



PRIST UNIVERSITY

Under section of 3 of UGC Act 1956
Thanjavur-613 403 Tamil Nadu. India

Doctor of Philosophy (Ph.D) Programme Regulations

(Revised from August 2011)

1. Categories of Ph.D. Scholars

- A. Full-Time Research Scholars
- B. Part-Time Research Scholars

1.1 Full-Time Research Scholars

Research Scholars within this ambit are those who pursue their full-time doctoral research under the guidance of Research Supervisors recognized by the PRIST University in the Departments and Centre for Research and Development (CRD) of PRIST University and Central /State Government funded Research Centres / National Institutions / Laboratories which have MoU with PRIST University to facilitate collaborative programmes in research.

1.2 Part-Time Research Scholars

Research Scholars within this category are those who, irrespective of their employment status, pursue their doctoral research under the guidance of Research Supervisors (recognized by the PRIST University) on Part-Time basis in the Departments and Centre for Research and Development (CRD) of PRIST University and Central /State Government Funded Research Centres / National Institutions / their regional laboratories , reputed Organizations , UGC / AICTE approved Educational Institutions , Government recognized Schools and Polytechnics in India ..

2. Eligibility of Enrollment for Ph.D.

2.1 Full-Time Research Scholars

The candidates holding Master's Degree with not less than 55% of marks (with out rounding off) or a CGPA of 5.51 (with out rounding off) in the 10.00 point scale under CBCS, under the Faculties of Arts, Science, Fine Arts, Humanities, Indian and other Languages, Education and Engineering & Technology (Tamil, English, Sanskrit, Vedic Studies, Mathematics, Commerce, Management, Education, Educational Technology, Physical Education, Library Science, Pharmacy, Physics, Chemistry, Botany, Zoology, Computer Science, Bio-informatics, Biotechnology, Biochemistry, Microbiology, Computer Science, Civil Engineering, Mechanical Engineering, Electrical and Electronics Engineering, Electronics and Communication Engineering, Computer Science and Engineering, Environmental Engineering, Information Technology etc.) are eligible to

register for Ph.D. in this University under this category. For SC/ST candidates the minimum shall be only 50% for admission to the Ph.D programme.

2.2 Part-Time Research Scholars

The candidates with educational qualification as in 2.1. and working in Educational Institutions , Organizations etc. anywhere in India as mentioned in 1.2. are eligible.

3. Admission Process

3.1 Constitution of University Research Committee (URC)

University Research Committee is constituted for an effective coordination of the research activities of the departments including selection and admission of Research scholars, constitution of Doctoral Committees and maintenance of the quality of research. The Committee shall scrutinize the academic, professional and research potential of the candidates.

3.2. General Procedures for Admission and for Registration

3.2.1. General Process

Candidates desirous of admission into the Ph.D. research program under any category specified in section 2 shall obtain the prescribed application form from the Director (Admissions) of the PRIST University on payment of prescribed cost and submit the duly filled-in application form along with experience / service certificate (in case of Part-time candidates) etc. to the Director (CRD). The Director (CRD) shall follow the selection process given in section 3.2.2. for the provisional admission of the candidates and shall inform the selected candidates about their provisional admission.

3.2.2. Selection Procedure

The selection of candidates for provisional admission shall be based on the following procedure: The selection shall be based on Entrance test and personal Interview. The Entrance test shall examine Research aptitude and grasp of the subject of the prospective candidates. At the time of personal interview, Doctoral candidates are expected to discuss their research interest / area.

4. PhD Provisional Registration (Full / Part-time)

4.1 A candidate, certified as eligible for Ph.D. program by the University Research Committee, on intimation shall join the University / Department / College / Organization etc., mentioned in 1.2, first as Research scholar and he shall submit the provisional registration form to the Director (CRD) through his / her Research Supervisor, HoD and Dean / Principal along with the prescribed fee in the form of a Demand Draft drawn in favour of PRIST University.

4.2 A candidate applying for provisional registration shall do so, specifying the broad-field or an inter disciplinary field in which he / she intends to pursue research, the subject of research being wholly or partly related to the main branch of knowledge chosen for the post-graduate degree in which the candidate has qualified.

4.3 The allocation of the Research Supervisor for a selected candidate shall be decided by the University Research Committee, depending upon the vacancy based on the number of Research Scholars per faculty member permitted by the University, the available specializations among the faculty Supervisors and the chosen topic of research by the Scholar. In no case, the allocation of Research Supervisor shall be left to the individual student.

- 4.4 Candidates who propose to carry out research work in interdisciplinary area shall be permitted to have, on the recommendations of the Supervisor, Co-guide who will be an expert in the related field.
- 4.5 A scholar provisionally registered for the Ph.D. degree should not register for any other degree of any University either in formal or non-formal program. However, the Scholars can register for not more than two certificate/diploma programs of one year duration through Distance Education mode of any University.
- 4.6 The admission shall be through out the year and registration of the candidates of Ph.D. program shall take effect from the date of joining the Department / Institution.
- 4.7 Provisional registration of all candidates and subsequent stages up to the submission of Ph.D. degree thesis shall be the responsibility of the CRD of the PRIST University.

5. Duration of the Research Programme

The duration of research programme for the two categories, from the date of Provisional Registration in 2 will be as follows.

5.1 Full-Time

The duration shall be a minimum period of three years from the date of provisional registration in the case of holders of the Master's Degree (M.A., M.Sc., M.Com., M.C.A., M.Ed., M.PEd., etc.) and two years in the case of holders of M.Phil, M.E., M.Tech, M.Sc. (Ag.), M.VSc, M.Pharm, M.D., M.S., M.D.S., etc.,

5.2 Part-Time

For Part-time candidates the minimum and maximum periods will be one year more than the respective periods indicated for the full-time candidates.

5.3 Time Limit

The time limit for submission of Ph.D. thesis from the date of provisional registration is five years in the case of full-time and six years in the case of part-time candidates. However, a maximum of four six month extensions shall be given at the discretion of Research Committee on recommendation of the Doctoral Committee, subject to approval by the Director (CRD).

6. Monitoring of Ph.D programme

6.1. Doctoral Committee

- 6.1.1 When the candidate is accepted for provisional registration, a Doctoral Committee shall be constituted in each case. The Doctoral Committee shall consist of the Research Supervisor (as Coordinator he/she would initiate steps for the formation of the Doctoral committee), Director (CRD) or his nominee of and one faculty member from outside the Department/ (within the University or outside the University) specializing in the related field. However, the maximum number of members of the Committee shall be limited to three. The Committee shall be formed by the Director (CRD) from a panel of names submitted by the Supervisor.
- 6.1.2 The Committee shall meet periodically, at least once in six months, to review the work of the candidate, make suggestions for the future work and submit reports on the progress to the Director, CRD.
- 6.1.3 The first meeting of the Doctoral Committee shall be within six-months after the provisional registration and in this meeting the Committee shall prescribe the courses that the candidate needs to take as requirement for the Part 1 examination.

- 6.1.4. The Research Scholar shall submit half-yearly and annual progress reports in the prescribed format (Appendix-A) to the Director (CRD) through the Research Supervisor concerned until he/she submits the synopsis of the thesis.
- 6.1.5 The Doctoral Committee shall arrange for a presentation session on a working day at the respective Department in which the candidate shall make a public presentation of his synopsis before its submission. The Doctoral Committee shall approve the research work for finalization in the form of thesis.
- 6.1.6. The Doctoral Committee after examining the progress made by the candidate shall recommend for the submission of the synopsis and the thesis within the due date stipulated by the University. The Doctoral Committee shall endorse changes in the title of the thesis, if any.

7. Course of Study

The course of study for the Ph.D. program shall consist of three written papers under Part-1 and thesis and public viva voce under Part-II.

7.1 Part-I

- 7.1.1 Every candidate provisionally registered for the Ph.D programme shall undergo course work in the first year. The course work consists of the following:

	<i>No. of credits</i>
Paper I Research Methodology (inclusive of Quantitative methods & Computer applications)	4
Paper II An advanced paper in the subject concerned inclusive of Review of Published literature and emerging trends in the relevant field	4
Paper III Background paper related to his/ her Ph.D work	4

- 7.1.2 Candidates who possess M.Phil. in the same discipline / field of research shall not be required to undertake the course work. The candidates with M.Phil Degree not in the same discipline and the professional degree holders who had undergone course work on Research Methodology are exempted only from Paper I Research Methodology and shall undergo course work for paper II and paper III.
- 7.1.3. The Research Guide concerned shall frame syllabi for all the aforesaid three papers, as applicable and send the same to the Director, CRD for approval. The examinations for paper I & II will be conducted by the Controller of Examinations and evaluated by the External Examiners fixed by the Controller of the Examinations/ Director, CRD.
- 7.1.4. The examination for paper III shall be conducted by the respective Research Supervisor under the supervision of the Head of the Department / Institute concerned or his nominee at the Institute as decided by the Director .CRD / Controller of Examinations, PRIST University. The above paper shall be set and evaluated by the Research Supervisor concerned.
- 7.1.5. The passing minimum for each paper shall be 50% marks. A candidate who fails in the written examination may be permitted to reappear in the examination but on not more than two occasions. All the candidates shall have to clear Part-I Examination within two years from the date of registration.
- 7.1.16 During the reappearance the candidate shall be exempted from appearing for the papers in which he /she secured 50% or more.

7.1.17 A candidate who fails in the third attempt shall not be permitted to continue and the provisional registration shall be cancelled.

7.2. Part-II

7.2.1 The candidate shall be permitted to undertake part-II of the Ph.D. program, namely thesis and viva-voce, only after receipt of the results of part I Ph.D examination. Every such candidate shall be required to submit the synopsis and the thesis within the due date stipulated by the University.

7.2.2 It shall be open to the Research Supervisor to recommend a candidate to spend not more than one year in an institution recognized for the purpose and / or on a project for any specific type of investigation.

7.2.3 Part-time (Internal) candidates registered under Guides not working in the same institutions shall be required to spend the last six months of their tenure directly under the Supervisor who will have a close scrutiny of the final stages of research.

7.2.4 Candidates admitted to Ph.D. programme under Part-Time (External) are expected to be in constant touch with the Research Supervisor.

7.2.5 Conversion of Ph.D. research from full-time to part-time and vice-versa shall be allowed only in special circumstances and on payment of the prescribed status change fee.

7.2.6 The following formula shall be adopted for conversion of Ph.D. program from full-time to part-time and vice-versa.

The residual period that the candidate has to complete, at the time of his / her submission for conversion (from full-time to part-time or part-time to full-time as the case may be), for fulfilling the requirement of the minimum duration of submitting the thesis under the existing category will be taken note of, and the corresponding equivalent period shall be determined and intimated to the candidate, without exceeding the maximum duration.

8. Cancellation of Registration

8.1 Registration may be cancelled on the recommendations of the Doctoral Committee based on the lack of progress as reported by the Guide and also after giving due opportunity to the candidate for defending his case.

8.2 Registration may be cancelled on the Candidate's own request and duly endorsed by the Doctoral Committee.

8.3 Registration of the candidate shall be automatically cancelled if he / she fails to submit Ph.D. thesis within seven years from the date of provisional registration in the case of Full-Time candidates and eight years from the date of provisional registration in the case of Part-Time candidates.

8.4 If the candidate desires to pursue the Ph.D. program after cancellation of registration, he / she may do so after going through admission procedure as a fresh applicant.

9. Research Supervisors

9.1 Teachers / Research personnel holding a Ph.D. degree with at least two years of teaching / Post Doctoral research with three publications in peer reviewed / refereed Journals and working at least as a lecturer / Scientist in this University and other Universities / Educational Institutions of Higher Learning / Research Laboratories / Industries etc., is eligible to be Research Supervisors. The three publications shall be from the work carried out after the completion of the Ph.D. program. The Research Committee shall examine the eligibility of the person for recognition as a Ph.D. Supervisor and recommend for approval by the Director, CRD.

- 9.2 A Research Supervisor shall not have at any given point of time more than eight Ph.D. scholars and this maximum number includes full - time and part - time Scholars. This number shall not include the candidates registered under a co-guide.

The Research Supervisor shall carry the chief responsibility for monitoring the academic progress of the candidates through out the period of the research program. He / She shall offer counseling to the Research Scholar in academic matters and shall provide guidance on the nature of course work and research, the standards expected, the adequacy of progress and the quality of work. The Research Supervisor shall offer feedback on all matters pertaining to the completion of a successful dissertation - content, cohesiveness and originality, research standards, structure, documentation, and writing style. The Research Supervisor shall not allow the candidate to submit his / her dissertation for approval unless it is completed to his or her satisfaction.

- 9.3. Change of Research Supervisor shall be permitted within two years of the provisional registration with the approval of the Director, CRD on valid grounds.
- 9.4. To ensure the successful and timely completion of the program, it is essential that Supervisors and their students maintain regular contact. Supervisors must give their students advance notice if they plan to be absent from the University for an extended period of time of at least six months and make suitable arrangements with the student and the Dean / HoD for the continued supervision of the student. In case of the Supervisor leaving the University permanently or on deputation elsewhere or otherwise for a period of more than one year, the candidate may be permitted to change the topic of research, if necessary, with the change of the Guide. The duration of research shall be the same if the topic of research remains the same. If there is a change in the topic, the minimum duration of research shall be decided by the Doctoral Committee.
- 9.5. Further, a faculty member already recognized as a Research Supervisor in the field in which he/she has obtained his/her doctoral degree, but working as a regular member of the faculty in a different but related Department, can guide scholars for Ph.D. either in his/her field of Doctoral research or in the area of his/her specialization in the department where he /she serves without having to separately obtain recognition as a Research Supervisor for this purpose.

10. Submission of Synopsis

- 10.1 Not less than three months before the submission of the thesis, every Research Scholar shall submit six hard copies and four soft copies of the synopsis of the thesis to the Director (CRD) along with the duly filled in format for the submission of synopsis (Appendix B1) through the Research Supervisor and HoD concerned. Remittance particulars of the prescribed fee for the synopsis submission shall also be furnished.
- 10.2 The Research Scholar shall prepare the synopsis carefully in accordance with the University guide lines (Appendix B2) and in consultation with the Research Supervisor. The synopsis shall bring out in abridged form, the objectives and scope of research work, Methodology, results, conclusions drawn, papers published etc. The Synopsis of the thesis shall not be less than six pages or shall not exceed ten pages, typed on A4 size paper.
- 10.2 The candidate shall make a public presentation of his synopsis at a presentation session in the respective Department before submission of the synopsis.

11. Submission of Thesis

- 11.1 The Ph.D. program culminates with the submission of a thesis of a substantial work of original research carried out by the candidate under the guidance of the supervisor. It is expected to be potentially publishable and stand peer review The Research Scholar shall prepare the thesis carefully in accordance with the University guide lines (Appendix C1) and in consultation with the Research

Supervisor. The thesis is expected to undergo an extensive revision process before it is ready to be submitted as a finished piece of work.

- 11.2 Prior to submission of the thesis, the student shall make a pre-Ph.D. thesis presentation in the Department that may be open to all faculty members and research students, for getting feedback and comments which may be considered for finalization of the thesis in consultation with the Research Supervisor.
- 11.3 Ph.D. candidates **shall publish atleast two research papers (showing affiliation to PRIST University) in a referred National / International Journals before the submission of the thesis for adjudication** and produce evidence for the same in the form of acceptance letter or the reprint.
- 11.4 The candidate shall submit five copies of the thesis in a soft bound form and 4 soft copies in PDF format to the Director, CRD along with the duly filled in format for the thesis submission (Appendix-C2) Remittance particulars of the prescribed fee for the thesis submission shall also be furnished.. The thesis shall be sent for evaluation as mentioned in 12.1
- 11.5 Once the thesis gets approved the candidate shall incorporate all the corrections / suggestions, if any recommended by the Examiner and resubmit **two** copies of the final version of the thesis in hard bound form and two soft copies through Supervisor and HoD. The supervisor shall certify that the corrections / suggestions (if any) were incorporated.
- 11.6 The thesis should be submitted to the University for evaluation not later than six months after the submission of the synopsis, through the Supervisor, and through the HoD along with his / her application for the Ph.D. degree.
- 11.7 If the candidate fails to submit the thesis within six months from the date of submission of synopsis one extension of three months may be given with approval of the Vice-Chancellor, PRIST University after which the process gets cancelled. Then, he / she shall submit the synopsis again based on the recommendations of the Doctoral Committee. The Guide / Supervisor, with the approval of the Doctoral Committee shall submit a fresh list of Examiners.
- 11.8 One copy of the thesis shall be placed in the Library of the College/Department/Institution concerned and one copy will be sent to the PRIST University. One copy of the thesis shall be placed in the internet server after the award of the Ph.D. degree.
- 11.9 Supplementary papers to the thesis, printed copies of any contributions to the knowledge of the subject or of any cognate branch of science that may have been published in journals or periodicals may also be included along with the thesis or given as bibliography.
- 11.9 The thesis shall ordinarily be submitted not later than five years from the date of registration in the case of full-time candidates and six years in the case of part-time candidates. A maximum of four extensions of six months each shall be given at the discretion of the Vice - Chancellor, PRIST University on the recommendations of the Doctoral Committee after the expiry of which the registration will stand automatically cancelled. Every candidate shall submit with his/her thesis a certificate from the Supervisor under whom he/she worked, that the thesis submitted is a record of original research work done by the candidate during the period of study under his / her supervision and that the thesis has not previously formed the basis for the award to the candidate of any Degree, Diploma, Associateship, Fellowship or other similar titles and that the thesis represents independent work on the part of the candidate.

12. Adjudication of Thesis

- 12.1 The thesis shall be referred by the University for evaluation to a Board of examiners, consisting of 3 experts of whom one expert shall be from outside India and another expert from within India but outside Tamil Nadu (subject to the Regulation 13.2.) and third one shall be the Research Supervisor.
- 12.2 The Research Supervisor shall submit a Panel of 9 External Examiners, of whom at least five from abroad and the rest from India, but outside Tamil Nadu, to the Director, CRD. The **Vice-Chancellor, PRIST University** will approve the two Examiners, of whom one is from abroad to adjudicate the thesis. However, in respect of Indian Languages Vedic studies, Music etc., if the Research Supervisor justifies that the subject matter of the thesis needs no reference to a Foreign Examiner, a panel of Seven Examiners from India itself, but outside Tamil Nadu may be suggested, stating the reasons for the same. However, in respect of Tamil Language, the Research Advisor shall recommend, a panel of 7 examiners outside PRIST University Jurisdiction. The Research supervisor shall also submit the Telephone numbers of Office and Residence and the e-mail ID of the Examiners suggested.
- 12.3 The Research Supervisor shall provide a certificate that all the Examiners suggested are experts and qualified to adjudicate the thesis.
- 12.4 If the acceptance is not received from the first panel within 45 days, the University shall call for an additional panel of 6 names from the Research Supervisor.
- 12.5 Each Examiner appointed by the University to adjudicate the thesis shall be requested to send his/her report within one month from the date of receipt of thesis to the Controller of Examinations.
- 12.6 The Board of Examiners who value the thesis shall report on the merit of the candidate for the Ph.D. degree as follows;
- i. The thesis is highly commended and be accepted for the award of Ph.D. degree
Or
 - ii. The thesis is commended and be accepted for the award of Ph.D degree
Or
 - iii. The thesis is commended and the degree may be awarded after carrying out corrections/ modifications as suggested
Or
 - iv. The thesis needs to be resubmitted after revision for reevaluation.
Or
 - v. The thesis be rejected
- 12.7 The Examiner shall also indicate specifically, in the evaluation report, whether the thesis complies with the following requirements
- a. The planning and conduct of the experiments are appropriate
 - b. The review of literature is up-to-date and references have been presented properly
 - c. The data are well presented and interpreted
 - d. The discussion is critical and the illustrations are appropriate and of good quality
 - e. The contributions and merit or value of the thesis from the fundamental and / the applied stand-point
 - f. Whether the thesis is fit for publication in *extenso* / abridged form / or as Research papers in standard or peer-reviewed journals
- 12.8 The report of the examiner shall include list of questions, if any, to be asked at the public viva-voce Examination.

12.9 In case, all the three Examiners or two out of the three Examiners have not commended, the thesis shall be rejected and the registration cancelled. In case, one of the three Examiners has not commended, then the thesis shall be again referred to a fourth Examiner either Indian or Foreign as the case may be. If the fourth Examiner commends the thesis, the candidate shall be allowed to appear for the viva-voce examination. If the fourth Examiner does not commend the thesis, it shall be rejected and registration cancelled.

12.10 If the Examiner / Examiners insist on any correction / revision to be made in the thesis, the same shall be made by the candidate before the public viva-voce examination and certified by the Research Supervisor. In case the candidate fails to submit the revised form of the thesis within one year, the process of thesis evaluation gets cancelled. Then, the candidate shall submit the synopsis again to start the process of thesis evaluation.

13. Public Viva-Voce examination (Oral Examination)

13.1 In cases where the thesis has been approved, and on receipt of communication from the University, the Guide concerned shall coordinate the conduct of public viva-voce for the candidate.

13.2 One external Indian Examiner of the thesis, the Research Guide as Chairman of Viva-Voce Examination Board and Co-Guide (if any) shall conduct the public viva-voce examination in the presence of interested faculty members, and research students. The members of the Doctoral committee concerned will be invitees to the Viva-Voce Examination. In case where the Indian Examiner of the thesis is not available, the University may appoint an alternative eminent person, preferably from the panel previously submitted, for conducting the viva-voce.

13.3 The Supervisor shall fix the date and time of the viva-voce examination in consultation with the External Examiner appointed by the University for conducting the viva-voce examination. The Guide / Supervisor shall give wide publicity and at least 10 working days notice for scheduling of the examination. The maximum time limit for conducting viva-voce shall be three months from the date of consolidation of reports. If the candidate fails to take viva-voce within three months on valid grounds, the University can permit two three-month extensions on specific request from the Supervisor. If the candidate fails to take the viva-voce examination even after the extension, the Ph.D. registration gets cancelled.

13.4 The viva-voce examination may be held on any working day of the University.

13.5 The viva-voce shall primarily be designed to test the understanding of the Research scholar on the subject matter of the thesis and the competence in the general field of study. The Research scholar shall make a 45 minutes power point presentation before the audience and answer the questions raised by the Examiners and the participants to the satisfaction of the Examiners.

13.6. If the candidate passes the viva -voce examination, board shall consolidate the recommendations for the award of the Degree based on the following:

- i. The reports of the examiners who adjudicated the thesis and
- ii. The evaluation of the candidate's performance in the viva - voce examination.

The board shall then forward its consolidated recommendations with the classification "Highly commended/ Commended" to the Controller of Examinations, along with such other documents as may be required by the University for its consideration. For placing the thesis under the "Highly Commended" category, it should have been so recommended by all the examiners. The consolidated recommendation shall be placed before the Vice-Chancellor/ Board of Management for approval and the degree for the approved candidates shall be awarded in convocation either in person or in absentia.

13.7 A candidate, who is not successful at the public viva-voce examination, may be permitted to undergo the viva-voce examination a second time, within a period of three months. In the event of he / she failing again, his / her candidature for the degree will be rejected.

14. Award of Degree

14.1 The University shall consider the reports and decide whether the candidate is worthy of the degree of Doctor of Philosophy and shall take action in accordance with such decision.

14.2 Candidates, who qualify for the Ph.D. Degree, shall be awarded the Degree in the respective discipline as that of their Master's Degree / M.Phil. Degree

14.3 A candidate, who registers for Ph.D. program in this University in an interdisciplinary area, shall be awarded Ph.D. degree in the same discipline as his / her PG degree / M.Phil. Degree with explicit indication to the effect that it is an inter-disciplinary research. For example: a candidate with Master's Degree in Zoology having pursued Ph.D. program in Genetics, shall be awarded the degree as Ph.D. in Zoology (Genetics).

14.4 The University shall issue a Provisional Certificate to the effect that the Degree has been awarded in accordance with the provisions to the Regulations of the UGC.

15. Publication of Thesis

The thesis is a public domain document and the research embodied in the thesis may be published either in part or in full in reputed journal or in the form of book.

16. Depository with UGC

Following the announcement of the award of Ph.D. the University shall submit a soft copy of the Ph.D. Thesis to the UGC within a period of 30 days, for hosting the same in Information Library Net work (INFLIBNET).