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**NOTIFICATION**

Consequent upon the decision by the Academic Council in its 21<sup>st</sup> meeting vide Agenda item No. 04 held on September 28, 2020 and subsequent approval by the Syndicate in its 45<sup>th</sup> meeting held on November 09, 2020, the Competent Authority has been pleased to approve "**Hazara University Graduate Programmes (MS/MPhil and PhD) or equivalent Rules, Regulations and Procedures (Amended) 2020**".

These Regulations shall be applicable on **Graduate students** admitted in **Fall 2020 and afterwards**. Any graduate student admitted before Fall 2020 can also seek benefit from these Regulations, where required.

Issued with approval of the Competent Authority.

  
**Assistant Registrar**  
(Academics)

**Copy to:**

1. PS to Vice Chancellor
2. PA to Registrar
3. All Deans / Chairpersons / HoDs
4. Provost
5. Director A&R
6. Director QE
7. Controller Examinations
8. File Concerned

**Hazara University Graduate Programmes  
(MS/MPhil and PhD) or Equivalent  
Rules, Regulations and Procedures**



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## Table of Contents

Clause #	Contents	Page#
-	Preamble	3
1.0	Short Title, Commencement and Application	4
1.1	Legal Title and Validity	4
2.0	Definitions	4
3.0	Eligibility Criteria for MS/MPhil Admission and Merit	6
3.1	Eligibility Criteria	6
3.2	Evaluation of the candidates and Preparing Merit	6
3.3	The Role of Advanced Study and Research Board (ASRB)	6
4.0	General Rules and Regulations	7
4.1	Duration of the MS/MPhil Programme	7
4.2	Course Work, Thesis/Dissertation and Credit Hours	7
4.3	Graduation Requirements	7
4.4	Migration/Transfer or Standing Admission at MS/MPhil Level	7
5.0	Graduate Research Committee (GRC)	7
5.1	Functions of the Committee	8
5.2	Complaints Handling System	8
6.0	Synopsis and Appointment of Supervisor	8
7.0	Seminar or Presentation at the Conference level	9
8.0	MS/MPhil Thesis	9
8.1	Internal Evaluation of the MS/MPhil Thesis/Dissertation	10
8.2	External Evaluation	10
8.3	Viva Voce Examination	11
9.0	PhD Programme	12
9.1	Introduction	12
10.0	Eligibility Criteria for PhD Programme and Preparing Merit	12
10.1	Eligibility Criteria	12
10.2	Evaluation of the candidates and Preparing the Merit	13
10.3	The Role of ASRB and PhD Programme	13
10.4	Graduate Research Committee (GRC)	13
10.5	Admission and Registration	13
10.6	Supervisor and Allocation of Supervisor to student	14
11.0	General Rules, Regulations and procedures related to PhD Programme	14
11.1	Duration of the PhD Degree programme	14
11.2	PhD Course Work	15
11.3	Thesis and Other requirements	15
11.4	Probation	15
11.5	Change of topic or Supervisor	15
11.6	Role of Supervisor	16
11.7	Removal of PhD Research Scholar	16
11.8	Migration/Transfer or Standing Admission at PhD Level	17
12.0	Comprehensive Examination, Synopsis and Dissertation Defense	17
12.1	Level-I: Comprehensive Examination	17
12.2	Level-II: Research Synopsis Defense	18
12.3	Level-III: Dissertation Evaluation and Examination	19
12.3.1	Approval of Dissertation and Pre-Evaluation Committee	20
12.3.2	Evaluation of the PhD Dissertation	20
12.3.2.1	Plagiarism Test of Dissertation	20
12.3.2.2	Appointment of Examiners/Evaluators	21
12.3.2.3	Reports from the Evaluators	21
12.3.2.4	Research Paper	22
12.3.2.5	Viva Voce/Public Defense	22
13.0	Completion and Award of PhD Degree	23
14.0	Foreign Research Scholar and PhD Programme	24

## **Preamble**

Hazara University, Mansehra aims to produce high quality MS, MPhil and PhD graduates who can provide solutions to the problems faced by our society through the skills they have learnt during their stay at the university. In order to produce high quality graduates, the university has developed comprehensive rules, regulations and procedures for the graduate degree programmes (i.e., MS/MPhil and PhD). For students pursuing a graduate degree programme at Hazara University and for the faculty and the academic-related staff at Hazara University, this document provides a quick reference to the guidelines and procedures with regards to the recurring academic activities related to the graduate programmes such as eligibility criteria, plan of studies, thesis, examination and award of degree. The document is mainly divided into two major parts, i.e., MS/MPhil starting (from clause nos. 3 to 8) and PhD programmes (from clause nos. 9 to 14). Each part is further divided into various clauses and sub clauses to thoroughly describe rules, regulations and procedures for students and staff. The HEC's guidelines for graduate studies have also been considered while developing these rules, regulation and procedures. I am sure that this document will be highly beneficial for the students pursuing graduate programme with the Hazara University. Students/candidates who are seeking admission in the graduate programmes are also advised to consult other official documents such as semester rules and examination rules while studying or taking admission in the university.

**Professor Dr. Jamil Ahmad**  
Vice Chancellor

## 1. Short Title, Commencement and Application

### 1.1 Legal Title and Validity

- i. These Regulations shall be called “Hazara University Graduate Programmes (MS/MPhil and PhD) or equivalent Rules, Regulations and procedures (Amended) 2020”.
- ii. Hazara University Graduate Programmes rules, regulations and procedures emanate from the policy and guidelines of the Higher Education Commission with regard to the conduct of graduate degree programmes 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.
- iii. These rules, regulations and procedures shall apply to all candidates/students who wish to seek admission to graduate programmes (i.e., MS/MPhil and PhD).
- iv. 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.
- v. In situations where it is difficult to interpret a clause or a group of clauses of these rules, regulations and procedures or there is a hardship case, the matter will be referred to committee for the Postgraduate Regulations (PGR) by the Chairperson/HoD concerned through the Dean. The recommendations made by committee after approval from the Vice Chancellor shall be implemented accordingly. The Vice Chancellor shall constitute this Committee comprising of the following:

1. Dean	Convener
2. Nominee of the ASRB	Member
3. Director QEC	Member
4. Controller of Examinations	Member
5. Registrar or his nominee	Member
6. One Chairperson/HOD from each Faculty (Recommended by Dean)	Member
7. Director ORIC or his Nominee	Member
8. Director (A&R)	Member/Secretary

Quorum for the committee will be six.

## 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: -

- i. ‘University’ means Hazara University, Mansehra.
- ii. ‘HEC’ means Higher Education Commission, Islamabad Pakistan.
- iii. ‘Academic Council’ means the Academic Council of Hazara University.
- iv. ‘Academic Department’ means a teaching, research and technology development department maintained and administered by the Hazara University.
- v. ‘Affiliated Colleges’ means an educational institution affiliated to the University but not maintained or administered by it.
- vi. ‘Authority’ means any of the authorities of the University specified in Khyber Pakhtunkhwa Universities Act 2012 (Amended 2016).
- vii. ‘ASRB’ means Advanced Studies and Research Board of the University.
- viii. ‘Board of Faculty’ means the Board of Faculties of the University.
- ix. ‘Board of Studies’ means the Board of Studies of the University.
- x. ‘Chairman of the Department/Director of the Institute’ means the head of an Academic Department/Institute and includes the Chairperson.
- xi. ‘Chancellor’ means Chancellor of the University.
- xii. ‘Committee’ means Committee constituted for a specific purpose.
- xiii. ‘Dean’ means the Dean of the Faculty, who is also Chairman and Chairperson of the Board of Faculty.
- xiv. ‘Government’ means the Government of the Khyber Pakhtunkhwa.
- xv. ‘Prescribed’ means prescribed by Statutes, Regulation or Rules made under Khyber Pakhtunkhwa Universities Act 2012 (Amended 2016).
- xvi. ‘Registered Graduate’ means a graduate of the University who has his name entered in the register maintained for this purpose.
- xvii. ‘Statutes’, ‘Regulations’ and ‘Rules’ respectively mean the Statutes, the Regulations and the Rules made or deemed to have been made under the Khyber Pakhtunkhwa Universities Act 2012 (Amended 2016).
- xviii. ‘Syndicate’ means the Syndicate of the University.
- xix. ‘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;
- xx. ‘Vice-Chancellor’ means the Vice Chancellor of the University.
- xxi. ‘PhD’ means the Doctor of Philosophy.
- xxii. ‘MPhil’ means the Master of Philosophy.
- xxiii. ‘Supervisor’ means a faculty member holding necessary academic degree and experience, appointed by the Advanced Studies and Research Board to supervise the MS/MPhil or PhD student.
- xxiv. ‘Co-Supervisor’ means a person holding necessary academic degree and experience, appointed by the Board of Advanced Studies and Research to supervise the MS/MPhil or PhD Student.
- xxv. ‘Comprehensive Examination Committee’ means a Committee constituted for the purpose of conducting comprehensive examination.
- xxvi. ‘GRC’ means Graduate Research Committee within each Academic Department.
- xxvii. ‘UGAT’ University’s Graduate Admission Test of each department.

### **3.0 Eligibility Criteria for MS/MPhil Admission and Merit**

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

#### **3.1 Eligibility Criteria**

- i. 16 years of relevant education in the discipline for which the candidate seeks admission. CGPA (2.00/4.0 or 2.50/5.0) in semester system Or 2<sup>nd</sup> division in MA/MSc or equivalent in the relevant subject in annual system. Candidates having some other qualification will be required to produce equivalency and relevancy certificates from HEC, Islamabad or any other authorized organizations as the case may be.
- ii. Must have obtained 60% marks in the UGAT or valid GAT-General/GRE with 50% marks.
- iii. No objection certificate (NOC) for in-service candidate shall be mandatory for admission into MS/MPhil programme from the respective employer.
- iv. 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 programme in the university under any circumstances.

#### **3.2 Evaluation of the candidates and Preparing Merit List:**

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

- i. Academic Record - 80% Distribution of the marks:
  - a. 10% *Matric/SSC/O-Level or equivalent*
  - b. 20% *F.Sc/FA/A-Level or equivalent, and*
  - c. 50% [*50 BS/Pharm D or equivalent four/five years programmes (in case of conventional system - 25 MA/MSc 2 years or equivalent and 25 BA/BSc 2 years or equivalent)*],
- ii. 20% - Test/Interview

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

After completing all formalities as mentioned above, the following committee of the Advanced Studies & Research Board (ASRB) will approve all admissions to graduate programmes. The committee will present report on the admission to the ASRB to confirm that all admissions to MS/MPhil programmes were made as per the rules and regulations. The committee shall be constituted by the Vice Chancellor with the following members:

1. Director Academic and Research Convener
2. Provost or his nominee
3. Two members of the ASRB (two (02) years tenure)

The quorum of the committee shall be three.

## **4. General Rules and Regulations**

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

### **4.1 Duration of the MS/MPhil Program**

The normal duration of MS/MPhil degree programme is four semesters (i.e., 2 years). However, the duration of the MPhil/MS degree programme can be extended to Eight (08) semesters (i.e., 4 years) subject to completion of all codal formalities. Please refer to the Academic/Semester Rules of Hazara University for further guidance in this regard.

### **4.2 Course Work, Thesis/Dissertation and Credit Hours**

The student must earn 30 credit hours to obtain MS/MPhil degree from Hazara University. The MS/MPhil degree shall comprise of course-work and thesis/dissertation. Out of the 30 CrHr, 24 CrHr is allocated to the course work and 6 CrHr is for the Thesis/Dissertation. The course work is approved by the Academic Council on the recommendation of the Board of Study and Board of Faculty.

### **4.3 Graduation Requirements**

Student of MS/MPhil must fulfill the following requirements to qualify for the award of the MS/MPhil Degree.

- i. Must have completed 24 CrHr coursework and 06 CrHr thesis/dissertation.
- ii. Must have obtained a CGPA 2.5 or above.
- iii. Must have not spend more than the stipulated time.

### **4.4 Migration/Transfer or Standing Admission at MS/MPhil Level**

Students from other HEC recognized universities may be transferred subject to the scrutiny by the Standing/Transfer Admission Committee. Transfer cases (if any) will be processed by 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.

## **5.0 Graduate Research Committee (GRC)**

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

- i. Chairperson of the Department shall be the Convener of the committee. In case of no fulltime Chairperson in the department, Dean concerned shall be the Convener of the committee and the HOD or in-charge of the Department shall be the member.
- ii. Two PhD faculty members from Department concerned to be appointed by the Vice Chancellor amongst the panel of four PhD level Faculty members forwarded by the department through the Dean. In case the department doesn't



- have four PhD level faculty members, the number can be completed from other relevant departments in the same faculty with the recommendation of the Dean concerned.
- iii. Two external experts in the relevant field. The Chairperson/HoD shall propose a panel of four external experts from the approved list of examiners for the approval of Vice-Chancellor through the Dean concerned.
  - iv. Supervisor(s) concerned.

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

### **5.1 Functions of the Committee**

- i. All matters related to the Research work of the MS/MPhil students shall be handled by the GRC.
- ii. 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 late part of this document.
- iii. After the successful defense of the synopsis by student, the Committee shall issue a certificate and send the synopsis to the ASRB for final approval.
- iv. The Chairperson/HoD shall ensure that all corrections/suggestions of the committee have been incorporated by the student before sending synopsis to the ASRB for final approval.
- v. The Committee shall ensure that changes, amendments, or any suggestions made by the ASRB are fully incorporated in the synopsis.
- vi. 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.
- vii. 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.
- viii. Any other function approved by the ASRB to be performed by the GRC.

### **5.2 Complaints Handling System**

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

## **6.0 Synopsis and Appointment of Supervisor**

- i. Each MS/MPhil student shall be assigned a supervisor by the Department concerned to guide him/her for thesis at the time of admission.
- ii. The ASRB shall appoint supervisor on the recommendation of the GRC.
- iii. A supervisor appointed for the MS/MPhil thesis shall hold a Doctorate degree and shall be a full-time teacher of the University unless otherwise permitted by the ASRB as per HEC policy.
- iv. Each MS/MPhil student shall select a title (topic of research) for his/her thesis/dissertation in the first semester.

- v. The synopsis shall be prepared by the student under the guidance of the supervisor as per approved format.
- vi. Plagiarism test shall be conducted by the supervisor as per the HEC and HU policies before sending the synopsis to the Chairperson/HoD.
- vii. To qualify to register for thesis, a student must maintain a minimum CGPA of 2.5 in the course work (24 CrHr).
- viii. Before submitting synopsis to the GRC, the student shall clear all dues and fulfill other pre-requisites.
- ix. The synopsis shall be evaluated by the GRC and be submitted to the ASRB for final approval through the Chairperson/HoD concerned.
- x. 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 compliance report regarding corrections in the synopsis to the secretary ASRB. The compliance report must be in line with the decisions of the ASRB which may be any one of the following:
  - a. Acceptance of synopsis
  - b. Acceptance of synopsis with minor changes
  - c. Acceptance of synopsis with major changes
  - d. Rejection of synopsis, in this case student will choose a new topic and resubmit the synopsis to GRC.

## **7.0 Seminar or Presentation at the conference level**

- i. 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.
- ii. 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.

## **8.0 MS/MPhil Thesis**

- i. A student shall complete thesis/dissertation on the approved topic. In case of any change in the title or research objectives/questions after approval of the synopsis, the same shall be required to be placed before the ASRB through the GRC concerned.
- ii. A student shall follow the approved format of thesis/dissertation.
- iii. A student shall submit the spiral/taped bound copy and e-copy (pdf format) of the thesis to the supervisor after completion of thesis/dissertation and fulfilment of all codal formalities.
- iv. The supervisor shall forward thesis (spiral/taped bound copy) and e-copy (PDF) along with the antiplagiarism test application to the Chairman/Chairperson/Head of Department for further processing.
- v. The Supervisor shall also send a validation statement confirming that the thesis completed under his/her supervision as per the ASRB approved topic.

- vi. The Chairperson/HoD shall forward the thesis to DQE for plagiarism test.
- vii. The Chairperson/Head of Department shall forward thesis to the GRC for final examination within one-month time.

### **8.1 Internal Evaluation of the MS/MPhil Thesis/Dissertation**

- i. The Chairperson shall call a meeting of the GRC (internal members only) for the Pre-evaluation Seminar of the student.
- ii. The Student shall present his/her thesis to the GRC (internal members only) for internal evaluation purpose (this shall also be considered as Pre-evaluation Seminar). The students of MS/MPhil program of the department. 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 a permission from the Dean and Vice Chancellor must be obtained before organizing pre-evaluation seminar on weekend only.
- iii. 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.
- iv. The suggestions or corrections (if any) recommended by the GRC shall be communicated to the student for compliance.

### **8.2 External Evaluation**

The following procedure shall be adopted to conduct external evaluation of MS/MPhil thesis/dissertation.

- i. The thesis will be evaluated by one external examiner who is not known to the student and supervisor. The supervisor should make it sure that the external examiner chosen has no academic and research collaboration with the university during the last three years.
- ii. The Chairperson/HoD shall furnish the consent of the proposed panel of three examiners/evaluators (ASRB approved) through supervisor.
- iii. After getting the consent of the concerned examiners/evaluators, the Chairperson/HoD shall forward the panel of evaluators through the Dean concerned and Director (A&R) for approval of two external examiners (one principal and the other standby examiner) to the Vice Chancellor.
- iv. The Director (A&R) shall send e-copy of the thesis to the external evaluator.
- v. 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 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.
- vi. The Director (A&R), after receiving the evaluation report shall communicate it to the Chairperson/HoD for the compliance by the student.
- vii. 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 send thesis along with the compliance report to the GRC for further processing.
- viii. 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.
  - ix. The GRC shall ensure that all comments/observations are addressed by the student by issuing a certificate.
  - x. 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**

- i. 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.
- ii. A committee comprising Dean concerned, Director (A&R) or his nominee, Chairperson /HOD, External Examiner, Internal Examiner, and Supervisor(s) concerned shall conduct the Viva-Voce on the pattern of public defense. The Dean of the Faculty concerned will be head of the committee, but the Dean and Director (A&R) shall not take part in the student's evaluation. The student shall be evaluated by the External and Internal Examiners, Chairperson/HoD and Supervisor(s).
- iii. The Director (A&R) shall notify the Viva Voce of the student concerned with the information to the Chairperson/HoD and Dean concerned.
- iv. On the day of viva voce, the student shall be required to be present in person in the pre-designated place for viva voce examination in the University under intimation to Director (A&R) or his nominee.
- v. Online Viva may be conducted in special circumstances if required, subject to the approval of Vice Chancellor. On the day of online viva voce, in addition to the approved viva voce committee, the Director (IT) or his nominee must be present in the viva voce Examination.
- vi. 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.
- vii. 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.
- viii. 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.
- ix. The student shall submit 04 hard-bound copies using the approved format for thesis to the department.

- x. Upon successful viva voce by the student, the award list along with all other required/necessary documents shall be sent by the Chairperson/HODs to the Director (A&R). The Director (A&R) shall forward complete file to the Controller of Examination along with the signed copy of thesis (both hard and soft form) for record and final notification.

## **9.0 PhD Programme**

### **9.1 Introduction**

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

## **10.0 Eligibility Criteria for PhD Programme and preparing merit**

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

### **10.1 Eligibility Criteria**

Admission to a PhD programme 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.

- i. MS/MPhil or equivalent degree (with thesis option) in the relevant field with a minimum of CGPA 3.00/4.00 (equivalent) under semester system of at least 30 credit hours or 1<sup>st</sup> division under annual system.
- ii. Test equivalent to GAT/GRE subject in the area of specialization chosen at the PhD level or University Graduate Assessment Test (UGAT), to be conducted by university. 60% score shall be required in GRE/GAT conducted by University through ETS/NTS/Other recognized Agency, for PhD admission, whereas 70% score shall be required to get admission in PhD programme in UGAT (as per HEC requirements).
- iii. No objection certificate (NOC) for in-service candidate shall be mandatory for admission in PhD programme from the respective employer.
- xi. 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 programme under any circumstances.

## 10.2 Evaluation of the candidates and Preparing the Merit-list

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

- i. Academics: 70%
  - a. *F. Sc/equivalent* – 10%
  - b. *BS (4 years/equivalent)* – 30% or [*BSc 2 years = 15% plus MSc 2 years = 15%*]
  - c. *MS/MPhil* – 30%
- ii. Interview: 30% (Departmental admission committee shall conduct the interview)

## 10.3 Role of ASRB in PhD Programme

After completing all formalities, the committee of ASRB as mentioned in section 3.3 shall approve all admissions to PhD programme as per University's policy. The committee shall present a report to the ASRB for final endorsement.

## 10.4 Graduate Research Committee (GRC)

The composition and functions of the GRC shall remain the same as mentioned in sections 5.0 and 5.1, respectively.

## 10.5 Admission and Registration

- i. A candidate seeking admission to PhD programme shall apply as per procedure stated in the admission advertisement and/or given on the official website of the University.
- ii. All applications received through online system shall be scrutinized as per the admission requirements.
- iii. It is advisable to create a general list of all candidates and display it on net for candidate to view for any possible query.
- iv. All documents and credentials provided by the candidates will be verified. For this purpose, access to the system will be provided to relevant staff as per the requirements.
- v. Access to the list of candidates shall be provided to the concerned staff for finalization of admission.
- vi. The candidate shall be required to deposit semester fee after the display of provisional admission/merit list.
- vii. The next candidate shall be offered admission on merit, if a candidate fails to pay semester fee within the stipulated time.
- viii. The Admission section shall be responsible for timely communication of students (who deposited fee) to Director (A&R) and department concerned soon after the due date as notified in the advertisement.
- ix. Each enrolled PhD scholar shall be assigned a supervisor by the GRC based on rational distribution of scholars among the PhD faculty after the confirmation of the admission, in line with HEC policy.

- x. The list of students along with the name of assigned supervisor(s) and co-supervisor shall be communicated to the Director (A&R) before the midterm examination of the first semester.
- xi. The supervisor shall be from the same department (where the scholar is enrolled).

## **10.6 Supervisor and Allocation of supervisor to student**

Before allocating PhD supervisor(s) and Co-supervisor(s) following mandatory points shall be considered:

- i. A student shall be assigned supervisor and co-supervisor at the time of admission and communicate it to Director (A&R) before the midterm examination.
- ii. The Director (A&R) shall get approval of supervisor and co-supervisor from the ASRB within the 1<sup>st</sup> semester.
- iii. The supervisor(s) should:
  - a. have PhD or equivalent degree from HEC recognized DAIs and HEC approved.
  - b. have not more than Five (05) PhD students at a time.
  - c. have at least three (03) years of post-PhD research experience.
- iv. The Co-supervisor(s) shall be eligible to supervise 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.
- v. 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.

## **11.0 General Rules, Regulations and procedures related to PhD Programme**

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

### **11.1 Duration of the PhD Degree programme**

- i. The minimum period for completion of PhD degree is three years. However, this period can be extended to a maximum period of eight (08) years as per HEC guidelines and University's academic/semester rules and regulations.

- ii. The procedure to grant extension to research scholar shall be followed in accordance with academic/semester rules and regulations for the purpose.

### **11.2 PhD Course Work**

- i. A student shall be required to complete 18 Cr.Hrs. of PhD's course work (six courses).
- ii. Courses shall be allocated to students from the approved list of courses of the respective discipline.
- iii. 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.

### **11.3 Thesis and Other requirements**

- i. A PhD student shall complete all requirements for the award of degree as stated in this document.
- ii. Details of further requirements are given in the subsequent sections of this document.

### **11.4 Probation**

A student shall be placed on probation in the 1<sup>st</sup> semester if his/her CGPA is less than 3.0. If his/her CGPA is less than 3.0 at the end of the 2<sup>nd</sup> semester he/she shall automatically be dropped from the roll of University and shall not be allowed to readmit in the same discipline in the University.

### **11.5 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 programme. However, under the unavoidable circumstances, following regulations shall be applicable.

- i. A student admitted to a PhD programme once and a specialization thereof, whichever applicable, shall not be allowed to change the programme 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 re-assigned 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 resign 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.

### **11.6 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:

- i. A supervisor is expected to make it sure that all the procedures laid down in this and other documents are implemented in true spirit.
- ii. The supervisor shall guide the research scholar to produce a high-quality dissertation. He/she may also help students to identify research gap through intensive literature review.
- iii. A supervisor must ensure that the research scholar attends university/laboratory regularly and is maintaining full-time status.
- iv. A supervisor shall be responsible for ensuring the timely completion of the scholar's PhD within the allowed time.
- v. A supervisor shall make a study plan with research scholar(s), to complete the dissertation in the given timeline.
- vi. A supervisor shall be responsible to guide the research scholar on matters of moral, patience, self-confidence, and civic responsibility.
- vii. A supervisor shall submit a detailed biannual progress report on the prescribed proforma to the ASRB with its intimation to GRC.
- viii. A supervisor shall act as member of the GRC and examination committee for his or her student(s).
- ix. A supervisor shall intimate the Chairperson/HoD to initiate appropriate action in case the student's progress is not satisfactory.
- x. A supervisor shall also report if a student does not attend research group monthly meeting and remains absent from the university without any reason.
- xi. Honorarium to the supervisor and co-supervisor shall be paid as per HEC/University policy, in vogue from time to time.

### **11.7 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:

- i. In case of unethical conduct, a research scholar if proved guilty through departmental inquiry or University Discipline Committee.
- ii. In case the dues for the semester(s) have not been paid.
- iii. Research scholar who did not improve his/her CGPA during probation.
- iv. On the request of PhD scholar.

- v. When there are two consecutive adverse reports submitted by the supervisor regarding the progress of the research scholar.
- vi. A research scholar shall be given an opportunity of personal hearing before the GRC.
- vii. After exhausting the total allowed duration without completing PhD degree.

### **11.8 Migration/Transfer or Standing Admission at PhD Level**

Students from other HEC recognized universities and PhD programme(s) will be transferred subject to the advice of the Admission Standing Committee (ASC). The committee shall process such case(s) as per the University and HEC guidelines.

## **12.0 Comprehensive Examination, Synopsis and Dissertation Defense**

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

### **12.1 Level-I: Comprehensive Examination**

- i. After completion of the course work, a research scholar shall be required to pass a comprehensive examination, consisting of a written and an oral part. It will be the responsibility of the department to arrange comprehensive examination. However, a research scholar shall apply for the comprehensive examination by using the prescribed proforma for the purpose.
- ii. 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 as cancelled if he/she does not pass the comprehensive examination in the second attempt.
- iii. The comprehensive examination shall be conducted by the Comprehensive Examination Committee (CEC) approved by the Vice-Chancellor on the recommendations of the Chairperson/HoD of the department and Dean of the faculty concerned comprising the following members:

a.	Dean of the relevant Faculty	Convener
b.	Chairperson/HoD	Member/Secretary
c.	Supervisor	Member
d.	External Examiner (ASRB approved list)	Member
e.	Two Internal Examiners from the department	Member

1. The Vice-Chancellor will appoint internal & external examiners on recommendation of the Dean and Chairperson/HoD concerned.
2. In case Chairperson/HoD or Dean concerned is supervisor, the committee shall be headed by the next senior most faculty in the

- committee. The convener of the committee shall be responsible to conduct comprehensive examination by maintaining all record.
3. The quorum of the committee shall be 3 members excluding the convener.
- iv. The pass percentage for comprehensive examination shall be 60%.
  - v. The paper for comprehensive examination shall be based on all course work of the PhD programme using the following format.
  - vi. The comprehensive examination shall be conducted in two parts:
    - a. Part-I Written Paper: The question paper shall be based on all core and elective courses studied by the research scholar.
    - b. Part-II Oral Examination by the Committee
    - c. Supervisor shall only be allowed to set question paper of his/her subject only.
    - d. Other parts of the question paper shall be composed by other faculty members who taught the subject in the department.
  - vii. 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.
  - viii. In case a research scholar is still not satisfied with the outcome of his/her appeal, he/she can appeal to University Appellate Committee (UAC) for the purpose. The decision of the UAC shall be final.
  - ix. After compilation of result, it shall be submitted to Director (A&R) and Controller of Examinations. The department shall also send a copy to student and his/her supervisor.

## **12.2 Level – II: Research Synopsis Defense:**

After satisfactory completion of 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 defends his/her synopsis. The following procedure will be adopted for the purpose:

- i. The supervisor(s), through Chairperson/HoD concerned, shall make it sure that his/her student submits a high-quality synopsis.
- ii. The research scholar shall defend his/her synopsis before the GRC.
- iii. A research scholar is strongly advised to work closely with his/her supervisor(s) to prepare a quality synopsis. The research scholar shall follow the ASRB approved format for the synopsis.
- iv. The Chairperson/HoD shall submit the synopsis to the GRC.
- v. The GRC shall analyze the synopsis and verify that the research scholar follows proper format, research methodology and analyses research gap/issues/problems in the light of the latest research literature.
- vi. The research scholar shall present his/her work before GRC.

- vii. The Chairperson/HoD shall send the synopsis to ASRB through the Dean/Director (A&R) for approval if the GRC is satisfied with the quality of synopsis.
- viii. In case the research scholar successfully defends his/her synopsis, it shall stand approved by the ASRB.
- ix. If the research scholar is unable to defend his/her synopsis before ASRB, he/she shall be asked to revise the synopsis in accordance with the directives of ASRB.
- x. The Director (A&R) shall inform research scholar and the Chairperson/HoD concerned about the decision of ASRB.

### **12.3 Level-III Dissertation Evaluation and Examination**

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). The authenticity and genuineness of the research work shall be joint responsibility of both the research scholar and the supervisor(s). A research scholar shall report his research work in formally compiled form as per the university approved format. 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. The duration of the PhD programme shall be counted to the date the research scholar submits his/her dissertation to the Chairperson/HoD for checking its relevance to the approved synopsis by the ASRB and for it further processing by GRC. The GRC may recommend the dissertation for further process or may suggest required lab/practical/research work to complete the objectives of approved synopsis.

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

- i. 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.
- ii. 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.
- iii. Dissertation shall be written in English, except in case of a research programme in Urdu language or literature, and presentation must be satisfactory for publication.
- iv. Any part of thesis published before its submission, may be appended at the end of the thesis.
- v. For dissertation, the approved format of the university shall be followed
- vi. 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 Copyright Act.

- vii. If the title, topic, research material is provided by 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 to use the same for his/her dissertation without prior permission from the previous supervisor.

### **12.3.1 Approval of Dissertation and Pre-evaluation Committee**

- i. The supervisor(s) shall thoroughly scrutinize the PhD dissertation and forward 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.

### **12.3.2 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.

#### **12.3.2.1 Plagiarism Test of Dissertation**

- i. The research scholar shall be responsible to complete all the degree requirements including clearance of dues before submission of dissertation to the department. The Chairperson/HoD shall be responsible for clearance of fee/dues of the research scholar before the conduct of Pre-evaluation Seminar.
- ii. The research scholar shall be required to submit three (03) spiral/taped bound copies of the dissertations and e-copy (PDF) along with GRC certificate to the Chairperson/HOD through supervisor. The Chairperson/HOD shall forward the dissertations to DQE for plagiarism checking through Dean of the faculty concerned.

- iii. The DQE shall forward the dissertations (after plagiarism checking) along with plagiarism report and processed pdf file, to the concerned Chairperson/HOD through Dean of the faculty concerned within two (02) weeks.
- iv. If the similarity index (SI) is above the maximum accepted level (as per the HEC guidelines and approved by the Academic Council of the University), the dissertations will be sent back to the concerned Chairperson/HoD with a copy of the SI certificate to the office of the concerned Dean. If the SI is equal to or less than the maximum SI, the DQE append the SI certificate, duly signed by the Director DQE, with the dissertations and will forward it to the office of the concerned Chairperson/HoD.

### **12.3.2.2 Appointment of Examiners/Evaluators**

- i. The dissertation shall be evaluated by both national and international examiner (from technologically advanced countries).
- ii. There shall be a standing ASRB approved list of external examiners [international (from technologically advanced countries) and national (Pakistan)] for each department consisting of the persons of eminence in the respective field of research.
- iii. The Chairperson/HoD shall suggest a panel of total EIGHT (08) Externals Examiners (Foreign = 05) and (National = 03) from the ASRB approved list.
- iv. The Chairperson/HoD shall get consent from the examiners and after getting consent from the concerned examiners/evaluators, the Chairperson/HoD shall forward a panel of evaluators to the Director (A&R) within a week time.
- v. The Vice-Chancellor shall appoint three Principal examiners in total (Foreign = 02 + National = 01) from the suggested panel to evaluate the thesis/dissertation; & an alternate panel of two Foreign experts also.
- vi. The foreign examiners/evaluators must not be from the same country or same University.
- vii. The Director (A&R) shall send the e-copy to the external evaluators as well as internal examiners. Only official email of in-service evaluator shall be acceptable for the dissertation's evaluation. In case of retired expert as examiners, the approved email ID by the ASRB shall be used.
- viii. If any of the evaluators fail to evaluate the dissertations OR do not respond within one month, he/she shall be sent a reminder. If he/she does not respond even after fifteen (15) days of the reminder, he/she shall be automatically dropped, and the dissertation shall be sent to the standby evaluator(s).

### **12.3.2.3 Reports from the Evaluators**

- i. After the receipt of all reports from the external examiners (both international and national), the Director (A&R) shall send reports (if positive especially from foreign evaluators) 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.

- ii. If a foreign 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.
- iii. If the dissertation is considered as adequate by two out of three external examiners, the ASRB may allow the candidate to appear in the viva voce (dissertation defense) examination.
- iv. If two out of three external examiners find that the dissertation is entirely inadequate, then decision regarding approval/rejection of thesis/dissertation rests with the ASRB. The Director (A&R) shall initiate the case for the approval of the ASRB.
- v. If any of the examiners (Foreign and National) suggest 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).
- vi. If any of the examiners (Foreign and National) finds the dissertation as adequate but suggests minor modification/revision, this may be incorporated without consulting the approved examiners, but must be certified by supervisor, Chairperson/HoD, GRC and Dean of Faculty concerned within maximum period of one month; and submit it to the Director (A&R) for further processing.

#### **12.3.2.4 Research Paper**

- i. Each research scholar shall publish at least one research paper from his/her research work (dissertation) as first author before scheduling of the public defense, as per HEC policy in vogue at the time.
- ii. The supervisor shall be a corresponding author with the research scholar in the research paper.
- iii. The paper shall be considered when it is online and not the accepted research paper/article and category (W, X, Y) of the paper must be mentioned in the relevant documentation.
- iv. The research paper/article published in the Hazara University's own journal(s) shall not be accepted for the award of PhD degree.

#### **12.3.2.5 Viva Voce/Public Defense**

- i. After completion of all requirements as mentioned in this document, 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.
- ii. The Director (A&R) shall make announcement of public defense at least two weeks before the date of public defense.
- iii. The viva voce examination shall be conducted **by a** Public Defense Committee (PDC) forwarded by Director (A&R) and approved by the Vice-Chancellor.
- iv. The PDC shall consist of the following members:

- |   |          |
|---|----------|
| a. Dean   | Convener |
| b. Chairperson/HoD  | Member   |
| c. Director (A&R) or his nominee  | Member   |
| d. Two local examiners (including the one who evaluated the dissertation) | Member   |
| e. Internal Examiner from the same faculty of a relevant department       | Member   |

Final verdict regarding the dissertation shall be made after the mutual consent of the members at serial nos. 'b', 'd' and 'e' only. The other two members i.e Dean and Director (A&R) shall not be in the process of evaluation. The Director (A&R) will be responsible to collect evaluation from all examiners and record the verdict for onward processing.

- v. 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.
- vi. 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.
- vii. 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.
- viii. The viva voce examination shall be opened to the public, but the evaluation shall be done only by the panel of examiners.
- ix. If the candidate fails to satisfy the examiners in the viva voce examination, he/she may be given another chance to defend the dissertation for the second and final time within a period of six months.

### **13.0 Completion and Award of PhD degree**

The below-mentioned steps shall be followed after the successful defense by the research scholar.

- i. The supervisor shall certify the incorporation of amendments proposed in the Public Defense.
- ii. The research scholar shall submit four hardbound copies of the dissertation to the Chairperson/HoD of the Department for further processing.
- iii. The Chairperson/HoD shall inform Director (A&R) about the completion of all requirements by the research scholar.
- iv. The Director (A&R) shall forward the complete case to the Controller of Examinations (along with signed hard copy of the thesis/dissertation) after getting approval of the Vice-Chancellor for FINAL NOTIFICATION within two weeks.



- v. The Media Cell of the University shall be responsible for public announcement of the award of a PhD degree.
- vi. A PhD graduation certificate shall be awarded to the research scholar duly signed by the Chairman of the Department, the supervisor and the Dean concerned, subject to clearance by the concerned University Authorities.
- vii. The formal degree shall be awarded to the PhD research scholar in the convocation following the announcement of PhD degree provided a minimum of six months (relaxable) have lapsed between such an announcement and the date of convocation.

#### **14.0 Foreign Research scholars and PhD Programme**

- i. Foreign research scholar shall be entertained as per HEC policy/ guidelines/ SOP/ protocol.
- ii. 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.
- iii. The foreign research scholar needs to pass GRE subject test/UGAT, and the result card be submitted with the application form.
- iv. The concerned department shall send a provisional admission letter to the Registrar along with HEC proforma for clearance/vetting after fulfilment of the admission requirements.
- v. The foreign research scholar shall be allowed to attend the classes subject to a valid Pakistani visa.