



# PRESIDENCY UNIVERSITY

(Established under the Presidency University Act, 2013 of the Karnataka Act 41 of 2013)

## Ph.D. Regulations, 2017

Regulations No.: PU/R&IC-01/01/04\_2017

*Resolution No.07 of the Fifth Meeting of the Academic Council held on May 11, 2017 and ratified by the Board of Management in its Fifth Meeting held on May 12, 2017.*

(May, 2017)

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Presidency University

<b>Contents</b>		
<b>Section</b>	<b>Particulars</b>	<b>Page No</b>
	PRELIMINARY .....	4
1.0	PREAMBLE .....	6
2.0	CATEGORIES OF ADMISSION .....	6
3.0	ELIGIBILITY CRITERIA FOR ADMISSION .....	6
4.0	ADDITIONAL ELIGIBILITY CRITERIA FOR PART-TIME Ph.D. RESEARCH SCHOLARS .....	7
5.0	ADMISSION AND SELECTION PROCEDURE .....	7
6.0	RESEARCH FELLOWSHIP .....	9
7.0	RESEARCH AND INNOVATION COUNCIL (R&IC) .....	9
8.0	RESEARCH ADVISORY COMMITTEE (RAC) .....	9
9.0	RESEARCH SUPERVISOR .....	10
10.0	CO-SUPERVISOR .....	11
11.0	MINIMUM/MAXIMUM DURATION OF THE Ph.D. PROGRAM .....	12
12.0	PROGRAM STRUCTURE .....	12
13.0	PROVISIONAL REGISTRATION, APPOINTMENT OF RESEARCH SUPERVISOR, CO-SUPERVISOR(S) AND RESEARCH ADVISORY COMMITTEE(RAC) .....	13
14.0	Ph.D. COURSEWORK AND EVALUATION .....	13
15.0	COMPREHENSIVE VIVA-VOCE/EXAMINATION AND RESEARCH PROPOSAL ASSESSMENT ..	14
16.0	Ph.D. REGISTRATION CONFIRMATION / CANCELLATION .....	15
17.0	RESEARCH PROGRESS REPORT (RPR) AND ASSESSMENT, ANNUAL PROGRESS SEMINAR (APS) .....	16
18.0	PRE-SYNOPSIS REPORT AND SEMINAR .....	16
19.0	SYNOPSIS AND THESIS SUBMISSION .....	17
20.0	THESIS ADJUDICATION .....	17
21.0	Ph.D. DEFENCE VIVA-VOCE .....	19
22.0	AWARD OF Ph.D. DEGREE .....	21
23.0	MEASURES AGAINST PLAGIARISM .....	21
24.0	MISCELLANEOUS .....	21
25.0	POWER TO REVISE, MODIFY, AMEND .....	22
	ANNEXURE A .....	23
	ANNEXURE B1 .....	28
	ANNEXURE B2 .....	30
	ANNEXURE B3 .....	36
	ANNEXURE C .....	38
	ANNEXURE D .....	44
	ANNEXURE E .....	49
	ANNEXURE F .....	52
	ANNEXURE G .....	58
	ANNEXURE H .....	63
	ANNEXURE I .....	70
	ANNEXURE J .....	72
	ANNEXURE K .....	74
	APPENDICES (I to V) .....	76

## Ph.D. Regulations, 2017

In exercise of the powers conferred by and in discharge of duties assigned under the relevant provisions of the Presidency University Act, 2013, Statutes and Regulations, made thereunder, the Academic Council hereby makes the following Regulations, namely;

### PRELIMINARY

#### Short Title and Commencement

- a) These Regulations shall be called the **Ph.D. Regulations, 2017**.
- b) They shall come into force with immediate effect.

### DEFINITIONS

*In these Regulations, unless the context otherwise requires:*

- a) "Academic Council" means the Academic Council of the University;
- b) "Act" means the Presidency University Act 2013;
- c) "Center" means a constituent institution of the University established for monitoring, supervising and guiding, teaching, training and research activities in broadly related fields of studies;
- d) "COE" means the Controller of Examinations of the University;
- e) "Clause" means duly numbered Clauses of these Regulations;
- f) "Course" means, a specific subject usually identified by its course-number and course-title, with specified credits and syllabus/course-description, a set of references, taught by some teacher(s)/ Course-instructor(s) to a specific class during a specific academic-session/semester;
- g) "Co-Supervisor" shall mean a faculty member (regular/visiting/adjunct) of the University/any other UGC recognized University, or, a scientist/senior professional/domain expert in a reputed organization/industry approved to supervise the research/academic work of the research scholar;
- h) "Degree" means the Degree of Doctor of Philosophy (Ph.D.) of the University;
- i) "Department" means the Department / School/Center offering the Ph.D. Program;
- j) "Full-time Research Scholar" shall mean a student admitted to the Ph.D. Program of the University and devoting full time for completing the degree requirements;
- k) "HOD" means the Head of the Department/School of the University;
- l) "Part-time Research Scholar" shall mean a student admitted to the Ph.D. Program of the University and continues to be employed in a University/Institute/Organization during the Ph.D. Program.
- m) "Program" means Ph.D. Degree Program of the University;
- n) "Research and Innovation Council" (R&IC) means the Research and Innovation Council of the University.
- o) "Research Advisory Committee" (RAC) means the Research Advisory Committee assigned to the research scholar;
- p) "Research Scholar" shall mean a student admitted to the Ph.D. Program of the University;
- q) "Research Supervisor" shall mean a regular full-time faculty member of the University approved to guide/supervise the research/academic work of the research scholar;

- r) *“Supervisor(s)” shall mean Research Supervisor(s) and/or Co-Supervisor(s);*
- s) *“Section” means duly numbered Section of these Regulations;*
- t) *“School” means a constituent institution of the University established for monitoring, supervising and guiding, teaching, training and research activities in broadly related fields of studies;*
- u) *“Statutes” means the Statutes of Presidency University;*
- v) *“University” means Presidency University; and*
- w) *“Vice Chancellor” means the Vice Chancellor of the University.*

## 1.0 PREAMBLE

Presidency University, Bengaluru offers Ph.D. programs through its Departments/ Schools/Centers, hereinafter referred to as Department(s), leading to the award of the degree of Doctor of Philosophy, abbreviated as Ph.D. The award of Ph.D. degree is in recognition of independent and original research work, which makes a contribution to the advancement of knowledge either by the discovery of facts, or by a fresh approach towards the interpretation and application of facts, or development of innovative solutions, services, products and technologies. The University also encourages research in interdisciplinary areas through the provision of Co-Supervision. The Ph.D. Regulations, 2017 of the University are in accordance with the provisions and guidelines of the *University Grants Commission (Minimum Standards and Procedure for Award of M.Phil. /Ph.D. Degrees) Regulations, 2016*. The degree of Doctor of Philosophy (Ph.D.) of the Presidency University, Bengaluru shall be conferred on a research scholar who successfully completes all the requirements specified in the Ph.D. Regulations, 2017 by the University.

## 2.0 CATEGORIES OF ADMISSION

The applicant for admission to the Ph.D. program shall be classified under any one of the following categories:

### 2.1 Full-time Research Scholar:

- (a) Research Scholar with UGC Fellowship, or with Fellowships like NDF, CSIR, DBT, NBHM and such other fellowships from nationally recognized agencies, or;
- (b) Research Scholar, including foreign national, sponsored with leave for a minimum of 3 years, from the sponsoring Institute /Organization, or;
- (c) Self-Financed Research Scholar.

### 2.2 Part-time Research Scholar:

- (a) Part-time Internal Research Scholar who is a regular faculty member of the University, or employed in an R&D/Consultancy project of the University, or;
- (b) Part-time External Research Scholar who is a regular employee in a UGC recognized College/University or Industry/Organization approved by the University as a Research Centre.

### 2.3 Conversion of Full-time research scholar status to Part-time research scholar and vice-versa:

2.3.1 The University may permit the conversion of category from Full-time to Part-time basis and vice-versa, for valid reasons, with the approval of the Research and Innovation Council.

2.3.2 Full-time research scholars cannot take up any job/assignment during the entire Ph.D. program. On application, the University may permit the Research Scholar to take up a job/assignment while continuing the Ph.D. work. In such a case, the University shall convert the Research Program from Full-time to Part-time in accordance with Clause 2.2.

## 3.0 ELIGIBILITY CRITERIA FOR ADMISSION

A candidate belonging to the admission categories specified in Section 2.0 should possess the following qualifications in the relevant areas to be eligible to apply for admission for the Ph.D. program of the University:

- 3.1 Master's Degree or a professional degree declared equivalent to the Master's degree by the corresponding statutory, regulatory body, with a good academic record and a minimum of 55% of marks in aggregate or its equivalent grade 'B' in the UGC 7 – point scale (or an equivalent grade in a point scale wherever the grading system is followed), OR;
- 3.2 M.Phil. Degree with at least 55% marks in aggregate or its equivalent grade 'B' in the UGC 7 – point scale in the M.Phil. Program coursework, OR;

- 3.3 A Degree considered equivalent to M.Phil. Degree from an Indian Institution or from a Foreign Educational Institution accredited by an Assessment and Accreditation Agency, which is approved, recognized or authorized by an authority, established or incorporated under a law in its home country or any other statutory authority in that country for the purpose of assessing, accrediting or assuring quality and standards of educational institutions.
- 3.4 Provided further that essential qualifications prescribed in Clause 3.1 for different disciplines, may be amended by the Academic Council based on the guidelines of the UGC/other Regulatory Bodies, issued from time to time.
- 3.5 A candidate belonging to SC/ST/OBC/Differently-abled category and other categories of candidates as per the decision of the UGC/State Government shall be given relaxation of 5% of marks, from 55% to 50% for admission to the Ph.D. program, or any such relaxation in eligibility criteria for admission declared by the UGC from time to time.
- 3.6 The University may fix the shortlisting criteria, if considered necessary, higher than the minimum eligibility criteria defined in Clauses 3.1 to 3.3 and/or desirable criteria such as candidates must have a valid score in NET/GATE/CEED/KSET/equivalent in their respective discipline.
- 3.7 The relevant areas of specialization in the Master's/M.Phil. Degree (as per Clauses 3.1 to 3.3) for eligibility to a Ph.D. program in a specific discipline or interdisciplinary areas offered by a particular Department shall be as per the guidelines issued by the Research and Innovation Council from time to time.
- 3.8 A candidate who appears for the final year or final semester of the post-graduate degree examination will also be eligible to appear in the admission process subject to the fulfillment of minimum eligibility criteria (Clauses 3.1 to 3.3) in the result thereof.
- 3.9 A candidate whose M.Phil. Dissertation has been evaluated, but viva-voice is pending, is eligible to appear in the admission process subject to the fulfillment of minimum eligibility criteria in the result thereof.

#### **4.0 ADDITIONAL ELIGIBILITY CRITERIA FOR PART-TIME Ph.D. RESEARCH SCHOLARS**

- 4.1 In addition to the eligibility criteria for admission to the Ph.D. Program as stipulated in Section 3.0. above, the candidate seeking admission to the Ph.D. program as a Part-time Research Scholar must satisfy the following conditions to be eligible for admission to the Ph.D. program of the University as a Part-time Research Scholar.
- 4.2 For Part-time Internal Research Scholars:
  - 4.2.1 The candidate must submit the application for admission to the Ph.D. program through the Head of the Department in which the candidate is a faculty member.
  - 4.2.2 The candidate shall give an undertaking to the effect that as a faculty member of the University, he/she will continue to undertake and complete all the academic and administrative work assigned by the Department, while being an Internal Research Scholar.
- 4.3 For Part-time External Research Scholars:
  - 4.3.1 The candidate must submit a 'No Objection Certificate' from the employer to the effect that the duties allotted by the employer will allow the required time for pursuit of the research work and that the candidate will be given leave for the duration of one academic term of the University to complete the mandatory Ph.D. coursework requirements.
  - 4.3.2 The candidate will be required to reside at the University for a period of one academic term to complete the mandatory Ph.D. coursework requirements.

#### **5.0 ADMISSION AND SELECTION PROCEDURE**

- 5.1 The University shall notify admission for the Ph.D. program that will commence in either or both the Academic Semesters, viz., Odd Semester beginning in August and the Even Semester

- beginning in January, respectively, of the Academic year, based on the availability of Research Supervisor(s) and resources at the various Departments of the University.
- 5.2 The University shall notify the admission and selection procedure well in advance through the University website and advertisements in at least two national newspapers of which at least one shall be in the regional language newspaper. The announcement/advertisement shall mention all relevant information required for applying for admission to the Ph.D. program.
- 5.3 Application for admission:  
Candidates desirous of admission into the Ph.D. program shall obtain the prescribed Application Form from the University Admissions Office or from the University website. The candidate shall submit the Application Form along with a brief research proposal (of about 500 words), experience certificate, if any, and research publications, if any, to the University Admissions Office. The candidate must ensure that the Application Form is complete in all respects and it must be enclosed with all the necessary documents before submitting the application on or before the specified last date for submission. A non-refundable Application Fee as decided by the University from time to time shall be paid by the candidate to the University along with the completed Application Form.
- 5.4 The selection process has two stages:
- 5.4.1 Entrance Test: The University shall conduct a Ph.D. Entrance Test, on all-India basis, details of which shall be announced as mentioned in the website of the University. The candidates must obtain a minimum of 50% marks in aggregate, or the minimum equivalent grade as decided by the University in the Entrance Test, to qualify for the Interview/Viva-Voce.
- 5.4.2 Interview/Viva-Voce: The candidates who have qualified in the Entrance Test would be required to appear before an Interview Panel of the concerned Department (appointed by the Chairperson, R&IC). The interview/viva-voce process shall consist of assessing the candidate on the basis of the following criteria:
- 5.4.1.1 The candidate shall present a brief research proposal (of about 500 words) to the interview panel. The proposal shall highlight the applicant's area of interest and an overview of the his/her intended direction of research. The panel will assess the research orientation and the preparedness of the candidate.
- 5.4.1.2 A comprehensive interview/viva-voce will be conducted to assess the candidate's depth of knowledge in the area(s) of interest and his/her understanding in the related disciplines and the academic capability and aptitude for research.
- 5.5 Candidates fulfilling the following criteria may be exempted from the Entrance Test and will directly appear for the Interview/Viva-Voce.
- 5.5.1 CSIR/UGC/NET/GATE qualified research fellows or project fellows/research fellows sponsored by the UGC/CSIR/ICSSR/NDF/ICMR/DBT/NBHM or any other such recognized national / international organizations.
- 5.5.2 Obtained M.Phil. Degree and satisfies the eligibility criteria as per Clause 3.2.
- 5.5.3 Submitted M.Phil. Dissertation but Viva-Voce examination and award of degree is pending. However, such candidates, if selected, will be admitted to the Ph.D. Program only on completion of the M.Phil. Degree as per the eligibility criteria specified in Clause 3.2.
- 5.5.4 Obtained equivalent degree to M.Phil. from a reputed/recognized foreign educational institution as specified in Clause 3.3.
- 5.6 The final merit list of selected candidates for the Ph.D. program shall be announced by the University and notified on the official website of the University on the scheduled date.
- 5.7 The reservation of seats shall be as per the policy and directives issued by the Government of Karnataka from time to time or as may be specified by the University in its admission notification.
- 5.8 Admission of foreign nationals to the Ph.D. program shall be made in the light of policies and



directions of the Government of India issued/notified from time to time.

## **6.0 RESEARCH FELLOWSHIP**

- 6.1 To promote high quality research, the University has instituted a Research Fellowship of the amount as decided by the Board of Management from time to time, under specified terms and conditions. The total number of Research Fellowships available at any particular time shall be decided by the University.
- 6.2 Research scholars who are admitted as Full-time Research Scholars may apply for the Research Fellowship to the Chairperson, Research and Innovation Council (R&IC) through the Chairperson, Research Advisory Committee (RAC).
- 6.3 The Chairperson, R&IC shall constitute a committee to evaluate all applications and submit the merit list of research scholars recommended for the award of the Research Fellowship. The Chairperson, R&IC shall decide and approve the final list of research scholars selected for the award of the Research Fellowship.
- 6.4 The research scholars who are awarded the Research Fellowship shall be required to submit an affidavit and undertaking to abide by the terms and conditions under which the Research Fellowship is awarded.
- 6.5 Continuation/renewal of the Research Fellowship on a monthly/yearly basis is contingent on satisfactory academic and research performance and satisfactory completion of the assigned responsibilities.
- 6.6 The maximum duration for which Research Fellowship can be awarded is THREE (03) years or till the end of the semester in which the thesis is submitted, whichever is earlier.
- 6.7 Those research scholars who are not awarded the Research Fellowship or for whom it is discontinued can continue with the Ph.D. Program as self-financing research scholars.

## **7.0 RESEARCH AND INNOVATION COUNCIL (R&IC)**

- 7.1 The Research and Innovation Council is a statutory authority under the provisions of the Act and shall coordinate and exercise general supervision over the Research and Innovation policies of the University. The R&IC shall govern all the aspects of the Ph.D. Program of the University.

## **8.0 RESEARCH ADVISORY COMMITTEE (RAC)**

- 8.1 The Chairperson, R&IC shall constitute the Research Advisory Committee (RAC) for every research scholar admitted to the Ph.D. program. The composition of the RAC shall be as follows:

Chairperson	Head of the parent Department/School (in which the research scholar is admitted)
Convener	Research Supervisor of the research scholar
Member(s)	Co-Supervisor(s), if any, of the research scholar
Member	One senior faculty from the parent Department in the relevant field of research nominated by Chairperson RAC
Member	One senior faculty from outside the parent Department or external expert (from outside the University) nominated by Chairperson RAC

- 8.2 The RAC for a research scholar shall be appointed within a week, but not later than a month from the date of Provisional Registration (at the time of admission) by the HOD, with approval of the Chairperson, R&IC.
- 8.3 The tenure of the RAC shall be until the completion of the Ph.D. Defence Viva-Voce of the research scholar.
- 8.4 The quorum for the RAC meeting shall be three (03).
- 8.5 The responsibilities of the RAC shall include the following:
- 8.5.1 Ensure that all requirements and guidelines of the Ph.D. Regulations, 2017 are strictly

followed;

- 8.5.2 Review the research proposal and finalize the research topic;
- 8.5.3 Guide the research scholar to develop the study design and methodology of research and approve the courses that he/she may have to do;
- 8.5.4 Approve the Ph.D. Coursework and oversee the conduct and evaluation of the Coursework;
- 8.5.5 Ensure that the Research Scholar(s) and Supervisor(s) follow the best practices of research, documentation/publishing/communication and not resort to plagiarism or any unethical publishing practices.
- 8.5.6 Periodically review and assist the research scholar in the progress of the his/her research work. The RAC shall meet at least once in an academic semester (about once every six months) to review the Research Progress Report (RPR) submitted by the research scholar after examining the RPR. The RAC shall submit its Research Progress Assessment Report to the R&IC and a copy of the same shall be given to the research scholar. In case, the progress of the research scholar is unsatisfactory, the RAC shall record the reasons for the same and suggest corrective measures. If the research scholar fails to implement these corrective measures, the RAC may recommend to the R&IC, with specific reasons, for cancellation of the registration of the research scholar.

## **9.0 RESEARCH SUPERVISOR**

- 9.1 Every research scholar shall be assigned one Research Supervisor by the Dean/HOD of concerned Department, subject to the approval of the R&IC.
- 9.2 A Research Supervisor must be a full-time regular Professor of the University with at least five research publications in refereed journals, or, a full-time regular Associate/Assistant Professor of the University with a Ph.D. Degree and at least two research publications in refereed journals.
- 9.3 Provided that in areas/disciplines where there is no or only a limited number of refereed journals the above condition for recognition as a research supervisor shall be relaxed and reasons be recorded.
- 9.4 In case of research areas/topics which are of inter/multi-disciplinary nature where the Department concerned feels that the expertise in the parent Department/School/Centre has to be supplemented from within/outside the Department/School/Centre, the Head of the parent Department shall appoint a Research Supervisor from the Department itself and a maximum of two Co-Supervisors from within/outside the parent Department/University on such terms and conditions as may be specified and agreed upon by the consenting Department/University, and, on approval of the R&IC.
- 9.5 A Research Supervisor/Co-Supervisor (regular faculty member of the University) who is a Professor, can guide a maximum of six (06) research scholars at a given time. A Research Supervisor/Co-Supervisor (regular faculty member of the University) who is a regular Associate Professor can guide a maximum of four (04) research scholars and an Assistant Professor can guide a maximum of three (03) research scholars, at a given time.
- 9.6 Responsibilities of the Research Supervisor include the following:
  - (a) Guide the research scholar to select a topic for research;
  - (b) Suggest the courses and credit requirements for Ph.D. course work;
  - (c) Guide the research scholar in all aspects of the research work and regularly monitor the progress of the research scholar, from the initial provisional registration till the submission of the Ph.D. Thesis;
  - (d) Ensure that all the provisions and guidelines of these Ph.D. Regulations, 2017 are strictly followed;
  - (e) Prepare the Research Progress Assessment Report in consultation with the Co-

- Supervisor(s), if any;
- (f) Ensure that the research scholar follows the best practices of research, documentation/ publishing/communication and avoid plagiarism or any unethical publishing practices;
  - (g) Coordinate regularly with the Co-Supervisor(s), if any;
  - (h) Convene the RAC meetings;
  - (i) Coordinate with the Chairperson, RAC and arrange for the Comprehensive Examination;
  - (j) Suggest a panel of examiners to the RAC/R&IC;
  - (k) Suggest an Internal Examiner for Thesis Adjudication;
  - (l) Suggest a Member/Examiner of Ph.D. Defence Committee;
  - (m) Approve and forward all applications of the research scholar related to any administrative/academic matter to the concerned authority;
  - (n) Recommend the payment/renewal of the monthly/yearly research, scholarship and the contingency grants, where applicable;
  - (o) Arrange for a change of supervisor(s) as per Clause no. 24.1.

#### **10.0 CO-SUPERVISOR**

- 10.1 By reference to the provision mentioned in Clause 9.4, a research scholar may be assigned a maximum of two (02) Co-Supervisors by the Head of the parent Department subject to the approval of the R&IC.
- 10.2 A Co-Supervisor may be a Full-time regular Professor of the University or any other UGC recognized University with at least five research publications in refereed journals, or, any Full-time regular Associate / Assistant Professor of the University or any other UGC recognized University, with a Ph.D. degree and at least two research publications in refereed journals; Provided that in areas / disciplines where there is no or only a limited number of refereed journals, the above condition for recognition as a research supervisor shall be relaxed and reasons be recorded in writing; OR,
- 10.3 An Adjunct/Visiting Professor/Associate Professor/Assistant Professor of the University or any other UGC recognized University; OR,
- 10.4 A Scientist/Senior Professional/Domain Expert in a reputed organization/industry with recognized qualifications and expertise in the relevant areas/disciplines and with refereed publications, innovation projects, patents, consulting experience, and such other recognized credentials.
- 10.5 A Co-Supervisor who is not a faculty member of the University must give his/her consent and undertaking that he/she will adhere to these Ph.D. Regulations and instructions pertaining to the Ph.D. program issued by the University from time to time, and be present at the RAC meetings.
- 10.6 A Co-Supervisor who is not a faculty member of the University will not be entitled to any periodic remuneration or honorarium for being a Co-Supervisor. However, the actual expenses pertaining to travel and other such related expenses to attend the RAC meetings or any other visits to the University pertaining to the Ph.D. program shall be reimbursed as per the University norms.
- 10.7 The maximum number of research scholars a Co-Supervisor who is a faculty member of any other University as per Clause 10.2, or is an adjunct/visiting faculty as per Clause 10.3, can have under his/her supervision shall be as prescribed by Clause 9.5 of these Regulations.
- 10.8 A Co-Supervisor as defined in Clause 10.4 above, can guide a maximum of six (06) research scholars at a given time.
- 10.9 Responsibilities of the Co-Supervisor includes the following:
  - a) Guide the research scholar to select a topic for research;
  - b) Suggest the courses for Ph.D. course work;

- c) Guide the research scholar in all aspects of the research work and regularly monitor his/her research progress, from the initial provisional registration till the submission of the Ph.D. Thesis;
- d) Ensure that all the provisions and guidelines of these Ph.D. Regulations, 2017 are strictly followed;
- e) Ensure that research scholar follows the best practices of research, documentation/publishing/communication and avoid plagiarism or any unethical publishing practices;
- f) Prepare the Research Progress Assessment Report (RPAR) in consultation with the Research Supervisor;
- g) Coordinate regularly with the Research Supervisor the points listed above in Clause 10.9 (a), (b), (c), (d), (e) and (f) ;
- h) Be a Member, RAC;
- i) Suggest a panel of examiners to the RAC/R&IC;
- j) Internal Examiner for Thesis Adjudication;
- k) Member/Examiner of Ph.D. Defence Committee.

#### **11.0 MINIMUM/MAXIMUM DURATION OF THE Ph.D. PROGRAM**

- 11.1 The “duration of the Ph.D. program” (for the purpose of specifying the minimum/maximum duration of the program) shall be defined as the time period from the date of Provisional Registration to the Ph.D. program (as specified in Clause 13.1), to the date of submission of the Ph.D. Thesis (Section 19.0).
- 11.2 The “*minimum* duration of the Ph.D. program” shall be THREE (03) years and the “*maximum* duration of the Ph.D. program” shall be SIX (06) years, irrespective of the category of admission.
- 11.3 However, women research scholars and persons with disability (more than 40% disability) shall be allowed a relaxation of two (02) years and the maximum duration of the Ph.D. Program shall be eight (08) years. In addition, the women research scholars may be provided maternity leave/child care leave once in the entire duration of the Ph.D. program for up to 240 days.
- 11.4 Extension beyond the maximum duration of the Ph.D. program may be provided based on a specific request (Pro Forma of which is included in Annexure C related to the Research Progress Report) from the research scholar to the Chairperson, RAC. The RAC shall decide the period of extension to be granted to the research scholar to submit the Ph.D. Thesis. However, under no circumstances, the period of extension granted shall not be more than ONE (01) year. The research scholar shall pay the prescribed fee as decided by the University and apply for the extension of the Ph.D. Registration for the period approved by the RAC.

#### **12.0 PROGRAM STRUCTURE**

The Ph.D. Program structure consists of the following stages:

- (i) Provisional Registration, Appointment of Research Supervisor, Co-Supervisor(s), if any, and Research Advisory Committee (RAC)
- (ii) Ph.D. Coursework and Evaluation
- (iii) Comprehensive Viva-Voce/Examination and Research Proposal Assessment
- (iv) Ph.D. Registration Confirmation/Cancellation
- (v) Research Progress Report (RPR) and Assessment, Annual Progress Seminar (APS)
- (vi) Pre-Synopsis Report and Seminar
- (vii) Synopsis and Thesis Submission

- (viii) Thesis Adjudication
- (ix) Ph.D. Defence Viva-Voce
- (x) Award of Ph.D. Degree

### **13.0 PROVISIONAL REGISTRATION, APPOINTMENT OF RESEARCH SUPERVISOR, CO-SUPERVISOR(S) AND RESEARCH ADVISORY COMMITTEE(RAC)**

- 13.1 Research scholars admitted to the Ph.D. program are required to report to the Head of the parent Department/School/Centre on the scheduled date and complete the Provisional Registration process as prescribed by the University.
- 13.2 The appointment of the Research Supervisor and Co-Supervisor(s), if any, of a research scholar admitted to a Department shall be recommended by the HOD, subject to approval of the R&IC.
- 13.3 The appointment of the Research Supervisor for a research scholar must be finalized on or before the date of Provisional Registration.
- 13.4 The appointment of Co-Supervisor(s), if applicable, shall be finalized with the formation of the Research Advisory Committee (RAC) as prescribed in Section 8.0.
- 13.5 The appointment of the RAC for a research scholar shall be announced by the Head of the Parent Department/School/Centre, with the approval of the Chairperson, R&IC, within a week but not later than a month, from the date of Provisional Registration.
- 13.6 The Pro Forma for Provisional Registration to the Ph.D. program, appointment of Research Supervisor, Co-Supervisors, where applicable, and the RAC, is placed in Annexure A.
- 13.7 The research scholar shall pay the prescribed Ph.D. Program Fees regularly during stipulated dates until submission of the Thesis.
- 13.8 Every research scholar will be required to complete the academic registration process in the parent Department during stipulated dates every semester till the submission of the thesis irrespective of his/her category of admission, i.e., whether Full-time or Part-time.

### **14.0 Ph.D. COURSEWORK AND EVALUATION**

- 14.1 Coursework, as specified in the Clauses 14.2 to 14.10, is mandatory for all research scholars (both Full-time and Part-time) and is a prerequisite for Ph.D. Registration. The Research Advisory Committee (RAC) of the research scholar shall prescribe the courses and the number of credits to be completed by the research scholar.
- 14.2 **Credit requirements:** The credits assigned to the Ph.D. coursework shall be a minimum of EIGHT (08) credits and a maximum of sixteen (16) credits.
- 14.3 Provided further that each research scholar has to complete a course on “Research Methodology” as a mandatory requirement and as described in Clause 14.4 below.
- 14.4 A minimum of four (04) credits shall be assigned to one or more courses on “Research Methodology” which could cover areas such as quantitative methods, computer applications, research ethics and review of published research in the relevant field, training, fieldwork, etc., as approved by the RAC.
- 14.5 The RAC shall prescribe other “mandatory” courses as required for the research scholar to complete the minimum requirement of eight (08) credits of coursework.
- 14.6 The RAC may prescribe “additional” courses as may be required for the research topic.
- 14.7 The courses offered in the Ph.D. programs may be Lecture Courses, Laboratory Courses, Design, Courses, Self-Study Courses, Online Courses, Projects and Seminars.
- 14.8 The RAC may prescribe credits and courses that can be obtained from online courses for which evaluation will be conducted by the Research Supervisor or by a faculty member of the Department as assigned by the RAC.
- 14.9 Self-study and/or Online courses shall satisfy the following conditions:

- 14.9.1 The RAC shall examine proposals for self-study/online courses, along with the course structure, contents, course/reference materials, mode of assessment and name(s) of the course instructor(s) and shall recommend the proposal to the Chairperson R&IC for approval.
- 14.9.2 A course offered in regular mode in a semester shall not be offered as a self-study course.
- 14.9.3 All self-study/online courses shall carry a maximum of two (02) credits.
- 14.10 All research scholars shall be required to complete the recommended and mandatory coursework prescribed by the School/Department within ONE (01) year from the date of provisional registration. A grace period of six (06) months may be allowed with prior approval of the RAC. If the research scholar fails to complete the Ph.D. coursework within eighteen (18) months from the date of provisional registration, his/her provisional registration shall be cancelled forthwith.
- 14.11 Research scholars who have passed M. Phil. degree may be exempted from the Ph.D. coursework. However, the RAC may prescribe courses required for the Ph.D. research area that may be offered in the Department/School, or self-study/online courses as approved by the Chairperson, R&IC.
- 14.12 **Attendance requirement:** A research scholar shall be required to have a minimum attendance of 85% in every course registered in the semester. The Dean/HOD of the concerned School/Department may condone a shortage of attendance up to 10% of individual research scholars, for reasons to be recorded.
- 14.13 A research scholar who has shortage of attendance (as stipulated in Clause 14.12) shall be given the 'NP' grade (refer Academic Regulations, 2017) in the course(s) in which he/she has shortage of attendance. Such research scholars shall have to repeat the concerned courses whenever they are offered next.
- 14.14 **Evaluation:** Evaluation for each course may include assignments, term papers, seminar presentation(s) and other assessments/examinations as approved by the RAC. The distribution of marks for each component of the evaluation shall be as approved by the RAC.
- 14.15 Each RAC shall approve the examinations schedule, as applicable, and communicate the same to the Controller of Examinations (COE). The COE may request the concerned Dean/HOD to oversee the conduct of the examinations for the Ph.D. coursework.
- 14.16 The evaluation shall be conducted by the concerned Course Instructor(s) and the recommended Grade(s) in the concerned Course(s) shall be submitted to the RAC for approval. The Chairperson, RAC shall communicate the approved Grades to the COE.
- 14.17 **Minimum Grade:** The grading system (Letter Grades, Grade Points, CGPA, etc.) for the Ph.D. Program shall be the same as that defined in the Academic Regulations, 2017 of the University. A research scholar must obtain a minimum grade of 'C' in each of the registered/prescribed courses to be eligible for the Ph.D. Registration.
- 14.18 In case, a research scholar fails to obtain the minimum grade of 'C', the RAC shall provide a second attempt to the research scholar to pass the course, in the form of additional assignments, "make-up examination", and other suitable forms of reassessments, within a specified period. However, the time to complete the Ph.D. coursework shall remain as specified in Clause 14.10.
- 14.19 If the research scholar fails to obtain the minimum grade of 'C' after the provisions mentioned above in Clause 14.18, the provisional registration of the research scholar shall be cancelled.
- 14.20 The Transcript/Grade Card of the research scholar shall list all the courses taken by her/him and the CGPA in the Transcript/Grade Card shall be computed taking into account the grades secured in all the courses.

## 15.0 COMPREHENSIVE VIVA-VOCE/EXAMINATION AND RESEARCH PROPOSAL ASSESSMENT

- 15.1 On successful completion of the Ph.D. coursework requirements, each research scholar shall

- request for (Pro Forma specified in Annexure B1) and appear in the Comprehensive Examination.
- 15.2 Provided further that the request for the Comprehensive Examination shall be submitted preferably within eighteen (18) months and in any case not after TWO (02) years from the date of provisional registration.
  - 15.3 If a research scholar fails to request for the Comprehensive Examination within TWO (02) years from the date of provisional registration, the provisional registration of the research scholar shall be cancelled forthwith.
  - 15.4 The research scholar shall submit the Ph.D. Research Proposal, along with the request for the Comprehensive Examination to the Research Supervisor, who shall forward it to the Chairperson, RAC which his/her recommendations. A guideline for preparing the Ph.D. Research Proposal is placed in Annexure B2.
  - 15.5 The Chairperson, RAC shall arrange to complete the Comprehensive Examination of the research scholar within thirty (30) days from date of receipt of the request.
  - 15.6 The Comprehensive Examination shall have the following mandatory two stages:
    - 15.6.1 Viva-voce Examination to assess the research scholar's domain knowledge, including topics from the coursework and other relevant areas (as advised by the RAC) and its application to the research work.
    - 15.6.2 Oral/Seminar Presentation of the Ph.D. Research Proposal for assessment.
  - 15.7 In addition to the Viva-Voce Examination as prescribed in Sub-Clause 15.6.1, the RAC may also prescribe a Written Examination on specific topics recommended by the Supervisor(s).
  - 15.8 The Assessment Committee for the Comprehensive Examination shall consist of the RAC and at least TWO invited faculty/expert member(s), as decided by the Chairperson, RAC.
  - 15.9 Based on the performance of the research scholar in the Comprehensive Examination, the RAC shall submit the Comprehensive Examination Assessment Report (Pro Forma specified in Annexure B3) to the Chairperson, R&IC.
  - 15.10 If a research scholar is not recommended by the RAC for confirmation of registration after the Comprehensive Examination, he/she shall continue to pursue research/work on the recommendations of the RAC, for a further period not exceeding SIX (06) months, at the end of which he/she shall reappear for the Comprehensive Examination, on a date fixed by the RAC. If the RAC/Assessment Committee is satisfied with the performance of the research scholar, the RAC shall recommend the confirmation of the Ph.D. Registration.
  - 15.11 If a research scholar fails to appear for the Comprehensive Examination and/or to present the Research Proposal before the RAC/Assessment Committee, the research scholar's provisional registration shall stand cancelled forthwith.

#### **16.0 Ph.D. REGISTRATION CONFIRMATION / CANCELLATION**

- 16.1 On successful completion of the Comprehensive Examination, the RAC shall recommend the confirmation of the Ph.D. Registration.
- 16.2 The date of Ph.D. Registration for the research scholar shall be the date of the RAC report recommending the confirmation of the Ph.D. Registration.
- 16.3 After confirmation of the Ph.D. Registration, the research scholar shall not be permitted to change the broad topic of research, Research Supervisor and/or Co-Supervisor(s), if any. (Clause 24.1 provides the exception cases where a Research Supervisor or Co-Supervisor(s) may be changed.)
- 16.4 Minor changes, if necessitated in the specific area of research and/or the research plan, shall be recommended by the RAC and submitted to the R&IC for approval. The Chairperson, R&IC may approve these recommendations.
- 16.5 If the research scholar is not recommended for confirmation of the Ph.D. Registration by the RAC even after the second attempt at the Comprehensive Examination, the provisional registration shall

stand cancelled forthwith.

#### **17.0 RESEARCH PROGRESS REPORT (RPR) AND ASSESSMENT, ANNUAL PROGRESS SEMINAR (APS)**

- 17.1 All research scholars must submit a Research Progress Report (as per the Pro Forma specified in Annexure C) every semester (on or before 31<sup>st</sup> January for the RPR pertaining to the Odd Semester, and on or before 31<sup>st</sup> July for the RPR pertaining to the Even Semester of each year) to the RAC, beginning from the Provisional Registration until submission of the Ph.D. Thesis. Failure to submit the RPR within the stipulated dates shall lead to automatic cancellation of Ph.D. registration.
- 17.2 The RAC shall assess the RPR and submit the Research Progress Assessment Report in prescribed format (Annexure C) to the R&IC.
- 17.3 All Research Scholars shall present an Annual Progress Seminar (APS) after completion of one year from the date of confirmation of the Ph.D. Registration, and every following year until the Pre- Synopsis Seminar.
- 17.4 The RAC may combine the APS along with the corresponding RPR and submit its report to the R&IC within a week after the APS.
- 17.5 At the end of three (03) years from the date of Ph.D. Registration, the Chairperson RAC shall report to the R&IC, any problem cases of research scholars whose progress is unsatisfactory and report the specific actions that the respective RAC shall take to help improve the progress of the research work.

#### **18.0 PRE- SYNOPSIS REPORT AND SEMINAR**

- 18.1 The Supervisor(s), on assessment that the research work done by the research scholar is sufficiently complete in terms of the planned quantity and quality for submission as a Ph.D. Thesis, shall ask the research scholar to prepare a Pre-Synopsis Report, which is a comprehensive report of the research work carried out by the research scholar. (The research scholar must refer the guidelines provided in Annexure B2 and Annexure F to prepare the Pre-Synopsis Report.)
- 18.2 The research scholar shall submit FIVE (05) copies of the Pre-Synopsis Report to the Chairperson, RAC, with the request to convene the Pre-Synopsis Seminar and the Panel for assessment of the Pre-Synopsis Report (Pro Forma placed in Annexure D).
- 18.3 A comprehensive internal assessment of the research work reported at the Pre-Synopsis Report and presented as Pre-Synopsis Seminar shall be made by a Panel appointed by the Chairperson, RAC in consultation with the Research Supervisor.
- 18.4 The Panel shall comprise of the RAC and at least two (02) other members who may be internal faculty members or external experts, appointed by the Chairperson, RAC. The Chairperson, RAC shall be the Chairperson of the Panel.
- 18.5 The Chairperson, RAC shall convene the Panel for assessment of the Pre-Synopsis Report and Seminar within fifteen (15) days of the date of request.
- 18.6 Details of the Pre-Synopsis Seminar shall be notified by the Chairperson, RAC to enable interested faculty members and students to attend.
- 18.7 On assessment of the Pre-Synopsis Report and the Pre-Synopsis Seminar, the Panel shall decide whether the research scholar shall be asked to submit the final Ph.D. Synopsis and Thesis (subject to the conditions prescribed in Clauses 19.1 and 19.2).
- 18.8 In case, the Panel is not satisfied with the Pre-Synopsis Report, it shall give specific recommendations for revision/modification/augmentation of the research work/Pre-Synopsis Report and a time frame to resubmit the Pre-Synopsis Report with the recommendation of the Research Supervisor for approval of the Chairperson, RAC.



## **19.0 SYNOPSIS AND THESIS SUBMISSION**

- 19.1 On acceptance of the Pre-Synopsis Report, the research scholar shall submit the Ph.D. Synopsis and Ph.D. Thesis within FOUR (04) months from the date of the Pre-Synopsis Assessment Report to the Chairperson, RAC with the endorsement of the Supervisor(s) (Pro Forma for submission of Synopsis and Thesis is placed in Annexure E), provided that ALL the following conditions are fulfilled:
- 19.1.1 The Ph.D. Thesis submission date satisfies the conditions for the “minimum/maximum duration of the Ph.D. program” as specified in Clause 11.2.
- 19.1.2 The research scholar shall have at least ONE (01) paper published or accepted for publication in a refereed Journal, Monograph or Publication of repute (preferably Journals included in SCOPUS/ SCI/EMBASE or equivalent). In case, the Journal is not indexed in SCI/ SCOPUS/ EMBASE or equivalent, the RAC should certify that the Journal/ Monograph/ Publication in which the paper has been published or accepted for publication, is of high quality and repute.
- 19.1.3 The research scholar shall have made TWO (02) paper presentations in conferences/seminars.
- 19.1.4 The research scholar has paid the prescribed Ph.D. Thesis Examination Fee to the University and the remaining installment, of the annual Ph.D. Fees, if any due.
- 19.2 Provided further that the Research Scholar and Supervisor(s) shall submit the “Originality and Antiplagiarism Certificate” (Pro Forma specified in Annexure E) attesting to the originality of the research work, and that the research work has not been submitted for the award of any other degree/diploma of the University or any other Institution/University. Further, vouching that there is no plagiarism, fabrication or falsification, the research scholar shall submit the anti-plagiarism scanning report (using anti-plagiarism software, like Turnitin®, etc.) of the complete Thesis along with this Certificate.
- 19.3 The Ph.D. Synopsis and Thesis shall not be accepted by the Chairperson, RAC if all the conditions and requirements specified in Clauses 19.1 and 19.2 are not fulfilled.
- 19.4 The research scholar shall submit FOUR (04) + n copies of the Ph.D. Synopsis and Thesis (where n is the number of Co-Supervisor(s), if any), along with softcopies (separate PDF files of the Synopsis and Thesis) to the Chairperson, RAC with the recommendation of the Research Supervisor and Co-Supervisor(s), if any.
- 19.5 If the Synopsis and Thesis are not submitted within the specified time (Clause 19.1), the research scholar shall have to repeat the Pre-Synopsis Report and Seminar as detailed in Section 18.0, on payment of a penalty fee prescribed by the University from time to time.
- 19.6 The Ph.D. Synopsis and Thesis shall be submitted in English, except in language subjects where the Synopsis and Thesis shall be in that language, or, when the research work requires the use of multiple languages, the Synopsis and Thesis may have some sections in other languages.
- 19.7 Guidelines for the preparation of the Ph.D. Synopsis and Thesis are placed in Annexure F.

## **20.0 THESIS ADJUDICATION**

### **20.1 Panel of Thesis Examiners:**

- 20.1.1 A panel of at least EIGHT (08) experts/external examiners in the area of the research work of the Ph.D. Thesis must be suggested by the Research Supervisor and recommended by the RAC while recommending the submission of Ph.D. Synopsis and Thesis to the Chairperson, RAC. (Pro Forma specified in Annexure G.)
- 20.1.2 The panel so recommended may include at least THREE (03) examiners preferably from outside India, these panel members may be chosen from the list of References cited in the Synopsis submitted by the research scholar.

- 20.1.3 The recommended expert/external examiners from within India should not be the faculty members from within the University.
- 20.1.4 Any person employed (full-time or part-time) in the Research Organization, Academic Institution or Industry where the Part-time external research scholar or Co-Supervisor(s), if any, is(are) employed, cannot be listed on the Panel of Thesis Examiners.
- 20.1.5 Any person related (family relations) to the research scholar, Research Supervisor or Co-Supervisor(s) should not be listed in the Panel of Thesis Examiners.
- 20.1.6 The Research and Innovation Council (R&IC) on the recommendation of the RAC may approve the appointment of examiners only from within India in such research areas where it may not be possible to find suitable examiners from outside India.
- 20.2 Board of Thesis Examiners:**
- 20.2.1 The Board of Thesis Examiners shall consist of:
- TWO External Examiners: One preferably from outside India and one from within India;
  - Internal Examiner(s): The Research Supervisor and Co-supervisor(s), if any, will be the Internal Examiners
- 20.2.2 The Chairperson, R&IC shall list in order of priority, the External Examiners from the Panel of Thesis Examiners recommended by the Chairperson, RAC (Clause 20.1.1) and accordingly advise the COE to communicate and ascertain the willingness of the External Examiners to be the members of the Board of Thesis Examiners to adjudicate the Ph.D. Thesis.
- 20.2.3 The COE shall send a copy of the Ph.D. Synopsis to the External Examiner (as per the priority list mentioned in Clause 20.2.2 above, with the request if the examiners are willing to evaluate the Ph.D. Thesis and seek a confirmation, or otherwise, from the examiners within a period of four (04) weeks. (Pro Forma placed in Annexure H.)
- 20.2.4 After obtaining the confirmation from examiners, the COE will finalize the Board of Thesis Examiners (as specified in Clause 20.2.1).
- 20.2.5 The copy of the Ph.D. Thesis shall be sent to the members of the Board of Thesis Examiners from the office of the Controller of Examinations with the request for a detailed assessment report and his/her recommendations in the prescribed Proforma (refer Annexure H) within EIGHT (08) weeks of the date of receiving the Thesis.
- 20.2.6 If the report from any of the External Examiners is not received within the stipulated period of EIGHT (8) weeks, the Controller of Examinations shall rigorously follow up with the examiner concerned to get reports. However, if no response/report is received within TWELVE (12) weeks from the date of dispatch of Thesis, the Controller of Examinations shall initiate the process to get another External Examiner appointed to expedite evaluation of the Ph.D. Thesis.
- 20.2.7 The Internal Examiner(s) shall submit the Thesis evaluation report within EIGHT (08) weeks.
- 20.3 Thesis Examiners' Reports and Recommendation:**
- 20.3.1 The Thesis Examiners, independently, shall submit the Thesis Evaluation Report (Pro Forma placed in Annexure H) to the Chairman, Research and Innovation Council (R&IC) through the Controller of Examinations of the University. The evaluation report includes:
- A critical survey and evaluation of the quality and quantity of the research work;
  - Questions, if any, to be asked, or points to be clarified at the Ph.D. Defence Viva-Voce; and,
  - A definite recommendation as to whether the Thesis is "ACCEPTED" for

- the award of the Ph.D. Degree (Doctor of Philosophy); OR,
- (d) A provisional recommendation that the Thesis is “ACCEPTABLE WITH MINOR REVISIONS” for the award of the Ph.D. Degree, subject to the condition that the research scholar is required to make the “minor” revisions/modifications, which are clearly specified by the External Examiner; OR,
- (e) A conclusive decision by the External Examiner that the Thesis is “REJECTED”, with reasons why the Thesis is adjudicated as unacceptable for the award of the Ph.D. Degree.
- 20.3.2 If BOTH the External Examiners recommend acceptance of the Thesis as it is, or, with answers to the specific questions, and/or points to be clarified, if any, at the Ph.D. Defence Viva-Voce (refer Section 21), the Ph.D. Defence Viva-Voce shall be held at the earliest.
- 20.3.3 If ONE or BOTH the External Examiners recommend “ACCEPTABLE WITH MINOR REVISIONS” in the Thesis, as described in Sub-Clause 20.3.1 (d), the Ph.D. Defence Viva-Voce can be held only after the Internal Examiner(s) certifies(certify) to the Chairman RAC, that the changes/revisions have been carried out satisfactorily. The Chairman, RAC shall seek the approval of the Chairman, R&IC to conduct the Ph.D. Defence Viva-Voce.
- 20.3.4 If BOTH External Examiners recommend REJECTION of the Ph.D. Thesis, the Thesis in the current form is rejected and the research scholar shall be declared ineligible for the award of the Ph.D. Degree.
- 20.3.5 If any ONE External Examiner adjudicates the Ph.D. Thesis as “REJECTED”, an opinion of a “third” External Examiner shall be sought. The third External Examiner shall be appointed by the Chairman, R&IC from the priority list of the Panel of Thesis Examiners (Clause 20.2.2). If the “third” External Examiner adjudicates the Ph.D. Thesis as “ACCEPTED”/ “ACCEPTABLE WITH MINOR REVISIONS”, the Ph.D. Defence Viva-Voce shall be conducted as per the relevant provisions of Clauses 20.3.2 and 20.3.3. If the evaluation report of the “third” External Examiner concludes that the Ph.D. Thesis is “REJECTED”, the Thesis shall be rejected and the research scholar shall be declared ineligible for the award of the Ph.D. Degree.
- 20.3.6 The copies of the External Examiners’ reports shall be made available to the Supervisor(s).
- 20.3.7 A copy of the reports of all Thesis Examiners shall be intimated to the research scholar.
- 20.3.8 The Academic Council shall however be the final authority in deciding whether the Ph.D. Thesis be accepted or rejected for the award of the Ph.D. degree.

## **21.0 Ph.D. DEFENCE VIVA-VOCE**

- 21.1 A research scholar whose Ph.D. Thesis has been recommended for the award of the Ph.D. Degree will defend his/her research work and Thesis at an open Ph.D. Defence Viva-Voce before a duly constituted committee of the University hereinafter referred to as the Ph.D. Defence Committee (PDC).
- 21.2 **Ph.D. Defence Committee (PDC):**
- 21.2.1 The Ph.D. Defence Committee (PDC) shall be appointed by the Chairperson, Academic Council on the request of the COE with the recommendation of the Chairperson, R&IC.
- 21.2.2 The PDC shall consist of:
- (a) A Dean/Professor of the University, from outside the parent department of the research scholar, who shall be the Chairperson of the PDC;

- (b) The Research Supervisor and Co-Supervisor(s), if any;
  - (c) At least ONE External Examiner, who has evaluated the Thesis,
  - (d) A faculty member of the University, conversant with the research area; and
  - (e) The Chairperson, RAC, who shall be the Convener of the PDC.
- 21.2.3 In case, the External Examiner appointed to the PDC, is unable to be physically present for the Ph.D. Defence Viva-Viva, he/she could participate in the Defence Viva-Viva by means of video conferencing. The Chairperson, PDC shall certify the acceptance of the Thesis and successful conduct of the Ph.D. Defence Viva-Voce Examination on behalf of the External Examiner, when the External Examiner participates through video conferencing.
- 21.2.4 In case of non-availability of the External Examiner in the PDC, the Controller of Examinations may get another External Examiner appointed from the panel of External Examiners recommended by Chairperson, RAC, with due approval of the Chairperson, R&IC.
- 21.2.5 All members of the PDC shall be provided with the Reports of all the Thesis Examiners before the Ph.D. Defence Viva-Voce.
- 21.3 The Controller of Examinations shall coordinate with the Research Supervisor and Chairperson, RAC to arrange the Ph.D. Defence Viva-Voce. The copies of the reports of the Thesis Examiners shall be sent to the Research Supervisor with the request to provide them to the research scholar so that he/she may prepare to answer the queries raised in the report during the Ph.D. Defence Viva-Voce.
- 21.4 The Ph.D. Defence Viva-Voce shall be adequately notified to enable interested faculty members and students to attend it.
- 21.5 The date fixed for the Ph.D. Defence Viva-Voce shall not be changed under any circumstances, except in the case if the research scholar has to be hospitalized due to a medical contingency. The research scholar shall then request the Chairperson, RAC (attaching the medical certificate of hospitalization) for a new date for the Ph.D. Defence Viva-Voce.
- 21.6 **Ph.D. Defence Committee (PDC) Report:**  
On the completion of the Ph.D. Defence Viva-Voce, the PDC shall submit its report (pro forma placed in Annexure I) to the Chairperson, Academic Council, through the COE of the University, with one of the following recommendations:
- 21.6.1 The Ph.D. Degree may be conferred upon the research scholar after approval by the Academic Council; OR,
  - 21.6.2 The research scholar be re-examined at a later specified time in a specified manner, with due approval of the Chairperson, Academic Council to permit the research scholar to reappear for Ph.D. Defence Viva-Viva Examination at a later date.
- 21.7 **Submission of final copies of the Thesis:**
- 21.7.1 After successful completion of the Ph.D. Defence Viva-Voce, the research scholar shall submit TWO (02) final hardbound copies and an electronic copy (PDF file) of his/her approved Ph.D. Thesis to the COE of the University within ONE (01) month from the date of the Ph.D. Defence Viva-Voce. The final copies of the Thesis should incorporate all the revisions/corrections, if any, listed by the Ph.D. Defence Committee (PDC) and duly certified by the Research Supervisor. The Pro Forma for submission of the final copies of the Ph.D. Thesis and request letter for the Provisional Degree Certificate is given in Annexure J.
  - 21.7.2 The COE shall submit the electronic copy of the Ph.D. Thesis to the INFLIBNET, for hosting the same so as to make it accessible to all Institutions/ Colleges/ Universities. The electronic copy of the Ph.D. Thesis shall also be hosted on the website of the

University/School.

- 21.7.3 One hardbound copy of the Ph.D. Thesis shall be deposited in the University Library and one copy shall be kept in the parent Department as a record of the research work conducted by the Department/School.

## **22.0 AWARD OF Ph.D. DEGREE**

- 22.1 Prior to the actual award of the degree, the University shall issue a Provisional Degree Certificate certifying to the effect that the degree has been awarded in accordance with the provisions and guidelines of the *University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016*. The Pro Forma for the Provisional Degree Certificate is given in Annexure K.
- 22.2 The Degree of Doctor of Philosophy (Ph.D.) shall be awarded by the Board of Management of the University upon the recommendation of the Academic Council. The degree will be conferred on the research scholar at the next Convocation of the University, or thereafter.

## **23.0 MEASURES AGAINST PLAGIARISM**

- 23.1 The University is committed to ensure the authenticity as well as accuracy of documentation of the research record, whether in a pre-registration research proposal, research progress report, pre-submission synopsis, final thesis, publications, or any other form of claims made to the academia, government, industry, media, or public at large.
- 23.2 For this purpose, the guidelines followed widely across the world shall be adopted, such as those issued by the Committee of Publication Ethics (COPE) [[publicationethics.org](http://publicationethics.org)], or, The Singapore Statement on Research Integrity [[www.singaporestatement.org/statement.html](http://www.singaporestatement.org/statement.html)].
- 23.3 The R&IC and RAC shall ensure that research scholars and faculty members are trained in the best practices of research documentation/publishing/communication, including how to avoid unethical publishing practices, and, in the usage of anti-plagiarism software Turnitin®, iThenticate®, or other approved software as frequently as needed.
- 23.4 All written submissions of the research scholars must be provided in both electronic and hard copy forms. The electronic file (text) shall be scanned using anti-plagiarism software (Turnitin®, or iThenticate®, or other approved software). Also, non-text contents such as tables, figures, images, drawings, schema, etc., shall be critically examined to ensure that the submission is free from any unethical content/practice, prior to final submission/publication.
- 23.5 The University is also committed to make electronic versions of all Theses/Publications available online in public domain, in addition to providing public access to the hard copies in the University Library.
- 23.6 The research scholar shall submit the anti-plagiarism scanning report of the complete Thesis at the time of submission of the Thesis for evaluation (as specified in Clause 19.2).
- 23.7 The research scholar(s), Supervisor(s) and author(s) shall be held responsible for any such document found to have unethical content/practices including, but not limited to plagiarism, falsification and fabrication of results/data/claims, during or even after the award of Ph.D. Such Publications/Theses shall be withdrawn by the University, regardless of their consequences to their authors, including termination of Ph.D. Registration or withdrawal of their Ph.D. degrees, if awarded. Such research scholars may also be debarred from admission to the same or any other program in the University.

## **24.0 MISCELLANEOUS**

### **24.1 Change of Supervisor(s):**

In exceptional cases, request from a research scholar for change of Supervisor(s) shall be permitted on recommendation of the RAC, and, approval of the Chairperson, R&IC. If the Research Supervisor

proceeds on long leave for more than six months, or resigns from the University, or passes away, a new Research Supervisor shall be assigned to the research scholar based on the recommendations of the RAC and approval of the Chairperson, R&IC.

**24.2 Relocation of woman research scholar:**

In case of relocation of a woman research scholar due to marriage or otherwise, the research work shall be allowed to be transferred to the University to which the scholar intends to relocate provided all the other conditions as prescribed by the *University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016* are followed in letter and spirit and the research work does not pertain to the project secured by this University/ Supervisor(s) from any funding agency. The research scholar will however give due credit to Supervisor(s) and the University for the part of research already done.

**24.3 Unfair Means in Coursework Assessments/Examinations:**

In case, a research scholar is found adopting or suspected of adopting unfair means during or after the Ph.D. coursework assessments/examinations, such penal action shall be taken by the University as may be necessary to uphold the sanctity and integrity of the assessment/examination system and the credibility of the University. Such cases may also be reported by examiners/invigilators/course instructors to the COE for consideration. After giving an opportunity to the concerned research scholar(s) to explain the conduct/defend against the charge, the Chairperson, RAC on the recommendation of the COE shall take action to impose on the concerned research scholar(s) appropriate penalty including termination of provisional registration or award of "F" Grade in the concerned course(s).

**24.4 Leave Rules:**

- 24.4.1 All full-time research scholars are entitled for leave for a maximum of thirty (30) days per calendar year in addition to Public Holidays announced by the University.
- 24.4.2 Women scholars may be provided Maternity Leave/Child Care Leave once in the entire duration of Ph.D. program for up to 240 days. The leave application should be supported by relevant medical certificate.
- 24.4.3 Male Scholars are entitled for 15 days Paternity Leave once in the entire duration of Ph.D. program. The leave application should be supported by relevant medical certificates.
- 24.4.4 No vacation leave in Summer/Winter is admissible.
- 24.4.5 Special leave to attend Seminars/Conferences in India/abroad to present research papers, with the permission of the concerned Dean/HOD is admissible.
- 24.4.6 The research scholar shall submit the leave request to the Research Supervisor who shall forward it to the Dean/HOD with a recommendation for approval or otherwise.

**25.0 POWER TO REVISE, MODIFY, AMEND**

Notwithstanding anything contained in the above Regulations:

- a. The Academic Council has the all rights to revise, amend or modify any of the above Regulations from time to time, and shall be binding on all parties concerned.
- b. In case of a dispute, the decision of the Academic Council will be final and binding.
- c. In case of difficulty in application of any of the Clauses of the Regulations specified above, the Vice Chancellor shall have the powers to amend/modify/remove the difficulty in the relevant Regulation.

\* \* \* \* \*

**ANNEXURE A**  
**PRO FORMA**  
**PROVISIONAL REGISTRATION TO THE Ph.D. PROGRAM**

Note: Annexure A has FIVE Parts to be used as indicated.

**PART A: Ph.D. PROVISIONAL REGISTRATION APPLICATION FORM**

[To be filled by the Research Scholar admitted to the Ph.D. Program and submit to the Dean/HOD of the Department/School/Center]

To,  
{The Dean/HOD of the (parent) Department/School}  
Presidency University, Bengaluru

1. Name of Research Scholar:
2. Registration Number:
3. Academic Unit (Department/School/Centre):
4. Category of Admission:  
 Full-time     Part-time Internal     Part-time External
5. Qualifying Degree (As per Eligibility Criteria for admission to Ph.D.):  
{ Attach copy of Degree Certificate and Marks/Grade Card }
6. Proposed Coursework for the Ph.D. Program [To be filed by the Research Scholar in consultation with the Research Supervisor and Co-Supervisors, if any]

Academic Term	Course No.	Course Name	Credits

I request that I be provisionally registered to the Ph.D. Program.

I have read the Ph.D. Regulations, 2017 of the University and have understood the same. I promise to adhere to these Regulations and all the other Regulations, and Rules of the University

Signature & Name of the Research Scholar

Date: {DD/MM/YYYY}

**PART B: ENDORSEMENT OF PROVISIONAL REGISTRATION TO THE Ph.D. PROGRAM**  
[PART A to be endorsed by the Head of the Department/Institute/School]

To:

The Chairperson, Research and Innovation Council  
Presidency University, Bengaluru

Date: {DD/MM/YYYY}

[Copies to:

- a) Registrar, Presidency University, Bengaluru
- b) Controller of Examinations, Presidency University, Bengaluru
- c) Academic Office, Presidency University, Bengaluru]

The Provisional Registration to the Ph.D. Program of the research scholar, whose details are provided in Part A is RECOMMENDED.

The proposed Ph.D. Coursework as given in Part A is APPROVED.

The theme of the proposed research work to be undertaken by the research scholar:

Name & Designation of the Research Supervisor:

Name(s) & Designation of the Co-Supervisor(s):

The Certificate<sup>#</sup> by the Research Supervisor is enclosed/attached.

The Research Advisory Committee (RAC) for this research scholar will be constituted and submitted for approval to the Chairperson, Research and Innovation Council by \_\_\_(specify date).

Forwarded for approval to the Chairperson, Research and Innovation Council.

Signature and Seal of the Head of the Department/Institute/School

Date: DD/MM/YYYY

<sup>#</sup> *Pro Forma given in PART C*



## PART C: CERTIFICATE BY THE RESEARCH SUPERVISOR

To,  
{The Dean/HOD of the (parent) School/Department}  
Presidency University, Bengaluru

### CERTIFICATE

I certify that at present I am supervising \_\_\_\_\_ {give number} Ph.D. research scholars as detailed below:

No.	Name of Research Scholar	Enrollment Number	Department/Centre/School/University	Date of Pre-Registration/Date of Confirmation of Ph.D. Registration	Name(s) & Designation of Co-Supervisor(s), if any. [If you are the Research	Name(s) & Designation of Research Supervisor [If you are the Co-Supervisor]

{In addition to the above,} I agree to be the Ph.D. Research Supervisor for Mr. / Ms. {Name of the Research Scholar}. I undertake that at any given time, the total number of research scholars under my supervision (as Research Supervisor and Co-Supervisor) shall not exceed the number specified in the Ph.D. Regulations, 2017.

I also undertake that I will adhere to all the requirements and provisions of the Ph.D. Regulations, 2017 of the University and other rules pertaining to the Ph.D. Program as issued by the University from time to time.

Signature of the Research Supervisor

Date: DD/MM/YYYY

Name of Research Supervisor:

Designation:

Department/School

**PART D: RECOMMENDATION OF CONSTITUTION OF THE RESEARCH ADVISORY COMMITTEE (RAC)**

[To be submitted by the Dean/ Head of the (parent) Department/School to the Chairperson, R&IC, within a week but not later than a month from the date of Provisional Registration of the Research Scholar to the Ph.D. Program']

To:

The Chairperson, Research and Innovation Council  
Presidency University, Bengaluru

RECOMMENDATION SUBMITTED TO THE CHAIRPERSON, RESEARCH AND  
INNOVATION COUNCIL Dated: DD/MM/YYYY

Constitution of the

RESEARCH ADVISORY COMMITTEE (RAC)

for the Ph.D. Research Scholar

{Name of Research Scholar:

Registration Number:

Academic Unit: Department/School}

No.	RAC Constitution	Name	Designation and Contact Details
1.	Chairperson	{Head of Department/School/Centre}	
2.	Convener	{Research Supervisor}	
3.	Member	{Co-Supervisor (if any)}*	
4.	Member	{Co-Supervisor (if any)}*	
5.	Member	{One senior faculty from parent department in the relevant field of research nominated by Chairperson RAC}	
6.	Member	One senior faculty from outside the parent Department or external expert (from outside the University) nominated by Chairperson RAC	

\* Certificate from Co-Supervisor(s) attached [Pro Forma given in Part E]

Signature and Seal of the HOD/Dean of the Department/School

Date: DD/MM/YYYY

**PART E: CERTIFICATE BY THE CO-SUPERVISOR**

[To be given by the Co-Supervisor(s)]

To,  
{The Dean/HOD of the (parent) School/Department}  
Presidency University, Bengaluru

CERTIFICATE

I certify that at present I am supervising \_\_\_\_\_ {give number} Ph.D. research scholars as detailed below:

No.	Name of Research Scholar	Enrollment Number	Department/Institute/School/University	Date of Pre-Registration/Date of Confirmation of Ph.D. Registration	Name(s) & Designation of Co-Supervisor(s), if any. [If you are the Research	Name(s) & Designation of Research Supervisor [If you are the Co-Supervisor]

{In addition to the above,} I agree to be the Ph.D. Co-Supervisor for Mr. / Ms. {Name of the Research Scholar} and also agree to be a member of the Research Advisory Committee (RAC) assigned to the research scholar.

I undertake that at any given time, the total number of research scholars under my supervision (as Research Supervisor and Co-Supervisor) shall not exceed the number specified in the Ph.D. Regulations, 2017,

I also undertake that I will adhere to all the requirements and provisions of the Ph.D. Regulations, 2017 of the University and other rules/regulations pertaining to the Ph.D. Program as issued by the University from time to time.

Signature of the Co-Supervisor  
Date: {DD/MM/YYYY}

Name of Co-Supervisor: Designation:  
Department/Centre/School/University/Organization

## ANNEXURE B1

### APPLICATION FOR Ph.D. COMPREHENSIVE EXAMINATION

#### PRO FORMA

[To be completed by the research scholar, and endorsed by the Supervisor(s)]

To:

The Chairperson, Research Advisory Committee

{Name of Department/School}

Presidency University, Bengaluru

Dated: {DD/MM/YYYY}

1. Name of Research Scholar:
2. Registration Number:
3. Academic Unit (Department/School):
4. Category of Admission:  
 Full-time     Part-time Internal     Part-time External
5. Date of Provisional Registration to the Ph.D. Program: {DD/MM/YYYY}
6. Details of Supervisor(s):

	Name	Designation	Department/Institute/School (if faculty member of the University), or Department/Organization (applicable to Co-Supervisor(s) from outside the University)
Research Supervisor			
Co-Supervisor (if any)			
Co-Supervisor (if any)			

7. Proposed research topic: (Avoid abbreviations or long/vague/ general descriptions. It should read like the title of a Ph.D. Thesis)

(Attach Ph.D. Research Proposal as specified in the Ph.D. Regulations, 2017)

8. Details of Ph.D. Coursework

Sl. No.	Course Code	Course Name	Course Credits	Grade Awarded	Course Category* (C1/C2/C3)
Total Credits Earned				CGPA	

\*C1: Mandatory Coursework – minimum credits required as per Ph.D. Regulations; C2: Additional Coursework recommended by RAC; C3: Additional Coursework by choice of research scholar

I hereby certify that the information above is authentic to my knowledge and belief.

I am herewith submitting the Ph.D. Research Proposal as per the Ph.D. Regulations, 2017 of the University.

I request the Chairperson, RAC to kindly schedule the Comprehensive Examination.

Name & Signature of the Research Scholar

Date: DD/MM/YYYY

ENDORSEMENT BY THE SUPERVISOR(S):

The Ph.D. Research Proposal submitted by the research scholar {Name of research scholar} is forwarded with my/our recommendation for evaluation by the Assessment Committee. The Comprehensive Examination may be conducted at the earliest.

Copies of the Research Progress Assessment Reports completed till date are attached/enclosed.

Name(s) & Signature(s) of the Co-Supervisor(s)

Name & Signature of the Research Supervisor

Date: DD/MM/YYYY

## ANNEXURE B2

### GUIDELINES TO PREPARE THE

### Ph.D. RESEARCH PROPOSAL

**Important Note:**

*The guidelines provided are meant to be used creatively and not, by any means, as a fixed template for the production of research proposals.*

### Ph.D. RESEARCH PROPOSAL

[Submitted with request for the Ph.D. Comprehensive Viva-Voce/Examination]

{Title of Ph.D. Research Proposal}

Submitted by

{Name of Research Scholar}

{Registration Number}

{Date of submission DD/MM/YYYY}

Under the Supervision of

{Name of Research Supervisor

Designation}

{Name(s) of Co-Supervisor(s)

Designation}

{Name of Academic Unit}



GAIN MORE KNOWLEDGE  
REACH GREATER HEIGHTS

PRESIDENCY UNIVERSITY, BENGALURU

{YYYY}

## Abstract

The abstract is a brief summary of your Ph.D. Research Proposal, and should be no longer than 200 words. It starts by describing in a few words the knowledge domain where your research takes place and the key issues of that domain that offer opportunities for problem solving, designing solutions, exploring new knowledge or insights, scientific or technological innovations you intend to pursue. Taking those key issues as a background, you then present briefly your research statement, your proposed research approach, the results you expect to achieve, and the anticipated implications of such results on the advancement of the knowledge domain.

## Keywords

This section is an alphabetically ordered list of the more appropriate words or expressions (up to twelve) that you would introduce in a search engine to find a research proposal identical to yours. The successive keywords are separated by commas.

## Table of Contents

CHAPTER 1	INTRODUCTION	{pp}
CHAPTER 2	STATE OF THE ART	{pp}
CHAPTER 3	RESEARCH OBJECTIVES AND APPROACH	{pp}
CHAPTER 4	CURRENT WORK AND PRELIMINARY RESULTS	{pp}
CHAPTER 5	WORK PLAN AND IMPLICATIONS	{pp}
CHAPTER 6	CONCLUSIONS	{pp}
	REFERENCES	{pp}

## **Chapter 1**

### **Introduction**

The introduction gives an overview of the research project you propose to carry out. It explains the background of the project, focusing briefly on the major issues of its knowledge domain and clarifying why these issues are worthy of attention. It then proceeds with the concise presentation of the research statement, which can take the form of a hypothesis, a research question, a project statement, or a goal statement. The research statement should capture both the essence of the project and its delimiting boundaries, and should be followed by a clarification of the extent to which you expect its outcomes to represent an advance in the knowledge domain you have described.

The introduction should endeavor, from the very beginning, to catch the reader's interest and should be written in a style that can be understood easily by any reader with a general background in the domain of your work. It should cite all relevant references pertaining to the major issues described, and it should close with a brief description of each one of the chapters that follow.

Many authors prefer to postpone writing the Introduction till the rest of the document is finished. This makes a lot of sense, since the act of writing tends to introduce many changes in the plans initially sketched by the writer, so that it is only by the time the whole document is finished that the writer gets a clear view of how to construct an introduction that is, indeed, compelling.

## **Chapter 2**

### **State of the Art**

The *State of the Art*, also known as the *Literature Review* (or *Foundations*), serves a cluster of very important aims. First of all, it demonstrates that you have built a solid knowledge of the field where the research is taking place, that you are familiar with the main issues at stake, and that you have critically identified and evaluated the key literature. On the other hand, it shows that you have created an innovative and coherent view integrating and synthesizing the main aspects of the field, so that you can now put into perspective the new direction that you propose to explore. The *State of the Art* must give credit to the authors who laid the groundwork for your research, so that when, in the following chapter, your research objectives are further clarified, the reader is able to recognize beyond doubt that what you are attempting to do has not been done in the past and that your research will likely make a significant contribution to the literature.

The *State of the Art* is usually the more extensive part of a research proposal, so it will expectedly develop over various paragraphs and sub-paragraphs. It should be accompanied by comprehensive references, which you list at the end of the proposal. Ideally, all influential books, book chapters, papers and other texts produced in the



knowledge domain you are exploring which are of importance for your work should be mentioned here and listed at the end of the proposal. You should follow very strictly the appropriate referencing conventions and make sure that no document you refer to is missing in the final list of references, nor vice versa. The choice of referencing conventions may depend on the specific field where your research is located. Some widely used conventions are: APA Referencing System, The Harvard System, IEEE Citation Reference, The Chicago Manual of Style and ACM Style.

### **1.1. First paragraph**

#### **1.1.1. First sub-paragraph of first paragraph**

As the *State of the Art* is likely to extend for some pages, it may need to be split into various paragraphs, with appropriate titles, and these paragraphs may need to be broken up further into sub-paragraphs. The paragraphs and sub-paragraphs should comply with the format used here.

#### **1.1.2. Second sub-paragraph of first paragraph**

This is an example of the second sub-paragraph of the first paragraph of the introduction.

### **1.2. Second paragraph**

#### **1.1.3. First sub-paragraph of second paragraph**

This is an example of the first sub-paragraph of the second paragraph of the introduction.

#### **1.1.4. Second sub-paragraph of second paragraph**

This is an example of the second sub-paragraph of the second paragraph of the introduction.

## **Chapter 3**

### **Research Objectives and Approach**

The chapter *Research Objectives and Approach* clarifies the research objectives of your project, taking as its background your description of the state of the art, and describes the methodological approaches you have in mind to face the key research challenges of your project. The clarification of the research objectives should build solidly on the *State of the Art* and relate your research to the work carried out by others. It should elucidate the measure to

which your work develops from their work and the extent to which it diverges from theirs to open up new and yet unexplored avenues. In essence, the chapter *Research Objectives and Approach* explains what you plan to do to tackle your research problem, why you plan to do it that way, and how you are going to do it.

The “how to” component of the proposal is called the *Research Methods*, or *Methodology*, component. It should be detailed enough to let the reader decide whether the methods you intend to use are adequate for the research at hand. It should go beyond the mere listing of research tasks, by asserting why you assume that the methods or methodologies you have chosen represent the best available approaches for your project. This means that you should include a discussion of possible alternatives and credible explanations of why your approach is the most valid.

## **Chapter 4**

### **Current Work and Preliminary Results**

This chapter of the research proposal gives a concise outline of the work you have carried out so far and of the progress you have made toward the aims of the project. You should concentrate on the parts that contribute specifically to the goals of the proposal, avoiding detailed descriptions of digressions you may have attempted in the earlier, more exploratory, phases of your work. If you have already obtained preliminary results, this is the chapter where you should provide them, in a structured manner that helps supporting the rest of the proposal.

## **Chapter 5**

### **Work Plan and Implications**

Not all research proposals lend themselves easily to the creation of detailed work plans. In some cases, namely when the work fits the broader plans of a research group that is progressing steadily, it is possible to build a detailed description of what the researcher plans to do (literature to explore in depth, principles or theorems to formulate and prove, experiments to carry out, sub-systems to build, systems integrations to perform, tests to accomplish). In these cases, it is possible, and desirable, to establish specific milestones and timelines or a Gantt Chart. The plan should anticipate the problems likely to be found along the way and describe the approaches to be followed in solving them. It should also anticipate the conferences and journals to which the work in progress is expected to be submitted along the way, and schedule it in *Goals for Publication* section of the work plan.

In other cases, when the topic to be researched is exploratory and elusive, or when the research approach establishes that each step should build on the, still unanticipated, results of previous steps, it may be impossible to work out a detailed plan. Even in these cases, however, it is advisable to establish a section on *Goals for Publications* that gives a rough schedule of the publications to be produced (submission to a top International Journal, International Conference/Workshop in the field, submission to a National Conference, Journal or Symposium). In spite of its contingency, this list may work marvels in keeping the researcher focused, motivated and beneficially under pressure.

Whatever its nature, comprehensive or sketchy, your work plan should be able to put in perspective the implications of the successive steps of your work, reinforcing, in the mind of the reader, the conviction that your approach is solidly oriented toward results, that the topic is timely and relevant, and that the outcomes of the project will contribute significantly to the enhancement of the field.

## **Chapter 6**

### **Conclusions**

The *Conclusions* briefly restate the objectives of your research project, recap the research approach you plan to follow, and clarify in a few words what you expect to find out, why it is valuable to find it out, and on what basis you expect to evaluate the validity of your results.

### **References**

In this section you should list all the references you have made throughout the research proposal, making sure that you comply with the referencing conventions or citation styles that have been established for your specific field. Some widely used conventions are: APA Referencing System, The Harvard Citation Style, IEEE Citation Reference, MLA (Modern Language Association) Style and ACM Style.

**ANNEXURE B3**  
**PRO FORMA**  
**COMPREHENSIVE EXAMINATION ASSESSMENT REPORT**

[To be completed by the Chairperson, RAC and submitted to Chairperson,  
R&IC]

Date: {DD/MM/YYYY}

1. Name of Research Scholar:

2. Registration Number:

3. Academic Unit (Department/School):

4. Category of Admission:

Full-time     Part-time Internal     Part-time External

5. Date of Comprehensive Examination and presentation of Ph.D. Research Proposal:

{DD/MM/YYYY}

6. Is this the first attempt made by the research scholar at the Comprehensive Examination?

Yes    No If No: Date(s) on which prior attempts were made: {DD/MM/YYYY}

7. ASSESSMENT COMMITTEE REPORT:

Certified that the research scholar has appeared for the comprehensive viva-voce examination and presented the Ph.D. research proposal to the committee with composition as indicated below.

The committee has examined the research scholar through the viva-voce/written examination and evaluated the Ph.D. research proposal and recommends the following:

(Clearly indicate one of the following and strikeout the others)

**SATISFACTORY – Ph.D. REGISTRATION CONFIRMED**

The research scholar has successfully completed the Comprehensive Examination and the Ph.D. Research Proposal has been accepted.

The Ph.D. Registration is CONFIRMED on this date.

**RESUBMIT Ph.D. RESEARCH PROPOSAL**

The research scholar has successfully completed the comprehensive viva-voce/written examination.

There are deficiencies in the current Ph.D. Research Proposal and the research scholar has been

advised to make relevant changes/revisions and present the revised Research Proposal within SIX Months from the current date. The research scholar is however, exempted from reappearing for the comprehensive viva-voce/written examination. The Ph.D. Registration shall be confirmed only on acceptance of the revised Ph.D. Research Proposal.

**REAPPEAR FOR VIVA-VOCE/WRITTEN EXAMINATION**

The research scholar has not successfully passed the comprehensive viva-voce/written examinations. The Ph.D. Research Proposal of the research scholar has been accepted. The research scholar is advised to reappear for the viva-voce examination within THREE months from the current date.

**UNSATISFACTORY – Ph.D. REGISTRATION CANCELLED**

The performance of the research scholar is absolutely unsatisfactory. The research scholar is unlikely to complete and present a satisfactory research proposal even within a year from the current date. It is recommended that the provisional Ph.D. Registration be cancelled forthwith.

**8. ASSESSMENT COMMITTEE – COMPOSITION AND ENDORSEMENT**

Member	Name	Designation	Department/Centre/School Organization/Other University	Signature
Research Supervisor – RAC Convener				
Co-Supervisor – RAC Member				
Co-Supervisor – RAC Member				
RAC Member				
RAC Member				
Invited Member				
Invited Member				
Chairperson RAC				

Forwarded to the Chairperson, Research and Innovation Council for approval.

Signature of Chairperson,  
RAC Date:  
{DD/MM/YYYY}

To:

The Chairperson, Research and Innovation Council  
Presidency University, Bengaluru

Copies to:

- All members of Assessment Committee
- Research Scholar
- Academic Office
- Controller of Examinations
- Registrar
- Dean of concerned Faculty

## ANNEXURE C

### PRO FORMA

#### **RESEARCH PROGRESS REPORT (RPR)/ ANNUAL PROGRESS SEMINAR REPORT**

#### **RESEARCH PROGRESS ASSESSMENT REPORT**

**Note:** This form is the means by which progress of Ph.D. program is periodically assessed by the research scholar and Supervisor(s), and reported via the Chairperson, Research Advisory Committee (RAC) to the Chairperson, Research and Innovation Council (R&IC). The regular submission of the RPR is a mandatory requirement under the Ph.D. Regulations, 2017. Failure to fulfill this requirement may lead to termination of the Ph.D. Registration/Registration and Fellowships/University Research Scholarship (where applicable).

This Pro Forma has TWO parts:

PART A: Research Progress Report (RPR) – to be completed by the Research Scholar and submitted to the Research Supervisor

PART B: Research Progress Assessment Report – Assessment and Recommendations of the RAC

#### **PART A:**

#### **RESEARCH PROGRESS REPORT (RPR)**

**[To be used for Annual Progress Seminar (APS) also]**

[To be completed by the research scholar and endorsed by the Supervisor(s)]

To:

The Chairperson, Research Advisory Committee

Through: The Research Supervisor

{Name of Department/School}

Presidency University, Bengaluru

Dated: {DD/MM/YYYY}

1. Name of Research Scholar:
2. Registration Number:
3. Academic Unit (Department/School/Centre):
4. Category of Admission:  
 Full-time     Part-time Internal     Part-time External

5. Details of Supervisor(s):

	Name	Designation	Department/Institute/School (if faculty member of the University), or Department/Organization (applicable to Co-Supervisor(s) from outside the University)
Research Supervisor			
Co-Supervisor			
Co-Supervisor			

6. Research Topic / Tentative Title of Ph.D. work:
7. Research Progress Review Period:  ODD Semester     Even Semester
8. Date of Submission of Research Progress Report (for the current review period):
9. Date of Submission of Research Progress Report (for the previous review period):
10. Date of Annual Progress Seminar (APS) (for the current review year):
11. Date of Annual Progress Seminar (APS) (for the previous review year):
12. Number of Publications, if any (attach separate sheet giving details):

	No. of Papers in Journals	No. of Papers in Conferences
Published (Presented)		
Accepted for Publication (Presentation)		

13. Summary of progress of research work and achievements over the last 6 months. Indicate what milestones have been achieved:

14. Outline the research goals for the next 6 months. Indicate what milestones have been set for the next 6 months:

15. **Self-Assessment:**

(a) I rate the *quality of my work* as:

- Very Good    Good    Satisfactory  
 Below my expectations. If so, what measures have you taken to address this?

(b) I assess my *rate of progress* as:

- Very Good    Good    Satisfactory  
 Below my expectations. If so, what measures have you taken to address this?

(c) Are there any issues related to your research work that your Dean/HOD or the Chairperson, R&IC should be aware of?

- No  
 Yes (If Yes, give specific details):

16. Request for **Extension of Ph.D. Registration** [To be filled by the research scholars who have completed FIVE or more years after confirmation of Ph. D. Registration. The Supervisor(s) should be consulted before filling this section.]

(a) Summary of research work to be completed/carried out with specific time lines (attach separate sheet if necessary):



(b) Expected date of Pre-Synopsis Report/Seminar/Submission of Ph.D. Thesis:

Signature of Research Scholar

Date:

[To be submitted to the Research Supervisor]

**PART B**

**RESEARCH PROGRESS ASSESSMENT REPORT**

[Research Supervisor to convene RAC Meeting, RAC members to assess progress and Chairperson RAC to endorse and forward Research Progress Assessment Report to the Chairperson, R&IC]

To:

The Chairperson, Research  
Advisory Committee

{Name of Department/School}

Presidency University,  
Bengaluru

Dated: {DD/MM/YYYY}

1. **Assessment of the RAC:**

(a) The *quality of the research scholar's work* is:

- Very Good  Good  Satisfactory
- Below my expectations. If so, what measures have been taken to address this?
- NA (See Point (c) below)

(b) The research scholar's *rate of progress* is:

- Very Good  Good  Satisfactory
- Below my expectations. If so, what measures have been taken to address this?
- NA (See Point (c) below)

(c) Progress in the initial phase of the Ph.D. Program (Initial Coursework/Literature Review/Problem formulation):

- Satisfactory
- Unsatisfactory. If so, list specific remedial measures given to the research scholar:

(d) Annual Progress

- Satisfactory
- Unsatisfactory. If so, APS should be re-presented within \_\_\_\_\_(specify date/time period).

(e) Are there any issues related to the research work that the Chairperson, R&IC should be aware of?

- No
- Yes (If Yes, give specific details):

(f) If the research scholar has completed THREE years from the date of Ph.D. Registration: Expected period for submission of Pre-Synopsis Report and Seminar:

- within SIX MONTHS
- within ONE YEAR
- More than ONE YEAR. If so, what are the major issues/areas of concern and measures to be taken?

(g) If the student has completed FIVE or more years from the date of Ph.D. Registration (review PART A Item 16.)

Extension of Ph.D. Registration:

- RECOMMENDED up to                     (specify date).
- NOT RECOMMENDED - Ph.D. Registration terminated (Mention specific reasons):

(h) Additional Comments, if any (attach additional sheet if necessary).

ENDORSEMENT BY RAC

Member	Name	Designation	Department/Institute/School Organization/Other University	Signature
Research Supervisor – RAC Convener				
Co-Supervisor – RAC Member				
Co-Supervisor – RAC Member				
RAC Member				
RAC Member				
Chairperson RAC				

Forwarded to the Chairperson, Research and Innovation Council

Signed     Chairperson,  
RAC Date  
Place

Copies to:  
All members of RAC  
Research Scholar

**ANNEXURE D**

**PRO FORMA**

**PRE-SYNOPSIS REPORT AND SEMINAR**

**PRE-SYNOPSIS ASSESSMENT REPORT**

[Note: This Pro Forma has TWO PARTS:

PART A: FORM FOR SUBMISSION OF PRE-SYNOPSIS REPORT AND REQUEST FOR PRE-SYNOPSIS SEMINAR

PART B: PRE-SYNOPSIS ASSESSMENT REPORT

Refer Annexure B2 and Annexure F for guidelines to prepare the Pre-Synopsis Report]

**PART A**

**FORM FOR SUBMISSION OF PRE-SYNOPSIS REPORT AND REQUEST FOR PRE-SYNOPSIS SEMINAR**

[To be filled by the research scholar and endorsed by the Supervisor(s)]

To:

The Chairperson, RAC  
{Name of Parent School/ Department}

Date: {DD/MM/YYYY}

**SUBMISSION OF PRE-SYNOPSIS REPORT  
AND REQUEST TO CONVENE THE PRE-SYNOPSIS SEMINAR**

1. Name of Research Scholar:
2. Registration Number:
3. Academic Unit (Department/School/Centre):
4. Category of Admission:  Full-time     Part-time Internal     Part-time External
5. Date of Confirmation of Ph.D. Registration: {DD/MM/YYYY}
6. Title of the Pre-Synopsis Report:

7. Details of Supervisor(s)

	Name	Designation	Department/Centre/School/University/Organization
Research Supervisor			
Co-Supervisor			
Co-Supervisor			

8. Details of Publications/Paper Presentations:

- (a) Publications/Accepted for Publication in Reputed Journals (Attach Preprints/Acceptance Communication)

No.	Title of Paper	Authors (as listed in the Paper/Publication)	Details of Journal/Date of Publication	Details of Journal where accepted for Publication

- (b) Presentations in Reputed Conferences/Seminar (Attach Copies/Certificates/Acceptance Communication)

No.	Title of Paper	Authors(as listed in the Paper/Publication)	Details of Conference/Seminar	Presented / Accepted for Presentation

I am submitting FIVE copies of the Pre-Synopsis Report. Please convene the Pre-Synopsis Seminar and the Panel to assess the Pre-Synopsis Report.

Signature & Name of the Research Scholar

Date: {DD/MM/YYYY}

ENDORSEMENT BY THE SUPERVISOR(S):

I/We approve the submission of the Pre-Synopsis Report. The Pre-Synopsis Seminar and the assessment Panel may be convened at the earliest.

Signature & Name of the Research Supervisor

Date: {DD/MM/YYYY}

Signature and Name of Co- Supervisor

Date: {DD/MM/YYYY}

Signature and Name of Co- Supervisor

Date: {DD/MM/YYYY}

To:

**PART B**

**PRE-SYNOPSIS ASSESSMENT REPORT**

[To be completed by the Chairperson, RAC and submitted to Chairperson, R&IC]

The Chairperson, Research and Innovation Council

Presidency University, Bengaluru

Date: {DD/MM/YYYY}

1. Name of Research Scholar:
2. Registration Number:
3. Academic Unit (Department/School/Centre):
4. Category of Admission:

Full-time     Part-time Internal     Part-time External

5. Date of Confirmation of Ph.D. Registration:

6. Date of Presentation of Pre-Synopsis Seminar:

7. Is this the first attempt made by the research scholar at the Pre-Synopsis Seminar?

Yes  No If No: Date(s) on which prior attempts were made:

8. Title of Pre-Synopsis Report:

9. REPORT OF THE PANEL OF EXAMINERS ON THE PRE-SYNOPSIS SEMINAR:

The research scholar submitted a comprehensive report of the research work carried out by him / her and made an oral presentation/seminar to the Panel of examiners.

The research work done and reported by the research scholar is, as of date:

ACCEPTED AS ADEQUATE. The research scholar must submit the Ph.D. Synopsis and Thesis, within FOUR months of the date of this Pre-Synopsis Assessment Report, incorporating the suggestions {if any} in consultation with the Supervisor(s). (Suggestions to be detailed on a separate sheet and attached.)

INADEQUATE for the submission of the Ph.D. Synopsis and Thesis in its present form. The Pre-Synopsis Report must be resubmitted incorporating the modifications/extensions as detailed in the attached sheet. (Panel should attach a separate sheet of their detailed observations). The research scholar must present the Pre-Synopsis Report and Seminar again. Suggested Date of repeat Pre-Synopsis seminar is: {DD/MM/YYYY }

10. PANEL OF EXAMINERS AND ENDORSEMENT

Member	Name	Designation	Department/Institute /School/Organization/Other University	Signature
Research Supervisor – RAC Convener				
Co-Supervisor – RAC Member				
Co-Supervisor – RAC Member				
RAC Member				
RAC Member				
Invited Member				
Invited Member				
Chairperson RAC				

Forwarded to the Chairperson, Research and Innovation Council

Signed Chairperson, RAC  
Date  
Place

Copies to:  
All members of Panel of Examiners  
Research Scholar  
Academic Office  
Controller of Examinations  
Dean of concerned Faculty

Presidency University



**ANNEXURE E**  
**PRO FORMA**

**SUBMISSION OF Ph.D. SYNOPSIS AND THESIS**  
**ORIGINALITY AND ANTIPLAGIARISM CERTIFICATE**

[Note: This Pro Forma has TWO PARTS:

PART A: FORM FOR SUBMISSION OF Ph.D. SYNOPSIS AND THESIS

PART B: ORIGINALITY AND ANTIPLAGIARISM CERTIFICATE (to be submitted as per the requirements of the Ph.D. Regulations, 2017)]

**PART A**

FORM FOR SUBMISSION OF Ph.D. SYNOPSIS AND THESIS [To  
be filled by the research scholar and endorsed by the Supervisor(s)]

To:

The Chairperson, Research and Innovation Council  
Presidency University, Bengaluru

Date: {DD/MM/YYYY}

**SUBMISSION OF Ph.D. SYNOPSIS AND THESIS**

1. Name of Research Scholar:
2. Registration Number:
3. Academic Unit (Department/School/Centre):
4. Category of Admission:  Full-time     Part-time Internal     Part-time External
5. Date of Confirmation of Ph.D. Registration: {DD/MM/YYYY}
6. Date of Presentation of Pre-Synopsis Report and Seminar: {DD/MM/YYYY}  
(Attach copy of the Pre-Synopsis Assessment Report.)
7. Date of submission of Ph.D. Synopsis and Thesis: {DD/MM/YYYY}
8. Title of the Ph.D. Synopsis and Ph.D. Thesis:
9. Details of Supervisor(s)

	Name	Designation	Department/Centre/School/University/Organization
Research Supervisor			
Co-Supervisor			
Co-Supervisor			

10. Details of Publications/Paper Presentations:

(a) Publications/Accepted for Publication in Reputed Journals (Attach Preprints/Acceptance Communication)

No.	Title of Paper	Authors (as listed in the Paper/Publication)	Details of Journal/Date of Publication	Details of Journal where accepted for Publication

(b) Presentations in Reputed Conferences/Seminar (Attach Copies/Certificates/Acceptance Communication)

No.	Title of Paper	Authors(as listed in the Paper/Publication)	Details of Conference/Seminar	Presented / Accepted for Presentation

11. Address for communication (till the date of Ph.D. Defence Viva-Voce) is:

Phone no. / Mobile no.: \_\_\_\_\_

Email: \_\_\_\_\_

(It is the responsibility of the research scholar to intimate the University Academic Office of any change of Address/ Phone/Mobile nos./email.)

I am herewith submitting {number} soft bound copies of my Ph.D. Synopsis and Ph.D. Thesis along with a softcopy (PDF file) of the same.

I affirm that I have fulfilled all the conditions as specified in Clauses 19.1 and 19.2 of the Ph.D. Regulations, 2017 for submission of the Ph.D. Synopsis and Ph.D. Thesis.

I have attached the following Documents/Certificates:

- (i) Copy of the Pre-Synopsis Assessment Report certifying that the Pre-Synopsis Report and Seminar's been declared "Accepted"
- (ii) Copy Transcripts/Grade Sheets to certify that the prescribed Ph.D. coursework credits have been successfully completed
- (iii) Copies/Preprints of papers published in Journals and papers presented in Seminars/Conferences {and/or} Certificates/communication of acceptance of papers for publication/presentation
- (iv) Copy of Receipt of payment of the Ph.D. Thesis Examination Fee
- (v) Copy of Receipt of payment of the Ph.D. Fees for the current year.
- (vi) "Originality and Antiplagiarism Certificate"

Signature & Name of the Research Scholar

Date: {DD/MM/YYYY}

ENDORSEMENT BY THE SUPERVISOR(S):

I/We approve the submission of the Ph.D. Synopsis and Ph.D. Thesis to the Chairperson, Research Advisory Committee for consideration of the Ph.D. Thesis for adjudication.

Signature & Name of the Research Supervisor

Date: {DD/MM/YYYY}

Signature and Name of Co- Supervisor

Date: {DD/MM/YYYY}

Signature and Name of Co- Supervisor

Date: {DD/MM/YYYY}

**PART B**

[Certificate to be submitted along with PART A]

**ORIGINALITY AND ANTI-PLAGIARISM CERTIFICATE**

[To be completed jointly by the research scholar and Supervisor(s)]

This is to certify that the Ph.D. Thesis titled {"TITLE OF THE Ph.D. THESIS"} authored by {Ms./Mr. <Name of Research Scholar>} is the *bona fide* original research work carried out by the author during the period {Date of Ph.D. Provisional Registration DD/MM/YYYY} to {Date of submission Ph.D. Thesis DD/MM/YYYY}.

To the best of our knowledge the Ph.D. Thesis does not include any work which has at any time previously, been submitted for the award of any other Degree/Diploma of the University, or any other Institution/University.

We further vouch that the Ph.D. Thesis has been checked for plagiarism using {name of the anti-plagiarism software, like Turnitin®, etc.} and the copy of the scan report/originality report is attached, certifying that the contents of the Ph.D. Thesis are within acceptable norms to be declared as free from plagiarism. No pirated ideas, processes, diagrams, charts or words of others have been presented as the author's own work.

Signature and Name of Research Scholar  
Signature and Name of Research Supervisor  
Signature(s) and Name(s) of Co- Supervisor(s)

Dated: {DD/MM/YYYY}

Signature and Name of Research Scholar  
Signature and Name of Research Supervisor  
Signature(s) and Name(s) of Co-Supervisor(s)  
Dated: {DD/MM/YYYY}

## **ANNEXURE F**

### **GUIDELINES FOR PREPARATION OF THE Ph.D. THESIS AND SYNOPSIS**

#### **1.0 INTRODUCTION**

Preparation of a Ph.D. Thesis is one of the most important parts of the research work leading to the Doctoral degree. The Thesis must be a document of the best professional standards. Whilst originality is very much expected in a Thesis, the Thesis document necessarily adheres to specified conventions and formats. Ph.D. Theses are deposited in the University Library as bound volumes and must be produced with the same care as printed books.

The intention of these guidelines is to produce a high-quality thesis document, and to ensure some basic consistency among the Ph.D. Theses of the University. It is the responsibility of the research scholar to ensure that these guidelines are met, and the responsibility of the Supervisor(s) to confirm this before submitting the Thesis for approval.

#### **2.0 STRUCTURE OF THE CONTENTS OF THE THESIS**

The Ph.D. Thesis is structured as follows:

- 2.1 Preliminaries
  - (a) Title Page
  - (b) Dedication (where included)
  - (c) Certificate(s)
  - (d) Table of Contents
  - (e) Abstract
  - (f) Acknowledgement
  - (g) List of Figures
  - (h) List of Schema/Photographs (where included)
  - (i) List of Tables
  - (j) List of Abbreviations
  - (k) List of Notations and Symbols (where included)
- 2.2 Text of Thesis
  - (a) Introduction
  - (b) The Body of the Thesis
  - (c) Conclusions
  - (d) Recommendations for further research
- 2.3 Appendices (where included)
- 2.4 References
- 2.5 Bibliography (where included)

#### **3.0 GUIDELINES FOR LAYOUT AND FORMAT**

##### **3.1 Title Page**

The Pro Forma for the Title Page is placed in Appendix I. The specimen of the University Logo is available in the University Academic Office. The title of the Thesis is typed in upper and lower

case letters. Do not use all upper case letters. This is to insure that the words (such as proper names) within the title are capitalized correctly when listed elsewhere.

Additionally, the following should be printed overleaf (of the Title Page) centered at the bottom of the page.

© PRESIDENCY UNIVERSITY, BENGALURU  
{YYYY} <Year of submission> ALL  
RIGHTS RESERVED

### 3.2 Dedication Page

The research scholar may wish to include a dedication message. Typically, this is a single phrase/line message placed in a blank page after the title page. If a Dedication is included, it will be numbered as page ii. (This is not similar to “Acknowledgements” which is a separate item.)

### 3.3 Certificate Page

The “*Originality and Antiplagiarism Certificate*” shall be placed as per the Pro Forma given in Appendix II. This is a mandatory certificate.

Additional certificates, if any, such as sponsored research projects, use of certain calibrated equipment, certification from standards organizations, etc.

### 3.4 Table of Contents

The Table of Contents needs to include entries for all of the front matter except for the title page, Dedication page and Table of Contents page.

The numbering and wording used in the Table of Contents must match the numbering and wording of the titles and headings in the front matter and text.

A guideline for the Order of Contents and the Pro Forma for the Table of Contents is given in Appendix III.

### 3.5 Acknowledgments

The Thesis must include an Acknowledgments section which, at a minimum, describes the source(s) of support for the research. Acknowledgment of the source(s) of support is important ethically in all research publications and presentations, including theses, to give the sponsors the recognition they deserve, and also to disclose publicly the organization or persons funding the research.

The Research Advisory Committee may also be listed in the Acknowledgments.

### 3.6 Abstract

The Abstract should present a brief summary of the thesis indicating the purpose, the procedures or methods used, the results or product that was produced, and the significant conclusions. The reference-free double spaced abstract is typically limited to about 400 words. The Abstract is also followed by Key Words (typically not more than six key words).

### 3.7 List of Figures

All Figures must be numbered and listed. Numbers and titles of Figures listed must be identical to the numbers and titles used within the body of the Thesis.

Note: If photographs, schema, maps, diagrams, graphs or drawings are included, separate Lists of Photographs, Schema, etc., as required may be used. Numbers, Titles, and Thesis page numbers must be included as done for the case of Figures.

### 3.8 List of Tables

If Tables are included, all Tables, should carry a number and a title clearly describing the data be

presented. Table numbers and titles listed must be identical to the numbers and titles used within the body of the Thesis.

### 3.9 List of Abbreviations

The research scholar must take utmost care in the use of abbreviations. Standards must be adhered to.

### 3.10 List of Notations and Symbols

The research scholar must explain the meaning of special notations and symbols used in the Thesis. Define Numerical, English symbols, Greek symbols and Miscellaneous symbols separately.

### 3.11 Thesis Text: General Guidelines

One of the most important requisites in preparation of the Ph.D. Thesis is consistency of format and adherence to the specific guidelines given below:

#### (a) Language

The Ph.D. Thesis should be written in English. (In case of exceptions where some parts of the Thesis may need to be written in another language as per the approval of the RAC and provisions of the Ph.D. Regulations, 2017, the standard publishing norms followed by scholarly Journals published in that language shall be followed.)

The Ph.D. Thesis should be free from grammatical, lexical and punctuation errors. In addition to the word processor spellchecker, a Ph.D. Thesis should be proof-read to check that errors do not remain that are not detected by the spellchecker. The Ph.D. Thesis should consistently use either American or British spelling but should not alternate between the two. Research scholars are encouraged to take additional support as required to have their manuscript thoroughly edited before submission, to improve the clarity and preciseness of communication.

#### (b) Paper

For the Hard Bound copies of the Ph.D. Thesis to be submitted to the University, the paper must be chosen for its permanence and durability.

The paper must be (i) acid-neutral or acid-free, (ii) watermarked, (ii) whiteness 95% or above, and (iv) weight 80 gsm or more. Standard A4 size paper should be used.

#### (c) Font

The Thesis needs to be prepared using a standard text processing software and must be printed in black color text (color for images, if necessary) using a laser printer or letter quality printer in standard typeface. As far as possible, use the same font for the entire Ph.D. thesis but, if necessary, different fonts may be used within Tables, Figures, and Appendices. Some recommended TrueType fonts and point sizes are tabled below:

Arial	10pt
Georgia	11pt
Times New Roman	12pt
Trebuchet MS	10pt
Verdana	10pt

These are example of fonts designed for easy screen readability. Since many readers are likely to view and/or use the Thesis onscreen, the readability of the text may be improved by using one of these fonts.

**(d) Layout**

*Chapter and Page Layout*

Each chapter shall begin on a fresh page (odd number page in case of double sided printing) with an additional top margin.

A chapter can be divided into sections, subsections and sub-subsections so as to present different concepts separately. Sections and subsections can be numbered using decimal points, e.g. 2.2 for the second section in Chapter 2 and 2.3.4 for the fourth subsection in third section of Chapter 2. The sections and subsections of the chapter need not begin on a new page. Chapters, sections and subsections shall be included in the Table of Contents with page numbers. Further sub-sub-subsections need not be included in the Table of Contents.

*Headings and Sub-headings*

Headings should be distinguished from the surrounding text by a larger font size, bolding, italics, or a combination of these.

All headings of the same level should use the same style, and headings at lower levels should be less prominent than those at higher levels.

Example:

Chapter Title (Times New Roman 16 point – Bold)

Heading for section (Times New Roman 14 point – Bold)

Heading for subsection (Times New Roman 12 point – Bold)

Heading for sub-subsection (Times New Roman 12 point – Bold Italic)

All headings should be left aligned. The headings and subheadings should be numbered.

*Numbering and Titles/Captions for Tables and Figures/Schema/Photographs*

Each Table and Figure/Schematic/Photograph should carry a number and caption/title that clearly describes the nature of data/information presented.

Tables number and title will be placed above the Table while the Figure number and caption/title will be located below the figure. They should be numbered consecutively throughout, in the order in which they are placed in the text. The Tables and Figures should be embedded in the text of the Ph.D. Thesis, immediately after the first mention of it in the text, on the same page if there is room, or on the following page.

Tables and Figures shall be numbered chapter-wise. For example, the fourth figure in Chapter 5 will bear the number Figure 5.4 or Fig 5.4.

All Tables and Figures must be referred to in the text by numbers and not by a phrase such as "the following table".

Tables or Figures of peripheral importance to the text may be placed in an Appendix. Reference for any Table or Figure reproduced from another source shall be cited as per the citation style (APA, Harvard, IEEE, ...) chosen for use in the Thesis.

**3.12 Appendices:**

Long or detailed supplementary information such as derivations, tables, experimental setups/observations, questionnaires, approval letters or such other materials that are relevant to the Thesis but are not necessary for understanding alongside the text, should be placed in an appendix or appendices and listed in the Table of Contents. Appendices should be numbered using a consistent form, such as Appendix 1, Appendix 2, etc., or Appendix I, Appendix II, etc. All appendix pages must be numbered and are to be included in the Table of Contents.

### 3.13 References

Citations of the professional literature should be standardized throughout the Thesis. A single list of references at the end of the Thesis is preferred. The form of citation should be consistent with the form used in a standard professional journal of the field of the research work. The choice of referencing conventions may depend on the specific field of research work. Some widely used conventions are: APA Referencing System, The Harvard Citation Style, IEEE Citation Reference, MLA (Modern Language Association) Style and ACM Style. The important point is that the chosen style of citation must be consistently used throughout the Thesis (and Synopsis).

### 3.14 Bibliography

Books, monographs, articles and other materials used in the research work may be listed according to the accepted bibliographic practice in the field of the research work. A single bibliography at the end of the Thesis is preferred.

## 4.0 PREPARATION OF Ph.D. SYNOPSIS

### 4.1 General Guidelines:

There are wide variations in the subject matter and style of presentation of the Ph.D. Synopsis. However, the primary objective of the Synopsis is to enable the Examiner/Thesis Adjudicator to judge whether a prima facie case exists for accepting the proposed Ph.D. Thesis for a detailed evaluation for the award of the Ph.D. degree.

The Synopsis should therefore, list, clearly, the contributions resulting from the research investigations carried out by the research scholar, which have led to seminal/new frameworks for advancement of knowledge in the field of investigation, and/or new solutions/products/services that have business, technological, environmental and/or social applications.

In order to fully appreciate the research scholar's contribution, it is necessary to articulate the context, challenge and scope of research work. The Synopsis should contain a well-summarized account of the existing knowledge and the inadequacy or gap in this knowledge that led to the formulation of the research problem. It is, therefore, recommended that the Synopsis be structured and presented as per the guidelines given below:

- (a) Title Page
  - (b) Abstract
  - (c) Brief Literature Review/State-of-the-Art Review
  - (d) Motivation, Objectives and Scope of Research Work
  - (e) Methodology/Framework(s)/Experimental Setups for Research
  - (f) Significant Results and Original Contributions
  - (g) Conclusions and Suggestions for further work
  - (h) References (as relevant to the Synopsis)
  - (i) List of Papers Published/Accepted, Patent Applications (from the Ph.D. work)
- The Ph.D. Synopsis typically consists of about 20 pages.

### 4.2 Layout and Format:

The Guidelines for Layout and Format as specified in Section 3.0 of this appendix may be used in the preparation of the Synopsis. (Additionally, the "Guidelines to prepare the Ph.D. Research Proposal" placed in Annexure B2 of the Ph.D. Regulations, 2017, may also be referred.) The changes in certain items (with reference to Section 3.0) is outlined below:

- (i) Title Page  
The Title of the Ph.D. Synopsis is the same as that of the Ph.D. Thesis. The Pro Forma is placed in Appendix IV
- (ii) Abstract



The Abstract and Keywords placed in the Synopsis and Thesis will be exactly the same.

(iii) References

Only select references as relevant to the text in the Synopsis are to be listed. Normally, a Synopsis will have about 10 – 15 references, or even less.

## **5.0 BINDING: Ph.D. Synopsis and Thesis**

### **Synopsis**

The copies of the Ph.D. Synopsis must be soft bound. The Pro Forma for the Cover Page is the same as that of the Title Page as placed in Appendix IV The Cover Page is White in color and text color is Black. The specimen of the University Logo is available in the University Academic Office.

### **Thesis**

The evaluation copies of the Ph.D. Thesis may be soft bound. The final copies to be submitted after the Ph.D. Defence Viva-Voce must be hard bound. Two hard bound copies must be submitted to the University Office as per the requirements of the Ph.D. Regulations, 2017. (The research scholar may get additional hard bound copies done as per his/her requirements.)

The Pro Forma for the Cover Page is placed in Appendix V.

The Cover Page is White in color and text color is Black. The specimen of the University Logo is available in the University Academic Office.

Additionally, the following should be printed on the spine of the thesis:

- (i) At the top end of the spine [Ph.D. Thesis]
- (ii) At the center of the spine {Name of the research scholar}
- (iii) At the bottom end of the spine {YYYY}, which is the year of submission.

## **6.0 ELECTRONIC/SOFT COPY OF Ph.D. THESIS AND SYNOPSIS – SUBMISSION GUIDELINES**

The Thesis must be submitted to in Adobe PDF format. When preparing the PDF, the following points must be observed:

- (i) Embed all fonts (Assuming the text is prepared in MS Word, the MS Office Support will provide guidelines to embed fonts.)

Note: Manuscripts without embedded fonts can cause all punctuation and formatting to disappear when the document is printed from the digital file. The research scholar is responsible for the appearance of the Thesis manuscript in PDF to ensure that it will appear and may be downloaded exactly as submitted.

- (ii) NO password protection on the PDF
- (iii) NO compression
- (iv) Security settings have to allow printing

## **7.0 CONCLUDING REMARKS**

These “Guidelines for the preparation of the Ph.D. Thesis and Synopsis” present only the basic requirements for thesis preparation. Over and above the aforementioned points, a thesis should be easy and pleasant to read both in its appearance and presentation. Several aspects of thesis preparation, particularly style of writing and presentation, have not been discussed in detail. The research scholar should glean appropriate ideas from standard literature of the area of research, and create a unique style, while maintaining conventions and format consistently throughout the thesis.

In conclusion, the Ph.D. Thesis (and Synopsis) is the capstone project for Ph.D. research scholars. It is perhaps the most important and far-reaching undertaking in the entire doctoral program, having an impact that extends well beyond Ph.D. program.

**ANNEXURE G**  
**PRO FORMA**  
**PANEL OF THESIS EXAMINERS**  
**CONFIDENTIAL**

Annexure G has TWO PARTS:

**PART A:** is the Suggested Panel of Thesis Examiners as specified by Clause 20.1 of the Ph.D. Regulations, 2017 to be submitted by the Supervisor(s) and to the RAC.

**PART B:** is the Recommended Panel of Thesis Examiners as specified by Clause 20.2 of the Ph.D. Regulations, 2017 to be forwarded by the Chairperson, RAC to the COE (along with requisite number of copies of the Ph.D. Synopsis and Ph.D. Thesis) and Chairperson, R&IC.

**PART A**

**SUGGESTED PANEL OF THESIS EXAMINERS**  
**CONFIDENTIAL**

[To be completed by the Research Supervisor in consultation with the Co-Supervisor(s), if any, and submitted to Chairperson, RAC along with the Ph.D. Synopsis and Ph.D. Thesis]

To:

Chairperson, RAC

Academic Unit (Department/School/Centre):

Date {DD/MM/YYYY}

1. Name of Research Scholar:
2. Registration Number:
3. Category of Admission:  Full-time  Part-time Internal  Part-time External
4. Title of the Ph.D. Synopsis and Thesis:
5. Date of submission of Ph.D. Synopsis and Thesis: {DD/MM/YYYY}

6. Suggested Panel of Thesis Examiners submitted to the RAC for Endorsement:

SUGGESTED PANEL OF THESIS EXAMINERS	
EXTERNAL EXAMINERS FROM OUTSIDE INDIA	
1.	Name: Present Designation/Position: Postal Address: Phone/Mobile nos.: Email:
2.	Name: Present Designation/Position: Postal Address: Phone/Mobile nos.: Email:
3.	Name: Present Designation/Position: Postal Address: Phone/Mobile nos.: Email:
EXTERNAL EXAMINERS FROM WITHIN INDIA	
1.	Name: Present Designation/Position: Postal Address: Phone/Mobile nos.: Email:
2.	Name: Present Designation/Position: Postal Address: Phone/Mobile nos.: Email:
3.	Name: Present Designation/Position: Postal Address: Phone/Mobile nos.: Email:
4.	Name: Present Designation/Position: Postal Address: Phone/Mobile nos.: Email:

5.	Name: Present Designation/Position: Postal Address: Phone/Mobile nos.: Email:
----	---

Signature and Name of Research Supervisor

Signature(s) and Name(s) of Co- Supervisor(s)

## **PART B**

### **RECOMMENDED PANEL OF THESIS EXAMINERS**

To,

[Chairperson, RAC to forward Recommendation to the Chairperson, R&IC with a copy to the COE]The Chairperson, R&IC

The Recommended Panel of Thesis Examiners\* for the Ph.D. Thesis titled {\_\_\_\_\_} submitted by the research scholar {Ms./Mr. Name of research scholar} is forwarded to you in confidence.

Four copies each, of the Ph.D. Synopsis and Thesis, along with softcopies of the same are being forwarded to the Controller of Examinations. You are requested to advise the Controller of Examinations on the constitution of the Board of Thesis Examiners for Thesis Adjudication and subsequent Ph.D. Defence Viva-Voce.

Signature and Date:

Chairperson, RAC

Enclosed: Confidential - Recommend Panel of Examiners

\* PRO FORMA

**RECOMMENDED PANEL OF THESIS EXAMINERS**  
**CONFIDENTIAL**

1. Title of Ph.D. Thesis:
2. Name of Research Scholar:
3. Registration Number:
4. Academic Unit:
5. Date of Submission of Ph.D. Thesis:

**EXTERNAL EXAMINERS FROM OUTSIDE INDIA**

1. Name:  
Present Designation/Position:  
Postal Address:  
Phone/Mobile nos.:  
Email:

2. Name:  
Present Designation/Position:  
Postal Address:  
Phone/Mobile nos.:  
Email:

3. Name:  
Present Designation/Position:  
Postal Address:  
Phone/Mobile nos.:  
Email:

**EXTERNAL EXAMINERS FROM WITHIN INDIA**

1. Name:  
Present Designation/Position:  
Postal Address:  
Phone/Mobile nos.:  
Email:

2. Name:  
Present Designation/Position:  
Postal Address:  
Phone/Mobile nos.:  
Email:

3. Name:  
Present Designation/Position:  
Postal Address:  
Phone/Mobile nos.:  
Email:

4.	Name: Present Designation/Position: Postal Address: Phone/Mobile nos.: Email:
5.	Name: Present Designation/Position: Postal Address: Phone/Mobile nos.: Email:
Recommended by the RAC and forwarded.  Signature and Name of Chairperson, RAC Date:	

Cc.

The Controller of Examinations

(with Four copies of the Synopsis and Thesis, and softcopies of the same)

**ANNEXURE H**  
**PRO FORMA**  
**GUIDELINES - THESIS ADJUDICATION**  
**THESIS EVALUATION REPORT**

Note: ANNEXURE H has THREE parts:

PART A: Letter to Thesis Examiner (seeking acceptance to be a Thesis Examiner) to be sent by the COE along with a copy of the Ph.D. Synopsis

PART B: Letter to Thesis Examiners to be sent by COE along with a copy of the Ph.D. Thesis for adjudication, along with the Pro Forma given in PART C

PART C: Pro Forma for Thesis Evaluation Report (with Enclosure), where Item I has to be filled by COE before sending to the Ph.D. Thesis Examiner.

**PART A**  
**PRO FORMA**

[Letter to Thesis Examiner seeking acceptance to evaluate the Ph.D. Thesis]

Dated: {DD/MM/YYYY}

Ref: {Ph.D./.....}

Dr/Prof. {Full Name}

{Address}

Dear Dr/Prof. {Name}

{For External Examiner outside of India}

Sub: Invitation to be a member of the Board of Thesis Examiners to adjudicate a Ph.D. Thesis

{For External Examiner within India}

Sub: Invitation to be a member of the Board of Thesis Examiners and Ph.D. Defence Committee to adjudicate a Ph.D. Thesis

On behalf of Presidency University, Bengaluru, I am pleased to invite you to be an esteemed member of the Board of Thesis Examiners {and Ph.D. Defence Committee} to examine the Ph.D. Thesis from the University titled {“.....”}

A copy/soft copy of the Ph.D. Synopsis is enclosed/attached for your review and consideration of acceptance to be an Examiner for this Thesis.

On receipt of your acceptance, a copy of Ph.D. Thesis will be sent to you for evaluation. If for some reason you are not able to accept this invitation, please inform me by return mail. It will be very helpful if you communicate your acceptance (or otherwise) at the earliest, but not later than {DD/MM/YYYY}.

Kindly note that the contents of this Ph.D. Synopsis may not be disclosed in any form or used for any purpose other than reviewing it. You are also requested to inform if there is any conflict of interest with this research scholar whose Ph.D. Thesis is under evaluation.

{For External Examiner within India} Also, you will be required to be present as the External Examiner on the Ph.D. Defence Committee to evaluate the Ph.D. Defence Viva-Voce. The date of the Ph.D. Defence Viva-Voce will be communicated in due course after the completion of the evaluation of the Ph.D. Thesis by all the Thesis Examiners.

The details of remuneration/honorarium for adjudication of the Ph.D. Thesis is attached for your information.

Yours sincerely,

Controller of Examinations  
Presidency University, Bengaluru

## **PART B**

### **PRO FORMA**

**LETTER TO THESIS EXAMINERS FOR EVALUATION OF Ph.D. THESIS / EXTERNAL EXAMINER ON Ph.D. DEFENCE COMMITTEE**

Dated: {DD/MM/YYYY}

Ref: {Ph.D./.....}

Dr/Prof. {Full Name}  
{Address}

Dear Dr/Prof. {Name}



Ref: Evaluation of the Ph.D. Thesis titled {"....."}

On behalf of Presidency University, Bengaluru, I thank you for accepting our invitation to be a member of the Board of Thesis Examiners to evaluate Ph.D. Thesis from the University titled {"....." {and to be a member of the Ph.D. Defence Committee to evaluate the Ph.D. Defence Viva-Voce.}}

A copy/soft copy of the Ph.D. Thesis is sent herewith for evaluation. I shall be grateful if you could examine it and send us (electronically) a scanned version of your report. A Pro Forma for the "Thesis Evaluation Report" is attached/enclosed. Kindly complete the evaluation of the Thesis at the earliest, but not later than {DD/MM/YYYY}.

I would like to draw your attention to the following points:

1. Please indicate your recommendation and report in the enclosed/attached Thesis Evaluation Report.
2. An excerpt from the Ph.D. Regulations, 2017 of University – Clause 20.3 "*Thesis Examiners' Reports and Recommendation*" is attached/enclosed for your information.
3. The contents of this Ph.D. Thesis may not be disclosed in any form or used for any purpose other than evaluating it.
4. A remuneration form is also enclosed/attached with this mail. Please fill this and mail me a scanned copy. The address/contact details are as above/below.

{For External Examiner within India}

5. The Ph.D. Defence Viva-Voce date will be fixed, after taking inputs from all examiners on the panel. The date will normally be between 6 to 8 weeks from the time you receive this letter. The final date of Ph.D. Thesis Defense will be communicated to you shortly.

Kindly acknowledge receipt of this letter and the Ph.D. Thesis.

Yours sincerely,

Controller of Examinations  
Presidency University, Bengaluru

Enclosed/Attached:

- (i) PRO FORMA – THESIS EVALUATION REPORT
- (ii) Excerpt from Ph.D. Regulations, 2017 of the University

## PART C

### PRO FORMA

#### THESIS EVALUATION REPORT

[To be completed by the Ph.D. Thesis Examiner]

#### I. Ph.D. THESIS DETAILS

[To be filled by the office of the Controller of Examinations before sending to the Thesis Examiner]

(i) Title of Ph.D. Thesis:	
(ii) Name of Research Scholar	
(iii) Registration Number	
(iv) Name of Department/School/Centre	
(v) Date of Submission of Ph.D. Thesis	
(vi) Name/Designation of Thesis Examiner	

#### II. THESIS EXAMINER'S RECOMMENDATION

[Note: Clause 20.3 "Thesis Examiners' Reports and Recommendation" of the Ph.D. Regulations, 2017 of University is attached/enclosed with this Form for your information.]

**"ACCEPTED"**: I adjudicate that the Ph.D. Thesis is **ACCEPTABLE** for the award of the Degree of Doctor of Philosophy (Ph.D.)

**"ACCEPTABLE WITH MINOR REVISIONS"** #: I adjudicate that the Ph.D. Thesis is **ACCEPTABLE** for the award of the Degree of Doctor of Philosophy (Ph.D.) subject to the condition that the research scholar completes the "minor revisions" detailed in Item V of the Detailed Evaluation Report and the revised Thesis must be certified as satisfactorily completed by the Supervisor(s) and the approved by the Ph.D. Defence Committee.

**REJECTED** ##: I adjudicate that the Ph.D. Thesis is **UNACCEPTABLE** for the award of the Degree of Doctor of Philosophy (Ph.D.) Reasons are enumerated in Item VI of the Detailed Evaluation Report.

Signature and Name of the Thesis Examiner

Date

### III. DETAILED EVALUATION REPORT:

- (a) Critical survey and evaluation of the quality and quantity of the research work as embodied in the Thesis (preferably Chapter by Chapter).
- (b) Highlight the points, which, in your opinion constitute significant original contribution to knowledge in the area of work.
- (c) Comment on the standard of presentation of the Thesis:
- (d) Any other comments/feedback:
- (e) Is it worth publishing in book form?

### IV. QUESTIONS, IF ANY, TO BE ASKED OR POINTS TO BE CLARIFIED AT THE PH.D. DEFENCE VIVA-VOCE:

- (i)
- (ii)
- ...

- V. #If your Recommendation is “ACCEPTABLE WITH MINOR REVISIONS”, please enumerate the specific queries /clarifications / revisions / modifications the research scholar has to complete to be considered as eligible for the Ph.D. Defence Viva-Voce:

- VI. ##If you have adjudicated the Ph.D. Thesis as “REJECTED”, please enumerate the specific reasons leading to your decision:

Thesis Evaluation Report submitted to the Chairperson, Research and Innovation Council, Presidency University, Bengaluru through the Controller of Examinations, Presidency University, Bengaluru.

Signature and Name of the Thesis Examiner

Date

To,  
The Controller of Examinations  
Presidency University, Bengaluru

ENCLOSURE / ATTACHMENT TO BE SENT TO THE THESIS EXAMINER ALONG WITH THE  
PRO FORMA FOR THESIS EVALUATION REPORT

Excerpt from Ph.D. Regulations, 2017 of the University – Clause 20.3

### 20.3 Thesis Examiners' Reports and Recommendation

- (a) The Thesis Examiners, independently, shall submit the Thesis Evaluation Report (Pro Forma placed in Annexure H) to the Chairman, Research and Innovation Council (R&IC) through the Controller of Examinations of the University. The evaluation report includes:
- (f) A critical survey and evaluation of the quality and quantity of the research work;
  - (g) Questions, if any, to be asked, or points to be clarified at the Ph.D. Defence Viva-Voce; and,
  - (h) A definite recommendation as to whether the Thesis is “ACCEPTED” for the award of the Ph.D. Degree (Doctor of Philosophy); OR,
  - (i) A provisional recommendation that the Thesis is “ACCEPTABLE WITH MINOR REVISIONS” for the award of the Ph.D. Degree, subject to the condition that the research scholar is required to make the “minor” revisions/modifications, which are clearly specified by the External Examiner; OR,
  - (j) A conclusive decision by the External Examiner that the Thesis is “REJECTED”, with reasons why the Thesis is adjudicated as unacceptable for the award of the Ph.D. Degree.
- b) If BOTH the External Examiners recommend acceptance of the Thesis as it is, or, with answers to the specific questions, and/or points to be clarified, if any, at the Ph.D. Defence Viva-Voce (refer Section 21), the Ph.D. Defence Viva-Voce shall be held at the earliest.
- c) If ONE or BOTH the External Examiners recommend “ACCEPTABLE WITH MINOR REVISIONS” in the Thesis, as described in Sub-Clause 20.3.1 (d), the Ph.D. Defence Viva-Voce can be held only after the Internal Examiner(s) certifies(certify) to the Chairman RAC, that the changes/revisions have been carried out satisfactorily. The Chairman, RAC shall seek the approval of the Chairman, R&IC to conduct the Ph.D. Defence Viva-Voce.
- d) If BOTH External Examiners recommend REJECTION of the Ph.D. Thesis, the Thesis in the current form is rejected and the research scholar shall be declared ineligible for the award of the Ph.D. Degree.

- e) If any ONE External Examiner adjudicates the Ph.D. Thesis as “REJECTED”, an opinion of a “third” External Examiner shall be sought. The third External Examiner shall be appointed by the Chairman, R&IC from the priority list of the Panel of Thesis Examiners (Clause 20.2.2). If the “third” External Examiner adjudicates the Ph.D. Thesis as “ACCEPTED”/ “ACCEPTABLE WITH MINOR REVISIONS”, the Ph.D. Defence Viva-Voce shall be conducted as per the relevant provisions of Clauses 20.3.2 and 20.3.3. If the evaluation report of the “third” External Examiner concludes that the Ph.D. Thesis is “REJECTED”, the Thesis shall be rejected and the research scholar shall be declared ineligible for the award of the Ph.D. Degree.
- f) The copies of the External Examiners’ reports shall be made available to the Supervisor(s).
- g) Extract or the reports of all Thesis Examiners shall be intimated to the research scholar.
- h) The Academic Council shall, however be the final authority in deciding whether the Ph.D. Thesis be accepted or rejected for the award of the Ph.D. degree.

## ANNEXURE I

### PRO FORMA

#### Ph.D. DEFENCE COMMITTEE (PDC) REPORT

##### I. Ph.D. Thesis Details: [To be filled by the office of the COE]

(i) Title of Ph.D. Thesis	
(ii) Name of Research Scholar	
(iii) Registration Number	
(iv) Name/Designation of Research Supervisor	
(v) Name/Designation of Co-Supervisor (if any)	
(vi) Name/Designation of Co-Supervisor (if any)	
(vii) Date of submission of the Ph.D. Thesis	
(viii) Date of Ph.D. Defence Viva-Voce	

##### II. PDC REPORT:

RECOMMENDED: Ph.D. Viva-Voce was satisfactorily completed. Recommend conferring of the Degree of Doctor of Philosophy (Ph.D.) on the Research Scholar

RE-EXAMINATION: Ph.D. Viva-Voce UNSATISFACTORY. Recommend the Research Scholar be re-examined within {DD/MM/YYYY specify date/time period}.

The queries/corrections to be prepared by the research scholar is given below:  
(Attach separate sheet, if necessary).

Endorsed by the members of the PDC:

Member	Name	Designation	Department/Institute/School Organization/Other University	Signature
External Thesis Examiner				
Research Supervisor				
Co-Supervisor (if any)				
Co-Supervisor (if any)				
Faculty Member				
Chairperson, RAC – Convener				
Chairperson, PDC				

Forwarded to the Chairperson, Academic Council for Approval, through the Controller of Examinations.

Signature of Chairperson,  
PDC Date

RECOMMENDED TO THE BOARD OF MANAGEMENT FOR APPROVAL – The Ph.D. Degree may be conferred on the Research Scholar, subject to the conditions specified by the Ph.D. Regulations, 2017 and subsequent approval of the Board of Management.

NOT RECOMMENDED – Note to the Chairperson, R&IC with reasons/questions for clarification:

Chairperson, Academic Council.

Signature

Date

**ANNEXURE J**

**PRO FORMA**

**FINAL SUBMISSION OF HARD BOUND COPIES/SOFT COPY OF Ph.D. THESIS  
(AFTER PH.D. DEFENCE VIVA-VOCE)  
REQUEST FOR PROVISIONAL DEGREE CERTIFICATE**

ITEM I: [To be completed by the research scholar]

FINAL SUBMISSION OF HARD BOUND COPIES/SOFT COPY OF Ph.D. THESIS - REQUEST FOR PROVISIONAL CERTIFICATE

From:

{Name of research scholar

Registration Number:

Academic Unit: Institute/School}

To,

The Controller of Examinations,  
Presidency University, Bengaluru

I am submitting TWO hard bound copies and the Soft Copy of my Ph.D. Thesis titled {-----  
-----}.

The Ph.D. Thesis is complete with respect to all the revisions/corrections specified by the Thesis Examiners and the Ph.D. Defence Committee and has been certified by my Research Supervisor (Certificate is provided in Item II.)

I have also attached the "No Dues Certificate".

I request you to kindly issue the Provisional Degree Certificate for having fulfilled the requirements for the award of the degree of Doctor of Philosophy (Ph.D.).

Signature of the research scholar: Date:

Address for communication:

{Email: (other than University mail id)

Mobile:}



ITEM II: [To be given by the Research Supervisor]

CERTIFICATE  
FINAL SUBMISSION OF Ph.D. THESIS

Title of Ph.D. Thesis: {-----}

Name of research scholar: {Ms./Mr. name }

Certified all the revisions/corrections specified by the Thesis Examiners and the Ph.D. Defence Committee have been satisfactorily incorporated by the research scholar and the Ph.D. Thesis is prepared in accordance with the guidelines specified by the Ph.D. Regulations, 2017 of the University.

The two hard bound copies and the soft copy of the Ph.D. Thesis (as titled above) may be accepted.

Signature of Research Supervisor

Date

Name and designation of the Research Supervisor:

ITEM III: [To be issued by the Office of the Controller of Examinations]

Title of Ph.D. Thesis: { ----- }

Name of Research Scholar: { ----- } Academic

Unit: {Name of School/Department }

Received TWO hard bound copies and a soft copy of the Ph.D. Thesis along with the Certificate from the Research Supervisor.

The Provisional Certificate has been issued to the research scholar:

Signature and Seal of the Controller of Examinations

Date

**ANNEXURE K**  
**PRO FORMA**  
**PROVISIONAL DEGREE CERTIFICATE**

---



**PRESIDENCY UNIVERSITY, BENGALURU**

**PROVISIONAL DEGREE CERTIFICATE**

This is to certify that {**Ms./Mr. NAME of the research scholar**} has fulfilled all the requirements for the award of the degree of

**DOCTOR OF PHILOSOPHY**

of this University in recognition of the research work presented in the Ph.D. Thesis titled

**{ TITLE OF Ph.D. THESIS }**

The degree will be conferred on {her/him} at the next Convocation of the University, or thereafter.

Further certified that the award of the degree of Doctor of Philosophy is in accordance with the provisions and guidelines of the *University Grants Commission (Minimum Standards and Procedure for Award of M.Phil./Ph.D. Degrees) Regulations, 2016*.

Signature and Seal of the Controller of Examinations

Date: {DD/Month/YYYY}

**{Title of the Ph.D. Thesis in 18 or 20 pt Bold Lettering  
in Black Color with Single Spacing Between Lines and  
Centered}**

A  
Thesis  
submitted by  
< 14 or 16 pt >

**{Full Name of Research Scholar}**  
< same pt as Title >

in partial fulfilment for the requirements of the award of the degree of  
< 14 or 16 pt >

**DOCTOR OF PHILOSOPHY**  
< same pt as Title >

**Faculty of {-----}**  
**{Name of the Department/Institute/School}**  
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**PRESIDENCY UNIVERSITY, BENGALURU**

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© PRESIDENCY UNIVERSITY, BENGALURU  
**{YYYY}**  
ALL RIGHTS RESERVED

**ORIGINALITY AND ANTI-PLAGIARISM CERTIFICATE**

[To be completed jointly by the research scholar and Supervisor(s)]

This is to certify that Ph.D. Thesis titled {"Title of the Ph.D. Thesis"} authored by {Ms./Mr. Name of the research scholar} is the *bona fide* original research work carried out by the author during the period {Date of Ph.D. Provisional Registration DD/MM/YYYY} to {Date of submission Ph.D. Thesis DD/MM/YYYY}.

To the best of our knowledge the Ph.D. Thesis does not include any work which has at any time previously, been submitted for the award of any other Degree/Diploma of the University, or any other Institution/University.

We further vouch that the Ph.D. Thesis has been checked for plagiarism using {name of the anti-plagiarism software, like Turnitin®, etc.} and the {scan report/originality report} certifies that the contents of the Ph.D. Thesis are free from plagiarism. No pirated ideas, processes, diagrams, charts or words of others have been presented as the author's own work.

Signature and Name of Research Scholar

Signature and Name of Research Supervisor

Signature(s) and Name(s) of Co- Supervisor(s)

Dated: {DD/MM/YYYY}

GUIDELINE FOR ORDER OF CONTENTS  
AND  
PRO FORMA FOR TABLE OF CONTENTS

**Order of Contents** [with illustrations/examples]

< Page Numbering Scheme –  
Sample >

**Title Page**

Counted as first page but not numbered  
Do not include in Table of Contents

[i]

Not numbered in Thesis

**Dedication Page** (optional)

Do not include in Table of Contents

[ii]

Not numbered in Thesis

**Certificate Page**

(Mandatory Originality and Antiplagiarism Certificate, and any other  
Certificates, if any)

Do not include in Table of Contents

[iii]

Not numbered in Thesis

**Table of Contents**

Include front matter listed below followed by entries for text of thesis  
Do not include an entry for the Table of Contents in the Table of  
Contents

[iv]

Not numbered in Thesis

**Acknowledgements**

vi

Numbering starts in Thesis and  
the Acknowledgments page  
begins with vi < example >

**Abstract**

viii

**List of Tables** (when applicable)

ix

**List of Figures** (when applicable)

xi

**List of Schemes/Photographs/ ...** (use separate List as applicable)

xiii

**List of Abbreviations**

ix

**List of Notation/Symbols** (use separate List as applicable)

x

**Chapter 1**

1

(numbering begins Numeral 1)

**Remaining Chapters 2, 3, ... etc.**

22 <example> ...

**Chapter 6 <example> Conclusions**

238 <example>

**Appendices [Appendix A, B, ... or Appendix I, II, III...]**

245 .....<example>

**References**

265 ....

**Bibliography** (when applicable)

280 ....

**Blank pages as required**

Not numbered

## Table of Contents

[with illustrations/examples]

	<b>Page</b> < example >
<b>Acknowledgements</b>	vi
<b>Abstract</b>	viii
<b>List of Figures</b>	ix
<b>List of Tables</b>	xii
<b>List of Abbreviations</b>	xiii
<b>List of Notations</b>	xiv
<b>List of Symbols</b>	xv
<b>Chapter 1 Introduction</b> {title}	
<b>1.1</b> {subtitle}	1
<b>1.2</b>	2
<b>1.3</b>	3
<b>1.3.1</b>	3
<b>1.3.2</b>	5
<b>1.4</b>	8
<b>1.5</b>	10
<b>1.5.1</b>	10
<b>1.5.2</b>	12
<b>1.5.3</b>	13
<b>1.6</b>	14
<b>Chapter 2</b> {Title}	16
< .... Similarly for all the other Chapters ... >	
<b>Appendix 1</b> (or <b>I</b> ) {Title}	245
<b>Appendix 2</b> (or <b>II</b> ) {Title}	247
< .... Similarly for all the other Appendices ... >	
<b>References</b>	265
<b>Bibliography</b>	280

# **SYNOPSIS**

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of the Ph.D. Thesis titled

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**{Title of the Ph.D. Thesis in Bold Lettering in Black Color  
with Single Spacing Between Lines and Centered}**

<Bold, 18 or 20 pt>

Proposed to be submitted by

<14 pt>

**{Full Name of Research Scholar}**

<Bold, 18 or 20 pt>

in partial fulfilment for the requirements of the award of the degree of

<14 pt>

## **DOCTOR OF PHILOSOPHY**

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**Faculty of {-----}**

**{Name of the Department/Institute/School}**

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**PRESIDENCY UNIVERSITY, BENGALURU**

**{YYYY}**

**{Title of the Ph.D. Thesis in 18 or 20 pt Bold Lettering  
in Black Color with Single Spacing Between Lines and  
Centered}**

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Thesis  
submitted by  
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**{Full Name of Research Scholar}**  
< same pt as Title >

in partial fulfilment for the requirements of the award of the degree of  
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**DOCTOR OF PHILOSOPHY**  
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**Faculty of {-----}**  
**{Name of the Department/Institute/School}**  
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**PRESIDENCY UNIVERSITY, BENGALURU**

**{YYYY}**