

# Presidency University Ph.D. Regulations 2017

## Regulations for Award of the Degree of Doctor of Philosophy (Ph.D.) in Natural and Mathematical Sciences, Humanities and Social Sciences [with effect from 2017]

These Regulations aim to establish a high quality Doctoral program towards the achievement of Academic Excellence in conformity with UGC Regulations, 2016.

### **1. GENERAL**

These regulations shall be called the Regulations for the Doctorate of Philosophy (or Ph.D. Regulations) and shall govern the Ph.D. programme of the University with minimum standard and procedure in compliance with the UGC Ph.D. Regulations, 2016.

### **2. ELIGIBILITY CRITERIA FOR ADMISSION TO PhD PROGRAM**

2.1 Candidates for admission to the Ph.D. program shall have a Master's degree with at least 55% of marks in aggregate or its equivalent grade.

2.2 A relaxation of 5% of marks or an equivalent relaxation of grade may be allowed for those belonging to SC/ST/OBC-A/OBC-B as per UGC guide lines.

## PROCEDURE FOR ADMISSION

3.1 Only UGC-CSIR NET/UGC NET and NET-LS qualified candidates will be eligible to

apply for enrollment to Ph.D. program. NET-LS qualification should be the minimum criteria for such applications.

3.2 Selection on the basis of such applications may be conducted by a selection committee henceforth it will be called 'Departmental Ph.D. Selection Committee'. The composition of the selection committee will be as follows:

1) Dean of Respective Faculty (Chairperson)

2) Departmental Ph.D. Committee

3.3 For selection of research scholars for Ph.D program, applications from the eligible candidates as stated in clause-1 may be collected through open advertisement by the University (normally twice a year).

3.4 Part time Ph.D. scholars will not be allowed for laboratory based research.

## ALLOCATION OF RESEARCH SUPERVISORS

4.1 Only a full time regular teacher of the University can act as a Supervisor/Co-supervisor. The external supervisors shall not be allowed.

4.2 Any regular Professor of the University with at least five research publications in referred/ peer-reviewed journals and any regular Associate/Assistant Professor of the University with the completion of three years after Ph.D degree and at least two research publications in referred journals may be recognized as Research Supervisor.

4.3 A Research Supervisor/Co-supervisor, at any given point of time, cannot guide more than two Ph.D scholars. However, Hon'ble Vice-Chancellor may allow more scholars on case to case basis to a faculty member depending on the merit of the case not exceeding the UGC stipulation in this regard.

4.4 The allocation of Research Supervisor for a selected research scholar shall be decided by the Departmental Research Committee depending on the number of scholars per Research Supervisor, the available specialization among the supervisors and research interests of the scholars as indicated by them at the time of interview/viva-voce.

4.5 In case of topics which are of inter-disciplinary nature where the Department concerned feels that the expertise in the Department has to be supplemented from the outside, the Department may appoint a Research Supervisor from the Department itself, who shall be known as the Research Supervisor, and a Co-Supervisor from another Department of the University.

4.6 Only one research scholar per faculty member will receive funding from the University, if available, through 'University Research Fellowship'.

4.7 Any faculty member of the University whose service is due more than 5 years will be allowed to take fresh Ph.D students.

## COURSE WORK

5.1 The credit assigned to the Ph.D course work shall be of 16 credits. These courses must be successfully completed within TWO years of enrollment. Grades in the course work, including research methodology courses, shall be finalized after a combined assessment by the Research Advisory Committee to the University, with a copy to the research scholar. Examination on the course work shall be conducted by the office of the Controller of Examinations of this University.

5.2 The course work shall be treated as prerequisite for the Ph.D program. A minimum of 4 credits shall be assigned to one or more courses on Research Methodology which could cover areas such as quantitative methods, computer applications, research ethics and review of published research work in the relevant field, training, field work etc.

5.3 A Ph.D scholar has to obtain a minimum of CGPA= 6.25 in the course work in order to be eligible to continue in the program and submit the thesis. However, he/she should obtain minimum of C grade in each course.

5.4 A fee determined by the University shall be paid by a enrolled candidate for appearing at the examination for the course(s) mentioned above, and an Application form submitted.

## RESEARCH ADVISORY COMMITTEE (PhD Students)

6.1 There shall be a Research Advisory Committee (RAC), or its equivalent body for similar purpose as defined in the Statutes of the University for each Ph.D. scholar. The RAC shall have the following responsibilities:

- (1) To review the research proposal and finalize the topic of the research.
- (2) To guide the research scholar to develop the study design and methodology of research, and
- (3) To periodically review and assist in the progress of the research work of the research scholar in every six month duration.

6.2 A research scholar shall appear before the Research Advisory Committee (RAC) once in six months to make a presentation of the progress of his/her work for evaluation and further guidance.

## REGISTRATION

7.1 The student should formally apply for registration in a prescribed form issued by the university.

If the Doctorate Committee accepts the candidate for registration then she/he shall have to register her/his name within one month of the date on which the decision of the Committee is communicated to her/him, by paying a registration fee plus such other fees duly determined by the University.

7.2 Registration for Ph.D. degree shall be granted to a candidate provided that the Doctorate

Committee is satisfied that:

- a) The candidate satisfies the requirements for eligibility as laid down under clause-2.
- b) It shall be possible for the candidate to maintain regular contact with her/his Supervisor throughout the entire period of her/his work, and
- c) The part of the work, if any, can be carried out at this University or in other recognized University or institution or research organization or Industry (national or international) where adequate facilities for carrying out such work exist.

7.3 Every application for registration shall state the subject or the interdisciplinary field in which the candidate wishes to obtain the degree, the chosen area of specialization, the proposed title of the research work, the name of the Supervisor, or the names of the Joint Supervisors. The application shall be accompanied by six copies of a synopsis (of not more than 1000 words) of the proposed research work. The synopsis shall include the title of the research work, a short introduction, a brief review of the literature, a note on methodology pertaining to the work and the plan of work and shall be duly countersigned by the Supervisor or the Joint Supervisors.

7.4 The proposed title of the work can be modified at a later stage, if necessary. For this purpose the candidate shall submit an application to the Vice-Chancellor duly forwarded by the Supervisor and the Convener of the concerned Doctorate Committee. However, such modification will not be permitted after submission of the pre-submission Seminar Report by the Research Advisory Committee (RAC).

7.5 An application for registration shall be considered by the relevant Research Advisory Committee (RAC) at a meeting in the presence of the Supervisor (or at least one of the Joint Supervisors). The candidate will be asked to make a presentation on the proposed title of research and the recommendation of the Research Advisory Committee (RAC) will be forwarded to the Doctorate Committee by the Convener of the Research Advisory Committee (RAC) for necessary orders. The candidate will be allowed to register for the Ph.D. Programme, if the Doctorate Committee **ratifies** the same.

7.6 If the Research Advisory Committee (RAC) does not find it possible to make a positive recommendation to the Doctorate Committee in this regard, the candidate may resubmit the application, ordinarily within three months, after revision of the synopsis in the light of the suggestions made by the Research Advisory Committee (RAC).

7.7 If the Research Advisory Committee (RAC) does not recommend the application even after the revision, the matter may be placed before the concerned Doctorate Committee. The decision of the Doctorate Committee, taken in a meeting, shall be final in the matter.

7.8 Ordinarily a candidate will be registered for the Ph.D. degree in the subject in which the candidate has a Master's Degree. In case a candidate applies for registration in a different subject, the matter will be decided by the Research Advisory Committee (RAC) in the subject in which the candidate desires to be registered.

7.9 Registration shall remain valid for five years from the date of registration. The respective Doctorate Committee may, however, extend the period of registration beyond five years on the merit of individual cases, provided that such extension shall not exceed two years.

7.10 A registered candidate shall abide by such rules and regulations of the university and also the guidelines as may be prescribed by the Doctorate Committee from time to time. A registered candidate shall submit a progress report in duplicate to the office of the Research Cell through the Supervisor (s) once in every completed year of research.

7.11 The candidate may apply to the Registrar for cancellation of registration stating reasons, and such application, preferably forwarded by the Supervisor(s), must be placed and recorded at the meeting of the respective Doctorate Committee. If approved, the candidate's registration will be cancelled.

7.12 A candidate's registration may also be cancelled by the University if the candidate does not fulfill above criteria or violates any rules and regulations of the University. In such cases, the Supervisor(s) may recommend to the Registrar through the Research Advisory Committee (RAC) for cancellation of his/her registration. The matter shall be placed at the meeting of the respective Doctorate Committee and the candidate will be notified in writing to be present before the respective Doctorate Committee.

The final decision will be taken by the Doctorate Committee after obtaining the candidate's reply within a stipulated period of time.

## SUBMISSION AND EVALUATION

8.1 A registered candidate shall have to work for a minimum period of **two years** after registration. If the Supervisor certifies that the candidate has carried on research for two years and that the thesis embodies at least two years' work, then the Doctorate Committee on recommendation of the Research Advisory Committee (RAC) may permit a candidate to submit his/her thesis one year after the successful completion of coursework.

8.2 A student must have at least one research publication in a refereed journal, out of his/her doctoral research work, and produce presentation certificates for two paper presentations made at conferences/seminars prior to submission and shall produce evidence for the same in the form of acceptance letter or offprint to the Research Advisory Committee (RAC).

8.3 Ordinarily, six months prior to submission of thesis, the candidate shall, through the Supervisor/Convener of the Research Advisory Committee (RAC) six copies of the summary of work preferably within **5000 words**. The same shall be circulated by the Convener to the members of the Research Advisory Committee (RAC). Committee at least fifteen days before holding a pre-submission Seminar. In the pre-submission Seminar, the candidate shall report the research work before the Research Advisory Committee (RAC) which shall also be open to all faculty members and other research scholars. Notice of the Seminar shall be circulated and the same may be put up on the Departmental Notice Board.

8.4 During the seminar any member of the Research Advisory Committee (RAC) may put forward specific suggestions, if any, to the candidate and, if necessary, in writing. The candidate will be required to work upon the suggestions given by the Committee in consultation with the Supervisor(s). If required, the Research Advisory Committee (RAC) may ask the candidate to re-appear at the seminar. Immediately after the Seminar, the convener of the Research Advisory Committee (RAC) shall forward to the concerned Doctoral Committee a report in the prescribed form, on the performance of the candidate.

8.5 At least two months prior to submission of the thesis, the Supervisor and the members of the Research Advisory Committee (RAC) shall meet to prepare a panel of six experts for the written part of the thesis (at least three from outside the state) and a panel of three experts for the viva-voce and send it to the Doctoral Committee. The Research Cell shall forthwith send to the Registrar the recommended panels of experts to seek their consent for adjudication of the thesis and for the viva-voce, along with eight copies of the abstract of the thesis of the candidate, not exceeding 350 words (Submission in electronic format may also be allowed).

8.6 A registered candidate shall have to submit four hard copies (the number may be determined separately in case joint supervision) and one electronic copy of the thesis duly recommended by the supervisor(s) embodying the results of the research she/he has carried out together with four copies of the synopsis of the thesis. The copies of the thesis should be submitted to the Research Cell, addressed to Registrar, together with a receipt of the non-refundable fees (to be decided by the university from time to time) paid to this University for this purpose.

8.7 The candidate shall also deposit a fee, as decided by the University from time to time, along with a prescribed form duly filled in by the candidate, a certificate from the Supervisor, as well as attested copies of necessary documents at the time of submission of the thesis.

8.8 The candidate may also submit in support of the thesis the contents of any work which may have been done previously by him/her, but the candidate shall not submit any work for which a degree or distinction has been conferred on the candidate by this or by any other University. The candidate will not, however, be precluded from incorporating any such work in a thesis covering a wider field, provided a clear statement of the work so incorporated is given.

8.9 The Research Advisory Committee (RAC) shall appoint a panel of three examiners including the Supervisor (or four experts, if there is Joint Supervisor), out of which at least one shall be from outside the

State, after considering the recommendation of the relevant Research Advisory Committee (RAC) for adjudication of the thesis (The adjudicators/examiners shall send the report in the prescribed format).

In case of independent submission of the thesis by the candidate with the permission of the Vice Chancellor, the Doctorate Committee shall appoint a panel of two examiners out of which at least one shall be from outside the State, after considering the recommendation of the Research Advisory Committee (RAC) for adjudication of the thesis (The adjudicators/examiners shall send the report in the prescribed format).

8.10 External examiners will be requested to state their opinion within three months from the date of receipt of the thesis in the prescribed form that has the following options:

(a) The candidate may be awarded the PhD degree of the University

(b) The candidate may be awarded the PhD degree of the University provided that the following modifications are addressed in a separate addendum. The Examiners present at the viva voce must certify that the modifications are satisfactorily addressed, failing which the thesis must be resubmitted after addressing the suggested modifications.

(c) The candidate may be awarded the PhD degree only after addressing the following questions and resubmitting the thesis.

(d) The candidate will not be awarded the PhD degree of this university.

8.11 When a thesis is unanimously and unconditionally recommended for the Degree by all the examiners, the candidate will be eligible for appearing at the viva-voce.

8.12 If there is any ambiguity or conditionality in the reports of the examiners, the Doctorate Committee on the advice of the Research Advisory Committee (RAC) may consider the appointment of a third external examiner.

8.13 In case of non-recommendation by one of the external examiners, the Vice Chancellor may consider the appointment of a third external examiner from the existing panel of examiners.

In case of non-recommendation by both the of the external examiners, the candidate will not be eligible for viva-voce and the Ph. D. degree will not be awarded to the candidate for that research work reflected in thesis.

## CONSTITUTION OF THE Ph.D. COMMITTEE

9.1 The Ph.D. Programme shall be monitored by the relevant Doctorate Committee with the help of the Research Advisory Committee (RAC) and the Ph.D. Committee of the Department which will be referred to as the Departmental Ph.D. committee.

9.2 The **Doctorate Committee** shall be constituted as follows:

- a) Respective Dean of the Faculty – Chairperson
- b) One Professor of the relevant faculty, nominated by the Vice-Chancellor/Vice-Chairperson
- c) All other Professors of the relevant faculty
- d) All Heads of the Departments of the concerned faculty
- e) Four subject experts from outside the University, nominated by Presidency Council/Appropriate Body of Governance of the university for a maximum period of four years.
- f) Two subject experts of whom at least one must be from outside the University, nominated by Vice Chancellor for a maximum period of four years.
- g) Controller of Examinations
- h) Registrar – Member Secretary

One fourth of the total regular members of Doctorate Committee will constitute the quorum for the meeting. The presence of at least two of the external experts is mandatory.

9.3 The Doctorate Committee of the concerned faculty shall constitute Research Advisory Committee (RAC) and the Departmental Ph.D. Committee in consultation with the relevant Department.

9.4 A **Departmental Ph.D. Committee** shall be constituted as follows:

- a) A Professor of the Department nominated by the Vice Chancellor - Chairperson
- b) One member of the Doctorate Committee related to the department nominated by the Vice Chancellor for a maximum period of four years
- c) Supervisor(s) concerned (invited for items related to candidates working under her/his supervision)
- d) Four subject experts of whom at least two must be from outside the University, nominated by Departmental Board of Studies (BOS) for a maximum period of four years
- e) Head of the concerned Department - Convener

9.5 The **Research Advisory Committee (RAC)** for a Ph.D. scholar shall assume similar structure as that of Departmental Ph.D. Committee. The supervisor of the respective Ph.D. scholar shall be the convener of the Research Advisory Committee.

## VIVA-VOCE

10.1 At the viva-voce, the candidate shall be examined by the Supervisor (if there is any) and an expert to be appointed by the Doctorate Committee from the panel recommended by the Research Advisory Committee (RAC). It will be an open session, the date and time of which will be communicated to the members of the Research Advisory Committee (RAC) so as to enable them to attend the viva-voce. Copies of reports of the adjudicators on the written part of the thesis shall be sent to the examiners conducting the viva-voce and also to the candidate prior to the viva-voce. During viva-voce the candidate shall respond to the suggestions made by the examiners, if any, in writing which will be forwarded by the viva-voce examiners to the Research Cell, addressed to the Registrar, along with the viva voce report.

10.2 The examiners of the viva-voce shall jointly submit a report to the Research Cell, addressed to the Registrar, on the performance of the candidate at the said examination, clearly indicating whether the candidate deserves to be admitted to the Ph.D. Degree. If the candidate fails to satisfy the examiners at the viva-voce, the candidate shall be allowed by the Doctoral Committee to appear again at a viva-voce after a period of three months from the date of the first viva-voce.

10.3 The Dean/Chairperson of Doctorate Committee, after considering the reports on the thesis and the viva-voce, shall recommend to the Presidency Council/Appropriate Body of Governance of the university regarding the award of the Ph.D. Degree to the candidate.

10.4 In case a candidate is not awarded the Degree on the basis of reports of the adjudicators or of the viva-voce examiners, the Dean/ Chairperson of Doctorate Committee on the recommendation of the Doctorate Committee of the concerned Faculty may permit the candidate to resubmit the thesis after necessary corrections or modifications after six months but within two years from the date on payment of usual fee for submission.

10.5 A copy of the thesis accepted for the Degree of Doctor of Philosophy, with necessary corrections or modifications, if there be any, shall be retained in the University Library.

10.6 Abstracts, written in English, of all theses, accepted by the University, will also be sent to the 'Dissertation Abstracts International' by the Registrar for publication immediately after the candidate is admitted to the Degree.

## DEPOSITORY WITH UGC

11.1 Following the successful completion of the evaluation process and announcement of the award of Ph.D. the University shall submit a soft copy of the Ph.D. thesis to the UGC for hosting the same in INFLIBNET, accessible to all Institutions/Universities.

11.2 Along with the Degree, the University shall issue a Provisional Certificate certifying to the effect that the Degree has been awarded in accordance with the provisions of the Regulations of the UGC.

## REVOCATION OF DEGREE

The University shall have the power to revoke any Ph.D. degree conferred duly if the candidate is subsequently proved guilty of plagiarism, falsification / copying of data / information or any other form of academic or ethical malpractice. The decision of the Presidency Council/Appropriate Body of Governance of the university shall be final.