

PHD **PROGRAM POLICY AND STANDARD OPERATING PROCEDURES**

S O P S

VERSION 3.0



**THE
UNIVERSITY OF
LAHORE**



QUALITY ENHANCEMENT CELL

FOREWORD

The University of Lahore (UoL) aims to produce the world-recognized scholars, capable of making original and remarkable research contributions to the progress of humankind and thereby, the UoL has made available the benchmark research and learning opportunities of global standards to the scholars. Currently, the UoL is offering 30+ PhD programs in various disciplines.

This booklet aims to make available the set of policies and SOPs, developed in the light of HEC policies, guidelines, etc., for UoL departments to run their PhD programs smoothly and in a standardized way. Notably, these policies and procedures have been designed to bring uniformity, compliance & clarity in research processes, make a fair assessment of scholars' research capacities & capabilities, ensure the completion of research work within stipulated time and achieve the world-class status of research work at par with the established international benchmark standards of the field of study.

It is the responsibility of students, supervisors, faculty members, DRC Conveners, HODs and all other key stakeholders to read & understand the contents of this booklet and abide by its policies and procedures.

The University reserves the rights to add, drop or modify any policy or procedure stated in this booklet at any point of time. The statements in this document, in no case, be considered as the basis of contract between supervisor, student, etc., and the UOL. The Quality Enhancement Cell (QEC) of the University is custodian of University's academic policies and it may update this booklet, as and when required.

I value your feedback on the improvement of teaching, research, etc. In case of any suggestion, query or clarification, please reach out to the office of QEC.

I look forward to working with you on our journey of making a positive impact to the society.

Prof. Dr. Muhammad Ashraf (HI, SI, PoP)
Rector
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SPECIAL AND HEARTFELT THANKS

To the Rector UOL, Prof. Dr. Muhammad Ashraf (HI, SI, PoP), Pro-Rector UOL, Prof. Nasir Mahmood and the following respectable members of '*Academic Policies Review Committee (APRC)*' and '*Postgraduate Programs Review Committee (PGPRC)*' for their incessant hard work and reviewing the PhD Program Policy & SOPs (Version 2.0) of the University in the light of latest HEC policies, guidelines, etc., and benchmark national/international practices.

APRC

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| ▪ Prof. Dr. Syed Amir Gilani (Dean, Faculty of Allied Health Sciences UOL) | Convener |
| ▪ Prof. Dr. Muhammad Zuber (Dean, Faculty of Sciences UOL) | Member |
| ▪ Prof. Dr. Ibrar Hussain (Dean, Faculty of Information Technology UOL) | Member |
| ▪ Prof. Dr. Ashfaq Ahmad (Associate Dean, FAHS UOL) | Member |
| ▪ Prof. Dr. Zahoor Ahmad (Campus Director, Sargodha Campus UOL) | Member |
| ▪ Dr. Ahsan Sattar Sheikh (Director, IMBB UOL) | Member |
| ▪ Dr. Ghulam Abbas (HOD, Electrical Engineering UOL) | Member |
| ▪ Dr. Rameez Ur Rehman (HOD, Lahore Business School UOL) | Member |
| ▪ Dr. Nawaz Ahmad (HOD, Economics UOL) | Member |
| ▪ Dr. Saeed Ur Rehman (HOD, English Language & Literature UOL) | Member |
| ▪ Mr. Muhammad Afzal (Director, QEC UOL) | Member |
| ▪ Mr. Ali Aslam (Registrar UOL) | Secretary/Member |

PGPRC

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| ▪ Prof. Dr. Syed Amir Gilani (Dean, FAHS UOL) | Convener |
| ▪ Prof. Dr. Nasir A. Akhtar (Acting Dean Faculty of Social Sciences UOL) | Member |
| ▪ Dr. M. Afzal Javed (HOD, Civil Engineering UOL) | Member |
| ▪ Dr. Rameez Ur Rehman (HOD, Lahore Business School UOL) | Member |
| ▪ Dr. Kishwar Sultana (HOD, Pharmacy UOL) | Member |
| ▪ Dr. Ahsan Sattar Sheikh (HOD, IMBB UOL) | Member |
| ▪ Dr. Rizwan Akran Rana (HOD, Education UOL) | Member |
| ▪ Mr. Muhammad Afzal (Director, QEC UOL) | Member |
| ▪ Mr. Ali Aslam (Registrar UOL) | Secretary/Member |

PHD PROGRAM POLICY

Introduction

The PhD degree programs of the University are equivalent to level 8 academic qualification, according to the levels of achievements defined in the National Qualification Framework of Pakistan – 2015 (NQF) devised by the HEC. According to the NQF, the graduate of a Doctoral Degree shall have:

- Cognitive skills to demonstrate expert understanding of theoretical knowledge and to reflect critically on that theory and practice.
- Cognitive skills and use of intellectual independence to think critically, evaluate existing knowledge and ideas, undertake systematic investigation and reflect on theory & practice to generate original knowledge.
- Expert technical and creative skills applicable to the field of work or learning.
- Communication skills to explain and critique theoretical propositions, methodologies and conclusions.
- Communication skills to present a complex investigation of originality or original research for external examination against international standards cogently and to communicate results to peer and the community.
- Expert skills to design, implement, analyze, theorize and communicate research that makes a significant and original contribution to knowledge and/or professional practice.

Purpose

The fundamental purpose of this document is to provide policies and clear guidelines regarding the PhD degree programs of the University. Furthermore, it intends to establish and standardize the key procedures to ensure merit, fairness & consistent delivery of quality.

Important Note: The 'UOL PhD policy & SOPs (version 3.0)' document is developed in the light of various HEC policies, guidelines, etc.

Scope

This document shall apply to all the PhD degree programs of the University and shall work under the HEC policies, guidelines, etc.

IMPORTANT TERMS AND DEFINITIONS

Term	Definition
University	The University of Lahore
Chairman	The Chairman of the Board of Governors (BoG) of the University
Rector	The Rector of the University
Pro-Rector	The Pro-Rector of the University
Dean	The Dean of Faculty of the University
Director	The Director of Directorate/Department/Cell of the University
Registrar	The Registrar of the University
Controller of Examinations (COE)	The Controller of Examinations of the University
Head of Department (HOD)	The Head of Department of the University
Faculty	The Faculty Members of the University
Department/School/ Institute/College/Cell	The Department of the University
Board of Studies (BOS)	The Board of Studies of respective Department of the University
Board of Faculty (BOF)	The Board of Faculty of respective Faculty of the University



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Board of Advanced Studies and Research (BASR)	The Board of Advanced Studies and Research of the University
Academic Council (AC)	The Academic Council of the University
Supervisor 01 – 05	The supervisor(s) appointed by the BASR to supervise the research work of PhD student. The supervisor 01 shall be from the University and supervisors 02 to 05 could be from other institutions.
External Examiner	The external examiner (Foreign or from Pakistan as per HEC guidelines) appointed as per procedure
Local Examiner	The local examiner appointed as per procedure
Course(s)	The course(s) prescribed for the PhD degree program
Academic Calendar	The Academic Calendar of the University consisting of two regular semesters of 16–18 weeks, each, and one summer semester of 8–10 weeks
Mid–Term Examinations	The exams held after 7-8 weeks of teaching on such days as per the UOL academic calendar
Final Examination	The exams held at the end of the semester on such days as per the UOL academic calendar
Repeat Course	It usually means that any course in which a student may have enrolled twice or more with the permission of the competent authority as per policy

Student	The person who is registered/enrolled in a PhD degree program of UoL and, at the same time, s/he does not maintain admission in any other degree program of the University or any other institution(s), is the student of the University
01 Credit Hour	It is one (01) hour lecture of theory or three (03) hours of lab/practical/etc., work per week for the entire semester
Higher Education Commission (HEC)	The Higher Education Commission of Pakistan
Departmental Research Committee (DRC)	The Departmental Research Committee of the respective Department of the University
Departmental Admission Committee (DAC)	The Departmental Admission Committee of the respective Department of the University
Comprehensive Exam Committee (CEC)	The Comprehensive Exam Committee of the respective Department of the University
No Objection Certificate (NOC)	No Objection Certificate from HEC
Through Proper Channel	It means that the case is submitted to Academic Council/BASR for final approval on recommendations of the DRC and subsequent endorsement of the concerned BOS and the concerned BOF

Launch of PhD Degree Programs

The departments are under compulsion to obtain NOC from the HEC prior to the launch of new PhD degree program(s) as per the procedure prescribed by the HEC.

Formation of Departmental Research Committee (DRC)

Each department shall form DRC, duly notified by the Registrar, with responsibilities to ensure the smooth and seamless execution of the research degree programs (that is MS/MPhil/Equivalent and PhD programs) in line with the prescribed policies, SOPs, etc.

Conduct of PhD Degree Programs

- The departments shall ensure the employment of the required number of minimum full-time PhD faculty members, at all times, as per HEC guidelines (their degrees titles should match with the title of the degree program).
- Unjustified delay in completion of the coursework or research work of student(s), at department's end, shall be considered as a serious quality issue.

Structure of the PhD Degree Programs

Total No. of Credit Hours

The total number of credit hours of the UoL PhD degree programs shall be at least seventy eight (78), comprising at-least forty eight (48) credit hours of coursework and thirty (30) credit hours of research thesis.

Note: In case a student has previously completed a graduate degree in the relevant discipline (MS/MPhil/Equivalent), a credit for prior coursework may be allowed for up to 50% of the total coursework requirement of the PhD program.

Program Outcomes/Program Objectives

The program outcomes and program objectives must be clearly stated, properly interconnected and fully aligned with the complete degree program.



Scheme of Studies/Curriculum

The PhD program scheme of studies/curriculum shall be reviewed at-least after every two years in light of the HEC/NCRC guidelines, etc.

Semester Duration

The duration of a regular semester shall be 16-18 weeks.

Program Duration

The PhD degree shall be awarded after a minimum of three (3) years and not more than eight (8) years after the registration of the student in the program; provided that for students who are unable to complete the program within eight (8) years, BASR may grant an extension in case of exceptional circumstances beyond the student's control; provided further that in no event shall the PhD degree be awarded more than ten (10) years after the registration of the student in the program.

Summer Semester

This semester is only for deficiency courses and research work. Further, UOL guidelines for summer semester shall be followed in letter and spirit.

Admissions

- The admission may be offered twice a year.
- The admission notice shall be disseminated to the concerned stakeholders.
- The interested candidates can apply online via UoL website as per established procedures.
- For BS/Equivalent students, there shall be a residency requirement for a period of at least 02 years.
- For MS/MPhil/Equivalent students, there shall be a residency requirement for a period of at least 01 year.



The eligibility criteria for admission in the PhD degree programs (Fall 2021 & onwards) of UOL is as follows:

Completion of Prior Degree

For admission in PhD program, the applicant shall have been awarded MS/MPhil/Equivalent degree (in the relevant discipline) i.e. 18 years of formal education from HEC recognized university

OR

BS/Equivalent degree i.e. 16 years of formal education.

Prior Degree in Different Disciplines (For BS/Equivalent degree)

It is not a requirement for admission to a PhD degree program that the applicant shall have completed a prior BS/Equivalent degree in the same discipline, generally. However, the applicant may be considered for admission notwithstanding their prior qualification in a different discipline only in case the Departmental Admission Committee (DAC), established by the BOS of concerned department and duly notified by the registrar, consisting of at-least three PhD faculty members, is satisfied that the applicant has strong interest in pursuing a PhD degree in a different discipline and that the applicant's prior education has sufficiently prepared him or her to undertake the courses of studies of the doctoral program (or in the opinion of the DAC, the preparation can be deemed satisfactory by taking additional deficiency courses. The number and type of such courses shall be decided by DAC on case to case basis).

Minimum GPA Requirement

In the most recent degree obtained (whether such degree was obtained from Pakistani or foreign university) by the applicant, a minimum CGPA 3.0 out of 4.0 in a semester system or First Division in the annual system is required for admission in PhD program.

Testing Requirements

All applicants to PhD degree programs shall be required to take one of the following admission tests:

- I. The Graduate Record Examination (GRE) test administered by the Education Testing Service (60% marks) OR
- II. The Graduate Admission Test (GAT) administered by the Education Testing Council (60% marks) OR
- III. An equivalent Admission Test developed and administered by the University (70% marks)

Guidelines for the Preparation of UOL Admission Test

- The admission test, designed preferably along the lines of GRE/GAT (30% General + 70% Subject), shall be prepared by the DAC.
- The DAC shall be duly notified by the registrar.
- The respective department shall hold admission test on the notified date.
- The candidate appearing in the test must obtain at least 70% marks.

Interview

Interview is mandatory. The DAC shall hold an interview for ensuring that entrants to doctoral programs are capable of handling the academic rigor required to complete a PhD degree. The Committee is desired to take substantive approach to ascertain a) applicants' commitment (or level of interest) in pursuing the PhD program and b) their preparedness in terms of previous academic training that will enable them to succeed in the program.

Statement of Purpose

As part of the application for admission to PhD programs, the applicant shall be required to submit a 'Statement of Purpose', which shall form an integral part of the application. The DAC shall use the information provided, to ascertain the preparedness & interest of the candidate in pursuing doctoral studies and whether the department has the requisite resources to train and supervise the doctoral candidate in the subject specialty he or she is interested in.



Student-Faculty Ratio

While admitting students in a given PhD program(s), the HODs/DACs of the respective departments **MUST** comply with the HEC prescribed Student-Faculty Ratio (total number of students enrolled in a given PhD program vis-à-vis available PhD faculty) and the section 2.5(c) of new 'HEC Policy on PhD Degree Programs 2021'. It elucidates that PhD faculty members (HEC approved supervisors) may supervise no more than five (5) PhD students at a given point of time.

The guidelines for the computation of S-F ratio are as follows:

Example 01: In case the department offers an MS/MPhil/Equivalent degree program only:

*Total No. of PhD faculty*12 + Total No. of MS/MPhil faculty*5 >= Total No. of Students Enrolled in MS/MPhil/Equivalent Degree Program*

Suppose a department has 05 PhD faculty members and 08 MS/MPhil faculty members; it offers only one MPhil degree program and no PhD program. As per HEC guidelines, one PhD faculty member and one MS/MPhil/Equivalent faculty member can supervise research work of up to 12 and 5 MS/MPhil students, respectively; therefore, the department can enroll a Maximum $05*12+08*05 = 100$ Total No. of Students in MPhil degree program at a given point of time (including all students i.e. both enrolled in coursework and research-work).

Example 02: In case a department offers a PhD degree program only:

*Total No. of PhD faculty*05 >= Total No. of Students Enrolled in PhD Degree Program*

Suppose a department has '**05 HEC Approved PhD Faculty Members**'; it offers only one PhD degree program and no MS/MPhil program. As per HEC guidelines, one PhD faculty member (**HEC Approved Only**) can supervise research work of up to 05 PhD students, at a time; therefore, the department can enroll a Maximum $05*05 = 25$ Total No. of Students in a PhD degree program at a given point of time (including all students i.e. both enrolled in coursework and research-work).

Example 03: In case a department offers an MS/MPhil/Equivalent degree program as well as a PhD program:

For PhD program:

*Total No. of PhD faculty*05 >= Total No. of Students Enrolled in PhD Degree Program*

For MPhil program:

*Total No. of PhD faculty*07 + Total No. of MS/MPhil faculty*05 >= Total No. of Students Enrolled in MS/MPhil/Equivalent Degree Program*

Suppose a department has '**05 HEC Approved PhD Faculty Members**' and 08 MS/MPhil faculty members; it offers one MPhil degree program and one PhD degree program. As per HEC guidelines (already mentioned in examples 01 & 02), the department can enroll a Maximum $05*05 = 25$ Total No. of Students in PhD degree program at a given point of time (including all students i.e. both enrolled in coursework and research-work) and $05*07+08*05 = 75$ Total No. of Students in MPhil degree program at a given point of time (including all students i.e. both enrolled in coursework and research-work).

Note 01: In case of vacant seats for PhD degree program, the research supervision load of relevant PhD faculty can be shifted to relevant MS/MPhil/Equivalent degree program(s); similarly, the research supervision load of relevant MS/MPhil/Equivalent faculty can be shifted among relevant MS/MPhil/Equivalent degree programs.

Note 02: In case any of deviation from HEC prescribed limits of S-F Ratio, the concerned HOD shall be fully responsible for the end result.

Final Merit List

- The final merit list shall be based on the cumulative score of the candidate in the admission test, academic record (latest degree) and interview with the ratio 40:40:20, respectively.
- The applicant shall be considered for admission only in case the DAC is fully satisfied.

Credit Transfer In/Out

For students' credit transfer in/out, the UoL Policy for Students' credit transfer in/out shall be followed.

Coursework

- The course load per semester for a regular full-time students shall be 09–12 cr. hrs.
- Only those courses shall be offered and taught which have been duly approved by the Academic Council.
- A student must maintain a minimum 3.0 CGPA in the coursework in order to qualify for comprehensive exam. In case a student falls short of required CGPA i.e. 3.0, s/he may either repeat a course(s) having grade C or C+ (below grade B) or enroll in an additional course (the additional course, in no case, shall be considered to replace any previously studied course for the computation of CGPA).
- For a given course, the lowest grade that can be awarded is C ($\leq 60\% < 65\%$).
- The total teaching load of the faculty shall be in accordance with the UOL guidelines.
- Each eligible PhD faculty can supervise the research-work of at most 12 students at a time with no more than 05 of them being PhD Students.

Comprehensive Examination (CE)

- After the completion of coursework with CGPA 3.0 (with no grade below C), the student shall be required to pass the comprehensive exam for obtaining a candidacy as PhD scholar; provided that if any student fails to pass the comprehensive test, s/he shall be allowed one more attempt to take the test.
- It is the policy statement that the spirit of comprehensive exam shall remain the complete and all inclusive coverage of all the courses prescribed for the given PhD program.
- A Comprehensive Exam Committee (CEC) shall be established (consisting of at-least three PhD faculty members) by the BOS concerned and duly notified by the Controller of Examinations.
- A comprehensive exam questions shall be prepared by the respective instructors/teachers. Three papers shall be prepared. The passing marks shall be 65% in each paper.
- The comprehensive test shall have two mandatory parts: Part I (Written) and Part II (Oral).
- The CEC of the department shall be autonomous for the contents and assessment type of the comprehensive paper given that it is prepared at par with applicable benchmarks of

given subject/area of study, established nationally and internationally. However, as a guideline, it is strongly emphasized that the question(s) must be broad, diversified, wide-ranging and comprehensive enough to cover the entire course. The CEC composition and the format of all three comprehensive papers shall be shared by the Controller of Examinations.

- The maximum number of attempts for students to appear in comprehensive exam shall be two (02). For students with MS/MPhil/Equivalent background, both attempts are required to be made within the first two (02) years and in no case, such student(s) shall be allowed to appear in comprehensive exam after two (02) years from the date of registration in the PhD degree program.
- Minimum two regular comprehensive exams shall be scheduled and conducted by the office of Controller Examination, each one in the 05th week (preferably) of Fall and Spring semesters of the calendar year. The three papers of the comprehensive exams shall be scheduled with 01 – 03 days gap between the papers.

Important Note: The detailed 'Comprehensive Exam Implementation Plan' shall be developed and disseminated across the University by the Controller of Examinations with the approval of the Rector.

Allocation of Supervisor

- Not later than one month of result announcement of the comprehensive exam, the respective department shall assign an 'HEC Approved Supervisor' to each candidate for research.
- The PhD research thesis shall be supervised by a faculty member who holds a PhD (or equivalent) degree and is an HEC approved supervisor.
- At the time of appointment as supervisor 01, the faculty member is required to be Full-Time faculty member of the University.
 - Only 'HEC Approved Supervisor' can be appointed as supervisor 01.
- The concerned HODs must ensure the obtaining of 'Equivalence Certificates' for all foreign qualified PhD faculty engaged in the program.
- The supervisor 01 shall be from the concerned UOL department (in case of unavailability of supervisor 01 in concerned department, the supervisor 01 may be engaged from other relevant departments of the University. The supervisors 02–05 may be from outside the University.
- If deems necessary, the DRC may appoint 'Research Supervisory Committee' to supervise the research-work of student, with the consent of supervisor 01.

- The case to appoint supervisor(s) shall be forwarded to the BASR through proper channel for final approval.
- In case of separation of supervisor 01 from the University, then as a practice by default, the department shall appoint new supervisor 01 from the Department/University and may appoint the departing supervisor as supervisor 02 – 05 with his/her permission. However, in case the student and the departing supervisor 01 submit a request application, in writing, to the concerned DRC for not changing the supervisor 01, the concerned DRC may consider such request(s) on case to case basis for recommendation to BASR through proper channel provided that the research proposal/synopsis is already approved by the BASR and the DRC fully satisfies itself.

Approval of the Synopsis

- The department shall develop and share guidelines for research proposal/synopsis, with the candidates.
- Before carrying out the research-work, each student shall make a presentation about the proposed research in a synopsis presentation.
- After a successful synopsis presentation, the research proposal/synopsis shall be submitted through proper channel to BASR for final approval.

Research Work

- Subsequent to the approval of synopsis from BASR, the supervisor shall guide the student to carry out research within all the applicable policies, procedures and guidelines of HEC, UoL, etc.
- The supervisor and the student shall follow the anti-plagiarism policy of the University in letter and spirit.
- If a thesis is found plagiarized, the supervisor shall also be held responsible for this act and may be blacklisted for five (05) years. A disciplinary action against such supervisor and student shall be initiated.
- The student shall enroll the 30 cr. hrs. of the thesis at once. Payment of the 30 cr. hrs. may be made as per the installment policy of the University.



- During the research-work, a student shall get himself/herself enrolled in every new regular semester with zero credit hour to keep his/her status as *ACTIVE*. Two satisfactory quarterly research progress review reports in a semester duly signed by the supervisor shall be required for enrolment in a new semester.
- With the submission of two unsatisfactory quarterly research progress review reports duly signed by the supervisor, the student shall be De-registered from the program.
- However, the student may re-register the program (only once) with the payment of registration fee prescribed for the program (in such a case, the department shall not be under compulsion to make available the same supervisor to supervise the research-work).
- The regular thesis duration shall be a maximum of six academic semesters after the completion of the coursework and a fee worth PKR 50,000/- per semester shall be paid by students for all the following semesters till the completion of degree.
- The following shall be the mandatory and standardized parts of the research thesis:

Preliminary Thesis Pages

- Title page (general)
- Title page (department specific (optional))
- Bismillah page (optional)
- Author's Declaration
- Plagiarism Undertaking by the student and the supervisor
- Other undertakings, if any (like the undertaking of biostatistician)
- Certificate of Approval
- Dedication
- Acknowledgement
- Table of Contents
- Abstract
- List of Tables
- List of Figures

Thesis Chapters

Number and titles of chapters may vary from department to department as per the academic traditions of the subject.

At the end

- The style of listing the references/bibliography shall be uniform in all science disciplines. The disciplines relating to social sciences may adopt any one of the standard reference styles.



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- Annexures (if any, for example survey instruments, etc.)
- Duly signed Plagiarism report including *Turnitin* details cover page plus percentage page(s) (Annex T may also be placed as an additional document).
- The plagiarism report shall be generated through officially provided Turnitin account duly sign by the student, supervisor and the DRC convener.

Notes:

- 1) The color scheme (UOL logo green color with golden engraving) shall be the same across the University.
- 2) The student's name, registration no. and year of completion shall be written on the thesis spine.
- 3) The University address shall be printed on the back page.

Code of Conduct

The students are expected to:

- Ensure the observance of the universal principles of good research.
- Abide by all HEC and UoL research policies, procedures, guidelines, etc.
- Follow local and international good research practices.
- Avoid unethical research practices.
- Report completely and correctly, the findings of a research.
- Keep clear, complete and accurate records of the research work.
- Acknowledge the individuals who made contributions to the research.
- Obtain informed consent from the respondents/unit of analysis, for example, surveys in case of Social Sciences, a declaration to the respondents/unit of analysis on the assurance of confidentiality and right to withdraw from study at any time prior to data collection.
- Keep privacy/secretcy when reviewing others' work.
- Avoid plagiarism or self-plagiarism of all nature.

Evaluation of Thesis

- In addition to the PhD committee members, the PhD dissertation shall be evaluated by at least two external experts who may be either (i) Pakistan-based Distinguished National Professors, Meritorious Professors, or Tenure Track Professors, or (ii) PhD experts from HEC approved list of technologically/academically advanced countries; provided, however, that if the PhD candidate publishes his or her thesis research in a peer reviewed journal that is classified by the HEC as category X or above, the PhD thesis shall only require evaluation by one external expert.

- A plagiarism test (06 words as default in *Turnitin* setting) in accordance with the UOL Anti-Plagiarism Policy shall be conducted on the thesis before its submission to the external experts; the plagiarism report of thesis MUST be within the HEC prescribed limits.
- The BASR shall be the competent authority to appoint the external examiners. The DRC shall get the list of external examiners approved by the BASR once (through proper channel) and then for each case, DRC shall forward six (06) – ten (10) suitable names from the list to the Rector UOL who shall approve, at his/her sole discretion, any one (01) or two (02) external examiners as per applicable policy. Once approved, the Controller of Examinations shall notify the appointment of the external examiner(s).

Semester Management Policies (SMPs) of the University

All the applicable policies mentioned therein the 'UOL SMPs Booklet' shall be followed in letter and spirit.

Approval from the Rector

If any approval is obtained from the Rector in anticipation of the approval of Academic Council/BASR, the case(s) shall be submitted to the Academic Council/BASR as early as possible for confirmation.

Open Defense

- An open defense of the thesis shall be required after positive evaluation of the thesis by the external examiner(s).
- The BASR shall be the competent authority to appoint the local examiners. The DRC shall get the list of local examiners approved by the BASR once (through proper channel) and then for each case, DRC shall forward six (06) – ten (10) suitable names from the list to the Rector UOL who shall approve, at his/her sole discretion, any two (02) local examiners. Once approved, the Controller of Examinations shall notify the appointment of the local examiner(s).
- Open defense shall be arranged by the department after due notification from the Controller of Examinations.

Remunerations to be Paid to the Examiners

The remunerations shall be paid to the examiners as per University policies and procedures for the evaluation of thesis and holding oral examination/VIVA VOCE/Thesis Defense, etc.

Publications

For the award of PhD degree, a publication of at-least one research paper in an HEC approved Y-category (or above) journal from the PhD research work as a 01st author with UOL affiliation shall be mandatory. The said paper must be published before the award of degree.

University Record

The student shall submit 07–10 hard bound copies of the thesis.

Issuance of Final Transcript/Award of Degree

- The thesis shall only be considered final once it is duly signed by all the concerned (wherever needed), certifying full compliance of all the applicable policies, procedures, guidelines and the prescribed formats, etc.
- The Controller of Examinations shall issue final transcript to the student on successful completion of all the formalities set out by Academic Council and BASR, clearance of all the dues payable by the student to the University and submission of one hard-bound duly signed copy of the research thesis (having duly signed plagiarism report) by the concerned department.
- After issuance of transcript, the Controller of Examination shall forward the hard-bound copy of the thesis to the concerned librarian with a written receipt for permanent record of the University.



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University Record

The concerned department and library shall maintain hard copies of the duly signed research thesis of all passed-out students as part of the permanent record of UOL. Furthermore, the concerned department shall also maintain a soft copy of each research thesis together with complete duly signed plagiarism report.

Copy of PhD Thesis to HEC

The copies of PhD thesis (both in hard and soft forms) of all the passed-out students, along with the duly filled & signed HEC-PCD application forms and all the other required documents, shall be submitted to HEC for placement/inclusion in the PhD Country Directory (PCD).



PHD PROGRAM STANDARD OPERATING PROCEDURES (SOPS)

Conduct of Comprehensive Examination

STEP	ACTIVITY	DECISION TIME
01	Directing the candidates via email at least one month before the comprehensive examination by the PhD program coordinator/concerned department in the light of guidelines provided by the Controller of Examinations	<XX Days>
02	A formal request by the student (Annex L) to the concerned department	
03	Scrutiny of the application by the concerned department to establish the eligibility of the candidate in terms of correctness of the information provided, CGPA, fee clearance and other relevant issues	
04	<ul style="list-style-type: none"> A list of examiners for each paper shall be provided by the department, after its approval from BOS on recommendations of CEC, to the Controller of Examinations who will subsequently obtain approval from the Rector. The concerned faculty shall be requested to submit questions for the respective subject. <p>Note: There shall be no choice of questions.</p>	
05	For each student, CEC shall prepare a separate paper for him/her covering all the courses studied by him/her.	
06	Controller of Examinations shall notify (via email/notice board) the names of eligible candidates at-least 20 days before the comprehensive exam date.	
07	CEC shall prepare three (03) papers covering all the eight courses (ideally 03, 03, and 02 courses per question paper).	
08	Each paper shall carry 100 marks equally divided among the number of courses covered in the paper	



09	<p><u>Conduct of Comprehensive Exam:</u> Each department shall submit exam papers in separate sealed envelopes each clearly marked with the name of candidate to the Controller of Examination which shall conduct the examination at the scheduled date, time and venue.</p> <p>a) The time allowed for each paper shall be at least four hours b) There shall be a separate answer sheet for each <i>Subject</i></p> <p>Note: Controller of Examinations shall develop detailed SOPs and after the approval of Rector, s/he shall disseminate across the University for seamless conduct of comprehensive exam</p>	
10	The marking of papers shall be centralized. The paper-setters shall mark the papers in the secrecy room of the office of Controller of Examinations.	
11	Announcement of Result by Controller of Examinations	
12	<ul style="list-style-type: none">▪ In case a student fails in one paper, s/he shall have to reappear in it as a 2nd attempt▪ In case a student fails in two or more papers, s/he shall have to reappear in all the papers as a 2nd attempt	
<p>Comprehensive Examination – Oral Part</p> <p>i. Student shall be eligible to appear in oral part of the comprehensive examination upon passing the written part. The Controller of Examinations shall notify the schedule for the oral comprehensive examination within four weeks after the result declaration of the written comprehensive examination.</p> <p>ii. For oral comprehensive examination, the BOS shall form a 04 members committee including one nominee of the Rector. The committee shall be duly notified by the Controller of Examinations.</p> <p>iii. The oral comprehensive examination shall be held through a notification by the Controller of Examinations at the scheduled date, time and venue.</p> <p>v. Upon completion of oral examination, the Controller of Examinations shall notify the oral examination result (Pass or Fail). There are no marks in oral exam.</p> <p>vi. In case a student fails to qualify oral part of the comprehensive examination, then the student shall be re-examined for oral only once, but within stipulated period.</p>		
<p>Note: If a student does not appear in the scheduled comprehensive exam, s/he shall be considered fail and his/her attempt shall be consumed.</p>		



Allocation of the Supervisor

STEP	ACTIVITY	DECISION TIME
01	<p>A formal request for the allocation of supervisor (01-05) duly signed by the student and proposed supervisor(s) (Annex A)</p> <p>OR</p> <p>A request (if already allocated) for change of supervisor (01-05) (Annex B)</p> <p>Note 1: For allocation of supervisor, the written consent of student and supervisor is mandatory.</p> <p>Note 2: For change of supervisor, the written consent of both existing supervisor, new supervisor and the student is mandatory particularly in the cases in which synopsis has already been approved by the BASR.</p>	<XX Days>
02	Approval by the BASR for the case(s) routed through proper channel	
03	Issuing of Supervisor(s) Allocation Letter (Annex C)	
04	Two satisfactory 'Quarterly Research Progress Reports (Annex D) ' in a calendar semester duly signed by the supervisor shall be submitted by a student for placement in student file and semester enrolment with zero credit hour.	
<p>Note:</p> <p>It is strongly suggested that the potential PhD supervisors (HEC approved) of the department shall arrange a formal session with the PhD candidates apprising about their research endeavors.</p>		



Research Proposal/Synopsis Presentation

STEP	ACTIVITY	DECISION TIME
01	Submission of the soft copy as per guidelines to the Convener DRC via email under intimation of the supervisor	<XX Days>
	Note: If needed, preliminary feedback to improve the synopsis in terms of general format, literature, references, methods etc. may be provided	
02	Submission of three hard copies of the synopsis along with a formal request and plagiarism report (Annex E) duly signed by the scholar and the supervisor	
03	Announcement of the Synopsis Defense Committee and presentation schedule (Annex F)	
	If suggested by DRC and agreed by the supervisor/student, pre-synopsis report may be provided before the open synopsis defense to make further improvement in the synopsis (Annex G)	
04	Conduct of the synopsis presentation and submission of the synopsis reports by the committee members (Annex H)	
	If required, revised synopsis submitted by scholar along with the response (Annex I) may be reviewed to verify for the correct and complete incorporation of the proposed changes (in case of major revision only) by the member(s) for the final decision (Annex J)	
05	Synopsis Approval Notification (Annex K) after the approval of BASR for cases routed through proper channel	



Submission of Thesis and Evaluation

STEP	ACTIVITY	DECISION TIME
01	Submission of the soft copy as per guidelines to the supervisor(s) via email	<XX Days>
02	Submission of the soft and hard copies of thesis along with a formal duly signed request for thesis evaluation (Annex M)	
03	Selection of the external examiner(s) for thesis evaluation as per policy and procedure	
04	Email and subsequent reminders to the external examiner(s) may be sent by the Controller of Examinations Evaluation reports from external examiners (Annex N) Incorporation of suggestions/recommendations of external examiner(s) by the student & supervisor and decision on the revision of thesis after evaluation (Annex O)	
05	Submission of three hard copies of the thesis	
06	Announcement of presentation schedule along with the names of two (02) local examiners (Annex P) after due approval of the Rector as per policy and procedure.	
07	Open Thesis Defense: Presentation, defense reports (Annex Q) and announcement by the local examiners	



08	Revised thesis to be submitted to supervisor(s) by the candidate along with para-wise response to the comments/suggestions of all examiners, confirming the incorporation of all the proposed changes (Annex R and S)	
09	Notification by Controller of Examinations about the successful defense of the PhD	
10	Submission of 7–10 hard-bound copies of the thesis	
11	Signing the copies by all concerned and distribution thereof	
12	Submission of case(s) to the Controller of Examinations for Issuance of transcript	
13	Issuance of transcript/Award of PhD degree	
Note: All the correspondences made by the Controller of Examinations shall be kept strictly confidential.		

Maintenance of Files and Folders

The concerned HoD shall ensure the maintenance of the following files at the department at all times (in addition to all other necessary files/folders/MISs/documents/evidences/notifications/circulars, etc.):

- 1) Program
- 2) Faculty
- 3) Student

Program Files

The program file shall contain at least the following documents:

- Provision in the Charter (copy of relevant page)
- Approval from UOL Statutory Bodies to Launch the Program (BoS, BoF, Academic Council)
- NOC from QAD-HEC (if the program is launched on or after November 07, 2013)
- Latest Program Scheme of Studies/Curriculum Along with the Complete Approval Trail
- Sample Copy of Transcript and Degree (in case student(s) have passed-out)

Faculty Files

The personal files of all faculty and staff shall be arranged in a way that they cover their entire life at the University. The documents shall be placed in chronological order that is, starting from job application form (bottom) and moving up with documents, till date. All faculty files shall contain at least the following documents:

- All Previous Academic Credentials and Experience Certificates
- Detailed CV and All the Previous Publications
- Appointment Letter
- Joining Report
- HEC Approved Supervisor letter (if applicable)
- HEC Equivalence Certificate in Case of Foreign Degree (if applicable)
- Letter(s) of Promotion/Additional Charge (if any)
- List of Publications in HEC/ISI/Scopus Listed Journals (after joining UOL)
- List of MS/MPhil/Equivalent and/or PhD Students Currently Being Supervised Along with the Dates of Allocation of Supervisor

Student Files

The student files shall be arranged in a chronological order that is, starting from student application form (bottom) and moving up with documents, till date.

All PhD student files shall contain at least the following documents:

- All Previous Educational Documents (equivalence certificate from IBCC in case of O/A level)
- Admission Application Form
- Admission Test Scores (GAT/GRE/University Test) and Name on the Merit List (highlighted)
- Offer for Admission Letter
- Proof of Completed Coursework Requirements
- Result of Comprehensive Exam
- All Required BASR Approvals (allocation of supervisor, approval of synopsis and approval of external examiner(s)/list of external examiners)
- Evaluation Reports of External Examiners
- Pages of Approved Thesis (from cover page to 'Certificate of Approval')
- Duly Signed Final Plagiarism Report of the Thesis
- All Extensions Applied and Granted

All MS/MPhil/Equivalent student files shall contain at least the following documents:

- All Previous Educational Documents (equivalence certificate from IBCC in case of O/A level)
- Admission Application Form
- Admission Test Scores (GAT/GRE/University Test) and Name on the Merit List (highlighted)
- Offer for Admission Letter
- Proof of Completed Coursework Requirements
- All Required BASR Approvals (allocation of supervisor, approval of synopsis and approval of external examiner(s)/list of external examiners)
- Pages of Approved Thesis (from cover page to 'Certificate of Approval')
- Duly Signed Final Plagiarism Report of the thesis
- All Extensions Applied and Granted

Note: Please REMOVE all other additional/extra documents that have already been placed in the above-mentioned files and place/arrange them separately for ready reference, as and when required.

Other Facilities

The HoD shall ensure the provision of all other facilities like state-of-the-art fully functional research labs, other research facilities, availability of latest books, journals, etc., as per the guidelines provided by the HEC and benchmark national/international standards.

QAA-HEC Forms

The concerned departments shall properly fill-in the QAA-HEC forms for PhD programs by the fourth week of each regular semester in letter and spirit. The copies shall be maintained at the department concerned for ready reference, as and when required.

Duty to Report

All UoL community members have the implicit duty to report to the authorities concerned, in good faith and without fear, any suspected research misconduct like fabrication, falsification and plagiarism, etc., and/or any incident where known facts indicate a possibility of a policy or a procedure violation.

Departmental Audit

QEC is vested with responsibility to conduct academic audit of the departments, libraries, etc., for checking the compliance status of the aforementioned policies & SOPs and reporting to the competent authorities of the University, accordingly.

Policies and SOPs Revision

These policies and SOPs shall be revised, as and when needed.

Note: The departments may use the forms/formats enclosed herein. They may also modify the forms/formats, except the cover page of thesis (Annex U), to cater to the unique requirements of the varied PhD degree programs.



THE
UNIVERSITY OF
LAHORE



[Department/School/College]
The University of Lahore

Logo _____
Date: _____

REQUEST FOR SUPERVISOR ALLOCATION

Mr. / Ms. _____ Registration No. _____
Submitted that all coursework requirements of the PhD < > have been met.

Comprehensive exam passed on _____
Current CGPA is _____
Area of Interest _____

Supervisor (01)
Name _____
Affiliation (University) _____
Area of Specialization _____

Acceptance of Supervisor (01) _____
Supervisor (02 03 04 05)
Name _____
Affiliation (University) _____
Area of Specialization _____

Acceptance of Supervisor (02 03 04 05) _____

Student Signature

Convener



THE
UNIVERSITY OF
LAHORE



ANNEX B

[Department/School/College]
The University of Lahore

Logo
Date: _____

REQUEST FOR CHANGE OF SUPERVISOR

Mr. / Ms. _____ Registration No. _____
Submitted that I passed the comprehensive exam on _____ and my CGPA is _____.

Need to change the Supervisor (01 02 03 04 05)

Name _____
Affiliation (University) _____
Area of Specialization _____

Acceptance of Supervisor (01 02 03 04 05)

New Supervisor

Name _____
Affiliation (University) _____
Area of Specialization Acceptance _____

of New Supervisor Reason(s) for

changing the Supervisor _____

Student Signature

Convener DRC



THE
UNIVERSITY OF
LAHORE



ANNEX C

[Department/School/College]
The University of Lahore

Logo
Date: _____

SUPERVISOR ALLOCATION

Dear Student,

We are pleased to inform you that the competent authority has approved the following as your research supervisor(s):

Supervisor (01)	Student
Dr. XYZ email: Supervisor(s) (02 to 05) (If any)	Name Reg # Program

You are advised to contact your supervisor(s) within one week after the receipt of this letter. During your entire research tenure, you are required to submit your quarterly research progress report (Annex D) duly signed by the supervisor to the convener DRC.

Regards,

Convener DRC

Cc: Supervisor

Supervisor 02-05 (if any)



ANNEX D

RESEARCH PROGRESS REPORT

Reg. ID	Candidate's Name	Progra
		PhD < >
Duration Utilized So For	Synopsis/Thesis Title	Field
Year(s)		
(If any, since last report)	Statu s	Last Report Date
<ul style="list-style-type: none"> • Yes • No 		
Expected Time Frame	Supervisor Remarks	Statu
		<ul style="list-style-type: none"> • Absent • Below Average • Average • Above Average • Satisfactory • Fair • Good • Excellent
Date	Supervisor Signature	Candidate Signature



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ANNEX E

[Department/School/College]
The University of Lahore

Logo
Date: _____

REQUEST FOR SYNOPSIS SUBMISSION

To

Head of Department

Mr. / Ms. _____ Registration No. _____

Submitted that I passed the comprehensive exam on _____ and my GPA is _____.

Enclosing three hard copies of the synopsis duly signed by supervisor as per prescribed format.

Name of Supervisor _____

Synopsis Title:

Candidate Signature

Supervisor's Signature

Convener DRC



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LAHORE



ANNEX F

[Department/School/College]
The University of Lahore

Logo

Date: _____

PRESENTATION SCHEDULE

Sr. No.	Candidate	Synopsis Defense Committee	Title	Time/Date/ Venue
1.		1. Dr. 2. Dr. 3. Dr. (Supervisor)		
2.		1. Dr. 2. Dr. 3. Dr. (Supervisor)		

Candidate Signature

Supervisor's Signature

Convener DRC



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ANNEX G

[Department/School/College]

The University of Lahore

Logo

Date: _____

PRE-SYNOPSIS REPORT

Student Name:

Registration

No: Supervisor:

Synopsis Title:

1 Dr.

2 Dr.

Comments (Dr.) _____



Comments (Dr.) _____

In view of comments the _____ synopsis is:

- | | | | |
|----|----------------------|--------------------------|-------------------------------------|
| 1. | Well documented | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 2. | Needs minor revision | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 3. | Needs major revision | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

Recommendations: (Please use extra sheet if required):

Signatures

Signatures



THE
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ANNEX H

[Department/School/College]

The University of Lahore

Logo

Date: _____

SYNOPSIS REPORT

Student Name:

Registration

No:

Supervisor:

Synopsis Title:

Internal

Members:

1. Dr.

2. Dr.

Comments (Dr.) _____



Comments (Dr.) _____

In view of comments the _____ synopsis is:

- | | | | |
|----|----------------------|-------------------------------------|-------------------------------------|
| 1. | Well documented | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| 2. | Needs minor revision | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| 3. | Needs major revision | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |

Recommendations: (Please use extra sheet if required):

Signatures Member 1

Signatures Member 2



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ANNEX I

[Department/School/College]

The University of Lahore

Logo

Date: _____

SUBMISSION OF REVISED SYNOPSIS AFTER DEFENSE

1. Name of Student	
2. Registration No.	
3. Degree	
4. Research Title	

Comments/Recommendations	Student's Response/Actions
Member 1:	



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Member 2:	

Signature & Date

Candidate

Supervisor



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ANNEX J

[Department/School/College]

The University of Lahore

Logo

Date: _____

REPORT ON THE REVISED SYNOPSIS AFTER DEFENSE

Student Name:

Registration No:

Comprehensive

Exam:

Supervisor:

Synopsis Title:

Internal

Members:

1 Dr.

2. Dr.

Comments (Dr.) _____



Comments (Dr.) _____

In view of comments the _____ synopsis is:

- | | | | |
|----|----------------------|--------------------------|-------------------------------------|
| 1. | Well documented | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 2. | Needs minor revision | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 3. | Needs major revision | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

Recommendations: (Please use extra sheet if required):

Signature

Signature



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ANNEX K

[Department/School/College]

The University of Lahore

Logo

Date: _____

SYNOPSIS DECISION

Mr. /Ms. _____ Reg. No. _____ is enrolled in _____

Program. Subsequent to the successful synopsis defense, the competent authority has approved the synopsis

_____ presented by him/her on _____

Convener DRC



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LAHORE



[Department/School/College]

The University of Lahore

Logo

Date: _____

REQUEST FOR COMPREHENSIVE EXAMINATION

Coursework Subjects:

1. Teacher:
2. Teacher:
3. Teacher:
4. Teacher:
5. Teacher:
6. Teacher:
7. Teacher:
8. Teacher:

Note: Questions shall be asked from each subject mentioned above in three separate exam papers

Name	
Reg No	
Program	



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ANNEX M

[Department/School/College]

The University of Lahore

Logo

Date: _____

REQUEST FOR THESIS SUBMISSION

Mr. /Ms. _____ Reg. No. _____

Certifies that all study requirements of the PhD program have been met. Current CGPA is _____.
Comprehensive
Examination has been passed on _____.

Enclosing the duly signed hard copy of the thesis. The soft copy has been sent via email to the Head DRC.

I have no objection to paying the honorarium to the external experts, and I understand that this may cost up to USD _____
per evaluation report and that the department may seek more than two reports if needed.

Name of Supervisor is _____.

Title of thesis: _____

Student's Signature

Supervisor's Signature

Convener DRC



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ANNEX N

[Department/School/College]

The University of Lahore

Logo

Date: _____

PHD THESIS EVALUATION REPORT

Name of Student	
Registration No.	
Degree	
Title of thesis	

Name of the External Examiner: Dr.

Comments of the Examiner (Please use extra sheet (s) if required - there is no maximum length-limit)

In view of comments the thesis
is:

(Please tick one option for each item)

Yes

NO

1. Well documented
2. Contains sufficient new material
3. Needs minor revision
4. Needs major revision

☐☐☐☐☐☐☐☐

Recommendations: (Please use extra sheet if required):

--

Signature & Date

ANNEX O

[Department/School/College]
The University of Lahore

Logo

Date: _____

DECISION ON REVISION OF THESIS AFTER EXTERNAL EVALUATION

1. Name of Student	
2. Registration No.	
3. Degree	
4. Supervisor	Dr.
5. Research Title	

The student has successfully incorporated the suggestions of the external examiners. Therefore, the thesis is approved for further processing.

Convener DRC



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ANNEX P

[Department/School/College]

The University of Lahore

Logo

Date: _____

PRESENTATION SCHEDULE

Candidate	Local Examiners	Title	Date/Venue
	1. Dr. 2. Dr. 3. Dr. (Supervisor)		

Member DRC

Member DRC

Convener DRC



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ANNEX Q

[Department/School/College]

The University of Lahore

Logo

Date: _____

THESIS DEFENSE REPORT

Name of Student	
Registration No.	
Degree	
Supervisor	Dr.
Title of thesis	

Name of the Local Examiner: Dr.

Comments of the Local Examiner (Please use extra sheet (s) if required - there is no maximum length limit)





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ANNEX R

[Department/School/College]
The University of Lahore

Logo
Date: _____

REVISED THESIS DEFENSE REPORT

Name of Student	
Registration No.	
Degree	
Supervisor	Dr.
Title of thesis	

Comments/Recommendation	Student's Response/Actions
External Examiner 1:	
External Examiner 2:	



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Local Examiner 1:	
Local Examiner 2:	

Signature & Date:

Candidate

Supervisor



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ANNEX S

[Department/School/College]

The University of Lahore

Logo

Date: _____

NOTIFICATION

Student Name:

Registration

No: Supervisor:

Dr.

Thesis Title: _____

The Student has successfully incorporated the comments/recommendations of examiners, after the open defense.

Convener DRC

CC: Controller of Examinations
Head of
Department



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ANNEX T

Ref # UOL/Department/

Date: _____

CERTIFICATION LETTER

Name of Student: _____
Registration No.: _____
Thesis Title: _____

Name of Supervisor: _____
Employee No. _____
Department: _____

Overall Similarity Index: _____
Highest Similarity Index to One Single Source: _____

Turnitin ID: _____
Turnitin File Name: _____

Certified By:

Student

Supervisor

Convener DRC

ANNEX U

TITLE OF THESIS
(20 FONT SIZE, UPPERCASES AND BOLD)

A Thesis Submitted
by

NAME IN BLOCK LETTERS (without title e.g. Dr.,
Mr.) (Font size 16 with single space) Registration
No.



In the Partial Fulfilment for the Award of
Title of Degree without abbreviations (font 16 bold)

Supervisor (01): Name (font 14 bold)

Supervisor (02-05): Name (font 14 bold)

Department Name _____

Faculty Name (font
18) (20..-20..)



1-km, Defence Road, Near Bhupatian
Chowk, Raiwind Road, Lahore

+92 42 111 865 865