NDU PhD POLICY

Version 1.0 - 2026



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PREFACE

NDU PhD Policy (2026) aims to consolidate all prior PhD relevant SOPs and PhD Manual into a comprehensive document to facilitate aspiring PhD candidates, NDU PhD scholars, faculty, departments and concerned offices.

The policy is aligned with NDU Academic Regulations and HEC's Graduate Education Policy (2023) amended time to time and provide policy framework to regulate PhD program from admission to public defence. All previous policy changes, PhD Manual and PhD SOPs are considered null and void upon issuing this policy document.

Approval of NDU PhD Policy and amendments (if any) thereafter are subject to approval by the NDU Academic Council on the recommendations of Advanced Studies and Research Board (ASRB).

LIST OF ACRONYMS

ASRB	Advance Studies & Research Board
BOF	Board of Faculty
BOS	Board of Studies
CA	Competent Authority
CAC	Central Admission Committee
CGPA	Cumulative Grade Point Average
COE	Controller of Examination
Dept	Department
Div	Division
DMAC	Departmental MPhil Admission Committee
DPAC	Departmental PhD Admission Committee
DRC	Departmental Review Committee
EE	External Examiner
FCS	Faculty of Contemporary Studies
GAT	Graduate Assessment Test
GEP	Graduate Education Policy
GRE	Graduate Record Examinations
HEC	Higher Education Commission
HoD	Head of Department
IBCC	Inter Board Chairmen Committee
I Grade	Incomplete Grade
NDU	National Defence University
NTS	National Testing Service
PCD	PhD Country Directory
PRSA&IT	Public Relations, Students Affairs & Information Technology
QEC	Quality Enhancement Cell
RAC	Relevance Assessment Committee
Req	Required
SOP	Standard Operating Procedure
TMS	Thesis Management System
Subj	Subject
UERC	University Examination and Research Committee

CHAPTER 1

ADMISSIONS

1. The admissions to PhD programme are offered at NDU in accordance with provisions of NDU Academic Regulations and **HEC guidelines (GEP 2023) as amended from time to time**. The candidates shall apply online along with the required academic documents after the advertisement. Applications will be considered subject to meeting eligibility criteria (as prescribed in this policy) and availability of relevant supervisor.

2. Guidelines for Prospective Applicants. Candidates desirous to seek admission in PhD programs are required to remain abreast on Following aspects (details at **Annexure A**):-

a. Visit NDU website (www.ndu.edu.pk) for eligibility criteria, merit determination criteria and timelines

b. Prior interaction / searching of respective faculty in the department/ HOD for supervision in his / her research domain

c. Must be clear and prepared on his/ her area of research/ thesis

d. Preparation of comprehensive research proposal and statement of purpose

e. Apply timely on online admission system as and when admissions are announced.

3. Eligibility. MS / M. Phil or equivalent (17 or 18 years of education with at least First Div or 3.0 / 4.0 CGPA in relevant discipline from HEC recognized institution. (No 3rd Division in entire academic background). Detailed eligibility criteria and weightage are available at **Annexure B.**

4. Relevant and Intra-disciplinary Academic Background:- For Intra-disciplinary academic background (PhD) the candidate will be required to complete 6-9 credit hours of deficiency coursework (level 7 for PhD) as identified by the Admission Committee. List of department and discipline wise relevant and interdisciplinary fields are available at **Annexure C.**

5. Admission Test:

a. In accordance with HEC GEP-2023, candidates applying for PhD programme at FCS must qualify GAT (G) or Equivalent Test e.g. GRE(Intl) / HAT (Cat-

III for Social Sciences and Cat –II for Management Sciences) by HEC with a passing score of **60% and above.** Test validity is for 2 years w.e.f date of conduct.

b. Candidates having Intra-disciplinary academic background are also required to pass GAT Subject test in respective discipline after qualifying GAT (G) or Equivalent test. Test validity is for 2 years w.e.f date of conduct.

c. Paper format for GAT (G) and GAT (S) and conduct modalities are **available at Annexure D.**

6. Admission Process: After initial scrutiny by the Admission office, applications of all candidates (mentioning remarks about their eligibility as per the eligibility criteria) will be forwarded to the concerned department for evaluation/recommendations. Departmental PhD Admission Committee headed by HOD and comprising all PhD faculty of the department will evaluate the candidate and recommend his/her suitability for admission to PhD or otherwise on a prescribed proforma **Annexure E)** to Admission Office.

7. PhD Proposal, Statement of Purpose and Interview. The PhD candidate's eligibility will also be assessed in an interview by a panel headed by Dean FCS and comprising of Departmental PhD Admission Committee, who will be required to provide a research proposal and statement of purpose. However, the proposal at this stage will only be required to provide statement of academic interest, motivation and understanding that how the proposed research area fits in to his/her long-term career goals and contribute to address / enrich the key challenges faced by Pakistan. The process of interview and assessment of research proposal and statement of purpose will be steered / monitored by the Deputy President NDU and Director QEC as per the template / procedure attached as **Annexure-F.**

8. Ineligibility. Any one who has been rusticated or expelled from college or university for misconduct or use of unfair means.

9. Selected applicants will be issued provisional admission offer letter for payment of fee within the given timeline.

10. Registration in PhD Programme: After payment of fee, joining the classes by the candidate and admission confirmation by the ASRB, Registrar office will issue

"notification of registration" within 30 days after commencement of semester.

11. Allocation of Supervisor. A full-time relevant faculty member (HEC approved supervisor) shall be provisionally appointed as supervisor and co-supervisor (if required) at the time of Admission on the recommendations of the Relevance Assessment Committee (RAC), which shall be confirmed after the approval of ASRB.

12. Foreign Degree Qualification Holders. Candidates having foreign degree / qualification must provide HEC equivalence while applying. In case, equivalence of years is provided and numerical rating is not available then minimum eligibility criteria i.e., 3.0/4.0 for PhD candidates shall be applicable for generation of merit.

13. Admission on the Basis of Transfer of Credit Hours from other HEC Recognized Universities. Students interested to apply for admission on the basis of transfer of credit hours shall first obtain admission through regular process and then apply for transfer of credits. The scholar may be considered for admission on the basis of transfer of credit hours provided:-

a. He/she already possesses an M.Phil. degree and is undergoing Ph.D. course work at another University. Admission through transfer of credit hours shall not be considered during the research phase.

b. He/she has studied the courses equitable to Ph.D. programs being offered at FCS.

   (1) His/her CGPA in course work is not below 3.00.

   (2) The Supervisor in the relevant area is available at FCS.

   (3) His/her case is recommended by the Ph.D. Admissions Committee and Dean FCS for acceptance of transfer of credits studied by him/her at another university.

c. He/she provides an NOC from the parent university for the purpose, along with copies of approval of the Board of Advanced Studies & Research Board of his/her date of admission.

d. The period spent by the scholar at the parent institution shall be counted towards the requirement of his/her residency requirement for Ph.D. program as prescribed in these Regulations.

e. Such Scholars shall be required to pay transfer charges as prescribed by

the University from time to time.

f. All such cases of transfer when recommended by the Ph.D. Admission Committee may be provisionally approved by the President NDU. Final approval shall, however, be granted by the Advanced Studies & Research Board.

14. Credit Transfer and Exemption Policy. Credit hours will be transferred only when the Following conditions are met:-

a. Transfer cases, will not be entertained after a student has started the programme of study at NDU i.e. registered Ph.D. courses.

b. The credits will be considered for transfer if the course content is at least 80% similar to the course content at National Defence University.

c. Credits/ courses exempted elsewhere shall not be transferable. Only regular taught courses shall be transferable.

d. Transferred credits/ courses shall not include seminars or audited courses.

e. Transferred credits/ courses shall not exceed 50% of the total credit/ required for that programme.

f. 'B' grade or 65% marks are required for a course to be considered for transfer of credits.

g. Application for credit transfer submitted by the students shall be supported by the Following document.

h. The course outline and teaching plan of the courses that were completed in a different university / institution and which are being considered for credit transfer.

i. The course contact hours and the name of the faculty who taught the course along with the relevant grades.

15. Procedure / Criteria for Transfer of credits/ exemption of PhD courses studied at other Universities. The Following will be the Procedure /criteria for exemption of M.Phil. / Ph.D. Courses for the students who have studied at other universities/institutions recognized by HEC.

a. The Admission Committee of the department concerned *can recommend maximum 50% credit hours studied at the parent university* on the basis of the information (course outlines, Transcripts) provided by the applicant.

b. In exceptional circumstances, the Assessment Committee shall recommend beyond 50% credit hours to Advance Studies & Research Board for approval**.** The transferable credits depend on the standing of the institution where the candidate is transferring from, the nature of successfully completed courses, and on the grades obtained.

c. The courses accepted for transfer shall be relevant to approved courses/ curriculum of the department concerned**.** Any decision on the transfer of credits for the courses completed of the applicant will be taken after the evaluation of the courses by the Departmental Admissions Committee. Applicants may be called for an interview/test before making a final decision about the transfer of credits. Information about transferable courses/ credits will be communicated to the candidates at the time of admission offer together with a list of courses for which interviews or tests are required.

16. Fee and other Dues. Each student shall be required to pay tuition fee and such other charges as may be prescribed by the University from time to time.

17. Cancellation of Admission. The admission of a student may be cancelled subject to the Following:

a. On student's own request to cancel his/ her admission: A student can get his/ her admission cancelled if he/she is not willing to continue his/her studies further subject to settlement of dues:

b. By the university, after issuance of Show Cause Notice/ Warning, if:

1) The student remains absent from classes for four weeks without assigning a reason;
2) The student does not pay the fees and dues within four weeks of commencement of a semester without obtaining permission for late payment
3) Upon registration in another degree programme;
4) On account of poor Academic performance under the provisions of the Academic Regulations;
5) A student faces expulsion on account of disciplinary action in which case the fee shall not be refunded.

6) Upon Non-completion of Degree Requirements within stipulated duration.
7) Upon Non-Clearance by the concerned quarters.
8) Upon failure/ absence in the PhD Comprehensive Examination in accordance with the provisions of the Academic Regulations.
9) Upon two consecutive adverse reports or total three adverse reports in accordance to the provision of the Regulations.

c. In all above cases tuition fee shall not be refunded.

18. Composition and functions of Following Committees are available at **Annexure G**

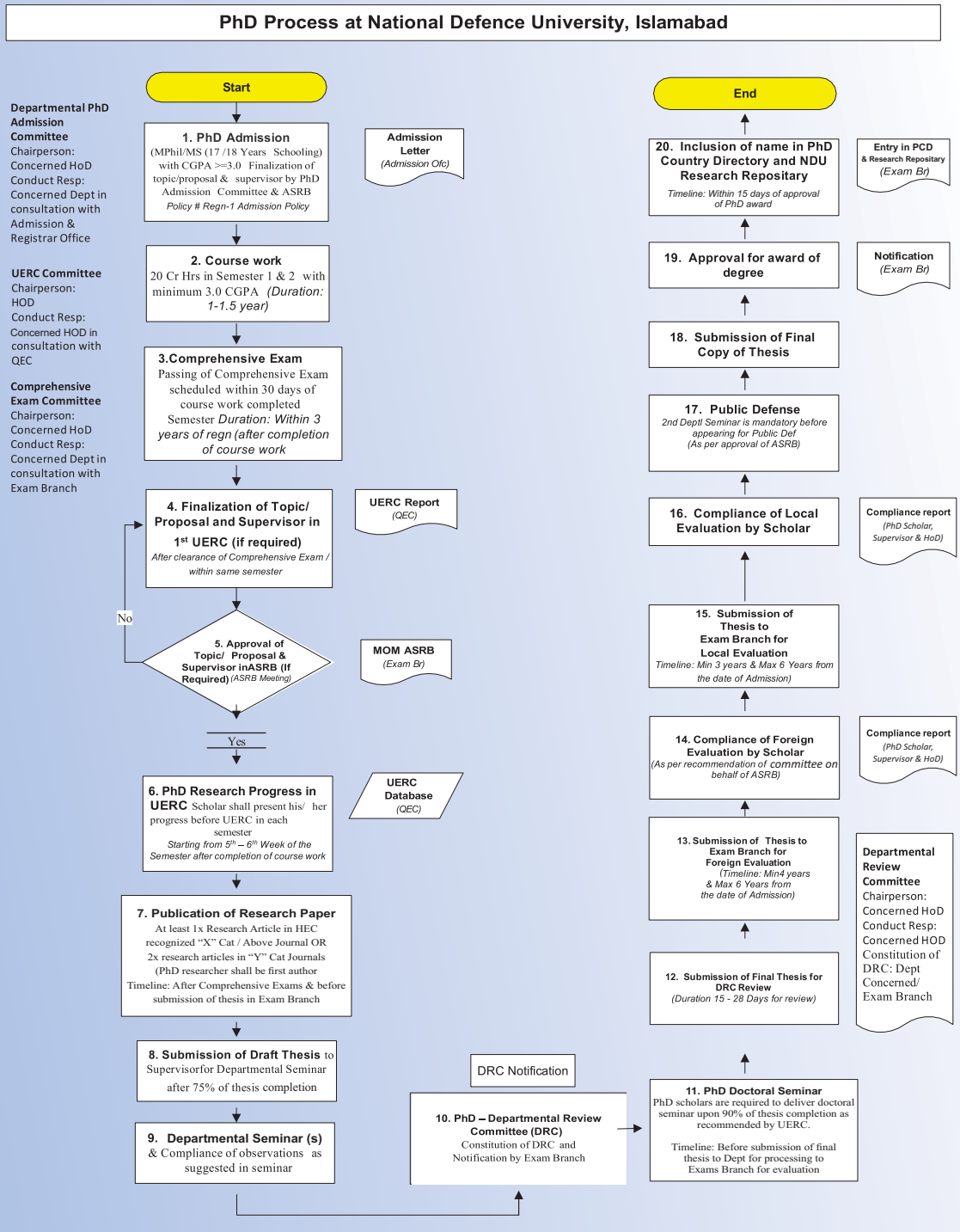
a. Admission Committee of the University

b. PhD Admission Committee

c. Relevance Assessment Committee

d. GAT (Subject) Committee

18. Flow chart of PhD Degree/ Research is as under:



Note: PhD supervisor or scholar having any grievances / complaints related to PhD process may submit an application to Dean FCS office. Dean FCS shall process the case for decision from Competent Authority and will convey the decision to scholar within 15 working days.

19. Time Line of PhD Journey at FCS, NDU. Purpose of following table is to state the milestones linked with time period, activities and university department/branch involvement. "**T**" represents month (i.e. To means date of commencement of degree programme) and each activity is linked with time period as a guide and if scholar Following the below timeline, he/she can finish PhD in minimum time period which is 3 years. Any delay in the below time line will lead to a greater number of months and years respectively.

Time	Activity	Objectives	Remarks/Resp
T0	➢ Admission Process ➢ Allocation of supervisor and finalization of topic (to be subsequently approved by ASRB) ➢ Attend Orientation ➢ Register 4 Courses (core + elective+ 1 course of Understanding of Holy Quran) of first semester on Acadmax	To complete all required documentation and learn about the culture of university as well as department and also the rules and regulations pertaining to different departments which a scholar needs to comply.	➢ Registrar /Admission Office, HoD & Respective Admission Committee ➢ Academics Office & respective branches ➢ HoD Concerned
T1-T5	➢ Attend monthly meeting of PhD Scholars.	To share and learn from other Scholars registered in different semesters and faculty about upcoming conferences and also what new dimensions of research are evolving.	HOD and Dept Faculty.
T6	➢ Final Exam of 1st semester and discussion on upcoming semester / courses especially electives well before start of new semester. ➢ Also start working on proposal finalization in consultation with Supervisor for 1st UERC	To assess that whether student has learnt the desired objectives of courses being taught. Start preparing final research area and finalize variables.	➢ HOD, Faculty, and Exams Branch. ➢ Supervisor
T7	➢ Register 4 Courses (core + elective + 1 course of Understanding of Holy Quran) of second semester on ACADMAX.	To enhance subject knowledge of research area and start Researching/ Drafting the thesis.	HOD concerned

Time	Activity	Objectives	Remarks/Resp
T7-T11	➢ Attend monthly meeting of PhD Scholars	To share and learn from other Scholars registered in different semesters and faculty about upcoming conferences and also what new dimensions of research are evolving.	HOD and Dept Faculty
T12	➢ Final Exam of 2nd Semester ➢ Finalization of proposal in consultation with Supervisor for 1st UERC	To assess that whether student has learnt the desired objectives of courses being taught.	➢ HOD, Faculty, and Exams Branch. ➢ Supervisor
T13	Appear in Comprehensive Exam within 30 days of course work completion (Written + Oral)	To test scholar's broad understanding of the discipline as a whole" as it is held after the completion of course work .It should not be limited to test students grasp over the selected field of theory and research.	Comprehensive Exam Committee and Exam Branch
T14 -16	➢ Attend monthly meeting of PhD Scholars ➢ UERC first meeting for recommendation of the Topic and Supervisor for approval by ASRB (if required)	➢ To share and learn from other Scholars registered in different semesters and faculty about upcoming conferences and also what new dimensions of research are evolving. ➢ To provide a documented process of progress and evaluation of PhD scholar's research, once in each semester after comprehensive exam to enhance quality of research to get feedback on research work, so that suggested changes/ suggestions may be incorporated timely	➢ HOD, Supervisor and Department Faculty ➢ UERC and Exam Branch for ASRB Approval

Time Line	Activity	Objectives	Remarks
T16 – T18	➢ Start writing Article ➢ Start Data collection ➢ Endeavor to submit completed part of thesis to Supervisor.		➢ Supervisor to oversee
T19-T23	➢ Attend monthly meeting of PhD Scholars. ➢ Thesis writing continues	To share and learn from other Scholars registered in different semesters and faculty about upcoming conferences and also what new dimensions of research are evolving.	➢ HoD and Dept Faculty ➢ Supervisor
T24	➢ 1st Departmental Seminar upon completion of approx. 75% thesis.	➢ To open research to department faculty and researchers for valuable input / suggestions to improve research. ➢ Recording and compliance of observations by DRC.	Supervisor, Dept Faculty, Exams Branch Rep and Students.
T25-T29	➢ Completion of Thesis Writing and appearing for Doctoral Seminar Seminar upon completion of 90% thesis. ➢ Formation of DRC by the dept and notification by Exam Branch ➢ Attend monthly meeting of PhD Scholars and submit published article to QEC for vetting.	➢ To provide opportunity to PhD scholars to open their research to faculty, scholars, Industry experts and officials of the Scholarly community and invite suggestions for improvement. ➢ To share and learn from other Scholars registered in different semesters and faculty about upcoming conferences and also what new dimensions of research are	➢ HOD, Dept Faculty, DRC, UERC and Exams Branch rep. ➢ Dept concerned and Exams Branch ➢ HoD and Dept Faculty

Time Line	Activity	Objectives	Remarks
		evolving. ➢ Recording and compliance of observations by Supervisor and Subject Expert.	
T30-T31	➢ Thesis Submission to the Department along with thesis completion certificate by supervisor for DRC review ➢ After incorporating changes suggested by DRC duly certified by the Supervisor, thesis submission again to department for further sending to Examination Branch for External Evaluation.	To get feedback of the experts so that necessary improvement be made in research document prior to sending for external evaluation	➢ Dept concerned, **DRC**,QEC and Exams Branch ➢ Supervisor and HoD
T31-T35	➢ Attend monthly meeting of PhD Scholars	To share and learn from other Scholars registered in different semesters and faculty about upcoming conferences and also what new dimensions of research are evolving	HOD and Dept Faculty
T32-T33	➢ Incorporate external Examiners report observations and resubmit thesis to department for consideration and verdict by Committee on behalf of ASRB and approval of ASRB for Public Defence after external evaluation of thesis.	To ensure that all necessary/important changes suggested by external referees have been incorporated by the scholar	HOD, Supervisor, Committee on behalf of ASRB and Exams Branch

Time Line	Activity	Objectives	Remarks
T34	➢ External Examiner's Evaluation and Public Defence	➢ Public defence is an essential part of PhD program whereby the scholar shall be required to make detailed presentation of his/her scholarly effort and answer the questions of the evaluators and public at large. ➢ Compliance of observations by DRC	Dean FCS, HOD, External Evaluators, COE
T35	➢ Notification after ASRB's approval, Award of Degree after approval of NDU Senate / President NDU approval on behalf of NDU Senate and Inclusion of Name in PCD & NDU PhD Research Repository	➢ A candidate who successfully completes all the prescribed requirements shall be awarded, the degree of Ph.D. ➢ Name to be added in the PhD Country Directory maintained by HEC	Department, Supervisor, Exam Branch

CHAPTER 2
COURSE WORK

1. Duration of PhD Programme. The duration of PhD programme shall be 3-8 Years in alignment with GEP However, NDU encourages the scholars to complete their degree requirements within minimum duration or up to four years without compromising on quality. However, in case of extenuating circumstances, extension from 5th year / 9th semester onwards will be granted by the Advanced Studies and Research Board (ASRB) on the recommendations of University Examination and Research Committee (UERC).

2. Course Work/ Credit Hours. A student will be required to complete 20 credit hours course work as per scheme of studies of the department. Student may be required to study deficiency courses as determined by the department.

3. Registration of Courses.

a. PhD student shall register the courses of 9 to 12 Credit Hours in each semester in consultation with supervisor on Campus Management System (CMS) before start of semester. However, he/she can also register course(s) during 2nd week subject to payment of late fee.

b. PhD student shall register 3 core and 3 elective courses along with 2 courses of Understanding of Holy Quran / Ethics during first two semesters.

c. A PhD student can also take one elective course from another department, if it is relevant to PhD thesis.

4. Attendance Requirement. Minimum 75% attendance (unless amended) will be required in each course for appearing in the final term examination. The student falling short of attendance shall be awarded "F" grade.**Deficiency Courses.** A student may be required to study deficiency courses of level 7, if recommended by Departmental PhD Admission Committee at the time of admission and the courses shall be completed with an overall CGPA of 3.0 prior to start of PhD course work. Such courses shall be reflected in the transcript.

5. **Add/ Drop of Courses.** A student may add / drop the course(s) within 15 days from the commencement of semester after approval of Dean. No addition or drop of course(s) shall be allowed after 15 days from the date of commencement of the semester.

6. **Withdrawal of Courses.** Courses withdrawn three weeks before commencement of the final term examination will be recorded on the transcript with a grade **'W'**, after which withdrawal of the course will not be allowed.

7. **Semester Freeze.** Freezing of first and research semesters shall not be allowed. A student can apply for freezing of semester within 15 days of semester start on Acadmax after having paid the fee (which may be transferred to next semester OR refunded on case by case basis) prior to start of the semester due to personal compulsions, accident or compassion and will be approved by Dean of the Faculty.

8. **Residency Requirement.** Residency requirement of two semesters will be mandatory.

9. **Incomplete (I) Grade**: As per HEC guidelines, there will be no Supplementary/Special Examination in a Semester System. If a student fails in a course, s/he is required to repeat it. An incomplete ("I") grade will be awarded only in exceptional cases beyond the control of a student such as serious accidents, family tragedy, serious health ailments, etc.

a. **Eligibility Criteria for Award of "I" Grade(s)**

1) Possesses min attendance of 75% in the particular subject.
2) Has not been debarred from appearing in the final term examinations.
3) Has paid the semester fee.
4) Has submitted required documents in Registrar's office.
5) Has missed portion or entire final term examinations due to circumstances beyond his/her control such as:-

i. Serious Accident.

ii. Family (Grandparents, parents, siblings, kids, and spouse) Tragedy.

iii. Serious Health Issues/Ailments.

iv. Natural Calamities

b. **Procedure for Award of "I" Grade(s).** A student who wants to apply for the award of "I" grade well before or soon after missing the final term examination may follow the following procedure:-

1). Should apply to his HoD through the teacher concerned for award of "I" grade provided s/he fulfills the eligibility criteria mentioned under para 3 above.

2). The application form **(Annexure H)** may be submitted well before or soon after the date of missed examination (as the case may be) up to the 15th day of end of scheduled exam to the concerned dept to process to Exams Branch through Dean's Office. No application shall be entertained after 15th day under any circumstances.

3) The application form should include authentic certificates/ documents describing the events that forced the student miss the final term examination(s). In the absence of valid and legitimate proof, application should not be accepted / recommended.

4) Award of 'I' grade shall be decided by the Committee constituted for this purpose

c. **Scheduling:**

1) I Grade Examinations shall be scheduled by Exams Branch "ON CAMPUS".

2) "I" Grade Examinations shall be held only once in each semester on suitable dates (within 4 weeks after the scheduled final term exam).

3) If a student fails to appear in scheduled "I" grade Exams, shall result in conversion of the "I" grade into an "F" grade in that subject.

4) Only students who have been awarded "I" grades by the committee

and paid the prescribed fee shall be eligible to appear in the scheduled "I" grade Examinations.

10. **Permission to take Online Classes:** The traditional in-person, on-campus teaching approach remains the prevailing method of instruction at FCS. Students experiencing chronic illness, mobility impairments, serious medical conditions, and mental health issues can apply for online classes, with good academic performance only for up to two weeks. If the student's health issue is not resolved, they have the option of semester freeze. To be eligible, students must provide supporting documentation confirming their physical and mental health conditions. For Government servants, the Admission Office will seek an undertaking from government servants at the time of admission to attend on-campus classes throughout their degree programs. Acknowledging the distinct challenges government servants face due to their unavoidable circumstances they can apply for online classes, with good academic performance only for up to two weeks. If the student's unavoidable circumstances and prolonged. They have the option of semester freeze.

a. **Approving authorities for Online Classes:-**

(1) Dean FCS - Up to 1 x Week

(2) Dy President NDU - Up to 2 x Weeks

CHAPTER 3

COMPREHENSIVE EXAMINATION

1. **Eligibility.** A student after completion of course work with minimum 3.0/4.0 CGPA (unless amended) and deficiency course(s) (if any) will be eligible to appear in the Comprehensive Examination if he/she:

   a. Has completed course work with CGPA 3.00/4.00 and deficiencies (if any).

   b. Has not already availed two chances.

   c. Has been cleared by Registrar's office regarding documentary requirements and Finance Branch regarding fee etc.

2. **Time Line.** Qualifying comprehensive examination within **three** years of Registration or one year after completion of PhD course work (unless amended) is mandatory before undertaking research work.

3. **Number of Chances.** A student shall have maximum of two chances to pass the Comprehensive Exam. If he/she fails to pass the Comprehensive Exam in the first attempt, he/she shall be allowed one more attempt to take the examination on the recommendation of supervisor. If the scholar fails to qualify in the second attempt, his/her admission will be cancelled and "Result Card" for coursework will be issued to the student.

4. **Scheduling**. Comprehensive Examination shall be scheduled with approval of the Dy President, NDU and arranged once in each semester (within 30 days after completion of coursework with CGPA 3.00/4.00) as notified in Academic Calendar. Change if any, will be approved by Dean FCS, under intimation to Dy President.

5. **Absence from Scheduled Examination.** Non-appearance in the scheduled Comprehensive Examination will be considered as FAIL irrespective of 1st or 2nd attempt.

6. **Scope.** Comprehensive Examination shall consist of two parts:-

a. **Written Part**

1) Written exam shall focus mainly on topics/material covered in the course work taught. It will be a minimum three hours paper consisting of minimum 5 questions. HoD concerned to prepare three question papers from questions submitted by subject teachers (03 x questions each from the subject taught). In case subject teacher is not available, HoD may ask another teacher with specialization in same area to prepare 3 x questions. Breakdown of weightage will be as under:-

i.	Research methodology	-	15 %
ii.	Theory	-	35%
iii.	Subject Knowledge	-	50 %

2) Dean FCS / Dy President will select one question paper out of three submitted by respective HODs.

3) Candidates shall be required to attempt 4 x questions as Following:-

i. **Section A.** Consisting of two compulsory questions from core courses; one from Research Methodology and one from theory.

ii. **Section B**. Consisting of minimum three questions from elective courses and students will be required to attempt any two questions.

b. **<u>Oral Part</u>**

1) Passing of written part shall be mandatory to appear in oral part.

2) Oral part shall specifically focus on proposed research area and to assess the capability of the student to frame and apply research methodology and theoretical framework on his /her research.

3) The Panel will ask questions about the research topic keeping in mind Following weightage breakdown:-

i.	Research methodology	-15%
ii.	Theory	-35%

iii. Subject Knowledge - 50 %

4) Dean FCS/ Dy President may randomly attend Oral Examination if deemed necessary. HoD of concerned dept to inform Dean FCS/ Dy President a day in advance.

5) Oral Examination evaluation sheet will be countersigned by Dean FCS after the conduct of the Oral Examination.

7. Conduct & Marking

a. Comprehensive Exam shall be conducted by a committee comprising the HOD, the provisionally allotted supervisor, a member from any other dept and a subject specialist from within/outside NDU. Additionally, faculty member(s) who has(have) taught the course(s) may also be involved in both parts of Comprehensive Exam (i.e. paper setting, conduct and marking) with approval of the Dean FCS under intimation to Dy President.

b. Students passing the written part will be eligible to appear in oral part. Date and time of Oral Exam of each student shall be intimated to Dy President, Dean FCS and Exams Branch by concerned HODs.

c. Each member of the Committee shall mark the answers separately and then discuss jointly. To ensure transparency, faculty members who have taught the courses may also be involved in marking the Comprehensive Exam answer sheets

8. <u>Results</u>

a. Overall pass percentage in the Comprehensive Exam shall be 60% and passing the Written and Oral parts shall be mandatory.

b. The final grade (Pass / Fail) shall be calculated by the committee jointly with 60% weightage of Written part and 40% weightage of Oral part.

c. HoD concerned shall be responsible to forward the final result (along with marked answer scripts and attendance sheets) duly signed by all members of the committee to Exams Branch in sealed envelopes.

d. Exams Branch shall declare the result with approval of the Competent Authority and issue formal notification.

9. **Student's Grievances.** PhD scholars having grievances / complaints may submit written application to, Dean FCS's office which in-turn shall process the case for decision by the Competent Authority (President/Dy President) and will convey the decision to the scholar concerned under intimation to Exams Branch within 15 working days of complaint receipt.

CHAPTER 4

UNIVERSITY EXAMINATION AND RESEARCH COMMITTEE (UERC)

1. University Examination and Research Committee (UERC) is the most critical aspect of a PhD process. The UERC will be constituted by QEC in consultation with department and supervisor for each PhD scholar, soon after the admission to monitor and evaluate the progress of research of the scholar against the set goals and to provide guidance for enhancing quality of research.

2. **Composition.** Composition of UERC is as under:-

a.	Concerned HoD	:	Chairperson
b.	Supervisor	:	Member
c.	Co-supervisor (if any)	:	Member
d.	One Subj Expert	:	Member
e.	Director QEC	:	Member

Note: The UERC(s) may be chaired by the Dean FCS in cases where the nature of the matter needs deliberation. Dean FCS/ Deputy President NDU may chair any UERC at their discretion.

3. **Criteria for Appointment of Subject Expert:**

a. Subject Experts shall be appointed strictly on the basis of academic expertise relevant to the scholar's research area.

b. Where suitable expertise is unavailable within the University, an external Subject Expert may be appointed.

c. Subject Experts should preferably be PhD approved supervisor. Where none is available internally, an external PhD approved supervisor may be appointed.

d. A newly graduated PhD Assistant Professor may be appointed as subject Expert provided, he or she has at least one W-category publication in the relevant field.

4. Meetings: Meetings of UERC will be scheduled biannually by QEC for each PhD scholar in consultation with Department concerned: -

a. The Committee will meet at least once per semester (or on req basis) to monitor, evaluate and document the scholar's progress during the previous semester.

b. **Scheduling First Meeting of UERC**: Departments must prioritize and diligently schedule first meeting of UERCs within same semester after comprehensive exam to finalize each scholar's research topic and Supervisor. Sessions should allow thorough review and documentation, without strict time constraints. Departments through QEC will forward the recommendations for research topic and Supervisor to Exams Branch for approval of ASRB.

c. In case of non-availability of concerned supervisor, subject expert & HOD, UERC will not be held/ executed and will be rescheduled through ION/email.

d. Special Meeting of UERC: Special UERC meeting (on justifiable grounds) may be convened physically after the approval from Dy President NDU. The scholar shall attend the Special UERC in person. The concerned Supervisor shall also attend the Special UERC in person, unless otherwise approved by the Competent Authority.

e. Attendance:

1) All PhD scholars of the concerned depts. may attend UERCs of them depts.

2) UERC members

3) All faculty members of the department

f. **Permission to Attend Online UERC Meeting:** Maximum 20% (03 UERCs) of the total UERCs can be held Online. Scholars unable to appear physically may request special permission from Dean FCS/ Competent Authority through

concerned HoD for online participation.

5. Functions and Duties of UERC: Functions and duties of UERC shall be as under:

a. **Approval of Research Topic and Proposal**. Consider and recommend the final research topic and research proposal duly endorsed by the Supervisor and Departmental PhD Committee for approval of the ASRB. Debate each & every aspect of the proposal, including hypothesis, research questions, conceptual model/framework, validity of data collection instruments, choice of data analysis tools, expected results and contribution to the existing body of knowledge etc.

b. **Change of Research Topic**. Consider and recommend the request of the PhD Scholar for change of research topic duly endorsed by Supervisor for the approval of ASRB.

c. **Research Ethics**. Sensitize the PhD scholar on ethical considerations during the conduct of research. The candidate must convince the UERC in the first review that research poses no physical, emotional, psychological risk to the participants, the implementing institution (NDU) and the candidate. If there are any risks, UERC to demand from the PhD Scholar to present a workable plan to manage and minimize the risks.

d. **Change of Supervisor.** Change of supervisor shall be discouraged; however, only in extenuating circumstances (medical condition of the supervisor OR in case Supervisor leaves the University), recommend change of Supervisor, explicitly mentioning the reason (s) along with accumulative thesis completion progress to ASRB for approval. In case of delay in the meeting of ASRB, President NDU may approve change of supervisor which will be subsequently confirmed by the ASRB.

e. **Submission of Progress Report.** Critically examine biannual progress and quality of research during the period and submit progress reports of all PhD Scholars, who are in research phase, to the ASRB after approval of the President NDU through Examination Branch twice a year.

f. Evaluation of PhD Scholar's Research.

(1) Respective HoD (as Chairperson of UERC) shall inform in writing all eligible PhD scholars, appearing for his/her first UERC, about types of reports i.e. adverse, absent & fail status and their impact on the academic career as under:

(a) Earning two consecutive adverse reports or total three adverse reports will merit cancellation of admission.

(b) Absence from a scheduled UERC meeting will be considered as '**Fail**'.

(2) PhD scholar will formally present the research progress in every semester in UERC meeting, which will critically examine the direction, regular progress and quality of research completed during the period of review (format of the presentation is attached at (**Annexure I**).

(3) The Committee will debate all aspects of the proposal specially finalization of research topic, hypothesis, research questions, conceptual model/framework, validity of data collection instruments, choice of data analysis tools, expected results or contribution to the body of knowledge area at the end.

(4) The Committee may pass the scholar straight away, pass with advice of few improvements or reject the proposal. In the last case the scholar will be deemed to have availed one chance and will be given last chance to come back with new proposal after 1 – 2 months on the given date. Proceedings of the Committee will be recorded and kept /uploaded on TMS by the respective HoD for mandatory presentation in the next meeting.

(5) In case, performance report of the scholar is found adverse/ below required standards, the scholar will be informed in the committee meeting and a written report will also be sent at

scholars e-mail/last working address by respective HoD.

(6) The committee will provide appropriate guidance and document it, in case, the scholar's direction and quality of research are not considered in line with the target research proposal.

(7) The scholar's progress shall be graded in a quantified way by Supervisor, Co-Supervisor, Subject Expert and respective HoD; Evaluation Proforma and check list is attached as **Annex J** respectively.

(8) While defending the research proposal during first UERC meeting, scholar will submit a timeline of his work, clearly identifying targets of research to be presented / reported in the next meeting of the UERC.

(9) There will be 02 x progress reports of the scholar in each year and presented/ discussed in semester wise UERC meetings by the members and documented by the supervisor.

(10) Record of reports will be maintained in TMS by the respective dept and will be visible to Dean FCS, Dir QEC, and Director Academics.

6. **Roles and Responsibilities** are defined as under: **-**

a. **Supervisors**

(1) Supervisor shall provide comments to scholars via email in advance. Proformas for subject experts, co-supervisors, and other UERC members must be shared in advance by the concerned supervisor with the scholar's work to facilitate scoring and feedback.

(2) PhD Log will be maintained in TMS by the Supervisor

(3) **External reviewers** must submit comments to the department before the UERC.

b. **Head of the Department (HOD):** In accordance with the Graduate Education Policy (GEP), the Head of Department (HOD) shall have overall academic oversight and administrative responsibility throughout the PhD process, including supervision, UERC proceedings, DRC review, and monitoring of the scholar's progress at every stage. For UERC, responsibility and authority both lies with the HOD concerned. In case of an adverse report, the **HoD** shall inform the scholar during the UERC and provide a written copy via email and postal mail.

c. **Department PhD Focal Persons** shall oversee the coordination and organization of

UERC documents in liaison with supervisors and the department coordinator.

d. **Supervision Compliance and Corrective Measures:** To ensure accountability, timely completion of PhD programs, and academic integrity, the University has established a structured framework for addressing UERC non-compliance, with graduated actions ranging from warnings and financial deductions to suspension or withdrawal of supervision rights. All faculty supervising PhD scholars are legally obligated to maintain continuity of guidance, including formal handover of responsibilities if leaving the University, reinforced through legally binding bonds and explicit clauses in employment contracts. This framework also emphasizes the timely completion of PhD theses within four (4) years from program enrollment. The detailed measures, responsibilities, and enforcement procedures relating to PhD Supervisors are summarized in the UERC Non-Compliance and Remediation Table and PhD Supervisor declaration form is available at **Annexure-K**.

e. **Responsibility of the Research Scholars.**

1) Mandatory appearance in the scheduled University Examination Research Committee (UERC) meetings after passing Comprehensive Examination.

2) Remain abreast with academic policies and deadlines.

3) Submit final research topic and proposal duly recommended by the supervisor, Departmental PhD Committee for consideration of UERC in its first meeting after passing Comprehensive Exams within same semester.

4) Set targets for next semester, and present plan of action with, timelines and any related issues in each semester as per presentation template.

5) Submit draft chapter(s), incorporating all suggested changes to supervisors through TMS at least 30 days before UERC, and after supervisors' **approval** of the draft and **presentation slides** and a **six-month/ semester log**, it'll be submitted to HoD & subject expert at least 15 days before the UERC. Late submissions will be treated as **absence** and graded **"Fail"** unless otherwise approved by the Competent Authority on the recommendation of UERC.

7. **Absence from UERC Meeting.** If a scholar absents from UERC meeting without

any verifiable reason or fails to present research progress on the pre-announced date, he / she will be considered as fail by default. HOD shall communicate the decision of adverse report in writing in a formal letter to PhD researcher with a copy to QEC and Exam Branch.

8. **Approval of Progress Report by ASRB.** Progress reports duly endorsed by UERC will be placed before ASRB twice a year for approval.

9. **Adverse Reports.** In case of two consecutive adverse reports or total three adverse reports, the registration of PhD student shall be cancelled after approval of ASRB.

10. **Allocation and Change of Topic.** PhD Researcher may change topic of thesis on recommendation of his / her supervisor and UERC after approval of ASRB (Proformas for allocation of research topic at **Annexure L-1** and change of topic at **Annexure L-2)**.

11. **Change of Supervisor.** Change of supervisor shall be discouraged; however, only in extenuating circumstances (medical condition of the supervisor OR in case Supervisor leaves the University), Supervisor of the scholar can be changed by the University on the recommendation of UERC and after approval of ASRB. (**Proforma at Annex M)**

12. **Cancellation of Admission & PhD Candidature on the Basis of UERC Reports and Evaluators Remarks**. Under the Following conditions, case shall be processed for cancellation of Admission & PhD candidature of a PhD scholar by the respective dept through QEC and Registrar Office:-

a. If a scholar is absent without any valid reason or fails to present his/her work before the committee on the pre-announced date and has been graded fail by default.
b. If a scholar reported absent or fails to present his/her work before the committee two consecutive times or total of three times.
c. If a scholar gets two consecutive adverse reports or total of 03 x adverse reports.

13. **Compilation of UERC Results:** `Results will be compiled by the Departments through TMS and QEC will share the reports with Exams Branch for presentation in ASRB for concurrence / approval as the case may be.

CHAPTER 5

DOCTORAL SEMINAR

1. **Eligibility.** It will be mandatory for each PhD scholar to deliver a Doctoral Seminar relevant to his/ her research at University before the submission of thesis to Department subject to meeting Following criteria:

   a. Completion of **90% of** research work (unless amended) duly confirmed by UERC.

   b. After having delivered at least one department level seminar on completion of **75%** research work.

   c. Payment of fee latest as applicable

2. **Conduct**. Department will be responsible to arrange Doctoral Seminar as per timelines given in Academic Calendar. Exam Branch shall issue notification after approval of Deputy President NDU. PhD Scholar in consultation with the supervisor will finalize the details of research work to be presented in the Seminar. In the absence of supervisor or co supervisor, the doctoral seminar shall be postponed

3. **Attendance.** Besides mandatory attendance of Dean FCS, all HoDs, Supervisor and Co-supervisor, Doctoral seminar will be attended by all faculty members of the department, members of UERC, **DRC,** Rep of Exam Branch and PhD Scholars / students of the University and general public. HoD to encourage attendance of interested scholars, officials, students and public at large from within and outside NDU through advertisement at suitable places and by Exams Branch on NDU website.

4, Compliance of Suggestions.

   a. Supervisor and Subject Expert will record the suggested changes during the Seminar on a standard format (as per **Annexure 'N')** and share with the student under intimation to HOD to ensure the compliance of suggestions / amendments proposed during the doctoral

seminar.

b. The scholar shall incorporate changes through track changes and submit compliance report for confirmation by the supervisor & HoD concerned.

c. Supervisor will ensure the compliance of amendments proposed during doctoral seminar and give a "Certificate of completion"

d. UERC may countercheck the compliance depending upon the suggestions received during doctoral seminar.

e. UERC, after satisfaction with the compliance report, may recommend the scholar for next stage of PhD requirements such as publication of article or submission of thesis.

CHAPTER 6

PUBLICATION OF RESEARCH ARTICLE(S) IN HEC RECOGNIZED JOURNAL(S)

1. **Requirement of Paper Publication.** Each PhD researcher will publish:-
   a. At least one research article in HEC recognized "X" category journal OR two research articles in "Y" category journals
   b. The PhD researcher shall be the first author of these publications.
   c. The research article shall be relevant to the PhD research work of the PhD researcher.
   d. The article shall be published after approval of the research synopsis.
   e. The article shall be published in a relevant research journal.
   f. The published article must be written by not more than three authors.

2. **Vetting of Research Publication.** A published copy of the research article submitted by PhD scholar shall be checked by QEC for category and relevancy of Journal and by the dept for relevancy of the article to the area of the research of scholar before submission of PhD thesis to Examination Branch.

3. **Guidelines for Selection of Research Journal.** PhD scholars must remain abreast and careful in selection of the Research Journal while publishing the article. Publication in a cloned/ bogus/ dubious Journal shall lead to disciplinary action.

CHAPTER 7
GUIDELINES FOR WRITING THESIS

1. **Format of Thesis.** The PhD thesis shall reflect relevance, credibility, effectiveness and legitimacy of research. It shall be an original and innovative contribution to knowledge that contributes to solving socioeconomic problems and shall be written in English language. The length of a PhD thesis, including citations, bibliography and any bibliographical material contained within the footnotes, should be a minimum 75,000 words, however, exact number of words shall be decided by the supervisor. In case the length of thesis is not within the above specified limit, a certificate of supervisor for justification of length should be attached. The thesis must be completely printed on A4 paper (11.69"x8.27") with printing on one side only except for any off print, tables, graphs or illustrations, which may be printed on the reverse side of a page of text so that they face the text to which they refer. The thesis shall be hard bound with sky-blue cloth cover and golden lettering on the front and the spine.

2. **Original Authorship Declaration.** The candidate is required to include in each copy of the thesis, signed declaration of original authorship below:

ORIGINAL AUTHORSHIP DECLARATION

I confirm that it is my own work and the use of all material from other sources has been properly cited and fully documented. Furthermore, the copies submitted are exactly the same which have been processed through 'Turnitin' for generated AI and Plagiarism checking.

I am fully aware of the consequences of any breach to this declaration and research ethics, which may result in cancellation of the Degree.

Student

Name, Registration No & Date

COUNTERSIGNED

Supervisor Name, Designation & Date

1. **Title Page.** Each copy of the thesis must contain a title page typed in Times New Roman in the font size given against each heading as under:

Title of Thesis

<Title of Thesis as approved from ASRB>

(Golden embossed in Times New Roman font and 22 font size)

<Name of Scholar>
<Registration No>
(Golden embossed in Times New Roman font and 22 font size)

Supervisor

<Name of Supervisor>
(Times New Roman font and 22 font size)

Name of Department

faculty of Contemporary Studies
National Defence University
Islamabad - Pakistan

Year

2022

2. **Thesis Page.** Thesis will be typed in Times New Roman on A4 size paper as per details as under:

1 Inch

1.5Inch

1Inc

Font : Times New Roman

Margins

(a)	Left	1½”
(b)	Right	1”
(c)	Top & Bottom	1”

Font Size

(a)	Headings / sub headings	16/14
(b)	Text	12
(c)	Footnotes	10
(d)	Spacing	1.5” (1½ Inch)

Line Spacing: 1.5” (1½ Inch)

Page Numbers: Center of page at 0.5” from Bottom

Citation, Footnotes and Bibliography:

(1) **Citation Format**: Chicago Manual 16th Edition onwards or APA (for LMS & GPP as decided by the depts).

(2) Minimum 100 citations mandatory.

(3) Minimum 50% cited material is from Academic Sources (Books, Journal Articles and institutional/ organizational databases).

(4) Insert Footnotes / Endnotes completely and accurately.

(5) Bibliography is arranged alphabetically in ascending order.

1 Inch

CHAPTER 8

DEPARTMENTAL REVIEW COMMITTEE (DRC)

1. DRC Review: Upon completion of the thesis, it shall be submitted to the DRC for review. The DRC's observations shall be communicated to the supervisor, who shall determine whether the recommendations should be incorporated. Where any recommendation is not accepted, the supervisor shall provide a signed justification (certificate of completion) explaining the academic reasons. This certificate shall accompany the thesis during the Final Doctoral Seminar and external evaluation. The thesis shall not be referred back to the DRC after submission.

2. Responsibility and Authority: For DRC review, responsibility lies with DRC and authority rests with HOD concerned.

3. Composition of DRC: DRC shall be constituted before doctoral seminar. The composition of DRC is as under:-

a.	HoD concerned	:	Chairperson
b.	Subject Expert	:	Member[3]
c.	Methodology Expert	:	Member

4. Notification. Exams Branch shall notify the DRCs with approval of the Dy President NDU. DRC once notified could only be changed with cogent reasons and approval of the Dean FCS.

5. Time Frame for Completion of Review. DRC to complete thesis review within 15 to 28 days of its receipt.

6. Roles and Responsibilities of DRC. DRC will review thesis with respect to Following:-

a. **Preliminary**

(1) Shall be written in English and the presentation must be satisfactory for publication

[3] Subject experts serving on the UERC and the DRC may be different

(2) Shall be typed on A4 size (11.69"x8.27") paper with margins of 1- 1/2" to the left and 1" to the right, top and bottom of each page.

(3) Minimum word count should be 75000 (excluding bibliography) or certificate of justification by the supervisor for the word count beyond this limit.

(4) Similarity Index Report and AI detection Report generated by the supervisor / co-supervisor using their own accounts, signed and is within Following limits:

i. Overall Similarity index <= 19%.
ii. Single source Similarity <= 5%.
iii. AI generated text as admissible in HEC's policy

b. **Citations and Bibliography**

(1) Min 100 citations using latest APA for theses of GPP & LMS and Chicago Manual for all other depts with 50% from Academic Sources such as books, Journal articles and institutional/ organizational databases are mandatory.

(2) Core classical and contemporary relevant literature has been referred.

(3) Bibliography is compartmentalized and arranged alphabetically.

c. **Formal Report**. Formal report (as per standard format at **Annexure 'O'**) duly signed by all members of DRC (along with checklist of changes if required) shall be shared with supervisor concerned who shall in turn communicate it along with time limit to scholar for compliance.

d. **Compliance Report/ Certificate of Completion:** After incorporating the suggested changes (through track changes) the scholar shall submit a compliance report to respective supervisor (Ensuring formatting, editing and quality of argument after incorporation of changes). Supervisor will submit a certificate ensuring compliance before sending thesis to Exams Branch.

CHAPTER 9

THESIS SUBMISSION FOR EXTERNAL EVALUATION

1. Thesis submitted to Examinations Branch for external evaluation after vetting by DRC will be considered as formal submission of thesis.

2. **Timeframe for Thesis Submission: PhD scholars** may submit thesis complete in all respects along with **Supervisors' certificate of completion** through Thesis Management System (TMS) to HOD concerned through Supervisor. HOD concerned shall send thesis through Thesis Management System (TMS) on or before Following deadlines to Exams Branch:-

a. Spring Semester : 31 August

b. Fall Semester : 31 January

3. **Timely Submission of Thesis.** Submission of thesis after deadlines shall not be allowed unless extended by the Competent Authority. Date of thesis submission in Exams Branch (provided all specified requirements are fulfilled) shall be the date of thesis submission for all practical purposes. An incomplete thesis shall be returned back to the dept and scholar concerned shall be responsible to pay fee of next semester (if required) and re-submit the thesis complete in all respect.

4. **Responsibility of Scholar before Submission of Thesis to Department.** A PhD Scholar must ensure Following steps before submission of thesis to the department for external evaluation:-

a. Thesis is complete in all respect and Citations; footnotes and bibliography are properly given on hard and soft copies of thesis.

b. Thesis is checked by the supervisor with AI and similarity index within the laid down limits i.e. < 19%. Scholar must check the similarity from supervisor's Turnitin account and avoid checking from other internet sources to prevent submission to online repository.

c. A detailed evaluation report of thesis by the supervisor is attached.

b. Hard and Soft copies of the thesis are the same.

c. Publication of at least one research article in HEC recognized ***"X"* category journal or two research articles in *"Y"* category journals** as first author duly vetted / confirmed

by QEC. The relevancy of the research article with the approved topic is to be checked by the Department.

d. Successfully delivered Doctoral Seminar and confirmation of incorporation of changes suggested during Doctoral Seminar by the Supervisor.

e. Has attended a minimum 10 x PhD relevant thesis defence in different public / private universities preferably in the scholar's discipline of knowledge/ research.

f. Thesis submission is recommended by UERC.

g. DRC has reviewed the thesis and Supervisor has given Certificate of completion.

5. Responsibility of HOD:- HODs concerned will send thesis to Exams Branch through TMS for foreign evaluation after checking Following in TMS/ otherwise:-

a. Research Topic, Supervisor and Co-supervisor (if any) as approved by ASRB.

b. Certificate by HoD for successful delivery and conduct of Doctoral Seminar.

c. Publishing of minimum one research-based article as per Para 5/above as first autho

d. QEC vetting regarding details of published article / journal and endorsed by Dep regarding relevance of article with the thesis.

e. Detailed evaluation report by the supervisor and certificate regarding incorporatio of changes suggested during Doctoral Seminar and by DRC.

f. Recommendations of the UERC / special UERC for thesis submission.

g. Generated AI and Similarity Index report from Turnitin account of the supervisо showing similarity index within limits, duly signed by supervisor and countersigned b dept PhD rep / HoD.

h. The word count min 75000 or certificate of justification provided by the supervisor.

i. Footnotes/End notes and bibliography have been correctly included in the thesis.

j. Certificate by HoD for attendance of minimum 10 public defences on Following format:-

Name of Scholar	Dept	Approved Topic	Venue of Public Defence	Date

k. Thesis Submission Form complete in all respect duly signed by all concerned.

l. Original Authorship Certificate duly signed by the Scholar and counter signed

by Supervisor and HoD.

m. Certificate by the supervisor and countersigned by the HoD that research on this topic has not been performed earlier.

n. Supervisor's certificate after thesis evaluation that thesis meets the international standards of PhD and recommended to the HoD for foreign evaluation.

o. A panel of at least four external examiners out of the approved lists by ASRB for scholars publishing two research articles in Category "Y" Journals and 3x external examiners for scholars publishing research article in Category "W" or "X" Journal duly consented.

6. Final Submission of Thesis to Examination Branch for External Evaluation. Thesis shall be deemed as submitted only after confirmation of completion and submission of all required documents by the Examination Branch in the semester i.e. before 31st August for Spring semester and 31st January for Fall semester (as applicable).

7. Checks by Exams Branch. Upon receipt of PhD thesis, Exams Branch shall check/counter check Following:-

a. Title of thesis to be exactly as per approval of ASRB.

b. Supervisor and Co-supervisor to be as approved by ASRB.

c. That scholar is not submitting thesis before completion of 3rd and after 4th year of registration unless extended duration is approved by the ASRB.

d. Similarity index through Turnitin to be <=19% and single source **<5%,** use of generated AI as admissible in HEC's policy and that the report has been signed by the Supervisor and countersigned by dept PhD rep / HoD

e. Word count of the thesis to be min 75,000. In case of a difference, justification has been provided by the supervisor and counter signed by the dept PhD rep / HoD.

f. A panel of at least four external examiners out of the approved lists by ASRB for scholars publishing research article in Category "Y" Journal and 3x external examiners for scholars publishing research article in Category "W" or "X" Journal duly consented.

g. Footnotes/End notes and bibliography have been included in the thesis.

8. Exams Branch shall be bound to complete these checks within 15 days and shall either confirm thesis submission to the dept through TMS or return the thesis along with observations to the Dept under intimation to Dean FCS.

9. Note of Caution. In the absence of Exams Branch confirmation on TMS for Thesis Submission, thesis shall be considered as not submitted for all practical and legal purposes.

10. Evaluation of PhD Dissertation by Foreign Evaluators. The PhD dissertation must be evaluated by at least two external / foreign Experts. In case the PhD *candidate has published the dissertation research in* ***a peer-reviewed journal that is classified by the HEC in category X or above****, his case will be* processed on receipt of one report that declares the thesis ***as "Acceptable/Pass" or "Acceptable /Pass (with Minor Changes)"***. The scholar however, shall be responsible to incorporate all suggestions/changes mentioned in both the reports.

11. Standing List of External Evaluators. Each Dept shall be responsible to maintain database containing updated and accurate information of relevant External Evaluators who shall be:-

a. PhD faculty member from the world top 500 universities ranked by the Times Higher Education or QS World Ranking in the year corresponding to dissertation evaluation year. **OR**

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

c. The names of External Experts shall be suggested by HoDs from time to time and approved by ASRB on the recommendation of BOS and BOF as under:

d. Names of Foreign External Evaluators										
Sr.	**Country**	**Name**	**Last degree**	**Specialization**	**Area of interest**	**University with ranking**	**Address**	**Contact**	**E-mail**	**Fax No.**
e. Names of Local External Evaluators										
Sr.	**Name**	**Last degree**	**Specialization**	**Area of interest**	**H-Index**	**Appointment**	**Address**	**Contact**	**E-mail**	**Fax No.**

12. Appointment of External Evaluators. HoD shall send a panel of at least four external examiners out of the approved lists by ASRB for scholars publishing research article(s) in Category "Y" Journal(s) and 3x external examiners for scholars publishing research article in Category "W" or "X" Journal duly consented through EOAS/TMS/ email to Exams Branch While obtaining consent, Dept should send proper topic and time duration for evaluation of thesis to External evaluators preferably before doctoral seminar.

13. Approval of External Evaluators. After confirmation by the Exams Branch that all prescribed requirements for thesis submission have been completed, it shall process the case for nomination of External Evaluators by the President NDU from the panel.

14. Exams branch shall share soft copies of the thesis with the External evaluators along with evaluation proforma with a request to complete evaluation within 4 – 6 weeks. Two additional weeks can be granted if required. In case the appointed foreign evaluator asks for hard copy of the dissertation, it will be officially dispatched by the Exams Branch.

15. In case of regret or no reply from the appointed External evaluator, Exams Branch shall approach the next Evaluator marked 1st reserve by the President NDU, for evaluation of thesis and so on.

16. Processing of External Evaluation Reports. On receipt of reports, Exams Branch shall share these along with evaluation proforma with HoD concerned for compliance of suggested amendments/ corrections (if any) in accordance with the guidelines given in the proforma. In order to maintain secrecy of External Expert, Exams Branch may use Examiner 1 & Examiner 2 for sharing the reports with dept concerned.

Ser	External Evaluator's Evaluation Category
a.	**Acceptable/Pass** Thesis (as it is) meets the required international standards for award of PhD Degree.
b.	**Acceptable/Pass (with Minor Changes)** Thesis meets the required international standards for award of PhD Degree after minor revisions (as given in the attached list).

c.	**Acceptable (with Major Changes)** The candidate may be directed to incorporate the major changes suggested in the accompanying evaluation report. The thesis may be resubmitted for re-evaluation to the supervisor or the department committee (in three to six months).
d.	**Not acceptable in Present Form** Thesis does not meet the required International standard for award of PhD degree. The candidate may be directed to revise the thesis in the light of accompanying evaluation report. The thesis may be resubmitted for re-evaluation by the External referee preferably the same one or as deemed appropriate by the department committee (in six to nine months).
e.	**Failed /Rejected** Thesis does not meet the required international Standards for award of PhD degree and therefore may be rejected. However, the University may consider asking the candidate to rewrite the entire thesis as suggested by the evaluator (in nine months to one year).

17. Consideration of External Evaluation Reports by ASRB. On completion of process specified at para 10, HoD shall coordinate meeting of committee comprising of Dean FCS, Dir QEC, HoD concerned, Director Academics and a rep of ISSRA (PhD), to formally consider External Evaluation Reports and compliance of the scholar **duly certified by the Supervisor and HOD**, in detail on behalf of ASRB if satisfied. The Committee will submit its verdict to Exams Branch duly signed by all members, for consideration and approval of ASRB. ASRB may allow the Scholar to defend his/her thesis in public defense or otherwise as the case may be:

a. **Not Acceptable in Present Form & Failed/Rejected**

b. **Acceptable/Pass & Acceptable/Pass with Minor Changes.** The scholar will be required to incorporate suggested changes (if any) and submit compliance report (duly **certified by the Supervisor and HOD**) to the Committee designated on behalf of ASRB, which will submit its verdict to Exams Branch duly signed by all members, for consideration and approval of ASRB. ASRB may allow the Scholar for local external evaluation Followinglowed by public defense or otherwise as the case may be.

c. **Acceptable/Pass with Major Changes.** The scholar shall be required to incorporate major changes suggested by the external examiner in 3 – 6 months and submit revised thesis to the supervisor along with compliance report. The compliance report shall be verified and thesis shall be re-evaluated **by the Supervisor and HOD**. Committee designated on behalf of ASRB will consider the compliance **duly certified by the Supervisor and HOD** and submit its verdict to Exams Branch duly signed by all members, for consideration and approval of ASRB. ASRB may allow the Scholar for local external evaluation Followinglowed by public defense or otherwise as the case may be.

d. **Not Acceptable in Present Form.** The scholar shall be required to revise the thesis in the light of observations/suggestions/changes given by the foreign evaluator in 6 – 9 months and submit revised thesis to the supervisor along with compliance report. The thesis shall **checked / verified by the Supervisor and HOD** in the light of observations/suggestions/changes given by the foreign evaluator and compliance report shall also be verified. Committee designated on behalf of ASRB will consider the compliance **duly certified by the Supervisor and HOD** and submit its verdict to Exams Branch duly signed by all members, for consideration and approval of ASRB. ASRB may approve re-evaluation by the same external examiner or other from the already submitted panel as the case may be. The cost of re-evaluation shall be borne by the scholar.

e. **Failed / Rejected.** Committee designated on behalf of ASRB will consider the foreign evaluation report, supervisor's **and HOD's** evaluation reports and submit its verdict to Exams Branch duly signed by all members, for consideration and approval of ASRB. ASRB may approve drop out of the scholar from PhD programme or ask the scholar to re-write the entire thesis as per the suggestions/observations of the foreign evaluator in 6 – 9 months. In this case entire foreign evaluation process shall be repeated and cost of evaluation shall be borne by the scholar.

18. Evaluation of PhD Thesis by Local External Examiners. After permission of ASRB for public defence, President NDU shall appoint 2 x local external examiners and

mark two reserves from the panel of 4 x relevant local external examiners proposed by HoD concerned. On receipt of local evaluation reports, Exams branch will share the reports with concerned dept as evaluator 1 & 2, HoD concerned shall ensure compliance through appropriate forum and share compliance reports along with soft and hard copies of thesis with Exams Branch. In case supervisor considers suggested changes to be beyond the scope of current study, he/she will be required to explain his view point to HoD and Dean FCS for appropriate disposal.

19. On confirmation from both Local External Examiners regarding incorporation of changes, Exams branch shall ask the department concerned to coordinate and forward proposed schedule of Public Defence (min 15 days before the proposed date) after ensuring availability of Dy President and President NDU.

20. Responsibilities. Following shall be responsible **(As per the existing NDU Academic Regulations)** for different actions as mentioned against each:

Sr	Action	Responsibility
a.	Completion of degree requirements	Student Concerned
b.	Completion of Thesis Submission Form	Student Concerned
c.	Submission of Thesis in the Dept	Student Concerned
d.	Turnitin Checking	Supervisor/Dept Concerned
e.	Internal Review	Dept Concerned
f.	Processing of Thesis to Exam Branch	Student / Dept Concerned
g.	Submission of Panel of External Examiners	HOD Concerned
h.	Processing of Thesis for approval of EE	Examinations Branch
i.	Dispatch of Thesis to Approved EE	Examinations Branch
j.	Evaluation of Thesis	External Examiner
k.	Submission of Evaluation Report	External Examiner
l.	Incorporation of suggested changes by EE	Student concerned
m.	Confirmation of EE's suggested	Dept Concerned/ Foreign

	changes	Evaluation Reports Consideration Committee
n.	Generated AI/Turnitin certificate	Supervisor/Dept Concerned
o.	Date of Viva Voce	Supervisor / HOD concerned
p.	Notification of Viva Voce date and conduct	Exams Branch
q.	Award of Grade	Supervisor and HOD
r.	Submission of Hard Copies	Student / Dept concerned
s.	Notification of Results	Examinations Branch

21. Time Line. Following Timeline will be Followinglowed:-

a.	Provisional Approval of Research Topic	1st Sem and supervisor by ASRB
b.	Course Work Completion (20Cr Hrs)	1-2 Sems
c.	Pass Comprehensive Exam (Max 2 Attempts)	30 days of coursework completion
d.	1st UERC Meeting	3rd Sems
e.	Conduct of Research after ASRB approval	3rd or 4th Sem
f.	Doctoral Seminar (on completion of 90% Thesis)	5-6- Sems
g.	Publication of Research Based Article (s) as per HEC Req (Certified by QEC)	5-6- Sems
h.	Submission of Thesis in Dept	5-7-Sems Review by DRC
i.	Submission of Thesis with Examinations Branch	5-7 Sems
j.	**No Thesis Shall be accepted after 31 Jan/Aug of 8th Semester**	

k.	Evaluation by Foreign Evaluators	6-8 Sems
l.	Approval of Reports by ASRB / Committee	6-8 Sems
m.	Evaluation by Local External Examiners (14th Semester)	6-8 Sems
n.	Public Defence	6-8 Sems
o.	Approval of Award of PhD Degree by ASRB	6-8 Sems
p.	Approval of Award of PhD Degree by NDU Senate	7-9 Sems
q.	Award of PhD Degree	

Note:-

(1) The time line specified above is subject to completion of all formalities by the scholar and dept concerned in admissible min/ normal duration of 3 and 4 years respectively.

(2) Completion of Deficiency requirements and all documentary requirements shall remain the scholar's responsibility.

(3) Scholar Concerned shall be responsible for delay owing to non- submission of fee/HEC attested documents etc.

CHAPTER 10

PUBLIC DEFENCE, SUBMISSION OF FINAL COPY OF THESIS AND DOCUMENTATION FOR PCD

1. **Eligibility for Public Defence.** A PhD scholar shall be eligible for Public Defence after evaluation by the Local Evaluators and approval of ASRB.

2. **Wide Publicity of Public Defence.** Exams Branch shall ensure advertisement in local newspapers/ NDU website and issue notification / instructions for the Public defence after approval of President NDU. HoD concerned to send special invitation to Government orgs, Ministries, Universities, Think Tank's officials etc.

3. **Attendance.** Physical attendance by Dean FCS, HoD concerned, Supervisor, Co supervisor, members of DRC and both External examiners shall be mandatory. Faculty Members and all PhD Scholars of dept concerned, members of UERC and Rep of Exams Branch shall also attend the Public Defence.

4. HoD concerned shall be required to forward proposed attendance to Exams Branch along with schedule of Public Defence.

5. Non availability for Physical / online attendance of Dean FCS, HoD concerned, Supervisor, Co supervisor or any of the External examiners shall result in postponement of the Public Defence.

6. **Conduct. The viva-voce examination shall be conducted by the committee comprising of two external examiners, the Supervisor and the Head of the department/college**. HoD concerned shall be responsible for smooth conduct of Public defence in coordination with Media Branch (for recording), PRSA&IT Branch (for online attendance), Admin Branch (for seating arrangements) and Exams Branch (for results). Following sequence shall be Followinglowed:-

   a. Presentation by the Scholar.
   b. Viva Voce by **the committee including** External Examiners.
   c. Questions by audience.
   d. Announcement of Result by External Examiners.
   e. Final Verdict by Dean FCS

7. **Time Limit for Public Defence.** Formally no time limit shall be fixed for completion of public defence.

8. **Verdict of External Examiners after the Public Defence.** After completion of

viva-voce and questions, External Examiners shall be asked to formally announce result out of any of the Following:-

a. **Accepted.** Means that the public defence is successful. In this case the scholar to submit final hard bound copies (details at para 11) of the Thesis in Exams Branch through dept concerned along with Following:-
   (1) Scholar's certificate countersigned by the supervisor for same hard and soft copies.
   (2) Supervisor's signed AI and Similarity index report from his/her Turnitin account for the submitted copies of thesis having similarity index within specified range.

b. **Accepted with Amendments.** The public defence is successful however , scholar is required to incorporate changes as recommended by the external examiners. In this case:
   (1) Dept to forward scholar's resubmitted revised thesis duly certified by supervisor and endorsed by DRC to Exams Branch within 3 months of public defence along with Following:-
      (a) Scholar's certificate countersigned by the supervisor for same hard and soft copies.
      (b) Supervisor's signed AI and Similarity index report from his/her Turnitin account for the submitted copies of thesis having similarity index within specified range.
   (2) Exams Branch will forward thesis to External Examiners.
      (a) On receipt of acceptance by the external examiners, the dept shall further process as per para12.a.
   (3) **Repeat Public Defence (with amendments)**. In case the scholar fails to satisfy the External Examiners, he /she will be given 6 months for re-defence of his/her dissertation. Subsequently Process
   (4) specified under para 10.a or 10 b. shall be Followinglowed.
   (5) **Rejected.** In case the Scholar fails to satisfy Local External Examiners, he / she shall be recommended to the ASRB for drop out from PhD programme.

c. **Notification of Result**. Final result of PhD shall be notified by Exams Branch as per the format specified by HEC, after approval of Public Defence result by the ASRB.

d. **Submission of Final Thesis.** After successful public defence, the scholar shall

be responsible to submit soft copy of **final thesis in TMS** along with Turnitin report duly signed by the supervisor **and email one copy** of final hardbound thesis in Exams Branch through his/her dept (after incorporation of all necessary changes suggested by local examiners)

e. **Provision of Documents for PhD Country Directory (PCD):**

(1) After the approval of PhD award by ASRB, graduate shall submit details through HEC online Portal for entry of his name and PhD details in PCD, to University Focal Person (ACE-conduct) for submission of final PCD to HEC.

(2) Focal person shall check all the details entered by the scholar regarding correct enrolment, his/her thesis title, passing of PhD comprehensive Exam, submission of thesis to university, research publications etc. and shall also enter details of approval of supervisor by the ASRB, complete details of Principal Supervisor, Foreign External Evaluators etc. and also confirm all the attachments uploaded by the scholar

f. Inclusion of Scholar's Name and Research Topic in NDU PhD Research Repository After entry in PCD, Focal Person (ACE Conduct) shall ensure to upload final thesis (PDF) on TMS and NDU web site under **"NDU PhD Research Repository"** reflecting Following details:

Sr	Name	Registration No	Research Topic	Supervisor	Completion Year

g. As per GEP 2023, the PhD dissertation must be an original and innovative contribution to knowledge that contributes to solving socioeconomic problems. HOD concerned shall ensure that the research area of the PhD students should correspond to the community needs at regional and local levels and comply with the priority national research agenda. The research area /topic may also signify emerging areas of research that coincide preferably with sustainable development goals (SDGs).

CHAPTER 11

PHD PROGRESS LOG
(Semester Spring / Fall _____)

Section 1. Student Details.

Name of PhD Scholar	
Registration No.	
Department	
Approved Thesis Title	
Name of Thesis Supervisor	

Section 2. Record of Formal Meetings with Thesis Supervisor.

Respective thesis Supervisor and a PhD Scholar should be bound to have 06 x formal meetings (on monthly basis) in each semester (on campus or Online) and out of which min 03 x interactions/meetings should be on campus.

Monthly Mtg	Date of Mtg	Mode of Mtg (On campus / Online)	Supervisor's Comments & Milestone for Next Mtg	Signature of Supervisor & PhD Scholar
1st Month				
2nd Month				
3rd Month				
4th Month				
5th Month				
6th Month				

Section 3. Record – UERC Progress.

UERC Progress	Date of UERC	UERC Score	Status (Satisfactory/Adverse)
1st UERC			
2nd UERC			
3rd UERC			
4th UERC			
5th UERC			
6th UERC			
Total & Avg			

Section 4. Certificate by PhD Scholar:

I confirm that the information I have given in this PhD Progress Log is true and accurate record and that I have provided a copy to my department:

Signature of the PhD Scholar _____

Date _____

Section 5. Comments of the Thesis Supervisor

_____

_____

Signature of the Thesis Supervisor _____

Date _____

CHAPTER 12

Supervision of PhD Dissertation

1. The supervision of PhD dissertation involves a collaborative partnership between supervisors and the scholar, focusing on guidance, feedback, and scholarly exchange. Supervisors offer expertise and support, while scholars contribute innovative research efforts. Through regular interaction and rigorous assessment, this process fosters a dynamic learning environment and produces the high-quality scholarly work.

2. **Supervisor's Role:-** The supervisor shall serve as the principal academic mentor and bear primary responsibility for the scholar's academic progress and timely completion of the research. The supervisor shall monitor progress, maintain regular supervision, and report prolonged inactivity or unsatisfactory performance to the HOD or Dean. To ensure accountability, supervisory performance and scholar progress shall be reviewed periodically by the UERC or Department, which may recommend corrective measures where necessary. The Supervisor will act as:-

a. **Director.** To integrate theory and methodology with substantive issue of research in each chapter to produce a well-knit, integrated thesis. It is the prime responsibility of a supervisor to provide ideas to determine, refine and finalize the thesis topic/title at an early stage.

b. **Facilitator.** The supervisor should facilitate PhD scholars by providing access to necessary resources and suggest measures n organizing field work.

c. **Advisor.** The supervisor should perform the Advisory role by solving technical problems and suggesting good alternatives.

d. **Teacher.** The supervisor should guide PhD Students about

research techniques and other relevant strategies according to approved thesis topic.

e. **Guide.** Guidance should be available throughout the PhD Journey

f. **Critic**: The supervisor should critically analyze the draft, its chapters and interpretation of data of the thesis.

g. **Supporter.** The role of a supervisor should always be supporting and should thoroughly engage at all stages of the research work.

h. **Manager.** The supervisor should check the research progress regularly and give the feedback systematically in order to further monitor and evaluate the research within the given timeline. All this correspondence should preferably be through official emails.

i. **Examiner.** Supervisor must properly conduct internal assessments / reviews in the form of Mock viva / exams. Conduct mock exercise for Doctoral Seminar and Public Defence.

j. **Custodian.** PhD Log prepared by the PhD scholar shall be in custody of respective supervisor

3. **General Conditions to Supervise Doctoral Research**: The Following general guidelines shall, at least, be observed while allocating a PhD supervisor. At the time of supervisor allocation, the supervisors:

a. Shall be a PhD degree holder complying with the criteria and standards provided in this policy.

b. Must be relevant to the field of research in which the scholar intends to conduct research.

c. Should not have CONFLICT OF INTEREST in personal, financial, or professional stakes.

d. Should have the time and availability to supervise PhD dissertation and to give clear and constructive feedback.

e. Should be capable of conducting themselves in a professional and respectful manner throughout the supervision process.

f. Should be capable of maintaining confidentiality and protecting the intellectual property of the dissertation.

g. Should, primarily, be a regular/adjunct faculty member of the University/DAI.

4. In addition to the aforementioned guidelines:

a. The supervisor shall be allocated to a scholar from the date of enrollment.

b. The supervisory workload of research supervisors should be determined based on the nature of the availability of teaching and research facilities, and the academic standing of supervisor. However, it is mandated that the maximum supervisory load shall not exceed five PhD students, simultaneously. Further, fresh PhDs can supervise MS/ MPhil and co-supervise PhD students, while a PhD faculty member, after two years of obtaining a PhD degree, can supervise one PhD student in 3rd year, two PhD students in 4th year and maximum up to five PhD students from 5th year onward, subject to fulfillment of other conditions provided in this policy.

c. PhD research work completed under supervision is a shared property of supervisor and scholar. All publications resulting from such research shall reflect the authorship of both parties and shall be subject to mutual consent.

5. **Criteria to Be a PhD Supervisor**[4]: To be a PhD research supervisor, an individual shall meet the Following requirements:

a. **General Requirements**[5]**:**

(1) A PhD degree from an HEC recognized national/international university/degree awarding institute (DAI).

(2) The research supervisor shall be given opportunities to attend and qualify course(s) on MS/MPhil/PhD Supervision which should also have contents on research ethics, publications, patents, etc. Such courses may include certified self-paced MOOCs, or a course designed/ offered by National Academy of Higher Education (NAHE) or by a university in the Following manner:

(a) Basic level course: to supervise students of MS/MPhil/equivalent degrees.

(b) Advance level course: to supervise PhD researchers.

(3) A regular/adjunct faculty member or researcher at NDU, or position of researcher or scientist at any R&D or public/private sector organization. However, in the case of a non-faculty PhD supervisor, who otherwise meets the criteria of being PhD supervisor, shall be taken as an adjunct faculty member, for a period not less than the minimum time required to complete the student's PhD research, prior to assigning a PhD supervision.

Such a person shall also provide an NOC from the parent organization.

(4) The maximum supervisory load shall not exceed five PhD students, simultaneously. Further, fresh PhDs can supervise MS/MPhil and co-supervise PhD students, while a PhD faculty member, after two years of obtaining a PhD degree, can supervise one PhD student in 3rd year, two PhD students in 4th year and maximum up to 5 PhD students from 5th year onward, subject to fulfillment of other conditions provided in this policy.

(5) Supervisory process is included in QEC UERC SOPs *"SOP - PhD UERC & SOP - M.Phil. UERC* for monitoring the complete PhD and M.Phil. process including supervisor & supervisee role.

b. **Publication Requirements:** In addition to fulfilling the General Requirements, a PhD supervisor must publish research articles in the HEC's recognized research journals, as described under: -

(1) **Specific Requirements for Social Science, Arts and Humanities and Business Education:**

(a) For indigenous and foreign PhDs:

i. Within the last 3 years after PhD: at least one research publication in ***"W"*** category journal.

Or

ii. Within the last 5 years after PhD: at least five research publications in ***"X"*** and ***"Y"*** category journal.

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[4] *The Higher Education Commission Graduate Education Policy 2023* (https://www.hec.gov.pk/english/services/faculty/Plagiarism/Documents/Graduate-Education-Policy.pdf)

[5] *The "General Conditions to Supervise Doctoral Research" along with the "Criteria to be a PhD Supervisor" are applicable on fresh PhDs intending to supervise PhD research and effective from the date of enactment of this policy. All the previously approved supervisor shall remain approved until the date mentioned on their award letter.*

c. The title of 'PhD Approved Supervisor' will be valid for ***'three years'***. After three years, the supervisor will be required to update the profile.

6. **Composition**: Following will be the composition of NDU Approved PhD Supervisor committee:-

a.	Dean FCS	:	Chairperson
b.	Concerned HoD	:	Member
c.	Registrar	:	Member
d.	Dir QEC	:	Member

7. **Responsibilities of Committee**: Following will be the responsibilities of NDU Approved PhD Supervisor committee: -

a. The committee shall recommend for **"Approved PhD Supervisor"** as per HEC GEP guidelines.

b. Registrar shall issue **"Approved PhD Supervisor letter"** and shall be responsible to monitor the granted tenure.

c. HoDs shall ensure the timely process a case file of his/her respective faculty for awarding the PhD approved supervisor status after expiry of their granted tenure.

d. HoDs shall ensure timely up gradation of each supervisor research profile on annual basis.

e. The committee will meet on case-to-case basis.

8. **Penalty**[6]: Following penalties will be applicable:-

a. **Supervision of dissertation:** Disciplinary action may be taken against the Department Chair (HoD) if a person who does not fulfill the minimum criteria for a PhD supervisor, supervises a PhD thesis.

b. **Maximum number of Supervisee:** The supervisor shall be banned from supervising new PhD researchers for a maximum of five (5) years and disciplinary action against the

Department Chair (HoD) may be taken if a supervisor, supervise PhD students beyond the maximum number specified by the HEC.

9. **Continuity of Supervision in Case of Faculty Departure:**

a. An outgoing supervisor may only continue supervision if the doctoral seminar has been conducted upon completion of 90% thesis. otherwise, a new supervisor shall be appointed from the existing faculty of NDU. Failure of the outgoing supervisor to facilitate completion may be dealt with under the University's SOPs.

[6] *Part-III: Quality Assurance of the Higher Education Commission Graduate Education Policy 2023 (https://www.hec.gov.pk/english/services/faculty/Plagiarism/Documents/Graduate-Education-Policy.pdf)*

CHAPTER 13

RESEARCH ETHICS

1. Research Ethics implicates to respect/protect the dignity, rights and welfare of all those involved in research *(whether they are participants, third parties example staff of other institutions working with NDU students/employees or on University premises) or staff and students)* and to minimize the potential risks of harm to human participants, researchers, institutions, community, environment, society, avoid academic misconduct and avoid deceptive practices.

2. **Composition**. Composition of *"NDU Research Ethics Committee" is as under*: -

b.	Dean FCS	:	Chairperson
c.	All HoDs	:	Member
d.	Registrar	:	Member
e.	Dir QEC	:	Member

***Note**: The committee will meet once in a year (or case by case basis).*

3. **Roles and Responsibilities of NDU Research Ethics Committee (REC):** Following will be the roles and responsibilities of the REC:

a. All members of the University are individually responsible for ensuring that their work is conducted in accordance with the research commitments set out in this SOP.
Failure to comply with this policy may lead to the failure of assessed work; the suspension of study, research projects, and/ or funding from research sponsors; or to the inability to publish. Work conducted in deliberate contravention of the decisions of Research Ethics Committee, or with deliberate

disregard for the ethics review process, would not be covered by the University's indemnity arrangements.

b. The Registrar, reporting to the President NDU, is the University's chief administrative officer and, as such, has overall responsibility for ethical conduct in the University and for the University's compliance with government policy and legislation.

c. This Policy is managed and monitored by the NDU Research Ethics Committee *(para 4/N)*, which may decide to develop additional guidance or policies as code of practices across the Pakistan and the worldwide research landscape evolve.

d. REC has overall responsibility for the University's Research Ethics review process. Recommends changes to this policy, its remit as set out in the University's regulations.

e. Heads of Department, as senior academic leaders within the University, are responsible for promoting the highest ethical standards in the design, conduct and reporting of research. As one component of this, Heads of Departments are responsible for ensuring their staff and students observe this SOP and for the effective local oversight of departmental research activity, including endorsement of applications submitted to REC for ethics review.

f. The University expects all those (Faculty, Staff & Students) involved in research involving human participants, personal data and /or regulated material and procedures, whether as staff or students, to take personal responsibility for familiarizing themselves with the SOPs, professional frameworks, standards, obligations, and relevant legislation

that apply to their research, and for keeping such knowledge current. Research supervisors should assist their students in becoming familiar with this and other University policies and procedures relevant to the conduct of the student's project, and provide, or direct the student to, specific advice, training, and guidance.

g. REC meeting frequency may vary on case by case basis/ keeping in view the emergent need.

h. REC will guide the researcher on ethical principles during the conduct of research as & when req.

i. REC will ensure that there must be no physical, emotional and psychological risk to participants and concerned institutions (NDU or others). If any risks are found, committee will guide/ supervise the researcher through formal training on 'avoidance of Ethical Issues'. The goal of this training will be the foundational awareness about ethical issues involved in research to reduce and resolve as many, and ideally all, of the identified ethical issues as possible.

j. REC will regularly monitor the research to ensure ethical compliance during the conduct of research.

k. The University requires all its faculty, staff and students to observe the highest standards of ethics and integrity in the conduct of their research.

l. QEC in collaboration with Research Ethics Committee must provide orientation to young scholars (especially students at MS/M.Phil. and PhD level), embarking on ethical research activities, in a bid to spread awareness among them regarding the recognized manuals, such as the MLA Style Sheet,

APA User Manual, and other international scholarly norms of conducting, reporting, and sharing of research. Violations of Intellectual Property Rights (IPR), including Plagiarism, is a severe crime with legal ramifications.[7]

4. Principles of Research Ethics[8]: Consideration of ethical issues and Following the correct principles of ethical research is an important part of any research. Ethical principles guide and underpin the proper conduct of research. Some of the principles of research ethics that various codes address are as under: -

a. **Honesty**. Strive for honesty in whole process. Honestly report data, results, methods and procedures. Do not fake or misrepresent the data. Provide factual evidences.

b. **Trust.** It emphasizes the responsibility of researchers to build and maintain honest and reliable relationships with participants, and stakeholders.

c. **Objectivity**. To avoid bias in data analysis, data interpretation, peer review, personnel decisions, grant writing and other aspects of research where objectivity is required. Avoid or minimize bias or self-deception. Disclose personal or financial interests that may affect research.

d. **Integrity**. Act with sincerity; strive for consistency of thought and action.

e. **Carefulness.** Keep good records of research activities, such as data collection, research design, and correspondence.

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[7] Anti – Plagiarism SOP at NDU para 7b.

[8] National Institute of Environmental Health Sciences (December 23, 2020) (https://www.niehs.nih.gov/research/resources/bioethics/whatis/index.cfm)

f. **Openness.** Be open to criticism and new ideas.

g. **Transparency.** Disclose methods, materials, assumptions, analyses, and other information needed to evaluate your research.

h. **Intellectual Property.** Never plagiarize[9].

i. **Responsibility**. Follow institutional rules and conduct codes.

j. **Courage**. Researchers to collaborate, share information, and circulate new ideas freely, without fear.

k. **Legality**. Obey relevant laws and institutional and governmental policies.

l. **Human Subjects Protection.** When conducting research on human subjects, minimize harms and

risks and maximize benefits; respect human dignity, privacy, and autonomy; strive to distribute the benefits and burdens of research fairly.

5. Ethical Review Process:[10]

a. Concerned supervisors are individually responsible for monitoring that the research is conducted in accordance with the ethical standards of NDU.

b. All research projects within the University must be checked for their ethical implications before the research takes place.

c. Ethical reviews are undertaken by concerned supervisor. However, should significant ethical issues be raised by the

[9] In case of an allegation of plagiarism by students, faculty, and others and NDU will constitute a **"University Anti-Plagiarism Standing Committee** (UAPSC)" to investigate the case. (Ref: NDU Academic Regulations Chapter V (b), Para 13, pg 73-90 818/NDU/Reg/172 dt: 7th Feb 2023)67

research, including research characterized by one or more of the Following features such as:

(1) Research involving deception of participants, or which is conducted without their full and informed consent at the time the study is carried out or when the data is gathered, or which involves the use of confidential information.

(2) Research involving more than minimal risk of harm to participants, such as: research involving vulnerable groups.

(3) Research involving personally intrusive or ethically sensitive topics.

(4) Research which would induce unacceptable psychological stress, anxiety or humiliation or cause more than minimal pain.

(5) Research which covers security-sensitive subject and material.

(6) External obligations require it.

(7) Research undertaken by a student or member of staff who has not received appropriate training or has insufficient experience in research ethics and has been unable to access appropriate advice or support.

(8) Research that is undertaken, on behalf of the student/research, not by the student/researcher himself/herself, but by a third party not associated with the University.

[10] Research Ethics Policy and Procedures of University of London May 2022 Version 6 (https://www.london.ac.uk/sites/default/files/stay-central/uol-research-ethics-policy.pdf)

Ethical approval will need to be sought from UERC

6. Penalties: Any breach of this Research Ethics Policy will be taken extremely seriously; REC shall investigate the case and may result in disciplinary actions including[1]:-

a. Students found breaching research ethics codes may face penalties such as suspension from their academic program or expulsion from the institution.

b. Faculty or staff members who breach research ethics may face disciplinary measures, which could include written warnings, probation, or even termination of employment.

c. Researchers who violate ethics codes may lose access to funding sources, grants, or other financial support for their research projects.

d. In case of Plagiarism, penalties defined in HEC Anti-Plagiarism Policy[2] shall be applicable.

7. Appeal:

a. Where a Researcher has a concern about the decision of the UERC to withhold, suspend or withdraw ethical approval of their research/study, they should contact with the Chair of REC.

b. The appeal is to be made to REC Chair.

c. Appeals will only be permitted on the ground; that researcher possesses new evidence that was not available at the time the UERC made its decision and it has subsequently refused to consider such evidence.

d. Upon receiving the appeal request, REC Chair will review request and confirm that it has been received within one

[1] Research Ethics Policy and Procedures of University of London May 2022 Version 6 (https://www.london.ac.uk/sites/default/files/stay-central/uol-research-ethics-policy.pdf)

week. The Chair will then refer appeal to REC, whose decision would be expected to take two weeks.

e. The decision of REC will be communicated to complainant

[2] Anti-Plagiarism Policy of Higher Education Commission 2023 – Version 2.0 (https://www.hec.gov.pk/english/policies/Documents/Plagiarism-Policy.pdf)

Annex A

NATIONAL DEFENCE UNIVERSITY

Faculty of Contemporary Studies (FCS)

GUIDELINES FOR ASPIRING PHD CANDIDATES

1. **Preparation of Research Proposal and Interaction with Available PhD faculty in your field at NDU**

2. As an aspiring PhD candidate, you must visit NDU website and Academics Office anytime to get information about your eligibility for PhD admission and PhD faculty available to undertake PhD supervision. You have to initiate interaction with available PhD faculty and HOD to discuss how your proposed study is aligned with the faculty member who is available for PhD supervision. Discuss thoroughly your research proposal with your potential supervisor and finalize. By the time you formally apply for a PhD slot at NDU, your Statement of Purpose, research topic and well deliberated Research Proposal should be ready for submission with your online application form.

3. **Secure Admission**
   a. **Step 1: Click here to check qualification relevance and eligibility for PhD program https://www.ndu.edu.pk/fcs/admissions/Spring-2026/Relevent-Intradisciplinary-Academic-Background-Spring-2026.pdf.**
   b. **Step 2: Click here to apply** https://admissions.ndu.edu.pk/ui/app/signin.aspx.
   c. **Step 3: Check your email, click on the link received and set your password (Remember your password).**
   d. **Step 4: Login with your NDU account and complete online application (step by step as prescribed) and generate your fee voucher**
   e. **Step 5: Take a print of fee voucher (non-refundable) and pay admission processing fee through 1Bill.** Foreign candidates must pay their Fee in USD as per fee structure available at https://ndu.edu.pk/finance.php
   f. **Step 6: Upload all educational/equivalence documents in PDF format and copy of paid fee voucher** as mentioned in online application. PhD candidates are required to submit their HEC attested terminal transcript and degree (M.Phil/MS equivalent and HEC equivalence in case of foreign degree) at the time of admission.
   g. **Step 7: Submit your online application with scanned documents, Statement of Purpose and Research Proposal on the above given link.**
   h. **Step 8: After successful submission of online application, submit a hard copy of the Admission Form (system generated printout) along with educational documents** in the Admission Office (within 1 week of online application submission).

4. **NDU Admission Test for PhD Candidates**
   a) Appear in Computer Based Test (CBT) GAT (G) on scheduled dates at NDU Islamabad as per intimation email sent on your application ID email.
   b) GRE, GAT-General conducted by testing bodies accredited by HEC (HEC category HAT-2 (For PhD LMS) and HAT-3 (Social Sciences subjects)) with a **60% score** are also accepted within the validity period of two years.
   c) In case of an intra-disciplinary educational background, after passing GAT (G), you are also required to qualify GAT (Subject) besides GAT(G). You have to register for Computer Based GAT (S) to be conducted at NDU. GRE, GAT- Subject conducted by testing bodies accredited by HEC with a 60% score are also accepted within the validity period of two years.

5. **Research Proposal Defence/ Interview**: After qualifying admission test(s), you are required to present and defend your research proposal before the panel of experts including but not limited to all PhD faculty of respective department, your supervisor, HOD concerned and Dean etc. **This step is very important and act as a key determinant for your admission in PhD program.**

6. **Grant of Provisional Admission:** Check Merit list for provisional admission on NDU website, pay the fee (admission +1st semester fee) within given timeframe and join the classes as per departmental timetable.

7. **Confirmation of Provisional Admission by the Advance Studies & Research Board (ASRB)** during 1st semester upon completion of all admission requisites including fee payment and joining the classes.

8. **Transfer of Credit Hours:** In case you want to get your credit hours, earned at equal level from Parent University duly recognized by HEC, Pakistan, transferred to NDU Islamabad, you have to first secure admission at NDU (as per Para 1-6/above) and apply for transfer of credit hours to the Admission Office. Max 50% credits out of total earned at parent University can be transferred. Also note transfer of credit hours is only admissible during coursework and not during research work.

9. **Deficiency Courses:** In case of admission based on intra-disciplinary qualification, deficiency courses, notified at the time of admission, are to be completed before undertaking regular course work of the PhD degree program.

10. **Course Work:** Course work of 20 credit hours (eight courses) with min CGPA of 3.0/4.0 preferably in first two semesters is required before undertaking research work. Course work is to be completed on campus.

11. **Attendance Requirement:75% attendance** is mandatory in each course for appearing in final term exams.

12. **Comprehensive Exam**: After successful completion of course work, qualifying Comprehensive Exam (written + oral) in maximum two attempts, with 60% score is mandatory. Consecutive failure in the Comprehensive Exam will result in cancellation of PhD admission.

13. **Approval of Research Topic and Supervisor:** After comprehensive exam, your final research proposal, topic and Supervisor will be recommended by the UERC in its first meeting for ASRB's approval.

14. **PhD UNIVERSITY EXAMINATION AND RESEARCH COMMITTEE (UERC):** Your progress towards completion of your research thesis will be regularly monitored and assessed by UERC in each semester

till Public Defence. Two consecutive negative reports by UERC will result in cancellation of PhD Admission. Absence in UERC will also count as a negative report.

15. Departmental and Doctoral Seminars: Before thesis submission you have to conduct departmental and doctoral seminars as recommended by UERC to present your research before faculty and students. Suggestions made during the seminars are to be incorporated in the thesis duly endorsed by the Departmental Review Committee (DRC).

16. Publication of Research Article: Publication of Research paper based on your research in a HEC recognized journal as prescribed in PhD Manual is mandatory before final thesis submission

17. Final Submission of Thesis and Evaluation Process: Final submission of thesis duly endorsed by DRC in Exams Branch within stipulated time frame for evaluation (Foreign + Local). Changes suggested by the Examiners are required to be incorporated in the thesis.

18. Public Defence : After positive reports by the evaluators, open Public Defence will be conducted and after successful defence and with approval of ASRB, Notification will be issued.

19. Entry of PhD details and PhD thesis in HEC's repository through HEC's Portal for PhD Country Directory (PCD): After receiving your PhD transcript, you have to online enter requisite details about your PhD degree requirements and thesis in HEC's Portal for PCD. This is an important step to get your PhD degree attested from HEC.

20. Duration: Duration for timely completion of degree requirement is critical for PhD scholars. The duration for completion of PhD degree is 3-8 years as per HEC GEP (2023), NDU emphasizes PhD scholars to submit their final thesis by the end of **4th Year**. Scholars need to strictly follow the roadmap with timelines given in PhD Manual. In case of extenuating circumstances, for reasons to be recorded by the UERC, extension of 5th and 6th year will be granted by the Advance Studies & Research Board (ASRB) on the recommendations of UERC. In such cases, last two years will be kept for evaluation.

21. Note: NDU PhD Policy is attached herewith for guidance during your journey towards completion of PhD degree. Please click https://www.ndu.edu.pk/downloads/policies/PhD-Manual.pdf.

Annex B

1. Eligibility Criteria and Weightage. The eligibility criteria and weightage for merit determination for admissions in various degree programmes is as under:-

a.	**For Relevant Discipline Academic Background – PhD**	
(1)	**Doctor of Philosophy (Ph.D)** (a) MS / M. Phil or equivalent (17 or 18 years of education with at least First Div or 3.0 / 4.0 CGPA in relevant discipline from HEC recognized institution. (No 3rd Division in entire academic background) (b) GRE/HAT/GAT-G or an equivalent test (Gen in Social Sciences) by HEC/NTS/NDU with a passing score of **60%** (c) Interview and Proposal Presentation/ Statement of Purpose (d) (4) Preference will be given to those candidates having relevant Academic Background research-based degrees.	**Doctor of Philosophy (Ph.D)** (a) Academic Background: 30% (b) (BA/BSc: 5%, MA/MSc: 5% , OR BS : 10% MPhil/MS :20%) (c) GRE/*HAT(G)/GAT-G or an equivalent test : 40% (d) Interview / Research Proposal Presentation and Statement of Purpose : 30% (Passing marks in NTS GAT (General) are **60%** whereas, passing marks in interview are 50%) * *HAT-3 category (Social Sciences) will be accepted for GPP, IR, PCS, SS, ECO & FSS. Whereas, HAT-2 category (Management Sciences/Business Edu) will be accepted for LMS only.*
b.	**For Intra Disciplinary Academic Background - PhD**	
(2)	**Doctor of Philosophy (PhD)** (a) MS / M. Phil or equivalent (17 or 18 years of education with at least First Div or 3.0 / 4.0 CGPA in relevant discipline from HEC recognized institution. (No 3rd Division in entire academic background) (b) Valid GRE/HAT/GAT-G or an equivalent test (Gen in Social Sciences) by HEC/NTS/NDU with a passing score of **60%** (c) Valid GAT (S) in Social Sciences with a passing score of **60%** (d) Interview and Research Proposal / Statement of Purpose/ Presentation.	**Doctor of Philosophy (PhD)** (a) Academic Background: 20% (b) (BA/BSc: 5%, MA/MSc: 5% , OR BS : 10% MPhil/MS :10%) (c) GRE/*HAT/GAT -G : 20% ~~(d)~~ GAT (Subject) : 20% (e) Interview / Research Proposal Presentation and Statement of Purpose : 40% (Passing marks in GAT (General) GAT (Subject) are **60%** whereas, passing marks in interview are **50%)** **HAT-3 category (Social Sciences) will be accepted for GPP, IR, PCS, SS,. Whereas, HAT-2 category (Management*

	(e) Preference will be given to those candidates having relevant academic background and research-based degrees. For Intra-disciplinary background the candidate will be required to complete 6-9 credit hours of deficiency coursework of level 7 or additional course(s) as identified by the Admission Committee.	*Sciences/Business Edu) will be accepted for LMS only.*

Note:

(1) Educational Background Relevancy (discipline) shall be determined in accordance with Para 10 of this Policy.

(2) Result awaiting candidates will not be considered for MPhil and PhD Admissions (*except NDU graduates*). Submission of complete transcript for MPhil candidates and HEC attested degree(s) for PhD candidates is mandatory.

(3) **For Intra-disciplinary academic background (PhD) the candidate will be required to qualify:-**

(a) GAT (General)

(b) GAT (Subject)

(c) Interview / Research Proposal Defence

(d) Complete 6-9 credit hours of deficiency coursework (level 7 for PhD) or additional course(s) as identified by the Admission Committee

Annex C

1. **Academic Background Relevance.** Academic Background relevance is mandatory for admissions in **PhD** programmes as follows:-

Ser.	Progm	Relevant Academic Background Ref: HEC Graduation Education Policy (GEP-2023)	Intra-Disciplinary Academic Background (With 6 to 9 credit hrs deficiency courses of Level 6 for MS/MPhil and level 7 for PhD)
a.	**DEPARTMENT OF GOVERNMENT AND PUBLIC POLICY**		
(1)	**PhD**	Terminal degree in Government & Public Policy, Public Administration, Development Studies, Law, Anthropology, Sociology, Philosophy, Management Sciences, Business Administration, Strategic Studies, Diplomatic Studies, International Relations, Political Science, War Studies, Security Studies, Art and Science of Warfare.	Terminal degree in **Civics, History, Commerce, Economics, Education, Mass Communication** List of deficiency courses:- (a) Policy Analysis and Design (GPP-705) (b) Governance Issues with reference in Pakistan (GPP-706) (c) Globalization and Dev (GPP-723)
b.	**DEPARTMENT OF PEACE AND CONFLICT STUDIES**		
(2)	**PhD**	Terminal degree in Peace & Conflict Studies, International Relations, Strategic Studies, Sociology, Political Science, Civics, Human Rights, Ethnicity and Nationalism, National Security Management and War Studies, Military and Defence Studies	Terminal Degree in Criminology, LLM, Economics, Psychology, History, Anthropology, Journalism and Media Studies, Development Studies, Public Policy and Strategic Security Management, Regional Studies (US, Russia, CARs, South East Asia, South Asia **List of deficiency courses:-** (a) Conflict Analysis & Resolution (PCS-702) (b) Theories of PCS (PCS-703) (c) Peace Education (PCS-704)
c.	**DEPARTMENT OF STRATEGIC STUDIES**		
(3)	**PhD**	Terminal degree in Strategic Studies, Strategic and Nuclear Studies, Diplomatic Studies, Defence & Strategic Studies, International Relations, Political Science, War Studies, Security Studies, International Politics, Cyber Security, Peace and Conflict Studies, Public Policy and Strategic Security Management, Military & Defence Studies, National Security Management and War Studies, Intelligence Studies.	Terminal Degree in History, Human Rights and Law. **List of deficiency courses:** (a) Contemporary Strategic Studies (SS-701) (b) Nuclear Deterrence and Strategic Stability (SS-702) (c) Research Methodology (RMS-703)
d.	**DEPARTMENT OF INTERNATIONAL RELATIONS**		
(4)	**PhD**	Terminal degree in International Relations, Strategic Studies, Peace and Conflict Studies Political Science, Civics and Human Rights, Area Studies, Public Policy and Strategic Security Management, Military and Defence Studies, National Security Management and War Studies	Terminal Degree in International Law, Criminology. **List of deficiency courses:** (a) Research Methodology (IR-723) (b) Theories of IR (IR-702) (c) Foreign Policy Analysis (IR-711)
e.	**DEPARTMENT OF LEADERSHIP AND MANAGEMENT STUDIES**		
(5)	**PhD**	Terminal degree in Leadership, Management Studies, Management Science, Project Management, Business Administration & Administrative Sciences.	Terminal degree in Economics, Government and Public Policy, Engineering Management. **List of deficiency courses:** (a) Advanced Accounting and Financial Management (LMS-703) (b) Strategic Marketing (LMS-726) (c) International Human Resource Management (LMS-757)

Annex D

1. **GAT (G)/GRE Test or Equivalent Test.** In accordance with HEC GEP-2023, GAT(G) for PhD candidate will be conducted by NDU GAT (G) Committee:

   a. **Conduct.** Candidates applying for PhD programme at FCS must qualify GAT (G) or Equivalent Test e.g GRE(Intl) / HAT (Cat-III for Social Sciences and Cat –II for Management Sciences) by HEC/NTS with a passing score of **60% marks for PhD papers**. Passing criteria of GRE intl shall be as under (%age average score of all components will be entered in the ADMAX):-

Section	Score
Quantitative	130/170
Verbal	140/170
Analytical Writing	3.0/6.0

   b. **Test / Paper Format.** Applicants who pay the GAT (G) fee shall be eligible to appear in the GAT-G (CBT). Test shall consist of 100 objective type questions with 2 hours duration. NDU GAT (G) will be valid for 2 years w.e.f date of conduct.

   c. **GAT (Subject) Test (for candidates having Intra-disciplinary Background in PhD)**

   d. **Conduct**. GAT Subject test for candidates having Intra-disciplinary academic background shall be conducted by GAT(S) Committee of the respective department for the applicants who paid the fee & qualify mandatory GAT(General), irrespective of status of the admission form which shall be valid for two years. Applicants who are not willing to apply for admission in specific session and want to attempt GAT(S) will be registered manually. PhD GAT(S) and PhD will be held on two separate days. In case of Computer Based Test (CBT), GAT (S) shall be conducted by the GAT (S) Committee of the respective department in consultation with Admission Office and PRSA&IT.

   e. **Paper Format and Duration of GAT (S) Test**. Paper shall be of two hours duration with 100 objective type questions.

   Note:- A Separate GAT (Subject) for PhD candidates having interdisciplinary Academic background & qualified GAT (G) will be conducted separately. Accordingly, interdisciplinary candidates in Both choices, is also required to be appear / qualify in both depts. GAT (Subject) e.g (IR, PCS).

Annex E

National Defence University, Islamabad

PhD Interview/ Research Proposal Evaluation Sheet

(To be filled by Dept. Ph.D Admission Committee)

Name of Candidate

App_Id

Department

MS/M.Phil Degree From

MS/ M.Phil Degree Subject

MS/ M.Phil Degree CGPA

Proposed Research Title for PhD

_____

_____

Evaluation Criteria

Description of Evaluation Criteria	Total Marks	Obtained Marks	Remarks (if any)
Relevance with NDU Research Themes and expertise of available supervisor in department			
Significance of Research Problem			
Proposed objectives/ Research Questions/ Hypothesis			
Preliminary Literature and Proposed Research Methodology			
Maturity/ Confidence/ Communication/ Articulation and Flexibility			
Total			

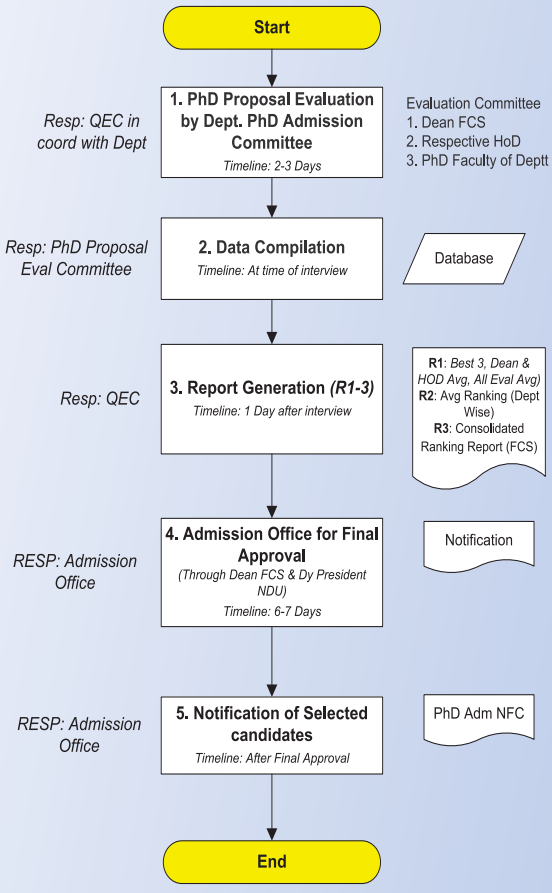
Name: _____

Designation: _____

Evaluator Signature: _____

Annex F

Process for Evaluation of PhD Research Proposal at NDU



Annex G

Composition of Admission Relevant Committees

1. **Admission Committee of the University.**

   a. Composition. Admission Committee of the University shall be constituted for a period of 2 years consisting of Dean FCS as Chairperson, all HODs, Dir PRSA&IT & Admission Officer as Secretary, after the approval of President NDU.

   b. **Responsibilities of Admission Committee** of the University

      (1) Planning of the admissions of each Semester
      (2) Review the eligibility criteria for admission in different
      (3) Programmes.
      (4) Review supervision load for admissions for MS/MPhil & PhD
      (5) Programmes and recommend admissions offering / seats keeping in view the availability of supervisors according to the input of Departmental Admission Committees.
      (6) Propose admission schedule well before time.
      (7) Recommend BS admission(s) for approval by President NDU
      (8) Through Registration Branch.

   c. **Departmental PhD Admission Committee**

      (1) **Composition.** It shall comprise of HoD as its Chairperson and all PhD Faculty as members.

      (2) **Functions/ Responsibilities**

         (a) Identify number of vacant PhD seats and Research areas along with relevant supervisor for PhD admissions before advertisement.
         (b) Scrutinize PhD applications and review background relevancy, research area, deficiency courses (if any).
         (c) Chairperson Department Admission Committee to assign each research proposal to at least three concerned faculty members including potential supervisor for preliminary review. If they feel interacting with potential applicant, he/ she may do so.
         (d) Prior interaction / searching of respective faculty in the department/ HOD for supervisor in his / her research domain by the applicant.
         (e) Review statement of purpose, research proposal and provisional topic.

(f) Attend preliminary review session of Research Proposals submitted by applicants and ask structured questions related / focused on the research area during evaluation of research proposal by the applicant.

(g) Review and recommend request for admission through credits transfer/ Exemption of credit hours/ migration.

(h) Recommend final list of candidates to President NDU for grant of provisional admission in PhD Programme.

2. **Relevance Assessment Committee**. As per HEC GEP-2023 guidelines, the Relevance Assessment Committee (RAC) for each dept, shall determine the relevance of the faculty member(s) based on Qualifications (including Bachelor, Master and Doctoral degrees), Research (including thesis / dissertation and published articles) and Experience (consisting of teaching and administrative domains) in the relevant discipline to the program and supervision of theses. The RAC shall submit a report with detailed reasons and rationale for the assessment decision in anticipation approval of relevant statutory bodies. The RAC shall consist of at least fol five (5) members:-

a. Respective Dean of the university
b. Director QEC of the university
c. Two External subject expert not less than a prof /Associate Prof level
d. Program Team/Assessment Team member who was involved in preparing Self- Assessment Report of the program.

3. **GAT (Subject) Committee**

a. **Composition - GAT (Subject) Committee.** GAT(S) committee for each discipline / department offering PhD programme shall be appointed after approval of the President NDU on the recommendation of HOD concerned and Dean FCS for 2 years as under:

(1) **Chairperson.** Head of respective Department.

(2) **Members**. At least 2 x Assistant Professors from respective department.

(3) **Functions/ Responsibilities.**

(a) Develop pool of questions to create data bank for Computer Based GAT (S).

(b) Conduct of GAT (S) Test.

(c) Forward result to Exam Branch for notification and Registrar Office after approval for entry in ADMAX **by Admission Office**.

Annex H

National Defence University, Islamabad

(OFFICE OF THE CONTROLLER OF EXAMINATIONS)

"I" GRADE EXAMS Request Form

To be filled by the Student (Please fill all fields having * and attach required documents):	
***Registration No:**	***Name:**
***Program:** ❑ PhD / M.Phil /BS	* ❑ Spring-20 ❑ Fall-20

Sr	Course Code	Course Title	Reasons	Teacher remarks	Teacher signatures

1. Student must contact the Teacher/HoD well before or immediately after he/she missed the exam. Supporting documents **(Medical Certificate / Death Certificate etc.)** must be attached with this form according to reason mentioned above.

2. "I" Grade examination Fee **(Rs. 5000/- Per Course)** will be submitted only, after the recommendation of HoD (Fee will be refunded if case not approved by the committee).

*Date: ---------- *Student's Signature:----------

HOD's Recommendations

*Department:---------- *HoD's Name: ----------

(Please tick with √ Either request for "I" Grade exams is Recommended or Not Recommended

Remarks(if any):

For Finance Branch only

Certified that Rs. _____ for _____ x subjects have been received for "I" Grade exams.

Date: ---------- Signature of Account Officer: ----------

Note:

This request form should be submitted to the examinations branch duly recommended by HoD along with the required document(s) duly counter signed by the concerned authority prior to scheduled meeting for award of "I" grade.

For Examinations Branch Only

Received by (Name & Signature): ----------Date ----------

Remarks: ----------

Annex I

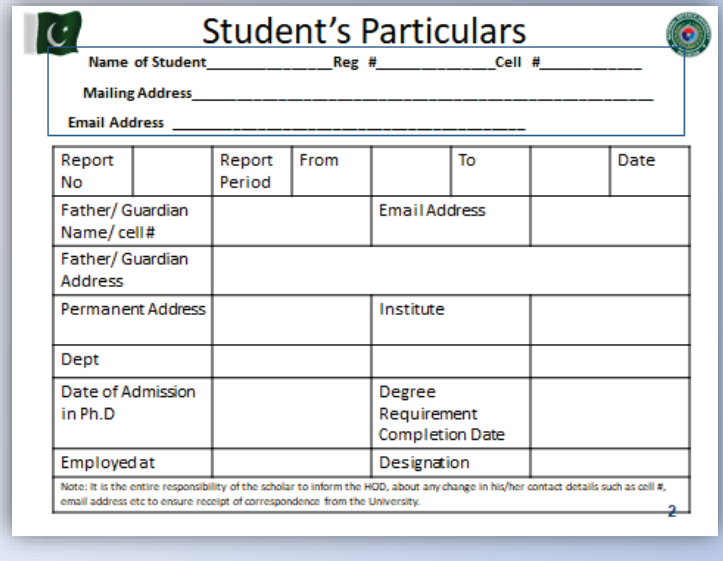
PRESENTATION FORMAT - PHD UERC



Research Topic

(Scholar's Approved Thesis Topic)

1



Student's Particulars

Name of Student_____Reg #_____Cell #_____

Mailing Address_____

Email Address _____

Report No		Report Period	From		To		Date
Father/ Guardian Name/ cell #				Email Address			
Father/ Guardian Address							
Permanent Address				Institute			
Dept							
Date of Admission in Ph.D				Degree Requirement Completion Date			
Employed at				Designation			

Note: It is the entire responsibility of the scholar to inform the HOD, about any change in his/her contact details such as cell #, email address etc to ensure receipt of correspondence from the University.

2

Supervisor /UERC Members Particulars

Name		Institute/Dept	
Cell #		Email	
UERC Members	1.		
	2.		
	3.		

3

PhD Course Work

Sr	Code	Courses	Sem	Grade	Dept
1					
2					
3					
4					
5					
6					

Credit Hours completed		CGPA	
Passed Comprehensive Examination held on		Exam Branch Notification Number with date	

4

Rules/Regulations Awareness

Scholar must carefully read the questions asked below & give the appropriate response in the last column

Are you aware of the last date to complete thesis	Yes / No
Are you aware of the Regulations and schedule of the University for PhD programs	Yes / No
Are you aware of Plagiarism policy?	Yes / No
Have you read the HEC Policy on PhD Programs?	Yes / No
Have you received a copy of the PhD Manual?	Yes / No
Did you attend any PhD seminar/thesis defence during the period?	Yes / No
If yes(mention number of Thesis defence/Seminars Attended)	Yes / No

5

Tentative Roadmap-PhD Study

(8-10 Slides for Targets)

S. No	Targets Assigned	Target Date	Remarks
1	Thematic Analysis & Selection of Topic		
2	Chapter writing (intro) • Background of Study • Problem Identification and problem statement • Contextual analysis • Research questions and objectives		
3	Chapter writing (Theoretical framework Development) Literature Review Detail • Theoretical Framework/ Model • Hypothesis is formulated scientifically. • Establishes a direct relationship between two or more variables. • Stated clearly and precisely. • Testable. • In the absence of Hypothesis, justification/research questions		
4	Chapter writing (Literature Review) A rationalization of the theoretical/conceptual framework chosen is given by engaging with the existing/available theoretical discourse. The application of the theoretical framework is adequately and appropriately reflected through the body of thesis. **Organization of Study** The study is logically organized and is corresponding to the questions raised in the beginning.		

6

Tentative Roadmap-PhD Study

(8-10 Slides for Targets)

S. No	Targets Assigned	Target Achieved	Remarks
5	Chapter writing (Methodology) • Type of Research is Exploratory, Descriptive, Explanatory. • The thesis contains a conceptually sound section on philosophy of research. • The philosophy is in Sync with research design and the methods employed. • The thesis incorporates adequate primary sources including but not limited to field interviews, surveys, preferably visit of the area or country of research, lab experiences, archival research and official/ unpublished documents.		
6	Article Submission for Publication		
7	Chapter writing (Analysis) • Clear representation on tables and texts • Result interpretation		
8	Concluding Chapter • The findings are valid and conspicuously given and answer the questions raised at the start. • Conclusion contains a verdict on hypothesis; validation or invalidation of hypothesis. • Conclusion is generalizable. • Application of study (applied and theory)		

7

Research Progress

Research Topic	
Progress of Research	Tasks planned for next 6 Months
1. Passed Comprehensive Exam 2. Topic Finalized 3. Preliminary paper (other than synopsis) written, deposited and discussed with supervisors 4. Thematic analysis including content Analysis and Textual Analysis 5. Attended 10 PhD Seminars	1. Complete Chapter on theme--- 2. Send paper for publication 3. Complete chapter on Theoretical framework

8

Summary of research Work Completed

Preliminary paper deposited
Topic finalized
Thematic Analysis
Relevant themes short listed by supervisor
Writing chapter number

Paper Published / Presented

Write details

Conference Publications

Write details

9

Annex J

UERC Evaluation Proforma

National Defence University Islamabad, Pakistan

University Examination & Research Committee (UERC) Quantified Progress Report Spring/ Fall – 20

Mode of Attendance: On Campus ☐ Online ☐ **Date** _____

1. **PhD scholars info (*to be filled by concerned Dept in consultation with the PhD Scholar*)**

*** Supervisor**	*** Student's Name**
*** Registration Number of Student:**	*** Department**
*** Course Work CGPA** _____	*** Starting Date of Thesis**
*** Comprehensive Exam Pass%**	
*** Thesis Title:**	*** Completion Date (minimum) of Thesis:**
*** Change of Thesis Title (If Applicable):**	*** Thesis Credit Hrs:**
	*** Change of Thesis Supervisor (If Applicable):**

2. **University Examination & Research Committee (UERC) Quantified Progress.** (to be filled by Supervisor, Co- Supervisor/ Subject Expert/ HoD in sequential manner).

Parameters	Rating by				Remarks
	Thesis Supervisor	Co-Supervisor	Subject expert	HOD	
a. Number of formal interactions with supervisor according to PhD Progress Log.					

Number of Interactions On Monthly basis	Mode (Online/ Onsite)	Total Marks	Applicable (Yes / NA)	Marks Obtained	Remarks
1st		3			
2nd		3			
3rd		3			

Parameters				Rating by				Remarks
				Thesis Supervisor	Co-Supervisor	Subject expert	HOD	
4th		3						
5th		3						
6th		3						
1 x addl mark will be given, if a scholar has 3 x interactions on site (within NDU).		2						
Total		**20**						

b. Literature Review

Parameters	Total Marks	Applicable (Yes / NA)	Marks Obtained	Remarks
Theoretical Framework/ Model	8			
Hypothesis is formulated scientifically.	8			
The study is logically organized and is corresponding to the questions raised in the beginning	4			
Total	**20**			

c. Is the methodology relevant to the field of research study and central questions that have been raised in intro are being addressed in research work, appropriately?

Parameters	Total Marks	Applicable (Yes / NA)	Marks Obtained	Remarks
The thesis contains a conceptually sound section on philosophy of research.	8			
The philosophy is in Sync with research design and the methods employed.	8			
The thesis incorporates adequate primary/secondary sources.	4			
Total	**20**			

d. Are you satisfied that research promotes new knowledge and is in accordance with Pakistan's national integrity / interest?

Yes ☐ NA ☐ No ☐

Total Marks = 20

Parameters	Rating by				Remarks
	Thesis Supervisor	Co-Supervisor	Subject expert	HOD	
e. Please mark the scholar on the basis of fol parameters:-					

Parameters	Max Marks	Applicable (Yes / NA)	Marks Obtained	Remarks
Commitment	4			
Interest	4			
English proficiency	4			
Ability to work independently	4			
Passion for contribution	4			
Total Marks	**20**			

3. **Note:** If any parameter is marked N/A, calculate weighted score example is as under:

Ser	UERC Number	Marks Applicable	Marks Obtained	% age marks obtained	Remarks
a.	1st or 2nd UERC	e.g. 20	e.g. 15	e.g. 75%	

4. Any other point / comments by Supervisor (Overall Thesis Progress):-

---

Ser	Parameters	Remarks
a.	% age of score obtained in current semester	
b.	% age of overall thesis completion	

_____% Score Obtained

*Progress is **Satisfactory / Adverse**[1]

(Signatures of Supervisor)

(Signatures of Subject Expert)

(Signatures of HOD)

[1] Less than 50% Average Score is 'Adverse'.

Annex K

PhD Supervisor Non-Compliance and Remediation Table (in respect to missing UERC meetings with out prior approval from Competent Authority)

Sr.	Level of Non-Compliance	Suggested Actions	Remarks / Responsibility
1.	**1st Time UERC Missed by Supervisor**	• Issue formal warning.	HoD to initiate via QEC; record in faculty service record.
2.	**2nd Time UERC Missed by Supervisor**	• Appoint co-supervisor for PhD scholars with <70% thesis completion	Concerned Department through Dean FCS
3.	**3rd Time UERC Missed by Supervisor**	• Reassign scholars <70% completion to alternate supervisors. • Deduction of 20% supervision remuneration.	Processed by HoD through Fin Br & QEC; approved by competent authority/ ASRB as req.
4.	**Supervisor Leaving NDU During Research Phase**	• **Clearing of Status:** Final clearance withheld until satisfactory supervision validated by UERC. • **Alternate Supervision:** Immediate appointment for scholars with <70% thesis completion status • **Handover:** Transfer research documentation and progress reports; record supervision transfer formally. • **Legal Bond & Contractual Obligation:** All faculty members supervising PhD scholars must execute a legally binding bond preventing departure from NDU until satisfactory completion or formal handover of ongoing PhD supervision. This obligation shall also be explicitly incorporated into the faculty's employment contract, making non-compliance subject to disciplinary and	Department ensures continuity; QEC monitors compliance; Administration/ Registrar/ Finance clearance after certification.

Sr.	Level of Non-Compliance	Suggested Actions	Remarks / Responsibility
		financial consequences.	
5.	**Extended PhD Duration Beyond 4 Years (5th–8th Year)**	If the student is regular, pursuing the studies, but the supervisor has not been responding and there is ample evidence of no response, letter can be issued, and if it continues, the supervisor can be changed.	Exam/ ASRB

Annex L-1

National Defence University
Islamabad, Pakistan

1" x 1" Photo

Allocation of Supervisor/Co-Supervisor and Research Topic : PhD

1. Student Name:_____S/O/D/O
_____
(in CAPITAL LETTERS) (in CAPITAL LETTERS)

2. Registration No:_____3. CNIC no. _____

4. Last degree:_____ (Attach Copy) 5. GAT Test: Passed /Not Passed (Attach result)

6. Proposed Research Topic : _____
(Please attach Research Proposal duly signed by supervisor and Head of the Department).

7. a. Name of supervisor: _____
b. Cell No: _____
c. Qualification: _____
d. Area of Specialization: _____

8. Name of Co-supervisor /Cell no: _____

9. Students Residential & E-mail address: _____

Signature of Student
(Cell no.
_____
)

Signature of Supervisor **Head of Dept**

For use by Registration Branch

10. Certified that the student has completed all Registration requirements by providing required HEC attested documents, therefore, eligible for allocation of research topic & supervisor.

Dated: _____ _____
Signatures with Stamp

For use by Finance Branch (HEC component)

11. Certified that fee for _____Semester has been paid by the student.

Dated: _____ _____
Signatures with Stamp

Recommendation of Dean FCS

RECOMMENDED / NOT RECOMMENDED

Dated: _____ _____
Signatures with Stamp

To: Examinations Branch (through official mail only)

Annex L-2

National Defence University
Islamabad. Pakistan

1" x 1" Photo

Change of Research Topic: PhD / M Phil

Student's Name:_____

Regn No:_____ **Semester: (Spring/Fall - 20___)** **Department:** _____

1. **Name of Supervisor:**----------
2. **Name of Co-Supervisor:**----------
3. **Previous Topic** (In readable Writing): ----------
4. **New Topic:** ---------- --

Dated: _____ _____

Student's Signature & Cell No

Endorsement by Supervisor

5. **Reason(s) for change: ----------**

_____

Supervisor's Signature

Recommendation of HoD Concerned

Dated: _____ _____

Signature with Stamp

For use by Registration Branch

6. Certified that the student has completed all Registration requirements by providing required HEC attested documents, therefore, eligible for allocation of research topic & supervisor.

Dated: _____ _____

Signatures with Stamp

For use by Finance Branch (HEC component)

7. Certified that fee for _____Semester has been paid by the student.

Dated: _____ _____

Signatures with Stamp

Recommendation of Dean FCS
RECOMMENDED / NOT RECOMMENDED

Dated: _____ _____

To: Examinations Branch (through official mail only) Signatures with Stamp

Annex M

National Defence University
Islamabad, Pakistan

1" x 1" Photo

Change of Supervisor /Co-Supervisor

To be filled by Student

PhD Program ☐ **MPhil Program** ☐

Student's Name:_____

Regn No:_____ **Semester: (Spring/Fall - 20___) Department:** _____

Topic: _____

1. **Change of Supervisor/Co-Supervisor:**
   Type of Change: Supervisor ☐ Co-Supervisor ☐

Content	Details of Previous Supervisor/Co-supervisor	Details of New Supervisor/Co-Supervisor
Name		
Affiliation		
PhD Graduation Year		
Specialization		

Reason for Change of Supervisor/Co-Supervisor:_____

_____

2. **NOC from Previous Supervisor/Co-Supervisor (Annex-A):** Attached Not Attac☐ ☐

3. **Consent Letter from New Supervisor/Co-Supervisor (Annex-B):**Attached Not Attac☐ ☐

4. **Fee Payment Certificate.** Certified that semester fee of Rs._____has been deposited with Financebranch, NDU Vide Challan no.____on (date)____(attached Copy).

Dated: _____ _____
Student's Signature & Cell No

(For Official Use Only)

5. **For use by Registration Branch.** Certified that the student has completed all Registration requirements by providing required HEC attested documents, therefore, eligible for allocation of research topic & supervisor.

Dated: _____ _____
Signature of Registrar/Dy Registrar with Stamp & Date

6. **Recommendations of HoD Concerned.** Recommended change/appointment of Supervisor/Co-supervisor has relevant PhD as per HEC policy. I certify that:

a. Newly allocated supervisor/co-supervisors is not above the maximum load for supervision.

b. NOC from previous supervisor/Co-supervisor has been sought.

c. Consent letter from new supervisor/co-supervisor has been obtained.

Recommended ☐ Not Recommended ☐ Deferred ☐

Reason: _____

_____

_____

Dated: _____ _____

HoD's Signatures with Stamp

7. **Recommendation of Dean FCS.** Recommended change/appointment of Supervisor /Co-supervisor for consideration in the ASRB.

Decision: Recommended ☐ Not Recommended ☐ Deferred ☐

Reason: _____

_____

_____

Dated: _____ _____

Dean's Signature with Stamp

To: Examinations Branch (Through official mail only)

Attachments:

- No Objection Certificate from Previous Supervisor/Co-Supervisor. ☐
- Consent Letter from New Supervisor/Co-Supervisor. ☐
- Fee Payment Certificate ☐

Annex N

National Defence University, Islamabad

OBSERVATIONS FORM: DOCTORAL SEMINAR

Ser	Observation	Observation by	Category	Remarks
1.	(a) (b) . . .		• Preliminary • Research methodology • Theory • Findings/Conclusions • Contribution to Existing Knowledge	
2.	(a) (b) . . .		• Preliminary • Research methodology • Theory • Findings/Conclusions • Contribution to Existing Knowledge	
3.	(a) (b) . . .		• Preliminary • Research methodology • Theory • Findings/Conclusions • Contribution to Existing Knowledge	
4.	(a) (b) . . .		• Preliminary • Research methodology • Theory • Findings/Conclusions • Contribution to Existing Knowledge	
5.	(a) (b) . . .		• Preliminary • Research methodology • Theory • Findings/Conclusions • Contribution to Existing Knowledge	

_____

Signatures of Supervisor

_____

Signatures of HOD

Annex O

National Defence University, Islamabad

THESIS REVIEW REPORT

Student Name	
Department	
Degree	
Thesis title	

INSTRUCTION FOR COMPLETING THE THESIS REVIEW REPORT FORM

- **Reviewer to complete all sections.**
- **If required additional pages may be attached by the Reviewer.**

1. Section A: **OVERALL STYLE AND ORGANIZATION.** Please indicate your response by circling the most appropriate number. Please state 'not relevant', where appropriate. Not appropriate at all most appropriate

a. In terms of contents, thesis title is 1 2 3 4 5

.....
.....

b. In terms of conciseness, the abstract is 1 2 3 4 5

.....
.....

c. In terms of clarity of presentation, the thesis is 1 2 3 4 5

.....
.....

d. In terms of organization (chapters, Bibliography, appendices, etc), the thesis 1 2 3 4 5

.....
.....

Date: ___/____/_____ Signature of DRC Members: _____

_____

_____

		Insufficient				extensive
e.	References are	1	2	3	4	5

.....
.....

2. Section C: OTHER COMMENT

.....
.....

3. Section D: SUMMARY RECOMMENDATION OF THE REVIEWER

.....
.....

4. It is certified that Thesis has been reviewed by the undersigned and found compatible/Not compatible to the required International Standards of Intellectual and Scholarly essentials.

Date: ___/____/_____ Name & Signatures of DRC Members: _____

Stamp: _____

_____

_____

Miscellaneous Proformas

I

National Defence University, Islamabad

CHECK LIST FOR QEC & UERC MEMBERS
Report Spring/ Fall – 20

1. **PhD Scholars Info** *(to be filled by the QEC & UERC Members)*

*** Registration Number of Student:** *** Course Work CGPA _____** **~~* Comprehensive Exam Pass%~~** *** Thesis Topic (Updated):**	*** Student's Name** *** Department** *** Starting Date of Thesis** *** Completion Date (minimum) of Thesis:** *** Thesis Credit Hrs:** *** Last UERC Progress**

2. Checklist - QEC

Sr.	Points / Questions	Yes	No	N.A	Remarks
a.	Mandatory HEC requirement of publishing at least: **One research article in HEC recognized X category journal or two research articles in Y category journals** for PhD degree in HEC recognized journal relevant to his / her PhD dissertation?				
b.	Research scholar attended up to 10 x PhD relevant thesis defense in different public / private universities preferably in the scholar's discipline of knowledge/ research?				
c.	Scholar has appeared in Doctoral Seminar?				
d.	Scholar's DRC has been conducted (Before Submission to Exam branch)?				
e.	Post Foreign Evaluation Reports DRC has been conducted?				

3. Checklist – UERC Members.

Sr.	Points / Questions	Yes	No	N.A	Remarks
To be checked / marked by Thesis Supervisor/ Co-supervisor					
a.	Supervisor and a PhD Scholar had 06 x formal meetings (on monthly basis) in each semester onsite at NDU or Online (out of which minimum 03 x interactions/meetings should be on site at the Supervisors Office (NDU)?				
b.	PhD Progress Log is being maintained parallelly by the research scholar?				
c.	Recommend final topic of thesis for approval of the ASRB?				
d.	Critically examine the biannual progress and quality of research during the period?				
e.	Debate each & every aspect of the proposal including hypothesis, research questions, conceptual model/framework, validity of data collection instruments, choice of data analysis tools, expected results and contribution to the existing body of knowledge etc?				
To be checked / marked by Subject Expert					
f.	Provide appropriate guidance and document it through concerned thesis supervisor?				
To be checked / marked by HoD Concerned					
g.	Research progress through PhD Log is being maintained by the respective supervisor?				
h.	Evaluation and research progress of the scholar for presentation before the ASRB.				
i.	In case of adverse report, respective HOD may inform the PhD scholar in the UERC meeting and also fwd written report to the scholar's provided email and last working address?				
j.	Recommend change of Supervisor and Research Topic if required?				

Name & Signature of QEC Rep

Date: _____

Name & Signature of UERC Member

Date: _____

II

Individual Student – UERC Consolidated Report_____

PhD University Examination and Research Committee (UERC) - Spring 20__ (Dept Name)		
Name of Student:		
Reg No.		
Supervisor		
Semester	**UERC Comments**	**% Score in UERC**
Fall 25	**- UERC No_____** -Thesis Stage (% with details): e.g. 03 Chapters & 60% work completed, working on 3rd Chapter **- Status of Relevant Research Article**: ☐ Not Published ☐ In Process ☐ Accepted ☐ Published **- Doctoral Seminar**: ☐ N.A ☐ Not Recommended ☐ Recommended ☐ Conducted **- DRC:** ☐ N.A ☐ Not Conducted ☐ Conducted **- Post Foreign Evaluation Reports DRC:** ☐ N.A ☐ Not Conducted ☐ Conducted **- No. of Public Defence(s) Attended:** ___ **- Any Other Remarks:** *Superviors and HoD Remarks*__	**73%**
Spr-25	**- UERC No_____** -Thesis Stage (% with details): e.g. 02 Chapters & 40% work completed, working on 3rd Chapter **- Status of Relevant Research Article**: ☐ Not Published ☐ In Process ☐ Accepted ☐ Published **- Doctoral Seminar**: ☐ N.A ☐ Not Recommended ☐ Recommended ☐ Conducted **- DRC:** ☐ N.A ☐ Not Conducted ☐ Conducted **- Post Foreign Evaluation Reports DRC:** ☐ N.A ☐ Not Conducted ☐ Conducted **- No. of Public Defence(s) Attended:** ___ **- Any Other Remarks:** *Superviors and HoD Remarks*__	**60%**
Spr-24 to Fall-24	**Course Work**	

III

Consolidated PhD UERC Progress Report of Department of _____

1. In order to maintain uniformity while preparing the consolidated **PhD UERC Progress Report** for approval of the President NDU, all departments are requested to forward the requisite data (~~hard and~~ soft copy) **as per prescribed format** appended below, within one week after conduct of UERCs, to facilitate timely **submission to ASRB**:-

Sr.	Name of Students	Reg. No.	Name of Supervisor	Average Score (Spr 20__)	Remarks (Please tick the relevant checkbox)
a.	Student Name				- **UERC No**_____ -Thesis Stage (% with details): e.g. 02 Chapters & 40% work completed, working on 3rd Chapter - **Status of Relevant Research Article**: ☐ Not Published ☐ In Process ☐ Accepted ☐ Published - **Doctoral Seminar**: ☐ N.A ☐ Not Recommended ☐ Recommended ☐ Conducted - **DRC:** ☐ N.A ☐ Not Conducted ☐ Conducted - **Post Foreign Evaluation Reports DRC:** ☐ N.A ☐ Not Conducted ☐ Conducted - **No. of Public Defence(s) Attended:** ___ - **Any Other Remarks:** _ *Superviors and HoD Remarks*__

2. **Important Instructions:**
   a. All depts must provide data of **all active PhD students**, including those who have submitted their thesis either at dept or Exam Branch.
   b. Absent and Fail students must be clearly mentioned in the UERC report. Depts are responsible to inform such students through official email and make them aware of the relevant SOPs of UERC.
   c. No student shall be allowed to graduate or exit the University without fulfilling all req of the UERC process.
   d. Kindly ensure accuracy, completeness, and timely submission.
   e. Please include all proformas of PhD students duly signed by the UERC Committee.
   f. A soft copy of the result must also be shared with QEC for compilation purposes.

NATIONAL DEFENCE UNIVERSITY, ISLAMABAD
PHD SUPERVISOR DECLARATION FORM

Scholar Name: _____

Scholar Registration No._____

Department: _____

PhD Program Stage: _____

Declaration:

I, **[Supervisor Name]**, PhD Supervisor of **[Scholar Name & Registration No.]**, declare that I have reviewed the scholar's research progress and relevant documents, and confirm that the scholar has completed the requirements to advance to the next stage of the PhD program, in line with University regulations and UERC policy. I acknowledge my responsibility to ensure continuity of supervision, including formal handover if leaving the University.

Next Stage of Progression:

☐ Departmental Seminar

☐ Doctoral Seminar

☐ DRC Presentation

☐ Foreign Evaluation

☐ Local Evaluation

☐ Thesis Submission

Supervisor Name & Designation: _____

Signature: _____

Date: _____

Head of Department: _____

Signature: _____

Date: _____

V

National Defence University, Islamabad

PhD Thesis Submission Form

Semester: Spring /Fall_____
Deptt: _____
Date of Submission of Thesis to the deptt for final review by the departmental thesis review committee: _____

SECTION A:
TO BE COMPLETED BY THE STUDENT

Name of Scholar		*F-name*	
Registration no.		*Contact no.*	
Title of Dissertation			
Date of Passing GAT (Subject) Test:			
Semester of Completion of PhD Course work (18 credit hrs):			
Semester of Completion of deficiency requirements for PhD (if any):			
Date of Conduct of Comprehensive Examination with result:			
Date of Doctoral Seminar:			
Date of Publication of research article in HEC recognize Journal: *Name of Journal:*		*Volume no:*	
Date of Submission of Thesis Fee:			

_____
Signature of Scholar with Date

SECTION B:
TO BE COMPLETED BY THE SUPERVISOR

This is to certify that the above scholar has completed his/her research work to my satisfaction. The thesis meets the standards of the University in content quality and presentation style, and is ready for submission. To the best of my satisfaction, the thesis has been checked through Turnitin software for plagiarism. The detailed evaluation report indicates that the thesis is ready for further evaluation/processing.

_____ _ _____
Signature Supervisor with Stamp Date

SECTION C:
TO BE COMPLETED BY DEPARTMENT

Certified that thesis has been reviewed by the PhD review committee of this deptt and declared satisfactory for further evaluation /processing. Furthermore it is certified that a/r scholar has completed all the following PhD Degree requirements before submission of this thesis.

		Yes	No
a.	Passed GAT(Subject)Test		
b.	Passed PhD Course work of 18 credit hrs		
c.	Completed Deficiency requirements		
d.	Passed comprehensive Exams in _____ attempt		
e.	Conducted Doctoral Seminar		
f.	Published research article in HEC recognized Journal		

_____ _____
Signature with Stamp Date

Countersignatures

_____

Dean FCS
Date:_____

For used by Finance Branch (HEC component)

It is certified that there is nothing outstanding against the student till sem _____.

_____
Signature of DD Finance (HEC component)
Date:

For used by Registration branch:

Certified that no deficiency /discrepancy exists in documents of a/r scholar.

_____
Signature of Deputy Registrar
Date: _____

To be forwarded to Exams branch for further processing

VI

National Defence University

Islamabad, Pakistan

Form no:

SEMESTER (s) EXTENSION PROFORMA

Strike out whichever is not applicable:

a. One Semester Extension: (Spring / Fall 20____)

b. Two Semesters Extension: Spring /Fall 20____ & Spring/ Fall 20 _____

Student Name:	**Father's name**
Registration Number:	**Department:**
M.Phil ☐ **PhD** ☐	**Reason for Semester extension**

I have paid the semester charges of Rs. _____on_____.

_____ Dated

_____ Signature of the student

Recommendations of Supervisor - **(Recommended/not recommended)**

a. % of work completed: b. Performance: **satisfactory/unsatisfactory**

Remarks:_____

_____

_____ Signature of the Supervisor

Recommendations of respective HoD - **(Recommended/not recommended)**

Remarks:_____

_____

_____ Signature of the HoD

For Examination branch

The case is recommended for consideration in _____ASRB.

_____ Asst Controller of Examinations

Dated:_____

VII

Application Form for the issuance of Transcript

NATIONAL DEFENCE UNIVERSITY ISLAMABAD
EXAMINATIONS BRANCH

Subject: APPLICATION FORM FOR THE ISSUANCE OF

I. ☐ Transcript
II. ☐ Result card
III. ☐ Progress Report

1. Student Name: _____
2. Registration No: _____
3. Father name: _____
4. Program: BS / MSc / MPhil / MSPM / PhD _____
5. Dept: _____
6. Contact No: _____
7. Current Sem: _____
8. Result card for Sem(for duplicate fee Rs:300/-):_____
9. Date: _____
10. **For Transcript only:-**

a. ☐ Normal
b. ☐ Urgent Additional Rs: 1500/-, (urgent will be issued within 48 hrs)
c. ☐ Additional copies (Kindly mention no of copies) _____
(Transcript fee: Rs: 1,500/- per copy)

Recommended /Not recommended (HOD) **Student's Signature**

Note:

i. Please attach copy of clearance form, CNIC & SSC/IBBC certificate for transcript issuance.
ii. Original receipt of fee deposited in Finance branch (HEC) must be attached with the form.
iii. Result card/Transcript shall be issued in due course of time as per priority of receipt of application date &time.
iv. Student must write full name as per SSC.
v. All entries should be made in block letters.

VIII

Application Form for Degree In Absentia

National Defence University, Islamabad

(OFFICE OF THE CONTROLLER OF EXAMINATIONS)

1. **Program:** ☐ PhD ☐ M.Phil ☐ MS ☐ MSc ☐ BS
2. **Dept:** ☐ GPP ☐ PCS ☐ SS ☐ IR ☐ LMS ☐ ECO
3. **Name:**_____ ***S/D/O***_____
4. **Regn No:** _____ **5. Discipline:** _____
6. **Prescribed Fee** (Strike appropriate box & Attach Evidence for payment):
   a. Normal - Rs 3,000 ☐
   b. Urgent (Specify reason for urgency) Rs 10,000 ☐
   ……
   ……
   c. Revised - Rs 15,000 ☐
   d. Duplicate - Rs 15,000 ☐
7. **Attachments:**
   a. Copy of SSC (Matric)
   b. Clearance certificate (complete in all respect) OR Copy of NDU Issued Transcript
   c. Document(s) supporting urgency
8. **Email & Cell No**: _____
9. **Certificate:** Certified that I have completed the prescribed degree requirements during the prescribed time period and I was not registered in any other degree program elsewhere during this time period. All entries made in this Application are complete and correct to the best of my knowledge and record. I am aware that by obtaining degree in absentia I shall forego my legitimate right of attending the university convocations for award of degrees or even for photo session.

Date: _____ _____

(Signatures)

Note: Degrees shall be prepared as per Student & Father's name on SSC/ Matric.

In case Surname is given in SSC/ Matric, kindly specify to write it with names or not (being no separate column for surname)

(RECOMMENDED / NOT RECOMMENDED)

Date: _____ _____

HoD

(To be completed on same date of Students application)

(RECOMMENDED / NOT RECOMMENDED)

Date: _____ _____

Dean FCS

(To be completed on same date of Students application)



NATIONAL DEFENCE UNIVERSITY ISLAMABAD-PAKISTAN

www.ndu.edu.pk