



**No.Acad/34(80)/799**

**Dated: 25-01-2023**

## **NOTIFICATION**

It is hereby notified that the University Syndicate vide its Resolution No. SYN-203.4(a) dated 26-12-2022 has approved changes/revision in PhD Regulations, applicable from Spring-2023 session and onwards, as under:

### **1. TITLE AND NATURE OF DEGREE**

- 1.1** These Regulations may be called the NED University of Engineering & Technology Regulations for the proposed Postgraduate studies leading to the Degree of Doctor of Philosophy.

### **2. COMMENCEMENT**

- 2.1** These Regulations shall be applicable for Doctor of Philosophy students admitted in Spring 2023 session and onwards unless otherwise specified.

### **3. CRITERIA AND PROCEDURE FOR ADMISSION**

- 3.1** Minimum requirement for admission in the Programme shall be Bachelor's degree (16 year) or Master's degree (minimum 17 year). The Master's degree should be obtained after completion of minimum of 30 credit hours from an HEC-recognized university/DAI. In either case the candidate must have obtained a minimum 3.0 CGPA (Semester System). Further;

- a) The terminal degree must be in the relevant field.
- b) Those having completed prior degree in a different discipline may be considered for admission provided that the Postgraduate Admissions Committee is satisfied that:
  - (i) The individual has a strong interest in pursuing a PhD degree in the discipline he/she has applied for admission.
  - (ii) The applicant's prior education has sufficiently prepared him or her to undertake the course of studies of the doctoral programme or the preparation can be deemed satisfactory by taking a few additional courses after starting the programme.
- c) Those having obtained Master's degree from any foreign universities shall be required to submit an equivalence of the degree issued by the HEC to this effect.

- 3.2** All applicants to PhD programmes shall be required to qualify (by securing a minimum of 50% score), one of the following non-subject specific admission tests (except of certain science disciplines where the University may decide for subject specific tests);

- (i) The Graduate Record Examination (GRE) test administered by the Education Testing Service;
- (ii) A graduate admission test administered by the Education Testing Council.

- (iii) An equivalent test developed by the University, or any other test as recognized by the University for admissions to their respective graduate programmes.
- 3.2.1 The validity of these tests result shall be two years from the date of the test.
- 3.2.2 The test offered by the University, at par with GRE General Test, will be administered centrally by Admission Committee.
- 3.3 An application for admission to the Programme shall be submitted to the Chairperson of the concerned Department along with all required documents (including a statement of purpose and synopsis), indicating the proposed major subject area of research work.
- 3.4 At the time of application, the candidate must provide evidence of adequate financial support to undertake the complete PhD studies.
- 3.5 No Objection Certificate (NOC) from employer will be required at the time of application; if applicable.
- 3.6 A departmental Postgraduate Admission Committee shall be constituted by the concerned Dean which shall comprise of the Chairperson and two senior faculty members of the Department/Faculty. The Committee shall assess an applicant's suitability on the basis of the test mentioned in 3.2, Statement of Purpose, synopsis, academic and professional qualifications, professional experience, referees' letters of recommendation, and shall submit recommendations to the concerned Dean to allow induction through concerned Chairperson. The Committee shall be notified by Registrar.
- 3.7
- 3.7.1 The departmental Postgraduate Admission Committee, with the consent of the candidate and subsequent to the endorsement by the concerned Chairperson, will also recommend one supervisor for each candidate. The supervisor must be an HEC approved PhD Supervisor. In cases where essential, a co-supervisor shall be allowed. Both the supervisor and co-supervisor shall possess a PhD degree and the Supervisor should be a faculty member of this University. Formal supervisor allocation should be made at the time of admission of a PhD student.
- 3.7.2 Each PhD project would have a PhD Review Committee constituting of all Deans and Secretary, ASRB. The role of the Committee would be as follows:
  - (i) Evaluating the Progress Reports and submitting its report to ASRB in prescribed format.
  - (ii) Sorting issues with the students, including student grievance issues if any, during the progress of his/ her PhD research.

#### **4. GENERAL SCHEME OF STUDIES**

- 4.1 (a) The scholar shall be required to register and qualify taught courses – each equivalent to three credit hours. These courses are to be designed by the Supervisor or any other senior faculty member, reviewed by BOS and approved by ASRB.
  - (i) Those admitted after bachelor's degree (16 years), or after Master's degree (17 years) but in a different discipline, shall be required to complete coursework of at least 48 credit hours. The departmental Postgraduate Admissions Committee shall decide such cases.
  - (ii) Those admitted after completing a graduate degree in the same discipline (MS or equivalent), the University may consider relaxing

the credit requirements up to 24 credits. The departmental Postgraduate Admissions Committee shall decide such cases.

- (iii) A residency requirement for a period of at least two years shall be mandatory.
- (b) The scholar is required to successfully pass these courses within minimum twelve- month period (if the scholar has to pass maximum 24 credit hours coursework) and minimum twenty four month period (if the scholar has to pass 48 credit hours coursework. This period can be extended by a further six months with approval of concerned Dean on the recommendations of Supervisor and Chairperson.
- (c) The following grades/grade points with the equivalent marks shall be awarded to the students on the basis of their performance in each course of study.

<b>Grade</b>	<b>Grade Point</b>	<b>Marks</b>	<b>Remarks</b>
A	4.0	88 – 100	-
A –	3.7	80 – 87	-
B +	3.4	75 – 79	-
B	3.0	70 – 74	-
B –	2.7	67 – 69	-
C +	2.4	64 – 66	-
C	2.0	60 – 63	-
C –	1.7	57 – 59	-
D +	1.4	54 – 56	-
D	1.0	50 - 53	-
F	0.0	Below 50	Fail
S	-	-	Satisfactory
U	-	-	Unsatisfactory
P	-	50 - 100	Pass in non-credit course
X	-	-	Exempted
I	-	-	Incomplete

- (d) Successful completion of all assigned courses would entail achieving a minimum overall CGPA of 3.0 with all assigned courses passing.
- (e) Registration in a course for change of grade/improvement will be subject to the following conditions:
  - (i) Change of grade/ improvement may be allowed once for each course.
  - (ii) Better grade(s), if any, will be considered for determining GPA/CGPA.
- (f) Transfer of credits earned via coursework in other HEC recognized Universities may be approved on case-by-case basis up to a maximum determined by a Committee formulated by University Administration as

deemed pertinent to determine the equivalence of such cases as and when required.

- 4.2** Comprehensive Examination shall be conducted by a committee after successful completion of all courses, consisting of Research Supervisor, Chairperson and a senior faculty member of the concerned department. This Committee shall be approved by the concerned Dean. Every PhD student shall be required to pass the comprehensive examination, by obtaining minimum of 50% score in the exam, in order to be granted candidacy as PhD researcher.
- 4.2.1** Any student who is unable to continue PhD while being at the stage of course work or beyond, may seek for either of the following:
- (a) Request for cancellation of admission –without being awarded any degree or certificate.
  - (b) Request consideration for the award of Masters Degree provided all relevant Masters Degree regulations are applied.
  - (c) Candidates securing admission after Bachelors degree will be required to follow the course work of a certain Field of Specialization in existing Masters degree program, so as to fulfil the Masters degree requirements in case of 4.2.1 (b).
- 4.3** Comprehensive Examination shall comprise of written examination (and oral if deemed significant by the Committee), covering at least the knowledge imparted in all assigned courses completed during induction period.
- 4.4** During the induction period the scholar shall have to prepare a research proposal, which the scholar shall be required to present in a Seminar after obtaining PhD Candidacy. If the Supervisor/Department deems that the proposal needs further work, it may apprise the scholar appropriately assigning him a timeline for a proposal re-defense. Re-defense would only be allowed once. Successful completion of the Research Seminar shall be communicated by the concerned Chairperson to ASRB on prescribed Performa.
- 4.5** After having successfully defended research proposal, the proposal shall be recommended by the Supervisor for approval from ASRB through concerned Board of Studies and Dean, on the prescribed format approved by ASRB. The concerned Board of Studies may adopt its own procedure for evaluating the technical and financial merit of the proposal and will submit, along with the proposal, its recommendations on prescribed format duly endorsed by the Chairperson and the Dean for consideration of ASRB.
- 4.6** The registration in PhD research shall only be confirmed by ASRB subject to following conditions:
- (a) The Scholar has successfully completed all assigned courses with 3.0 CGPA.
  - (b) Has qualified Comprehensive Examination.
  - (c) Successfully presented Research Proposal in a Seminar.
  - (d) Research proposal has been approved by ASRB.
- 4.7** Research performance will be based on fulltime research conducted after confirmation of registration in PhD research by ASRB.
- 4.8** The minimum period for completion of PhD Programme shall be as follow:

- (a) Minimum 36 months (including minimum 12 months for course work and minimum 24 months research period) for scholars securing admission after Masters degree.
- (b) Minimum 48 months (including minimum 24 months for course work and minimum 24 months research period) for scholars securing admission after Bachelors degree.
- (c) The maximum period for completion of PhD shall be 96 months.
- (d) Further extension of 24 months may be allowed in cases where the students may not be able to complete their degree requirements within eight (8) years due to the circumstances beyond the student's control.

Note: The date of notification of the award of the PhD degree subsequent to the PhD defense shall be considered to be the date of the completion of PhD studies.

**4.9** Each candidate shall get published at least one paper, containing his/her research work during PhD carried out at this University before the award of PhD degree, in a journal prescribed as under:

4.9.1 Paper(s) published in peer reviewed journals, with impact factors and listed in Journal Citation Report (JCR) (SCIE or SSCI) of Clarivate Analytics, and being listed in HJRS category 'W' or 'X' for the year of publishing of paper ("Y" in case of social sciences only).

4.9.2 The candidate must be the first author and the co-author(s) must be limited to the research team approved in the Research Proposal.

## **5. RESEARCH ASSIGNMENT AND SUPERVISION**

**5.1** The Supervisor shall be responsible for initial definition and plan of the research assigned to the scholar.

**5.2** The Supervisor shall also be responsible for guiding the candidate in development of the research proposal and for working on the research plan.

**5.3** The Supervisor shall suggest reading material to enhance the scholar's understanding of subjects related to the research topic.

**5.4** The PhD Review Committee shall regularly monitor on biannual basis for both externally funded PhD projects and University funded PhD projects (fully or partially funded) the progress of the candidate, and then submit a report to ASRB on prescribed format. The Committee shall meet once every quarter – prior to scheduled ASRB meetings – for providing its recommendations to ASRB on the accumulated Progress Reports.

**5.5** The research work shall be carried out in the concerned Department or in the laboratory of some other Department(s) of the University. With the approval of the concerned Dean some part of such work may be carried out in some other organization or institution.

## **6. PROGRESS OF WORK**

**6.1** Each candidate shall be expected to attend the University regularly and submit to the supervisor Biannual Progress Reports during the period of research. This report shall be submitted to PhD review committee for evaluation and subsequent recommendations to ASRB. Any candidate failing to attend the University regularly and/or not showing sufficient progress may not be allowed to continue enrolment in the programme.

- 6.2** Any change in the subject, title and/or outline of the approved research proposal shall require prior approval of ASRB. Such change shall be submitted to ASRB through the concerned Board of Studies.
- 6.3**
- (a) A candidate, who is temporarily unable to continue research because of unavoidable circumstances, should file an application to the ASRB through the Supervisor for temporary suspension from the programme. Such leave of absence shall not exceed twelve months. During this period, the PhD project shall be suspended and no remuneration shall be paid.
  - (b) On return after availing the leave, Chairperson of the concerned department on recommendation of Supervisor may allow the student to continue and inform ASRB.
- 6.4** Admission of any candidate enrolled in the PhD programme may be cancelled under the following circumstances:
- (i) If the candidate is not regular in attending the University.
  - (ii) If the candidate is involved in any serious disciplinary action.
  - (iii) If the candidate fails to qualify all courses or pass comprehensive examination after two attempts.
  - (iv) If the candidate fails to successfully defend the research proposal after two attempts.
  - (v) If the candidate fails to demonstrate satisfactory progress.
  - (vi) If student is found in major violation of any other policy or code of conduct of the University (such as plagiarism policy etc.).

## **7. SUBMISSION AND EVALUATION OF THESIS**

- 7.1** A candidate may be allowed by the Vice Chancellor to submit the thesis only after:
- 7.1.1** Fulfilling all requirements put forward by the Postgraduate Admission Committee at the time of admission;
  - 7.1.2** Successful registration in PhD research as per clause 4.6;
  - 7.1.3** Pursuing full-time research work for at least twenty-four months at the University;
  - 7.1.4** Publishing/Getting accepted one journal paper as per clause 4.9.
  - 7.1.5** Fulfilling all other regulatory requirements prescribed by the University.
- 7.2** Every candidate shall be required to produce a declaration counter-signed by the Supervisor and endorsed by the Chairperson that his thesis contains material contribution to knowledge and affords evidence of originality shown by the discovery of new facts or of new interpretations and that the thesis represents original work done by the candidate himself.
- 7.3** The thesis shall be written in the English language and shall be in the form prescribed by the University.
- 7.4** No thesis shall be considered satisfactory unless it shows evidence of original inquiry, capacity for development or application of scientific principles and methods, acquaintance with work of others in similar fields and ability in presentation of ideas.
- 7.5** The concerned Board of Studies shall recommend the thesis for onward submission to two foreign experts.
- 7.6** The thesis shall be submitted to two PhD experts as Foreign Reviewers. These reviewers are to be approved by ASRB on recommendation of the Board of Studies concerned. The selection of the foreign reviewers shall be as follows:

- 7.6.1 A tenured, tenure-track or non-tenure-track faculty member/researcher with or without dissertation status working in a recognized university or a recognized research organization may be eligible provided that s(he) fulfils the following minimum eligibility:
- (a) S(He) should have been working for a minimum of last 5 years in a recognized university or equivalent position in a recognized research organization/research department in organizations in a technologically/academically advanced country as per HEC prescribed list.
  - (b) S(He) should not have served as Supervisor/Co-Supervisor of the PhD candidate.
  - (c) S(He) should not have been a co-author of the candidate on PhD publication.
  - (d) S(He) should have PhD and possess relevant academic expertise as demonstrated by at least one of the following:
    - (i) S(He) has at least 10 research publications in the subject area of PhD project in peer-reviewed journals of international repute as determined by the University.
    - (ii) S(He) has produced at least 2 PhDs/ Post-Docs in the subject area of PhD project, in a technologically/ academically advanced country.
- 7.6.2 Same reviewer(s) should preferably not to be reappointed within a span of six months.
- 7.7** The Plagiarism Test must be conducted on the thesis by the Supervisor using Turnitin Software, or any other software approved by the University, before its submission to the two foreign experts. The candidate will be required to bring the similarity in acceptable range as prescribed below:
- (i) Overall acceptable range of similarity index either from candidate's own previous work or the work of some other person(s) is less than 20%.
  - (ii) Maximum acceptable range of similarity index from an individual link is 5%.
  - (iii) There must not be a similarity more than 3% in the abstract of the thesis.
  - (iv) Verbatim copy of text would be considered as plagiarism.
  - (v) While conducting similarity test, following settings, as recommended by HEC, should be followed:
    - Exclude bibliographic material = Yes;
    - Exclude small matches = Yes;
    - Exclude matches by: Word count = 5 words
    - All other settings left at default
- 7.8** On the recommendation of the Board of Studies concerned, the Advanced Studies and Research Board shall propose a panel of three examiners including the Supervisor for evaluation of thesis and examination. One of the examiners shall be from outside the University.
- 7.8.1 The examiners, other than the Supervisor(s), should not have been associated with the candidate's PhD research work (other than usual contact in taught courses or other non-thesis activities within the University), nor the examiners be related to the candidate or Supervisor(s).
- 7.8.2 Each examiner should have PhD and possess relevant academic expertise as demonstrated by at least one of the following:

- (i) S(He) has at least 10 research publications in the subject area of PhD project in peer-reviewed journals of international repute as determined by the University.
- (ii) S(He) has produced at least 2 PhDs/Post-Docs in the subject area of PhD project.

7.8.3 S(He) should be an active researcher.

7.8.4 Same examiner(s) should preferably not to be reappointed within a span of six months.

**7.9** A candidate shall submit an application on prescribed form after fulfilling conditions of Section 7.1 to the Vice Chancellor for his examination and shall submit three copies of the thesis for evaluation.

**7.10** An open defense of the thesis (an announced public seminar followed by an examination by the designated examiners) shall be conducted after positive evaluation from foreign experts.

**7.11** Three examiners (having PhD Degree and research area in the relevant discipline) shall examine the thesis. The report of the experts shall also be made available to the examiners. The candidate shall be required to undergo a viva-voce examination to be conducted jointly by the examiners. The panel of examiners shall submit a report to the ASRB. No degree shall be awarded unless all the three examiners recommend the award of degree.

**7.12** The result of examination shall be declared in the following manner:

- (a) Requirement fulfilled without any corrections
- (b) Requirement fulfilled with minor corrections
- (c) Deferred
- (d) Failure

7.12.1 In case of result as 7.12(b); one of the members of the Examiners' Committee, as nominated by the Examiners' Committee, shall certify that the corrections are carried out to his satisfaction.

7.12.2 In the case of a deferred result the Examiners' Committee shall indicate in what respect the material of the thesis should be modified and specify period for resubmission. Committee shall also decide whether to hold subsequent examination or not.

7.12.3 The Examiners' Committee shall deposit the result of the entire examination of the candidate immediately after the oral examination and shall submit the result in the prescribed form to the Controller of Examinations.

**7.13** If the thesis is not accepted for PhD degree but found to have made some contribution sufficient for award of Master's Degree, the University may on the recommendation of examiners, confer Master's Degree to the candidate, subject to resubmission after necessary changes in the thesis format, while applying all Masters Degree Regulations.

**7.14** If the examiners find that the thesis is wholly inadequate they may recommend that it be rejected without any further test.

## **8. AWARD OF DEGREE**

**8.1** PhD degree shall be awarded to a successful candidate with the permission of the University Syndicate.

## **9. PUBLICATION OF THESIS**

**9.1** Successful candidate shall submit four hard copies and one soft copy of the thesis in a prescribed format to the Chairperson of the concerned Department.



- 9.2 The Chairperson shall retain one copy for the departmental Library and shall forward three copies to Controller of Examinations for necessary disposal as follows:
- 9.2.1 Two copies to be disposed to University Library.
- 9.2.2 One hard copy and one soft copy to be disposed to the Registrar for onward transmission to HEC for record in PhD Country Directory and for attestation of the PhD degree by the HEC in future.
- 9.3 The NED University of Engineering & Technology shall retain the intellectual property rights of the outcome of any research carried out by the students during PhD.

**10. REMUNERATION OF EXAMINERS, FEES AND OTHER CHARGES**

- 10.1 Examiners shall be paid such remuneration as may be prescribed by the University from time to time.
- 10.2 The rate of fees and other charges payable by the students shall be such as may be prescribed by the University from time to time, and announced through the relevant Prospectus/ University Notifications.
- 10.3 Subject to approval by the competent authority, these Regulations may be changed from time to time. Changes shall be announced through University Notifications and/or relevant Prospectus.

**11. CONDUCT OF PhD PROGRAMME**

- 11.1 There should be at least 3 relevant full time PhD faculty members in the faculty to launch the PhD programme.
- 11.2 Faculty members may supervise no more than five (5) PhD students at any time.

  
**REGISTRAR**

To,  
Secretary, ASRB

Copy to:

- 1- All Deans
- 2- All Chairpersons of Teaching Departments
- 3- Controller of Examinations
- 4- Director, I.T. Department
- 5- Deputy Registrar (Cdn)

Copy for information to:

- 1- PS to the Vice Chancellor
- 2- PA to Pro-Vice Chancellor
- 3- Director QEC/MR ISO 9000