

University of Engineering and Technology Lahore

PhD REGULATIONS

INTRODUCTION

PhD program of a university reflects the intellectual standing and its overall academic quality. PhD regulations provide the necessary mechanism to meet these goals. Climax of the PhD program is the thesis which is expected to:

- i. Make a distinct contribution to knowledge, and
- ii. Show ability on the part of the candidate to conduct original investigations and to test ideas whether his own or of others and to understand the relationship of his investigations with a wider field of knowledge.

ELIGIBILITY FOR PhD ADMISSION

1(a) Eligibility requirement for admission into PhD program is that the candidate must **have** earned a Masters/ M.Sc./ M.Phil.) or equivalent degree in the relevant discipline in first division or with a CGPA of 3.0 out of a maximum of 4.0 (in case, applicant's transcript shows percentage as well as CGPA, CGPA would be considered for eligibility. CGPAs on a scale other than 4.00 would be translated accordingly).

1(b) Candidates should meet HEC's admission test criterion.

MEDIUM OF INSTRUCTION

2. The medium of instruction, writing thesis and examination shall be English with the exception of Islamic Studies where the medium of instruction, writing thesis and examination may be Urdu, Arabic or English.

PhD APPLICATION PROCESS

3(a) Every candidate for the Degree of PhD shall apply for admission to the concerned Teaching Department of the University defining the area of research and proposed supervisor.

3(b) Post Graduate Research Committee (PGRC) of the concerned department shall evaluate the application on merit and in case of acceptance of the application, recommend area of research, supervisor, co-supervisor (optional) and a three members Advisory Committee. Co-supervisor will constitute the fourth member, if appointed. The supervisor will be the chairman of the committee and one member from remaining two being appointed from outside the department/ university. Accepted applications would be forwarded to the Convenor Admission Committee (CAC), through the concerned Dean, for further processing.

REQUIREMENTS FOR CONFIRMATION OF PhD ADMISSION

4(a) The candidate shall complete a minimum of six postgraduate courses from within the department or from other departments in consultation with the Advisory Committee within a maximum period of three semesters after admission. The candidate is required to maintain a CGPA of 3.3 out of 4.00 or equivalent in these subjects. In case the candidate has completed more than 6 subjects, best 6 subjects will be recorded on the candidate's Transcript for assessing fulfillment of this requirement. In case the candidate fails to complete six courses with the desired CGPA of 3.3 within three semesters, the Advisory Committee will forward the case to CAC for cancellation of the candidate's provisional admission to the PhD program through PGRC and Dean.

4(b) The candidate shall sit in a comprehensive examination after fulfilling course requirements in the subsequent semester. In case, the candidate fails to attempt the first comprehensive examination within the next semester, one chance to appear in the examination would be considered as having been lost.

4(c) Comprehensive examination shall be conducted by the concerned department once each semester under the general supervision of the PGRC. The comprehensive examination shall cover the core area of specialization (as notified by the Department) and shall consist of written and oral parts in the proportion of

80% (written) + 10% (statement of purpose) + 10% (oral), respectively. The combined pass percentage shall be 60 percent.

4(d) A candidate shall be given a second chance to appear in the comprehensive examination in the subsequent semester if he fails in or misses the first attempt. Failure to appear in the examination in the second chance or failure in second attempt shall be communicated to CAC and his provisional admission to the PhD program shall be canceled.

4(e) The candidate shall present his research proposal to PGRC within the next semester after passing the comprehensive examination. After presentation, PGRC shall assess the research proposal or have it assessed through a process established for this purpose. After establishing suitability of the proposal as a potential PhD topic, proposal along with the title shall be submitted to Advanced Study and Research Board (ASRB) for approval. On approval by ASRB, candidate's admission to PhD program shall be confirmed.

4(f) If the candidate fails to present his research proposal to PGRC within the semester following fulfillment of comprehensive examination requirement, the Advisory Committee/PGRC may allow one semester relaxation to present the proposal or forward the case through the Dean to CAC for cancellation of provisional admission of the candidate.

PROGRESS REPORTS

5. After approval of the proposal, the candidate will submit a thesis progress report after passage of each semester which will be forwarded to the ASRB through the concerned PGRC and Dean.

CHANGE OF SUPERVISOR/TOPIC

6(a) Any subsequent changes in the proposal, title or the topic shall also be routed through the same channel.

6(b) The candidate may request for change in PhD supervisor or a supervisor may opt to withdraw from supervision of a candidate. The candidate or the supervisor shall submit their request to the chairperson concerned. Recommendation for change of supervisor will be made by PGRC of the department through Dean concerned for approval by ASRB. No relaxation in maximum allowable time for completion of PhD degree would be granted to the candidate on the basis that his supervisor has changed.

PhD DURATION

7(a) The total duration for completion of degree requirements and submission of thesis for external evaluation shall be eight regular semesters from the date of admission as a PhD student, with benefit of summer semester being given to the candidate.

7(b) The PhD thesis can be submitted for external evaluation after a passage of at least two semesters following the semester in which research proposal was approved.

7(c) The Vice Chancellor, under exceptional circumstances, can grant extension up to a maximum period of four semesters, with the advantage of summer semester being given to the candidate, on the recommendation of the PGRC and the concerned Dean.

PhD RESEARCH PUBLICATION

8. **After June 30, 2017**, the candidate is required to publish, out of his research work, at least one research publication in a HEC approved journal of "W" category of his relevant field. Letter of acceptance shall be considered as sufficient for further processing of the thesis.

APPOINTMENT OF EXTERNAL REVIEWERS

9(a) After a public defense of the candidate, the Advisory Committee shall propose a list of five external reviewers from technologically advanced countries and two external reviewers from Pakistan in relevant areas

to the PGRC for its recommendation to be forwarded to the Director ORIC through the Chairman/Dean. Director ORIC shall ensure compliance of all requirements of HEC minimum criteria for award of PhD degree before forwarding the case to the Vice Chancellor for appointment of external reviewers. The Vice Chancellor shall appoint four external reviewers (three from technologically advanced countries and one from Pakistan) from the proposed list. The approval list of reviewers will be duly notified.

9(b) The candidate shall submit four copies of his thesis, typed and bound in addition to the soft copy, to the CoE, through Supervisor, Chairman, Dean and Director ORIC for onward dispatch to the approved external reviewers.

EXTERNAL REVIEWERS REPORTS

10(a) Each external reviewer shall submit his report to the Vice-Chancellor independently on the prescribed Performa and make one of the following recommendations:

- i) That the Viva-Voce Examination be held to enable the candidate to defend his thesis.
- ii) That the Viva-Voce Examination be held to enable the candidate to defend his thesis after incorporating recommended changes to the satisfaction of the candidate's Advisory Committee.
- iii) That the Thesis be resubmitted for evaluation after revision as suggested by the reviewer(s).
- iv) That the Thesis be rejected as not being of sufficient merit for the holding of the viva-voce examination and the candidate be declared to have failed and not eligible for the award of PhD Degree.

10(b) The Vice Chancellor shall forward the received reports to the CoE.

INTERPRETATION OF REPORTS

11(a) If the recommendation of three of the external reviewers is to allow final viva-voce of the candidate or to reject the thesis, it shall be implemented.

11(b) In case, three of the external reviewers are asking for viva-voce examination after incorporating suggested changes, candidate's Advisory Committee shall submit a certificate to CoE certifying compliance of recommendations of external reviewers by the candidate before viva-voce is allowed.

11(c) The thesis shall be resubmitted after incorporating revisions and major changes suggested by external reviewer(s), in case, external reviewer(s) are asking for resubmission after revision.

RESUBMISSION OF PhD THESIS

12(a) First resubmission shall be allowed at least three months after intimation to the concerned supervisor by the CoE.

12(b) In case of first resubmission to external reviewers, their new recommendations shall be interpreted as in Regulation 10.

12(c) In case, external reviewers ask for a second resubmission, the candidate will be asked to work on his thesis for a minimum period of six months before submitting it for re-evaluation. Recommendations of reviewers shall again be interpreted as in Regulation 11.

12(d) Third resubmission is not allowed and the candidate shall be declared fail and shall not be allowed to continue with his PhD even if external reviewers ask for a third resubmission.

EVALUATION PROCESS IF EXTERNAL REVIEWERS FAIL TO RESPOND

13(a) In case, at least three external reviewers from the approved list of four external reviewers fail to respond within three months, the required number of reviewers will be approved from a new panel of reviewers recommended by PGRC of the concerned department.

13(b) The process would be repeated until three evaluation reports are received.

EXTERNAL EXAMINER FOR PhD VIVA VOCE EXAMINATION

14(a) One of the approved external reviewers will act as external examiner and the supervisor will be internal examiner for the PhD viva-voce examination.

14(b) A viva-voce examination will be conducted in the department by the internal examiner and external examiner. The examiners shall assess the outcome of the viva-voce examination and submit their report to the CoE for notification and make one of the following recommendations:

- i) That the candidate be declared to have passed the Examination.
- ii) That the candidate be declared to have passed the Examination after incorporating certain minor corrections indicated on the thesis subject to the satisfaction of the Advisory Committee.

DIFFERENCE OF OPINION AMONG EXAMINERS IN VIVA VOCE EXAMINATION

15. In case of difference of opinion among the examiners, recommendations made by the external examiner shall be implemented.

AWARD OF PhD

16. The candidate shall be admitted to the PhD Degree in the relevant branch of Engineering, Architecture, City & Regional Planning, Physics, Chemistry, Mathematics and Computer Science, etc., provided that he has been declared to have passed the Viva-Voce Examination in accordance with these Regulations.

CODE OF ETHICS

17(a) PhD candidate or his spouse or his relatives shall not communicate with external referees directly or indirectly.

17(b) Any faculty member of the department shall not participate in the PhD process of a candidate at any stage, if the candidate is his blood relation or his spouse or the faculty member is a candidate himself.

17(c) External examiners may not be co-author of any publication with the candidate or his spouse or his blood relative.

CONFLICT RESOLUTION

18. In case of a conflict in the interpretation of PhD Regulations at any stage, the matter may be resolved by ASRB.

SUBMISSION OF HEC PERFORMA

19. HEC performa as communicated vide letter number 3(2)/DG(Stats)/HEC/2017/03 dated 16-01-2017.