

ABDUL WALI KHAN UNIVERSITY MARDAN
SEMESTER RULES AND REGULATIONS
DOCTOR OF PHILOSOPHY (PhD) PROGRAMS

1. SHORT TITLE, COMMENCEMENT AND APPLICATION

- 1.1 These Rules and Regulations, framed under section 29(a) of the Khyber Pakhtunkhwa Universities Act, 2012, shall be known as Semester Rules and Regulations for PhD programs.
- 1.2 These Rules and Regulations shall come into force with immediate effect.
- 1.3 These Rules and Regulations shall apply to all PhD Scholars of Abdul Wali Khan University Mardan.

2. DEFINITIONS

- (a) **Academic Programme.** Means an “Academic Programme” means a Programme of studies, which leads to the award of a Degree to the students, after successful completion of all its requirements.
- (b) **Assessment.** Means evaluation of performance of students in academic Programmes, including examinations, assignments, practicals, project work, seminars and tutorials.
- (c) **Advance Studies and Research Board (ASRB):** Mean Advance Studies and Research Board of the University.
- (d) **Cease.** Means that a student is declared unsuitable for further studies.
- (e) **Class Assignment.** Means A task relevant to a course of study to substantiate the course contents. An assignment may or may not be graded.
- (f) **Contact Hour.** Means one hour spent on teaching, lab work, practicals, research work, projects, seminars, workshops, internships, etc.
- (g) **Controller.** Means Controller of Examinations of the University.
- (h) **Credit Course.** Means a course required for a degree and is counted towards CGPA.
- (i) **Credit Hour (Crd. Hr).** Means A lecture of one-hour duration per week in a semester for a subject countable towards a student’s Cumulative Grade Point Average (CGPA).A practical of two hours is equivalent to one credit hour.
- (j) **Cumulative Grade Point Average (CGPA).** Menas the average of grade points earned in all courses in all semesters of an Academic Programme.
- (k) **Chairman.** Means Chairman of an Academic Department of the University.

- (l) **Dean.** Means Dean of a faculty of the University.
- (m) **Director Academics.** Means Director Academics of the University.
- (n) **Department.** Means an Academic Department of the University.
- (o) **Examiner.** Means a person appointed to conduct the examination.
- (p) **Faculty.** Means Faculty of the University having two or more departments.
- (q) **Faculty Equivalence Committee (FEC):** Means Faculty Equivalence Committee of the University make under these rules and regulations.
- (r) **Grade.** Means a letter grade which represent certain points earned by a student.
- (s) **Grade Point (P).** Means Number of points assigned to a letter grade.
- (t) **Grade Point Average.** Means the average of points earned by a student in a semester.
- (u) **Graduate Study Committee (GSC):** Mean Graduate Study Committee of the University make under these rules and regulations.
- (v) **Non-Credit Course.** Means a course of study, successful completion of which is required for a degree but not counted towards CGPA.
- (w) **Probation.** Means a student is said to be on probation if his GPA in a semester is lower than the required GPA for promotion to the next semester.
- (x) **Provost.** Means Provost of the University.
- (y) **Thesis/Dissertation.** Means It is a report comprising the original research of a student which is counted towards the partial fulfillment of his Master degree.
- (z) **Registration.** Means Registration of the student in a Teaching Department of the University.
- (aa) **University.** Means Abdul Wali Khan University Mardan
- (ab) **Vice Chancellor.** Means Vice Chancellor of the Abdul Wali Khan University Mardan
- (ac) **He.** Means Pronoun stands for both he and she.

3. REQUIREMENTS FOR LAUNCHING A PhD PROGRAM

- 3.1 There should be at least 3 PhD faculty members in a department to launch a PhD program.
- 3.2 The supervisor of a PhD scholar must possess PhD degree in the relevant field.
- 3.3 There shall be a supervisory committee for each PhD scholar.
- 3.4 A supervisor can supervise to maximum of five PhD scholars which can be increased to eight under special circumstances.
- 3.5 All members of the supervisory committee must be PhD Degree holders.

4. PROCEDURE FOR ADMISSION

- 4.1 There shall be a Graduate Study Committee (GSC) consisting of the following:

- | | |
|---|-----------------|
| (a) Chairman of the concerned department | Convener |
| (b) Three senior faculty members | Member |
| (c) Two senior faculty members from other departments | Member |

Note: In case, Chairman of the Department is not a PhD holder than Dean of the concerned faculty will be the Convener of GSC.

- 4.2 Director ASRB/Academics shall advertise the PhD program in at least two leading national newspapers.
- 4.3 Application on prescribed forms along with the following documents shall be submitted to the concerned head of the department on the dates notified for admission.
 - a. DMCs of all Examinations.
 - b. Original/Provisional Degrees.
 - c. Character Certificate from the Head of the Institution last attended.
 - d. Three duly attested passport size photographs.
 - e. Certificate to the effect that no major / minor penalties have been imposed on the applicant on account of misconduct during their undergraduate and graduate studies.
 - f. Domicile Certificate.
 - g. Undertaking / Agreement (in original) on selection for admission.
 - h. Migration Certificate within one month of the admission, otherwise admission shall stand cancelled.
 - i. Research Proposal.
 - j. Two reference letters.
 - k. Proof of valid NTS / GAT (Subject) / GRE / or International GRE (in case of subjects specified by HEC).
 - l. An affidavit to the effect that he is not pursuing degree programme studies in any other University.

- 4.4 In service candidates must apply for admission through proper channel along with NOC and leave certificate initially for three semesters.
- 4.5 The requirement of study leave is relaxed for faculty and administrative staff of Abdul Wali Khan University Mardan.
- 4.6 Admission shall be granted by the GSC.
- 4.7 Foreign students shall apply for admission as per criteria laid down by HEC.
- 4.8 Wherever needed, the equivalence of academic qualifications shall be determined by the following Faculty Equivalence Committee (FEC):
- | | |
|--|-------------------------|
| a. Dean of the concerned faculty | Convener |
| b. Chairman of the concerned department | Member |
| c. Two senior teachers of the concerned department | Member |
| d. Controller of Examinations | Member |
| e. Director ASRB/Academics | Member/Secretary |
- 4.9 If the scheme of studies pursued by a scholar in his MS/MPhil programme does not provide adequate background for the PhD programme, the scholar must take deficiency course (s) proposed by the GSC/FEC.
- 4.10 All eligible candidates are required to appear for interview to adjudge their aptitude, suitability and verification of documents.
- 4.11 The GSC may refuse admission to a candidate based on reasons to be recorded.
- 4.12 The GSC will furnish its recommendation along with original record of the application forms to Director ASRB/Academics.
- 4.13 The Director ASRB/Academics will notify list of admitted students in each department.

5. ELIGIBILITY CRITERIA

- 5.1 To be eligible for admission to the PhD program a candidate is required to have:
- MS/MPhil Degree in the relevant field with a minimum of CGPA 3.00 under semester system of at least 30 credit hours or 1st division under annual system.
 - No third division in the entire academic career.
 - Have qualified NTS /Graduate Assessment Test (subject) or GRE (subject)
 - Have qualified International GRE (subject) in the case of subjects specified by HEC or University own test.

6. MERIT DETERMINATION AND QUANTIFICATION:

6.1 Merit will be determined using the following weightage.

| Sr# | Title | Marks |
|------|--|-------|
| i. | Research Proposal | 20 |
| ii. | Academic qualifications (SSC, HSSC, BS (4-year) / (Bachelor & Master) and M.Phil / MS / LLM or Equivalent) | 30 |
| iii. | Publications | 20 |
| iv. | NTS-GAT Subject | 10 |
| v. | Interview | 20 |

6.2 Quantification will be carried out as per the following procedure:

i. Research Proposal will be evaluated by GSC.

ii. Academic Qualification:

$$\frac{\% \text{Marks obtained in SSC+HSSC+BA/B.Sc +MA/M.Sc+M.Phil/MS/LLM}}{5} \times 0.3$$

OR

$$\frac{\% \text{Marks obtained in SSC+HSSC+BS(04-years)+M.Phil/MS/LLM}}{4} \times 0.3$$

Note: Letter grades will be converted into % marks.

iii. Publications:

03 marks per publication in atleast Y category HEC recognized Journals.

iv. Aptitude / Interview: Marks out of 20.

v. NTS-GAT Subject: Score out of 10.

6.3 After selection, the candidate shall submit course registration form along with bank deposit slip to the Chairman of the concerned department during the notified dates.

6.4 The Director ASRB/Academics may grant late admission on the recommendation of the GSC on payment of Rs.1000 late fee within five days after the due date.

6.5 Each enrolled scholar will be assigned a supervisor by GSC.

6.6 If a candidate (s) fails to enroll during the stipulated time after selection for admission, the next candidate(s) will be offered admission on merit.

- 6.7 After enrolment the scholar is required to submit complete Course Work Programme on prescribed proforma “A” to the Chairman of concerned department before the start of first semester.

7. DURATION

- 7.1 The duration of the program for the Doctor of Philosophy Degree (PhD) shall not be less than six regular semesters (3 years) and shall not be more than 10 regular semesters (5 years).
- 7.2 The study programme of PhD shall comprise of course work, research and dissertation. A candidate is required to complete at least 18 credit hours of course work during the first two semesters (first year) and a minimum of 20 credit hours of research work during the 04 semesters before submission of dissertation.
- 7.3 Dissertation of 20 credit hours based on original research shall normally be completed by the end of forth semester.
- 7.4 Students who fail to complete the degree requirements within the maximum stipulated duration as mentioned above shall have to apply with justification to Advanced Studies and Research Board (ASRB). The ASRB may grant extension in the duration for a maximum of two semesters (one year).
- 7.5 After the expiry of the maximum duration, the scholar who fails to successfully complete the studies shall cease to be on the role of University and shall not be eligible for re-admission.
- 7.6 All course work may preferably be completed in the first two semesters.
- 7.7 There will be two regular semesters in each year, Spring and Fall Semesters.
- 7.8 Each semester shall be of 18 weeks. Out of 18 weeks, 16 weeks shall be actual teaching time, the rest may be utilized for registration, conduct of examination, declaration of result etc.
- 7.9 The commencement of semesters shall be regulated by the Director ASRB/Academics.

8. COMPOSITION OF SUPERVISORY COMMITTEE:

- 8.1 GSC shall constitute a Supervisory Committee, in consultation with the student concerned, which shall normally consist of at least two regular faculty members from major and one from minor field of study.
- 8.2 The Supervisor shall act as convener of the committee.
- 8.3 Member of the supervisory committee must be specialists in area of the proposed research work assigned to the scholar for dissertation.
- 8.4 In case the supervisor is no longer available to supervise a scholar either due to retirement or any other eventuality, the supervisory committee will be reconstituted by GSC in consultation with student.

9. COURSE FILE

- 9.1 Every teacher shall maintain a complete Course File of the subject he teaches.
- 9.2 The course file shall contain:
 - a. Attendance record,
 - b. Detail description/outlines of the course,
 - c. Weekly teaching schedule,
 - d. Date of mid-term and final term examinations,
 - e. Details of marks allocation/grading,
 - f. Copy of each homework assignment,
 - g. Copy of each quiz/class test,
 - h. Copies of the question paper of mid-term and final term examinations,
 - i. Result sheets of the students,
 - j. Difficulties/problems faced during course delivery and recommendations.

10. SEMESTER RENEWAL AND REGISTRATION

- 10.1 A PhD scholar must enroll/register for each semester till submission of his dissertation to BOS within stipulated time as explained in these regulations.
- 10.2 Enrolment/registration will be completed only when the student submits properly filled registration form along with payment of dues within the notified time for a particular semester to the Chairman concerned.
- 10.3 If a scholar fails to enroll/register in any semester, he shall cease to be on the roll of University for that semester.
- 10.4 The GSC may re-admit such a candidate subject to a payment of all dues including Rs. 2000 as re-admission fee and semester gap fee at the rate of Rs. 5000 per semester.
- 10.5 The committee may refuse re-admission if the reasons advanced are not convincing.

- 10.6 The student should obtain GPA/CGPA of 3.00 for enrolment to the next semester. In case a student is able to obtain GPA/CGPA of 2.00 or more but less than 3.00, he she will be promoted to the next semester and will be placed on probation and he will be given a warning to improve his GPA/CGPA and if he fails to obtain GPA/CGPA 3.00 in the next semester, his admission shall stand cancelled.
- 10.7 A student can repeat failed courses of the previous semesters, when such courses are offered, provided that his maximum work load, including the courses being repeated by him, not exceeds the normal work load of 18 credit hours.
- 10.8 A student, who obtains CGPA of less than 3.00, upon completion of the entire approved course work, may be allowed to repeat the subjects in which he had obtained less than 3.00 grade point, to obtain the minimum CGPA of 3.00, failing which the student shall cease to be on the rolls.
- 10.9 All courses taken will be shown on the transcript of the student, including “Failure” and Repeat”.

11. GRADING POLICY

The following grading policy will be implemented upon students admitted during Fall 2016 and on ward.

| % age Marks | Grade Point | Letter grade |
|--------------------|--------------------|---------------------|
| Below 50 | 0 | F |
| 50 | 2.00 | C- |
| 51 | 2.05 | |
| 52 | 2.10 | |
| 53 | 2.15 | |
| 54 | 2.20 | |
| 55 | 2.25 | C |
| 56 | 2.30 | |
| 57 | 2.35 | |
| 58 | 2.40 | |
| 59 | 2.45 | C+ |
| 60 | 2.50 | |
| 61 | 2.55 | |
| 62 | 2.60 | |
| 63 | 2.65 | |
| 64 | 2.70 | B- |
| 65 | 2.75 | |
| 66 | 2.80 | |
| 67 | 2.85 | |
| 68 | 2.90 | B |
| 69 | 2.95 | |
| 70 | 3.00 | |
| 71 | 3.05 | |
| 72 | 3.10 | |
| 73 | 3.15 | B+ |
| 74 | 3.20 | |
| 75 | 3.25 | |
| 76 | 3.30 | |
| 77 | 3.35 | A- |
| 78 | 3.40 | |
| 79 | 3.45 | |
| 80 | 3.50 | |
| 81 | 3.55 | |
| 82 | 3.60 | A |
| 83 | 3.65 | |
| 84 | 3.70 | |
| 85 | 3.75 | |
| 86 | 3.80 | A |
| 87 | 3.85 | |
| 88 | 3.90 | |
| 89 | 3.95 | |
| 90---100 | 4.00 | A+ |

12. COURSE WORK PROGRAM

- 12.1 All post-graduate courses will be designated by 700 preceded by the first three to four alphabets of the name of the discipline / programme.
- 12.2 A student admitted to the course shall complete course work of not less than 18 credit hours.
- 12.3 A course cannot be registered without qualifying its pre-requisite (if any) as determined by the GSC.
- 12.4 A student shall not enroll for more than 9 credit hours in a semester.
- 12.5 All courses shall be of 3 credits hours.
- 12.6 A student is required to repeat failed course (s) of the previous semesters whenever the Course (s) is offered.
- 12.7 A course can be repeated three times at the most. In case a student fails to make-up the deficiency or improve grade point average shall cease to be on the roll.
- 12.8 In case a student drops a course without such permission or intimation, he shall be deemed to have failed in that course and will have to register the same course, as and when offered.
- 12.9 When a course for which a student is enrolled, cannot be offered according to the program announced, student may opt for an alternate course, on the recommendation of the supervisory committee within two weeks of the commencement of the semester through Proforma "B".
- 12.10 Once an examination of a registered course is taken the course cannot be deleted from the transcripts.
- 12.11 The supervisor shall submit semester wise progress report regarding course and research work to the Graduate Study Committee.

13. TRANSFER OF CREDIT BY MIGRATION

- 13.1 Transfer of Credit by Migration in the first Semester is not allowed.
- 13.2 Transfer of Credit by Migration from AWKUM is allowed in the 2nd semester onwards on the basis of solid reasons / justification.
- 13.3 Transfer of Credit by Migration to AWKUM is allowed provided the scheme of study is the same as in vogue in AWKUM as per the following rules:
 - a. Transfer of Credit by Migration to AWKUM is allowed in 2nd semester onwards.
 - b. The faculty equivalence committee will determine the suitability of the candidate and the courses to be studied at AWKUM.

- c. The scholar will have to complete the residency requirement of 3 to 5 years, including the period for which he is granted credit.

14. ATTENDANCE REQUIREMENTS

- 14.1 A student will be allowed to appear in examination only if he has attended 75% of lectures and practicals separately.
- 14.2 Calculation of attendance shall start from the date of commencement of classes.
- 14.3 A date-wise record of the attendance of students shall be maintained by the respective teacher for each course.
- 14.4 One week before the commencement of the final examination, the teacher of each course shall send to the Chairman of the Department a statement in duplicate showing the total number of lectures delivered and practicals conducted together with the total number of lectures and practicals attended by each student.
- 14.5 Student having class attendance less than 75% in a particular course shall not be allowed to set in the examination of that course and will be awarded 'F' grade in that course and he shall be required to repeat the same course, if it is a compulsory course or an equivalent course in lieu thereof, if it is an optional course.
- 14.6 Absence from class for two consecutive weeks shall entail cancellation of admission in the course by the class teacher which would only be restored on an appeal to the concerned teacher made within 05 days of the cancellation order with payment of Rs. 1000/-. The concern Teacher will inform the Chairman of the Department regarding cancellation and restoration of admission in that course.
- 14.7 Absence from a course for four consecutive weeks will debar the student from examination and the course will be considered failed. He will be required to repeat.
- 14.8 If a student fails to attend all classes for four consecutive weeks, his admission will be cancelled for that semester.

15. COMPREHENSIVE EXAMINATION

- 15.1 The comprehensive exam shall evaluate the knowledge obtained from the courses, seminars and independent studies to become a successful scholar in the chosen discipline.
- 15.2 A student admitted to the programme shall take a comprehensive examination, after successful completion of approved course work no later than 5th semester.
- 15.3 The comprehensive examination will cover both major and minor fields of study.
- 15.4 The comprehensive examination shall not be a mere re-examination of previous courses. The exam shall be designed to evaluate student on the basis of breath of knowledge, intellectual maturity, and ability to integrate etc.

- 15.5 The comprehensive examination will be held twice every year in April and in November as per notified Academic Calendar.
- 15.6 The comprehensive examination shall consist of three papers including two in major and one in minor subjects.
- 15.7 Papers shall be set by teachers who offered these courses.
- 15.8 All the concerned teacher shall be present on the day of their examination.
- 15.9 In case a paper is to set by more than two teachers, each teacher will set his part separately.
- 15.10 Students shall answer questions set by each member on a separate answer book.
- 15.11 Evaluation of each portion will done by the respective teachers.
- 15.12 Each examiner shall, sent the award list to CE within seven days.
- 15.13 To pass the comprehensive examination a student must secure atleast 75% (B+) marks in each paper.
- 15.14 If a student fails to qualify in the comprehensive examinations, he shall be eligible to re-appear only once in the next exam.
- 15.15 A student who qualifies the comprehensive examination shall be deemed to have become a candidate for admission to PhD degree.

16. RESEARCH REQUIREMENTS

- 16.1 Each scholar will submit a research proposal/synopsis to the supervisory committee.
- 16.2 The scholar will deliver a seminar on the proposal/synopsis.
- 16.3 Synopsis will be submitted to Board of Studies (BOS).
- 16.4 During the BOS' meeting the supervisor shall record suggestions, comments and modifications proposed for further improvements. The supervisory committee shall ensure through a certificate for its incorporation in the synopsis.
- 16.5 After approval of Synopsis the scholar will be allowed to conduct research work in laboratory / Institute / organization approved by the Advanced Studies and Research Board (ASRB) on the recommendations of the Supervisory Committee.
- 16.6 The progress report of the research work of all PhD students shall be reported to BOS on yearly basis.
- 16.7 Any major change in Synopsis shall required approval by BOS.

17. DISSERTATION AND EVALUTION PROCEDURE

- 17.1 Dissertation shall be prepared and presented on format approved by ASRB.
- 17.2 The supervisor shall conduct screening test against plagiarism before placing it to GSC for further consideration.
- 17.3 Dissertation shall be submitted to GSC along with proof of registration, screening against plagiarism and course completion certificate showing the required CGPA. The GSC shall hold its meeting maximum in 15 days.
- 17.4 A soft copy of the thesis shall be submitted to Director ASRB/Academics for evaluation duly certified by Supervisory Committee and Dean of the concerned faculty.
- 17.5 Three examiners (two foreign and one local Pakistani) for evaluation of dissertation shall be appointed by the Vice Chancellor from a panel of minimum of 10 experts in each from academically/technological advanced countries.
- 17.6 Each Examiner shall explicitly state in his confidential report to Director ASRB/Academics:
 - i. Whether or not the dissertation is of sufficient merit to justify the award of PhD Degree to the candidate
 - ii. Whether the candidate should be allowed to revise and re-submit his dissertation.
- 17.7 The comments of examiners must be sent in a sealed envelope to the Chairman Supervisory Committee.
- 17.8 If two of the examiners approved the dissertation, the candidate shall be considered for the award of the degree.
- 17.9 The Supervisory Committee shall examine the report of each examiner and shall direct the scholar to revise thesis as per observations / comments / suggestions of the examiners.
- 17.10 If two of the examiners do not approve the dissertation, the candidate shall be declared failed in dissertation.
- 17.11 The scholar shall also furnish a letter countersigned by his Supervisor along with the proof that at least two research papers out of his dissertation have been published/accepted in the HEC recognized journals.
- 17.12 The scholar shall defend his thesis in an open public and incamera defense and shall defend his dissertation. The following committee shall be present at the time of open defense.
 - i. Dean and Chairman concerned
 - ii. Member of Supervisory Committee
 - iii. Director ASRB/Academics
 - iv. One experts in the relevant field appointed by the Vice Chancellor

- 17.13 Final dissertation should be submitted to the Director ASRB/Academics duly signed by the Supervisory Committee, Chairman of the Department and Dean of the Faculty concerned, for onward submission to the CE.
- 17.14 If the dissertation, submitted by a scholar for final evaluation, is proved to be copied / plagiarized, it will be liable to be rejected. The CE will declare the scholar to have failed. The admission of such a candidate shall be cancelled and he shall not be readmitted to any post-graduate degree Program of the University under any circumstances.
- 17.15 If dissertation of a candidate is proved to be plagiarized even after its evaluation and declaration of result, the result of the scholar will be cancelled and he will be declared to have failed in thesis examination. Such a candidate shall not be readmitted to any post-graduate program of the university under any circumstances.
- 17.16 A scholar who fulfills all requirements with the prescribed CGPA shall be awarded the PhD degree with specialization indicated.
- 17.17 Minimum CGPA for PhD degree is 3.00.
- 17.18 In all case where these regulations are silent or where there is difference of opinion about their interpretation, the decision of the ASRB shall be final.