

Standard Operating Procedure
PhD University Examination and Research
Committee (UERC) – FCS



QUALITY ENHANCEMENT CELL

Version: 3.0

NATIONAL DEFENCE UNIVERSITY ISLAMABAD

This SOP contains 25 pages and has been prepared in line with the provisions of NDU Academic Regulations / HEC guidelines and will remain enforced till amended, cancelled or suspended. It shall be revised / amended after approval of any changes in the Academic Regulations or HEC guidelines or after the statutory bodies' decision concerning UERC or as and when considered necessary by the Competent Authority. No provision of this document shall supersede information / direction contained in the Academic Regulations / HEC guidelines or other superior documents on the subject.



Record of Approvals/Revisions

Ver	Approval Date	Effective Date	Approving Authority	Revision Details
1.0	11 Dec 2017	11 Dec 2017	President NDU	New devised
2.0	28 Oct 2020	28 Oct 2020	President NDU (25 th meeting of ASRB held on 1 st Oct, 2020)	Partially Revised
3.0	07 Nov 2022	07 Nov 2022	President NDU To be approved by the Academic Council subsequently	SOP revised in view of PhD review committee recommendations.



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List of Acronyms

ASRB	Advanced Studies & Research Board
Dept	Department
FCS	Faculty of Contemporary Studies
HEC	Higher Education Commission
HoD	Head of Department
NDU	National Defence University
QEC	Quality Enhancement Cell
Req	Required
SOP	Standard Operating Procedures
Subj	Subject
UERC	University Examination and Research Committee



SOP: PhD UNIVERSITY EXAMINATION AND RESEARCH COMMITTEE (UERC)

1. **Gen:** It is imperative to have an adequately regulated process in research phase of PhD degree programme where a research proposal, thoroughly debated by the experts, should be approved and progress of research properly monitored / documented. Only those scholars, measuring up to threshold research output requirements should be allowed to continue further.
2. **Aim.** This SOP is devised to lay down guidelines to monitor overall research performance of a PhD scholar on regular basis and provide guidance to improve the quality of research.
3. **Composition.** University Examination and Research Committee (UERC) constituted by QEC in Coordination with respective HoDs for each PhD scholar after passing the Comprehensive Examination will be composed as under:-
 - a. Dean FCS : Chairperson
 - b. Concerned HoD : Member
 - c. Thesis Supervisor : Member
 - d. Co-supervisor : Member
 - e. One External Subj Expert : Member
 - f. Director QEC : Member
4. **UERC Process.** UERC process is attached at **Anx-A**.
5. **Meeting:** The committee will meet minimum once in a semester (or on req basis) to monitor, evaluate and document the scholar's progress during the previous semester.
6. **Functions and Duties of UERC:** Functions and duties of UERC shall be as under:
 - a. **Approval of Research Topic.** Consider and recommend the final research topic and research proposal duly endorsed by the Supervisor and Departmental PhD Committee for approval of the ASRB.
 - b. **Change of Research Topic.** Consider and recommend the request of the PhD Scholar for change of research topic duly endorsed by Supervisor for the approval of ASRB.
 - c. **Research Ethics.** Sensitize the PhD scholar on ethical considerations during the conduct of research. The candidate must convince the UERC



in the first review that research poses no physical, emotional, psychological risk to the participants, the implementing institution (NDU) and the candidate. If there are any risks, UERC to demand from the PhD Scholar to present a workable plan to manage and minimize the risks.

- d. **Change of Supervisor.** On the request of University or the PhD researcher UERC may recommend the change his/ her supervisor for the approval of ASRB. In case of delay in the meeting of ASRB, President NDU may approve change of supervisor which will be subsequently confirmed by the ASRB.
- e. **Submission of Progress Report.** Submit progress reports of all PhD Scholars, who are in research phase, to the ASRB after approval of the President NDU through Examination Branch twice a year.
- f. **Evaluation of PhD Scholar's Research.**
 - (1) Respective HoD (as member of UERC) shall inform in writing all eligible PhD scholars, appearing for his/her first UERC, about types of reports i.e. adverse, absent & fail status and their impact on the academic career as under:
 - (a) Earning two consecutive adverse reports or total three adverse reports will merit cancellation of admission.
 - (b) Absence from a scheduled UERC meeting will be considered as '**Fail**'.
 - (2) PhD scholar will formally present the research progress in every semester in UERC meeting, which will critically examine the direction, regular progress and quality of research completed during the period of review (format of the presentation is att at **Anx-B**).
 - (3) The committee will debate all aspects of the proposal specially finalization of research topic, hypothesis, research questions, conceptual model/framework, validity of data collection instruments, choice of data analysis tools, expected results or contribution to the body of knowledge area at the end.
 - (4) The committee may pass the scholar straight away, pass with advice of few improvements or reject the proposal. In the last case the scholar will be deemed to have availed one chance and will be given last chance to come back with new proposal after 1 – 2



months on the given date. Proceedings of the committee will be recorded (in hard & soft form) and kept with the respective HoD for use in the next meeting.

- (5) In case, performance report of the scholar is found adverse/ below required standards, the scholar will be informed in the committee meeting and a written report will also be sent at scholars e-mail/last working address by respective HoD.
- (6) The committee will provide appropriate guidance and document it, in case, the scholar's direction and quality of research are not considered in line with the target research proposal.
- (7) The scholar's progress shall be graded in a quantified way by Supervisor, Co-Supervisor, External Subject Expert and respective HoD; Evaluation Proforma and check list is attached as **Anx-C and D** respectively.
- (8) While defending the research proposal during first UERC meeting, scholar will submit a time line of his work, clearly identifying targets of research to be presented / reported in the next meeting of the UERC.
- (9) There will be 02 x progress reports of the scholar in each year and presented/discussed in semester wise UERC meetings by the members and documented by the supervisor.
- (10) In case of non-availability of concerned supervisor, subject expert & HOD, UERC will not be held/ executed and will be rescheduled through ION/email.
- (11) Special UERC meeting (on justifiable grounds) may be convened after the approval from Dy President NDU.
- (12) Record of reports will be maintained both in hard and soft form by the respective dept.

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

- a. If a scholar is absent without any valid reason or fails to present his/her work



before the committee on the pre-announced date and has been graded fail by default.

- b. If a scholar reported absent or fails to present his/her work before the committee two consecutive times or total of three times.
- c. If a scholar gets two consecutive adverse reports or total of 03 x adverse reports.

8. **Compliance of Doctoral Seminar Suggestions.** UERC will ensure the compliance of amendments proposed during doctoral seminar and recommend his/her thesis for foreign evaluation. If UERC is planned in next semester and student has completed all required steps, then special UERC may be arranged to help scholar to avoid next semester fee just because of UERC.

9. **Publication of Research Article.** A PhD Scholar is required to meet publication requirement of relevant research article, after the PhD research topic is approved by the ASRB, as under: -

- a. At least: One research article in HEC recognized X category journal or two research articles in Y category journals
- b. The PhD researcher shall be the first author of these publications.
- c. The research article shall be relevant to the PhD research work of the PhD researcher.
- d. The article shall be published after approval of the research synopsis.
- e. The article shall be published in a relevant research journal.
- f. The published article must be written by not more than three authors.

The article has to be submitted to Director QEC (as UERC member) for vetting before submission of PhD dissertation to the Exam branch.

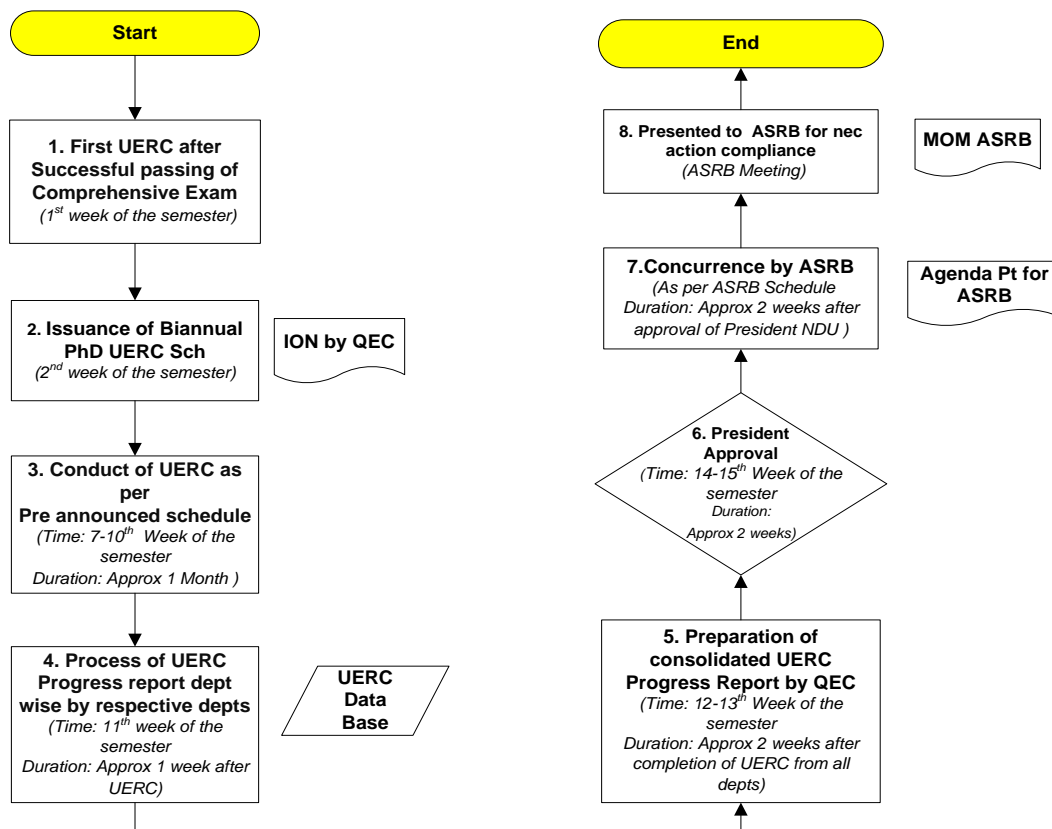
10. This issues with the approval of President NDU and shall come into force with immediate effect.

Dir QEC
(Dr Farrukh Idrees)





PhD UERC PROCESS – FACULTY OF CONTEMPORARY STUDIES (FCS)







PRESENTATION FORMAT - PHD UERC




Research Topic

(Scholar's Approved Thesis Topic)

1

Student's Particulars

Name of Student _____ Reg # _____ Cell # _____

Mailing Address _____

Email Address _____

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

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

2





Supervisor /UERC Members Particulars

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

3



PhD Course Work

Sr	Code	Courses	Sem	Grade	Dept
1					
2					
3					
4					
5					
6					
Credit Hours completed			CGPA		
Passed Comprehensive Examination held on			Exam Branch Notification Number with date		

4





Rules/Regulations Awareness



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

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

5



Tentative Roadmap-PhD Study (8-10 Slides for Targets)



S. No	Targets Assigned	Target Date	Remarks
1	Thematic Analysis & Selection of Topic		
2	Chapter writing (intro) <ul style="list-style-type: none"> Background of Study Problem identification and problem statement Contextual analysis Research questions and objectives 		
3	Chapter writing (Theoretical framework Development) Literature Review Detail <ul style="list-style-type: none"> Theoretical Framework/ Model Hypothesis is formulated scientifically. Establishes a direct relationship between two or more variables. Stated clearly and precisely. Testable. In the absence of Hypothesis, justification/research questions 		
4	Chapter writing (Literature Review) <p>A rationalization of the theoretical/conceptual framework chosen is given by engaging with the existing/available theoretical discourse.</p> <p>The application of the theoretical framework is adequately and appropriately reflected through the body of thesis.</p> <p>Organization of Study The study is logically organized and is corresponding to the questions raised in the beginning.</p>		

6





Tentative Roadmap-PhD Study



(8-10 Slides for Targets)

S. No	Targets Assigned	Target Achieved	Remarks
5	Chapter writing (Methodology) <ul style="list-style-type: none"> Type of Research is Exploratory, Descriptive, Explanatory. The thesis contains a conceptually sound section on philosophy of research. The philosophy is in Sync with research design and the methods employed. The thesis incorporates adequate primary sources including but not limited to field interviews, surveys, preliminary visits of the area or country of research, lab experiences, archival research and official/unpublished documents. 		
6	Article Submission for Publication		
7	Chapter writing (Analysis) <ul style="list-style-type: none"> Clear representation on tables and texts Result interpretation 		
8	Concluding Chapter <ul style="list-style-type: none"> The findings are valid and conspicuously given and answer the questions raised at the start. Conclusion contains a verdict on hypothesis; validation or invalidation of hypothesis. Conclusion is generalizable. Application of study (applied and theory) 		

7



Research Progress



Research Topic	
Progress of Research	Tasks planned for next 6 Months
<ol style="list-style-type: none"> Passed Comprehensive Exam Topic Finalized Preliminary paper (other than synopsis) written, deposited and discussed with supervisors Thematic analysis including content Analysis and Textual Analysis Attended 10 PhD Seminars 	<ol style="list-style-type: none"> Complete Chapter on theme--- Send paper for publication Complete chapter on Theoretical framework

8



Summary of research Work Completed



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

Paper Published / Presented

Write details

Conference Publications

Write details

9





Supervisor’s Evaluation Proforma

National Defence University Islamabad

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

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

<p>* Supervisor</p> <input data-bbox="126 772 808 835" type="text"/> <p>* Registration Number of Student:</p> <input data-bbox="126 968 808 1031" type="text"/> <p>* Course Work CGPA</p> <hr data-bbox="126 1157 537 1163"/> <p>* Comprehensive Exam Pass%</p> <p>* Thesis Title:</p> <input data-bbox="126 1394 808 1562" type="text"/> <p>* Change of Thesis Title (If Applicable):</p> <input data-bbox="126 1661 808 1843" type="text"/>	<p>* Student’s Name</p> <input data-bbox="841 772 1523 835" type="text"/> <p>* Department</p> <input data-bbox="841 968 1523 1031" type="text"/> <p>* Starting Date of Thesis</p> <input data-bbox="841 1167 1523 1230" type="text"/> <p>* Completion Date (minimum) of Thesis:</p> <input data-bbox="841 1360 1523 1423" type="text"/> <p>* Thesis Credit Hrs:</p> <input data-bbox="841 1549 1523 1612" type="text"/> <p>* Change of Thesis Supervisor (If Applicable):</p> <input data-bbox="841 1734 1523 1843" type="text"/>
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2. University Examination & Research Committee (UERC) Quantified Progress.

Parameters				Rating by Thesis Supervisor	Remarks
1. Number of formal interactions with supervisor according to PhD Progress Log.					
Number of Interactions On Monthly basis	Mode (Online/ Onsite)	Total Marks	Marks Obtained		
1 st		1.5			
2 nd		1.5			
3 rd		1.5			
4 th		1.5			
5 th		1.5			
6 th		1.5			
1 x addl mark will be given, if a scholar has 3 x interactions on site (within NDU).		1			
Total		10			
2. Literature Review					
Number of Interactions On Monthly basis	Mode (Online/ Onsite)	Total Marks	Marks Obtained		
Theoretical Framework/ Model		4			
Hypothesis is formulated scientifically.		4			
The study is logically organized and is corresponding to the questions raised in the beginning		2			
Total		10			
Total Marks = 10					
3. Is the methodology relevant to the field of research study and central questions that have been raised in intro are being addressed in research work, appropriately?					
Number of Interactions On Monthly basis	Mode (Online/ Onsite)	Total Marks	Marks Obtained		
The thesis contains a conceptually sound section on philosophy of research.		4			
The philosophy is in Sync with research design and the methods employed.		4			
The thesis incorporates adequate primary/secondary sources.		2			
Total		10			
Total Marks = 10					

Parameters	Rating by Thesis Supervisor	Remarks																					
4. Are you satisfied that research promotes new knowledge and is in accordance with Pakistan's national integrity / interest? Yes <input type="checkbox"/> No <input type="checkbox"/> Total Marks = 10																							
5. Please mark the scholar on the basis of fol parameters:- <table border="1"> <thead> <tr> <th>Parameters</th> <th>Max Marks</th> <th>Marks Obtained</th> </tr> </thead> <tbody> <tr> <td>Commitment</td> <td>02</td> <td></td> </tr> <tr> <td>Interest</td> <td>02</td> <td></td> </tr> <tr> <td>English proficiency</td> <td>02</td> <td></td> </tr> <tr> <td>Ability to work independently</td> <td>02</td> <td></td> </tr> <tr> <td>Passion for contribution</td> <td>02</td> <td></td> </tr> <tr> <td>Total Marks</td> <td>10</td> <td></td> </tr> </tbody> </table>	Parameters	Max Marks	Marks Obtained	Commitment	02		Interest	02		English proficiency	02		Ability to work independently	02		Passion for contribution	02		Total Marks	10			
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Interest	02																						
English proficiency	02																						
Ability to work independently	02																						
Passion for contribution	02																						
Total Marks	10																						

6. Any other point / comments by Supervisor:-

(Signatures of Supervisor)

_____ % Score Obtained

*Progress is **Satisfactory / Adverse**¹

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





National Defence University Islamabad

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

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

<p>* Supervisor</p> <input type="text"/>	<p>* Student's Name</p> <input type="text"/>
<p>* Co- Supervisor</p> <input type="text"/>	<p>* Department</p> <input type="text"/>
<p>* Registration Number of Student:</p> <input type="text"/>	<p>* Starting Date of Thesis</p> <input type="text"/>
<p>* Course Work CGPA</p> <hr/>	<p>* Completion Date (minimum) of Thesis:</p> <input type="text"/>
<p>* Comprehensive Exam Pass%</p>	<p>* Thesis Credit Hrs:</p> <input type="text"/>
<p>* Thesis Title:</p> <input type="text"/>	<p>* Change of Thesis Supervisor (If Applicable):</p> <input type="text"/>
<p>* Change of Thesis Title (If Applicable):</p> <input type="text"/>	



2. University Examination & Research Committee (UERC) Quantified Progress.

Parameters				Rating by Thesis Co-Supervisor	Remarks
1. Number of formal interactions with supervisor according to PhD Progress Log.					
Number of Interactions On Monthly basis	Mode (Online/ Onsite)	Total Marks	Marks Obtained		
1 st		1.5			
2 nd		1.5			
3 rd		1.5			
4 th		1.5			
5 th		1.5			
6 th		1.5			
1 x addl mark will be given, if a scholar has 3 x interactions on site (within NDU).		1			
Total		10			
2. Literature Review					
Number of Interactions On Monthly basis	Mode (Online/ Onsite)	Total Marks	Marks Obtained		
Theoretical Framework/ Model		4			
Hypothesis is formulated scientifically.		4			
The study is logically organized and is corresponding to the questions raised in the beginning		2			
Total		10			
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The thesis incorporates adequate primary/secondary sources.		2			
Total		10			
Total Marks = 10					

Parameters	Rating by Thesis Co-Supervisor	Remarks																					
4. Are you satisfied that research promotes new knowledge and is in accordance with Pakistan's national integrity / interest? Yes <input type="checkbox"/> No <input type="checkbox"/> Total Marks = 10																							
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Total Marks	10																						

6. Any other point / comments by Co-supervisor:-

(Signatures of Co-Supervisor)

_____ % **Score Obtained**

*Progress is **Satisfactory / Adverse**²

² Less than 50% Average Score is 'Adverse'.





National Defence University Islamabad,
Pakistan

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

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

<p>* Supervisor</p> <input type="text"/>	<p>* Student's Name</p> <input type="text"/>
<p>* Subject Expert</p> <input type="text"/>	<p>* Department</p> <input type="text"/>
<p>* Registration Number of Student:</p> <input type="text"/>	<p>* Starting Date of Thesis</p> <input type="text"/>
<p>* Course Work CGPA</p> <input type="text"/>	<p>* Completion Date (minimum) of Thesis:</p> <input type="text"/>
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2. University Examination & Research Committee (UERC) Quantified Progress.

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Number of Interactions On Monthly basis	Mode (Online/ Onsite)	Total Marks	Marks Obtained		
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Parameters	Rating by Subj Expert	Remarks																					
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6. Any other point / comments by Subject Expert:-

 (Signatures of Subject Expert)

_____ % Score Obtained

*Progress is **Satisfactory / Adverse³**

³ Less than 50% Average Score is 'Adverse'.





National Defence University Islamabad,
Pakistan

University Examination & Research Committee (UERC) Quantified Progress
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1. PhD scholars info (to be filled by concerned Dept in consultation with the PhD Scholar)

<p>* Supervisor</p> <input type="text"/>	<p>* Student's Name</p> <input type="text"/>
<p>* Head of Dept.</p> <input type="text"/>	<p>* Department</p> <input type="text"/>
<p>* Registration Number of Student:</p> <input type="text"/>	<p>* Starting Date of Thesis</p> <input type="text"/>
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Interest	02																						
English proficiency	02																						
Ability to work independently	02																						
Passion for contribution	02																						
Total Marks	10																						

6. Any other point / comments by HoD Concerned:-

(Signatures of Respective HoD)

_____ % Score Obtained

*Progress is **Satisfactory / Adverse**⁴

⁴ Less than 50% Average Score is 'Adverse'.





PHD PROGRESS LOG

(Semester Spring / Fall ____)

Section 1: Student Details.

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

Section 2: Record of Formal Meetings with Thesis Supervisor.

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

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

Section 3: Record – UERC Progress

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



Section 4: Certificate by PhD Scholar:

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

Signature of the PhD Scholar _____

Date _____

Section 5: Comments of the Thesis Supervisor:-

Signature of the Thesis Supervisor _____

Date _____





National Defence University, Islamabad

CHECK LIST FOR QEC & UERC MEMBERS

Report Spring/ Fall – 20

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

<p>* Registration Number of Student:</p> <input style="width: 100%; height: 25px;" type="text"/> <p>* Course Work CGPA</p> <input style="width: 100%; height: 25px;" type="text"/> <p>* Comprehensive Exam Pass%</p> <p>* Thesis Topic (Updated):</p> <input style="width: 100%; height: 150px;" type="text"/>	<p>* Student's Name</p> <input style="width: 100%; height: 25px;" type="text"/> <p>* Department</p> <input style="width: 100%; height: 25px;" type="text"/> <p>* Starting Date of Thesis</p> <input style="width: 100%; height: 25px;" type="text"/> <p>* Completion Date (minimum) of Thesis:</p> <input style="width: 100%; height: 25px;" type="text"/> <p>* Thesis Credit Hrs:</p> <input style="width: 100%; height: 25px;" type="text"/> <p>* Last UERC Progress</p> <input style="width: 100%; height: 25px;" type="text"/>
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2. **Checklist - QEC**

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



3. Checklist – UERC Members.

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

Name & Signature of QEC Rep

Name & Signature of UERC Member

Date: _____

Date: _____

