

# **Ph.D., D.Litt. and D.Sc. (Honoris Causa) and M.Phil. Regulations and Rules:**

## **A. Ph.D. Regulations:**

### **General:**

1. There shall be a Doctor of Philosophy (Ph.D.) programme of the university in various subjects in different faculties as may be decided by the Board of Management (BOM) on the recommendation of the Academic Committee (AC) / relevant Faculty Council (FC).
2. The objective of Ph.D. programmes shall be to impart research training to scholars so that they can carry out independent investigations and original research so as to contribute significantly to the field.
3. The degree of Doctor of Philosophy (Ph.D.) shall be awarded to a candidate who successfully completes the prescribed course work and submits a thesis based on original research work of merit and which is commended by a duly constituted Board of Examiners and successfully defended by the candidate in a Ph.D. lecture cum Viva-voce. The dissertation must be a fresh contribution to a scholarly field and it must demonstrate a thorough acquaintance with existing scholarship as well as a capacity for critical analysis. The original research work shall demonstrate the candidate's technical mastery of the chosen field of investigation and be a fresh contribution to existing knowledge as demonstrated by (but not restricted to) the discovery of new facts, and/or by the discovery of new relations between facts already known and/or by a critical survey of facts leading to a new interpretation.

### **Advisory Committee and Doctoral Committee:**

There shall be an Advisory Committee for each student comprising

1. two (to four) teachers of the department(s) concerned to be decided by the Dean in consultation with the Head and Advisor.
2. one or more external experts may be co-opted by the committee if necessary
3. the Advisor(s) of the candidate would be the Chairman and Convener of the Committee.

There shall be a Doctoral Committee for each School/Faculty constituted by the Vice-Chancellor, with the approval of the AC, which shall ordinarily consist of

1. the Dean of the faculty, who shall be the Chairman and Convener of the Committee
2. the Head(s)/Course Co-ordinator(s) of the department(s) concerned
3. at least one external expert nominated by the Vice-Chancellor/co-opted by the committee

### **Powers and Functions of the Advisory Committee and Doctoral Committee:**

The Doctoral Committee in any subject or group of subjects shall, in conjunction with the Advisory Committee:

1. scrutinize and dispose of all applications for admission to research courses which have been duly forwarded to it by the concerned Departmental Committee. It shall decide on the eligibility of the applicant for admission into the research course, approve the name(s) of Advisor(s) and comment on the suitability of the research topic. It shall send its

recommendations on these matters to the Academic Committee (AC)/concerned Faculty Council (FC).

2. consider the petition of the candidate for extension of tenure as a Ph.D. student and make necessary recommendations in this matter to the AC/concerned FC.
3. consider reports of examination of thesis and make suitable recommendations to the AC/relevant FC and also arrange pre-Ph.D. seminars and the Ph.D. Thesis Defence.
4. recommend cancellation of Ph.D. studentship for any student for infringement of rules, misconduct, acts of gross indiscipline in any manner or for any other genuine cause.
5. recommend to the Vice-Chancellor a panel of at least six names from outside the university, at least half of these preferably being from outside India and the remaining half being outside the state, for appointment as external Thesis Examiners. For Departments which are not significantly represented outside India, all the names should be from outside the state.
6. recommend another list of three external experts to the Vice-Chancellor for conducting the Thesis Defence and the Viva-voce.
7. The Advisory Committee shall periodically review the progress of research work by considering the reports of the student forwarded by the Advisor annually, and by attending the mandatory pre-Ph.D. talk(s) to be delivered by the candidate. The Advisory Committee shall then submit reports on these to the AC/concerned FC.
8. The Doctoral Committee shall deal with all other matters which may arise concerning admission of students and examination of theses.

#### **Eligibility for Admission into the Doctoral Programme:**

1. To be eligible for admission into the Doctoral Programme in any discipline, an applicant must secure at least 55% marks or its equivalent grade in the Master's degree examination in the corresponding field from any university or any deemed university recognized by the UGC or from any recognized institute of national importance. SC/ST/OBC/PH candidates will be required to secure at least 50% marks or its equivalent grade. Applicants from foreign universities shall be considered on the basis of the equivalence of their degrees and grades with Indian universities as decided by the Doctoral Committee in consultation with all faculty members of the concerned department.
2. An application for admission into the Doctoral Programme in any discipline shall ordinarily be considered when the candidate has a Master's degree in the same field. In special cases, however, for which reasons must be stated, the Doctoral Committee may permit the enrolment of a candidate with a Master's degree in a *related* field, after the approval of the AC/ relevant FC and the Vice-Chancellor.
3. For a candidate to be eligible for admission into an *interdisciplinary* Doctoral Programme, the candidate must possess the requisite qualifications in any one of the subjects involved in the interdisciplinary programme.
4. In addition to the above, all applicants for admission into the Doctoral Programme of the university must satisfy criteria that may be **stipulated** by the university or the UGC or any other competent authority from time to time.
5. Candidates for admission into the Doctoral Programme through various research schemes sponsored by external agencies have to satisfy, in addition to the criteria laid down in the previous paragraphs, stipulation of the sponsoring agency, if any.

#### **Procedure for Admission into the Doctoral Programme:**

1. The maximum number of seats, date of admission test and other relevant details for admission to a particular programme shall be announced on the University webpage.
2. Admission to the Doctoral Programme would be on the basis of a written Admission Test conducted by the concerned Department(s), followed by an interview. Only candidates satisfying the minimum eligibility criteria as described in the previous section would be considered for admission test.
3. Candidates who have qualified NET/SET/GATE or other equivalent national-level eligibility tests may be exempted from the written part of the test and may appear directly in the interview as per the discretion of the Department concerned.
4. Reservation policies as framed by competent authorities shall be followed during admission.
5. Once admitted, the student should fill out and submit the necessary admission/registration form and pay the requisite admission fees.

### **Advisors:**

1. All research scholars (i.e., Ph.D. and M.Phil. students) should normally work under Advisors.
2. Ordinarily, teachers of the department (including part time and guest teachers) who possess doctoral degrees and have published regularly in refereed and abstracted journals and/or have published scholastic research monographs of quality, can act as Advisors.
3. In special cases, the Doctoral Committee might recommend that a student have as his/her Advisor a whole time research scientist/faculty member, not below the rank of an Assistant Professor or equivalent, of a nationally recognized research institute or another recognized university. However, in this case, the student must do all his/her coursework in this university.
4. In case of interdisciplinary research or in special cases, the Doctoral Committee may recommend Joint Advisors under the following conditions: (a) a candidate is not to be registered under more than two Advisors, (b) at least one of the Advisors will be a teacher of this university, (c) a substantive part of the research work will be done under the Advisor who is a teacher of this university, (d) the candidate will justify in writing at the time of allocation of his/her Advisor the need for Joint Advisors for his/her research programme.
5. If an Advisor leaves this university or retires from service, he/she may be allowed to continue as the Advisor for research scholars under his/her tutelage at the time of his/her leaving service as per the discretion of the Doctoral Committee.
6. In the event of the death of the Advisor, the Doctoral Committee, on the recommendation of the concerned department, and subject to the concurrence of the AC/relevant FC, may allow the candidate to work under a new Advisor or formally under the Head of the Department.
7. An Advisor shall not guide more than eight Ph.D. candidates simultaneously.
8. A full time teacher of this university who is also pursuing a Ph.D. degree in this university may work with an Advisor from another university or a national level research institute.

### **Coursework and Ph.D. Qualifying Examination:**

1. A student who is admitted into the Doctoral Programme must successfully complete a minimum of four Ph.D. (post-M.Sc.) level courses as part of his/her degree requirement. He must also fulfil minimum GPA/percentage requirements of the relevant Department.

2. If considered necessary by the department, a student may be asked to take some master's level courses in order to make up for his/her inadequate background training. A student may also be required to take more than four Ph.D. level courses, if considered necessary for his/her research by his/her Advisor.
3. If necessary, a part of the coursework may be carried out in other department(s)/other recognized universities/institutions after the approval of the concerned department.
4. A student who has taken Ph.D. level courses at another recognized university or research institute before his/her admission may have his/her corresponding credits transferred with due approval of the Doctoral Committee on the recommendation of the department.
5. All Ph.D. students must take a course in Research Methodology comprising Statistics or Computer Applications or Review of Research.
6. After the successful completion of coursework with the required minimum grades, a student would be required to appear at a comprehensive Ph.D. Qualifying Examination. This may be a written test, a Viva-voce or a combination of both. The concerned department would decide on the exact modality of the test and conduct it. Only a student passing this test would be allowed to continue towards his/her Ph.D. degree. A candidate would be given a maximum of two chances to pass this examination with not more than a semester's gap between the two attempts.

#### **Registration and Other Related Matters:**

1. A student who is admitted to the Doctoral Program must fill out a (course) registration form at the beginning of each semester showing the relevant courses/thesis work for that semester, and get it approved. This form is a record that the student is a Ph.D. student during the relevant semester. The form is to be signed by the Advisor and the Head of the department. A suitable registration and tuition fee, as decided by the BOM from time to time, has to be paid at the time of registration each semester.
2. In case a student is unable to register during a particular semester he should inform the Doctoral Committee in writing beforehand and obtain a written permission to this effect from the Doctoral Committee. A student who has not registered for three successive semesters will be discontinued from the Doctoral Programme.
3. The registration form to be submitted at the beginning of the semester immediately following the passing of the Ph.D. Qualifying Examination must be accompanied with the following documents and information: i) the broad area of research along with a scheme for proposed work (not more than 500 words), ii) the name(s) of Advisor(s), (In case of joint Advisors, a statement from the candidate justifying the need for having more than one Advisor), iii) a migration certificate, where applicable, iv) in the case of an Advisor from outside the university, the candidate must state in writing why he wants to work under an external Advisor, v) permission from the employer (for part-time students).
4. A student must register for a minimum number of credits per semester as stipulated by the concerned Department. After passing the Qualifying Examination, the student may register exclusively for research.
5. A Ph.D. student is normally expected to submit his/her thesis within four years from the date of passing the Ph.D. Qualifying Examination. The last date of submission of thesis shall be the last date of the relevant semester. If a student fails to submit his/her thesis within this stipulated period, he must apply for an extension of tenure as a Ph.D. student before the expiry of the original time limit. Extension of tenure may be granted by the Doctoral Committee up to a further period of six semesters on the recommendation of the Advisor. A second extension of tenure would be allowed only in special circumstances at the discretion of the AC/relevant FC.

### **Appointment and Change of Advisors:**

1. A student shall ordinarily work under an Advisor.
2. The allotment/allocation of Advisor shall not be left to the individual student or teacher (i.e., the proposed advisor), but shall be decided by the Department in consultation with the student and proposed advisor.
3. Ordinarily a student should have an Advisor within two months of passing the Ph.D. Qualifying Examination.
4. A student may request a change of Advisor in mid-stream. In order to request change of Advisor, the candidate must apply in writing explaining why he wants such a change. His/her application must be accompanied by a no-objection letter from his/her current Advisor and a letter of consent from his/her proposed advisor. The final decision shall be taken by the Doctoral Committee.

### **Research work and Submission of Thesis:**

1. No candidate shall be allowed to submit his/her thesis before two years from the date of passing the Ph.D. Qualifying Examination.
2. Within one year of passing the Qualifying Examination the student must deliver a seminar, preferably an open seminar, in the department in presence of the members of the Advisory Committee and the Head of the Department, on the subject in which he proposes to do his/her thesis work. This seminar need not contain any original contribution of the student. It could be a review of the field in which the student proposes to do his/her research work. He should also indicate in the seminar some details of what he proposes to do in his/her research work. He need not indicate the exact title of his/her thesis at this time. After the seminar, he should submit a write-up of his/her talk to the department.
3. The student must deliver another seminar in the department in front of the Doctoral Committee and Advisory Committee at least two months before he intends to submit his/her thesis. In this seminar he should clearly delineate original content his/her research work. It is recommended that this be an open seminar.
4. The exact title of the thesis along with an abstract of the research work must be submitted to the department at least three months before submission of the thesis.
5. At least a part of the thesis must be accepted/declared acceptable for publication in a *refereed* journal as evinced by a reprint/referee report.
6. The thesis must be written in English or in a language approved by the Doctoral Committee and the AC/relevant FC.
7. When the thesis is ready for submission, the candidate shall: i) fill up the prescribed thesis submission form and enclose the requisite certificates and clearances from the Advisor and the Head of the department, ii) in case of joint Advisors, submit a statement from each of them certifying that a significant part of the research work has been carried out under him/her and that he has no objection if the thesis is examined by the other Advisor, iii) deposit an examination fee, as decided upon by the BOM from time to time.
8. Four typed/printed and four electronic copies of the thesis are to be submitted. The typed/printed copies must be typed/printed on one side of A4 size bond papers in double space with proper margins and should be bound/collated in a loose leaf binder. Graphs, diagrams, maps etc. may be of larger size but must be folded inside the binder. The Ph.D. section shall give a receipt to the student after receiving the required number of copies of the thesis.

9. The thesis must include a table of contents and an abstract/preface at the beginning. The original contribution of the student to the field must be specifically mentioned in the abstract. The cover of the thesis must legibly show the title of the thesis, the name of the student and the department. The thesis must also acknowledge all assistance received from various persons and sources and must also contain a proper set of references/bibliography. It shall also contain a declaration from the student that no part of the original research work presented in the thesis has been submitted for any other degree anywhere else.

#### **Examination of Thesis and Award of Ph.D. Degree:**

1. A meeting of the Advisory Committee would be convened immediately after the second seminar by the student. In this meeting, the Committee shall prepare a panel of at least six external examiners, of which at least half will be, preferably, from outside India and the remaining half from outside the state. For departments which are not significantly represented outside India, all external examiners will be from outside the state. The panel may initially be suggested by the Advisor, who should be encouraged to obtain prior consent from the members of the panel.
2. Once the thesis is submitted the Vice-Chancellor shall choose two external examiners, at random, one from abroad and the other from inside the country, or both from outside the state (as per the Department's stipulations), to whom the copies of the thesis shall be sent for examination after obtaining their consent (in case this has not already been procured). The thesis shall also be sent to the Advisor (in case of joint Advisors, to only one of them as decided by the Vice-Chancellor) for examination. In the event the candidate is a teacher of this university, no other teacher of this university is to be allowed to be an examiner. In case the Advisor of the teacher candidate is another teacher of this university, the thesis shall be sent to a third examiner from the external examiners' panel.
3. The reports of the examiners must be received before the award of the degree can be considered. Aside from the usual comments, discussions and recommendations, an examiner's report must also include any one of the four specific statements: i) I recommend the thesis for the award of the Ph.D. degree, ii) I do not recommend the thesis for the award of the Ph.D. degree (the reasons for rejection are to be clearly mentioned in his/her detailed report), iii) I recommend that the thesis be re-submitted after the following corrections/revisions (again the corrections/revisions desired are to be mentioned in the detailed report), iv) I recommend that the degree be awarded only after the candidate clarifies the following points during his/her Thesis Defence (the clarifications required are to be mentioned in the detailed report).
4. The reports of the examiners would initially be considered by the Doctoral Committee. If all the three examiners recommend the award of the degree, the Committee would arrange the Thesis Defence cum Viva-voce of the candidate. At this stage, the Committee would suggest a panel of three external experts from whom one would be chosen at random by the Vice-Chancellor to function as an additional member of the Doctoral Committee during the Viva-voce. If the Thesis Defence is considered satisfactory by the Doctoral Committee, it would recommend to the AC/relevant FC the award of the Ph.D. degree. In this case, the Vice-Chancellor may authorize the issuance of a provisional certificate by the Dean after successful defence of the thesis. The official parchment would be issued to the candidate at the next convocation. In case the Doctoral Committee considers the performance of the candidate unsatisfactory in the Thesis Defence, the candidate would be given another chance to defend his/her thesis within six months. If it is unsatisfactory even then, the AC/relevant FC would take an appropriate decision.

5. If the thesis is rejected outright or if revisions are demanded by one or more examiners, the candidate would be forwarded the reports of all the three examiners without divulging their identities. He would be given a chance to re-submit the thesis after doing further work or after carrying out the desired revisions/corrections. However, the thesis is to be re-submitted ordinarily within one year of the candidate being informed of the examiners' reports. Unless otherwise desired by the concerned examiner(s), the re-submitted thesis along with the initial reports shall be sent to all the original examiners for fresh evaluation. Examiners' reports of re-submitted thesis are to be processed exactly in the manner of original reports. In case of re-examination, the candidate will again pay the requisite examination fee.
6. In case only one examiner rejects the thesis, while two others accept it, the student may ask for a fresh examiner to replace the dissenting examiner.
7. If more than one examiner rejects the thesis, then the thesis will be regarded as having been rejected outright.
8. During award of the degree to a successful candidate, the University shall issue a certificate to the effect that the degree has been awarded in accordance with the provisions of UGC (Minimum standards and procedure for award of M.Phil./Ph.D. Degree) regulation 2009.

#### **Miscellaneous Provisions:**

1. The university administration/Dean's office/Ph.D. Section shall maintain an up to date register of all Ph.D. students. The information for each student shall contain: i) the date of first admission of the student, ii) the courses taken and the grades received, iii) the date of passing the Qualifying Examination, iv) the date of final submission of thesis, and, v) any other pertinent information.
2. The administration shall also maintain a register showing the current status of any thesis submitted for examination. The candidate, through his/her Advisor, can enquire about the status.
3. The Ph.D. section would take all possible steps to ensure that the reports of all the examiners are received normally within three months of submission of thesis.
4. A successful candidate may be given copies of the examiners' reports if he so desires. However the identities of the examiners will not be divulged to him/her without their consent.
5. One copy of the thesis of a successful candidate will be retained by the Central Library of this university while another copy would be given to the department concerned. The thesis would also be sent to the appropriate microfiche agencies for storage and future dissemination.
6. Abstracts of the thesis would be sent to: i) the Bulletin of Association of Indian Universities, and, ii) Dissertation Abstracts International for publication.
7. No full time scholar shall take any employment or register for any other course of study without the explicit consent of both the Advisor and the Vice-Chancellor. However, attending summer schools, workshops etc. are not debarred by this requirement.
8. Ordinarily, no part-time scholars shall be allowed to register for the Ph.D. programme. In exceptional cases, the Vice Chancellor in conjunction with the concerned Doctoral Committee will have to take a decision.

#### **B. D.Sc. and D.Lit. (Honoris Causa) Regulations:**

The honorary degrees Doctor of Science (D.Sc.) and Doctor Literature (D.Litt.) may be awarded to eminent and distinguished persons who have made significant contributions to science, arts

and letters or any branch of human development. The proposals for award of such degrees can emanate suo moto in the BOM or can be recommended to the BOM by the AC/ any FC. The BOM is to take the final decision in this matter.

### **C. M.Phil. Regulations:**

1. Any student who is unable to maintain the minimum GPA in his/her Ph.D. level courses or is unable to pass the Qualifying Examination in two attempts, may continue towards the M.Phil. degree. In this case, he is to complete at least eight courses in all, half of which will be of post-masters standard and write a small dissertation. The whole course is to be of a minimum four semester duration.
2. A student pursuing a Ph.D. degree may opt to switch to the M.Phil. course at any time during his/her studentship.
3. The dissertation of the M.Phil. student would be examined by two examiners. The internal examiner would be his/her Advisor. The external examiner would be from outside the university, normally from inside the country (preferably from outside the state).
4. The M.Phil. degree would be awarded on the unanimous recommendation of the two examiners. If any or both of the examiners desire any changes, additions, corrections etc. in the dissertation, the student shall re-submit the dissertation after incorporating the advice of the examiners. Before receiving the degree, the student is to deliver a seminar before the department in presence of an external expert and answer questions on the topic of his/her dissertation.

### **D. Disciplinary Action**

In the event of gross misconduct on part of the student at any time in the University, the University is liable to expel him/her with immediate effect. In such a case the decision will be taken at a special meeting of the relevant Faculty Council chaired by the Vice Chancellor. This includes but is not limited to cases when a student picks a quarrel with, or assaults, a professor.