

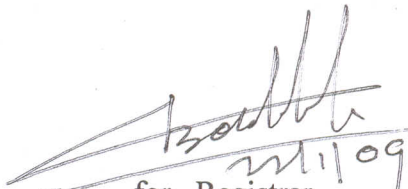
UNIVERSITY OF PUNE

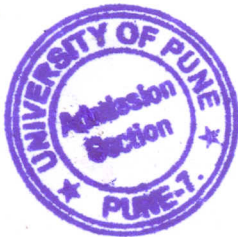
Circular No. 05 /2009

Subject : Revised Rules for Ph.D.

It is hereby notified for the information of all concerned that the University Authorities have revised the Rules for the degree of Doctor of Philosophy (Ph.D.). Copy of the same is enclosed herewith.

Ganeshkhind, Pune-411007
Ref. No. PGS/Ph.D./361
Date : 22 January, 2009


for Registrar



UNIVERSITY OF PUNE
RULES FOR THE DEGREE OF DOCTOR OF PHILOSOPHY [Ph.D.]

[For only those registered on or after 22 January, 2009. All cases registered before the date will be governed by earlier rules. It is further clarified that any candidate, whose application has been accepted by the concerned Research and Recognition Committee before 22 January, 2009, will be covered under the old rules]

The University of Pune offers research programmes in different subjects listed in Statute No. 160 and in inter-disciplinary areas leading to the Degree of Doctor of Philosophy. A candidate shall ordinarily work in a recognized place of research including the University Departments and Research Institutes recognized by the University of Pune under the supervision of a research guide recognized by the University. The rules regarding eligibility, registration, supervision, submission and evaluation of thesis, viva voce and defence of thesis shall be as follows:

I. ELIGIBILITY

1. For admission to the Ph.D. programme in a related subject in any faculty, applicants fulfilling the following criteria shall be treated as eligible:

a: Persons having passed Post Graduate Degree Examination with at least **50%** marks.

The Registration of such persons shall be confirmed on the recommendations of the Research & Recognition Committee.

The cases of persons having less than 50% marks but possessing **5 years** experience in **related field** except the professional faculty- Law be referred to Research & Recognition Committee for consideration.

OR

b: Persons working in National laboratories-institutes / Government /private organization nominated / who are nominated / sponsored by the respective employer. These persons should have a post graduate degree & holding rank of the Asstt. Director/ or above

OR

c: Persons having passed Graduate Degree Examination with **50% marks and** with 15 years experience after graduation in related field, senior citizen of age 60 years and above with graduate degree. **In exceptional cases at the discretion of Vice-Chancellor for senior citizen only.**

2. The fellow members of the Institute of Chartered Accountants and/or Institute of Cost and Works Accountants and / or having qualification of C. S. shall be held eligible for registration for Ph.D. in the subject in the **concerned** Board of Studies in the Faculty of Commerce provided that they possess a Bachelor's Degree of any statutory University. **Such** candidate should have at least **two** years professional experience.

3. A Graduate in any faculty who has developed important new techniques [new for the country] or designed and fabricated special instruments or apparatus which are deemed by competent judges to be a valuable contribution to engineering may be permitted by the Research & Recognition Committee /s in Engineering on the recommendation of the appropriate Board or Boards of Studies to submit his thesis for the Ph.D. Degree in that Faculty. Such a candidate must have **at least five years'** standing as a Bachelor of concerned faculty. **Special guidelines be evolved for this purpose.**

Above-mentioned rules will be applicable to the foreign students who have obtained the Master's Degree from the statutory Indian Universities.

4. Application for research in inter-disciplinary areas and from applicants belonging to a faculty or subject other than the faculty or subject in which the research is proposed to be done **and from the international students [those who have not obtained the degree from Indian Universities]** shall be considered on the basis of the proven ability and aptitude of the researcher for such kind of research. Such proposal shall be examined by the Guide and the Head, Place of Research before giving provisional admission. The admission will be confirmed after the Research & Recognition Committee /s concerned approves the topic. **Detailed procedure for admission be evolved by the concerned faculty.**

5. **Admission percentage for foreign student will be 50%. Exceptional cases be decided by R & R Committee.**

6. In exceptional cases, a candidate/s with proven exceptional abilities may be considered for admission to Ph. D. programme with the approval of the Vice – Chancellor on the recommendation of Research & Recognition Committee.

II. ADMISSION/REGISTRATION

1. An applicant seeking admission to the Ph.D. programme shall apply to the Registrar in the prescribed application form [Appendix 'A'] along with the registration fee as may be prescribed from time to time.
2. The applicant shall submit along with the application eight copies of his/her Ph.D. proposal as per the guidelines. [Appendix 'B'] to the place of research.
3. On ascertaining the eligibility of the applicant and on the recommendation of the guide, the Head of the place of research shall provisionally admit [Appendix 'C'] the student. The admission will be confirmed [Appendix 'D'] after the Research & Recognition Committee approves the topic. The Head, place of research shall

provisionally admit the students as per the rules and regulations of University of Pune.

4. After the provisional admission, applicant shall be required to make a brief presentation at the place of research before a Committee consisting of the Research Guide as the Chairperson and two recognized Research Guides in the relevant area/**subject** recommended by the Guide. The presentation will be arranged by the Head, place of research on a date suggested by the Research Guide. **The presentation should be arranged within three months from the date of provisional admission.** The report of the presentation shall be sent by the Head, within maximum **fifteen days** from the date of presentation, to the University office to be placed before the concerned Research & Recognition Committee. In case of any dispute/problem, Dean of the concerned Faculty shall take appropriate decision. In case where Head of place of research is Dean of concerned faculty, Vice Chancellor will take appropriate decision.
The centre should submit a list of 5 (five) proposed experts for evaluation of the research proposal. The proposed experts should be recognized guide in the concerned subject
The proposal of the research shall be submitted in a defined format giving due importance to each aspect of research inquiry)
5. The Research & Recognition Committee shall consider for approval of the topic of research and appoint, in case of inter-disciplinary subjects, co-guide/s recognized by this or, in special circumstances, by any other recognized University.
6. The Research & Recognition Committee will be final authority to approve the topic.
7. If the presentation is unsatisfactory, the proposal shall be rejected and the applicant shall be required to submit a fresh proposal and make a presentation again.
8. The date of provisional admission shall be the date of registration which shall be valid for **five years**. Extension up to a maximum period of **two years** shall be given by the Research & Recognition Committee /s concerned only if considerable work has been done by the candidate. The candidate concerned must submit the application for extension through his guide and the Head, place of research **three months** before the expiry of the registration period.
9. If the candidate desires, he/she can partially modify the title and the proposed plan of the research, the Dean/s concerned shall approve such changes on the recommendation of the guide and the Head of the place of research.
10. As per the provision in Ordinance No. 116, no candidate shall be allowed to simultaneously register for Ph. D. and any other degree course.

III. SUPERVISION

A. GUIDE

1. The applicant for the Ph.D. course shall have the option to choose his/her research guide from amongst the research guides recognized by the University of Pune.
2. Normally a candidate shall be required to complete his/her doctoral research under the supervision of the guide who recommends his case for admission. However, the Research & Recognition Committee concerned may allow change of guide on the production of a 'no objection' certificate from the first guide and an acceptance letter from the new guide. In case of such a change, the candidate shall work for a minimum period of one calendar year under the new guide before he/she submits the thesis. A 'no objection' certificate will not be required if the student justifies the non-availability of his guide. The justification will have to be endorsed by the Head, place of research. In case of problem/dispute, non availability of the guide will be approved by the Vice-Chancellor.
3. At any given time a guide shall not have more than eight registered Ph.D. students working under his/her supervision. **A special permission for two more students may be granted by concerned R & R Committee & BUTR in very exceptional cases.**
4. As a very special case, the BUTR concerned, on the recommendation of the Research & Recognition Committee, may allow a candidate to register for Ph. D. independently, i.e., without having to work under the supervision of a guide, provided that the candidate is eligible and has demonstrated ability to undertake independent research work. Research place of such a candidate should be approved by the Dean of the concerned faculty. **A special concession is granted for registering two senior citizens as Ph.D. student.**
5. In case of a dispute between a candidate and his guide, the committee consisting of the following shall examine the matter and report to the Vice-Chancellor, whose decision shall be final:
 - i] Dean of the concerned faculty. [Convener]
 - ii] Nominee of the Vice – Chancellor
 - iii] The Head, place of research [If the complaint is against the Head / the Dean, he / she shall not participate in the proceedings of the meeting]. In that case, additional member/s may be appointed by the Vice – Chancellor.

The report shall include, among other things, specific recommendations. The report shall be submitted to the Vice-chancellor.

B. PROGRESS

1. All the registered candidates shall be required to submit to the Head, place of research and through their research guides elaborate progress reports every six months [Appendix 'E'].
2. (If a candidate fails to submit three reports consecutively, his/her registration may be treated as cancelled on recommendation of **Head and Dean**, of concerned faculty.) The Head, after the completion of the given period [one and a half years] shall send to the University office a report on the noncompliance of the condition stated in III.B.1. The copy of progress report submitted by the student to the Head, place of research should be sent to the Admission Section, Pune University within 15 days.
3. The progress reports submitted shall be placed by the Head, place of research before the progress monitoring committee consisting of [a] the Head, place of research [b] the research guide, and [c] a research guide recommended by the Head, place of research from amongst the recognized research guides of the University of Pune. The committee shall scrutinize the progress reports and prepare a brief statement on the progress of the candidate. In case of dispute, Dean of the concerned faculty shall take final decision. The Head, place of research shall maintain the record of these reports and statements.

IV. SUBMISSION AND EVALUATION OF THESIS

A. SUBMISSION OF THESIS

1. The submission of **synopsis** may be permitted only after **completion of twenty two months from the date of registration**. the candidate has published two papers in standard refereed journals or presented two papers in State / National / International workshop / seminar / conference based on the research topic. This should be certified by Head, Place of Research. **The synopsis should contain introduction, chapterwise brief account of the work done and overall conclusions.**
2. The thesis can be submitted after **two months from the date of submission of synopsis**. At least **three months** before the date of submission of the thesis each candidate shall give a pre-submission seminar to be arranged by the Head of the place of research at the research center on the request of the student duly endorsed by the guide. The final plan of the thesis will be discussed by the research scholars

present, among whom the presence of the research guide and the Head, place of research or his/her nominee shall be necessary.

3. In the light of the discussion during the seminar mentioned above the candidate shall submit to the Registrar fifteen copies of the synopsis of his/her thesis through his/her guide within one month from the date of presentation of seminar along with the list of referees as per the guidelines.

[Appendix 'F']

4. The candidate shall be allowed to submit his/her thesis after the completion of a period of two months and before **six months** from the date of submission of the synopsis, failing which the candidate will have to pay the prescribed fine for late submission. Late submission of thesis shall be allowed up to the completion of one year from the date of submission of the synopsis or till the expiry of the registration period, whichever is earlier. The candidate will have to submit synopsis again, if given extension.

5. The thesis shall be submitted in compact bound/loosely bound form as well as in a computer readable form [soft copy]. The student may optionally choose to submit only a soft copy. **Along with the thesis five copies of the abstract should be submitted.**

The final thesis shall be presented in accordance with the following specifications :

A] The paper used for printing shall be of A4 size.

B] Printing shall be in a standardized form on one side of the paper and in one and-a half spacing.

C] A margin of one-and-a half inches shall be left on the left hand side.

D] The card for cover shall not be more than 330 gms.

E] The title of the thesis, name of the candidate, degree, name of the guide, place of research and the month and year of submission shall be printed on the title page and the front cover.

6. The candidate shall submit to the Registrar two copies [three in case of an independent candidate] of his/her thesis and produce an acknowledgement of the receipt of thesis by the research guide and the Head, place of research.

7. The thesis shall include a Certificate of the guide [Appendix 'G'] and a Declaration by the candidate [Appendix 'H'] that the work reported in the thesis has been carried out by the candidate himself/herself and that the material from other sources, if any, is duly acknowledged.

8. The thesis shall be written in English/Marathi/Hindi except when it is related to Modern European or Indian languages. In the faculties of Science, Law, Engineering, Ayurved, Medicine and Pharmacy the thesis shall be written in

English only. **Exceptional cases may be considered by R & R for Marathi language only.**

B. APPOINTMENT OF EXAMINERS

1. The procedure for the appointment of examiners shall be undertaken soon after the candidate submits his/her synopsis.
2. The thesis should be evaluated by two examiners, one from within India and other from abroad. If appointment of foreign examiner is not possible or foreign examiner expresses his unavailability to evaluate the thesis, then other examiner within India from other state may be appointed by the permission of R.R. or Dean of the faculty.
3. The Chairman for the Viva-Voce and the defence of the thesis shall be appointed by the Head, place of research or by the Dean concerned when the Head is the guide or panel of three experts suggested by the Guide.
4. The guide of the candidate shall be the internal examiner. In case of a candidate working independently, the Research & Recognition Committee concerned shall recommend to the BOE the name of a recognized research guide who shall be the internal examiner.
5. If the approval of the examiners panel is delayed beyond three months, the Ph. D. Student , through his guide may bring this to the attention of the Vice – Chancellor directly and the Vice – Chancellor in such a case may initiate an appropriate action in consultation with the Dean of the concerned faculty ensuring that the panel is approved within a month.
6. The Vice – Chancellor may indicate the order of priority of examiners from 1 to 6.

C. EVALUATION

1. After the BOE has approved the panel of examiners, the Controller of Examinations shall invite the first two examiners [three in case of an independent candidate] on the approved panel to examine the thesis. The COE shall forward the thesis to the examiners within a week from the date of the receipt of the acceptance letter or the submission of thesis, whichever is later. If an examiner does not accept the invitation within thirty days from the date of dispatch of the invitation letter, Controller of Examination shall send invitation letter to the next examiner on the panel.

2. The external examiners shall independently send their reports to the COE within sixty days from the date of receipt of the thesis [The reports sent by fax or e-mail by using the 'postscript' package will be accepted]. If an examiner fails to do so, the COE shall send him/her a reminder immediately after the expiry of the said period and request him/her to submit the report within thirty days. If the concerned examiner fails to comply even within the extended period the COE shall cancel his appointment forthwith and invite the next examiner on the approved panel to evaluate the thesis. In the event of a request for the late submission of a report, receipt of the report after the appointment has been cancelled or the loss of report, postal delay, etc. the Dean concerned shall take an appropriate decision in the interest of the candidate concerned.
3. The two [three in case of an independent candidate] positive reports out of three received from the external examiners shall be immediately forwarded to the Head, place of research who, after ascertaining that the reports are favourable, shall arrange the viva and the defence of the thesis at the earliest date suitable to the internal examiner, the nearest external examiner and the chairperson. The Vice-Chancellor will, on the recommendation of the Research & Recognition Committee, appoint a senior research guide as an internal examiner for the independent candidate. The Head shall make the reports available to the candidate, the research guide and the chairperson at least a day before the date of the viva. In case of any problem, the Dean of the concerned faculty will take appropriate decision.
4. In case one out of two external examiners [two out of three in case of independent candidate] give unfavourable reports then COE shall get the thesis examined by an additional examiner from the panel of examiners approved by the BOE. If the additional examiner also gives an unfavourable report the candidate will be declared to have failed.

V. VIVA VOCE AND DEFENCE OF THE THESIS

- 1 The day, date, time and the place for the viva voce and the defence of thesis shall be notified by the Head of the place of research at least eight days in advance. Normally the viva voce and the defence of the thesis shall be arranged in the University Department. In exceptional cases, the Vice-Chancellor may allow the viva to be conducted at a place of research outside the University campus. In such a case the procedure and norms for the conduct of viva, payments, etc. shall be as laid down by the University.
2. The defence of the thesis shall take place in the presence of **Guide** (internal examiner), one external examiner and the chairperson, who shall jointly evaluate the performance of the candidate. In case of dispute, Dean of the concerned faculty shall take the appropriate decision. The Head of the Department shall nominate the chairman for the defence from a panel of three senior research guides to be

suggested by the internal examiner. In case of any problem Dean of the concerned faculty shall take appropriate decision.

3. If neither of the external examiners are able to be present at the time of the defence, the Vice-Chancellor, on the recommendation of the guide and the Dean concerned faculty shall appoint a senior research guide to act as an examiner for the defence of the thesis. In case the internal examiner is not available, the Vice-Chancellor shall appoint one of the senior research guides on the recommendation of the Dean of the concerned faculty & Head of the place of research.
4. The examiners present for the viva-voce and the defence of the thesis shall submit to the COE their final consolidated report **along with the reply given to the queries raised by the examiners in written form signed and accepted by the members of the Viva-Voce Panel.** [Appendix 'I'], about the award of the Ph. D. degree immediately after the defence is over.
5. **In case the defence is not satisfactory, the examiners may unanimously recommend with reasons that a fresh viva-voce and defence of the thesis be organized within period of not less than one month. If the defence is still not-satisfactory the committee would record the reasons for the same. The committee may recommend the resubmission of the thesis with suggested changes or recommend the rejection of the thesis.**
6. The overall result shall be officially declared by the COE within eight days from the date of the receipt of the favourable report on the defence of the thesis.

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* Notwithstanding anything contained in abovementioned rules, in case of doubt, the decision of the concerned Dean shall be final.