
5.2	Complaints Handling System	10
6.	Synopsis and Appointment of Supervisor	10
7.	Exit Seminar or Presentation at the conference level (<i>MPhil by Research</i>)	11
8.	MS/MPhil Thesis.....	11
8.1	Internal Evaluation of the MS/MPhil Thesis/Dissertation.....	11
8.2	Anti-Plagiarism Certification and External Evaluation.....	12
8.3	Viva-Voce Examination.....	13
B.	Regulations and Procedures for Doctor of Philosophy (PhD).....	14
9.	Introduction	14
10.	MINIMUM REQUIREMENTS FOR AWARD OF DOCTORAL DEGREE (LEVEL – 8) ..	14
10.1	Advertisement, Qualification, Admission & Registration	14
10.2	CGPA.....	15
10.3	Admission Test:	15
10.4	Statement of Purpose	16

10.5	Evaluation of the Candidates and Preparing the Merit-list.....	16
10.6	Role of ASRB in PhD Program	17
10.7	Graduate Research Committee (GRC)	17
10.8	Supervisor and Allocation of supervisor to student	17
11.	General Conditions to Supervise Doctoral Research/ Criteria to be a PhD Supervisor.....	17
12.	Publication Requirements to Supervise Doctoral Research:	18
12.1	Role of Supervisor	18
12.2	Co-Supervisor:.....	18
13.	General Rules, Regulations and Procedures related to PhD Program	19
13.1	Degree Completion Timeline	19
13.2	Coursework and Residency Requirement.....	19
13.3	Credits Transfer, Evaluation and Grading at PhD Level	19
13.4	Removal of PhD Research Scholar	19
14.	Examinations	20
14.1	Level-I: Comprehensive Examination	20
14.2	Level – II: Research Synopsis Defense	21
14.3	Change of Topic or Supervisor	21
14.4	Level-III: Dissertation Evaluation and Examination	22
14.4	Approval of Dissertation and Pre-evaluation Committee.....	22
14.5	Evaluation of the PhD Dissertation	23
14.6	Plagiarism and Similarity Test.....	23
15.	Appointment of Examiners/Evaluators	24
15.1	Selection of External Evaluator:.....	24
15.2	Reports from the Evaluators	25
16.	Research Publication	25
17.	Viva Voce/Public Defense	26
18.	Completion and Award of PhD degree	27
19.	Foreign Research Scholars and PhD Program.....	27
20.	Compliance and Violation	27
21.	Entry into PhD Country Directory (PCD)	27
	Annexure-A	28
	Annexure-B.....	29
	Annexure-C (Retributive Actions for Violation of these Regulations).....	30

1. Short Title, Commencement and Application

1.1 Legal Title and Validity

- a. These Regulations shall be called “Hazara University Graduate Programs (MS/MPhil and PhD) or Equivalent Regulations & Procedures (Revised 2023)”.
- b. These regulations emanate from the policies and guidelines of the Higher Education Commission regarding the conduct of graduate degree programs in various disciplines of study. These regulations derive their validity from the Khyber Pakhtunkhwa Universities Act, 2012 (Amended till now). Any amendment or changes to these regulations will be carried out as per the procedure described in the ACT and Statutes.
- c. ***These regulations and procedures shall apply to all candidates/students who wish to seek admission to graduate programs (i.e., MPhil or equivalent and PhD) in the Fall 2023 and afterwards.***
- d. In situations where these regulations or procedures are silent, other relevant rules and regulations (such as semester rules, various approved policy matters, etc.) of Hazara University shall apply.
- e. In situations where it is difficult to interpret a section or clause or a group of these rules, regulations and procedures or there is a hardship case(s), the matter will be referred to the Postgraduate Regulations & Hardship committee (PGRHC) by the Chairperson/HoD concerned through the Dean. The recommendations made by the committee after approval from the Vice Chancellor shall be implemented accordingly. The Vice Chancellor shall constitute this Committee comprising of the following:

i. Dean	Convener
ii. Director QEC	Member
iii. Controller of Examinations	Member
iv. Additional/Deputy Registrar (Academics)	Member
v. One Chairperson	Member
vi. One Professor/Associate Professor	Member
vii. Concerned Chairperson/HOD (in case of Hardship)	Member
viii. Director (A&R)	Member/Secretary

Note: *Quorum for the committee will be five (05).*

2. Definitions:

In these Regulations, unless the context otherwise requires, the following expressions shall have meanings hereby respectively assigned to them, that is to say:

- a. “**University**” means Hazara University, Mansehra.
- b. “**HEC**” means Higher Education Commission, Islamabad Pakistan.
- c. “**Academic Council**” means the Academic Council of Hazara University.

- d. **“Academic Calendar”** A schedule of the whole academic year (including fall, spring and summer semesters, semester starting date, holidays during the semester, semester termination date, Mid-Term exam week, Final exam week, Result notification date etc.).
- e. **“Academic Department”** means a teaching, research and technology development department maintained and administered by Hazara University.
- f. **“Authority”** means any of the authorities of the University specified in Khyber Pakhtunkhwa Universities Act 2012 (Amended 2016).
- g. **“ASRB”** means Advanced Studies and Research Board of the University.
- h. **“Chairperson/Chairperson of the Department/Director of the Institute”** means the head of an Academic Department/Institute and includes the Chairperson.
- i. **“Chancellor”** means Chancellor of the University.
- j. **“Committee”** means Committee constituted for a specific purpose.
- k. **“Dean”** means the Dean of a Faculty of Hazara University, who in his ex-officio capacity is also Chairman of the Board of Faculty.
- l. **“Prescribed”** means prescribed by Statutes, Regulation or Rules made under Khyber Pakhtunkhwa Universities Act 2012 (Amended 2016).
- m. **“Registered Graduate”** means a graduate of the University who has his name entered in the register maintained for this purpose.
- n. **“Statutes”, “Rules” and “Regulations”** respectively mean the Statutes, the Rules and the Regulations deemed to have been made under the Khyber Pakhtunkhwa Universities Act 2012 (Amended 2016).
- o. **“Syndicate”** means the Syndicate of the University.
- p. **“Teacher”** includes Professors, Associate Professors, Assistant Professors and Lecturers engaged whole time by the University or by the college for teaching diploma, degree or postgraduate classes and engaged in research and development and such other persons who may be declared as Teacher in Statutes.
- q. **“Vice-Chancellor”** means the Vice Chancellor of the University.
- r. **“PhD”** means the Doctor of Philosophy.
- s. **“MPhil”** means the Master of Philosophy.
- t. **“Supervisor”** means a permanent faculty member holding the necessary academic degree and experience, appointed by the Advanced Studies and Research Board to supervise the MS/MPhil or PhD student.
- u. **“Co-Supervisor”** means a person holding the necessary academic degree and experience, appointed by the Board of Advanced Studies and Research to supervise the MS/MPhil or PhD Student.
- v. **“Comprehensive Examination Committee”** means a committee constituted for the purpose of conducting comprehensive examination.
- w. **“GRC”** means Graduate Research Committee within each Academic Department.
- x. **“UGAT”** University’s Graduate Admission Test of each department.

A. Regulations and Procedures for Master of Philosophy or Equivalent Degree Programs

3. Eligibility Criteria for MS/MPhil Admission and Merit

The following steps are required for the admission and preparation of merit lists of the MS/MPhil degree programs:

3.1 Eligibility Criteria

- a. Basic Academic Qualification: Sixteen years of schooling or 4-year education (minimum 120 credit hours) after HSSC/F.A./F. Sc/Grade 12 or Equivalent shall be required for admission in the MPhil/MS/Equivalent program.
- b. The CGPA (2.0/4.0 or equivalent) in semester system or 2nd division in MA/MSc or equivalent in the relevant subject in annual system shall be required for admission. Candidates having some other qualification will be required to produce equivalency and relevancy certificates from HEC, Islamabad, or any other authorized organizations.
- c. Must have obtained 50% marks in the UGAT or valid GAT-General/GRE/HAT.
- d. **Intradisciplinary¹ Qualifications**

The intradisciplinary admission may only be allowed, if:

- i. The applicant has a strong interest in pursuing an MS/MPhil/equivalent degree in a different discipline.
- ii. The applicant has passed GRE-Subject/equivalent test with minimum 50% marks in the discipline of admission and has taken 6-9 CH of deficiency courses of level 6.
- iii. The admission committee is satisfied that the applicant's knowledge of primary area (level 6) has sufficiently prepared him or her to undertake the course of studies of the MS/MPhil/equivalent program (or, in the opinion of the admission committee, the preparation can be deemed satisfactory by taking a few additional courses after starting the program).
- iv. No objection certificate (NOC) for in-service candidate shall be mandatory from the respective employer to be attached with the admission form (in original). Without NOC the application shall not be considered.
- v. Good moral character. All those candidates, who were punished by any Degree Awarding Institute (DAI) for acts of plagiarism, indiscipline and other undesirable activities and were awarded major penalties, shall not be admitted to MPhil or equivalent program in the university under any circumstances.

¹Intradisciplinary refers to sub-disciplines occurring within one of the ten broad disciplines defined by UNESCO's International Standard Classification of Education (ISCED-F-2013).

3.2 Evaluation of the Candidates and Preparing Merit List:

Selection of the candidates for admission shall be made based on aggregate marks using the following parameters (previous academic record and Test/Interview).

- a. The Passing of UGAT/GRE-NTS/GRE/HAT is **mandatory**.
- b. Academic Record - 80% Distribution of the marks:
 - i. 10% Matric/SSC/O-Level or equivalent
 - ii. 20% F. Sc/FA/A-Level or equivalent, and
 - iii. 50% [50 BS/Pharm D or equivalent four/five years programs (in case of conventional system - 25 MA/MSc 2 years or equivalent and 25 BA/BSc 2 years or equivalent)],
 - iv. 20% - of the UGAT/GRE-NTS/HAT Test

3.3 The Role of Advanced Studies and Research Board (ASRB)

After completing all formalities as mentioned above, the following committee shall recommend all admissions to the ASRB for approval/confirmation. The committee shall be composed of the following members.

- | | | | |
|----|--|---|------------------|
| 1. | Director Academic and Research | - | Convener |
| 2. | Provost or his nominee | - | Member/secretary |
| 3. | Two members of the ASRB
(one (01) years tenure) | - | Member |
| 4. | Director SSC | - | Member |

The Vice Chancellor shall nominate the ASRB members. The quorum of the committee shall be three (03). The provost shall ensure the genuineness and authentication of data prior to submission to GAC and will be responsible for record keeping of student(s) files.

4. General Rules and Regulations

This section describes generic rules related to the MS/MPhil degree program:

4.1 Degree Completion Timeline²

- a. The MS/MPhil degree shall be awarded by the universities not before the completion of 1.5 years or three (03) regular semesters and not after completion of four (04) years or eight (08) regular semesters, save exceptions mentioned at Clause 4.1 (b) below.
- b. In case a student is unable to secure an **MPhil degree (or equivalent)** within the prescribed timeframe and claims for extension in duration, the concerned Dean shall refer the case to the hardship committee to determine the causes of delay. In the event of force majeure (i.e., delay on account of circumstance beyond the control of student), the ASRB may grant an extension in the period of award of

² The students enrolled before the enactment of this policy shall also be dealt following the procedure outlined in this document.

MS/MPhil degree in accordance with the duration limiting factor(s) and shall also take corrective measures in case the delay is caused by process or administrative reasons.

4.2 Coursework Requirement for Award of MS/MPhil/Equivalent Degrees For award of MPhil/MS/equivalent degree

The candidates shall:

- a. Either need to complete 30 credit hours of course work or
- b. Complete 24 credit hours of coursework along with a minimum of six (6) credit hours for research work/thesis.
- c. Must have obtained a CGPA 2.5 or above.

4.3 Transfer of Credit Hours at MS/MPhil Level. (Also, for PhD Level See Section 13.3 of PhD Regulations)

- a. Students from other HEC recognized universities may be transferred subject to scrutiny by the Standing/Transfer Admission Committee. Transfer cases (if any) will be processed by the Standing/Transfer Admission committee as per University and HEC guidelines. The content should have at least 80% similarity in the said program of both institutions.
- b. The transfer of research work is permissible, provided that:
 - i. The Hazara University shall accept research conducted at the parent university.
 - ii. Research supervisors of both Hazara University (host) and parent universities consented in writing for such transfer.
 - iii. No credit hour of a course will be transferred if the grade is less than "B" (B-minus)/equivalent".

5. Graduate Research Committee (GRC)

There shall be a "Graduate Research Committee" (GRC) in each Department, comprising of the following members:

- a. *Chairperson of the Department* shall be the Convener of the committee. In case of no full-time Chairperson in the department, the *Dean concerned* shall be the Convener of the committee and the *HOD in-charge of the Department* shall be the member.
- b. Two PhD faculty members from the Department concerned to be appointed by the Vice Chancellor from a panel of four PhD level faculty members forwarded by the department through the Dean.
- c. One external expert in the relevant field. The Chairperson/HoD shall propose a panel of three external experts from the ASRB approved list of examiners for the approval of Vice-Chancellor through the Dean concerned.
- d. Supervisor(s) concerned.

The quorum of the committee shall be three (03) members and the tenure of the members other than ex-officio members will be two (02) years.

5.1 Functions of the Committee

- a. All matters related to the Research work of the MS/MPhil students shall be handled by the GRC.
- b. MS/MPhil student shall present his/her synopsis to the GRC. The student will prepare synopsis under the supervision of his/her supervisor as mentioned in the later part of this document.
- c. After the successful defense of synopsis by the student, the committee shall issue a certificate and send the synopsis to the ASRB for final approval.
- d. The Chairperson/HoD shall ensure that all corrections/suggestions of the committee have been incorporated by the student before sending synopsis to the Dir (A & R) for final approval by the ASRB.
- e. The Committee shall ensure that changes, amendments, or any suggestions made by the ASRB are fully incorporated in the synopsis.
- f. After the approval of the synopsis, the Committee shall monitor the progress of students regarding their theses and shall make sure that the theses are of high quality.
- g. Once the thesis is completed, the committee, through the supervisor concerned, shall arrange the final examination of the MS/MPhil thesis as per the university guidelines and policies.
- h. Any other function approved by the ASRB to be performed by the GRC.

5.2 Complaints Handling System

In case of complaint regarding the decision of GRC, the matter shall be referred to the Vice Chancellor for a final decision through the Director (A&R).

6. Synopsis and Appointment of Supervisor

- a. Each MS/MPhil student shall be assigned a supervisor by the Department concerned to guide him/her for thesis at the time of admission / Enrollment.
- b. The ASRB shall appoint supervisor on the recommendation of the GRC.
- c. A supervisor appointed for the MS/MPhil thesis shall hold a Doctorate degree and shall be a full-time teacher at the University unless otherwise permitted by the ASRB as per HEC policy.
- d. Each MS/MPhil student shall select a title (topic of research) for his/her thesis/dissertation in the first semester.
- e. The synopsis shall be prepared by the student under the guidance of the supervisor as per the approved format.
- f. Plagiarism test shall be conducted by the supervisor as per the HEC and HU policies before sending the synopsis to the Chairperson/HoD.
- g. To qualify for thesis, a student must maintain a minimum CGPA of 2.5 in the course work (24 CrHr).
- h. Before submitting synopsis to the GRC, the student shall clear all dues.
- i. The synopsis shall be evaluated by the GRC and be submitted to the ASRB for final approval through the Chairperson/HoD concerned.
- j. Any changes/corrections, if proposed by ASRB, in the synopsis shall be communicated to the student through the department for compliance within a week time of the approval of the minutes of ASRB. The department shall submit a

compliance report regarding corrections in the synopsis to the secretary ASRB and be presented to ASRB.

7. Exit Seminar or Presentation at the conference level (MPhil by Research)

- a. Publishing an article/research paper is not a requirement for the award of MS/MPhil degree. However, the university encourages MS/MPhil level students to publish their research work in a HEC recognized journal or at least present the research work at a national level conference. The Chairperson/HoD shall determine the relevancy of the conference.
- b. In case a student cannot get time to publish his/her research, he/she shall have to deliver a seminar about his/her research to the fellow students and other researchers in the university.

8. MS/MPhil Thesis

- a. A student shall complete a thesis/dissertation on the approved topic. In case of any change in the title or research objectives/or any other thing after approval of the synopsis, the same shall be required to be placed before the ASRB through the GRC concerned.
- b. A student shall follow the approved format of thesis/dissertation.
- c. After completion of thesis/dissertation, a student shall submit one (01) spiral/taped bound copy and an e-copy (pdf format) of the thesis to the supervisor.
- d. The supervisor shall:
 - i. Besides fulfillment of other codal formalities, run the anti-plagiarism test to ensure that the similarity score is not exceeded than the HEC's approved limit.
 - ii. Generate the similarity index report and verify it.
 - iii. Submit a validation statement certificate.
 - iv. Forward the submitted thesis (spiral/taped bound copy) and e-copy (PDF) along with the anti-plagiarism test application to the Chairman/Chairperson/Head of Department for further processing.
- e. The Chairperson/Head of Department shall forward thesis to the GRC for final examination within one month.

8.1 Internal Evaluation of the MS/MPhil Thesis/Dissertation

- a. The Chairperson shall call a meeting of the GRC (internal members only) for the Pre-evaluation (exit) Seminar for the student(s).
- b. The student shall present his/her thesis to the GRC (internal members only) for internal evaluation purposes (this shall also be considered as a Pre-evaluation Seminar). The Department shall not arrange this event during the public holidays, over- weekend and other designated holidays announced by the Government. However, in case of emergency permission from the Dean and Vice Chancellor must be obtained before organizing pre-evaluation seminar on weekend only.
- c. Like other examinations, the Pre-evaluation Seminar can be conducted through Video-link. However, in such cases, approval from the Vice Chancellor on the recommendation of Dean concerned shall be mandatory.

- d. The suggestions or corrections (if any) recommended by the GRC shall be communicated to the student for compliance.

8.2 Anti-Plagiarism Certification and External Evaluation

A single step procedure shall be adopted for issuance of anti-plagiarism certificate and for external evaluation of MS/MPhil thesis/dissertation.

- a. The chairman shall furnish a list of two (02) ASRB approved external evaluators (Prior consent is necessary) who shall be:
 - i. Unrelated to student and supervisor
 - ii. Not a part of any academic and research collaboration with supervisor.
- b. Forward list of evaluators and internally approved thesis to Dir A&R through Dean concerned.
- c. The Director A&R shall issue the anti-plagiarism certificate based on the similarity index report submitted and verified by supervisor.
- d. In case of submission of forged/tempered similarity index report, the supervisor shall be held responsible.
- e. The thesis shall be evaluated by one external evaluator.
- f. The A&R office shall get the approval of external evaluator from vice chancellor in sequential order of principle and stand by as 01 & 02.
- g. If the evaluator fails to evaluate the thesis OR does not respond within 30 days, the evaluator shall be sent a reminder to respond within a further 15 days. In case the evaluator does not respond even after the reminder, he/she shall be automatically dropped as evaluator. Subsequently, Director (A&R) shall replace this evaluator with the standby external examiner and shall send the thesis for evaluation.
- h. The Director (A&R), after receiving the evaluation report shall communicate it to the Chairperson/HoD for the compliance by the student.
- i. The student shall submit the corrected/revised copy of thesis (taped/spiral bound) after incorporation of corrections (if any) to the Chairperson/HoD concerned through his/her supervisor. The Chairperson/HOD shall forward the corrected version of thesis to Dir A&R through Dean concerned.
- j. The supervisor shall be responsible to ensure the incorporation of all corrections/suggestions proposed by the external evaluator by the student before the final defense of the thesis.
- k. In case, the thesis is not recommended by the evaluator, a committee comprising of Dean concerned, Director (A&R), and Chairperson/HOD will review the decision of the external evaluator and if the committee is not satisfied with the decision, the thesis shall be sent to another examiner. In case the second examiner also rejects the thesis, the decision shall be considered as final. If the second examiner recommends thesis, the thesis shall be processed as usual.

8.3 Viva-Voce Examination

- a. The Chairperson/ HOD shall forward the corrected thesis to the Dean concerned and Director (A&R) for appointment of Examiners by Vice Chancellor for Viva-Voce.
- b. A committee comprising Chairperson /HOD, External Examiner, Internal Examiner, and Supervisor(s) concerned shall conduct the Viva-Voce on the pattern of public defense.
- c. The date and timings of viva shall be finalized by the mutual consent of chairman and the external examiner. The Director (A&R) shall notify the mutually consented date accordingly.
- d. On the day of viva voce, the student shall be required to be present in person in the concerned department for examination.
- e. Online Viva may be conducted in special circumstances if required, subject to the approval of:
 - i. Vice Chancellor (through A&R) if student appear online and
 - ii. Dean of Faculty if the external examiner wants to be online.
- f. In case the evaluation committee suggested minor changes, correction or observations after the examination, the supervisor shall make it sure that all the observations are properly addressed by the student within the specified period, preferably not more than one month from the day of the viva voce.
- g. If the thesis is declared acceptable but the student fails to satisfy the Viva-Voce Committee, the Committee may recommend/allow the student to present the thesis in a Re-viva Voce examination within a maximum period of ONE MONTH.
- h. In case the student fails to defend his/her thesis to the satisfaction of the Viva-Voce Committee in the second attempt, the student shall be deemed as FAIL.
- i. The passed student shall submit two (02) hard-bound copies (01 for central Library and one (01) for the student) as per approved format of thesis to the department.
- j. Upon successful viva voce, the award list along with all other necessary documents shall be sent by the Chairperson/HODs to the Director (A&R).
- k. The Director (A&R) shall forward the complete file to the Controller of Examination along with the signed copy of thesis (both hard and soft form) for final notification.
- l. Finally, the controller of examination shall retain the file and submit the hard copy to the central library.

B. Regulations and Procedures for Doctor of Philosophy (PhD)

9. Introduction

This part of the document presents rules, regulations and procedures related to the PhD program at Hazara University. All matters related from admission/ enrolment to graduation are covered in this part. HEC's guidelines and standards were followed while developing this document. Research Scholars and common readers must be familiar with other policy and legal documents of the university including academic/semester rules, etc., and the research scholars are also advised to visit the official website of university from time to time to get latest information in this regard.

10. MINIMUM REQUIREMENTS FOR AWARD OF DOCTORAL DEGREE (LEVEL – 8)

This section describes the basic eligibility requirements for admission to the PhD program and preparation of merit list.

10.1 Advertisement, Qualification, Admission & Registration

Admission to a PhD program in any discipline shall be based on the availability of resources and willingness/commitment of the supervisors for the entire duration of the PhD studies of the candidate subject to the eligibility criteria of the university as below.

a. Admission Process

- i. The university shall advertise Admissions as per its approved academic calendar.
- ii. A candidate seeking admission to PhD program shall apply as per procedure stated in the admission advertisement and/or given on the official website of the University.
- iii. All applications received through online system shall be scrutinized as per the admission requirements.
- iv. All documents and credentials provided by the candidates shall be scrutinized and verified by the provost. For this purpose, access to the system (CMS) shall be provided to the provost/ relevant staff as per requirements.
- v. The candidate shall be required to deposit semester fee after the display of provisional admission/merit list.
- vi. The next candidate shall be admitted on merit if a candidate fails to pay semester fee within the stipulated time.
- vii. The admission section (SSC & Provost) shall be responsible for timely communication of student's list (who deposited fee) to Director (A&R) and the department concerned soon after the due date as notified in the advertisement for the confirmation of the admission.
- viii. Each enrolled PhD scholar shall be assigned a supervisor by the GRC (in the 2nd semester) based on rational distribution of scholars among the PhD faculty and the student-supervisor mutual consent and shall be submitted to the Dir (A&R) for confirmation by ASRB.

b. Qualification

- i. Prior to admission to a PhD program, the student shall have MS/MPhil or equivalent degree as described in these regulations.
- ii. Upon evaluation of the Statement of Purpose, verification of other documents/formalities by the admission committee and on satisfactory report, the candidate(s) shall be enrolled provisionally. Clause 3.3 refers for detail related to confirmation of admission.

c. Intra-disciplinary³ Qualifications Intra-disciplinary admissions may only be allowed, if:

- i. The applicant has a strong interest in pursuing a PhD in a different discipline.
- ii. The applicant has passed GRE-Subject/Equivalent Test with minimum 50% marks in the discipline of admission and has taken 6-9 CH of deficiency courses of level 7.
- iii. The admission committee is satisfied that the applicant's knowledge of the primary area (level 7) has sufficiently prepared him or her to undertake the course of study of the doctoral program (or, in the opinion of the admissions committee, the preparation can be deemed satisfactory by taking a few additional courses after starting the program).

10.2 CGPA

- a. For admission in PhD programs, a minimum CGPA of 3.0 (out of 4.0 in the semester system) or 60% (in the annual system) in the MS/MPhil/equivalent degree being considered for admission, is required, whether such degree was obtained from Pakistani or foreign universities.
- b. If the CGPA/Percentage is not mentioned on the transcript, the candidate must produce equivalent weightage from the parent university.
- c. The students having strong demonstrated interest in obtaining PhD degree, but their CGPA is below 3.00 (out of 4.0 in the semester system) or 60% marks (in the annual system) in the most recent degree obtained, may be admitted to a PhD program after fulfilling the following requirements:
 - i. Shall study additional courses of 9-12 CH of level 7 taking a zero semester at admission awarding university/HEI/DAI and score minimum 3.00 out of 4.00 GPA.
 - ii. The admission committee is satisfied that the applicant's knowledge of primary area (level 7) has sufficiently prepared him or her to undertake the course of studies of the doctoral program.
 - iii. These requirements shall be in addition to any other requirements set in this policy for admission to a PhD program.

10.3 Admission Test

- a. The passing of the UGAT/NTS/HAT is **mandatory**.
- b. University is required to:

³ Intra-disciplinary refers to sub-disciplines that occur within one of the ten broad disciplines defined by UNESCO's International Standard Classification of Education (ISCED-F-2013).

- i. Conduct the test equivalent to GRE/HAT General developed at the University, with the passing score of 60%. OR
 - ii. Accept a test equivalent to GRE/HAT General, conducted by testing bodies accredited by HEC, with a passing score of 60%.
- c. In addition to requirements mentioned in clause (a-b), following shall also be fulfilled:
 - i. No objection certificate (NOC) for in-service candidate shall be mandatory from the respective employer to be attached with the admission form (in original). Without NOC the application shall not be considered.
 - ii. Good moral character from previous educational institution is pre-requisite for admission to PhD program. All those candidates, who were given major penalties by previous degree awarding institute (DAI) for indiscipline or other undesirable activities shall not be admitted to PhD program under any circumstances.

10.4 Statement of Purpose

- a. As part of the application for admission to PhD programs, applicants shall be required to submit a statement of purpose, which shall form an integral part of the application. The admissions committee shall use the information provided to ascertain the preparedness and interest of the candidate in pursuing doctoral studies, and whether the department has the requisite resources to train and supervise the doctoral candidate in the specialty in which the applicant is interested. A statement of purpose shall, at least, include the following:
 - i. Title of the potential research proposal
 - ii. Clear articulation of the current understanding of the intended field and ideas for potential research
 - iii. Explanation of the intended impact of the proposed research.
- b. The prospective candidates shall demonstrate passion and enthusiasm for the area of research.

10.5 Evaluation of the Candidates and Preparing the Merit-list

After fulfilling eligibility criteria, selection of a candidate for admission to PhD program shall be made on the basis of aggregate marks as per distribution formula (previous academic record and Interview) given under:

- a. **Academic – 70%**, the distribution of marks shall be:
 - i. F. Sc/equivalent – 10%
 - ii. BS (4 years/equivalent) – 30% *or* [B.Sc. 2 years = 15% plus M.Sc 2 years = 15%]
 - iii. MS/MPhil – 30%
- b. Statement of Purpose – 10%⁴
- c. UGAT/GRE-NTS/HAT – 10% of the Test's score
- d. Interview –10%⁵

⁴ For statement of Purpose read HEC GEP-2023

⁵Departmental admission committee shall conduct the interview.

10.6 Role of ASRB in PhD Program

Refer to Section 3.3 above.

10.7 Graduate Research Committee (GRC)

The composition and functions of the GRC shall remain the same as mentioned in *Section 5 (a – e)* and *Clause 5.1 (a – h)*, respectively.

10.8 Supervisor⁶ and Allocation of Supervisor to Student

A student shall be assigned a supervisor and co-supervisor in accordance with the general conditions/guidelines mentioned at *Section 11 & 12* of these regulations.

11. General Conditions to Supervise Doctoral Research/ Criteria to be a PhD

Supervisor.

The following general guidelines/conditions shall, at least, be observed while allocating a PhD supervisor. At the time of supervisor allocation, the supervisor(s):

- a. Shall be a PhD degree holder from an HEC recognized National/International university/degree awarding institute (DAI).
- b. Shall be a permanent/adjunct faculty member or researcher at a public or private university or DAI, or position of researcher or scientist at any R&D or public/private sector organization. However, in the case of a non-faculty PhD supervisor, who otherwise meets the criteria of being a PhD supervisor, shall be taken as an adjunct faculty member, for a period not less than the minimum time required to complete the student's PhD research, prior to assigning a PhD supervision. Such a person shall also provide an NOC from the parent organization.
- c. Must be relevant to the field of research in which the student intends to conduct research.
- d. Should have NO CONFLICT OF INTEREST in personal, financial, or professional stakes. Specifically, a close relative (blood relation) or spouse of research scholar shall not be allowed to be a supervisor/co-supervisor, external evaluator, or member of the Viva Voce Committee.
- e. Should have the time and availability to supervise PhD dissertation and give clear and constructive feedback.
- f. Should be capable of maintaining confidentiality and protecting the intellectual property of the dissertation.
- g. The research supervisor shall be allocated to a doctoral student from the date of enrolment.
- h. Supervisory workload of research supervisors should be determined based on the nature of the institution, availability of teaching and research facilities, and the academic standing of supervisors. However, it is mandated that the maximum supervisory load shall not exceed five PhD students at a time.

⁶ See Annexure – A, Role of Supervisor

- i. **Fresh PhD Faculty** can supervise MS/MPhil and co-supervise PhD students, while a PhD faculty member, after two years of obtaining a PhD degree, subject to fulfillment of other conditions provided in these regulations/HEC policy:
 - (i). can supervise one PhD student in 3rd year,
 - (ii). two PhD students in 4th year and
 - (iii). maximum up to 05 PhD students from **5th year onward**,
- j. PhD research work completed under supervision is a shared intellectual property of supervisor and supervisee. All publications resulting from such research shall reflect the authorship of both parties and shall be subject to mutual consent.
- k. The supervisor (other than adjunct) shall be from the same department (where the scholar is enrolled).

12. Publication Requirements to Supervise Doctoral Research:

In addition to fulfilling the General Requirements, a PhD supervisor must publish research articles in the HEC's recognized research journals and the category specified in the *HEC-Journal-Recognition-System* (HJRS) for the publication year. These conditions are different for different disciplines and aim to ensure that the potential PhD supervisor is an active researcher:

S. No.	Specific Requirements for:	For indigenous and foreign PhDs:		
		Within the last 03 years after PhD	OR	Within last 05 years after PhD
a.	Science and Technology	At least one research publication in W category journal	or	At least five research publications in X category journal
b.	Social Science, Arts & Humanities and Business Education	At least one research publication in W category journal	or	At least five research publications in X and Y category journals
c.	Regional and National Languages	At least one research publication in X category journal	or	At least five research publications in X or Y category journals

12.1 Role of Supervisor

Refer to Annexure – A of these regulations.

12.2 Co-Supervisor

The Co-supervisor(s) shall be eligible to supervise (not more than 03 students at a time) dissertation/thesis if:

- a. have PhD or equivalent degree from HEC recognized DAIs.
- b. have co-supervised at least two (02) MS/MPhil/Equivalent level theses along with a senior/HEC approved PhD supervisor to gain three (03) years' experience.

- c. have already supervised three (03) MPhil theses after obtaining an MPhil degree but before obtaining PhD degree; shall be exempted from the three (03) years post PhD experience as mentioned above.

13. General Rules, Regulations and Procedures related to PhD Program

This section describes various generic rules related to the execution of the PhD degree program at Hazara University.

13.1 Degree Completion Timeline⁷

- a. The PhD degree shall be awarded by Hazara University not before the completion of three years or six regular semesters and not after completion of eight years or 16 regular semesters, save exceptions mentioned at Clause 13.1 (d) below.
- b. The completion date of PhD degree shall be reckoned with the date of notification (by CE office) of the award of PhD degree.
- c. The maximum duration shall be determined from the date of student enrolment until the date of the completion notification of the PhD degree.
- d. In case a student is unable to secure a **PhD degree** within the prescribed timeframe and claims for extension in duration, the concerned Dean shall refer the case to the hardship committee to determine the causes for delay. In event of force majeure i.e., delay on account of circumstance beyond the control of student, the ASRB may grant an extension in the period of award of PhD degree in accordance with the duration limiting factor(s) and shall also take corrective measures in case the delay is caused due to process or administrative reasons.

13.2 Coursework and Residency Requirement

The following requirements shall be fulfilled before the award of a PhD Degree:

- a. The students shall complete the coursework of at least:
 - i. **18 credit hours**
 - ii. The courses shall be offered through regular classes (i.e., classes taught on campus by full-time faculty members of the university)
 - iii. PhD degree should be based on research, not only on credit hours.
- b. A student shall be encouraged to take extra non-credit course(s) during his/her studies. However, such course(s) will not be counted towards PhD Degree.

13.3 Credits Transfer, Evaluation and Grading at PhD Level

For credit transfer, the policy described in Section 4.3 of MPhil regulation shall be followed.

13.4 Removal of PhD Research Scholar

The ASRB may decide to remove a PhD student from the register on the basis of one or more than one of the following reasons:

⁷ The students enrolled before the enactment of these revised regulations/HEC GEP-2023 shall also be dealt following the procedure outlined in this document/HEC policy.

- a. In case of unethical conduct, a research scholar if proved guilty through departmental inquiry or University Discipline Committee.
- b. In case the dues (fee) for the semester(s) have not been paid.
- c. Research scholar who did not achieve/improve the **CGPA 3** out of scale 4.
- d. On the request of PhD scholar.
- e. When there are two consecutive adverse reports⁸ submitted by the supervisor regarding the progress of the research scholar. However, a research scholar shall be given an opportunity of personal hearing by GRC, before exercising this clause.
- f. After exhausting the total allowed duration without completing PhD degree.
- g. The admission cancelled by ASRB shall be restored by ASRB through Hardship committee.

14. Examinations

To maintain high quality of PhD program, the University has designed three levels of examinations which are compulsory to qualify for the award of the PhD Degree.

14.1 Level-I: Comprehensive Examination

- a. After completion of the course work, a research scholar shall be required to pass a comprehensive examination.
- b. The required coursework, comprehensive exam, and approval of synopsis/research proposals from ASRB should be completed within the first 03 years (i.e., first six semesters of the registration) into a PhD program.
- c. It shall be the responsibility of the department to arrange the Comprehensive Examination. However, a research scholar shall apply for the comprehensive examination by using the prescribed proforma for the purpose.
- d. If a research scholar does not pass the comprehensive examination in the first attempt, he/she shall be given another chance on the recommendation of his/her supervisor. The registration of a research scholar shall be deemed canceled if he/she does not pass the comprehensive examination in the second attempt or prescribed time (three years), only the transcript for completion of course work may be issued to such student.
- e. In an event of force majeure i.e., noncompliance on account of circumstances beyond the control of student, the university may consider the matter in accordance with the procedure prescribed at Clause 13.1 (d) above.
- f. The comprehensive examination shall be conducted by the Comprehensive Examination Committee (CEC) approved by the concerned Dean on the recommendations of the Chairperson/HoD of the department. The committee shall comprise of the following members:

(i). Chairperson/HoD	Convener
(ii). Two Internal Examiners from the department	Member
(iii). Supervisor	Member

⁸ Six-monthly-progress report as per approved template/format is a mandatory record document to be maintained by the Supervisor concerned in the Supervisory file in sequential order. This report may be the periodic six-monthly report or report generated by the Supervisor related to specific failure.

(iv). Internal Controller of Examination

Member/Secretary

- g. The Dean will appoint two (02) internal examiners on recommendations of the Chairperson/HoD concerned.
- h. In case Chairperson/HoD is supervisor, the committee shall be headed by the next senior most faculty member in the committee. The convener of the committee shall be responsible for conducting a comprehensive examination by maintaining all records.
- i. The pass percentage for comprehensive examination shall be 60%.
- j. The paper for the comprehensive examination shall be based on all course work of the PhD program.
- k. The comprehensive examination shall be conducted in two parts:
 - i. **Part-I Written Paper:** The question paper shall be based on all core and elective courses studied by the research scholar.
 - ii. **Part-II Oral Examination:** by the Committee
 - iii. The supervisor shall only be allowed to set question paper of his/her subject only.
 - iv. Other parts of the question paper shall be composed by other faculty members who taught the subject in the department.
- l. In case the research scholar is not satisfied with the result of the comprehensive examination, he/she will have the right to appeal to the GRC for re-checking of the examination papers.
- m. In case a research scholar is still not satisfied with the outcome of his/her appeal, he/she can appeal to the *University Appellate Committee (UAC)* for the purpose. **The decision of the UAC shall be final.**
- n. After compilation of result, it shall be submitted to Director (A&R) and Controller of Examinations. The department shall also send a copy to the student and his/her supervisor.

14.2 Level – II: Research Synopsis Defense

After passing/clearing the comprehensive examination, the student shall submit a synopsis on a research topic in the department for onward processing by the GRC and ASRB. A research scholar shall be considered admitted to the candidacy once he/she passes the comprehensive examination and gets approved/defends his/her synopsis within 03 years of enrollment (first 06 semesters). The following procedure will be adopted for this purpose:

- a. The research scholar shall follow the ASRB approved format for the synopsis.
- b. The research scholar shall present and defend his/her synopsis before GRC.
- c. Upon successful defense of the synopsis before GRC, the GRC shall recommend the synopsis for approval by ASRB through the Dean/Director (A&R).
- d. The Director (A&R) shall notify the decision of ASRB.

14.3 Change of Topic or Supervisor

A PhD student shall be discouraged to make any change(s) to discipline, title of research synopsis or supervisor/co-supervisor once admitted to a program. However, under unavoidable circumstances, the following regulations shall be applicable.

- i. A student admitted to a PhD program once and in a specialization thereof, whichever applicable, shall not be allowed to change the program or specialization of study after one (01) month of admission/registration.
- ii. On the request of a PhD student, the ASRB, on the recommendations of Chairperson concerned, may change the supervisor or co-supervisor, within a period of one year after registration.
- iii. If supervisor or co-supervisor is to be reassigned to PhD scholar, the comments of existing supervisor or co-supervisor are mandatory to be obtained before assigning the new supervisor.
- iv. In case of conflict between supervisor and the student for genuine recorded reason(s) in writing, the supervisor or co-supervisor may be changed by the ASRB on the recommendations of GRC. The GRC will formally hear both the parties (supervisor and student) and forward its specific recommendations to the ASRB for final decision.
- v. In case the supervisor or co-supervisor resigns or permanently leaves the University, the ASRB shall assign a new supervisor or co-supervisor on the recommendations of GRC.
- vi. Any change(s) in the research synopsis including the title shall be approved by the ASRB on the recommendations of GRC concerned.

14.4 Level-III: Dissertation Evaluation and Examination

- a. Each PhD researcher shall write a doctoral dissertation reflecting relevance, credibility, effectiveness, and legitimacy of the research. The dissertation must be an original and innovative contribution to knowledge that contributes to solving socioeconomic problems.
- b. The research scholar shall undertake his/her research work with utmost honesty/integrity and with optimal utilization of available resources under the guidance of the supervisor(s).
- c. The authenticity and genuineness of the research work shall be joint responsibility of both the research scholar and the supervisor(s). *[See Anne – B, Advice for PhD students]*
- d. A research scholar shall report his research work in formally compiled form as per the Hazara University approved format.
- e. The dissertation shall be submitted to the Chairperson/HoD concerned through his/her supervisor with a certificate from the supervisor about the authenticity and quality of the dissertation.
- f. The GRC may recommend the dissertation for further process or may suggest required lab/practical/research work to complete the objectives of approved synopsis.

14.4 Approval of Dissertation and Pre-evaluation Committee

- i. The supervisor(s) shall thoroughly scrutinize the PhD dissertation and submit it to the Chairperson/HoD with a certificate that the dissertation is in line with the approved format of the University and meets the minimum standards/requirements laid down for the purpose.
- ii. The Chairperson/HoD shall forward the dissertation to GRC with the surety that

- it is in accordance with the synopsis earlier approved by ASRB.
- iii. The GRC shall thoroughly check the dissertation according to criteria to be given by Director (A&R) before its submission to the Pre-evaluation Committee.
 - iv. The Pre-evaluation Committee approved by the Vice-Chancellor on the recommendations of the Chairperson/HoD of the department and Dean concerned shall comprise the supervisor and three faculty members of the relevant subject. The Committee shall be chaired by the Dean of the faculty concerned.
 - v. The Chairperson/HoD in consultation with the Convener of Pre-evaluation Committee shall notify the date and time of the meeting two weeks before the seminar by providing soft/hard copies of the dissertation to each member of the committee. Upon satisfaction of the committee, the Pre-evaluation Seminar shall be arranged by the department with its intimation to the research scholar.
 - vi. The committee shall decide by majority vote and in clear terms as to whether approve/not approve/refer back/reject) the dissertation with recorded justifications within one week of the seminar.

14.5 Evaluation of the PhD Dissertation

The Director (A&R) shall be responsible for the processing of PhD dissertation for evaluation according to prescribed requirements and may complete the evaluation process within three (03) months.

14.6 Plagiarism and Similarity Test

- i. Under no circumstances shall a dissertation based on plagiarized research be acceptable. It is the primary responsibility of both PhD researcher (he/she) and (his/her) supervisor to prevent plagiarism. To avoid plagiarism, it is important to follow the provisions outlined in this document i.e., Governing Research Supervision and Research Ethics.
- ii. For Plagiarism COPE⁹ guidelines must be followed.
- iii. If a PhD dissertation is found to be plagiarized, it will be handled in accordance with the Anti-Plagiarism Policy issued by the Higher Education Commission, Pakistan¹⁰, as updated from time to time.
- iv. In accordance to the Academics Research Ethics described in Section 5 of Part-II by the HEC GEP – 2023, a similarity test, shall be conducted by the Supervisor on the dissertation, before its submission for evaluation.
- v. The research scholar shall be required to submit one (01) spiral/taped bound copy of the dissertations and e-copy (PDF) along with GRC certificate to the Chairperson/HOD through supervisor.
- vi. The chairman shall forward the internally approved thesis to Dir A&R through Dean concerned.
- vii. The Director A&R shall issue the anti-plagiarism certificate based on the similarity index report submitted and verified by supervisor.
- viii. In case of submission of forged/tempered similarity index report, the supervisor shall be held responsible.

⁹COPE (Committee on Publication Ethics) guidelines

¹⁰ Refers HEC Anti-Plagiarism policy (Version-2.0) for detail.

15. Appointment of Examiners/Evaluators

The PhD dissertation must be evaluated by:

- a. At least two external experts who shall be:
 - i. PhD faculty members from the world top 500 universities ranked by the Times Higher Education or QS World Ranking in the year corresponding to dissertation evaluation year.

OR

- ii. Pakistan-based Distinguished National Professors, Meritorious Professors from any national university; or professors from top universities ranked by HEC; or professors from any Pakistani University having a minimum H-Index 30 for sciences, 15 for Social Sciences or 8 for Art & Humanities as determined by Web of Science.

OR

- b. At least one external expert qualifying any one of the conditions *i.e.*, a (i) & (ii) above if the PhD candidate publishes dissertation research in a peer-reviewed journal that is classified by the HEC in category W for Sciences and X or above for Social Sciences.

15.1 Selection of External Evaluator:

- (i). The following general guidelines shall, at least, be observed while selecting external evaluator:
 - a. **Relevance of Expertise:** in the same or related fields as in the dissertation.
 - b. **No Conflict of Interest:** in personal, financial, or professional stakes in a particular decision or outcome.
 - c. **Objectivity:** capable of making unbiased evaluations.
 - d. **Diversity:** in terms of geography, culture, professional backgrounds etc.
 - e. **Reputation:** must be good in the field, with a track record of fair and thorough evaluations.
 - f. **Availability:** should have the time and availability to review the dissertation.
 - g. **Professionalism:** capable of conducting themselves in a professional and respectful manner throughout the evaluation and defense process (if applicable).
 - h. **Communication:** capable of providing clear and constructive feedback on the dissertation.
 - i. **Confidentiality:** capable of maintaining confidentiality and protecting the intellectual property of the dissertation.
 - j. **Compatibility:** well-versed with the research methodology, approach, and theories used in the dissertation.
- (ii). There shall be a standing ASRB approved list(s) of external examiners [in conjunction with clause 15.1] for each department consisting of the persons of eminence in the respective field of research.

- (iii). The Chairperson/HoD shall get consent from the examiners and after getting consent, the Chairperson/HoD shall forward a panel of evaluators to the Director (A&R) within a week time.
- (iv). The foreign examiners/evaluators must not be from the same University.
- (v). The Director (A&R) shall send the e-copy to the evaluators. Only the official email of in-service evaluator shall be acceptable for the dissertation's evaluation. In the case of retired experts as examiners, the approved email ID by the ASRB shall be used.
- (vi). If the evaluator fails to evaluate the thesis OR does not respond within 30 days, the evaluator shall be sent a reminder to respond within a further 15 days. In case the evaluator does not respond even after the reminder, he/she shall be automatically dropped as evaluator. Subsequently, Director (A&R) shall replace this evaluator with the standby external examiner and will send the thesis for evaluation.

15.2 Reports from the Evaluators

- a. After the receipt of all reports from the examiners, the Director (A&R) shall send reports to supervisor through Chairperson for addressing the comments of evaluator(s). In case the department is headed by HoDs, the reports shall be routed through Dean concerned.
- b. If an evaluator proposed major changes in the dissertation of PhD scholar and the scholar does not improve the dissertation for two times, the Director (A&R) shall send the case to ASRB for a decision.
- c. If any of the examiners suggested modifications/revision (both major and minor) of the dissertation, the research scholar shall be required to submit a revised version of the dissertation, duly certified by the supervisor, GRC and Dean of the Faculty concerned within three months to the Director (A&R).

16. Research Publication

For award of PhD degree, a PhD researcher shall be required to publish¹¹ research articles meeting the following criteria:

- a. At least:
 - i. One research article in W category¹² journal or two research articles in X category journals, for Science disciplines
 - ii. One research article in X category journal or two research articles in Y category journals, for Social Science disciplines
- b. The PhD researcher shall be the first author of these publications.
- c. The research article shall be relevant to the PhD research work of the PhD researcher.
- d. The article shall be published after approval of the research synopsis.
- e. The article shall be published in a relevant research journal.
- f. The supervisor shall be a co-author (preferably corresponding) with the research scholar in the research paper.
- g. The research paper/article published in the Hazara University's own journal(s) shall not be accepted for the award of PhD degree.

¹¹ A research article appearing online with valid DOI on website of an HEC's recognized research journal shall be considered published w.e.f. the date it appeared online with DOI.

¹² As categorized in HJRS at the time of acceptance of the research article.

17. Viva Voce/Public Defense

Public Defense: An open defense of the dissertation is required after positive evaluation of the dissertation by evaluators. In general, the following minimum principles and guidelines shall be ensured:

- a. The Director (A&R) shall send the provisional letter to the Chairperson/HoD for confirmation of the final date of public defense in consultation with the supervisor(s), external examiner, and research scholar.
- b. The viva voce examination shall be conducted by a **Public Defense Committee (PDC)** forwarded through Director (A&R) and approved by the Vice-Chancellor.
- c. The PDC shall consist of the following members:

i.	Dean	Neutral Chair/Convener
ii.	Chairperson/HoD	Member
iii.	Two local examiners (including the one who evaluated the dissertation)	Member
iv.	Internal Examiner from the same faculty of a relevant department	Member

- a. **Public Announcement:** The Director (A&R) shall make an announcement of public defense at least two weeks before the date of public defense. The announcement shall be circulated through various forms of communication, so that anyone interested can participate.
- b. **Neutral Chair:** To ensure that defense was conducted fairly and in accordance with the rules and regulations. The Dean of the faculty concerned shall act as observer/neutral chair.
- c. For the purpose of public defense, the research scholar shall be required to present in person at the place on the date(s) and time in the University premises.
- d. If the research scholar cannot attend the public defense in person due to any hardship/genuine problem, the Viva Voce/public defense can also be done by Skype/Teams/Zoom or by any other video conferencing software. The online Viva Voce shall be approved by the Vice Chancellor on the recommendations of the Director (A&R). In such case the research scholar shall submit sufficient genuine evidence(s) for the conduct of online Viva Voce/public defense.
- e. **Final Decision:** The PDC shall evaluate the following parameters of the public defense.
- f. **Presentation:** of the dissertation by the PhD researcher
- g. **Question and Answer Session:** To provide a basis for defense evaluation.
- h. **Objective Evaluation:** based on the quality of the research and the researcher's ability to defend.
- i. Final verdict regarding the dissertation shall be made after the mutual consent of the examiners only and will be expressed in the following terms:
- j. Pass

OR

- i. Pass with minor amendments

OR

- ii. Deferred for resubmission and re-defense (one time only) within 06 months **OR**
- iii. Fail (in exceptional circumstances and for reasons to be recorded by the defense committee).

- a. Any amendments/suggestions/comments proposed during the public defense shall be recorded and communicated to the research scholar by the Chairperson/HoD

within one week from the date of public defense for incorporation of suggestions/comments.

18. Completion and Award of PhD degree

The following steps shall be followed after successful defense by the research scholar.

- a. The supervisor shall certify the incorporation of amendments proposed in the Public Defense.
- b. The research scholar shall submit three hardbound copies of the dissertation to the Chairperson/HoD of the Department for further processing.
- c. The Chairperson/HoD shall inform Director (A&R) about the completion of all requirements by the research scholar.
- d. The Director A&R shall obtain approval of the Vice Chancellor for FINAL NOTIFICATION and shall forward the complete case (along with the signed copy of the thesis/dissertation) to the Controller of Examinations for purpose of issuance of notification, to be done within two weeks.
- e. Finally, the Controller examinations shall retain the file and submit the hard copy to the central library.

19. Foreign Research Scholars and PhD Program

- a. Foreign research scholars shall be entertained as per HEC policy/ guidelines/ SOP/ protocol.
- b. A foreign research scholar needs to qualify TOEFL or IELTSs (IELTS = 5.5 or its equivalent in TOEFL) or Internal test conducted by English Department to prove ability of English language.
- c. The foreign research scholar needs to pass GRE subject test/UGAT, and the result card be submitted with the application form.
- d. The concerned department shall send a provisional admission letter to the Registrar along with HEC proforma for clearance/vetting after fulfillment of the admission requirements.
- e. The foreign research scholar shall be allowed to attend the classes subject to a valid Pakistani visa.

20. Compliance and Violation

These regulations along with the other Graduate policies/rules of the University and of the HEC GEP-2023 need to be complied with true spirit. In case of violation, HEC has given the retributive/reprisal actions which is re-produced as *Annexure – C* to these Regulations, in ditto, for information of all.

21. Entry into PhD Country Directory (PCD)

For inclusion in PCD, a graduate and the Controller of Examination of Hazara University shall be required to submit an online application following the prescribed procedure in order to enter the name of the PhD-graduate in the PCD. The Chairperson with the help of the Supervisor and the pass out scholar, will be responsible for provision of authentic data/information to the CE office, who in turn will submit it to HEC concern quarter as per prescribed procedure as early as possible after issuance of the PhD qualification notification/degree issuance.

Annexure-A

*To Section 12.3 of
HU PhD Regulations 2023*

ROLE OF SUPERVISOR

The role of the PhD supervisor(s) is crucial not only in providing academic/research assistance to the research scholar but also to help in his/her balanced development as part of the society. A supervisor is expected to play different roles including the following:

- (1). A supervisor is expected to make sure that all the procedures laid down in this and other documents are implemented in true spirit.
- (2). The supervisor shall guide the research scholar to produce a high-quality dissertation. He/she may also help student to identify research gap through intensive literature review.
- (3). A supervisor must ensure that the research scholar attends university/laboratory regularly and is maintaining full-time status.
- (4). A supervisor shall be responsible for ensuring the timely completion of the scholar's PhD within the allowed time.
- (5). A supervisor shall make a study plan with research scholar(s), to complete the dissertation in the given timeline.
- (6). A supervisor shall be responsible for guiding the research scholar on matters of moral, patience, self-confidence, and civic responsibility.
- (7). A supervisor shall submit a detailed biannual progress report on the prescribed proforma to the ASRB with its intimation to GRC.
- (8). A supervisor shall act as a member of the GRC and examination committee for his or her student(s).
- (9). A supervisor shall intimate the Chairperson/HoD to initiate appropriate action in case the student's progress is not satisfactory.
- (10). A supervisor shall also report if a student does not attend the research group monthly meeting and remains absent from the university without any reason.
- (11). The honorarium to the supervisor and co-supervisor shall be paid as per HEC/University policy, in vogue from time to time.
- (12). A supervisor shall maintain all the records in the Supervisor-File as per check list approved by the University/HEC.
- (13). The supervisor shall submit the final documentation on the Supervisory-file duly complete in all respects, to the Directorate A&R.
- (14). The supervisor shall be responsible for producing, through the Chairperson/HoD, duly updated-supervisor-file (of each scholar under his/her supervision) to HEC/Self-Graduate Review or Institutional performance evaluation panel.

Annexure-B

*To Section 14 of
HU PhD Regulations 2023*

ADVICE FOR PhD STUDENTS

Hazara University considers PhD thesis an ultimate research document produced by any student and therefore strongly advise PhD students to keep in view the following directions while writing thesis:

- (1). It shall not include research work (except references) for which a degree has already been conferred by this or any other university of the world and it shall be certified that there is no plagiarism in the research work as per HEC policy.
- (2). The student shall be required to give a declaration that the research work he/she is submitting has not been submitted before, nor shall it be used in future for obtaining a similar degree.
- (3). Dissertation shall be written in English, except in case of a research program in Urdu language or literature, and presentation must be satisfactory for publication.
- (4). Any part of thesis published before its submission may be appended at the end of the thesis.
- (5). For dissertation, the approved format of the university shall be followed.
- (6). All rights of publication of complete dissertation in book form are reserved with Hazara University/Supervisor/Student and will be published after written permission from Vice Chancellor through supervisor and student. Any violation to this effect shall be charged under the Copyright Act., HU Graduate Programs Rules, Regulations, and Procedures Amended 2023.
- (7). If the title, topic, research material is provided by the supervisor then it shall be the intellectual property right of supervisor and shall not be published without permission of the supervisor. In such a case any change in supervisor by ASRB shall debar the student from using the same for his/her dissertation without prior permission from the previous supervisor.

Annexure-C (Retributive Actions for Violation of these Regulations)

*To Section 19 of
HU PhD Regulations 2023*

The following¹³ retributive actions shall also be applicable in case the rules and regulations mentioned in this policy are violated:

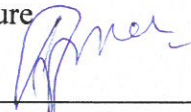




Sr.	Quality Parameter	Nature of Violation ¹⁴	Proposed Action(s) if Existing Policy is Violated
i.	Admission Criteria	Violation of admission criteria	i. Admission be cancelled. ii. University to return three times the amount received from students.
ii.	Illegal Admission	Admission of students without NoC from HEC	iii. Disciplinary action against responsible staff.
iii.	Course Work	Degree awarded without fulfilling the minimum credit hours requirement	i. The degree shall be considered equivalent to the MS/MPhil/Equivalent degree. ii. Disciplinary action against Department Chair and relevant staff.
iv.	Comprehensive Examination	Failure to pass Comprehensive Examination within the prescribed number of attempts.	i. Termination of PhD candidature/registration of student.
v.	Supervision of dissertation	Supervision of a PhD dissertation by a person who does not fulfil the minimum criteria for a PhD supervisor.	i. Disciplinary action against the Department Chair
vi.	Maximum number of Supervisee	A supervisor, supervising PhD students beyond the maximum number specified by the HEC.	i. The supervisor shall be banned from supervising new PhD researchers for a maximum of five (5) years. ii. Disciplinary action against the Department Chair.
vii.	External Evaluation of PhD dissertation	The external evaluation of a thesis is not in accordance with the prescribed criteria of HEC.	i. One additional paper shall be published by the student from his/her dissertation before degree attestation. ii. Disciplinary action against

¹³ Apart from the above-mentioned details, any other violation may also be dealt in accordance with its nature and significance through university's statutory process.

¹⁴ These are the minimum examples and shall include all such other cases those shall be identified time to time.

			Department Chair and officer(s) responsible for sending dissertations for external evaluation.
viii.		Unjustified delay in sending dissertation for external evaluation	i. Officer(s) responsible for sending dissertations for external evaluation shall be warned.
ix.	Relevance	The dissertation has no relevancy to the Title and Scope of the degree	i. Supervisor shall be banned from supervising new PhD researchers for a maximum of five (5) years. ii. Disciplinary action against Department Chair.
x.	Research Publication	i. No research papers were published but a degree was awarded. ii. Papers published but not in HEC's recognized journal. iii. Papers published but not in the required category of journals. iv. Paper published after the award of a PhD degree. v. Degree awarded based on a paper published before the approval of the PhD research synopsis. vi. Degree awarded based on a paper that has no relevance to the dissertation.	i. Paper to be published in the required category of the HEC recognized journal before attestation of degree. ii. Supervisor be banned from supervising the new PhD researchers for maximum 05 years. iii. Disciplinary action against the Department Chair and the relevant staff of the Controller of Examinations.
xi.	Plagiarism	Degree awarded, and major or minor plagiarism found in the thesis at any stage in the future.	i. The PhD researcher/degree holder and his supervisor will be penalized as per the provisions of the Anti-Plagiarism Policy of the HEC.
xii.	Degree Issued in Violation of University's Rules/Law	Degree issued in violation of the university's PhD Policy/rules in addition to HEC guidelines.	i. Supervisor be banned from supervising the new PhD researchers for a maximum of 05 years. ii. Disciplinary action against the Department Chair and the Controller of Examination.

xiv.	Poor Governance System of the Doctoral Research	Absence of the systems elaborated in Part-II of this policy i.e., Governing the Systems of Doctoral Research	i. In addition to the actions mentioned in clause "Cancellation of NOC and/or demotion to the lower category", disciplinary actions shall be taken against the relevant officers/heads of the Directorate of Advanced Studies and Research/Equivalent Body, Quality Assurance/Equivalent Body, Controller of Examinations etc., if applicable.
------	---	--	--

Sr.#	Name & Designation	Status	Signature
1	Prof. Dr. Inamullah	Convener	
2	Lt. Cdr. ® Dr. Mahmood Khan Director QE	Member	
3	Dr. Ali Bahader Director A & R	Member	
4	Dr. Isfahan Tauseef, Chairperson Microbiology	Member	
5	Syed Arif Hussain Shah, Controller of Examinations	Member	

These regulations approved in the 30th Academic Council meeting