UNIVERSITY OF MANAGEMENT & TECHNOLOGY

PARTICIPANT'S HANDBOOK
FOR ADVANCED STUDIES (PART-I)

**ACADEMIC RULES FOR
(MS/M.PHIL/EQUIVALENT AND PhD DEGREE PROGRAMS)**

(SEPTEMBER 2016)

OFFICE OF GRADUATE STUDIES
&
OFFICE OF REGISTRAR

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Part II

1. Introduction:

Your decision to pursue post graduate education at UMT will allow you to spearhead the changes of the twenty first century. Educators, corporate executives and technologists are experiencing tremendous social change. Innovative technologies and globalization are reshaping the framework of our thoughts and actions. These changes are driven by knowledge based economy that heavily relies on quality research and knowledge-based leadership. The demand for researchers and practitioners who can address the impact of these changes on academia has never been greater. The need for faculty who can equip the next generation with the knowledge and skills to lead in a constantly changing environment can hardly be over emphasized.

Since its inception in 2004, the University of Management and Technology (UMT) has been preparing professionals to create environments in which lives can be transformed. Resource persons and scholars at UMT together are actively involved in solving the most critical and immediate challenges facing educators, management executives and technologists. We are eagerly breaking new scholarly ground by pursuing emerging issues of teaching-learning endeavors, innovative technologists, and the management practices by applying cutting edge research tools and methods. This pursuit to knowledge is a backbone of all breakthroughs that change the way we all think, act and live in our domains.

The graduate faculty at UMT comprises a group of internationally recognized and highly dedicated professionals who are engaged in life long quest for knowledge. UMT offers PhD in Education, Applied Linguistics (English), Social Sciences, Engineering Sciences, Management and Statistics where you will be prepared for conducting scholarly research to transform you into a dynamic and vibrant leader in the field of education and management. A collegial environment, professional support and a sustained emphasis on scholar's professional development for the world of academia, and business makes the doctoral studies at UMT a rewarding and enjoyable experience.

2. Abbreviations used in Handbook

1. **Chairperson:** Chairperson of the concerned Academic Department
2. **COD:** Chairperson of the Department
3. **Cr. Hr.:** Credit Hour
4. **DAI:** Degree Awarding Institution
5. **Dean**: Dean of the concerned Faculty/School
6. **FT:** Final Transcript
7. **HEC**: Higher Education Commission of Pakistan
8. **HOD**: Head of Academic Support Department
9. **ID:** UMT Identification of Participant
10. **IPC:** Information Processing Center
11. **OCE:** Office of Controller Examination
12. **ORG:** Office of the Registrar
13. **OTS:** Office of Technology Support
14. **Participant:** Student
15. **Resource Person:** Teacher/Faculty Member
16. **SGPA**: Semester Grade Point Average
17. **University**: University of Management and Technology
18. **Website:** UMT website www.umt.edu.pk

3.0. **SEMESTER REGULATIONS AND POLICIES FOR MS/M.PHIL AND EQUIVALENT PROGRAMS**

3.1 **Academic Calendar**

a. UMT publishes complete schedule of the academic year (Fall and Spring semester and the Summer session) in advance for the convenience of participants and faculty members with the following details:

   i. Semester starting date
   ii. Dues payment dates
   iii. Semester end date
   iv. Final exam week
   v. Grade notification date
   vi. Holidays during the semester

b. Participants are responsible for meeting the requirements and deadlines published for each semester in the academic calendar of the University. Participants are expected to know and adhere to the rules, regulations, course loads, pre-requisites and policies of the University, as well as those of the departments/institutes and programs in which they are enrolled.

3.2 **Schedule of Semesters**

   A. There are two regular semesters (Fall/Spring) in an academic year. Each semester will usually consist of a total of 17 working weeks, 15 weeks for teaching and two weeks for examinations. There shall be one to two weeks' semester break at the end of each semester.

   B. A participant who has either failed or has been stopped to take the examination/assessment due to shortage of attendance or wishes to improve his/her grade is allowed to register for the summer session.

   C. The University **MAY** offer Summer Session of approximately eight weeks between Spring and Fall Semesters. **Whether to offer the Summer Session will be at the discretion of the Dean; and it may decide to NOT offer the session.** A participant will only be allowed to register in 1-2 courses of 3-6 credit hours. The contact hours will be doubled during the Summer Session as compared to a regular semester to ensure that the course is taught completely in a semester with half the duration compared with a regular (Fall/Spring) semester.

   D. The working week runs from Monday to Friday. Classes will run throughout the week, including on weekends.

3.3 Credit Hour

A "CREDIT HOUR" is the unit of measuring educational CREDIT, usually based on the number of classroom hours per week throughout a term. For example a theory course of 03 Credit hours will have 3 hours of class contact per week.

3.4 Supervisory Services:

All graduate participants are entitled to supervisory services from respective Schools/Institutions:

1. An MS/M.Phil participant will be entitled to a supervisor for a period of one year after the approval of the research proposal. If the participant requires supervisor after the end of this time period, she/he will be required to pay for the supervisory services.

2. A PHD participant will be entitled to a supervisor for a period of three years after the approval of the research proposal. If the participant requires supervisor after the end of this time period, she/he will be required to pay for the supervisory services.

3.5 Course Categories

a. Courses have been divided into the following categories:
   i. Compulsory
   ii. Elective

3.6 Course Codes:

All courses offered in MS/M.Phil or Equivalent will be designated course codes of 500-600 level.

3.7. Course load:

a. A regular participant will normally be required to take a minimum workload of nine credit hours but not exceeding twelve credit hours in each semester unless approval by the Dean. All participants will normally be required to take a workload of MS/M.Phil or equivalent according to the CGPA. The details are mentioned below:

SGPA/CGPA	Course Load Allowed (Cr. Hrs.)
2.50 and above	12 (Full Course Load)
2.25 to 2.49	Up to 9 (Course Repeat + Regular Course)
Below 2.25	Up to 6 (Only Course Repeat) Expulsion from University in case CGPA is below 2.25 in 2 consecutive semesters

b. A participant must take at least 9 credit hours in a regular semester to be classified as Full-Time Student.

3.8   Probation/Good Standing:

a.   Whenever a MS scholar's CGPA falls below from 2.25/4.00, he/she will be put on "probation" for the next semester. If the scholar fails to attain a CGPA of at least 2.25/4.00 in next semester he/she shall be put on "last probation". If the scholar fails to attain a CGPA of at least 2.25/4.00 in the next semester he/she shall be dropped from the University. Note: the qualifying CGPA for award of MS/M.Phil degree is 2.5. It is the responsibility of the participant to make sure he attains the minimum CGPA of 2.5 to attain MS/M.Phil degree.

b.   Participant would be dropped from the UMT/Degree program in case of two 'F' grades in the MS/MPhil degree programs.

c.   '**F**' grade will also be awarded on account of more than 20% absences in a course

d.   The faculty member shall send a course report of taught course(s) on the prescribed form to the Chairman/Dean at the end of each semester.

3.9   Registration, Add/Drop and Withdrawal:

All participants need to register for every semester they want to study. Course registration of continuing participants for the upcoming semester is done in advance, i.e., in the 13th week of the current semester (fresh participants can enroll on the day of orientation). Participants will register online. They can check status of their registration along with information such as roll numbers, semester, and courses taken in that particular semester, and sections along with timetable details through participant helpdesk and online through LMS. The registration in a particular section of the course will be closed automatically, once it reaches the defined cap. Participants can check their registration slips through the online system to ensure their course registrations and sections. Participants are requested to contact IPC lab for their login and password.

a.   Late Registration

Once the deadline for registration of courses is passed registrations will only be allowed till the last working day of the first week of the new semester, and will be subject to a fine of Rs 500/- per day for late registrations. After the first week of classes, no registration shall be allowed for courses in that semester. However, fresh participants can enroll in the first week of their classes without late registration fine.

b.   Add/Drop Course(s)

i.   Since the participants register for courses before the end term exams, they are allowed to add/drop a course after declaration of results. A Participant cannot drop or change a course without approval from the participant's advisor. The time period for changing (add or drop) a course is one week; beginning from the commencement of the semester. For this purpose, a

participant must meet his/her advisor and submit add/drop request online. The advisor will approve/disapprove the request. The Participant can drop a course with the approval of the concerned COD However; such participant(s) will have to complete his/her degree program in the maximum time allowed.

ii.   After the declaration of the results, if a participant adds repeat course(s), he/she shall have to pay the dues for that course(s) without fine with the very next fee installment.

e.   <u>**Withdrawal of Course(s)**</u>

A participant, with the consent of the concerned faculty member, may be allowed to *"Withdraw"* a course(s) by the end of 12th week of classes. He/she shall be awarded *'W'* in that particular course(s) in the transcript. However, the GPA/CGPA shall not be affected. Participant has to pay the repeat fee when he/she will repeat the course. A participant withdrawing after 12th week shall be awarded F.

3.10. <u>Cross Campus Registration</u>

Participant(s)are allowed to register subject(s) across the campuses, viz Lahore campus to Sialkot Campus and vice versa, subject to the availability of seat and class size. Policy for cross campus registration/movement is as under:

a.   Student will submit request for registration of course(s) across the campus through the parent campus (where participant is originally enrolled) on a specific form.

b.   The Course Instructor will forward grades to parent campus. The participant record will be held and managed by parent campus.

3.11 <u>Repeating a Course(s)</u>

a.   The course(s) with "F", "W" and C grade(s) to improve the CGPA may be repeated in regular semester(s) as well as in Summer session if offered, subject to registration by the participant concerned within due dates. Participants are required to complete the normal semester activities such as mid-term and final examinations.

b.   Maximum of one 'F' Grade is allowed in the whole MS/M.Phil and equivalent program which are required to be cleared. Participant would be dropped from the UMT in case of more than two "F" grades in the whole MS/M.Phil and equivalent program.

c.   In case of repeating the course(s), participant has to pay full dues without any financial benefits with the next installment. Maximum 6 credit hours (2 courses) can be repeated in whole MS/M.Phil and equivalent program.

d.   In such a case, both the course and the grade obtained will be recorded on the transcript, however, only the better grade will be calculated in the CGPA.

3.12 Credit Transfer Policy for MS/M.Phil and equivalent program

a. On the recommendations of the concerned Dean, the Rector may allow to transfer maximum of three (3) courses of MS/M.Phil or equivalent to complete that program at UMT. The Academic Council is authorized to transfer more than the aforesaid limit on exceptional grounds/cases examining the merit and genuineness of the case on the recommendations of the concerned Dean.

b. On the recommendations of concerned Dean/BASAR, the Academic Council may allow any participant, who has completed course work of MS/M.Phil or equivalent in any other HEC approved university, for transfer of credit hours. Such candidates should at least have CGPA of 3.3 and must have taken almost same courses or courses which can be substituted provided that such credit hours are not less than the B grade, in each course under consideration for transfer.

3.13 Cross Campus Credit transfer Policy

A participant may transfer his/her credits earned at UMT in either campus by submitting the following requirement two weeks before the start of upcoming semester.

a. Credit transfer form with approval of the concerned Dean of destination School and parent department.

b. Clearance from Lab, Library and accounts of parent campus

c. Progress report signed by the examination office of parent campus

3.14 Class Attendance

a. The participants are expected to attend all classes, laboratories, tutorials, or other class meetings officially designated for a particular course. They are also expected to complete all assignments/assessments. Each three credit hour course usually will have 45 contact hours (3 hours/week *15 teaching weeks which equals 45 hours) in a semester. Attendance sheets are computer generated. No one is allowed to attend a class without his/her name in the attendance sheet. No one is authorized to add or remove his/her name from that list manually. Queries for that purpose must be routed to ORG.

b. A minimum of 80% attendance is required for a participant to be eligible to sit in the final examination/assessment.

c. Participants with less than 80% of attendance in a course will be given grade 'F' (Fail) and will not be allowed to take end term exams or assessments. They will have to repeat the course to get the required attendance to be eligible to sit in the exam when the course is offered next time, after paying the full course fee.

d. Participants may check their attendance status from their respective faculty members.

3.15 Semester Freeze/Leave

a. A participant may freeze/leave his/her semester due to any plausible reason for a maximum period of one year (two times in a four/five year degree program and once in a two year degree program). However, freezing in first semester is not allowed.

b. In order to freeze a semester, the participants will apply before the beginning of that particular semester. He/she will have to complete the clearance form and get clearance from library, IPC and Accounts Office, and submit the form to ORG for approval and updating of database and personal file.

c. He/she will have to render his/her University *of* Management *and* Technology participant ID Card to ORG. During the "freeze period" the applicant will lose his/her participant status at UMT and will not be entitled to avail University facilities like hostel, medical, transport, library and computer labs.

d. A participant shall rejoin in the next semester after paying semester fee. The right to use all university facilities will be resumed upon rejoining and UMT ID card would be available from ORG.

e. Freezing the semester(s) is a matter of choice and such participants will not qualify for any relaxation in semester maximum credit limit or towards maximum time specified for completion of the degree.

f. In case a Participant needs to freeze his/her semester, application will only be accepted for medical emergencies or for an emergency of personal nature deemed critical enough by the Registrar to justify mid-semester freeze. All such applications will be submitted to the Registrar with supporting documents detailing and proving the emergency. Such a Participant will be charged a processing fee of Rs 5000. The Registrar's decision will be final in these cases.

g. For a prolonged/extraordinary leave of more than one semester, participant must apply for leave with a valid reason, which will be judged on case by case basis by the Registrar. Clearance process for semester freeze will be followed for this kind of semester freeze as well. Leave application will be submitted before a semester starts. A participant will not have to pay any charges during semester freeze. Leave is valid for two semesters maximum. After two semesters, participant will rejoin, register for courses and continue studies, failing which his/her admission shall be cancelled automatically, without any prior information/intimation.

h. Leave from semester shall be counted towards the maximum permissible semesters for the completion of the degree.

Note
Participants CAN NOT leave their studies WITHOUT prior confirmation and approval on a written application. For a registered course, leave without approval shall result

in a grade based on the assessments/examinations submitted and not submitted as judged by the concerned faculty members. Such a grade will be final and will not be changed under any circumstances. For example, registering for a semester and leaving without approval or leaving the end term exams/assessment without approval, will result in the award of an 'F' grade.

3.16 Inter-Schools/Institute Program Change

a. Participants can change their program of study on the acceptance of the Dean/Director of the School/Institute to which a participant wishes to transfer, by submitting program change form and clearance form. Program change will only be allowed for participants who meet admission criteria of the program to which they want to change to.

b. The Dean/Director of the School/Institute accepting the transfer of the program will determine the road map to be completed. The previous course grades and credits applicable to the new program will be counted towards calculating CGPA of the new program. After approval, form will be submitted to Office of the Registrar; which will issue new ID after checking all documents and will also block previous ID.

c. Admission fee paid by the participant for the previous program will be fully adjusted in the admission fee of the new program, However, Rs 15000/- shall be charged as program change fee irrespective of the semester of admission. All new policies and fee structure will be applicable as per new program and schedule and any previous paid fee will adjust in the fee of the new program.

Program change request can be entertained only once. However, the participant request for the second time change of program can be processed on the approval of the competent authority followed by the CGPA of the participant which should be 3.00 or above.

Rs.25000/= will be charged on program change for the second time.

3.17 Dismissal on Academic Grounds

a.   The participant of MS/M.Phil and equivalent program shall be dismissed from the University and his/her admissions will be cancelled on academic grounds if he/she has:

   i.   GPA/CGPA less than 2.25 in two consecutive semesters of MS/MPhil and equivalent program and failure to attain a CGPA of 2.25 in the third semester.

   ii. Completed maximum duration of program at the University after his/her first registration without being able to fulfill the requirements for the award of MS/M.Phil and equivalent program.

   iii. Defaulted on the Fee for two consecutive semesters;

   iv. Has failed to pass a course within two attempts. If a participant fails to pass a course after one attempt he should approach his advisor to discuss his future strategy and discuss whether he should attempt another course;

v.   Has not met the admission criteria, in case of provisional admission.

c.   Participants dismissed on academic grounds will, however, be provided with an official transcript indicating the courses completed along with grades earned in registered courses.

3.18 Re-Admission(Separation from Program (Academic Grounds)

a. Re-admission, without going through the entire admission process, is granted to only those participants who have been dismissed on academic grounds. Dismissal based on expiration of maximum degree duration from the date of first registration shall render such participants inadmissible for re-admission.

b. The admissions committee may or may not transfer a course taken by the re-admitted participant prior to re-admission, depending on the approved criteria being followed at the time of re-admission. The new transcript will only show those courses that have been transferred towards the continuation of the degree by the participant. The participant will have to pay the readmission fee of Rs 20000/- and will pay fee under the new fee package.

c. Registrar's decision regarding re-admission will be considered final.

3.19 Independent study

Independent study courses at graduate level are not allowed whether group independent study or otherwise.

3.20. a) MS/M.Phil and equivalent program thesis work:

i. MS/M.Phil are research based degree programs. Student enrolled in these programs will work on their approved research proposals to submit a complete thesis after successful completion of coursework. Controller of Examination will issue official letters to the participants, who have successfully completed their coursework as well as registered for thesis, detailing the stipulated time duration (i.e. 2 years) for completion of MS/M.Phil and equivalent program including the thesis.

b) Policy on IP (In process) Grade

ii. MS/M.Phil and equivalent program participants, who fail to submit their thesis within specified minimum time duration, i.e. 2 years, may apply to respective Dean/Director for extension through their supervisor. The School Graduate Committee, on the recommendation of Department Graduate Committee, may initially give an extension for six months, which may be further extended for a maximum of two years. In case of extensions the maximum duration of MS/M.Phil/MBA programs shall not be violated (i.e. 4 years). The participants working on the thesis are required to register their thesis as IP, through supervisor, in all semesters until completion of their thesis. Participants will pay thesis credit hours fee for use of university facilities during the extension period.

3.21. Allocation of Supervisor to MS/M.Phil and equivalent program Students

a. Department Graduate Committee (DGC) is entrusted to approve supervisor to MS/M.Phil and equivalent program participants after the preliminary selection by student. The conditions for allocation are as follows:

    i. The participant will work on approved research proposal after successful completion of the course work.

    ii. MS/M.Phil and equivalent program Research Proposal will be initially presented in the DGC. The recommendations of DGC will be placed in the meeting of BASAR for information through the concerned Dean office.

    iii. The Supervisor should hold Ph.D degree in the relevant field or an MS/M.Phil with 5 years experience. Participant load of the supervisor should not exceed the maximum limit as defined by UMT/HEC, i.e., Preferably 10 participant MS/M.Phil thesis at a given time.

b. **Department Graduate Committee**

i.	Chairperson of the Department	Convener
ii.	Professors and Associate Professors of concerned Department	Member
iii.	All Ph.D faculty of the respective department	Member
iv.	Concerned Supervisor(s)	Member

The quorum for a meeting shall be one half of the total members.

Function of DGC

    i. To approve research proposal to MS/M.Phil and equivalent program participants

    ii. To approve supervisor to MS/M.Phil and equivalent program participants

    iii. To consider research proposal(s) for project finding

    iv. To propose list of external examiners, if required

Research Proposal Supervisor/Supervisory Agreement will be signed by the scholar and the proposed supervisor (Appendix A)

3.22. MS/M.Phil and equivalent program's Evaluation:

a. Evaluation of thesis will be carried out by External Examiner. DGC will recommend the names of panel of experts to the concern School Dean which will then approve

the panel, or disapprove only certain names from the panel. From the approved panel the DGC will appoint the External Examiner.

b.   The Plagiarism Test must be conducted on the thesis before its submission to the external examiners. Plagiarism Policy is available at serial 5 of this document.

c.   The Board of Examiners shall comprise of:
   i.   Chairperson/DGC (moderator)/Convener
   ii.   Dean of the Concern School (His/her nominee)
   iii.   External Examiner and
   iv.   Research Supervisor(s)

d.   The candidate will appear before the Board of Examiners for the assessment of his/her thesis. The Board of Examiners shall approve the thesis or defer approval pending re-submission of thesis with minor or major changes.

e.   Minimum criteria of HEC, if any regarding the particular thesis, shall have to fulfilled;

f.   Approval of the thesis by the Board of Examiners shall be mandatory for the award of the degree.

4.0 SEMESTER REGULATIONS AND POLICIES FOR Ph.D. PROGRAMS

4.1.   Academic program:

a.   PhD scholar shall take prescribed courses, in lieu of coursework, as defined by the school/department but not less than 18 credit hours, for successful completion of coursework.

b.   PhD scholar shall be required to pass a comprehensive examination as per prescribed process after completing the course work.

c.   PhD scholar shall first present research proposal to the School Graduate Committee; thereafter it shall be put up to BASAR for approval.

d.   PhD scholar shall give a seminar once in a semester relevant to his/her field of research at his/her convenience within a year after the approval of proposal from BASAR.

e.   PhD supervisor/s is required to submit detailed biannual progress report on or before 30th June and 31st December of each year to the SGC.

f.   PhD program requires full time engagement in the coursework/research.

4.2.   PhD Time duration

The time period to complete a PhD program is usually 3 years after passing comprehensive examination; however, total time should not exceed 8years from the date of admission in PhD program.

4.3.   Course Codes:

All courses offered in PhD program will be designated course codes of 700 and 800 levels.

4.4.   The Course load:

a.   PhD scholar has to complete at least 18 credit hours of course work at PhD level.

b.   A full time scholar will normally be required to take course load of 6 credit hours and maximum 9 credit hours in each semester.

c.   Whenever a PhD scholar's SGPA falls below from 3.00/4.00, he/she shall be on *"probation"* for the next semester. If the scholar fails to attain a CGPA of at least 3.00/4.00 in next semester he/she shall be dropped from the University.

d.   Scholar who has earned an 'F' grade in a course in any semester will be dropped from the program.

e.   The teacher shall send a copy of the course report of the taught course(s) on prescribed form to the Dean at the end of each semester.

f.   4.5. **Registration, Add/Drop, and Withdrawal**

Following prescribed process for Registration, Add/Drop and Withdrawal shall be followed:

a.   Course Registration (Enrollment for a Semester)
All participants need to register for every semester they want to study. Course registration of continuing participants for the upcoming semester is done in advance, i.e., in the 13th week of the current semester (fresh participants can enroll on the day of orientation). Participants will register online. They can check status of their registration along with information such as roll numbers, semester, and all courses taken in that particular semester, and sections along with timetable details through participant helpdesk and online through LMS. Participants are advised to contact IPC lab for login and password.

b.   Late Registration
Once the deadline for registration of courses is passed registrations will only be allowed till the last working day of the first week of the new semester, and will be subject to a fine of Rs 500/- per day for late registrations. After the first week of classes, no registration shall be allowed for courses in that semester. However, fresh participants can enroll in the first week of their classes without late registration fine.

c.   Add/Drop Course(s)
Since the participants register for courses before the end term exams, they are allowed to add/drop a course after declaration of results. A Participant cannot drop or change a course without approval from his/her Advisor.
The time period for changing (add or drop) a course is one week; beginning from the commencement of the semester. For this purpose, a participant must meet his/her Advisor and submit the Add/Drop request. The Advisor will approve/disapprove the request. The Participant can drop a course with the approval of the concerned COD. However, such participants will have to complete his/her degree program in the maximum time allowed.

After the declaration of the results, if a participant adds repeat course/courses, he/she shall have to pay the dues repeat fee without fine with the very next installment.

e.   Withdrawal of Course(s)
A participant, with the consent of the concerned faculty member, may be allowed to "Withdraw" a course(s) by the end of 12th week of classes. He/she shall be awarded 'W' in that particular course(s) in the transcript. However, the GPA/CGPA shall not be affected. Participant has to pay the repeat fee when he/she will repeat the course. A participant withdrawing after 12th week shall be awarded grade 'F'.

4.6. Credit Transfer Policy for PhD

a. On the recommendations of the concerned Dean, the Rector may allow to transfer maximum of two courses of PhD to complete that program at UMT. The Academic Council is authorized to transfer more than the aforesaid limit on exceptional grounds/cases examining the merit and genuineness of the case on the recommendations of the concerned Dean.

b. On the recommendations of concerned Dean/BASAR, the Academic Council may allow any participant, who has completed course work of PhD in any other HEC approved university, for transfer of credit hours. Such candidates should at least have CGPA of 3.3 and must have taken almost same courses or courses which can be substituted provided that such credit hours are not less than the B grade, in each course under consideration for transfer.

c. The Scholar will be charged with half of the total fee of course work in addition to prescribed dissertation/thesis fee.

d. The Scholar has to fulfill residency requirement of one year after the transfer of credit hours at UMT, even if the research work is at its final stage. Otherwise, normal duration of the program will have to follow for completion of degree.

4.7. Independent study

Independent study courses at graduate level are not allowed whether group independent study or otherwise. There will be a doctoral seminar having a three hour class every week by schools and institutes where all those participants who are left out due to class size requirements. Doctoral Seminar I and Doctoral Seminar II can replace two courses. A senior faculty will be given the charge and participants can go through the readings and presentations.

4.8. PhD Research Work:

a. Controller of Exam will issue letter to PhD scholars, who have successfully completed their coursework, comprehensive exam and are working on their approved research proposals, mentioning the time duration i.e. 3 years, for completing the thesis and allocation of grades. Reminder will be issued to PhD scholars one semester before elapse of time duration for PhD degree.

b. PhD scholars, who fail to submit their thesis within specified time duration i.e. 3 years, may apply to respective Dean/Director for extension through supervisor. The SGC may recommend extension for consideration/approval by BASAR. The BASAR may extend time duration up to 8 years. Afterwards case will be time barred and admission would be cancelled.

4.9. Policy on IP (In process) Grade

PhD scholars working on their theses are required to register their theses (as IP) through Supervisor, in all semesters after comprehensive exam until completion of the thesis. The participant will not be charged additional fee for registration of IP. In case, a scholar could not register himself in two consecutive semesters, his/her admission may be suspended.

4.10. **Allocation of Supervisor**

a.   Department Graduate Committee (DGC) or School Graduate Committee (SGC) are entrusted to approve supervisor to PhD participants after the preliminary selection of supervisor by the PhD participant. The conditions for approval are as follows:

i.   The participant will work on approved research problem after successful completion of course work and comprehensive exam of Ph.D.

ii.   Ph.D. Research Proposal will be initially presented in the DGC and subsequently in SGC. The recommendations will be placed in the meeting of BASAR for approval.

iii. Respective School will try to appoint supervisor at the start of the degree program, however, where this is not possible a supervisor will definitely be appointed once the Research Proposal has been successfully presented in the SGC.

iv.   The Supervisors should hold Ph.D. degree in the relevant field. Supervisor should not exceed the maximum limits as defined by HEC and UMT, i.e., 5 participant PhD theses at a given time however in special circumstances, it may increase to 8 theses.

b.   **Department Graduate Committee**

i. Chairperson of the Department		Convener
ii. Professors and Associate Professors of concerned Department		Member
iii. All Ph.D. faculty of the respective department		Member
iv. Concerned Supervisor(s)		Member

The quorum for a meeting shall be one half of the total members.

Function of DGC
i.   To approve research topic of Ph.D participants

ii.   To approve supervisor for Ph.D participants

iii.   To review research proposal(s)

iv.   To propose list of external examiners

Research Proposal Supervisor/Supervisory Agreement will be signed by the scholar and the proposed supervisor (Appendix A).

c.   **School Graduate Committee (SGC)**

The composition of SGC is as under:

i.   Dean/Director of respective school/institute (or his/her nominee)

ii.   Chairpersons of teaching departments of respective school/institute

iii.   Professors and Associate Professors of respective school/institute

iv.   Supervisor(s) concerned

v.   Two external subject experts for each discipline with regard to Ph.D. Research Proposal

The quorum for a meeting shall be one half of the total members. Presence of Subject Expert shall be essential to convene the meeting. Provided that minimum one subject expert of respective discipline has attended the meeting of SGC.

Functions of SGC:

i.   To assess the presentation of Ph.D. research proposal(s) along with recommendations of Department Graduate committee.

ii.   To approve recommendation regarding list of external examiners

iii.   To approve recommendation of DGC for final allocation of Supervisor

iv.   To revise/approve the research proposals at the school level. Ph.D. research proposals recommended only by SGC shall be considered in BASAR.

v.   To incorporate/comply with observation/suggestions of BASAR regarding Ph.D. research proposals

4.11. Change of Supervisor/Topic

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

b.   The candidate may request for change in PhD supervisor or a supervisor may opt to withdraw from supervision of a candidate. The candidate or the supervisor shall submit their request to the concerned chairperson. Recommendation for change of supervisor will be made by SGC/DGC for approval by BASAR. No relaxation in maximum time for completion of PhD degree would be granted to the candidate on the basis that his supervisor has changed.

4.12. Cancellation of PhD program registration:

a.   PhD registration shall be cancelled by the Registrar on the recommendations of the DGC and SGC, if the scholar;

i.   Does not complete the degree requirement within the prescribed time frame;

ii.   Does not qualify the Comprehensive Examination in two attempts;

iii.   Earns two consecutive adverse progress reports from his supervisor(s);(Appendix B)

iv.   Is found guilty of Academic misconduct such as plagiarism and cheating or found guilty by participant disciplinary committee.

4.13. Dismissal on Academic Grounds

A **PhD Scholar** shall be dismissed from the program on academic grounds if he/she has:

i.   earned a CGPA of less than 3.00 out of 4.00 in two consecutive semesters;

ii.   Remain unsuccessful twice in the qualifying comprehensive examination;

iii. Completed 8 years at the University after their first registration without being able to fulfill the requirements for the award of PhD degree.

iv.   Fee defaulter of two consecutive quarters;

v.   Fail in any course;

vi.   Not meeting the admission criteria, in case of provisional admission.

c.   The aggrieved scholar may file an appeal against cancellation of PhD admission to the PhD Committee within a period of 30 days of the cancellation of admission. The PhD Committee will give him/her an opportunity to be heard in person, and its decision shall be final.

4.14. Residency requirement:

The minimum residency requirement is two calendar years at UMT. The main purpose of the residency requirement is to ensure that the doctoral scholar has ample opportunity to benefit from the physical and academic environment of the university. The scholar can benefit from laboratories, library and other facilities at the campus. Moreover, he/she can participate in seminars, lectures and other academic and social events at the campus. Another purpose is that the faculty can properly monitor his/her professional and academic development and can regularly assess his/her competence in the area of research. It also provides the scholar the opportunity to improve his/her research capabilities by discussing the problems with his/her fellow scholars and the faculty. All of this promotes a collaborative research culture.

4.15. Comprehensive Examination:

4.15.1   Introduction

The objective of comprehensive examination is to assess participant's knowledge and scholarly qualifications for the Ph.D. degree. It consists of written and oral parts. The comprehensive examination committee for the doctoral participant consists of:
- ∑ Department Chairperson or Director/Advisor PhD program
- ∑ Other members of committee and any other selected by the head of the Department. (minimum of 4 members with the constitution of the committee)
- ∑ Other members of the Ph.D. committee may be invited as observers.

4.15.2.   Comprehensive Examination:

Before admission to candidacy for the doctoral degree, the participant must pass a written and an oral doctoral comprehensive examination. This examination is intended to test the participant's comprehensive knowledge of the subject of study, both in breadth across the general field of study and in depth within the area of specialization. The comprehensive examination is considered a single examination, although it consists of written and oral parts. While the Ph.D. committee sets general policies and guidelines for exams, it is expected that each program will have different ways of assessing a participant's knowledge of the field and their preparation to begin the dissertation. A participant will pass the written portion before sitting for the oral exam. Programs will have written policies regarding Comprehensive examination scheduling format and administration of written test part, etc. The time between the written and the oral portion is determined by individual programs. But the oral portion should come early enough to allow the participant to advance to candidacy in a timely fashion. The exact time and place of this examination must be scheduled by the department.

Upon successful completion of the written examinations, the oral comprehensive examination is conducted before the department faculty. This is the occasion when faculty members have both the opportunity and obligation to require the participant to display a broad knowledge of the chosen field of study and sufficient depth of understanding in areas of specialization. The examining committee must attest that the participant has demonstrated the professional level of knowledge expected of a junior academic colleague. The quality of the comprehensive examination is the responsibility of the examining committee. Following will be pattern of comprehensive examination:

 i.   There would be two papers of four hours each in the comprehensive exam followed by viva-voce.

ii.   The papers should be closed book and are required to be solved in specified time and place.

Note: Comprehensive examination will test the candidate's analytical and critical reasoning skills and therefore no plea of the exam being out of course will be entertained. There will be no rescheduling or retakes of comprehensive examination.

4.15.3.   Guidelines for Setting up Comprehensive Examination

1. A list of readings for the examination will be issued to all candidates at the time of admission into doctoral programs. All of these books will be made available at Library in text book section. All articles will be provided through digital resources.

2. The date of the Comprehensive Exam will be announced at least one month in advance. It will be held only twice a year with at least six months in between.

3. A three member team of the faculty will be responsible to finalize the question paper.

4. Comprehensive Exam will consist of two papers, each having four questions, and one hour per question will be provided. There will be a break of two hours between the two sessions. It will be a closed book environment.

5. Comprehensive Exam will be conducted by Controller under the supervision of the Committee.

6. The passing marks will be 70%. There will be no choice.

7. All papers will be graded blindly by two faculty members and average of the two will provide the final marks.

8. The questions would be framed as per the following guidelines which can be shared with participants:
   a. One question on classic theories.
   b. One question on advanced theoretical issues.
   c. One question on emerging/futuristic areas of interest.
   d. One question on methodological issues.
   e. One question on applied areas.
   f. One question on developmental/Pakistani/Islamic context.
   g. One question on critical evaluation/model building.
   h. One open ended essay on one of the choice of four topics.

9. The candidates will be advised to structure their response in the following manner for each of the above question. This can be shared with participants:
   a. Outline of the response in bullet form in section highlighting major themes to be discussed.
   b. Body of the response as per the outline given above.
   c. Key Conclusions
   d. References to the extent recalled.

10. Students will be given photocopy of their responses immediately after the exam for their record.

11. The responses will be marked as per the following criteria. This should be shared with the participants in advance.
   a. Grammar and Composition
   b. Relevance, depth, and breadth of the response
   c. Evidence of objectivity and rationality in argumentative analysis
   d. Creative and Critical inputs
   e. Power of Conclusions
   f. References

12. External examiners will be consulted in the framing of questions and for grading, depending upon their availability.

4.15.4.   Comprehensive Examination Committee:

The examining committee must consist of a minimum of four members. The members must be pre-approved by the Chairman and Dean.

4.15.5.   Successful Completion

For the comprehensive examination to be successfully completed, the doctoral program committee must vote to pass the participant on the entire examination, both written and oral sections, with no more than one dissenting or abstaining vote.

A report of this decision carrying the signatures of all members of the committee must be sent to the Chairman of the Committee, Controller of Examination, Registrar and to all those who maintain participant's file. Comprehensive Examination Result form is annexed herewith as Appendix-C.

4.15.6.   Failure:

A failure of either the written or oral section of the exam constitutes failure of the comprehensive exam. If a failure is reported, the committee must include an outline of the general weaknesses or deficiencies of the participant's work in the result report. The participant and the committee members are encouraged to work together to identify steps the participant might take to become fully prepared for the next examination.

4.15.7.   Request for Clarification:

If at any time the participant believes that the advice given by the Comprehensive Examination Committee is inadequate, the participant may send a written request for clarification to the committee. A copy of this request should be sent to the committee members as well. The committee must respond to this request in writing within two weeks and a copy must be filled with the relevant Dean/Chairperson.

4.15.8.   Retaking the Examination:

The participant who fails may not take a second comprehensive examination for at least 12 weeks. Failure to pass Comprehensive Examination in two attempts shall lead to admission cancellation from the Ph.D. program.

4.16. Research proposal:

After, successfully completing the comprehensive examination, the scholar shall prepare a research proposal for Ph.D. research in the prescribed format within 6 months. IF DGC and SGC find the research proposal suitable, SGC shall recommend research proposal to BASAR through Ph.D. Committee for approval within three months from the date of submission by the scholar.

4.16.1.   Guidelines for preparing Summary of Research Proposal

All the candidates, who are going to present their research proposal in the BASAR, must follow the following rules.

Candidate should circulate eight page summaries to the members which should include:

1) Summary of latest research (please mention up to five research articles and five books) on the topic, recent dissertations undertaken on the subject.

2) Research Questions.

3) Research Methodology.

4) Time Frame of Dissertation.

5) Proposed Topics of Articles and targeted Journals for Publication.

6) Statement of Expected New Knowledge and Theoretical Contribution.

7) Benefit and application of new Knowledge in Practice.

8) Funding/Sponsoring/Collaborative Opportunities.

9) References from last five years directly relevant to research questions.

4.17. **Progress Reports**

Progress Reports are submitted on the PhD Progress Report Form (Appendix B) on or before 30th June and 31st December of each year to the Department Graduate Committee to:

    a. report on achievements over past six months

    b. facilitate planning of upcoming milestones and aims

    c. identify any issues for discussion (with supervisors; Chairpersons DGC & SGC / Associate Dean Research, Dean / Director)

Its effectiveness depends on:

    a. Taking seriously the process of reflection and planning

    b. Candid responses from all

    c. A willingness to discuss and address any issues that arise through the process of reflection and planning

4.18. **Ph.D Student Commitments**

1. After approval of Research Proposal every PHD candidate will be required to attend departmental and school seminars, and present their research proposals, working papers and thesis drafts at the said seminars. They would also be required to provide their progress at the said seminars since their participation at the last seminar.

2. Candidates will also be required to meet their supervisors at least once a month after approval for their research proposals and discuss their progress.

4.19. PhD thesis timeline

PhD participants, who fail to submit their thesis within specified time duration i.e. five years, may apply on the prescribed application form (Appendix F) to respective Dean/Director for extension through supervisor. The School Graduate Committee, on the recommendation of Department Graduate Committee, may recommend extension for consideration and approval by BASAR.

4.20. PhD dissertation requirements:

The PhD dissertation submitted by the candidate for Ph.D. degree must comply with the following conditions (Appendix D):

a. It must form a distinct contribution to the body of knowledge and afford evidence of originality, shown either by the discovery of new facts or by the exercise of independent critical judgment;

b. PhD scholar should publish at least one research paper, out of his/her research work during the doctoral studies, in a HEC recognized Journal as a dissertation requirement. CLO will verify the publication and ensure its affiliation with UMT.

c. Degree will only be issued after fulfillment of dissertation requirement. The Controller of Examination will ensure that scholar has published the research paper in accordance with dissertation requirement condition.

d. Any part of the dissertation that has been published before submission of the dissertation must be appended at the end of the dissertation.

e. The candidate shall submit through his supervisor four copies (five copies in case of co-supervisor) of his dissertation typed or printed, along with 4/5 copies of a short abstract and a CD of the dissertation after qualifying for the Ph.D.

4.21 Appointment of Examiners:

a. The DGC and SGC will recommend to the BASAR to approve a panel of external examiners (foreign examiners from technologically advanced countries- for dissertation evaluation and local – for defense) for evaluation of dissertation before submission.

b. BASAR shall approve a consolidated list of external examiners.

c. The DGC and SGC shall then recommend four to five names out of the approved consolidated list of external examiners to the Rector Office. The Rector shall appoint three international external experts from technologically advanced countries and one local expert out of this list.

d. A fresh panel of external examiner will be appointed if nominated external evaluators do not respond within three months.

4.22. <u>Evaluation of Dissertation:</u>

i.   The Concerned supervisor will evaluate the dissertation he/she supervised and submit a report of 3-7 pages about the dissertation, its purpose and significance in advancement of knowledge. After this initial evaluation by the concerned supervisor the thesis will be forwarded to Office of Examination for further evaluation by external examiners.

ii.   The Plagiarism Test must be conducted on the Dissertation before its submission to the external examiners. The Plagiarism Policy is available at serial 5 of this document.

iii.   The Controller of Examinations will get dissertation evaluated within six months after the date of submission/resubmission of dissertation to his office, any delay beyond six months shall be brought to the notice of the Rector and Ph.D. Committee.

iv.   No degree will be awarded unless all examiners recommend the award of the degree. While recommending the award of degree, the examiners shall also report whether or not the dissertation is fit for publication both from the point of view of content and language.

v.   If both external examiners find that the dissertation is inadequate the candidate shall be declared failed.

vi.   If one of the external examiners approves the dissertation and the other rejects, <u>then evaluation of 3rd examiner will be considered for decision</u>. If the 3rd examiner disapproves the dissertation, the candidate shall be asked to do additional research work for a maximum of one year. In case of approval of the dissertation by the 3rd examiner, the case shall be processed further for the dissertation defense.

vii.   If any of the examiners adjudges the dissertation inadequate and suggests major modification/revision of the dissertation, the candidate will be required to re-submit a revised version of the dissertation within one year. He will be required to pay 50% of the original dissertation fee for the examination.

viii.   The same examiner who suggested modification in the dissertation, but did not recommend the award of degree, shall evaluate the revised version of the dissertation.

ix.   If an examiner suggests modification/corrections and also recommends the award of Ph.D. degree, the candidate will make changes within six months. The corrections / modifications / changes in the revised version will be verified by the supervisor and DGC/SGC. (Appendix E).

4.23. <u>Dissertation Defense:</u>

i. If the dissertation is adjudged as adequate by the foreign examiners, the scholar shall be required to undergo a defense examination to be conducted by one external examiner (local), supervisor/s and chairperson DGC/representative.

ii. One examiner for dissertation defense shall be appointed from within Pakistan from the approved panel.

iii. PhD dissertation defense will be evaluated on a specific evaluation format (Appendix F)

iv. The dissertation defense shall be open to the public but only the examiners appointed for this purpose will do the evaluation.

v. If the scholar fails to satisfy the examiners in the defense, they may require the scholar to defend the dissertation for the second (and the final) time within a period of six months.

4.24. <u>Award of Degree:</u>

If the scholar passes the defense, the BOG on the recommendation of the BASAR will approve the reports of the examiners on dissertation evaluation and defense and award the degree of DOCTOR OF PHILOSOPHY in the relevant subject to the candidate.

4.25. <u>Copy of PhD Dissertation to HEC</u>

A copy of PhD Dissertation (both hard and soft) must be submitted to UMT's Chief Library Officer and to the concerned Department and School/Institution, and the HEC.

5.0. Research Recognition Reward Policy

Research Award Policy applicable to faculty members, research associates and participants of Schools/Institutes as well as non-faculty researchers, effective from January 1, 2015 to December 31, 2017:

Salient Features:

a. This policy will apply only to research articles published by UMT authors in HEC recognized international, national and SCImago Journal Ranking (SJR) listed journals as well as UMT journals.

b. Currently, subjects will be divided into two categories. 1) Social Sciences (including humanities) and 2) Pure/Applied Sciences (including architecture).

c. Conference papers shall not come under the umbrella of this policy.

d. Publishing of articles with publishing fee paid by UMT will not be entertained in this policy.

e. Full book/book chapter(s)/partial contribution in a book will be dealt with as per HEC policy.

f. Winning of research grants, patents, models, applied researches etc. shall be dealt separately on case by case basis.

g. For international journals, inclusion of the journal in Journals Citation Report (JCR) along with Impact Factor of the journal will be required.

h. This reward will be given upon the online/print publication of the article.

i. Single authorship will be preferred; however multiple/co-authorship will be treated equally.

j. In case of multiple authors, the reward will be divided among the number of UMT authors and non-UMT authors will be excluded. The portion of reward will be excluded from the total amount in case of non UMT authors.

k. Name/affiliation of UMT in the publication shall be a pre-requisite for availing this reward.

l. Journals included in the SCImago Journal Ranking (SJR) list shall be considered as recognized/acceptable.

m. UMT author(s) showing affiliation with two institutions will carry 50% weight.

n. Verification of the publication from Chief Library Officer (CLO) and one academic member of UMT Research Grant Committee (RGC) shall be mandatory before applying for this reward.

5.1. Distribution of Cash Reward on Publication Categories:

The cash prizes shall be awarded on various categories of Pure/Applied Sciences, Social Sciences, HEC categories of journals and UMT journals. The distribution shall be as follows:

Subject Category	HEC Category	Impact Factor Range	Cash Award
Social Sciences	UMT Journals	N/A	Rs. 10,000
Social Sciences	Y (Local Journals)	N/A	Rs. 15,000
Social Sciences	X (Local Journals)& SJR listed	N/A	Rs. 20,000
Social Sciences	International Journals	0.01 To 0.99	Rs. 40,000
Social Sciences	International Journals	1.00 To 1.99	Rs. 50,000
Social Sciences	International Journals	2.00 To 2.99	Rs. 60,000
Social Sciences	International Journals	3.00 To 3.99	Rs. 75,000
Social Sciences	International Journals	4.00 and above	Rs. 100,000
Pure/Applied Sciences	UMT Journals	N/A	Rs. 10,000
Pure/Applied Sciences	Y (Local Journals)	N/A	Rs. 15,000
Pure/Applied Sciences	X (Local Journals)& SJR listed	N/A	Rs. 20,000
Pure/Applied Sciences	International Journals	0.01 To 0.99	Rs. 30,000
Pure/Applied Sciences	International Journals	1.00 To 1.99	Rs. 40,000
Pure/Applied Sciences	International Journals	2.00 To 2.99	Rs. 50,000
Pure/Applied Sciences	International Journals	3.00 To 3.99	Rs. 60,000
Pure/Applied Sciences	International Journals	4.00 To 4.99	Rs. 75,000
Pure/Applied Sciences	International Journals	5.00 and above	Rs. 100,000