

ALIAH UNIVERSITY

Kolkata

Regulations for Doctorate Degrees

(Approved by the Executive Council at its
Meeting held on 07.06.2011)

Concomitant with the provisions under Sections 10 (1), (4), (13), (14), 15), (16), (21), and (27) of the Aliah University Act, 2007, the University makes the following regulations for the award of Doctoral degrees.

These Regulations, which may be called Aliah University Regulations 2010 for the award of Doctorate Degrees, and will come into force with effect from their date of approval by the Executive Council of this University.

Notwithstanding anything contained in any other rule(s) or the regulation(s) for the time being in force, all admissions, registrations, course works, and conferment of Degree shall be guided by these Regulations.

01. Preamble

1.1 The University provides facilities for research leading to the award of the following Doctorate Degrees:

- i) Doctor of Philosophy (hereafter called Ph.D.)
- ii) Doctor of Letters (hereafter called D.Litt.) in arts (including literature, humanities, etc.); Doctor of Science (hereafter called D.Sc.) in science (including engineering, technology, medicine, pharmacology, etc.)

Of the above two categories, the degree of D.Litt./D.Sc. is to be considered as Doctorate Degrees of higher level, above the Doctor of Philosophy (Ph.D.), and is awarded on the basis of a long record of research and publication. The degree D.Litt./D.Sc. is awarded to a candidate whose record of published work and research shows conspicuous ability and originality and constitutes a distinguished and sustained achievement. The candidate must provide documented mastery on a particular area or field. The degree may also be awarded honoris causa to such people the university deems worthy.

No supervisory guidance will be necessary for D.Litt./D.Sc.; supervisory guidance, however, is compulsory for Ph.D. degree in any discipline except as provided in Clause 8.9 below.

Part - I: Regulations for the Ph.D. Degree

02. General

- 2.1 The Degree of Doctor of Philosophy (Ph.D.) shall be awarded to a candidate on the basis of satisfactory completion of the prescribed course work(s) and seminars, original research work of merit incorporated in a thesis recommended by a board of examiners, and successfully defended by the candidate during a final viva-voce.
- 2.2 The thesis shall demonstrate that the candidate has mastery over the chosen field of investigation and is capable of pursuing scholarly work. The result of the research embodied in the thesis shall be an original contribution to the existing knowledge characterized by either discovery of new facts, or discovery of some new relation between facts already known, or new interpretation of known facts and theory, or a critical survey of facts leading to some new interpretation, or an independent design and development, or development of new instrument / technology. Excepting in language subjects (like Arabic, Bengali, Urdu, etc) the thesis shall be written in English.

03. Admission

- 3.1 The Research Programme and Evaluation Committee (RPEC) (composition of which is given in **Appendix-1**) of the University shall pre-determine the number of students to be admitted in the Ph.D. programme of each Department in each session which is to be approved by Executive Council (EC) at least once every year. The number of seats available in each department shall be notified in the website of the University.
- 3.2 The application for admission to the Doctor of Philosophy (Ph.D.) programme is to be made to the Registrar in the prescribed Application Form against advertisement in the media. There shall be ordinarily two advertisements in one academic session, one for admission to the Autumn Semester and another for that to the Spring Semester.
- 3.3 Any person holding a Master's Degree in Languages, Islamic Theology, Islamic Studies, Humanities, Social Sciences, Science, Engineering, architecture, Commerce, Management, Law, Medicine, Pharmacology, and Library Science from a UGC recognized University/Institute or such other degree as may be considered adequate for this purpose by this University, with a CGPA of 6.0 in 10-point scale (or 55% marks), or as decided by the University from time to time, may apply for admission to the Ph.D. programme of this University in the prescribed Application Form with a non-refundable application fee as decided by the Executive Council (EC) of the University from time to time.
- 3.4 A Bachelor's Degree holder in Engineering, Architecture, and Medicine of this University or its equivalent of a UGC recognized University / Institute may also seek admission to the Ph.D. programme in the similar way as stated in Clauses 3.2 and 3.3 provided the candidate has secured at least a CGPA of 8.0 on a 10-point scale or 75% marks.

3.5 The equivalence of Degrees of other Universities will be determined by the relevant University body.

NOTE: When a candidate possesses the professional degree, the equivalence of the degree with those listed above shall be solely determined by either the appropriate nationally accredited professional bodies or with the classification followed by Association of Indian Universities guideline (like Indian Medical Council for all medical related degrees, etc).

3.6 Ordinarily (except in such cases as stated in Clause 4.2), a candidate seeking admission to the Ph.D. programme shall appear at an Admission Test conducted by the concerned Faculty in the discipline in which he/she has obtained the degree as stated in Clauses 3.2 through 3.4. In case a candidate applies for admission in the Ph.D. programme in a discipline other than the one in which he/she has obtained the qualifying degree, he/she will have to go through the selection procedure of the department in which he/she seeks admission.

3.7 A candidate shall submit a statement that he/she 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 so long as he/she is registered for the Ph.D. degree at this University unless he/she is specifically granted permission to do so by the Research Programme and Evaluation Committee (RPEC) (**Appendix-1**).

04. Selection Procedure

4.1 The University shall admit an applicant possessing qualification as given in Clauses 3.3 and 3.4 to the Ph.D. programme through an admission test conducted by the relevant Department / Centre / School and if qualified, he/she has to appear for an interview to be conducted by the concerned Departmental Research Committee (DRC). The written test shall be qualifying in nature.

The University shall widely advertise the notification for an admission test and conduct admission on a regular basis (ordinarily once in every semester), the frequency of which shall be determined by the University from time to time in consultation with the concerned departments.

4.2 For candidates who have qualified in NET, GATE, SET, SLET, UGC (JRF), CSIR (JRF), or Teacher Fellowship, or in equivalent Examinations or those having an M.Tech., M.E., M.Arch., M.Phil., M.S., M.D., M.Pharm., or M.B.A. (after B.Tech., M.Sc., M.A., or M. Com.) degree or a degree deemed equivalent by the relevant University body, with CGPA above 6.5 in a 10-point scale, the written test may be waived on recommendation of respective Departmental Research Committee (DRC). However, they shall be required to appear before an interview.

4.3 At the time of interview the candidate will be examined in the fundamentals of the broad area of the proposed research interest which the candidate may indicate.

4.4 Candidates qualified in a written examination as given in 4.1 and 4.2 are to be selected for admission to the Ph.D. programme on the basis of the following weightage:

(a) Overall academic performance 70%, and

(b) Interview 30%

4.5 Foreign students seeking admission to the Ph.D. programme of the University will have to have a minimum of 60% marks or a CGPA of 6.5 (in a 10-point scale) at the qualifying examination.

All foreign students who are in India are required to appear in the Admission Test and Interview. The students seeking admission under this category may approach the concerned Head of the Department / Centre / School or the Dean (PGSR) for details.

Foreign students who are applying from their respective foreign countries, their application will be considered "In Absentia" and they are required to mail application form which may downloaded from the University website <http://www.aliah.ac.in>

Foreign nationals possessing the requisite qualifications and sponsored by the Govt. of India (ICCR, HRD, etc.) with scholarship or self-financed may be admitted fulfilling the criterion in Para 1 of this subsection.

The students seeking admission under the Cultural Exchange Fellowship Programme of Government of India are required to approach the Indian Council for Cultural Relations, Azad Bhavan, I.P. State, New Delhi-110001, India.

In the event of their selection, candidates will be informed about their selection and their admission will be subject to the following conditions:

(i) Fulfilling the minimum eligibility requirement as prescribed by the University.

(ii) Production of Student-Visa / Research-Visa (as the case may be) in accordance with the revised visa policy of Government of India as also a xerox copy of their Passport together with the original documents for verification.

4.6 Sponsored college teachers having awarded Teacher Fellowship of UGC, candidates selected under Quality Improvement Programme (QIP), personnel deputed by R&D Organizations and Industry are admitted on the basis of

(a) Grades or marks obtained in the qualifying examination as per Clauses 3.3 , 3.4 and 4.1 and 4.2 as applicable, and

(b) Interview conducted by the Department/Centre/School concerned.

Detailed rules regarding admission and enrolment of sponsored are given in **Appendix-5**.

- 4.7 Staff members of the University are allowed to enroll themselves for the Ph.D. programme subject to (i) prior permission obtained from the Vice-Chancellor and (ii) fulfillment of (a) the minimum qualifications as prescribed Clauses 3.3 and 3.4 and (b) Clauses 4.1 through 4.4. The other conditions governing such permission to be granted for enrolment of staff members are given in **Appendix-6**.
- 4.8 The admission of a candidate to the Ph.D. programme is recommended by the Departmental Research Committee (DRC) to the Chairman, RPEC.
- 4.9 Scholars admitted to the Ph.D. programme under any of the categories shall conduct themselves within and outside the precincts of the University in a manner befitting the scholars of an Institution of National repute. Detailed rules regarding conduct and discipline are given in **Appendix-7**.
- 4.10 A candidate should fulfill the appropriate standards of medical fitness. The University Medical Board's opinion in regard to medical fitness of a candidate shall be final.

05. Enrolment and Registration

- 5.1 Candidates selected through test followed by interview for the Ph.D. programme shall be required to enroll as a probationary Ph.D. student on payment of a nonrefundable fee determined by the University. A candidate shall apply for enrolment in the prescribed Enrolment Form within a month of joining the Department / Centre / School failing which his/her admission to the Ph.D. programme shall automatically stand canceled except under extra-ordinary circumstances in which case the approval of the Chairman, Academic Council, is required. On successfully fulfilling all the terms and conditions, after enrolment a candidate shall receive a permission letter from the Registry that he/she has been enrolled as a research scholar in the university.
- 5.2 Application for enrolment of a candidate in the prescribed form is forwarded and recommended by the Departmental Research Committee (DRC) (composition of which is given in **Appendix-2**). While doing so the Departmental Research Committee (DRC) will allot supervisor(s) and form the Doctoral Scrutiny Committee (DSC) (composition of which is given in **Appendix-3**) for each candidate admitted to the Ph.D. programme in consultation with the deemed supervisor(s). The Vice-Chancellor as the Chairman of the Academic Council (AC) will approve the enrolment on recommendations from Chairmen of both DRC and RPEC, which is to be reported to AC. The DSC will monitor the candidate's progress, conduct the open seminars in consultation with DRC
- 5.3 The scholar will have to undergo some coursework (**Appendix-4**) as stipulated by the DSC.
- 5.4 After successful completion of the course work (with minimum 'B+' grade of this University or its equivalent in each subject) assigned by the DSC, the candidate shall submit application for Registration in prescribed form to the Chairman, Departmental Research Committee (DRC) together with
- (a) course work completion certificates, and

- (b) six copies of the synopsis of the proposed research, which shall ordinarily not exceed 1000 words, and shall include a title, short introduction, a brief overview of literature pertaining to the work, Research objectives, Research methodologies and the plan of work, duly countersigned by the Supervisor(s).
- 5.5 The Departmental Research Committee (DRC) will arrange a seminar (henceforth will be called Registration Seminar) where the candidate shall present the research objectives, methodologies, and the plan of work in presence of the members of the DSC and DRC. A notice will be circulated in this regard so that other members of the faculty and research scholars of the concerned Department as well as other related sister departments can participate, if they wish. The DSC will then forward the application with its assessment and recommendations to the Dean (PGSR) for further actions in this regard.
- 5.6 Registration for Ph.D. degree shall be granted to a candidate provided that the RPEC and then Academic Council (AC) are satisfied that:
- (a) Recommendations of the concerned DSC are favourable.
 - (b) It shall be possible for the candidate to maintain regular contact with his Supervisor throughout the entire period of his/her work.
 - (c) The experimental part, if any, of the work can be carried out at this University or in other recognized University or institution or research organization or Industry where adequate facilities for carrying out such work exist.
- 5.7 If the DSC does not consider the seminar and/or the Synopsis/Plan of work as fit for recommendation, the candidate will be required to deliver another seminar talk with suitable modification or improvement, ordinarily within the next 3 months. It shall be re-examined by the Committee in the light of the suggestions made by the DSC.
- If, even after this revision and presentation of the Synopsis/Plan of work, the DSC does not recommend the case, the matter shall be placed at the meeting of the RPEC for appropriate action.
- 5.8 An enrolled Ph.D. student will normally be required to complete his/her Ph.D. registration within two years from the date of his/her Enrolment. In case of failure to register within the prescribed time or within the time extended by the Dean (PGSR), the application shall be deemed to have been cancelled.
- 5.9 The Ph.D. programme shall be carried out in any Department / Centre / School of the University or in any other University / Institution or Research Organization recognized by the University for that purpose (preferably within the geographical domain of the University).
- 5.10 If the research programme requires utilization of facilities outside the jurisdiction of the University, in an industry or an organization, the candidate may avail himself / herself of such facilities with the permission of the Chairman (AC) on recommendation from the Doctoral Scrutiny committee (DSC) and Research Programme and Evaluation Committee (RPEC). When the Research Scholar is permitted to carry out a substantial part of the research work outside the University, appointment of a joint supervisor from the industry / organization may be allowed. The joint supervisor from the industry /

organization shall have adequate research experience and qualification which has to be approved by the Chairman (AC), Academic Council, on recommendation from DSC and RPEC. The matter is to be reported the Academic Council (AC).

5.11 When a sponsored candidate has been granted permission for carrying out research work externally at the parent organization he/she will be required to maintain close contact to the satisfaction of the supervisor in the department.

5.12 Ordinarily, a scholar will be registered for a Ph.D. Programme in a Department / subject in which the candidate has obtained his/her Master's Degree.

In case a candidate applies for Ph.D. registration in a subject other than in which he/she has obtained his/her Master's Degree, registration will be decided by the Departmental Research Committee (DRC) of the Department/subject in which the candidate desires to be registered for Ph.D. Programme. (To be read with Clause 3.6.)

5.13 In all cases the date of registration shall be deemed to be the date of Enrolment, unless recommended otherwise by the DSC. Registration shall remain valid for 6 years from the date of registration. The relevant Doctoral Scrutiny Committee (DSC), however, may recommend for extension of the period of registration beyond 6 years on the merit of individual cases on sufficient grounds provided that such extension shall not exceed 2 years. Final authority of such extension is, however, the RPEC and the AC.

5.14 A candidate who has been registered for the Ph.D. programme can be permitted to become non-resident on the specific recommendation of the DSC provided the candidate has stayed in the University for a minimum period of 1 year. However, under normal conditions, the thesis for the Ph.D. degree has to be submitted within 6 years of enrolment.

5.15 In case of failure to submit thesis within the stipulated time, the candidate shall have to apply to the Dean (PGS) through the Chairman of the relevant Doctoral Scrutiny Committee (DSC) for extension before the expiry of the tenure of the existing registration, as per Clause 5.14.

5.16 (a) The Academic Council (AC), in consultation with the RPEC, may identify research institutions from where the teachers and researchers may independently supervise candidates for the degree of Ph.D. of Aliah University.

(b) The research institute shall be recognized by Aliah University only if said institute does not confer Ph.D. degrees independently.

(c) When an institute is thus identified by the Academic Council of Aliah University, the institute must follow the rules and regulations of Aliah University regarding the Ph.D. programme.

(d) The candidate's application form for registration to the Ph.D. programme of Aliah University must be forwarded by the Head/Director of the Institute.

5.17 (a) The candidate may apply to the Dean (PGSR) for cancellation of registration, preferably forwarded by the Chairman (DSC). Such applications must be placed at the meeting of the Research Programme and Evaluation Committee (RPEC). If approved, the candidate's registration will be cancelled.

(b) In case of unsatisfactory progress of research or misconduct, the supervisor may apply to the Dean for cancellation of registration. The Dean will refer the application to the DSC and DRC for their comment. The application with the comments of DSC and DRC shall be placed at the meeting of the RPEC and if accepted, the enrolment of the student will be cancelled.

5.18 The convener of the Departmental Research Committee (DRC) will be entrusted with the fixing of time, venue, date, etc. of the Admission tests, interviews, seminars, DSC meetings, Viva-voce examinations, etc. He/she will also maintain the records of the progress of the scholars working in the Department in individual files. He will transmit copies to the Dean (PGSR).

06. Privileges and Obligations of Registered Candidates

6.1 A registered candidate shall work under the guidance of the Supervisor(s) appointed by the Departmental Research Committee (DRC).

6.2 A registered candidate shall abide by such regulations as may be prescribed by the Departmental Research Committee (DRC) from time to time.

6.3 The scholar will be advised to undergo some course work (**Appendix-4**) as recommended by the DSC and subsequently approved by the RPEC and the Academic Council (AC). These courses must be completed within two years of enrolment and the copies of the mark sheets / grade cards / certificates must be submitted to the Supervisor who will then forward it to the respective Doctoral Committee for inclusion in the student's record.

6.4 A fee determined by the Executive Council (EC) shall be paid by a registered candidate for appearing at the examination for the course(s) mentioned above.

6.5 After the completion of course work, the candidate has to give the open Registration Seminar before the DSC, when the scholar is expected to present an overview of his plan of research and a brief survey of literature.

Application for registration, in the prescribed form, will then be forwarded by the Chairman, Doctoral Scrutiny committee (DSC), to the RPEC together with the copies of a Report (which is required to be submitted by the candidate) and the recommendations of the DSC for acceptance and later ratification by the Academic Council (AC).

6.6 An enrolled candidate (before registration) shall submit to the Supervisor a report in duplicate in the prescribed form on the progress of his/her work every semester once in December and next in July, for consideration by the DSC.

6.7 After registration, the scholar should regularly present the result of his/her work in the form of seminar at least once per two semesters before the DSC. The DSC will recommend the continuation of scholarship based on the assessment of seminars. The specific suggestions made by the DSC should be followed up.

6.8 Each candidate shall have to fill up the prescribed Ph.D. semester registration form along with the fees as decided by the Executive Council (EC) of the University before the end of the last date as notified in the academic calendar.

07. Supervision

7.1 All the whole-time, re-employed, retired teachers, honorary professors, etc. attached to the Departments of this University as defined in Section 15, Page 39 of Aliah University Act 2007 holding a Doctorate degree or possessing adequate research experience as evidenced by publications are entitled to be enlisted as Research Supervisor provided that the teacher her/himself is not registered for the Ph.D. degree. A teacher below the rank of a Professor without Ph.D. degree will not be eligible to supervise any scholar. The allocation of Supervisors to the Research Scholars is the responsibility of the Departmental Research Committee (DRC).

In case of collaborative research work, teachers of other recognized Universities or Research Institutions/Organizations or some persons from the Industry with high standing in a particular field may be allowed to act as Joint Supervisor, on recommendation of DSC with the consent of the DRC, subject to the final approval of the RPEC and the Academic Council (AC).

7.2 There can be at most two supervisors for any Ph.D. student.

7.3 Appointment of Supervisor(s) for a particular scholar shall be decided by the Departmental Research Committee (DRC) in a formal manner depending on the number of scholars associated with a faculty member, the area of research the candidate is interested in, the research and supervisory expertise of the faculty member, etc.

7.4 In special cases, the DRC may appoint a Supervisor from outside this University. Teacher / Scientist from other University / Institute/Organization who like to supervise a registered candidate of this University for the first time has to apply in the prescribed form. In such cases, a faculty member of Alia University should be associated as a joint supervisor.

7.5 If, after registration, a change of Supervisor, Joint Supervisor, or both is considered to be necessary, the candidate may apply to the Chairman of the relevant Departmental Research Committee (DRC) through the proposed Supervisor for the purpose with the concurrence of the previous Supervisor, ordinarily within one year from the date of registration. The Chairman of the relevant DRC will forward such application to the Chairman (AC), through the Chairman (RPEC), for his approval. If required, the matter may be placed before the RPEC.

7.6 In case of continuous non-availability of the Supervisor(s), the respective DSC may, on written request by the candidate, recommend suitable replacement(s) to the Chairman (AC).

(i) For a case where guidance has been given for more than 2 years:

- (a) If the supervisor of a student proceeds for a long leave for more than a year, a joint supervisor should be appointed and if the leave is less than a year, a caretaker supervisor is to be appointed by the DSC.
 - (b) However, on the recommendation of the DSC, a supervisor can be allowed to continue as sole supervisor on case-to-case basis depending on the state of progress of the thesis work.
 - (c) In case the supervisor is superannuating, he will continue to be the sole guide if the thesis is submitted within 6 months of the retirement of the supervisor. If the thesis is not ready for submission within 6 months, a joint supervisor must be appointed by the DSC.
- (ii) For a case where guidance has been given for less than 2 years:
- (d) If the supervisor of a student proceeds on leave for more than 6 months, a joint supervisor is appointed and in case the period of leave is less than 6 months a care-taker supervisor be appointed by the DSC. However if the leave is for 2 years or more the person shall cease to be a supervisor.
 - (e) In case the supervisor is superannuating, he will continue as the guide if the thesis is submitted within 6 months' time, otherwise another person will have to be appointed as sole guide in his place.

7.7 After superannuation from service of this University if a person joins the University as an Emeritus Professor / Scientist or in any other capacity, he / she may continue to be the sole supervisor or as Joint supervisor if the DSC so recommends.

Note: A person re-employed after superannuation shall continue to hold the same status in the matter till the end of the period of re-employment.

7.8 No faculty who has less than or equal to 2 years of service left from the end of the academic session in the month of June of the year he/she superannuates can be appointed a Ph.D. supervisor either singly or jointly with another faculty.

7.9 Persons from outside the University, joining as Emeritus Scientists / Professors or as Chair Professors or in any other capacity and have more than 2 years of service left can be appointed as supervisor for new scholars only jointly with a regular teacher and not alone.

Note: The foregoing points are guidelines. The recommendation of DSC of a candidate will be given due consideration while making decision in a particular case.

08. Submission of Thesis

- 8.1 Normally, a registered candidate shall have to work for a minimum period of three years after enrolment. However, for a candidate having M.Tech., M.E., M.Arch., M.Phil., M.S., M.D., M.Pharm., M.B.A. (after B.Tech., M.Sc., M.A., or M.Com.) degree, the period shall be a minimum of two years.
- 8.2 A student must have at least one publication in a peer-reviewed journal (of international repute) out of his/her doctoral research work prior to submission and shall produce evidence for the same in the form of acceptance letter or reprint.
- 8.3 Ordinarily, three months prior to the submission of thesis, the candidate through the Supervisor(s) shall forward to the convener of the relevant Departmental Research Committee (DRC) six copies of the summary of work (henceforth called Synopsis), preferably within 5000 words, incorporating all major findings and achievements and their interpretations.

The Convener of the relevant DRC shall circulate the summary of the work to the members of DSC at least 7 days before holding a Pre-submission seminar. At the said open seminar, the candidate shall present the proposed thesis in the presence of at least three members of DSC, the Supervisor(s), and the members of the DRC.
- 8.4 During the seminar any member of the DSC may put forward specific suggestion(s), if any, to the candidate and the candidate will be required to work upon those suggestions.
- 8.5 Immediately after the seminar, the Chairman of the relevant DSC shall forward a report in prescribed form to the Dean (PGSR) on the performance of the candidate together with six (soft bound) copies of the synopsis (revised as desired by the DSC) and the soft copy of the same on a CD.
- 8.6 In the pre-submission seminar, the Supervisor and the members of the DSC will prepare two panels each consisting of three experts for the evaluation of the thesis to the Chairman (AC). One of the panels should have experts from India and the other, experts from abroad. An expert should be a reputed researcher in the relevant subject, not below the rank of Professor. The Chairman (AC) should select one examiner from each panel.
- 8.7 The candidate should submit four (five in case there is a Joint Supervisor) typed written or printed copies of the thesis (along with its electronic version in CD in PDF format) within 3 months of the date of the Pre-submission seminar.
- 8.8 The title of the thesis will not be permitted to be modified after submission of the seminar report by the DSC.
- 8.9 The candidate will also have to submit a certificate from the Supervisor as well as attested copies of other necessary documents (such as clearances from hostel, library, laboratory, etc) at the time of submission of the thesis.
- 8.10 (a) Besides the text and common matters like bibliography / references and summary / conclusions, the thesis must contain:

- (i) a preface in which the candidate shall state whether the work is based on the discovery of new facts by her/him or of new relations of facts observed by others, and how the work contributes to the general advancement of knowledge. She/He shall also state the sources from which her/his information has been derived and the extent to which she/he has based her/his work on the work of others and shall indicate which portion or portions of his thesis s/he claims as original.
 - (ii) one-page bio-data of the candidate (i.e., name, date of birth, educational qualification, research experience, professional experience, if any, and permanent home address;
 - (iii) an abstract of the thesis (about 500 words) with key words (about 20);
 - (iv) a certificate (in standard format) from the supervisor(s), except in a case where she/he has been permitted to submit the thesis without any supervisor, that the work has been carried out under her/his/their supervision, that the candidate has fulfilled all prescribed requirements, and the thesis, which his based on the candidate's own work, has not been submitted elsewhere for a degree/diploma.
- (b) The University has liberty to revoke any Ph.D. degree conferred duly, if subsequently charged with plagiarism. The onus lies on the candidate to ascertain that nothing contained in the thesis is plagiarized.

09. Evaluation of Thesis

- 9.1 On successful completion of the Pre-submission open seminar, the DSC will recommend to the senate a panel of 6 experts, 3 from India and 3 from abroad. The Chairman (AC) will select two experts, one from the Indian panel and another from the foreign panel, as external examiners and the supervisors(s) will be internal examiner(s). The thesis shall be forwarded to all the examiners who shall report separately on the thesis and forward their recommendation to the Controller of Examinations.
- 9.2 The Dean (PGSR), as Chairman of the RPEC, will examine reports on the thesis and send it to the Chairman of the Academic Council (AC) for his/her consideration. The reports shall thereafter be sent to the DSC, inclusive of the advice(s) of the Chairman (AC), for their perusal and necessary action.
- 9.3 There may be four possible situations arising out of the nature of the reports submitted in the form as prescribed and the steps to be taken appropriate to the circumstances shall be as laid down below:
- (a) If all the reports of the adjudicators are positive and the thesis is unanimously and unconditionally recommended for the award of the degree, the candidate will be asked to appear before an open viva-voce before the DSC, DRC, and an external examiner, who will be appointed by the Chairman (AC) on the recommendation of the DSC. At the viva-voce, it would be seen whether the candidate responded to the suggestions and queries made by the examiners in the thesis.

(b) The external examiners are unanimous in recommending the award of the degree but have suggested modifications and/or have asked for clarifications. The candidate in that case shall make modifications and provide the clarifications as suggested within a time to be fixed by the DSC which in no case shall exceed 6 months from the date the communication is sent to the candidate.

(c) One of the external examiners does not recommend the award of the degree and rejects the thesis while the other external examiner recommends the award. The Vice-Chancellor, on the recommendation of the DSC, may consider the appointment of a third external examiner from the existing relevant panel of examiners or if necessary, from a new panel recommended by the DSC. The recommendation of the third adjudicator is final. The Vice-Chancellor may also, if he/she considers it necessary, refer such and other cases to RPEC.

(d) In the event of a thesis being rejected by both the external examiners, the Academic Council (AC) may, on the recommendation of the DSC, permit submission of a revised thesis on an additional payment of the prescribed fee, after a suitable time not less than 6 months but not exceeding 2 years. The observations and comments of the examiners, if any, may be copied and given to the candidate on request. In no case should a resubmission of the thesis without modification along the line of criticism made by the earlier examiners be allowed. The revised thesis shall be referred for assessment to two external examiners, one each from two new panels of 5 foreign and 5 Indian experts recommended by the DSC. In case both the external examiners reject the revised thesis, the thesis will stand rejected.

10. Viva-Voce Examination

10.1 Once the reports of the examiners have been accepted as satisfactory, the Chairman, Departmental Research Committee (DRC), in consultation with the supervisor(s) will arrange the viva-voce examination at which the candidate shall defend his/her thesis before the viva-voce board consisting of all DSC members, supervisor(s) and the Indian External Examiner appointed by the Chairman (AC) from the panel of Indian Experts (as recommended by the DSC to the Chairman (AC) through the Chairman (RPEC). In case the Indian Examiner is not available for conducting the viva-voce, the Chairman (AC) at his/her discretion may appoint another examiner either from the original panel of the Indian examiners recommended by the DSC or from a fresh panel recommended by the DSC to conduct the viva-voce.

10.2 The examiners at the viva-voce examination may ask questions beyond the subject of the thesis in order to satisfy themselves that the candidate has adequate knowledge of the particular branch of the subject on which he/she has submitted the thesis. The Chairman of the DSC will act as Chairman of the viva-voce examination. With the permission of the Chairman of the viva-voce examination, other persons may also ask questions.

10.3 The viva-voce board shall jointly submit a report to the Dean (PGS), who is also the Chairman of the RPEC, on the performance of the candidate at the said examination, clearly indicating whether the candidate deserves to be admitted to Ph.D. Degree.

10.4 If the candidate fails to satisfy the examiners at the viva voce, or if some modifications and corrections suggested at the viva-voce the candidate will have to appear again at the viva-voce after a period of three months from the date of first viva-voce, after making necessary revisions suggested at the viva-voce. Such a candidate shall pay an additional fee as decided by the Executive Council (EC) of the University.

11. Award of Degree

11.1 The Chairman (AC) after considering the favourable reports on the thesis and the viva-voce shall approve provisionally the award of Ph.D. degree and report it to the Academic Council (AC) for the award of Ph.D. degree to the candidate. The degree shall be awarded by this University if the student has completed satisfactorily all prescribed requirements and has cleared all fees and dues payable to the University. The degree shall be awarded at the annual convocation for the academic session in which the student completes the requirements satisfactorily.

11.2 The Controller of Examinations will officially issue a provisional certificate (henceforth called the Provisional Certificate) intimating that the candidate has been admitted to the Ph.D. degree and specifying the date of admission of the Ph.D. degree.

11.3 The degree under the seal of the university and signed by the Vice-Chancellor in the prescribed format as adopted by AC will be given to each successful candidate at the next annual convocation of the University.

11.4 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.

11.6 Abstracts of the thesis of all candidates admitted to the Degree by the University will be published in the University Website under the link "Alia University Dissertation abstracts". Abstracts, written in English, of all theses, accepted by the University, will also be sent by the Registrar to the 'Dissertation Abstracts International' for publication, immediately after the candidate is admitted to the Degree.

12 Depository with UGC

12.1 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 within a period of thirty days, for hosting the same in INFLIBNET, accessible to all Universities / Institutions. A copy will be retained by the University Library in both soft and hard formats.

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

13. Honorarium

- 13.1 The external members of the Board of Examiners shall be paid an honorarium as may be determined from time to time by the Executive Council for the examination of the thesis and the viva-voce examination.

Honorarium will be paid to the examiners at the same rate as mentioned above for re-examination of the thesis.

Part - II: Regulations Relating to D.Litt. / D.Sc. Degree

14. General

- 14.1 The University shall have provision for award of the degree of Doctor of Letters (D.Litt.) in arts (including literature, humanities, etc.) and Doctor of Science (D.Sc.) in science (including engineering, technology, medicine, pharmacology, etc.).
- 14.2 The Executive Council (EC) on the recommendation of the Academic Council (AC) shall award D.Litt. / D.Sc. degree to a candidate who is found eligible on the basis of a thesis and published papers based on the candidate's own original research work in an appropriate field.

15. Eligibility

- 15.1 Ordinarily a candidate who has obtained a Ph.D. or an equivalent degree from a recognized institution shall be eligible to apply for registration for the D.Litt. / D.Sc. degree. Academic Council (AC) may also permit a candidate with outstanding research contributions possessing either a (a) Master of Technology, Master of Architecture, Master of City Planning, Master of Regional Planning degree, Master of Business Administration (after B.Tech.), Master of Science, Master of Arts, Master of Commerce, Master of Business Administration (after B.A./B.Sc./B.Com.) or a degree / diploma equivalent to any one of them, to register for the D.Litt. / D.Sc. degree.
- 15.2 An intending candidate shall submit application in prescribed form enclosing therewith (a) bio-data complete with qualifications, teaching, and research, (b) an outline of the research work on the basis of which the permission is sought for, and (c) for Science / Technology / Management candidates a list of at least 10 sole-authored research papers published in journals having impact factor at least 1.0 (at the time of publication). The average impact factor of the journals in which 10 papers have been published should be not less than 1.5. For Humanities / Languages, a candidate shall submit at least 10 publications of good quality and in reputed journals or by well-reputed publishers in case of books. The application should also accompany a fee as decided by the Executive Council (EC) and be addressed to the Dean (PGRS). The composition of the Doctoral Scrutiny Committee (DSC) will be as follows:
- (a) The Vice-Chancellor (Chairman) (Ex-officio)

- (b) The Dean of Post Graduate Studies and Research (Member)
- (c) The Head of the Department / Centre or the Director of the School to which the research area of the applicant belongs (Convener)
- (d) One senior member of faculty from the Department
- (e) One senior member of faculty from a sister department in a related area
- (f) A senior faculty member (in the area) from outside the University

15.4 The DSC may, on being satisfied with the candidate's eligibility for the D.Litt. / D.Sc. degree, recommend to the Academic Council (AC) for the candidate's registration. The registration shall be valid for a period of 5 years from the date it is granted.

16. Synopsis

16.1 A candidate who has been registered shall be required to submit 5 copies of synopsis of the candidate's work within the valid period of registration and 3 months before the expected date of submission of the thesis. The synopsis should be submitted in soft bound form.

16.2 The Doctoral Scrutiny Committee (DSC) will recommend a panel of 10 experts, 5 from India and 5 from abroad, for appointment of examiners of the thesis.

16.3 The Vice-Chancellor, as Chairman of the Academic Council (AC), will select 3 examiners from the panel with at least one being from abroad.

17. Thesis

17.1 Within a period of 3 months from the date of submission of the synopsis, the candidate shall submit 4 soft-bound copies of his/her thesis together with a thesis evaluation fee as decided by EC from time to time. It is desirable that at least the important parts of the thesis have been published as sole-authored articles in peer-reviewed journals of international standard. Copies/reprints of the papers should be given and bound together in the thesis giving appropriate references. The thesis shall be a record of the candidate's own independent and original research. It shall accompany a declaration signed by him/her that the work has been done and the thesis prepared by him/her for the D.Litt./D.Sc. degree of the University and that it has not been submitted for any degree or diploma anywhere else.

17.2 The thesis shall also include the following:

- (a) A brief bio-data of the candidate (name, age, educational qualifications, research experience, permanent address, etc.)
- (b) A summary of the thesis and about 20 key words.

18. Evaluation

- 18.1 The thesis shall be adjudicated by 3 experts selected by the Chairman AC (vide Clause 16.3 above). Each expert will independently forward the report on the thesis in a prescribed form along with detailed comments.
- 18.2 The reports of all the 3 examiners shall be placed before the DSC for consideration. If the examiners are unanimous and favourable, the committee will recommend to the Academic Council (AC) that the thesis be accepted for the degree.
- 18.3 In case two examiners recommend for the award and the third examiner reject, then the thesis may be sent to a fourth examiner for adjudication and in that case the decision of the fourth examiner is binding and final.
- 18.4. In case one examiner recommends for the award and two examiners reject, then the thesis stands rejected
- 18.5 Ordinarily, a candidate for the D.Litt. / D.Sc. degree shall not be required to appear at a viva-voce examination unless the examiner(s) make a special recommendation to that effect, like clarifications of some points at the time of viva-voce.
- 18.6 If the Academic Council (AC) is satisfied with the reports of the examiners and the recommendations of the DSC, it will recommend to the Executive Council for award of the degree.
- 18.7 If one or more of the examiners recommend award of the D.Litt. / D.Sc. degree and the other(s) recommend that the thesis be accepted for lower degree, the Doctoral Scrutiny Committee (DSC) may, after obtaining a written consent from the candidate that he/she is agreeable to be considered for the degree of Doctor of Philosophy (Ph.D.), make its own recommendations to the Academic Council (AC) on the proposition. In such case, it shall be necessary for the candidate to appear at a viva-voce examination by a board to be constituted for the purpose.

APPENDICES

Appendix-1: Constitution of Research Programme and Evaluation Committee (RPEC)

The RPEC will consist of the following members:

Dean of Post-Graduate Studies and Research (PGSR) (Chairman)
Deans of all other Faculties
All Heads of the Departments/Centres and Directors of Schools
Registrar (Convener)

Appendix-2: Departmental Research Committee (DRC)

The Departmental Research Committee will consist of the following members:

- (a) Head of the concerned Department/Centre or Director of the concerned School (Chairman)
- (b) A senior faculty member (preferably not below the rank of Associate Professor) nominated by the Vice Chancellor (Coordinator)
- (c) One or more (not more than 3) senior faculty member(s) (preferably not below the rank of Associate Professor) with Ph.D. and enough of research / guidance experience to be elected by the faculty members of the Department.

The Departmental Research Committee (DRC) shall have to be approved by the Chairman, Academic Council (AC) and reported to the Academic Council.

The Departmental Research committee

- will monitor the research programme of the Department,
- will allocate supervisor(s) for a scholar,
- monitor the functions of different DSCs, and
- DSC will report to the PhD committee the progress of its activity time to time and will work in consultation with the PhD committee.

The Departmental Research Committee (DRC) is a permanent committee; the tenure of each member will be of two years. At the end each academic session, it will be reviewed and may be reconstituted along with other academic and administrative committees of the Department.

Appendix-3: Constitution of Doctoral Scrutiny Committee (DSC)

The Chairman of the Departmental Research Committee (DRC) in consultation with the Supervisor(s) and other members of the DRC shall constitute a Doctoral Scrutiny Committee (DSC) for each candidate admitted to the research programme leading to the Ph.D. degree. On recommendation of the Chairman of the Departmental Research Committee (DRC), and the Chairman of the RPEC, the Vice-Chancellor as Chairman of the Academic Council approves the DSC separately for each candidate, which is later reported to the Academic Committee (AC). The DSC for a candidate will consist of the following members:

- (a) Head of the concerned Department/Centre or Director of the concerned School (Ex-officio Chairman)
- (b) Coordinator, Departmental Research Committee (DRC)
- (c) Supervisor(s)

- (d) At least two senior faculty members / experts (preferably not below the rank of Associate Professor, with Ph.D. and enough of research / guidance experience in the related field, from the Department or other sister Department(s) of the University)

A member of the faculty who himself/herself is enrolled for the Ph.D. degree of the University or does not have adequate research experience in the relevant field shall not be appointed as supervisor or a member of the Doctoral Scrutiny Committee (DSC) for any candidate for the Ph.D. degree.

The DSC for a candidate shall be for a period as long as the candidate's registration is valid or he/she is awarded the Ph.D. degree of the University, whichever is less.

Appendix-4: Requirement of Course Work

A candidate possessing M.Tech., M.E., M.Arch., M.Phil., M.S., M.D., M.Pharm., M.B.A. (after B.Tech., M.Sc., M.A., or M.Com.) degree or a degree deemed equivalent by the relevant University body, will have to take at least 12 credits of course work over a minimum period of two semesters. For candidates with M.Sc. / B.Tech., the minimum credit requirement is 18.

The course work should include:

- (a) One compulsory 4-credit Foreign Language course, namely, Arabic. However, if any candidate has already studied the subject as part of his/her Secondary and Higher Secondary curricula, will be offered a suitable alternative subject in lieu of Arabic.
- (b) One 3/4-credit course on Research Methodology which may include quantitative methods and computer application as the case may be.
- (c) One 3-/4-credit course on Technical Report writing and Communication skill.
- (d) Other credits should be selected from among the available subjects offered by the Department or sister Departments or from other Institutions recommended by DSC, or on self-study basis as per the advice of the Supervisor and DSC. Such self-study subjects will be assessed by the Supervisor(s) on the basis of at least two seminars and a written examination.
- (e) Candidates assigned course work must obtain, in the 10-point grading scale, a grade carrying 'B⁺' or higher grade in each of the subjects.

If the grade obtained by a candidate in any subject is below 'B⁺' grade, the candidate is required to repeat that subject. Should the candidate fail to clear the course work within 1 year of enrolment, the DSC may review the performance of the student and make suitable recommendation to the Chairman, AC.

Appendix-5: Admission of Sponsored Candidates to Ph.D. Programme

The University may admit persons who are in gainful employment as 'Sponsored Scholars' to the research programme subject to the following conditions:

1.1 Persons who possess the minimum prescribed qualifications and are in service in any of the following establishments shall be eligible for admission to the Ph.D. programme as sponsored scholars:

- (a) State or Central Government ministries/organizations
- (b) Established industrial research and development organizations
- (c) Autonomous bodies and public undertakings
- (d) Universities /colleges
- (e) Such industries as may be recognized by the University from time to time.

1.2 Besides the sponsored candidates from the above organizations, qualified teachers from recognized Engineering Colleges selected under the Quality Improvement Programme (QIP) of the Govt. of India and of Colleges who are awarded Teacher Fellowship of the University Grants Commission (UGC) shall be eligible for admission to the programme.

2. The prescribed minimum qualification for admission to the Ph.D. programme are given in Clauses 3.3 and 3.4 and selection process as given in Clauses 4.1, 4.2 and 4.6 of the Regulations.

3. An intending sponsored candidate must submit his/her application in prescribed form through his/her employer, who will forward the same to the University with suitable endorsement so as to reach the University by the date stipulated in the notification for the semester.

4. A sponsored scholar selected for admission shall be required, at the time of joining the University:

- (a) to submit evidence of having passed the qualifying examination and such other documents as the University may require,
- (b) to produce certificate from the employers to the effect

- (i) that he/she has been officially released from his/her duties for purpose of joining the program and has been granted the leave for required period,
- (ii) that his/her services shall be retained with the employers,

(c) A self-supporting candidate in services shall produce a release certificate from his/her employers at the time of admission.

6. (a) In the case of a sponsored candidate admitted as such to the Ph.D. programme, the minimum residential requirement is one year. However, it may be reduced to one semester to be completed at a stretch, preferably immediately after joining, if the Organization he/she is employed in has R&D facilities, and subject to conditions laid down in Clause 5.3 of the Regulations as well as the sub-clauses (b), (c), and (d).
 - (b) A candidate sponsored by an industry, an R&D Organization, educational institution, or a Government Organization having adequate research facilities may be allowed to work externally subject to his/her fulfilling all such conditions prescribed by the Regulations as are applicable. Permission to carry out the research work partially or entirely at the Organization shall be granted only if the DSC is satisfied about availability of research facilities there and fulfillment of all requirements.
 - (a) Such permission is to be obtained in advance.
 - (b) In such a case a joint supervisor from the sponsoring organization with adequate research experience may be appointed with the approval of the DSC. When a sponsored candidate has been granted permission under these provisions to work externally at parent Organization he/she will be required to maintain frequent contact with the supervisor in the University.

Appendix-6: Rules Relating to Enrolment of Members of Teaching and Non-Teaching Staff

1. Members of teaching and non-teaching staff (working in permanent capacity, including technical and non-technical) may be permitted to join the Ph.D. programme of the University provided that prior permission has been obtained from competent authority before applying for admission to the programme.
2. For admission to the programme a member of staff must fulfill the prescribed norms, minimum qualifications, and percentage of marks / grade / CGPA as described in Clauses 3.3 and 3.4 and selection criteria as given in Clauses 4.1 through 4.4 of the regulations, whichever is applicable.
3. All common norms laid down in the Ph.D. Regulations relating to course work, prosecution of research work under the supervision of a member of the faculty, etc. shall be applicable to all members of staff when being enrolled.
4. All members of staff permitted to join research programme must pay the prescribed enrolment-cum-registration fee and also the thesis evaluation fee before submission of the thesis on completion of the work.

5. A member of staff enrolled for the Ph.D. degree shall be exempted from payment of any tuition and other fees except the following, which all Ph.D. candidates are required to pay (a) Admission fee, and (b) Thesis fee.

The other conditions for permission to the two categories of staff shall be as follows:

(a) For members of teaching and academic staff:

- (i) Any member of faculty enrolled for the Ph.D. degree may, depending upon his/her teaching/research experience carry out his/her research work under the supervision of a senior faculty member of the University.
- (ii) The Doctoral Scrutiny Committee (DSC) constituted in respect of a member of teaching staff applying for registration may recommend exemption from doing the necessary course work in view of the qualification he possesses or his/her teaching experience.
- (iii) A member of faculty who has put in at least 2 years of continuous service in the University may, on the recommendation of the DSC, be permitted to submit his/her thesis on completion of a minimum period of one year from the date of enrolment. He/she will, however, be required to go through the formalities of course (if necessary) and seminars before submission of the thesis.

(b) For members of non-teaching and non-academic staff:

- (i) A member of non-teaching and non-academic staff seeking permission to join the research programme must hold a permanent post in the University.
- (ii) The application for administrative permission to join a research programme by a member of non-teaching staff must be submitted through the Head/Director of the Department / Centre / School or the Section In-Charge, as the case may be. While submitting the application he/she must give an undertaking in the form appended hereto (**Schedule-A**) to the effect that he/she will abide by all rules and regulations.
- (iii) If the exigencies of University work so require, the permission granted to a member of non-teaching staff under these rules can be withdrawn by the University at any time.
- (iv) Every application for permission under these rules shall be examined by the Research Programme and Evaluation Committee (RPEC) taking into account whether the proposal for joining the programme for which permission is sought for arises out of genuine interest and ability.
- (v) After the permission is granted he/she will submit his/her application in prescribed form together with the prescribed enrolment-cum-registration fee.

(vi)The minimum period to be spent in the research work by a member of non-teaching staff registered for the Ph.D. degree shall be 5 years. The maximum period admissible for completion of the work and submission of the thesis shall, however, remain to be the same as in the case of regular candidates (vide Clause of the Regulations), i.e., 8 years.

Schedule - A

Undertaking

I, Mr./Ms. ----- member of the teaching / non-teaching staff holding a permanent post of ----- in the Department/Centre/School of ----- at Aliah University, do hereby give the undertaking that I shall abide by the rules and regulations as may be laid down by the Academic Council (AC) of the University from time to time for undergoing the Ph.D. programme.

I also undertake hereby that since I shall be on duty while undergoing the programme of studies/research I shall ensure that all normal official duties assigned to me are executed without any handicap.

I further understand that the permission granted to me for joining the programme can be withdrawn at any time if the exigencies of official duties so require or if I cause breach of any of the provisions of rules and regulations.

Date: -----

(Signature)

Appendix-7: Rules Regarding Conduct and Discipline

Following rules shall be applicable to all students and research scholars in the matters of conduct and discipline:

1. Research scholars shall show due respect to the teachers and officers of the University, the Wardens of the Halls of Residence, and the Officers of the National Cadet Corps; proper courtesy and consideration should be extended to the employees of the University and those of the Halls of Residence. They shall also pay due attention and courtesy to visitors.
2. Research scholars are required to develop a friendly camaraderie with fellow students. In particular they are expected to show kindness and consideration to the new students admitted to the Institute every year. Ragging of newcomers in any form is banned by law – acts of ragging will be considered as gross indiscipline and will be severely dealt with.

3. The following acts of omission and/or commission shall constitute gross violation of the code of conduct and are liable to invoke disciplinary measures:

- Ragging
- Lack of courtesy and decorum; indecent behaviour anywhere within or outside the campus
- Wilful damage or stealthy removal of any property/belongings of the University / Hall of Residence or of fellow students
- Possession, consumption or distribution of alcoholic drinks or any kind of hallucinogenic drug
- Involvement in misuse of internet/e-mail facilities of servers anywhere in the Departments / Centres / Schools / Halls of Residence, etc.
- Adoption of unfair means in the examinations
- Mutilation or unauthorized possession of library books
- Noisy and unseemly behaviour, disturbing studies of fellow students / academics of faculty members or other academic / administrative activities of the University activities, etc.

Commensurate with the gravity of the offence, the punishment may be reprimand, fine, expulsion from the Hall of Residence, debarment from an examination, and rustication for a specified period or even outright expulsion from the University.

4. For a minor offence committed in (a) the Hall of Residence, (b) the Department or in a class room, and (c) elsewhere, the Warden, the Head of the Department, and the Dean of Students' Affairs, respectively, shall have the authority to reprimand, or impose fine or take other suitable measure.
5. For all major cases of misconduct, the matter shall be reported to the Chairman, Conduct & Disciplinary Committee of the University.