

## Presidency University

### Regulations for Award of the Degree of Doctor of Philosophy (Ph.D.)

#### Preamble

**This Regulation aims to establish a high quality Doctoral program towards the achievement of Academic Excellence in conformity with UGC Regulations and with scope for Academic Collaboration with various universities/institutes of international/national repute.**

#### 1. GENERAL:

- 1.1 These regulations shall be called the Regulations for the Degree of Doctor of Philosophy (or Ph.D. Regulations) and shall govern the Ph.D. Programme of this University, in compliance with UGC Ph. D. Guidelines of 2009.
- 1.2 The Ph.D. Programme shall consist of two parts: (1) Course Work and (2) Research Work for the Ph.D. degree. Part (2) can be undertaken by a candidate only after successful completion of Part (1) and registration for the Ph.D. degree. On completion of the research work a candidate shall submit to the University a thesis incorporating the results of the research. The thesis is to be ordinarily written in English.
- 1.4 The Degree of Doctor of Philosophy (Ph.D.) shall be awarded to a candidate on the basis of original research work of merit incorporated in a thesis, recommended by a board of examiners and successfully defended by the candidate during a Viva-Voce.

#### 2. PROCEDURE FOR ADMISSION:

- 2.1 The application for admission to the Doctor of Philosophy (Ph.D.) programme is to be made to the Registrar in the prescribed form.
- 2.2 A person who has obtained the Master's degree in any discipline from any University or other Institution (National or International) recognized by this University, or such other degree as may be considered sufficient for this purpose by the University, will be eligible to apply for admission to the Doctor of Philosophy (Ph.D.) programme.
- 2.3 A person who has obtained a Post-graduate Diploma/Degree of less than two years' duration from any University or Institution recognized by this University is eligible to apply for admission to the Doctor of Philosophy (Ph.D.) programme provided that such candidate has completed at least a total of five years' of graduate and postgraduate study in a recognized university or Institution (National or International).

- 2.4 A candidate shall submit a statement that she/he is not currently enrolled as a student in any course of studies or registered for the doctorate degree in any University and shall undertake not to be thus enrolled or registered as long as he is registered for Ph.D. degree at this University.
- 2.5 Candidates who have an M.Phil./M.Tech/M.Pharm. or a degree deemed equivalent by the respective Doctorate Committee, or in case of candidates who have qualified in the NET/SET/SLET/GATE/Teacher Fellow or any other national or international benchmark examination that may be deemed equivalent by the Doctorate Committee, will have to appear directly in the interview on the subject to be conducted by the Departmental Ph. D. Committee, constituted as per clause 7.2, to qualify for admission.
- 2.6 In all other cases the candidate will have to be successful in the admission test to be conducted by the respective Doctorate Committee of the University and if qualified, will have to be successful in the interview on the subject to be conducted by the Departmental Ph. D. Committee, constituted as per clause 7.2, to qualify for admission.
- 2.7 On completion of the admission procedure, a list of qualified candidates (preferably mentioning their area(s) of research interest(s)) will be published and displayed by the University through the office of the respective Department.
- 2.8 Each Department shall suggest the number of students to be admitted to the Ph.D. programme in each session (normally July and January) and that shall be finalized by the respective Doctorate Committee. Admission test schedule along with intake shall be notified at least once in every year.
- 2.9 Foreign students will be required to produce clearance from the Government of India and / or other appropriate authorities, if any, before finalizing the admission on the basis of the offer of Provisional Admission in the Ph.D. Programme. Enrolment in the Ph.D. Programme may be allowed to only such foreign nationals as have obtained and are holding research visa.
- 2.10 Candidates selected for the Ph.D. Programme will be attached to a research supervisor in the Department at the time of their admission and shall be required to enroll as a probationary Ph.D. student on payment of a non-refundable fee determined by the University.
- 2.11 While granting admission to a Ph.D. student, the concerned Department shall abide by the National/State reservation policy.
- 2.12 A probationary Ph.D. student will be required to complete his/her Ph.D. registration within two years from the date of his/her Enrolment, failing which his/her admission in the Ph.D. Programme shall automatically stand cancelled.

**3. COURSE WORK:**

- 3.1 The candidate, if she/he does not have an M.Phil/M.Tech/M.Pharm. or a degree deemed equivalent by the respective Doctorate Committee but qualifies under 2.2 & 2.3, will have to satisfactorily complete four courses, of which one course shall be on research methodology. The course work shall be of minimum one semester duration.
- 3.2 The candidate with the approval of the supervisor(s) may choose courses from the regular Post Graduate Courses or equivalent Ph.D. level courses offered by the University or courses deemed equivalent by the respective Doctorate Committee from any Institute (national or international) as approved by Presidency University.
- 3.3 Examinations on the course work shall be conducted by the office of the Controller of Examinations of this University. Each course will be of 4 credits. These courses must be successfully completed within two years of admission and copies of the Grade Card indicating the credit points (which are earned/transferred/exempted) so obtained by the candidate have to be submitted to the respective Doctorate Committee through the supervisor(s) concerned for inclusion in the student's record in the Research Cell.
- 3.4 A fee determined by the University shall be paid by a registered candidate for appearing at the examination for the course(s) mentioned above, and an Application form submitted.

**4. REGISTRATION**

- 4.1 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.

- 4.2 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.

- d) There is evidence that the person qualified under 5.1 is willing to act as supervisor for the candidate.
- 4.3 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, as well as the University Department or recognized research institute where the work will be carried out. 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.
- 4.4 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 Departmental Ph.D. Committee (vide clause 6.3).
- 4.5 An application for registration shall be considered by the relevant Ph.D. Committee 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 Departmental Ph.D. Committee will be forwarded to the Doctorate Committee by the Convener of the Departmental Ph.D. Committee for necessary orders. The candidate will be allowed to register for the Ph.D. Programme, if the Doctorate Committee ratifies the same.
- 4.6 If the Departmental Ph.D. Committee 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 Ph.D. Committee.
- 4.7 If the Ph.D. Committee 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.
- 4.8 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 Ph.D. Committee in the subject in which the candidate desires to be registered.
- 4.9 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.

- 4.10 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.

- 4.11 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.

- 4.12 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 Departmental Research Committee 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.

## 5. SUPERVISION OF RESEARCH WORK FOR Ph.D.

- 5.1 The Supervisor under whom a registered candidate shall have to work shall be normally a teacher of this University holding a Doctorate degree or possessing adequate research experience as evidenced by publications, provided that if the teacher her/himself is registered for the Ph.D. degree, she/he shall not be eligible for appointment as Supervisor till she/he is awarded the degree.

However, the Doctorate Committee may appoint a Supervisor from outside this University. A Teacher / Scientist from any University / Institute / Research Organization (national or international) who wishes to supervise a registered candidate of this University for the first time has to apply in the prescribed form, forwarded by the head of the institution, and that has to be approved by the Doctorate Committee.

The Departmental Ph.D. Committee may appoint a supervisor from the Officers of the University possessing adequate research experience as evident by publications.

In case of collaborative research work, teachers/academic staff of other recognized Universities / Institutes (national or international) may be allowed to act as Joint Supervisors, if deemed fit by relevant Ph.D. Committee.

5.2 The Ph.D. Programme shall be pursued by a candidate ordinarily for a minimum period of two years after registration in Departments or Institutions (national or international) recognized by this University, under the supervision of the recognized Research Supervisor(s).

5.3 If after registration, a change of Supervisor or of the Joint Supervisor or of both is considered necessary, the candidate may apply to the relevant Ph.D. Committee through the proposed supervisor for the purpose, and with the concurrence of the previous Supervisor, ordinarily within one year from the date of registration.

The relevant Departmental Ph.D. Committee will forward such applications to the concerned Doctorate Committee for approval.

In case of continuous non-availability of the Supervisor(s), the Departmental Ph.D. Committee may, on request by the candidate, recommend suitable replacement(s).

The Vice Chancellor on the recommendation of the Departmental Ph.D. Committee and Doctorate Committee may also allow such candidates to submit their thesis independently.

In the event of the death of a Supervisor, the Departmental Ph.D. Committee, on being requested by the candidate, shall recommend to the Vice-Chancellor another recognized Supervisor for supervision of the research work.

5.4 The number of Ph.D. candidates of this University annually shall be such as may be determined by the concerned department from time to time in accordance with U.G.C. regulations. A Supervisor shall not have at any given point of time more than 8 Ph.D. students, including the cases of Joint supervision, (at Presidency University and/or elsewhere).

5.5 The allocation of a supervisor for a selected candidate shall be decided by the Departmental Ph.D. Committee depending on the number of candidates working under the guidance of each supervisor, the available specialization among the faculty supervisors, the research interest of the candidate as indicated during the interview by the candidate and finally in consultation with the respective candidate and the faculty member. The allotment/allocation of supervisor shall not be left to the individual candidate or teacher except where the terms and conditions of the research fellowship/grant enjoyed by the candidate determine the choice of the supervisor.

**6. SUBMISSION AND EVALUATION:**

- 6.1 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 Ph.D. Research Committee may permit a candidate to submit his/her thesis one year after the successful completion of coursework.
- 6.2 A student must have at least one publication in a refereed journal, out of his/her doctoral research work prior to submission and shall produce evidence for the same in the form of acceptance letter or offprint to the Doctorate Committee.

Where refereed journals in the field are not published, the matter may be placed before the Doctorate Committee with necessary recommendation of Departmental Ph.D. Committee for consideration.

- 6.3 Ordinarily, six months prior to submission of thesis, the candidate shall, through the Supervisor, forward to the Convener of the Departmental Ph.D. Committee six copies of the summary of work preferably within 5000 words. The same shall be circulated by the Convener to the members of the Departmental Ph.D. Committee at least fifteen days before holding a pre-submission Seminar. In the pre-submission Seminar, the candidate shall report the research work in the presence of at least three members (at least one of them being the Vice Chancellor's nominee) of the Ph.D. Committee and the Supervisor. The Head of the Department, the Joint Supervisor, if any, should be invited to the seminar. Notice of the Seminar shall be circulated and the same may be put up on the Departmental Notice Board.
- 6.4 During the seminar any member of the Ph.D. Committee 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 Ph.D. Committee may ask the candidate to re-appear at the seminar. Immediately after the Seminar, the convener of the Ph.D. Committee shall forward to the concerned Doctoral Committee a report in the prescribed form, on the performance of the candidate.
- 6.5 At least two months prior to submission of the thesis, the Supervisor and the members of the Departmental Ph.D. Committee 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).

- 6.6 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.
- 6.7 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.
- 6.8 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.
- 6.9 The Doctorate Committee 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 Ph.D. Committee 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 (vide provision in clause 5.3) 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 relevant Ph.D. Committee for adjudication of the thesis (The adjudicators/examiners shall send the report in the prescribed format).

- 6.10 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”



- 6.11 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.
- 6.12 If there is any ambiguity or conditionality in the reports of the examiners, the Doctorate Committee on the advice of the Departmental Ph.D. committee may consider the appointment of a third external examiner.
- 6.13 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.

## 7. **CONSTITUTION OF THE Ph.D. COMMITTEE:**

- 7.1 The Ph.D. Programme shall be monitored by the relevant Doctorate Committee with the help of the Ph.D. Committee of the Department which will be referred to as the Departmental Ph.D. committee.
- 7.2 The Doctorate Committee shall be constituted as follows:
  - a) Dean of the Faculty concerned – 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.

- 7.2 The Doctorate Committee of the concerned faculty shall constitute Departmental Ph.D. Committees on various subjects, or distinct specializations within subjects and inter-disciplinary fields, in consultation with the relevant Department.

- 7.3 A Departmental Ph.D. Committee shall be constituted as follows:
- 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 Academic Committee for a maximum period of four years.
  - e) Head of the concerned Department– Convener
- 7.4 The tenure of a Ph.D. Committee shall be for a period of four years unless otherwise decided by the Doctorate Committee. The departmental Ph.D. Committee shall ordinarily meet once in a month and resolutions of such meetings shall be maintained by the Convener along with the Officer in Charge of the Research Cell.
- 7.5 Three regular members (including at least one external member) will constitute the quorum for the meeting. The presence of at least one of the external experts is mandatory. If two consecutive meetings fall through due to lack of quorum, the matter will be referred to the Doctorate Committee for appropriate action.
8. **VIVA – VOCE:**
- 8.1 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 Ph.D. Committee. It will be an open session, the date and time of which will be communicated to the members of the Ph.D. Committee 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.
- 8.2 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.
- 8.3 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.

- 8.5 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.
- 8.6 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.
- 8.7 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.

## 9. **DEPOSITORY WITH UGC**

- 9.1 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.
- 9.2 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.

## 10. **REVOCAION 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.