

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

[For only those registered on or after 04 October 2004. 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 Head of a University Department/College/Director of Research Institute before 04 October 2004, 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 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 or having grade equivalent thereto awarded by the concerned University.

The cases of persons having less than 50% marks at Post Graduate Degree Examination be referred to R & R committee for consideration.

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

OR

b: Persons working in National laboratories-institutes/ Government /private organization nominated/ sponsored by the respective employer. These persons should be holding rank of the Asstt. Director/ or above

OR

c: In professional faculties like Ayurved, Medicine, Law, Homeopathy etc. persons having passed Graduate Degree and have got at least 15 years professional experience.

2. The fellow members of the Institute of Chartered Accountants and/or Institute of Cost and Works Accountants shall be held eligible for registration for Ph.D. in the subject in the Board of Studies in Accountancy and Actuarial Science in the Faculty of Commerce provided that they possess a Bachelor's Degree of any statutory University.

3. A Graduate in Engineering 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 B.U.T.R. 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 Engineering.

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

2. 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 R & R Committee/s concerned approves the topic.

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 R&R Committee approves the topic.
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 recommended by the Guide. The presentation will be arranged by the Head, place of research on a date suggested by the Research Guide. The report of the presentation shall be sent by the Head, within one month from the date of presentation, to the University office to be placed before the R&R Committee. In case of any dispute/problem, Dean of the concerned Faculty shall take appropriate steps. In case where Head of place of research is Dean of concerned faculty, Vice Chancellor will take appropriate steps. This presentation should be arranged within six months of provisional admission.
5. The R&R Committee shall approve the selection of the topic and appoint, in case of inter-disciplinary subjects, co-guide/s recognized by this or, in special circumstances, by any other recognized University.

6. 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.
7. 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 R&R 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 before the expiry of the registration period.
8. 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.
9. 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 R&R 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 Dean of the concerned faculty.
3. At any given time a guide shall not have more than eight registered Ph.D. students working under his/her supervision. On the recommendation of the R&R Committee, the BUTR concerned may increase this number to 10 under special circumstances.
4. As a very special case, the BUTR concerned, on the recommendation of the R&R 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.

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] Nominee of the BUTR concerned appointed by the Vice-Chancellor [Convener]
- ii] Dean of the concerned faculty.
- iii] The Head, place of research [If the complaint is against the Head, he shall not participate in the proceedings of the meeting].

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 shall be treated as cancelled. 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 should be submitted through the Head, place of research to the Admission Section, Pune University immediately.
3. The progress reports submitted shall be placed by the Head 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 Dean of the concerned faculty or 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. The Head shall maintain the record of these reports and statements.

IV. SUBMISSION AND EVALUATION OF THESIS

A. SUBMISSION OF THESIS

1. The thesis can be submitted anytime after the completion of two years from the date of registration. 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 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 or his/her nominee shall be necessary.
2. In the light of the discussion during the seminar the candidate shall submit to the Registrar fifteen copies of the synopsis of his/her thesis through his/her guide.[Appendix 'F']
3. 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.
4. The thesis shall be submitted in compact bound form as well as in a computer readable form [soft copy] enabling the candidate to incorporate changes, if suggested by the referees.
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.
 - F] The researcher shall also submit the thesis in the form of a rewritable CD.
5. The candidate shall submit to the Registrar four copies [five 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.
6. 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.

7. 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, Management, Engineering, Medicine and Pharmacy the thesis shall be written in English 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 shall be evaluated by three examiners [referees], one from within the state, two from outside the State of Maharashtra [these two examiners should not be from the same state]. A pool of examiners will be prepared by each Board of Studies which shall be updated and approved by the Research & Recognition Committee/s concerned. The Board of Examinations shall appoint three examiners as mentioned above from the pool of examiners.
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.
4. The guide of the candidate shall be the internal examiner. In case of a candidate working independently, the R&R Committee concerned shall recommend to the BOE the name of a recognized research guide who shall be the internal examiner.

C. EVALUATION

1. After the BOE has approved the panel of examiners, the Controller of Examinations shall invite the first three examiners [four in case of an independent candidate] on the approved panel to examine the thesis. When the examiners accept the invitation and the candidate has submitted 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, invitation shall be sent 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 examiner concerned 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 received from the external examiner 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 on the earliest date suitable to the internal examiner, the nearest external examiner and the chairperson. The Vice-Chancellor will, on the recommendation of the R&R 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 the decision in the interest of the candidate.
4. In case two out of three external examiners [three out of four 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. In exceptional cases, the Vice-Chancellor may allow the viva to be conducted at a place of research outside the University. 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 the 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 decision in favor of the candidate. The Head of the Department/Professor –in-charge of a Department/Dean shall nominate the chairman for the defence from a panel of three senior research guides to be suggested by the internal referee.
3. If neither of the external referees are able to be present at the time of the defense, the Vice-Chancellor, on the recommendation of the guide and the Dean concerned shall appoint a senior research guide to act as an examiner for the defense of the thesis. In case the internal examiner is not available, the Vice-Chancellor shall appoint one of the relevant 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 [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 can unanimously recommend that a fresh viva-voce and defence of the thesis be organized within period of not less than one month.
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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