

RULES AND REGULATIONS FOR M. Phil/PhD PROGRAM IN SZABMU

1. PREFACE

Notwithstanding anything contrary to the provisions of Article 31 of the Act of the Shaheed Zulfiqar Ali Bhutto Medical University (SZABMU), the University will offer M. Phil and PhD level research programs, where appropriate. These Rules called "M. Phil and PhD Rules" will apply to all M. Phil and PhD degree programs conducted in the Constituent and Affiliated Units of Shaheed Zulfiqar Ali Bhutto Medical University, Islamabad. These Rules will be read in combination with the general rules/regulations of the University. In matters where these rules are silent, rules/regulations and procedures of Shaheed Zulfiqar Ali Bhutto Medical University will apply. In case of any reservation regarding the interpretation of these Rules and in matters not clearly enclosed under these and other rules/regulations of Shaheed Zulfiqar Ali Bhutto Medical University, the matter will be discussed to the Advanced Studies and Research Board for the concluding decision. Furthermore, requirements for M. Phil and PhD specified by the HEC and PMC from time to time will be complied with, and will take priority over these Rules should there be a conflict.

2. AIM OF THE PROGRAM

The aim of the degree of Master of Philosophy (M. Phil)/ Master of Science (MS) and doctor of Philosophy (PhD) Programmes at Shaheed Zulfiqar Ali Bhutto Medical University is to produce scientists of high competency who can contribute significantly to academic teaching and to the translational health related research according to the needs of the country.

3. DURATION OF THE PROGRAM

The PhD Programmes is designed for completion within 3 to 7 years but an extension of up to 3 years will be provided as per HEC policy. The PhD degree will be awarded after a minimum of three (3) years and not more than seven (7) years after the enrolment of the student; provided that for students who are unable to complete the Programme within seven (7) years, the case will be submitted to Advanced Study and Research Board to determine whether the delay was caused by circumstances beyond the student's control, and if so, grant an extension in such exceptional



circumstances; provided further that in no event shall the PhD degree be awarded more than ten (10) years after the enrolment of the student in the Programme. The date of notification of the award of the PhD degree subsequent to the PhD defence shall be considered to be the date of the completion of PhD studies.

The M. Phil Programme at Shaheed Zulfiqar Ali Bhutto Medical University will be (02) years as per HEC guidelines. The Programme is fast-paced and designed for completion within two years. Students admitted as PhD scholars can get MS / M. Phil degree, if a student successfully completes all the requirements for the award of an MS/ M. Phil degree during the course of their PhD studies then university will award the applicable degree to such students upon completion of the relevant requirements and upon the recommendation of Supervisor and Advanced Studies and Research Board (AS&RB).

4. PROGRAM CREDITS

One credit hour will be equal to 16 contact hours of face to face instruction as well as 32 hours of laboratory/studio work/field work/practical work supervised and graded by the faculty.

5. DEFINITIONS

In these Rules, unless otherwise stated, or unless there is anything unacceptable to the Act and Acts of Shaheed Zulfiqar Ali Bhutto Medical University, the terms used in these Rules will have the meaning as described in the proceeding clauses.

5.1 “**Candidate**” means a person seeking admission in M. Phil and PhD Programme at SZABMU.

5.2 “**Co-Supervisor**” means a member of academic and/or research staff of the university/industry who may be appointed to provide academic/technical and/or administrative assistance whenever there is a requirement/need.

5.3 “**Comprehensive Examination**” An examination, in the field of study, undertaken after the successful completion of the coursework of PhD Programme to ascertain the suitability of a scholar to commence research work.



- 5.4 **“Department”** means a Department of a Constituent Unit/Faculty of the University in which a scholar is enrolled for his/her studies.
- 5.5 **“Division”** means the academic combination of relevant Departments between which the faculty can supervise students from any of the departments under a particular division. The number of faculty members with M. Phil and PhD in a division must be at least two (02) to start M. Phil and three (03) for PhD Programme.
- 5.6 **“Defense”** means an oral examination of the scholar in the research work conducted usually in the form of presentation and/or demonstration, before the panel of Examiners, entailing arguments and points supporting the fundamental concepts having been advanced within the thesis.
- 5.7 **“Exemption”** means the scholar is not required to take a similar course if a scholar has already completed it within the Shaheed Zulfiqar Ali Bhutto Medical University or at any HEC recognized University. When approved Exemption, credits for that course earned previously are not counted towards credits or CGPA requirements for the degree. The scholar will have to take another course to make up for the total number of credits or CGPA required to meet the degree requirements.
- 5.8 **“External Examiner”** means a M. Phil and PhD qualified person with a field of research similar to that of the scholar, appointed to conduct thesis defense of the scholar, but is not an employee of the Shaheed Zulfiqar Ali Bhutto Medical University at the time of examination.
- 5.9 **“Foreign Evaluator”** means faculty member/researcher from technologically advanced countries, categorized by the HEC with M. Phil and PhD qualification with a field of research similar to that of the scholar, appointed to evaluate thesis of the scholar.
- 5.10 **“Internal Examiner”** means a person with M. Phil and PhD qualification with a field of research similar to that of the scholar, appointed to conduct thesis defense of the scholar, and is an employee of the Shaheed Zulfiqar Ali Bhutto Medical University at the time of examination.
- 5.11 **“Principal Supervisor”** means a person with M. Phil and PhD qualification with a field of research similar to that of the scholar, a member of the full time/adjunct faculty of Shaheed Zulfiqar Ali Bhutto Medical University appointed to supervise the research work of a scholar who will be the signatory in all administrative matters related to supervision.



- 5.12 **“Research Programme”** means an academic programme in M. Phil and PhD studies being run at the SAZBMU.
- 5.13 **“Research”** means the process leading to the production of original scholarly work in the form of a thesis for the purpose of obtaining M. Phil and PhD degree.
- 5.14 **“Scholar”** means a person registered in M. Phil and PhD programme at the SZABMU.
- 5.15 **“Statement of Purpose”** means the detailed declarative version of topic of the research thesis which indicates objectives of the thesis and gives the reader a precise understanding what the thesis will cover. It is the statement of purpose around which the entire thesis revolves.
- 5.16 **“Supervisor”** means a person with M. Phil and PhD qualification with a field of research similar to that of the scholar, preferably a member of the academic/research staff of an HEC recognized university appointed to supervise the research work of a scholar.
- 5.17 **“Thesis”** means a written description/document of the research work prepared in the format prescribed by SZABMU and submitted as partial requirement of the M. Phil and PhD degree.
- 5.18 **“Transfer of Credits (TOC)”** refers to a process of granting credits to a scholar enrolled in M. Phil and PhD programme at SZABMU for the course(s) undertaken by the scholar at another HEC recognized higher education institution which is(are) equivalent to certain course(s) being offered by SZABMU in the programme scholar is enrolled in, after having carried out the equivalency process. When TOC granted for any course, the credits earned previously for that course are counted towards total credits requirement fulfillment for that scholar at the SZABMU but not added to the CGPA of the degree.
- 5.19 **“Viva Voce”** means an oral examination of the scholar following his/her presentation at the thesis defense, conducted in the form of interview and discussion aimed at ascertaining evidence and sufficiency of knowledge of the scholar about the research work the scholar has worked on.
- 5.20 **“Research Board”** means Advanced Studies and Research Board (AS & RB) of the University.



6. RESEARCH COMMITTEES

6.1. Advanced Studies & Research Board

The Advanced Studies and Research Board (AS&RB) is headed by Vice Chancellor and consists of Pro-vice chancellor, Deans of faculties and Heads of all departments.

Terms of Reference

- a) Advise the authorities on all matters concerning promotion of advanced studies, publications and research in the University.
- b) The board considers and reports to the authorities on the institution of research degrees in the University.
- c) Approval of M. Phil and PhD synopsis, reports and thesis based on the merit of research conducted in the institution.
- d) Further TORs are defined in the sections below.

6.2. M. Phil and PhD Committee

The M. Phil and PhD committee is supervised Head of the relevant Department and all HEC approved PhD Supervisors of the department will be members of the committee. Where an HOD is not a M. Phil and PhD, a M. Phil and PhD faculty member from the other department will be included into the committee along with the HOD. Members of the committee can be co-opted based on the nature of the task at hand.

Terms of Reference

- a) Conduct/arrange PhD Comprehensive Examination.
- b) Approve any minor changes in the topic of the M. Phil and PhD thesis on recommendation of the Principal Supervisor without changing the key theme.
- c) Evaluate the Six Monthly progress reports of all M. Phil and PhD scholars.
- d) Suggest Foreign Evaluators, Internal and External Examiners for Thesis Defense and Viva Voce Examiners for M. Phil and PhD scholars to Advanced Studies and Research Board (AS&RB).
- e) Ensure plagiarism check on the candidate's thesis.
- f) Approve Exemptions/Transfer of Credit cases of the scholars.



- g) Undertake any other research related responsibility allocated by the Head of the Committee.
- h) The quorum for a meeting of the committee will be half of the core members
- i) Decisions of the committee will be made by consensus and, if that is not possible, by majority vote. Only core members will be entitled to exercise vote.

6.3. Ethical Review Board (ERB)

Ethical Review Board (ERB) of the SZABMU consists of the academia along with a lawyer and a member from general public. There is equal gender distribution in the ethical review committee.

Terms of Reference

- a) Review the research proposals comprising human or other living subjects, whether individuals or communities, before the study begins, and ensure that the conditions that could affect the rights of subjects during a study are approved for the study to begin.
- b) Categorize ethical issues or concerns posed by research involving human subjects and undertake sufficient assessment of proportionality of risks and benefits for the individuals and community involved by those issues in order to secure the individuals'/community well-being by maximizing possible benefits while minimizing risks.
- c) Ensure the subjects of research are clearly aware of the nature of the research work and their position in respect of it.
- d) Contribute in the research work especially those whose capacity is compromised, not capable of giving voluntary consent, or who are in some way dependent or vulnerable to the research revealing. And ensure that the consent being secured is valid, preferably in writing, and the participants are sufficiently informed and have adequate time to decide without pressure.
- e) Ensure subjects will be able to easily withdraw from a research protocol without giving reasons and without suffering any penalty or alteration in their relationship with providers of services, if any.



- f) Ensure respect for the research participants through protecting their individual autonomy especially those who are not capable of taking autonomous decisions, and maintaining confidentiality of the data and information collected.
- g) Ensure protection of the research subject against any possible serious bodily harm.
- h) Evaluate the process, printed documents and other tools that will be employed for collecting data.
- i) Consider the incentives that will be given to the participants to ensure that no unethical consideration is involved in the incentives being offered.
- j) Endeavor to reduce and resolve the ethical issues involved in the research as much as possible.
- k) Conduct periodic appraisal of the research being undertaken to ensure subjects of research are protected from harm, their confidentiality is maintained, and their rights are respected. Serious adverse events will be reported promptly to the M. Phil and PhD Committee.
- l) The ERB may withdraw approval of the research work if it is not satisfied with the level of adherence to the basic ethical guidelines by the scholar.
- m) For Joint Research projects/Collaborative Research Projects, a written permission from all research investigators should be submitted for Ethical approval indicating the permission to use the mutual data for thesis writing.
- n) Confidentiality of the ERB's proceedings will be preserved.
- o) Commence any other research related responsibility assigned by the Head of the Committee.
- p) The quorum for a meeting of the committee will be half of the core members
- q) Decisions of the committee will be made by consensus and, if that is not possible, by majority vote. Only core members will be entitled to exercise vote.

6.4. M. Phil and PhD Synopsis Review Committee (M. Phil and PhD SRC)

The synopsis review committee includes HEC approved faculty members of the department headed by HOD. Members of the committee can be co-opted based on the nature of the research proposal presented.



Terms of Reference

- a) Appoint supervisory committee members and Advisory Committee panel for M. Phil and PhD scholar.
- b) Scrutinize research proposals of the scholars on technical grounds before presentation to Ethical review committee and Advanced Studies & Research Board for final approval.
- c) On the recommendation of the Principal Supervisor, approve or ratify any minor changes in the topic of the PhD thesis if made without changing the main theme.
- d) Undertake any other research related responsibility assigned by the Head of the Committee.
- e) The quorum for a meeting of the committee will be half of the core members
- f) Decisions of the committee will be made by consensus and, if that is not possible, by majority vote. Only core members will be entitled to exercise vote.

6.5. Supervisory Committee (SC)

The supervisory Committee will be selected by the Head of the Department that will include the Supervisor/s and or Co-supervisor/s. Supervisory committee is responsible for all the research work that is required to be conducted as part of the M. Phil and PhD thesis of the student starting from preparation of a research thesis and concluding with the defense of the thesis.

Terms of Reference

- a) SC will be responsible for providing guidance to students under their care in the following areas:
 - 1. Offering ideas and providing guidance and encouragement on the planning and progress of research, submission of the thesis and publication of the results
 - 2. Providing or arranging for instruction in research methodology, including use of information technology; and
 - 3. Directing students in acquiring and improving appropriate generic skills, including written and oral communication, numeracy, decision-taking, and organizational and management skills.



4. Corroborating that the students are aware of the manner in which research results are reported and they understand the implications of plagiarism and other inappropriate academic practices.
- b) SC will meet students regularly to review their progress. These meetings will occur at least six times a year for full-time students. Meetings may be substituted by other means of communication. A log book may be mandatory for the benefit of the student and the M. Phil and PhD Committee.
- c) The supervisory role of Supervisors and co-supervisors will be included in detail as part of Synopsis of M. Phil and PhD research proposal to clarify the role of each member of Supervisory committee.
- d) A member of SC may be appointed when the nature of the research work makes it necessary or expedient to do so; the role of co-supervisor is to act on a regular basis as consultant to the research project.
- e) One or more advisers may be appointed when it is anticipated that particular aspects of the research work will necessitate occasional significant consultation with one or more experts
- f) When co-supervisors and/or advisers are appointed, the Principal Supervisor will retain the ultimate responsibility of leadership in supervision.

6.6. Postgraduate Cell (PG Cell)

PG Cell at SZABMU will work to coordinate all the activities of the PhD program in the University. It must be headed by a PhD.

Terms of Reference

- a) Ensure that PG-Rules are being followed by the Department.
- b) Act as secretary of the committees so as to ensure holding of timely meetings, preparation of its agenda items, preparation/issuing of minutes of the meetings, (with the approval of relevant chairperson) and monitoring progress on implementation of the decisions taken.
- c) Maintain complete record of research scholars undergoing PG programs including:
 1. Complete details of their educational documents.



2. Subject and General test results.
 3. PG courses completed so far.
 4. M. Phil and PhD synopsis/proposals and its approval from the competent authority.
 5. Progress reports of the scholars submitted by the Supervisors.
 6. Any other additional information such as registration, freezing of semester and dropping of courses, transfer cases etc.
 7. Details of foreign evaluations along with evaluation reports and details of foreign evaluators relevant to his/her department.
- d) Interact with the research scholars and their supervisor(s) and update/report to M. Phil and PhD Committee about their progress and guide the scholars accordingly.
 - e) Submit progress reports of each PG scholar to the M. Phil and PhD Committee through the HOD.
 - f) Maintain a close working relation with HODs for overall monitoring of PG Programs.

7. ELIGIBILITY

Eligibility criteria for M. Phil and PhD Programs will be as under, unless changed or modified by the HEC

For M. Phil and PhD

- a) MBBS /BDS/ D-Pharm/ MLT/ BS/ M.Phil./ MS/ FCPS/MD/ MRCP/ FRCS/ FRCP/ or equivalent degree recognized by HEC with minimum CGPA 3.0 (out of 4.0 in the Semester System) or First Division (in the Annual System) in life sciences (at least 16 years of education; 130 credit hours).
- b) The candidate must pass in the written test with 50% marks for admission in M. Phil/ MS and 70% marks for admission in PhD.

8. ADMISSION

The eligibility criteria will at large be in conformity with HEC and SZABMU policies. In principle, the following criteria are required:



- a) Applicants having 16 years or equivalent education in relevant field will be eligible for admission in M. Phil or PhD Program
- b) Applicants having 18 years or equivalent education in relevant field will also be eligible for admission in PhD Program provided they will only undertake 24 credit hour courses instead of 48 credit hour courses.
- c) Prior to entry into the M. Phil/ PhD program, the student shall have been awarded his or her MBBS/ BDS/ D-Pharm /MLT/ BS/ M.Phil./ MS/ FCPS/ MD/ MRCP /FRCS/ FRCP or equivalent degrees.
- d) For admission in PhD program, a minimum CGPA of 3.0 (out of 4.0 in the semester system) or First Division (in the annual system) in the most recent degree obtained is required, whether such degree was obtained from Pakistani or foreign universities.
- e) As part of the application for admission to M. Phil/PhD program, applicants will be required to submit a statement of purpose. The admissions committee will 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 subspecialty he or she is interested in.
- f) All applicants to PhD programs shall be required to take one of the following subject specific admissions test:
 - i. The Graduate Record Examination (GRE) test administered by the Education Testing Service;
 - ii. A graduate admission test administered by the Education Testing Council; or
 - iii. With the permission of the HEC, an equivalent test developed by the SZABMU for admissions to post-graduate programs.

Prior Degree in Different Discipline:

Consistent with best practices internationally (including leading global universities), it shall generally not be a requirement for admission to a PhD program that the applicant shall have completed a prior degree in the same discipline. If the applicant has a strong interest in pursuing a PhD degree in a different discipline and, in accordance with the department's policy, the admissions committee is satisfied that the applicant's prior education has sufficiently prepared



him or her to undertake the course of studies 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), the applicant shall be considered for admissions notwithstanding their prior qualification in a different discipline.

An initial advertisement in each subject will be announced according to available slots with each potential supervisor in the Division according to the HEC rules. After an initial advertisement by the University for opening up the PhD program for various subjects, applications will be invited based on the Eligibility criteria.

- a) Application for admission to the PhD is to be made on the official application form available at SZABMU website along with requisite documents.
- b) Applicants will identify a potential supervisor at the time of application
- c) Applicants will submit a "statement of research interests" (not a research proposal), along with their academic/research publications and information about their previous research & teaching experiences.
- d) Entry test will be conducted by the ETS or university and its validity will be for one year.
- e) Applicants will submit two letters of references from their previous supervisor/tutor.
- f) Candidates already in service must submit NOC from the parent institute for admission in M. Phil/ MS/ PhD Program.

9. SELECTION CRITERIA

- a) Short listed candidates will be invited for interview by the M. Phil and PhD admission committee of the University.

The admission committee will consist of the following:

- 1) Vice-Chancellor (Chairman)
- 2) Dean Basic Sciences (Co-Chairman)
- 3) Director, Postgraduate studies
- 4) Head of Department (Secretary)
- 5) Two Faculty members involved in teaching M. Phil and PhD program



During the selection process the following elements will be considered:

1. Academic record of candidate
 2. Research publications
 3. Potential supervisor and the availability of resources for the research
 4. Demonstration of the ability to pursue doctoral-level research based on the "Statement of Purpose" at the time of admission.
- b) Names of the candidates recommended by the Admission Committee for admission to PhD programme will be forwarded by the HOD to the M. Phil and PhD Committee for finalization by the Vice Chancellor.
- c) Admission letters to the selected candidates will be issued by the PG Cell with a copy to the HoD.
- d) The selected candidates will be required to join on or before the date given in the offer letter, the failure to do so will result in cancellation of admission.

10. ENROLLMENT M. PHIL MS AND PhD CANDIDATURE

- a) Selected candidates will be offered enrollment as candidate for M. Phil and PhD degree.
- b) M. Phil and PhD student's enrollment will be made for the first 2-years of full-time study following the date of registration following the residency requirement for a period of at least two years in new HEC PhD policy.
- c) During enrollment the student will be referred to as **"M. Phil and PhD Candidate"**
- d) Upon enrolment, the HOD will assign suitable Supervisory Committee comprising of Supervisor/s, Co-Supervisor (if required) to the scholar. The HOD will issue letter of appointment to the Supervisor/s and the Co-supervisor/s.
- e) The purpose of enrollment is to enable the M. Phil and PhD Committee to confirm the ability of the candidate to complete M. Phil and PhD satisfactorily and to provide guidance to the candidate regarding the rate of progress estimated.



11. M. PHIL AND PHD COURSEWORK

- a) The PhD degree requires 48 graduate credits earned by completing the coursework. PhD will include 4 semesters of course work (for students who have done BS 4 years or completed 16 years education) along with 2 to 10 semesters of research. During the first 4 semesters of course work, 16 courses (3 credit hours each) will be taught. PhD course work will include 2 semester course work, 8 courses (3 credit hours each) for students who have done M. Phil or completed 18 years education, along with 4 to 12 semesters of research.
- b) The Master of Philosophy (MPhil)/ Master of Science (MS) require 24 graduate credits earned by completing the coursework. MS course work will include 2 semesters of course work (for students who have done BS 4 years or completed 16 years education) along with 2 semesters of research. During the first 2 semesters of course work, 8 courses (3 credit hours each) will be taught. The M. Phil Candidate must undertake twenty-four (24) credit hour of coursework.

12. COMPREHENSIVE EXAMINATION

- a) Following the completion of coursework, every PhD student shall be required to pass a comprehensive examination in order to be granted candidacy as PhD researcher; provided that if the student fails to pass the comprehensive test, he or she shall be allowed one more attempt to take the test.
- b) Comprehensive Examination must be conducted at the end of one year of enrollment.
- c) Paper of the comprehensive examination will be made by the Head of Department in consultation with the course facilitators.
- d) Comprehensive examination will have a theory paper of 100 marks and a viva of 50 marks. Final result will be announced out of 100 marks in which 70% marks will be taken from the theory in which the Viva Voce examination marks will be added to compile the final score.
- e) Passing marks for PhD Comprehensive examination will be 65%.



- f) The viva will be conducted through the Head of Department and will cover areas relevant to the research proposal/synopsis of the PhD candidate.
- g) PhD Candidates must pass the comprehensive examination in two attempts i.e., within two years of enrollment in the PhD program.
- h) In case of not qualifying the comprehensive examination in two (02) attempts student will no longer retain the status of "PhD candidate" of the university.

13. SYNOPSIS/RESEARCH PROPOSAL APPROVAL BY ASRB

- a) After approval from the Supervisory committee the synopsis on the prescribed university format should be forwarded through the Head of Department to the M. Phil and PhD SRC for approval.
- b) Ethical review committee will evaluate the synopsis after its approval from M. Phil and PhD SRC via a formal request to the Registration Department by the candidate through the HoD.
- c) The Synopsis/Research Proposal with the approval letters of both the M. Phil and PhD SRC and the ERC will be submitted to the registration department through HoD to be placed in ASRB for final approval.
- d) The intellectual property rights and responsibilities approved by SZABMU have to be strictly followed by all involved in research.

14. REGISTRATION

- a) To be registered as a **"M. Phil and PhD Scholar"** with the SZABMU; candidate must give proof of following:
 - 1. Completion of 24 credit hours for M. Phil and 48 credit hours' coursework for PhD
 - 2. Passing the Comprehensive Examination for PhD
 - 3. Approval of Research Synopsis/proposal by ASRB of the University
- b) All the three proofs should be sent with a cover letter by the Head of the Department to the M. Phil and PhD committee.



- c) The M. Phil and PhD Committee after being satisfied will forward the documents to the Registration Department to issue a registration number to the M. Phil and PhD Candidate and give him/her status of a SZABMU **"M. Phil and PhD Scholar"**

15. PROGRESS REPORT OF M. PHIL AND PHD SCHOLAR

- a) There will be a biannual review of research progress of the M. Phil and PhD Scholar by the HoD.
- b) At the end of every six months after confirmed registration, M. Phil and PhD scholar would submit a summary of the progress of the research work on a specific proforma through the Supervisor to the Head of the Department to be forwarded to the M. Phil and PhD Committee.
- c) Subject to the satisfactory progress of the research work, the Head of the Department would recommend the continuation of the scholar's registration.
- d) In case of more than two unsatisfactory reports forwarded to the M. Phil and PhD Committee, the scholar will be notified in written and given reasonable opportunity to respond to the M. Phil and PhD Committee. In Case M. Phil and PhD Scholar fails to satisfy the committee, the committee will recommend removal of his/her name from university register.
- e) There will be a time of 15 days given to the scholar to appeal to the ASRB through the Vice Chancellor against the decision and final decision of ASRB will be implemented.

16. THESIS SUPERVISION

- a) The PhD dissertation shall be supervised by a faculty member who holds a PhD (or equivalent) degree and is an HEC approved supervisor. At the time of appointment as supervisor, the faculty member shall be a full-time faculty member of the university in which the student is enrolled.
- b) The Supervisory committee including the Supervisors/Co-supervisors will be appointed with the mutual consent of the candidate, the persons being appointed and the HoD.

- c) There can be maximum four (04) members in the supervisory committee with a maximum of two (02) Supervisors. In case of more than one supervisor, the supervisor from concerned department will be called Principal Supervisor
- d) The administrative in-charge will be the supervisor of the department in which the student is enrolled.
- e) One Supervisor should be the fulltime faculty member of the university and must be from the specialty that the student is enrolled in.
- f) In case a full time faculty member is not experienced in a particular field of research an adjunct faculty members of the university may act as supervisor with the consent of the HoD and approval of the M. Phil and PhD Committee.
- g) Eligibility of the Supervisor/co-supervisor will be in line with the HEC/PM&DC guidelines (ref. 1-1 (NQF)/QAD/2017/HEC/502 dated July 21, 2017). A PhD faculty member can supervise PhD research work only after he/she has become HEC approved supervisor by acquiring minimum three (03) years of relevant teaching/research/professional experience in university along with co-supervision of at least two (02) PhD/MPhil level thesis with a senior/HEC approved PhD supervisor. A PhD faculty member who got his/her MS/M. Phil/ Equivalent degree four (04) years ago can supervise the MPhil program students as per policy of HEC given in letter no. 1-1 (NQF)/QAD/2017/HEC/501 dated July 21, 2017.
- h) A PhD supervisor can supervise (as a supervisor or co-supervisor) a total of twelve (12) PhD/MPhil program students at a time with no more than five (05) of these being PhD students.
- i) Supervisor/s will have appropriate qualifications, including extensive knowledge and research experience in the broad subject area of the student and current involvement in research groups.
- j) ASRB may also appoint a co-supervisor to provide the link if the research is of an interdisciplinary nature or if the research is being undertaken in collaboration with another organization.
- k) A Supervisor, co-supervisor or adviser will not be related to a student by consanguinity or by affinity to the third degree inclusive or have a dual relationship with the student.



- l) Changes in composition of supervisory committee that is change of a Supervisor/Co-supervisor or addition of a supervisor/co-supervisor can be sought by the M. Phil and PhD Scholar and/or members of the SC through the HOD. The application must be accompanied by the written consent from both the current Supervisor/Co-supervisor and the new proposed Supervisor. When ASRB is satisfied that there is sufficient reason, it may change the Supervisor/Co-Supervisor of the Candidate on the request of either Scholar or the Principal Supervisor.
- m) Approved Synopsis/ Research Proposal is the Property of Supervisor, in case of change of Supervisor a Satisfactory reason should be given to work on the same topic/project with proper recognition to previous supervisor i.e. in authorship of Publication. In other case along with change of supervisor a new Research Proposal should be submitted with sufficient changes to accommodate the new Proposed Supervisor with special focus on its Specialty.

17. CHANGE OF THESIS/PROJECT TITLE

- a) A candidate may change the topic of his/her research with the approval of the ASRB by submitting an application duly supported by the Supervisor, Head of Department and recommended by the M. Phil and PhD Committee.
- b) The final title of the thesis will be approved by the ASRB before the submission of thesis.

18. FREEZING OF REGISTRATION/DISCONTINUATION OF M. PHIL AND PhD RESEARCH

HEC/PMC rules will be followed for termination or freezing of M. Phil and PhD programs:

- a) Where M. Phil and PhD Scholar is unable to continue with their research program because of circumstances beyond their control, the Advanced Study and Research Board (ASRB) may suspend their registration for a specified period of maximum up to 1 year.
- b) The Scholar must be able to satisfy the ASRB of the University that any period of freezing will not adversely affect the viability of the candidate's research after consultation with the Supervisory Committee and HOD.
- c) Any period of freezing will be excluded from the calculation of the final submission date.



- d) While registration is suspended, a Scholar is exempted from fees, and is not entitled to any tuition or supervision, or to the use of any other research resources of the University.

19. THESIS SUBMISSION, EVALUATION & DEFENCE

19.1. Submission

- a) Submitted thesis must accompany the plagiarism report along with all other documents prescribed by the Examination department of SZABMU.
- b) When the ASRB is satisfied that there is sufficient reason, it may extend candidate's submission date maximum to six months on the recommendations of M. Phil and PhD Committee.
- c) At the time of submission of thesis, the supervisor would submit a list of the suitable local and foreign examiners that have relevant subject expertise through the HOD to ASRB for approval.

19.2. Evaluation

- a) In addition to the PhD committee members, the PhD dissertation must be evaluated by at least two external experts who may be either (i) Pakistan-based Distinguished National Professors, Meritorious Professors, or Tenure Track Professors, or (ii) PhD experts from academically advanced countries (approved list of academically advanced countries for evaluation of PhD Dissertation is provided in Annex 4.4(b)); provided, however, that if the PhD candidate publishes his or her dissertation research in a peer reviewed journal that is classified by the HEC as category X or above, the PhD dissertation will only require evaluation by one external expert. Thesis submission should be done within three to seven years of enrollment in the program.
- b) The ASRB would nominate four suitably qualified External foreign examiners from technologically advanced countries (HEC List) and two local PhD external examiners for evaluation of the thesis from the list provided by the Head of the Department.



- c) Each examiner will be provided with an electronic copy of the thesis and, acting independently, is required to provide the Controller of Examinations within two months of receipt of the thesis, with a written report on the quality of the thesis. If there is no response from examiner in two months after two reminders, the examiner will be replaced.
- d) The examiners will include with their reports, on SZABMU approved evaluation proforma, one of the following recommendations:
 - 1. To award the degree, subject to satisfactory performance at the oral examination.
 - 2. To award the degree after specified "minor corrections" have been made to the thesis, to the satisfaction of the oral examiner, by a specified date, and subject to satisfactory performance at the oral examination
 - 3. To permit the candidate to revise the thesis to incorporate the major changes suggested and resubmit it for examination.
 - 4. Not to award the degree.
- e) In case of recommendations of minor or major corrections, the scholar would be asked to submit the correction within a specific period for further evaluation.
- f) The evaluation reports of the examiners would be considered in the ASRB.
- g) The scholar would be allowed to proceed to the oral examination if
 - 1. The evaluation reports approve her/his thesis.
 - 2. PhD researcher has published at least one research paper as its first author during his or her doctoral studies in an HEC approved Y category (or above) journal for the award of PhD degree.

19.3. Public Defense & Oral Examination

- a) The Controller of Examinations will arrange thesis examination
- b) Before the Oral examination, a public defense of the thesis will be presented by the scholar.
- c) Public defense will be open for the entire faculty and student participation will be compulsory.



- d) The examination must be attended by the Candidate, the Oral Examiners, and the Head of Department or a Nominee. The main supervisor or co-supervisor may attend but will not act as an examiner and may only participate.
- e) The examiners will be provided the evaluation report of the thesis by foreign and local examiners
- f) On completion of the oral examination, the Head of Department will provide a written report endorsed by the Examiners. The report can include following recommendations:
 - a. To award the degree, subject to satisfactory performance at the oral examination.
 - b. To award the degree after specified "minor corrections" have been made to the thesis, to the satisfaction of the oral examiner, by a specified date, and subject to satisfactory performance at the oral examination
 - c. To permit the candidate to revise the thesis to incorporate the major changes suggested and resubmit it for examination.
 - d. Not to award the degree.
- g) After considering all of the reports of the examiners, the ASRB will make the final decision as to the award of the M. Phil and PhD degree.

19.4 Reporting Requirements to HEC after degree completion

The following documents shall be submitted to the HEC following the completion of studies:

- a. A duly filled completion form shall be sent to the HEC from the Office of the Controller of Examinations of the university notifying the HEC that the PhD scholar has completed all the requirements for the award of the PhD degree.
- b. A copy of PhD Dissertation for including in PhD Country Directory and for attestation of the PhD degree by the HEC.
- c. A duly filled Proforma for the PhD Country Directory, signed by the Principal Supervisor, Controller of Examination and the Vice Chancellor (or Rector).

19.5 Research Publication incentives by Institution

- a) Publication honorarium of Rs 20,000 for W, 10,000 for X and 5,000 for Y category will be provided to all authors of research article who have co-authored the publication with SZABMU affiliation.
- b) Institution (SZABMU) will cover the article processing charges of research articles accepted in HEC recognized impact factor journals.

19.6 Institutional support for M. Phil and PhD research activities

- a) For conducting the research activities of M. Phil and PhD scholars, funds of Rs.50 Thousand per semester will be allocated to supervisor by SZABMU.
- b) A competitive grant of Rs.0.3 million per year will be provided by university to supervisors of M. Phil and PhD scholars upon submission of research project to ORIC of SZABMU.
- c) An honorarium of Rs. 20,000 and Rs. 150,000 will be given the supervisor upon successful completion of M. Phil and PhD degrees respectively.

20. COLLABORATION WITH RESEARCH INSTITUTIONS

- a) M. Phil and PhD committee may allow students to undertake research in collaboration with research institutions other than universities if such collaboration would:
 - a. Extend the student's own experience.
 - b. Provide a wider range of expertise to assist in the development of the research work
 - c. Enable the student to become a member of a wider research community.
 - d. Such collaboration will involve essential access by the student to one or more of the following resources of the collaborating research institution: equipment, facilities, premises, and supervision by staff and/or data.

21. JOINT RESEARCH PROJECTS/ SPLIT M. PHIL AND PHD PROGRAM

The University may allow M. Phil and PhD Scholar to participate in research projects where data is being generated jointly by a group of researchers. Data will be used for the writing of thesis, provided that each student writes a separate thesis. The Understanding about data sharing should be documented properly between the Principal investigators of the Joint research projects who should be the members of the Supervisory committee of the M. Phil and PhD Scholar.

22. COPYRIGHT AND INTELLECTUAL PROPERTY

All the research material/ data collected or generated during the M. Phil and PhD research project is the property of Principal Investigator/ Supervisor of study. No candidate is allowed to transfer this to another place without prior permission from the Principal Investigator/ Supervisors and HOD of the department (or other respective department).

23. REQUIREMENTS FOR LAUNCHING PHD PROGRAMS AT UNIVERSITIES

23.1. Principles and Purposes

The HEC has prescribed minimum standards for the launching of new PhD programs, and requires universities to provide evidence of compliance with these standards in order to obtain approval from the HEC before starting the PhD program. The purpose of this policy is that only those universities should establish PhD programs that have the resources to impart education at the highest level in the particular discipline.

23.2. HEC Approval for Launching PhD Programs

A no objection certificate ("NOC") from the HEC must be obtained by universities prior to the launch of any PhD program.

23.3. Minimum Requirements for Launching PhD Programs

In order to obtain an NOC for launching a new PhD program, universities are required to comply with the following requirements:

- a. The Act/Charter of the university allows for the offering of the program;
- b. Approval has been granted by the university's statutory body to start the program;
- c. The university shall not have violated HEC rules, regulations or policies in any material respect in the last two years, provided if the university has adequately and timely taken remedial measures to rectify the violation, the HEC may at its sole discretion grant a waiver in respect of this requirement;
- d. If applicable, any necessary approvals shall have been obtained by accreditation councils to launch the program;
- e. The curriculum of the program shall be consistent with any guidelines issued by the HEC;
- f. The admissions requirements of the new PhD program shall satisfy the HEC's minimum criteria for admission in PhD programs (set forth in Section 8);
- g. The program completion requirements of the new PhD program shall satisfy the HEC's minimum criteria for award of PhD degrees (set forth in Section 19);
- h. At least three (3) full-time faculty members holding PhD degrees in the relevant field shall be appointed to the department that will be offering the new PhD program;
- i. The intended PhD program shall include a residence requirement for PhD students of at least two years; and
- j. As a general matter, universities shall establish PhD programs in core disciplines in social sciences, humanities and natural sciences, as may be notified by HEC from time to time. In order to launch PhD degree programs with specialized titles, the university shall submit for the HEC's review a statement of purpose explaining the need and rationale for launching such a program;



provided, however, that universities that have been in existence for less than ten (10) years shall only be allowed to launch PhD programs in core disciplines.

23.4. Process and Timeline for Obtaining an NOC for the Launch of PhD Programs

The process and timeline for requesting NOCs for the launch of PhD programs shall be as follows:

- a. Universities intending to launch a new PhD program shall submit a duly filled out form for the launch of new PhD programs signed by the head of the relevant department through dean office who shall certify to the correctness of the information provided and shall ensure that all required documents are attached with the application.
- b. Universities shall apply for the NOC before launching any new PhD programs, and no admissions shall be advertised unless the NOC has been obtained from the HEC.
- c. Universities shall be generally be allowed to launch no more than two (2) PhD programs in a single year. Universities intending to launch more than two (2) PhD programs in a year shall be required to submit a report demonstrating their capacity to initiate additional programs, which shall be reviewed by a special committee constituted by the HEC for this purpose.
- d. Universities requesting NOCs for launching PhD programs in the fall semester shall apply no later than March 31 of the same year.
- e. Universities requesting NOCs to launch a PhD in the spring semester shall apply no later than September 30 of the previous year.
- f. The HEC may, at its discretion, require an external review or a zero visit in connection with the launching of PhD programs by a university.

23.5. Continuing Compliance with the HEC's Policies

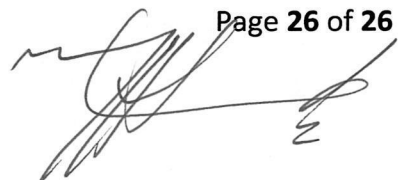
In the event that a university's application for launching a PhD program is successful, the university shall be granted an NOC for starting the PhD program. Upon receiving the NOC from the HEC, the university may launch the program subject to the following conditions:



- a. The university shall ensure that it will continue to comply with the requirements set forth in Section 23.3 during the entire period that it offers the PhD program;
- b. If an ongoing program fails to meet any of the requirements set forth in Section 23.3, it shall immediately stop further admissions to the program and notify the HEC, including providing information on remedial actions being taken by the university; and
- c. Faculty members may supervise no more than five (5) PhD students at any time.

23.6. Cancellation of NOC

In the event that a PhD program fails to meet the requirements set forth in this policy and the university does not take necessary and proper remedial action, the HEC may cancel the NOC awarded to the university for the non-compliant program. Upon cancellation, the university shall not be permitted to apply for a fresh NOC to restart the program for a period of at least two (2) years.

A handwritten signature in black ink, consisting of a series of loops and strokes, located at the bottom right of the page.